PURPOSE

1.01 The purpose of this policy is to formalize Oklahoma State University’s (hereinafter referred to as OSU or the University) obligation to adhere to laws, regulations, and statutes pertaining to the care and use of live, non-human vertebrate animals involved in research, research training, teaching, and testing activities. The University recognizes the significance of using animals to fulfill its teaching, research, and service missions and acknowledges the accompanying ethical obligation to advance knowledge for the benefit of society. As such, the University accepts responsibility for the humane care and use of live, non-human vertebrate animals in all activities at OSU. Toward this effort, the university has established Institutional Animal Care and Use Committees (IACUCs), which are mandated by the Animal Welfare Act (AWA) of 1966 and the Health Research Extension Act (HREA) of 1985. OSU IACUCs serve as self-regulating, institutional bodies that are charged with federally mandated oversight responsibilities for the proper care, use, and humane treatment of live, non-human vertebrate animals.

1.02 This policy is established to:

A. Ensure compliance with applicable federal laws and regulations, state statutes, and local laws and requirements,

B. Ensure compliance with applicable University policies and funding agency requirements, and

C. Ensure ethical care and humane use of live, non-human vertebrate animals at OSU.

FEDERAL LAWS AND REGULATIONS

2.01 The Animal Welfare Act (AWA) of 1966 (Public Law 89-544), including implementing regulations and subsequent amendments, established minimal standards for the care, use, and transportation of animals, as defined in the AWA. The standards were originally promulgated, and are periodically revised, by officials of the United States Department of Agriculture (USDA). Certain OSU campuses are subject to AWA regulations and are required to register facilities with the USDA for activities involving animals, as defined in the AWA. In accordance with the AWA, these campuses are required to operate an animal care and use program that includes a duly constituted IACUC. AWA regulations cover OSU campuses that use live animals in research, research training, teaching, and experiments (e.g., testing) and receive federal funds via grants, contracts, or other awards for the expressed purpose of conducting research or experiments using animals, or purchasing or transporting them in commerce. OSU
2.01 Public Health Service Policy on Humane Care and Use of Laboratory Animals implements the Health Research Extension Act of 1985 (Public Law 99-158). In order to receive funding from a Public Health Service (PHS) agency, an institution must file an Animal Welfare Assurance with the National Institutes of Health (NIH) Office of Laboratory Animal Welfare (OLAW), which is responsible for monitoring compliance with the PHS policy. No PHS support for an activity involving a live, vertebrate animal will be provided to an individual unless that individual is affiliated with or sponsored by an institution that assumes responsibility for compliance with the PHS Policy on Humane Care and Use of Laboratory Animals (PHS policy). OSU campuses that receive funding, including grants, contracts, or cooperative agreements, from the PHS for activities involving live, vertebrate animals must abide by the PHS policy and have an Animal Welfare Assurance on file with the PHS if they engage in research, research training, teaching, or testing activities involving live, vertebrate animals. OSU campuses receiving funding from PHS entities are required to follow the most recent edition of the *Guide for the Care and Use of Laboratory Animals* (the *Guide*). In accord with federal law, the Chief Executive Officer (CEO) of an institution possessing an Animal Welfare Assurance, serving as the Institutional Official (IO), is responsible for 1) administrative oversight of the animal care and use program and 2) appointing members of an IACUC. The law gives the CEO the option to delegate this authority in writing.

**STATEMENT OF PRINCIPLES**

3.01 OSU is committed to the highest standards of animal care and use.

3.02 The use of *animals*, as defined in Section 4.01 of this policy, by OSU scientists and educators places moral, legal, and ethical responsibilities on the University. Individual faculty members and other employees, as well as students, are obligated to use animals with sensitivity (i.e., avoiding all unnecessary pain, unnecessary distress, or inappropriate use) and comply fully with all Federal laws and regulations, State statutes, and University policies pertaining to the care and use of animals.

3.03 All OSU animal programs and facilities will be maintained and operated in accordance with applicable federal, state, and local laws, regulations, and statutes.


