



ANIMAL CARE AND USE POLICY

POLICY STATEMENT

Chapman University is committed to the highest ethical standards of animal care and use. Each Chapman investigator, student or instructor wishing to use animals on or off campus must conduct all animal work in accordance with the standards, laws, regulations, and policies governing the care and use of animals. The university maintains an animal care and use program based upon the principles of USDA's Animal Welfare Regulations, the Public Health Service Policy on the Humane Care and Use of Laboratory Animals, the *Guide for the Care and Use of Laboratory Animals*, and other taxon-specific guidelines.

REASON FOR THE POLICY

This policy defines the term animal and describes the structure of the animal care and use program (ACUP) at Chapman University. Further, this policy establishes the authority and responsibilities of Principal Investigators (PI), the Institutional Official (IO), the Institutional Animal Care and Use Committee (IACUC), the Attending Veterinarian (AV), and other stakeholders including Environmental Health and Safety, Office of Sponsored Projects Services, the Institutional Biosafety Committee (IBC) and Chief Compliance Officer.

POLICY

Chapman University is committed to the ideals of integrity and respect for the environment in all areas of research, teaching, and service (Chapman University Code of Ethics). The ACUP at Chapman applies to all Chapman research and teaching activities involving live vertebrate animals. The program conforms to: 1) the *Guide for the Care and Use of Laboratory Animals* (National Research Council, 2011); 2) regulations of the United States Department of Agriculture issued by the USDA implementing the Animal Welfare Act (AWA); 3) the Public Health Service's *Policy on Humane Care and Use of Laboratory Animals*, and 4) California's Department of Public Health (CDPH).

Chapman University has filed an Animal Welfare Assurance further defining its commitment to the ethical use of live vertebrate animals in activities supported by the Public Health Service and/or the National Science Foundation. Oversight of the Chapman ACUP rests primarily with the IO, the IACUC and the AV. Secondly, the ACUP also requires the participation and commitment of individual researchers, animal care personnel, the Office of Research staff, and the Office of Environmental Health and Safety (EH&S) personnel. This policy describes the authority and responsibilities of these individuals in the ethical care and use of animals.

The term "animal," for the purposes of the animal care program at Chapman University, includes all independent live vertebrate members of the Phylum *Chordata*, Class *Vertebrata* (all vertebrates) used in research, education, or testing. The determination of when an embryonic animal is considered an independent entity varies by the class of the animal. **Any use of an animal in research, education or testing at Chapman University requires IACUC review and approval.** The use of animal by-products, such as tissues or antibodies, is not included in IACUC oversight. Obtaining them may be subject to import controls and inter-institutional assurances, however.

The Office of Research and the IACUC recognize the collaborations which researchers and principal investigators enter. The responsibilities of PIs include:

- Preparing and submitting IACUC protocols to describe the proposed usage of animals, verifying approval prior to conducting any research or teaching activity, and for adhering to the content within approved protocols
- Requesting approval from the IACUC for changes to approved studies through a protocol amendment, and implementing those changes only after receipt of written (electronic) approval from the IACUC
- Resubmitting each protocol for *de novo* IACUC review at least once every three years if animal work is continuing and ensuring that IACUC approval for the renewal is granted before the initial approval has expired, or suspending animal work until written (electronic) approval of the renewal has been obtained
- Reporting, at least annually, the status of each protocol to assure that ongoing activities are conducted in accordance with an approved protocol
- Following all applicable facility standards, guidelines, and procedures in the conduct of the animal work
- Promptly notifying the IACUC of any unexpected results that affect the welfare of the animals under their animal protocol by reporting any unanticipated pain or distress, morbidity, or mortality
- Ensuring that personnel working on their protocols are appropriately trained and qualified for the procedures they are performing (personnel include PIs, research staff, students, and volunteers)
- Informing personnel of the risks and hazards associated with working with animals in research and teaching environments, which includes consulting with EH&S
- Maintaining clinical (veterinary) health and protocol procedural records.

