

The use of animals at Sam Houston State University by personnel or by students or other agents under the direction of University employees is a privilege that carries unique professional and moral obligations. Use of these animals, whether involved with teaching, research, or demonstration activities, along with housing venomous animals, carries an obligation that these animals are housed in appropriate facilities and are treated in a safe and humane manner. There are a number of federal rules and regulations governing numerous aspects of the care and housing of animals. In addition to mandating the formation of an Institutional Animal Care and Use Committee (IACUC) at all Universities using animals, [federal guidelines](#) [Public Health Service (PHS)/ Animals and Plant Health Inspection Service (APHIS)/Animal Welfare Act (AWA)] also provide direction for the IACUC, in terms of overall guidelines.

The IACUC of Sam Houston State University (SHSU), in an effort to meet or exceed the rules established by federal laws and guidelines, has created this document covering animal care and use by University employees and their agents while acting in an official capacity. The committee is established according to guidelines established by the APHIS, a branch of the United States Department of Agriculture. The committee, appointed by the President of SHSU, is comprised of six regular members and up to three alternate members. The committee includes: four University faculty members, one nonaffiliated person, and one Attending Veterinarian (not a University employee) and up to four members serving as alternates.

The IACUC committee is responsible, based upon mandates, to oversee all animal care and use at the University, or by University personnel at other locations while in an official capacity. An additional charge is to keep University personnel informed of the rules and regulations regarding the care and use of animals under the possession and use of the University's faculty, staff, and persons on their behalf. Additionally, this charge includes site inspections of animal housing facilities where these animals are housed for more than 12 hours. Animals governed under these University policies include all vertebrate animals.

In order to maintain University compliance with the Animal Welfare Act (AWA), all animal care facilities where animals are housed, and/or vertebrate animals used for teaching, research, demonstration or displays are under the jurisdiction of the IACUC. Sites where animals are housed for more than 12 hours shall be inspected at least two times each year. Inspections will be announced. Pursuant to meeting requirements as stated in the AWA, a list of sites where animals are housed and the personnel responsible for their care will be maintained by the IACUC and updated annually.

Research, teaching, display and demonstration, and venomous animal protocols must be submitted and approved for the length of the project or for three (3) years, whichever is shorter. Animal Colony protocols must be submitted and approved for three (3) years.

Any faculty, staff, students, or others wishing to report acts or situations where they believe animals in the possession of University employees or their agents are not being properly cared for or inhumanely treated may report their concerns to the IACUC Chair by the following methods: call (936/294-4875) or write (Box 2448, SHSU, Huntsville, TX 77341). The name of the person reporting acts of negligence, abuse, or improper housing conditions is kept confidential within the committee. For an appropriate investigation by the IACUC to take place, those reporting an alleged incident should specify animal(s), personnel involved, place, date, time, location, and any other necessary information to allow a full and complete investigation by IACUC. For an allegation to be acted upon by the IACUC, the name and a contact method of the person making the allegation must be provided, and the allegation must be filed within three (3) working days of the alleged incident.

## 1. PURPOSE

Sam Houston State University (SHSU) has an Institutional Animal Care and Use Committee (IACUC) as required following guidelines of the National Institute of Health (NIH publication no. 92-3415: <http://grants.nih.gov/grants/olaw/GuideBook.pdf>). The IACUC was appointed and given authority to assure SHSU compliance with existing federal rules and regulations covering the care and use of animals. It is a privilege, not a right, for employees of SHSU and their agents to utilize animals in their teaching, research, demonstration and display activities as part of their official duties.

## 2. MANDATE

The IACUC of SHSU performs its tasks based upon rules and guidelines primarily found in the *Animal Welfare Regulations* in the *Animal Welfare Act* (AWA, 1966, amended 1985, 1992, 1998). See also

[http://www.aphis.usda.gov/animal\\_welfare/awa\\_info.shtml](http://www.aphis.usda.gov/animal_welfare/awa_info.shtml) and the *Public Health Service Policy for the Humane Care and Use Of Lab Animals* (PHS Policy, 2002) <http://grants.nih.gov/grants/olaw/references/PHSPolicyLabAnimals.pdf> with clarification of the Title 9 Code of Federal Regulations governing animal housing and “Animal Welfare Issues Compendium”

(<http://www.nal.usda.gov/awic/pubs/97issues.htm>). Activities of the committee are to: 1) inspect all facilities two times per year where animals are housed or maintained

for a period of more than 12 hours; 2) review all protocols involving animals used in teaching, research, demonstrational or display activities, or venomous animals, and 3) receive and investigate grievances. Animals included in this document are all vertebrate animals that are used either by SHSU faculty or staff, or their agents (often students) as part of their official duties.