**DEFINITIONS**

4.01 *Animals*: Any living, non-human, vertebrate animal (i.e., amphibians, birds, fish, mammals, and reptiles) used or intended for use in research, research training, teaching, and testing, except for:
• animals presented as patients at the Center for Veterinary Health Sciences’ Boren Veterinary Medical Teaching Hospital not otherwise subject to those activities falling within IACUC purview;
• the Oklahoma State University-Oklahoma City Veterinary Technology Program not otherwise subject to provisions of the Animal Welfare Act; and
• animals submitted for diagnosis to the Oklahoma Animal Disease Diagnostic Laboratory (OADDL) not otherwise subject to provisions of the Animal Welfare Act.

4.02 Animal Welfare Assurance (Assurance): The principal document between an OSU campus and the Public Health Service’s Office of Laboratory Animal Welfare (OLAW) defining the relationship between the entities in terms of the campus’ animal care and use program. The respective campus IO signs the Assurance, which commits the campus to adherence to the PHS policy. An Assurance may be renewed every four years.

4.03 Attending Veterinarian (AV): An appropriately trained and qualified individual who is delegated the authority and responsibility to oversee the adequacy of veterinary care and other facets of the campus’ animal care and use program, in order to ensure proper care and treatment of animals and that the program meets germane standards. Each AV must be appointed to serve as a voting member of his/her respective campus IACUC.

4.04 Institutional Animal Care and Use Committee (IACUC): Committee that is responsible for overseeing campus animal care and use programs, monitoring the care, use, and treatment of animals used in research and instructional activities, and in ensuring compliance with applicable Federal laws and regulations, State statutes, and University policies pertaining to the care and use of animals.

4.05 Institutional Officials (IO): At OSU campuses with an IACUC, this is the individual at the institution who is authorized to legally commit the campus to the requirements of the Animal Welfare Act and/or the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS policy). Each OSU IACUC reports to its campus IO.

APPLICABILITY AND SCOPE

5.01 This policy applies to all OSU campuses. However, agricultural animals that are used exclusively for agricultural purposes are exempt from this policy in accordance with §2132 of the Animal Welfare Act. Regulations for administering the Hatch Act of 1887 require IACUC approval of animal use in agricultural research.

5.02 This policy shall be reviewed and modified as needed at least once every four (4) years.

5.03 OSU IACUCs shall not allow any IACUC member to participate in the initial or continuing review of any project in which the member has a conflicting interest, except to provide information requested by the respective IACUC. For information on financial conflict of interest, see the university’s Conflict of Interest Policy.
5.04 Each IACUC is responsible for reporting to the appropriate IO any noncompliance with the requirements and determinations of the IACUC. IOs are responsible for reporting to appropriate federal entities any serious or continuing noncompliance with federal regulations governing activities involving animals, any serious deviation from the provisions of the Guide, and the suspension of an activity by the IACUC.

5.06 This policy supersedes all previous OSU policy statements pertaining to animal care and use.

5.07 IACUC Authority

A. OSU IACUCs are authorized to establish policies and procedures designed to foster compliance with applicable regulations, standards, and guidelines pertaining to the care and use of live, vertebrate animals in research, research training, teaching, and testing activities.

B. Each IACUC reports to the respective OSU campus IO, who is responsible for providing sufficient resources to ensure compliance with regulations and policies germane to activities involving animals. Therefore, on behalf of the respective OSU campus, the IO will ensure that the IACUC has meeting space and sufficient staff to support the IACUC’s mandate; including program review, protocol review, and recordkeeping duties.

C. On a semiannual basis, each campus IACUC shall provide a report on the animal care and use program and animal facilities to its IO. Reports shall include information on the status of campus compliance with applicable regulations; plans for addressing identified deficiencies; and recommendations regarding the campus’ animal care and use program, animal facilities, and personnel training.

5.08 Federally Mandated Functions of the IACUC

A. Review, at least once every six months, the campus’ program for humane care and use of animals using the Guide for the Care and Use of Laboratory Animals, and when appropriate the Guide for the Care and Use of Agricultural Animals in Research and Teaching and updated versions of the animal standards referenced in Appendix A of the Guide.

