IACUC POLICIES, PROCEDURES, and GUIDELINES

APPROVAL OF VERTEBRATE ANIMAL ACTIVITIES CONTRACTED OR SUBCONTRACTED BY THE UNIVERSITY OF KENTUCKY

120.1 Purpose

Investigators at the University of Kentucky may contract to perform a wide variety of vertebrate animal activities, funded by a number of different sources, at sites outside of the University of Kentucky. Any contract or subcontract that directly involves the use of vertebrate animals at an institution other than the University of Kentucky requires compliance with this policy. The types of vertebrate animal activities can vary from contracted custom antibody production (see IACUC 107 - ANIMAL PROTOCOL REQUIREMENTS FOR THE PRODUCTION OF CUSTOM ANTIBODIES), the creation of genetically modified animals, the production of surgically modified animals, the cryopreservation of embryos, to the performance and conduct of a component of the research project at a contracted or subcontracted institution. Additionally, the various funding agencies and federal regulatory agencies impose differing oversight and documentation requirements on the Institution and the IACUC, further complicating the task of identifying and complying with the various requirements. This policy establishes the requirements for the approval of the use of vertebrate animals at facilities and institutions not under the direct control and oversight of the University of Kentucky.

120.2 Regulatory Requirements

The University of Kentucky has established an Institutional Program for Animal Care and Use under Administrative Regulation AR7:5 that “applies to all research, teaching, and testing activities involving vertebrate animals (animal activities) conducted at University facilities or under University sponsorship, regardless of the species or source of funding.” This administrative regulation requires compliance with the Animal Welfare Act Regulations (AWARs), the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy), the Guide for the Care and Use of Laboratory Animals (ILAR Guide), and the Guide for the Care and Use of Agricultural Animals in Research and Teaching (Ag Guide), as applicable. The administrative regulation also states that “an animal use protocol must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC) prior to initiating any animal activity.

The Public Health Service (NIH Grant Policy Statement Part II Subpart A) states that “Recipient organizations must establish appropriate policies and procedures to ensure the humane care and use of animals, and bear ultimate responsibility for compliance with the PHS Policy in all PHS supported activities. The PHS Policy incorporates the U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training, and requires the recipient to maintain an animal care and use program based on the Guide for the Care and Use of Laboratory Animals.”
That document also states that “All recipient organizations are required to comply, as applicable, with the regulations (9 CFR, Subchapter A) issued by the U.S. Department of Agriculture under the Animal Welfare Act, as amended, 7 U.S.C. 2131 et seq., and other Federal statutes and regulations relating to animals.” Accordingly, the applicant/grantee is responsible for animal activities conducted at contracted and subcontracted sites and must provide verification of IACUC approval of all vertebrate activities to the NIH prior to the agency making an award.

120.3 IACUC Approval Requirements

- **120.3.1** If the protocol requires the production of custom polyclonal or monoclonal antibodies at the contracted or subcontracted institution please refer to [IACUC 107 - ANIMAL PROTOCOL REQUIREMENTS FOR THE PRODUCTION OF CUSTOM ANTIBODIES](#) for specific instructions and guidance regarding submission and approval requirements.

- **120.3.2** If the contracted or subcontracted institution has a PHS assurance then the University of Kentucky IACUC may defer the majority of the protocol review and project oversight to the contracted or subcontracted institution ([http://grants.nih.gov/grants/olaw/references/dc95-3.htm](http://grants.nih.gov/grants/olaw/references/dc95-3.htm)). In doing so, the IACUC retains responsibility to obtain documentation indicating the activity was reviewed and approved by the IACUC of the contracted or subcontracted institution that is a registered facility with the USDA, if applicable, and possesses a valid PHS Assurance. In instances where investigators are using vertebrate animals in their research endeavor and must submit an animal use protocol for IACUC review and approval, this can be easily accomplished in the eSirius3G® protocol system. One of the sections in the eSirius3G® protocol asks the investigator to indicate if they are contracting for off-site contracted vertebrate animal activities and if they respond “yes” requests the necessary additional information for IACUC approval. In instances where the investigator’s research does not require the use of any vertebrate animals at the University of Kentucky in addition to the contracted or subcontracted activities, and a copy of the approval letter from the contracted or subcontracted IACUC can be attached, the abbreviated “IACUC Protocol Application Form: Contracted or Subcontracted Vertebrate Animal Activities” can be used to request IACUC review and approval.