### 3. COMPLIANCE

In order to assure compliance, the IACUC oversees activities in the following areas:

- a. animal housing/animal colony;
- b. animals used in teaching;
- c. animals used in research;
- d. animals used in display or demonstrational activities;
- e. venomous animals;
- f. amendments to already-approved AUPs;
- g. unanticipated or adverse events involving the care and use of animals; and
- h. grievances.

### 4. PROCESS

Faculty, staff, and/or their agents involved with vertebrate animals in an official capacity are required to file proper forms and obtain approval from the IACUC. Information and forms can be found and electronically filed by accessing the “SHSU Homepage,” clicking on “University Fast Links,” clicking on “Institutional Animal Care and Use Committee,” and clicking on “[Applications](#).” Following electronic submission of all appropriate forms, a hard copy should be downloaded, original signatures affixed, and the original forwarded to Research and Sponsored Programs. Specific information can be obtained by accessing the web sites listed above concerning animal use and housing requirements prior to completing forms. Multiple forms may be required as detailed below if animals are used for multiple purposes. When euthanasia becomes necessary or part of a protocol, acceptable methods of euthanasia are listed (JAVMA Vol. 5, pp.670-679; <https://www.avma.org/KB/Policies/Documents/euthanasia.pdf>).

- 4.01 Form A – Housing: Any facility that houses vertebrate animals for a period of more than 12 hours on a continuous basis must complete and submit *Form A* to the IACUC. An approved *Form A* places the facility in good standing for a period of three years, subject to routine inspections two times each year, unless changes are made to the facility or types of animals housed at the

facility, at which time a new form must be submitted for approval by the IACUC.

- 4.02 Form B – Teaching: University employees or their agents in an official capacity, where animals are used in teaching activities, are required to complete and submit for approval to the IACUC a *Form B*. There can be several parts of this packet that are required to be completed, based upon the individual project. Approved proposals shall cover the use of animals in these teaching activities up to the length of the project, but not to exceed three years, or unless changes are made to the protocol.
- 4.03 Form C – Research: University employees or their agents in an official capacity using animals in a research project must complete and submit for approval to the IACUC a *Form C* - an approved Form C is valid for the length of the research project, or three (3) years, whichever is shorter. Please note that federal regulations require the IACUC to conduct post-approval monitoring (PAM) on all approved IACUC research. **To fulfill the University's legal obligation, all PIs will submit an Annual Review Form** (Form F), which is available online (see section 4.06). Federal regulations require that University employees or their agents in an official capacity using animals in a research project must report all changes in the research protocol to the IACUC. Therefore, PIs must complete and submit for approval to the IACUC *Form G* (see section 4.07).
- 4.04 Form D – Demonstrational/Display: University employees or their agents in an official capacity using animals for “demonstrational or display activities,” which includes activities other than teaching or research are required to submit for approval by the IACUC a *Form D* - If the event is recurring over years, approval of the event(s) can be for a period of up to three (3) years, or for the duration of a single or short-term event(s), whichever is shorter.
- 4.05 Form E – Venomous Animals: University employees or their agents in an official capacity who house venomous animals, in addition to other form(s) must submit for approval to the IACUC a *Form E*. Once approved, Form E is valid for three years, or until changes are made in the protocol (see section 4.07).
- 4.06 Form F – Annual Review Form: University employees or their agents in an official capacity using animals in a research project must complete and submit for approval to the IACUC a *Form F* for all active research protocols

involving animals on an annual basis. The deadline for all Annual Review Forms is **September 30** of each year the Animal Use Protocol (AUP-Form C) is active.