The President of Chapman University has delegated the responsibilities and authority of ACUP to the Vice President for Research (VPR) in the capacity of IO. The IO has the authority and responsibility to:

- Commit Chapman University so as to meet the requirements of the AWAR and PHS Policy
- Appoint members of the IACUC
- Ensure that the program goals of quality animal care and use are in alignment with the University's mission
- Monitor University compliance with all applicable animal welfare laws, regulations, and policies
- Ensure that the animal facilities are maintained at the minimum necessary to assure animal welfare, provide research support resources necessary to advance research and teaching, allow for support staff efficiencies, minimize costs to researchers and campus, and maintain standards of accreditation (e.g., AAALAC)
- Sign forms, reports, and letters on behalf of the University and interact with the IACUC in overseeing the ACUP
- On receipt of inspection reports, semiannual reports, incident reports, and recommendations from the IACUC, then determine, in consultation with the IACUC, whether deficiencies are significant or minor and whether appropriate corrective actions need to be taken and have been identified and implemented.
- Delegate various administrative and training tasks to Office of Research staff in support of the ACUP.

The IACUC's responsibilities include:

- Reviewing and approving, requiring modifications (to secure approval), or withholding approval of IACUC protocols and amendments
- Reviewing and approving, requiring changes to or withholding approval for the number of animals used and for deviations from the Guide
- Monitoring animal activities through continuing protocol review, laboratory and facility inspections, and observation of procedures and animals
- Investigating reported animal care and use concerns and preparing a report to OLAW, submitted through the IO, of all reportable incidents
- Reviewing, preparing, and signing semi-annual reports to the IO related to Chapman's ACUP and facilities
- Through the IO, submitting an annual report to Office of Laboratory Animal Welfare (OLAW) at the NIH, the USDA, other regulatory agencies, and AAALAC as appropriate
- Developing ACUP procedures and guidelines based on federal, state, and university policies
- Working with the EH&S and IBC to maintain compliance with biosafety practices, controlled substances, chemical hazards, etc.
- Evaluating reports of potential violations to existing animal care and use regulations or this policy, and investigating and reporting findings to the full membership of the IACUC and the IO
- Making recommendations to the IO regarding any aspect of Chapman's animal program, facilities, training, or IACUC membership
- Suspending an activity involving animals if it does not comply with the AWAR, the Guide, PHS Policy, or Chapman's PHS Animal Welfare Assurance.

The Attending Veterinarian (AV) is delegated authority for activities involving animals both on the Chapman University campuses and "off-site" (e.g., wildlife studies) as follows.

- The AV is responsible for the campus veterinary care program and has the authority to immediately suspend an activity that causes significant animal welfare or health concerns. The AV will immediately notify the IACUC of any such situation.
- The Animal Welfare Act regulations hold the AV directly responsible for the oversight of the programs and processes for animal disease control and prevention, euthanasia, the appropriate use of pain relieving drugs, surgery, and other aspects of veterinary care.
- The AV serves as a voting member of the IACUC.

Various administrative units (Office of Research, EH&S, Compliance Office) support the ACUP. This include staff for administering the IACUC, managing the animal facilities, implementing an occupational health program, and handling reports of concerns for animal welfare.

- The IACUC administrator provides support to the IACUC and serves as technical advisor to the Committee.
- The IACUC administrator and animal facilities staff implement the IACUC and other training programs to ensure campus compliance with IACUC policies and animal welfare.
- The Office of Research collaborates with EH&S to implement an appropriate occupational health program that addresses the use of animals in teaching, research, and testing.
- The Chief Compliance Officer collaborates with the Office of Research to handle anonymous reports of animal welfare concerns.
- Facilities are either managed by the Office of Research and appropriate staff, or by individual investigators as part of their own laboratory/facilities.

OFFICE RESPONSIBLE FOR POLICY

Name of Office: Office of Research

Contact information for questions about this policy: Michael Briggs, Director of Research Integrity

WEBSITE ADDRESS FOR THIS POLICY

<https://www.chapman.edu/research/policies-and-guidance/index.aspx>

WHO APPROVED THIS POLICY

Senior Staff member submitting the policy: Thomas Piechota, Vice President for Research

Date approved: 10/9/18

[Signed]

Daniele C. Stuppa

President, Chapman University

PUBLICATION DATES

Effective: 10/9/18

RELATED MATERIALS

National Research Council. 2011. *Guide for the Care and Use of Laboratory Animals: Eighth Edition*. Washington, DC: The National Academies Press. <https://doi.org/10.17226/12910>.

Animal Welfare Assurance

Public Health Service's *Policy on Humane Care and Use of Laboratory Animals*

USDA Animal Welfare Regulations