

## **Institutional Animal Care and Use Committee Procedures**

**Approved by the resolution of the Research Council of  
the autonomous organization of education "Nazarbayev University"  
Minutes #6 of May 22, 2012**



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## 1.0 Authority and Contact Information

### 1.1 Authority

Nazarbayev University has established an Institutional Animal Care and Use Committee (IACUC). The committee is qualified through the experience and expertise of its members to ensure compliance and accountability of the Animal Care and Use program at NU with the standards of AAALAC International. The IACUC is responsible for overseeing all institutional animal use related to research and educational activities including research and medical Centres and externally directed educational programs.

All members of the IACUC are appointed by the approval of NU's Research Council.

### 1.2 Contact Information

The IACUC Contacts list indicates persons who should be contacted for information on issues pertaining to the IACUC.

The function of the IACUC office is to receive information on the use of animals at the institution and facilitate the review of this information by the IACUC, thereby verifying compliance with applicable animal welfare regulations.

In addition, the IACUC office staff are a resource to the faculty seeking advice on regulatory and animal welfare issues. They are available to assist investigators in maintaining compliance with governmental regulations, granting agency requirements, and institutional animal welfare policies.

### 1.3 General Responsibilities

As an agent of Nazarbayev University, the IACUC is required to:

- Review concerns involving the care and use of animals at the institution
- Review and approve, require modifications to secure approval, or withhold approval of:
  - Activities related to the care and use of animals. The activity must be directed by a Principal Investigator who is a member of the full (or research certified voluntary) faculty of NU.
  - Activities utilizing animals for educational purposes for NU students.
  - Proposed significant changes regarding the use of animals in ongoing activities
- Make recommendations to the Institutional Official regarding any aspect of the animal program, facilities or personnel training
- Require modifications to approved protocols as needed. All IACUC members agree in advance, in writing, that the quorum of members present at a convened meeting may decide by a vote of the majority of the quorum to use a Designated Member Review subsequent to Full Committee Review (FCR) when modification is needed to secure approval. However, any member of the IACUC may, at any time, request to see the revised protocol and/or request FCR of the protocol.
- Ensure that all personnel involved with animal care, treatment or use are provided with training on:
  - Humane animal care and teaching or testing methods that replace, reduce, or refine the use of animals or animal distress
  - Related Occupational/Environmental Health and Safety programs
- Ensure that all personnel involved with animal care, treatment or use are listed on an approved protocol

- Be authorized to suspend an activity involving animals and take corrective actions. If the IACUC suspends an activity involving animals, the Institutional Official, in consultation with the IACUC and the Research Office:
  - Reviews the reasons for suspension
  - May take additional corrective actions
  - Reports that action to the appropriate governmental agencies and relevant funding agencies

## 2.0 Membership

### 2.1 Appointing Members

The NU Research Council appoints the Chair to the IACUC upon recommendation by the Institutional Official. Recommendations for membership are provided by the IACUC Chair to the Institutional Official.

### 2.2 Committee Consistency

In accordance with AAALAC International, the committee must consist of no less than five members and shall include at least:

- One Doctor of Veterinary Medicine (or equivalent), with training or experience in laboratory animal science and medicine, who has direct or delegated program authority and responsibility for activities involving animals at the institution
- One practicing scientist experienced in research involving animals
- One member whose primary concerns are in a nonscientific area (ethicist, lawyer, member of the clergy); and
- One individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution
- No more than three members shall be from the same administrative unit of the facility. Administrative unit is defined as a department, section of a department, or an academic/research center.

### 2.3 Experience

NU's IACUC members must:

- Have sufficient expertise to review the broad range of research in which NU commonly becomes involved
- Be knowledgeable about all relevant regulatory requirements
- Remain impartial and objective in their reviews

### 2.4 Categories

There are two categories of IACUC members, regular voting members and alternates.

- Alternates are appointed in the same manner as members and receive the same training as voting members
- There must be a specific one-to-one departmental designation of IACUC members and alternates
- IACUC members and their alternates may not contribute to a quorum at the same time or act in an official IACUC-member capacity at the same time (i.e., an Alternate

may only contribute to a quorum and function as an IACUC member if the Voting member for whom they serve as alternate is unavailable).