B. Inspect, at least once every six months, all of the campus’ animal facilities using the Guide for the Care and Use of Laboratory Animals, and when appropriate the Guide for the Care and Use of Agricultural Animals in Research and Teaching and updated versions of the animal standards referenced in Appendix A of the Guide. Inspections may be performed without advance notice to a facility director/manager.

C. Prepare reports of IACUC evaluations and submit reports to the IO.

D. Review concerns involving the care and use of animals at the campus.
E. Make written recommendations to the IO regarding any aspect of the campus’ animal program, facilities, or personnel training.

F. Review and approve, require modifications in order to secure approval, or withhold approval of those components of proposed activities related to the care and use of animals, with subsequent review conducted as required per germane regulations (i.e., once per year (USDA) or once every three years (PHS)).

G. Review and approve, require modifications in order to secure approval, or withhold approval of proposed significant changes regarding the care and use of animals in ongoing activities.

H. Conduct continuing review of each previously approved, ongoing activity at appropriate intervals in accordance with pertinent regulations.

I. Suspend an activity involving animals if it determines that the activity is not being conducted in accordance with the description provided by the investigator or instructor, as approved by the IACUC, and/or in compliance with pertinent regulations or guidelines (e.g., specifications in IV.C.6 of PHS policy, the AWA regulations, the Guide for the Care and Use of Laboratory Animals (the Guide), the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching, updated versions of the animal standards referenced in Appendix A of the Guide, and the campus’ Animal Welfare Assurance). This action may be taken only after review of the matter at a convened meeting of a quorum of the IACUC and a vote for suspension by the majority of the quorum present. The IO, in consultation with the IACUC, shall review the reasons for the suspension, take appropriate corrective action, and report that action with a full explanation to the Office of Laboratory Animal Welfare (OLAW) or the Animal and Plant Health Inspection Service (APHIS), and any agency or sponsor funding that activity. Activities covered by this policy that have been approved by an OSU IACUC may be subject to additional review and approval or disapproval by officials of the University (e.g., President/CEO, Vice President for Research, College Deans, Department Heads), as nothing in federal regulations prohibits an Institutional Official (IO), or another authorized official, from unilaterally terminating, suspending, or imposing sanctions on an activity involving live, vertebrate animals that was previously approved by an IACUC. Nonetheless, an IO or other campus officials and committees may not approve animal activities or reinstate animal activities that were suspended by an IACUC. Additionally, the institution, its officials, or other institutional committees may not override a decision by the respective OSU IACUC to disapprove an Animal Care and Use Protocol (ACUP).

J. Evaluate campus compliance with the PHS policy, the AWA regulations, and University policies.

K. Report any serious or continuing noncompliance, any serious deviations from provisions of the Guide, and any suspension of an IACUC approved activity to the OLAW via the IO.
5.09 Animal Care and Use Protocol Review

A. Any use of animals as defined in Section 4.01 shall be approved by the respective campus IACUC in advance of actual use. Consequently, a protocol for the proposed activity must be submitted to the IACUC for review and approval prior to initiating the activity with animals.

B. The IACUC may take any of the following actions:

1. Review and approve an ACUP as submitted.

2. Require modifications to the ACUP to secure approval.
   a. Withhold approval of an ACUP pending correction of minor revisions.
   b. Withhold approval and table an ACUP for substantial revisions.
   c. Request additional information.

3. Withhold approval of an ACUP.

C. Evaluations of protocols by the respective campus IACUC shall be guided by the AWA as amended; the PHS policy on Humane Care and Use of Laboratory Animals; the Guide for the Care and Use of Laboratory Animals; and when appropriate the Guide for the Care and Use of Agricultural Animals in Research and Teaching (the Ag Guide) and updated versions of the animal standards referenced in Appendix A of the Guide; as well as current scientific knowledge and community standards.

5.10 Preparation of Reports

A. Collation of animal welfare data required for regulatory and granting agency reports shall be the responsibility of the respective campus Attending Veterinarian.

