ANIMAL EYE CONSULTANTS OF IOWA

Animal Eye Consultants of Iowa	
Institutional Animal Care and Use Committee	
Policy #20	**"Personnel Approval for Animal Protocols"**
Approval Date: 1/10/2024 (Replacing version: 1/6/2021)	

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**

   The AEC IACUC requires the following for approval of all personnel added to an IACUC-approved protocol. These requirements can also be found on the IACUC Training webpage.

   a. The following information must be submitted as a protocol amendment (instructions) via MyResearch for the IACUC review process to proceed.
      - Definition of the *role of each person* on the protocol, including the procedures they will perform.
      - Description of the *educational background of each person*: the highest level of degree that a person has obtained should be specified (Ph.D., undergraduate, etc.).
      - Description of the *training of each person with respect to the procedures occurring under the protocol*, including how were they or how will they be trained in the procedures they will perform, including who will be training them.

   b. The following IACUC trainings are mandatory for all personnel. Personnel may contact the AWP Office at IACUC@animal-eye-iowa.com for training instructions and enrollment.
      - Occupational Health Training - Animals (OHT-A) for the species associated with the protocols that the personnel will be working under. This training provides risk assessment and health protection information for personnel

working with animals. It must be updated every three years, or whenever personnel begin work with a new species.

- The OHT-A training also includes an optional no-cost physician-provided health evaluation that all personnel performing animal work at AEC may enroll in. Please view Policy #38 for more information.

- Principles of Animal Care and Use (PAC): This course provides the necessary beginning information regarding the ethics and use of animal species models for research and teaching.
  - PAC training expires after three years, at which point Refresher: Principles of Animal Care must be taken to update it.

c. As applicable to the role, the following training may also be required:

- Aseptic Surgical Technique training for personnel performing survival surgery. Personnel performing non-survival surgery are exempt from this requirement.
  - *Aseptic Surgical Technique Online training (AST-O)* must be completed prior to approval onto the ASAF for personnel performing survival surgery. Board-certified surgeons working within their specialty may request an exemption. To request an exemption, please email ocv.training@animal-eye-iowa.com or IACUC@animal-eye-iowa.com.
  - *Aseptic Surgical Technique Hands-on training (AST-H)* must be completed prior to performing surgery. On a case-by-case basis, a DVM, LVT, MD, and RN may request an exemption. To request an exemption, email ocv.training@animal-eye-iowa.com. Please visit the AEC Hands-on Workshop Training page to view the schedule and contact information.
- Satellite Animal Housing Location Training (SAHLT) must be completed prior to approval of personnel responsible for husbandry in Satellite Animal Housing Locations. Please refer to IACUC Policy #1 for more information.
- Verification of Proficiency – Physical Euthanasia Method is a required hands-on observational training for personnel performing physical euthanasia methods without anesthesia. Either an AEC staff member or personnel/Principal Investigator (PI) assigned as a designated trainer by AEC can provide this training. This training must be completed before a physical euthanasia method without anesthesia is performed. Please

contact AEC at ocv.training@animal-eye-iowa.com with any questions or to schedule.

d. All personnel listed on a protocol are approved to work in their designated roles when the protocol they are listed on is approved and when they have received appropriate training. The PI will receive a notification of approval from the Animal Welfare Program (AWP) Office upon approval of a protocol. Any changes to the personnel after this approval must be submitted as a new amendment and reviewed by the AWP Office.
e. Individuals *must not* participate in live animal research until the approval notification has been received.
f. Students enrolled in classes covered under IACUC-approved instructional animal use/teaching protocols may be exempt from these requirements. Please refer to Section 6 for additional details.
g. *All* personnel listed on an approved IACUC protocol must update expired training in a timely manner. PAC and OHT-A training expire every 3 years. Approvals of new protocols and three-year resubmissions may be delayed if personnel have expired training.

