IACUC POLICIES AND PROCEDURES

Animal Care and Use Protocol Review Process

112.1. Purpose:
This document provides the approved practice and procedures for review of animal care and use protocol proposal by the University of Kentucky Institutional Animal Care and Use Committee (IACUC). While the criteria that must be met before an IACUC can approve a proposed research protocol is covered under Public Health Service Policy (IV, c,1,-IV,c,1g;IV,d1,-IV,d,1e) and the Animal Welfare Act (2.31,d; 2.31,e), the method to accomplish this is left up to each individual institution. This document serves to document the practice and processes performed at the University of Kentucky to ensure proper reviews for each type of review.

112.2 Web-based Protocol Review Process:
The University of Kentucky uses the web-based e-Sirius3G® electronic protocol submission system to permit the investigator to submit their protocol to the IACUC on-line. The e-Sirius3G® system protocol form populates sections based upon the response to early questions by the investigator and protocols only contain sections related to the actual protocol being submitted.

The University of Kentucky reviews all protocols, regardless of funding source, on an annual basis and requires a de novo review of every protocol at an interval not to exceed 3 years.

112.3 New Animal Use Protocols and 3 year de novo Protocol reviews:
The University of Kentucky IACUC uses both the Full Committee and the Designated Reviewer methods for review and approval of new Animal Care and Use Protocols and submitted 3 year de novo protocol reviews. Protocols involving unalleviated pain or distress (USDA Category E), multiple major survival surgery, the use of paralytics, or prolonged restraint are automatically assigned to Full Committee Review (FCR) for final approval. All other protocols are assigned as eligible for Designated Member Review (DMR) by the IACUC Office staff. Exceptions to the Guide for the Care and Use of Laboratory Animals and the Animal Welfare Regulations, including the use of atypical caging (wire-floor, limited space, running wheels, etc.), single housing of social animals, limitations of environmental enrichment, and nonstandard environmental conditions (altered light cycles, complete darkness, etc.) may be reviewed by the Designated Member Review Process.

112.4 Designated Member Review (DMR) Process:
Protocol submissions determined to be eligible for approval by the Designated Member Review method by the IACUC Office staff are initially routed to the full IACUC. These protocols are available to all IACUC members for review and comment for a minimum of 5 business days.

The IACUC Chairperson has delegated the authority to assign the primary reviewer to the IACUC office. The veterinary reviewer role is generally assigned to the veterinarian directly overseeing the facility involved. Both the primary and veterinary reviewers may request additional reviewers be assigned by the IACUC Office staff for specific expertise or assistance.

The IACUC members review the protocol and may request clarifications, additional information, protocol changes, modifications, etc. from the investigator. After the reviewers have completed their review, the protocol is returned to the investigator by the IACUC Office staff for their responses and changes. If no IACUC member requests Full Committee Review during the period
of IACUC review, the review is completed by a primary and veterinary reviewer as a Designated Member Review. Complex protocols may be exchanged between the reviewers and the investigator several times for changes and clarifications prior to approval by the Designated Reviewers.

Any Designated Reviewer can call for a Full Committee review of any protocol submitted for Designated Review at any time during the review process. Once requested, the protocol must be approved by Full Committee review which occurs during the regular convened meeting of the IACUC (usually the third Wednesday of every month).

Any approval decision by the Designated Reviewers must be a consensus decision. If the Designated Reviewers cannot reach a consensus decision, the protocol is sent for Full Committee review.

112.5 Full Committee Review (FCR) Process:

Protocol submissions are initially routed to a primary reviewer and a veterinary reviewer by the IACUC Office staff. The primary reviewer is assigned by the IACUC Office staff while the veterinary reviewer is assigned to the veterinarian directly overseeing the facility involved. The full committee (which includes the primary and veterinary reviewers) has five days to review, comment on, make suggestions, or ask for additional information or clarifications online.

The IACUC Office staff then routes the protocol back to the investigator with all comments for consideration, responses, and changes listed. While there is no time limitation for the investigator to respond and resubmit the protocol, reminders are sent by the IACUC Office staff periodically. After responding to the written concerns, the investigator resubmits the protocol to the IACUC Office staff.

The protocol is then rerouted to the primary and veterinary reviewers for additional review and to ensure the investigator has responded to the questions, requested changes, clarifications, etc. If questions or concerns remain, the primary or veterinary reviewers may return the protocol to the investigator for additional responses, information, clarification, etc. Complex protocols may be exchanged between the reviewers and the investigator several times before the protocol is considered ready for Full Committee Review and it is placed on the meeting agenda.