B. Information required for preparation of animal welfare reports shall be furnished to the respective campus Attending Veterinarian by those using animals, without unnecessary delay, and shall ordinarily be submitted within 14 days of receipt of a request for the information.

PROCEDURES

6.01 Organization - Animal Program

A. Stillwater Campus (OSU-Stillwater)
1. At OSU-Stillwater, all activities involving the use of live, vertebrate animals used or intended for use in research, research training, teaching, or testing are subject to IACUC oversight. Consequently, all research, research training, teaching, and testing activities involving live, vertebrate animals must be approved by the IACUC prior to initiating the activity.

2. The centralized animal program is comprised of a Center for Veterinary Health Sciences (CVHS) component and a general University component. A director with the title Director of Animal Resources (DAR) shall be responsible for operation of the centralized animal programs. An Attending Veterinarian (AV) shall monitor compliance of all campus animal units used in research, research training, teaching, and testing activities with applicable rules, regulations, and policies. Evidence of noncompliance shall be reported to the IACUC and the Institutional Official (IO), or his/her designee when the IO is unavailable, in accordance with applicable reporting requirements. Other action, as deemed appropriate, shall be taken to correct deficiencies. The AV shall provide or assist in arranging consultation, guidance, technical assistance, veterinary medical care, and diagnostic service as required in the care and use of live, vertebrate animals. The DAR, who may also serve as the AV, reports to the Dean of the CVHS on matters pertaining to CVHS facilities and to the Vice President for Research (VPR) on matters pertaining to general University facilities. The Office of the VPR, the Office of University Research Compliance, and Animal Resources are the administrative units responsible for providing support services to the IACUC, including coordinating IACUC business and administering the veterinary care program.

Multiple types of animal programs exist on the Stillwater campus. Two types are 1) the administratively centralized animal resources program and 2) programs not under direct control of the DAR. The latter type programs may be established as Non-Centralized Units (NCU). The establishment and/or continuation of a NCU requires periodic approval of the IO, with input from the IACUC and the AV. Operation of all animal programs shall be consistent with the Guide, and when appropriate shall be consistent with the Guide for the Care and Use of Agricultural Animals in Research and Teaching (the Ag Guide), and/or with nontraditional animal standards as referenced in the Guide in Appendix A, including updated versions of those referenced standards.

Animal housing outside approved facilities - the housing of animals in spaces other than centralized animal facilities or an approved NCU for periods of greater than 12 hours - shall require advance approval by the IACUC.

3. The University President/Chief Executive Officer (CEO) has delegated authority for administrative oversight of the IACUC to the Vice President for Research (VPR). This authority grants the VPR responsibility for the general administration and coordination of the campus animal care and use program as the Institutional Official (IO). The IO shall appoint an IACUC that is duly constituted in accordance
with applicable federal laws and regulations and is responsible for ongoing oversight of the animal care and use program. The IACUC shall be comprised of representatives of user groups, a practicing scientist experienced in research involving animals, a faculty member from a non-biological science area, a member drawn from the Stillwater community who is not otherwise affiliated with OSU, and the Attending Veterinarian. The IO will designate the IACUC chairperson, who must be a member of the faculty.

4. All protocols involving the use of live, vertebrate animals that also involve the use of biohazardous material, as defined by the Institutional Biosafety Policy, are subject to additional review by the Institutional Biosafety Committee (IBC). The IBC must approve the use of the biohazardous material before the IACUC will approve the animal care and use protocol (ACUP). Consequently, IACUC approval of a protocol involving the use of live, vertebrate animals and biohazardous material is contingent upon IBC approval.

5. All protocols involving the use of live, vertebrate animals that also involve the use of radioactive material and/or X-ray devices are subject to additional review by the Radiation Safety Committee (RSC) before the IACUC will approve the ACUP. Consequently, IACUC approval of a protocol involving the use of live, vertebrate animals and radioactive material and/or X-ray devices is contingent upon RSC approval.

