

THE UNIVERSITY OF NORTH CAROLINA AT ASHEVILLE
FACULTY SENATE

Senate Document Number 5119S
Date of Senate Approval 04/04/19

Statement of Faculty Senate Action:

FWDC 9: **Institutional Animal Care and Use Committee Policy**
Faculty Handbook Sections [4.3.6.1](#) and [10.4.18](#)

Effective date: 1 August 2019

Summary: This document details changes required within UNC Asheville's Animal Subjects (4.3.6.1) and Animal Care and Use Committee (10.4.18) policies to maintain compliance with federal guidance for the ethical treatment of animal subjects. These changes are necessary to align UNC Asheville's animal welfare program with research, teaching and regulatory standards.

Rationale:

- a. The University meets the minimum requirements for the care and use of animals under the Animal Welfare Act managed by the [US Department of Agriculture's Animal and Plant Health Inspection Services](#).
- b. Excluding the US Department of Agriculture (USDA), state and federal agencies (e.g., Department of the Interior, National Institutes of Health, National Science Foundation, US Fish and Wildlife Service, etc.), have migrated their animal care oversight to principles outlined in [Public Health Service \(PHS\) Policy on Humane Care and Use of Laboratory Animals](#). Agencies felt this was necessary to provide broader protections to animals than those identified by the USDA. Specifically, the PHS policy protects all vertebrate animals used in classroom, research and field studies. USDA regulations only protect mammals used in research and housed in research facilities. As UNC Asheville's external funding predominantly comes from these non-USDA agencies, it is important for the University to align its compliance to reflect the regulatory requirements expected by our sponsors in research and programmatic activities. Failure to align our Institutional Animal Care and Use Committee (IACUC) with the principles outlined in the [PHS Policy on Humane Care and Use of Laboratory Animals](#) may impact future external funding and faculty scholarly engagement. These proposed changes will enable the UNC Asheville IACUC to review animal care and use protocols for funded and unfunded scholarly engagements involving vertebrate animals.
- c. The current Faculty Handbook language conflicts with regulatory requirements for the oversight of animal care and research. Specifically, Section 4.3.6.1 provides the IACUC with the ability to review NIH (5-member committee) and aligned agency animal care protocols. This is unattainable as 10.4.18 aligns IACUC membership (3-member committee) with only USDA requirements. **Section 4.3.6.1 and 10.4.18 are in conflict with regulatory oversight.**
- d. To facilitate this transition, all IACUC documents will require a review and possible update in order to remain compliant with the National Institutes of Health's Office of Laboratory Animal Welfare ([PHS Policy on Humane Care and Use of Laboratory Animals](#)).
- e. In addition, based on the requirements for a PHS compliant IACUC, **the number of IACUC committee members will increase from three to five.**
- f. The IACUC will also include two non-voting members. These non-voting members will include an Academic Affairs Liaison and a representative from the Office of Research and Sponsored Programs (ORSP). The ORSP representative will serve in an administrative capacity to the IACUC chair.
- g. Finally, this Faculty Handbook update does not seek to request the official appointment of alternative committee members. This is largely due to the number of protocols handled by the IACUC. The IACUC will request an alternate member through the Provost when the situation justifies this action (e.g., conflict of interest, committee member sabbatical, etc.).

Revise 4.3.6.1. as follows:

4.3.6.1 Animal Care and Use Policy (SD6515S)

4.3.6.1.1. Purpose

The Institutional Animal Care and Use Committee (IACUC) is a federally mandated committee whose mission is to ensure the proper care and humane treatment of vertebrate animals. The Committee's responsibility is to develop, review, and monitor all animal facilities and care practices within the institution for compliance with federal legislation, agency regulations, and local laws. The IACUC is responsible for the dissemination of information regarding approved methods of animal care to individuals who use animals in research, teaching, or demonstration programs at the UNC Asheville.

To ensure compliance with all federal, state and UNC Asheville regulations, policies and standards in place to protect animal welfare, voting IACUC members review all requests for approval to use vertebrate animals. IACUC also conducts inspections of all areas where housing and use of animals occurs, in addition to reviewing the institutional program.

4.3.6.1.2. Policy and Procedure

UNC Asheville IACUC will update procedures and policies to remain compliant with applicable laws and policies. Institutional management guidance material is available on the IACUC website at <http://iacuc.unca.edu>. This includes the [Animals and Animal Products](#) (9 CFR), [Animal Welfare Act](#) (7 USC 2131 et seq.), [Health Research Extension Act](#) (P.L. 99-158), [PHS Policy on Humane Care and Use of Laboratory Animals](#) and [U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training](#). UNC Asheville faculty, staff and students are encouraged to consult this site for updated procedures and information.

Policies on Animal Care and Use Activities

Classroom demonstration, research and training activities involving vertebrate animals must receive a review and approval by the UNC Asheville IACUC prior to engaging in any work involving animals. The following will submit an Animal Study Protocol for review:

- Faculty / Staff Research - All animal research activities performed at UNC Asheville must submit a completed Animal Study Protocol to the IACUC for review and approval.
- Student Research - Animal research activities carried out by students must have their faculty advisor submit a completed Animal Study Protocol to the IACUC for review and approval. The faculty advisor provides oversight and is responsible for ensuring that the student complies with the IACUC's approved protocol. This includes research performed by undergraduate and graduate students, or students working as part of a research team. In all cases, the faculty advisor must sign off on the research protocol submitted for review to the IACUC.