At the IACUC meeting the primary reviewer presents a synopsis of the protocol along with any comments and concerns that have not been resolved as of the meeting date. The IACUC discusses the protocol and related issues during the meeting. All protocol discussions are considered potentially confidential and are considered in an executive session. The final recommendations of the IACUC are voted upon in open session.

IACUC actions include:

• Approval
• Require Clarifications/Modifications to Secure Approval – When items are pending (e.g. clarification of animal numbers, drug doses, etc.) the IACUC may, by a majority vote, require clarifications or modifications to secure approval by either mechanism (FCR or DMR). By unanimous agreement of all voting and alternate members, the Committee has adopted the practice of allowing DMR subsequent to FCR when substantive additional information is required to properly evaluate proposals and requires modification to secure approval. DMR subsequent to FCR can only occur in these situations by the unanimous vote of the members present at a properly convened meeting. Committee member signatures are on file authorizing this practice. If this method is chosen, the IACUC Chairperson and Committee generally assign the designated reviewer during the discussion of the protocol.

• Withhold Approval – The IACUC may, by a majority vote, withhold approval for a protocol. In these cases the investigator is notified in writing of the IACUC’s decision and the reasons for such a decision. The investigator is provided the opportunity to respond to the IACUC’s decision either in person or in writing. The IACUC may reconsider its decision following the investigator’s response.

Due to the extensive pre-review process, most protocols are either approved as written or require some minor clarifications or modifications to secure approval and are assigned to designated member review for final review and approval. While the IACUC generally strives for consensus, in cases where disagreements exist the majority vote determines outcome. The IACUC decision and any requested clarifications or changes are communicated to the investigator via e-mail and the web-based e-Sirius3G® electronic protocol submission system.

Protocols with numerous or serious flaws requiring extensive rewriting may not be considered for review and may be deferred (tabled). Investigators are provided with a list of concerns, comments, and questions for response and guidance in resubmitting the protocol for consideration. Deferred protocols must be reviewed (FCR or DMR) before approval may be granted.

In order to facilitate protocol approval and to allow adequate time for review, it is strongly recommended that protocols submitted to the IACUC adhere to the Guidelines posted on the IACUC website, and follow the IACUC calendar.

112.6 Annual Animal Use Protocol Reviews:

The University of Kentucky uses the Designated Member Review method of protocol review for annual protocol reviews. The investigator completes a short questionnaire concerning any changes in the protocol and provides a brief progress report, which is distributed for review and consideration by all IACUC members. If no IACUC member requests Full Committee Review during the period of IACUC review, the review is completed by an IACUC reviewer as a Designated Member Review.

112.7 Amendments to Animal Use Protocols:

Amendments to protocols are submitted to the IACUC Office staff. Based on the criteria listed below, amendments are classified as either minor or major (significant). Major amendments require IACUC review as detailed in PHS Policy (IV,B,7) and AWAR (2.31,c,7). Further clarification on significant changes to animal activities is delineated in NOT-OD-14-126.

Significant protocol amendments are reviewed by the Designated Member Review method. Amendments are completed by the investigator within the original protocol format with changes
clearly delineated by changes in text color to the reviewer. After submission to the IACUC Office staff, the amendment request is available to all IACUC members for review and comment. If no IACUC member requests Full Committee Review during the period of IACUC review, the review is completed by an IACUC member and a veterinarian as a Designated Member Review.

Examples of major amendments requiring IACUC review and approval include the following:

- Change in purpose or specific aim of study
- Change of principal investigator
- Change of species
- Addition of species
- 10% or more increase in animal numbers over the number approved on the initial protocol and any subsequent committee reviewed amendments
- Addition of a survival surgery
- Addition of a painful procedure
- Unanticipated marked increase in clinical signs or proportion of animal deaths

Examples of specific significant changes that may be approved administratively after consultation with an IACUC authorized veterinarian* (Attending Veterinarian or designated alternate) include the following:

- Change in anesthesia, analgesia, sedation or experimental substance
- Change in euthanasia to any method approved in the AVMA Guidelines for the Euthanasia of Animals
- Change to the duration, frequency, type or number of procedures performed on an animal
- Addition of a strain or change of sex of the same species
- <10% increase in animal number approved on the initial protocol and any subsequent committee reviewed amendments
- Addition of sample collection times (if not exceeding standard limits)
- Additional non-invasive sampling (if not exceeding standard limits)
- Reducing or eliminating previously approved water or feed restrictions

Minor amendments are processed through the IACUC Office staff as administrative changes. Minor amendments include the following:

- Correction of typographical or grammatical errors
- Changes to contact information or training updates of the PI or study personnel
- Addition or deletion of study personnel
- Decrease in the number of animals used
- Addition or deletion of animal usage location
- Changing the title of a protocol