**NOTE:** once a PI receives his/her initial approval, s/he is required to submit the Annual Review Form **three times**; in **YEAR 3 after the initial approval and 3 Annual Reviews**, PIs are then required to submit a brand new protocol. **For example**, if a PI's initial approval to his/her IACUC research protocol was granted March 31, 2014, his/her three (3) Annual Review forms would need to be submitted by September 30, 2014, September 30, 2015, & September 30, 2016; a new Animal Use Protocol (IACUC Form C AUP) would be required by March 31, 2017, (thus, in this example, that initial approval period would be March 31, 2014 – March 31, 2017).

- 4.07 Form G – IACUC Amendment: Federal regulations require that University employees or their agents in an official capacity using animals in a research project must report all changes in the research protocol to the IACUC. Therefore, before the proposed changes can be implemented, PIs must complete and submit the IACUC a *Form G* for approval. Once approved, the changes requested through the Form G procedure are valid for the length of the active research protocol (Form C), or until changes are made in the protocol.
- 4.08 Form I - Vertebrate Animal Housing Inspection: Federal regulations require the IACUC to inspect all lab animal housing; the IACUC uses *Form I* for this purpose.
- 4.09 Form J – Adverse Event/Unanticipated Problem (AE/UP): Federal regulations require that University employees or their agents in an official capacity using animals in a research project must promptly report the following to the IACUC: any occurrence, usually involving pain, distress or death of an animal, which was not described in the approved IACUC Protocol or its subsequent modifications that has a negative impact on animal welfare (i.e., death, disease, or distress) or on the welfare of research personnel (i.e., zoonotic diseases or injuries). An example of an AE/UP would be a significant loss of life due to a disease outbreak, a natural disaster, or an equipment failure. Therefore, PIs must complete and submit *Form J* for review by the IACUC. Once the IACUC deems that appropriate precautions have been taken

or that an appropriate plan is in place so that the AE/UP will not occur again, Form J will be closed by the IACUC.

## 5. GRIEVANCES

Any person concerned about the manner of housing of animals, or the use of animals in teaching, research, and demonstrational/display activities has the option of filing a grievance with the IACUC. Grievances can be filed either through written response to the IACUC Chair, Box 2448, SHSU, Huntsville, TX, 77341 or via telephone (936/294-4875). When filing a grievance, include the following information:

A person(s) name and a method of contact (they will be informed of the outcome of the investigation).

Time, date, and location of the alleged incidence you are reporting.

If known, the name(s) of people involved with the alleged incident.

A brief description of the alleged incident.

Note: Any alleged incident must be referred to this Committee within three (3) working days of the incident. The alleged incident will be investigated in accordance with IACUC Policy (see [IACUC 140213 Alleged Incident of Noncompliance](#)).

The identity of a person or persons making a grievance is kept strictly confidential within the IACUC.

All PIs who house research animals in their lab are required to post Notices with Information for Reporting Misuse, Mistreatment, or Non-Compliance of the Care and Use of Animals in Research, Teaching and Testing as provided by the IACUC, and have such Notice visible for inspection at all times.

## 6. INSPECTIONS

The IACUC will maintain a list of all sites and locations housing animals for the purposes of inspection by the Committee. These inspections are announced and occur two times per year. Site inspections will use *Form I*. Completed inspection forms should be permanently maintained in the lab/facility in a prominent location.

## 7. COMMITTEE MEMBERS

For a list of committee members, please see the IACUC Contact page on the Research and Sponsored Programs webpage.

APPROVED: \_\_\_\_\_ <signed>  
Dana L. Gibson, President

DATE: \_\_\_\_\_ 7/9/14

### CERTIFICATION STATEMENT

This academic policy statement (APS) has been approved by the reviewer(s) listed below and represents SHSU's Division of Academic Affairs' policy from the date of this document until superseded.

Original: February 12, 2014  
Reviewer(s): Council of Academic Deans  
Academic Affairs Council

Review Cycle: February 1, ENY\*  
Review Date: February 1, 2016

Approved: \_\_\_\_\_ <signed>  
Jaimie L. Hebert  
Provost and Vice President  
for Academic Affairs

Date: \_\_\_\_\_ 7/17/14

**\*ENY = Even Numbered Year**