

Washington State University
INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

Policy #20: PERSONNEL APPROVAL FOR ANIMAL PROTOCOLS

A. Purpose:

To provide guidance for the roles, responsibilities and training of all personnel listed on IACUC approved protocols

B. Policy:

1. Approval of personnel

IACUC requires the following for approval of all personnel.

- a. The following information must be submitted for the IACUC review process to proceed.
 - i. Definition of the *role of each person*: procedures they will perform on the protocol
 - ii. Description of the *training of each person with respect to the procedures*: how were they or how will they be trained in the procedures they will perform
- b. The following on-line training must be completed for approval
 - i. *Registration* of the WSU's online Occupational Health Training - Animal (OHT-A)
 - ii. *Completion* of the WSU online Principles of Animal Care and Use (PAC) training
 - iii. As applicable to the role, the following training is also required
 1. *Completion* of the online Aseptic Surgical Technique training (AST-O) for personnel performing surgery. Please refer to Policy #6 for further surgery training requirements & guidance: https://iacuc.wsu.edu/documents/2016/06/policy_6.pdf
 2. *Completion* of the online Satellite Animal Housing Location Training (SAHLT) for personnel responsible for animal care in Satellite Animal Housing Locations. Please refer to Policy #1 for further training requirements & guidance: https://iacuc.wsu.edu/documents/2016/06/policy_1.pdf/
- c. All personnel listed on the protocol are approved to work in their designated roles when the protocol is approved. The Principal Investigator (PI) will receive a notification of approval from the IACUC Office. Any changes to the personnel after this approval must be processed in the manner described below in section 3.
- d. Individuals must not participate in live animal research until the approval notification has been received.

- e. Students enrolled in IACUC approved instructional animal use are exempt from these requirements. Please refer to section 6 for additional details.

2. Personnel Qualifications:

- a. It is the responsibility of the principal investigator to ensure that all personnel, research technicians, animal technicians and other personnel involved in animal care, treatment, and use are qualified to perform their duties. This responsibility, in part, is fulfilled through the provision of training and instruction to those personnel.
- b. The mandated IACUC training described in sections B.1.c-e covers most of the material listed below. Species, facility or project specific training relevant to the defined role of individual personnel (refer to section B.1 a-b) is provided by OCV, facility management, departments or individual investigators. Documentation of online IACUC and OCV training is done automatically. Documentation of any additional training is the responsibility of the PI but may be designated to laboratory or facility management.
- c. The training and instruction shall be made available in the following areas:
 - i. Humane methods of animal care, use, and disposition
 - ii. The basic needs of each species in use
 - iii. Proper handling and care for the various species used
 - iv. Aseptic surgical methods and procedures
 - v. Methods to reduce pain and distress including the proper use of anesthesia and analgesia for the species of animals used.
 - vi. Methods to report adverse events or animal welfare concern
 - vii. Husbandry and requirements of maintaining a satellite or investigator-managed animal housing area
 - viii. The Principles of Animal Care and Use which includes-
 - a) Appropriate methods of animal care and use
 - b) Alternatives to the use of live animals in research
 - c) Prevention of unintended and unnecessary duplication of research involving animals
 - d) Awareness of Animal Welfare Act and Public Health Service policy

The IACUC will review the qualifications and training of the personnel added to protocols.

3. Amendments to modify personnel

- a. **Change in Principal Investigator:** A change in the Principal Investigator (PI) of an IACUC approved protocol is considered a significant amendment requiring the regular IACUC approval process.
 - i. Ascertain the eligibility of individuals to become a PI as provided in IACUC Policy on Principal Investigators https://iacuc.wsu.edu/documents/2016/06/policy_22.pdf
 - ii. Submit the information listed in section 1 a-e to process approvals. Upon approval, the PI will receive a notification from IACUC Office.
- b. **Addition of Co-Investigator and Other Personnel:** An addition of Co-Investigator or staff is not considered a significant change so can be processed via administrative amendment as outlined in IACUC Policy # 24: Policy on Amendments.
 - i. Submit the information listed in section 1 a-e to process approvals.
 - ii. The personnel change can be made administratively. However if the IACUC Staff have questions or concerns about any personnel addition request, they have the option of referring the modification request for IACUC review.
 - iii. Upon approval, the PI will receive a notification from IACUC Office.
- c. **Removal of Personnel:** Removal of personnel is an administrative change by the IACUC office. The PI sends a request to the IACUC office to remove personnel as needed.

4. Addition of Temporary Personnel:

Some investigators may wish to involve students, teaching assistants, time-slip employees, volunteers, visiting scientists, and other temporary personnel in animal related activities of their IACUC approved protocols.

- a. All personnel with direct contact with live animals must be included on the protocol for IACUC review. Please refer to section 3b. on Addition of Co-Investigators and Other Personnel.
- b. It is the PI's responsibility to ensure that all the necessary safety training, approvals and University or departmental forms have been duly completed to allow temporary personnel to participate.
 - i. For volunteers including minors, refer to the BPPM for *Volunteers*
http://public.wsu.edu/~forms/HTML/BPPM/60_Personnel/60.81_Volunteers.htm
 - ii. For more information regarding minors, refer to the BPPM for *Children in the Workplace*
http://public.wsu.edu/~forms/HTML/BPPM/60_Personnel/60.82_Children_in_the_Workplace.htm

Upon approval, the PI will receive a notification from the IACUC Office. Individuals must not participate in live animal activities until the approval letter has been received.

5. Addition of Non-WSU Personnel:

Some principal investigators may wish to add personnel who are not affiliated with WSU in animal related activities. Per IACUC policy # 22, non-WSU personnel cannot be made PIs on WSU protocols. The request to add non-WSU personnel will be processed via administrative amendment as outlined in IACUC Policy # 24: Policy on Amendments and sections 3 & 4 above. Addition of such personnel requires the following details to be presented in the appropriate form for IACUC review:

- a. The names of each individual who will participate
- b. The details of their experience, expertise and their role on the protocol
- c. Documentation of *completion* of the WSU's PAC or providing evidence of an equivalent training at their host institution
- d. Documentation of the registration of each person in the WSU OHT-A or providing evidence of an equivalent training at their host institution
- e. Upon approval, the PI will receive a notification from the IACUC Office. Individuals must not participate in live animal research until the approval notification has been received.

6. Personnel associated with Instructional Animal Use (students and student teaching assistants)

- a. Personnel involved in a supervisory role including student teaching assistants must be added to the protocol as described in section 3b.
- b. Students enrolled in courses involving instructional animal use do not have to be added to the IACUC protocol provided the following conditions are met
 - i. The instructional animal use is approved on a current IACUC protocol
 - ii. Course specific safety and procedure training is provided by approved personnel prior to initiation of animal procedures.
- c. Additional information on instructional animal use is available at https://iacuc.wsu.edu/documents/2016/06/policy_17.pdf

7. Individualized training plans

- a. The IACUC may grant an exception to specific requirements listed above on a case-by-case basis.

- b. Request for exception to a specific requirement must be submitted to the IACUC for review and approval prior to the activity. The request must include details of the animal-participant interaction and the training/safety orientation provided to the participants.
- c. Examples of situations which could be eligible for an individualized training plan are as follows.
 - a. Community-based animal experiences. Participants are directly engaged in instructional animal use but are not WSU students enrolled in a course
 - b. Temporary volunteer activities at animal facilities that involve minimal direct animal contact and are under continuous direct supervision by approved personnel