6. Research, research training, teaching, and testing activities involving live, vertebrate animals must:
   a. be in compliance with the Animal Welfare Act regulations, the Public Health Service Policy on the Humane Care and Use of Laboratory Animals, the Guide, and when appropriate the Ag Guide and updated versions of the animal standards referenced in Appendix A of the Guide; and
   b. adhere to OSU policies and IACUC policies and procedures.

7. The acquisition of all animals used on an OSU research, research training, teaching, and/or testing protocol shall be coordinated with the University Attending Veterinarian (UAV)/Animal Resources (AR). This coordination shall be prior to placing an order or assigning an animal to a protocol so as to ensure that the planned animal use is in compliance with OSU policy and federal regulations. This coordination may be accomplished by placing an order directly through AR or by providing the UAV/AR with information about the order. The number of feral animals that are trapped/captured per year shall also be reported to the UAV/AR at least once a year.

B. Oklahoma City Campus (OSU-OKC)
1. The OSU-OKC campus’ Veterinary Technology (VT) program director, with the title of Veterinary Technology Department Head, shall be responsible for operation of the VT animal programs. A VT faculty member shall serve as Attending Veterinarian (AV) and shall monitor compliance of all VT animal units used in research, training, testing and teaching with applicable rules, regulations and policies. Evidence of noncompliance shall be reported to the OSU-OKC VT IACUC and Institutional Official (IO), or his/her designee when he/she is not available, in accordance with applicable reporting requirements. The OSU-OKC President is the campus’ Institutional Official (IO). Other action, as deemed appropriate, shall be taken to correct deficiencies. The AV shall in addition provide or assist in arranging for consultation, guidance, technical assistance, veterinary medical care, and diagnostic service, as required in the care and use of animals. The Director of Animal Resources (DAR), who may also serve as the AV, reports to the IO on matters pertaining to the VT animal programs.

2. Operation of all animal programs shall be consistent with the most recent version of USDA/APHIS/Animal Care Code of Federal Regulations (CFR), vol.9, Subchapter A, Parts 1 through 4; otherwise known as “The Animal Welfare Act.”

3. An Institutional Animal Care and Use Committee (IACUC) shall be appointed by the OSU-OKC VT department head, who has been delegated this responsibility by the President of OSU-OKC. The IACUC shall be comprised of the following individuals: A practicing scientist experienced in research involving animals; a member otherwise unaffiliated with OSU-OKC; the OSU-OKC AV, and one other VT faculty or technical staff (registered veterinary technician) member.

C. Center for Health Sciences Campus (OSU-CHS)

1. An Institutional Animal Care and Use Committee (IACUC) shall be appointed by the Institutional Official (IO), in collaboration with the Faculty Affairs Committee. The IACUC shall be comprised of representatives of user groups, a practicing scientist experienced in research involving animals, the Animal Facility Technician, a lay member unaffiliated with Oklahoma State University who is drawn from the Tulsa community, and the University Attending Veterinarian. The IO will serve as an ‘ex officio” member of the committee. The IO will designate the IACUC chairperson, who must be a member of the faculty.

2. OSU-CHS is guided by the U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training and accepts responsibility for the care and use of animals involved in these activities. OSU-CHS has established and maintains a program for activities involving animals in accordance with the Guide for the Care and Use of Laboratory Animals (the Guide). Operation of all animal programs shall be consistent with the most recent version of USDA/APHIS/Animal Care Code of Federal Regulations (CFR), vol.9, Subchapter A, Parts 1 through 4; otherwise known as “The Animal Welfare Act.”
3. The IACUC at OSU-CHS will function in the following capacities and will; 1) Review at least once every six months the institutions’ program for humane care and use of animals, 2) Inspect at least once every six months all of the institutions’ animal facilities (including satellite facilities). Inspections are performed with a quorum of committee members present and entail a walk-thru of the facilities and with notations detailing any deficiencies, 3) Prepare reports of the IACUC evaluations as set forth in the PHS Policy and submit the reports to the IO, 4) Review and approve, require modifications in (to secure approval), or withhold approval of those activities related to the care and use of animals as set forth in the PHS Policy and 5) Conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including a complete review in accordance with the PHS Policy at least once every three years.

REFERENCES


Revised: February 1978; May 1986
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