In reviewing an application, the IACUC office shall verify that the contracted or subcontracted institution has a valid PHS assurance and, if applicable, that the agency or firm is registered with the United States Department of Agriculture as a Research Facility. A copy of the contracted agency or firm’s IACUC protocol approval letter and date shall be included in the eSirius3G® protocol file as an attachment.

- **120.3.3** If the contracted or subcontracted institution does not have a PHS assurance then the University of Kentucky IACUC does not have the discretion of
deferring the protocol review and oversight to that institution’s IACUC (http://grants.nih.gov/grants/olaw/references/dc95-3.htm).

o **120.3.3.1** If the proposed research, educational, or testing activity is PHS/NSF supported and the contracted or subcontracted institution is domestic (located within the United States) then:

- The Office of Laboratory Animal Welfare (OLAW) will negotiate an Animal Welfare Assurance with the contracted or subcontracted institution. If the contracted or subcontracted institution was listed as a performance site in the application, the responsible Institute/Center (IC) should request that OLAW negotiate the assurance. Otherwise, the request should come from the grants management personnel in the Office of Sponsored Programs Administration (OSPA).

  - Following confirmation of a PHS assurance at the contracted or subcontracted institution, the University of Kentucky IACUC will defer the review of the protocol activities and oversight of activities occurring at that institution to the institution.

  or

- The University of Kentucky’s PHS assurance must be amended to include the performance site of the contracted or subcontracted institution. A complete animal use protocol must be submitted to the IACUC for review and approval. This option requires IACUC oversight and semiannual inspections of the facility and is generally only available for local institutions.

o **120.3.3.2** If the proposed research, educational, or testing activity is PHS/NSF supported and the contracted or subcontracted institution is foreign then:

- The Office of Laboratory Animal Welfare (OLAW) will negotiate a Foreign Animal Welfare Assurance with the contracted or subcontracted institution. If the contracted or subcontracted institution was listed as a performance site in the application, the responsible Institute/Center (IC) should request that OLAW negotiate the assurance. Otherwise, the request should come from the grants management personnel in the Office of Sponsored Programs Administration (OSPA).

  - Following confirmation of a PHS assurance at the contracted or subcontracted institution, the University of Kentucky
IACUC will defer the review of the protocol activities and oversight of activities occurring at that institution to the institution.

- **120.3.3.3** If the proposed research, educational, or testing activity is not PHS/NSF supported and the contracted institution is not PHS Assured, the University of Kentucky IACUC must review and approve all animal activities occurring at the contracted or subcontracted foreign site.
  - A complete animal use protocol must be submitted to the IACUC for review and approval.
  - The contracted or subcontracted institution must be identified and the specific performance site of the vertebrate animal activities provided.

The contracted or subcontracted institution must confirm that all proposed animal activities have been reviewed and approved by their IACUC (or equivalent), that they will comply with the applicable laws and regulations (including applicable animal care, husbandry, and veterinary care standards) and in the case of foreign institutions that they follow the “International Guiding Principles for Biomedical Research Involving Animals,” as developed by the “Council for International Organizations of Medical Sciences” (CIOMS) or equivalents.

- In approving the proposed animal use at the contracted or subcontracted site, the University of Kentucky IACUC remains responsible for assuring appropriate and humane animal care and use (Ag Guide).
  - The IACUC may require additional information or documentation in fulfilling their responsibility.
  - The IACUC may require on-site inspections, video inspections, additional documentation, etc.