- Alternate members are, however, encouraged to attend IACUC meetings and participate in all other IACUC activities (e.g., review of protocols and/or amendments, discussion of protocols, and serve on subcommittees for inspections and investigations of non-compliance) provided a conflict in voting responsibilities does not occur between Alternate and Voting members.

## 2.5 Terms of Office

Each appointed member of the IACUC serves a regular term of ONE Year. At the expiration of an IACUC member's term of office, the IACUC Chair recommends re-appointment of the member to the Institutional Official.

As with new members, the Research Council re-appoints members of the IACUC. Members of the IACUC have the option of not serving their full term (i.e., resigning). Such vacancies are filled according to procedures outlined above for new and re-appointed members.

## 2.6 Meetings Frequency

The IACUC meets monthly unless precluded by a holiday. Special meetings may be called with short notice at the discretion of the IACUC Chair or the Institutional Official.

## 2.7 Records Responsibility

The IACUC through the IACUC Office is responsible for maintaining these records:

- International Assurances
- Minutes of IACUC meetings
- Records of IACUC activities and deliberations
- Minority IACUC views
- Documentation of protocols reviewed by the IACUC and proposed significant changes to protocols
- IACUC semiannual program evaluations and facility inspections, including deficiencies identified and plans for correction
- Annual laboratory evaluations including deficiencies identified and plans for correction
- Accrediting bodies and determinations

## **3.0 IACUC Protocol Review Procedures**

### 3.1 Protocol Submissions

The IACUC Chair or designee reviews research protocols for Full Committee Review Criteria or Designated Member Review Criteria.

Submissions for review containing the following elements will be assigned for full committee review:

- Major survival surgery
- Death as an endpoint
- Unrelieved pain and distress
- Non-rodent mammals

Submissions not meeting the above criteria, and if full committee is not requested by an IACUC member will be reviewed by a designated member(s). See, Designated Member Review in this section.

### 3.2 Approval Criteria Confirmation

The IACUC must confirm that the protocol:

- Is consistent with the Guide unless a scientific justification for a departure is presented and is acceptable to the IACUC
- Conforms with the institution's applicable Assurances
- Will be conducted in accordance with the AAALAC animal welfare regulations if applicable

### 3.3 Grant and Contract Review

NU Principal Investigators are responsible to ensure that components of a grant application/contract proposal involving animals are consistent with the IACUC approved protocol.

The following elements must be congruent between the grant or contract proposal and animal protocol:

- What species will be used
- Approximate number of animals to be used
- Rationale for involving animals
- Rationale for appropriateness of the species and numbers to be used
- The description of the proposed use of the animals
- Description of:
  - Procedures designed to assure that discomfort and injury to animals is limited to that which is unavoidable
  - Analgesic, anesthetic and tranquilizing drugs that will be used and where indicated
  - Any euthanasia method to be used

The Principal Investigator attests in the annual report that any changes to any grant or contract with animal use and care components are reflected in the approved animal protocol.

### 3.4 Timetable for Protocol Submission

To allow for sufficient time for protocol review and verification of approval:

- Investigators should submit protocols to the IACUC as soon as possible after the funding agency's proposal submission deadline. Funding agencies will not make the award if verification of IACUC approval is not received prior to the award.
- All new protocols should be submitted at least 75 days before the use of animals is scheduled to begin. (This lead time is required because the IACUC meets only once per month, and protocols may require revision before they are approved.)

## 4.0 Internal Review Program

### 4.1 Periodic Monitoring

The IACUC has approved the following mechanisms to provide periodic monitoring for compliance with IACUC policy and the animal care program as follows:

- Visits to animal use areas and animal holding areas for inspection and discussion with investigators/staff and facility managers. Audit of procedures and methods used by investigators/staff and managers for approved protocols and programs will be performed during these inspections.
- Instruction of investigators and staff in reporting mechanisms and responsibilities regarding concerns for animal welfare and non-compliance
- Review and documentation of education
- Training certification through the Research Office with education of all those who handle or use animals
- The IACUC may request investigators to meet with the committee to discuss the review of their protocols
- Periodic reminders of policy and updates in requirements
- Ongoing development of standard operating procedures for animal handling and use
- Post approval monitoring

#### 4.2 Semiannual Program review

AAALAC regulations include a requirement that semiannually the IACUC conduct an evaluation of the animal care and use program.