If a researcher performs an animal study with an institution other than UNC Asheville, the external institution's IACUC may serve as the committee of record; however, the UNC Asheville IACUC must receive a copy of the protocol, approval documentation, and any sponsored program funding information for institutional record.

Non-UNC Asheville Performance Sites

Researchers (faculty member or student) intending to perform research external to UNC Asheville at an institution / agency / facility that does not have its own PHS assurance **must ensure that the outside**

institution either negotiates its own PHS Assurance or becomes covered in the UNC Asheville's PHS assurance. This places the un-assured institution under the UNC Asheville's PHS assurance, and UNC Asheville must then treat it the same as all other facilities included in their program (perform semi-annual inspections, include in reports to OLAW, etc.).

Special Circumstances

- Teaching / Demonstration - Courses taught or demonstrations performed at UNC Asheville that involve the use of vertebrate animals must also be covered under an IACUC-approved protocol, which should be submitted by the faculty member in charge of the course or demonstration
- Field Studies - An IACUC-approved protocol is required for any study that involves the capture, handling, or other direct manipulation of vertebrate animals in the wild. Studies where the researcher will only observe but will not handle or manipulate animals, may not require an IACUC-approved protocol. Researchers planning observational-only field studies should contact the Office of Research and Sponsored Programs to confirm if they need to submit a protocol.
- External Collaborations - Researchers participating in external collaborations at PHS-assured institutions, where the animal research received approval by an outside institution's IACUC does not need to submit a full protocol to the UNC Asheville IACUC. However, the UNC Asheville researcher must submit a copy of the protocol, the protocol approval (if separate from the protocol), and a copy of any funding proposal in support of the work.
- Agricultural Extension Activities – Agricultural extension activities involving vertebrate animals must receive a review and approval by the IACUC.

4.3.6.1.3. Membership

Membership of the IACUC conforms to federal guideline.

Five (5) voting members and two (2) non-voting members, appointed by the Provost, in consultation with the existing IACUC members and FWDC. Faculty members serve a staggered three-year term while the veterinarian and community representative serve a one-year term. All serving members may seek to extend their appointment by volunteering to serve longer terms.

- Voting Members
 - One faculty member from a natural sciences research discipline (e.g., Biology, Environmental Sciences, etc.) who has expertise in research involving animal care and use; one faculty member from any discipline who has expertise in empirical research; one faculty member from any discipline; one member who is a licensed veterinarian; and one member unaffiliated with the university who will serve as a Community Representative to represent community interest in the proper care and use of animals;
- Non-voting Members
 - Representative from the Office of Research and Sponsored Scholarship, ex officio.
 - Liaison from Academic Affairs, ex officio, as needed, to facilitate the work of the IACUC. The Academic Affairs liaison should not participate in IACUC deliberations.

The University should make every effort to ensure that the IACUC will not consist entirely of men or women, including the University's consideration of qualified persons of both sexes regardless of gender. No IACUC may consist entirely of members of one profession. IACUC appointments should compose a committee with gender, racial, and professional diversity.

Committee members should serve a minimum of one full term as specified above while maintaining IACUC CITI Training Certification.

The IACUC Chair must be a tenured member of the faculty. The Chair should also serve one year as the Vice Chair prior to assuming the role of Chair. At the completion of their term, the outgoing Chair should attend IACUC meetings for one additional semester after their term, either as a formal member of the committee or as an ex officio non-voting member, to serve as a mentor for the new Chair and to promote consistency and continuity.

The IACUC Chair will appoint a Vice Chair. It is best for the Vice Chair to have served one year as a member prior to assuming the role of the Vice Chair, and to agree to serve as the Chair upon the conclusion of the current Chair's period of service or if the IACUC Chair takes a leave of absence.

The IACUC may invite individuals with competence in special areas to assist in the review of issues that require expertise beyond or in addition to that available on the IACUC. These individuals do not have a vote.

No IACUC member may participate in an initial or continuing review of any project in which the member has a conflict of interest, except to provide information requested by the IACUC. The Chair determines whether a conflict of interest exists.

The IACUC must achieve quorum prior to their review of protocols and / or engaging in official business. A simple majority (three voting members or 51%) are necessary to achieve quorum.

Details regarding IACUC responsibilities should refer to <hyperlink> UNC Asheville IACUC Standard Operating Procedures </hyperlink>

Recommendations and reports to: Provost

Revise 10.4.18 as follows:

10.4.18 Institutional Animal Care and Use Committee ([SD6515S](#)) ([SD7303S](#))

The Institutional Animal Care and Use Committee (IACUC) is a federally mandated committee whose mission is to ensure the proper care and humane treatment of vertebrate animals. The Committee's responsibility is to develop, review, and monitor all animal facilities and care practices within the institution for compliance with federal legislation, agency regulations, and local laws. The IACUC is responsible for the dissemination of information regarding approved methods of animal care to individuals who use animals in research, teaching, or demonstration programs at the UNC Asheville.

To ensure compliance with all federal, state and UNC Asheville regulations, policies and standards in place to protect animal welfare, IACUC members review all requests for approval to use vertebrate animals. It also conducts inspections of all areas where housing and use of animals occurs along with reviewing the institutional program.

Membership and procedures (see [Section 4.3.6.1](#)) of the IACUC conforms to federal guidelines. These include the [Animals and Animal Products](#) (9 CFR), [Animal Welfare Act](#) (7 USC 2131 et seq.), [Health Research Extension Act](#) (P.L. 99-158), [PHS Policy on Humane Care and Use of Laboratory Animals](#) and [U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training](#).

Recommendations and reports to: Provost