2. **Personnel Qualifications**
   a. It is the responsibility of the PI to ensure that all personnel, research technicians, animal technicians and other personnel involved in animal care, treatment, and use are qualified and trained 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 covers most of the material listed below. Species, facility, or project specific training relevant to the defined role of individual personnel is provided by AEC, facility management, departments, or individual investigators.
   c. Documentation of online IACUC and AEC training is done automatically by the AWP and AEC staff. Documentation of any additional training is the responsibility of the PI but may be designated to laboratory or facility management.
   d. The training and instruction shall be made available in the following areas:
      - Humane methods of animal care, use, and disposition
      - The basic needs of each species in use
      - Proper handling and care for the various species used
      - Aseptic surgical methods and procedures

- Methods to reduce pain and distress including the proper use of anesthesia and analgesia for the species of animals used.
- Methods to report adverse events or animal welfare concern
- Husbandry and requirements of maintaining a satellite or investigator-managed animal housing area
- Euthanasia technique
- The Principles of Animal Care and Use which includes:
    - Appropriate methods of animal care and use
    - Alternatives to the use of live animals in research
    - Prevention of unintended and unnecessary duplication of research involving animals
    - 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 of an IACUC-approved protocol is considered a significant amendment requiring the regular IACUC approval process as outlined in IACUC Policy #24.
        I. Assess the eligibility of individuals to become a PI as provided in IACUC Policy #22 on Principal Investigators.
        II. Submit the information listed in section 1 as an amendment (instructions) via MyResearch for processing. Upon approval, the PI will receive a notification from the AWP Office.
    b. **Addition of Co-Investigator and Other Personnel:** An addition of Co-Investigator or other personnel is not considered a significant change, and can be processed via an administrative amendment as outlined in IACUC Policy #24.
        I. Submit the information listed in section 1 to the AWP Staff as an amendment (instructions) via MyResearch for processing.
        II. The personnel change can be made administratively. However, if the AWP staff have questions or concerns about any personnel addition request, they have the option of referring the modification request for IACUC review.
        III. Once all training and personnel information requirements outlined in section 1 have been fulfilled, the personnel addition will be approved.

- A protocol may remain under IACUC review while waiting for added personnel to complete training for up to 30 days. If training is not complete at that point, the PI will be notified, and the personnel amendment will be withdrawn.

IV. Upon approval, the PI will receive a notification from Animal Welfare Program staff.

c. Removal of Personnel: Removal of personnel is an administrative change by the AWP staff. The PI or Co-I may either submit a request to the AWP Office via email at IACUC@animal-eye-iowa.com or by submitting an amendment to the protocol (instructions) via MyResearch.

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 complete the requirements outlined in Section 1 and be included on the approved IACUC protocol. Please refer to Section 3b on the 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.

- For volunteers including minors, refer to the BPPM for *Volunteers*.
- For more information regarding minors, refer to the BPPM for Children in the Workplace and EP14 Protection and Safety of Minors.
- Amendments to add temporary personnel must be submitted to the IACUC as outlined in Section 3. Upon approval, the PI will receive a notification from AWP Office. Individuals must not participate in live animal activities until the approval letter has been received.

5. Addition of Non-AEC Personnel

Some principal investigators may wish to add personnel who are not affiliated with AEC in animal related activities. Per IACUC Policy #22, non-AEC personnel cannot be made PIs of AEC protocols. The request to add non-AEC personnel will be processed via administrative amendment as outlined in IACUC Policy #24 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, education, expertise and their role on the protocol.
c. Each personnel must complete AEC?s PAC and OHT-A training or provide documentation of completion of an equivalent training at their home institution. Should a non-AEC personnel be registered with another institution's IACUC, current training may be accepted from the other institution on a case-by-case basis if proof of completion is submitted to the AWP Office at IACUC@animal-eye-iowa.com .
d. If the surgery role is selected, completion of AEC?s AST online training is required. The AST hands-on course must be completed prior to performing surgery.
e. If the husbandry role is selected for the personnel at a Satellite Animal Housing Location, completion of AEC?s SAHLT online training is required.
f. Upon approval, the PI will receive a notification from AWP 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:
      - The instructional animal use is approved on a current IACUC protocol.
      - 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 on Policy #17.

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 an exception to a specific requirement must be submitted to the AWP Office and IACUC for review and must be approved 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:
    - Community-based animal experiences. Participants are directly engaged in instructional animal use but are not AEC students enrolled in a course.
    - Temporary volunteer activities at animal facilities that involve minimal direct animal contact and are under continuous direct supervision by approved personnel.