



## Institutional Animal Care and Use Committee (IACUC) Office of Research Compliance (ORC)

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### Principal Investigator Eligibility and Responsibility

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**Effective:** December 8, 2008

**Last Updated:** July 30, 2018

**Responsible University Officer:**

Fred H. Cate

*Vice President for Research*

**Policy Owner:**

*Bloomington Institutional Animal Care and Use Committee*

**Policy Contact:**

*IACUC Manager*

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### Policy Statement

All faculty and scientific staff designated as Principal Investigators (PI) or Co-PIs on IACUC approved protocols should read and abide by procedures listed in this policy.

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### Reason for Policy

All animals used in teaching, research, or instruction at Indiana University Bloomington (IUB) must be conducted in a manner compliant with the Animal Welfare Act and Regulations, Public Health Service Policy, the BIACUC, and the *Guide for the Care and Use of Laboratory Animals*.

For the protection of personnel who use animals in research, and for the protection of this Institution, Principal Investigator(s) (PIs) who use animals must know, understand, and comply with applicable

laws, regulations, and policies. Furthermore, the PI is responsible for properly instructing his/her/their students and employees in the responsible use and care of laboratory animals, consistent with this policy.

The professional reputation and financial well-being of the University may be negatively impacted by researchers that fail to comply with federal, state, and institutional policies. Thus, PIs are expected to support a compliant environment and contribute to its maintenance.

## Criteria for Being a Principal Investigator at IUB

The IACUC recognizes that a primary mission of a Research University is the training and education of researchers in the pre- and post-doctoral graduate ranks. These individuals may design and execute research programs that require the use of animals. This research can be supported by fellowships and grants targeted to pre- and post-doctoral students. The IACUC realizes that individuals in the graduate and post-doctoral ranks are competent to independently design, perform, and share in the responsibilities entailed in animal research.

However, the IACUC does not believe that members of the graduate and postdoctoral ranks can undertake the full range of responsibilities required by OLAW/USDA. While it is acceptable for non-Principal Investigators to be fully involved in the authorship of protocols and amendments, the IACUC believes that faculty, not students, should bear ultimate responsibility for consequences and sanctions which result from non-compliance and/or unethical use of animals.

As such, members of the graduate student, postdoctoral fellow, visiting scientist, and research associate ranks must seek support of Indiana University faculty to submit an Animal Care and Use protocol. In these cases, the faculty member serves as the PI on the protocol while the graduate or post-doctoral student serves as co-PI. It is recommended that the PI should be the student's thesis advisor or direct supervisor.

However, other faculty members could serve as PI, providing the supervising faculty member or thesis advisor provides written permission. If the PI departs the Institution, the co-PI must identify another PI to continue the protocol.

Further, the IACUC understands that wildlife permits for collecting or observing animals in the field may be in the name of the co-PI rather than the PI.

Titles that may serve as PI's for animal care and use protocols:

1. Tenure Track Professors
2. Emeritus Professors
3. Various Clinical Professors
4. Various Scholars/Scientists
5. Lecturers
6. Additional titles granting PI status and as approved by the Office of Vice Provost for Research, for the purpose of obtaining external grant support and facilitating incoming faculty researchers.

Those that may serve as Co-PIs for animal care and use protocols:

1. Graduate students having been admitted to Ph.D. candidacy
2. Post-doctoral fellows
3. Visiting scientists
4. Research associates