- **120.3.3.4** If the proposed research, educational, or testing activity is not PHS/NSF supported but the contracted institution is PHS Assured, then the University of Kentucky IACUC may defer the majority of the protocol review and project oversight to the contracted or subcontracted institution.
In reviewing an application, the IACUC office shall verify that the contracted or subcontracted institution has a valid PHS assurance and, if applicable, that the agency or firm is registered with the United States Department of Agriculture as a Research Facility. A copy of the contracted agency or firm’s IACUC protocol approval letter and date shall be included in the eSirius3G® protocol file as an attachment.

120.4 Exceptions to this Policy

It is recognized that there may be instances where exceptions to the policies and procedures detailed in this document may be necessary or mandatory for completion of the research, educational, or testing procedures. In these cases, exceptions to the above policies and procedures may be made on a case by case basis, by the chair of the IACUC and the Attending Veterinarian.

Approved and Adopted by the Institutional Animal Care and Use Committee
August 18, 2010
Administratively updated September 16, 2013

Approved and Adopted by the Institutional Animal Care and Use Committee
January 15, 2014

Approved and Adopted by the Institutional Animal Care and Use Committee
March 14, 2018
The animal activity site is added to the UK PHS Assurance

<table>
<thead>
<tr>
<th>Color</th>
<th>Action</th>
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<tbody>
<tr>
<td>Blue-Investigator</td>
<td>Investigator submits a Complete Animal Use Protocol to the UK IACUC**</td>
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<tr>
<td>Yellow-IACUC</td>
<td>OLAW negotiates an Animal Welfare Assurance (Domestic/Foreign*) with the Institution</td>
</tr>
<tr>
<td>Red-Institution</td>
<td>The animal activity site is added to the UK PHS Assurance</td>
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Colors are used to indicate the actions of various groups and organizations in the process:

- Blue-Investigator
- Yellow-IACUC
- Red-Institution

*The IACUC will verify that the institution complies with the International Guiding Principles for Biomedical Research Involving Animals and that the institution’s IACUC equivalent has reviewed and approved the activities.

** In instances where PHS funding supports work at UK AND the contracted/subcontracted institution, the corresponding UK protocol may be amended to include the subcontract/sub-award.
IACUC Protocol Application Form: Contracted or Subcontracted Vertebrate Animal Activities

Please complete this form if these conditions apply:

1) Your research requires contracting or subcontracting an outside PHS assured institution.
2) Additional vertebrate animal work is not being conducted at the University of Kentucky.

Please type in your answers!

Protocol Title:

Principal Investigator:  First Name               Middle Initial               Last Name

Campus Address:

Speed Sort:

Email:

Phone:

Funding Source/Agency:

Fund Title:

Sponsor Grant Number.

PI on Grant (If different than PI on Protocol):  First Name               Middle Initial               Last Name

Synopsis:  Explain in layman’s terms, how this research relates to human and/or animal medical, physical, physiological or psychological diseases or problems.  (Very brief)

Assurance # (State the PHS Assurance Number(s) of the facility/institution being contracted/subcontracted

Please attach a copy of the outside contracted/subcontracted institution’s IACUC approved protocol

The OAV-IACUC Office will contact each source referenced above to obtain verification of their PHS Assurance Number and registration with the USDA (if covered species are used), a copy of their IACUC’s approval letter to conduct the protocol activities, and possibly a copy of their entire IACUC protocol. Additional information may be required for IACUC.

Please print out this form, date, and sign below.

Date:

By signing here, ______________________________ I certify that I am the Principal Investigator of this IACUC protocol; that I am verifying that all information in the protocol is correct and accurate to the best of my knowledge.
Please send or fax this document to the OAVIACUC Office:

Jennifer Brow  
422A Bowman Hall  
Campus, 40506-0059  
Phone: 859-257-2934  
FAX: 859 323-0244

OR  
Rebecca Florence  
422B Bowman Hall  
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