Institutional Animal Care and Use Committee (IACUC)

Policy on Holding of Animals not covered by active Animal Care and Use Protocols

Date of IACUC Review and Approval: May 2, 2014
Last Updated: August 11, 2017

I. Background

All vertebrate animals used in teaching and research at Brown University must be covered by an active, approved IACUC protocol. The IACUC cannot permit activities such as breeding, training demonstrations, experimental manipulations, or euthanasia to be performed with vertebrate animals that do not come under an IACUC approved protocol; this is required by the Public Health Service Policy on the Humane Care and Use of Laboratory Animals (PHS Policy) and the USDA Animal Welfare Regulations. Violations are reportable by the Institutional Official to the Office of Laboratory Animal Welfare at NIH.

Circumstances can arise in which animals held for a study are no longer covered by an IACUC approved protocol. This IACUC policy establishes a mechanism for holding animals not assigned to a current Brown University protocol. Animals housed under this policy are completely off limits to Principal Investigators (PIs) and their laboratory personnel. No experimental or teaching procedures are permitted. Such procedures include, but are not limited to: data collection, sample collection, surgery, administering substances, training/performance of tasks, etc. The IACUC will consider requests made in writing to maintain the experimental viability of the animals. Any animal housing related charges will continue to be the responsibility of the Principal Investigator but may not be charged to an award funded by an external sponsor.¹

II. Responsibilities:

Researcher: Will work with the IACUC to ensure that there is IACUC approval for any anticipated or ongoing animal use including breeding.

¹Animal charges to an award may be allowed if not prohibited by the external sponsor. Written confirmation from the sponsor that such charges are permissible will be required.
**IACUC/ORI:** Will maintain a mechanism for rapid transfer of animals to this policy in cases where it is necessary to protect the well-being or welfare of animals, or to prevent the wastage of animals. The Office of Research Integrity (ORI) will notify the Animal Care office, in writing, that the transfer has been approved. ORI will report to the IACUC at its next scheduled meeting any transfers that have occurred in accordance with this Policy.

**Director, Animal Care (or designee):** Will receive and oversee the care and use of animals covered under this Policy that would otherwise be euthanized for lack of an existing approved protocol. The IACUC provides approval under this policy to provide for the health and well-being of the animals. Examples might include: ongoing post-operative care, chronic catheter maintenance, administration of insulin, etc. that may be performed by the Animal Care staff under the supervision of the Director. Medical treatments and/or euthanasia will be provided at the discretion of the Director or designee.

### III. Participation:

Use of this Holding Policy is intended to be temporary. Situations which might be covered under this protocol include:

- Animals ordered without an approved protocol. The Animal Care office, which is responsible for ordering all animals, will usually require IACUC approval prior to placing the order. However, the Director of Animal Care (or designee), with the knowledge of the IACUC Chair and the Director of Research Integrity, may approve the order under extenuating circumstances during the protocol review process, provided the investigator requests it and has internal funding to cover the purchase and associated costs prior to protocol approval. It is understood that the investigator may not use the animal(s) for any purpose until his/her protocol is approved.
- Animals originating from inactive (or terminated) protocols.
- Animals on a protocol under investigation for potential issues of noncompliance where the welfare or well-being of the animals is in question and after IACUC suspension of activity.
- New investigators without an approved Brown protocol having animals that may require immediate housing at Brown.
- Investigators that are leaving Brown and do not have the necessary approvals for animal transfer to their new institution. It is recommended that investigators maintain an active protocol to cover costs and charge the grant until the transfer of animals is complete.

### IV. Procedure:

The Animal Care Holding Policy is activated by completing the *Animal Care Holding Policy Request* form (“Request form”). The following steps are required:

1) Complete the Request form. The PI or his/her department chairperson will be required to identify an internal account which may be charged for the costs associated...
with the animals’ care. Animal charges will be prohibited on any federal awards. If there is an external non-federal award to which the investigator wishes to allocate charges, written confirmation from the sponsor and/or OSP that this is allowable will be required.

2) The PI or his/her designee submits the Request form to Animal Care.

3) Approval: The Director of Animal Care and the Director of Research Integrity, with notice to the IACUC Chair, can authorize the transfer of animals from an active protocol to the holding policy. All actions will be reported to the IACUC at the next regularly scheduled meeting.

4) Notification: The Animal Research Protection Program (ARPP) will notify Animal Care and the investigator in writing that the use of this policy has been approved. When applicable, Animal Care will verify that the transfer has been completed and that no animals are being housed under the expired protocol.

5) Transfer of the animals included in the Request form: Animal Care will be responsible for identifying the animals; this can be done at the cage level, on the animal room door, or both.

6) Effective on the day following the transfer, where applicable, all animal charges must be moved to an account not associated with any external funding source².

7) Reinstating the animals to an appropriate approved protocol when available: Disposition of the animals remaining under the holding policy at the end of sixty (60) days will be at the discretion of the Attending Veterinarian. It is the responsibility of the PI to submit a compelling justification in writing for the IACUC’s consideration if there is a request to extend beyond 60 days.

8) All correspondence related to the procedures above is retained by the ARPP.

Animal Care Details:
Animal Care must be notified of any significant research or health related conditions prior to the transfer of animals to the holding policy. Examples of important information include, but are not limited to:

- Existing surgical implants
- Biological, Chemical or Radiation hazards
- Zoonotic disease
- Special dietary needs
- Past surgical history
- Viral vectors
- Poor fecundity

Management of Animals: (limits to permitted activities)

- Breeding may be performed to maintain viability of specific, noncommercially obtainable animals under this policy. Such activity must be approved by the Chair of the IACUC or the Director of Animal Care or the Director of Research Integrity. Expansion colony breeding is not authorized.
- Feeding and sanitation will be performed as appropriate for the species.

² Animal charges will be prohibited on any federal awards. If there is an external non-federal award to which the investigator wishes to allocate charges, written confirmation from the sponsor and/or OSP that this is allowable will be required.
• Standard institutional environmental enrichment will be provided to all animals under this policy.
• Veterinary care will be provided in accordance with currently accepted standards. In the event that euthanasia is necessary, it will conducted in accordance with the AVMA Guidelines for Euthanasia of Animals: 2013 Edition.

V. Charges:
Per diem charges for animals will be charged to the PI (or Department) while animals are covered by this policy. Animal charges will be prohibited on any federal awards. If there is an external non-federal award to which the investigator wishes to allocate charges, written confirmation from the sponsor and/or OSP that this is allowable will be required. It is the responsibility of the PI to ensure that animal charges are allocated to an appropriate account for the duration of the animals’ time on the holding policy.