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## Procedures

### A. The Principal Investigator:

1. Agrees to abide by PHS Policy, USDA Regulations when applicable, IUB policies for the care and use of animals, the provisions of the *ILAR Guide to the Care and Use of Laboratory Animals*, IUB's Letter of Assurance to OLAW, and all other federal, state, and local laws and regulations governing the use of animals in research.
2. Agrees to submit an application for the use of animals to the BIACUC for any proposed use of animals in research, teaching or testing before initiating, modifying, or renewing any research project that uses animal subjects at IUB.
3. Understands that he/she must submit an amendment for any proposed changes to their protocol (including the addition of personnel) and must wait for BIACUC approval before proceeding with the amended activity.
4. The PI is strongly encouraged to submit protocol applications and amendments him/herself/themselves; if this process is delegated to laboratory personnel (e.g. research assistant, laboratory manager) or students (e.g. post-doc, graduate student), then the PI is be copied on the submission email.
5. Assures that the animal use section of any associated grant accurately reflects the animal use. Noncompliance with the laws, regulations, policies, and guidelines can result in the suspension of approved activities for conducting animal research, teaching, and testing. Noncompliance with the care and use of animals in research, teaching and testing can jeopardize the IUB's ability to procure external and internal research funding and may be reportable to the USDA, OLAW and the NIH.

### With regard to personnel:

6. Declares that all experiments involving live animals will be performed under PI supervision or that of another qualified individual listed on the protocol. PIs have overall responsibility for laboratory personnel handling animals in the laboratory and in LAR facilities. The PI will directly inform all project personnel of the IACUC-approved procedures and methods prior to their participation in animal-related activities. The approved protocol and all amendments will be read by and will be readily available to project personnel.
7. **Certifies that all personnel having direct animal contact, including themselves, have been trained in humane and scientifically acceptable procedures in animal handling, administration of anesthetics, analgesics, and euthanasia to be used in the project, and that subsequent training is documented for review by the BIACUC.** All research personnel listed on the protocol must have completed the **IACUC-required CITI online training, facility orientation**, and have been **medically cleared** by the Occupational Health and Safety group prior to participating in animal-related activities.
8. Understands that the use of hazardous agents in animals may only be initiated after approval from EHS and the IBC, as applicable. All personnel on the protocol will be made

aware of the hazards involving the use of live animals, tissues, biohazards, chemical and radiation hazards, as applicable.

With regard to animal use:

9. Assures that distress, discomfort, or pain to animals will be limited to that which is unavoidable in the conduct of valid scientific research or teaching and that this study does not unnecessarily duplicate previous research or experiments.
10. Ensures that all animals utilized by research staff have been approved by LAR staff (animal housing space and animal health status/vendor) and IACUC (animal use protocol).
11. Maintains complete, up-to-date and accessible records of animal use that are required by BIACUC policy and regulatory agencies.
12. Ensures that any breeding stock will be accurately maintained, properly documented, and then monitored for genetic purity.
13. Ensures that appropriate licenses and permits for collecting wild animals have been obtained before conducting animal activities.

With regard to veterinary care:

14. Provides veterinary-approved anesthesia and analgesia for procedures that cause pain, distress, or discomfort to animals.
15. Understands that emergency veterinary care may be administered to animals showing evidence of pain or illness, in addition to routine veterinary care, as prescribed for individual species. The PI understands that it is her/his/their responsibility to have available current emergency contact information to personnel responding in an emergency. The PI understands that any unanticipated adverse effects, pain or distress must be reported to the veterinarian or her/his/their designee.

## Sanctions

Failure to comply with IACUC policies may result in noncompliance reports to the Institutional Official, the Office of Laboratory Animal Welfare (OLAW), the U. S. Department of Agriculture (USDA), and/or the suspension of animal use privileges. In addition, the availability of sponsored research funds may be affected when an Investigator is found to be in violation of these policies.

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## References

1. 9CFR2.33 (Animal Welfare Act and Regulations.)
2. *Public Health Service Policy on Humane Care and Use of Laboratory Animals* (2015).
3. *Guide for the Care and Use of Laboratory Animals* (8<sup>th</sup> edition, 2011 ILAR).

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## Contacts

<b>Subject</b>	<b>Contact</b>	<b>Phone</b>	<b>Email</b>
Inquiries	IACUC Chairperson	856-8685	<a href="mailto:biacuc@indiana.edu">biacuc@indiana.edu</a>
Inquiries	IACUC Manager	855-5138	<a href="mailto:biacuc@indiana.edu">biacuc@indiana.edu</a>

## Web Address for this Policy

<https://research.iu.edu/policies/bloomington-animal-care-and-use.html>