- Program evaluation deals principally with administrative aspects of the animal care and use program
- Ongoing review of established practices allows the opportunity for the IACUC to detect a gradual change in practices from written procedures, thereby allowing modification of one or the other as appropriate
- The IACUC will review and approve a draft report prepared by an IACUC subcommittee from the program review documents
- The review should also include assurance that specific procedural components of the facilities inspections have been consistently performed and documented:
  - Deficiencies are categorized as minor or significant
  - Copies of the draft report are sent to the managers responsible for the areas cited
  - Timetables and corrective action plans are requested for all deficiencies

### **5.0 Education of New IACUC Members**

#### 5.1 Education Elements

New IACUC members are educated on the following:

- Brief online introduction with access to additional information along with a method of documenting the completion
- Mentor program with IACUC member (2 months) during this time the new member will participate in protocol review with mentor and attend meetings but not required to submit feedback
- Informational session with Institutional Vet and IACUC member
- Added enrichment program for lay members
- Internal Orientation

#### 5.2 Content of Training

The content of the training is as follows:

- Committee
  - Regulatory requirements
  - Ethical considerations
  - Authority of the IACUC
  - IACUC responsibilities
  - Member responsibilities
  - Criteria for membership
  - Meetings
- Program Roles and Responsibilities
  - IACUC office
  - Center for Comparative Medicine Animal Care Program
  - Veterinarian
  - Institutional Official
- Processing Protocols and Amendments
  - New protocols
  - Amendments
  - Timetable for Protocol Submission
  - IACUC review
- Monitoring of Approved Protocols
  - Annual review for non-rodent, mammalian species
  - Triennial Review
  - Annual Report
- Monitoring of Animal Care Program
  - Semiannual program review
  - Semiannual facility inspection
  - Receiving and handling animal welfare concerns
- Reference Materials for new members
  - IACUC Handbook. CRC Press. 2000
  - Public Health Service Policy on Humane Care and Use of Laboratory Animals. NIH. Reprinted 2000
  - Animal Welfare Act
  - Guide for the Care and Use of Laboratory Animals. NRC, 1996
  - ARENA/OLAW Institutional Animal Care and Use Committee Guidebook. 2002
  - Nazarbayev University IACUC Policy and Procedures Manual

### 5.3 Continuing Education Elements

Elements of continuing education for IACUC members:

- Distribute educational emails as needed
- Post educational notices and information on IACUC Website
- Updates at monthly IACUC meeting as needed
- AAALAS Learning Library tracks

### 5.4 Education of Faculty and Research Staff

NU offers animal care and use training in the following areas:

- Humane methods of animal maintenance and experimentation, including:
  - The basic needs of each species of animal



- Proper handling and care for the various species of animals used by the facility
- Proper pre-procedural and post-procedural care of animals, and
- Aseptic surgical methods and procedures
- The concept, availability, and use of research or testing methods that limit the use of animals or minimize animal distress
- Proper use of anesthetics, analgesics, and tranquilizers for any species of animals used in his/her research
- Methods for reporting an animal welfare concerns
- Utilization of services available to provide information:
  - On appropriate methods of animal care and use
  - On alternatives to the use of live animals in research
  - That could prevent unintended and unnecessary duplication of research involving animals
  - Regarding the intent and requirements of AAALAC International

The Principal Investigator (PI) is responsible for training or arranging for the training of all employees (including the PI) and students who are directly involved in experiments using animals before the personnel begin experiments using animals.

- The training must consist of at least the areas as described under Education for the Faculty and Research Staff
- Additional hands-on training and instruction in special techniques may be requested by the principal investigator and will be provided by the professional staff of the Center of Comparative Medicine/Research Office
- The PI certifies during the initial protocol review that all personnel will be appropriately trained before experiments begin

The PI must review at least once every three years the qualifications of personnel who are directly involved in experiments using animals and certify that all personnel are appropriately trained before experiments using animals can continue.