

IACUC POLICIES, PROCEDURES, and GUIDELINES

Training Requirements for Animal Care Personnel Performing Research Activities

130.1 PURPOSE

This document provides guidelines regarding training requirements for personnel not specifically listed on approved animal use protocols but performing research procedures involving vertebrate animals used in education, research, or testing at the University of Kentucky. The intent of this document is to define the IACUC's policy regarding the eligibility of personnel to provide such procedures and to provide guidance to investigators and facility managers regarding the requirements for such individuals. Routine animal husbandry and veterinary service procedures conducted on animals assigned to an animal use protocol are not considered research-related tasks and are not addressed in this document.

130.2 BACKGROUND

The Animal Welfare Regulations ⁽⁴⁾ and the Public Health Service Policy on Humane Care and Use of Laboratory Animals ⁽²⁾ require that the Institutional Animal Care and Use Committee (IACUC) ensures that personnel conducting procedures on animals "will be appropriately qualified and trained in those procedures." Additionally, both the *Guide for the Care and Use of Laboratory Animals* ⁽¹⁾ and the *Guide for the Care and Use of Agricultural Animals in Research and Teaching* ⁽³⁾ discuss the need for both general and tailored or targeted training for the specific procedures. The general training should include components addressing the present rules and regulations, the functions and responsibilities of the IACUC, the ethical use of animals including methods of reducing animal use and minimizing pain and distress, the use of information services such as the Animal Welfare Information Center (AWIC), occupational health and safety issues related to animal use, species specific husbandry needs, aseptic surgical techniques, and methods of reporting animal welfare concerns. All personnel should receive adequate training before beginning animal work and ongoing continuing education to reinforce training and provide updates reflecting changes in technology, regulations, and other relevant areas.

University of Kentucky IACUC has specified initial mandatory education and mandatory continuing education requirements for all personnel listed on approved animal use protocols. In addition, research investigators are encouraged to take courses or receive targeted training relevant to the species being studied and the procedures being performed (i.e. surgery, gavage, blood collection, injections, etc.) when appropriate.

While all personnel directly involved in the research protocol must be listed on the approved animal use protocol, other animal care and husbandry personnel with the appropriate skills may be required in specific instances for research-related tasks that are either delegated or contracted to the animal care staff. These tasks may include breeding colony management, animal anesthesia or euthanasia, specific dosing or physiologic testing procedures, specimen collections, minor surgical procedures, ante-mortem tissue collection, etc. Designating the

specific personnel that will provide such services is often impossible during the initial protocol submission and approval process and submitting a protocol amendment to include the specific individual(s) is logistically cumbersome. This document establishes the requirements and the procedure for designating a group of individuals, approved by the IACUC, with the required training and capable of providing such services without being specifically listed on the approved animal care and use protocol (an IACUC-approved qualified group.)

This document does not address training of animal care staff providing strictly routine husbandry or the training of contracted clinical veterinarians providing veterinary care program consultation or direct clinical veterinary services. However, if those animal care staff are performing research procedures, these guidelines are applicable, and the individuals must fulfill the applicable requirements for and be included in an IACUC-approved qualified group. Use of husbandry personnel not fulfilling the IACUC requirements to provide a research procedure represents a protocol noncompliance.

130.3 PROCEDURES

The IACUC has established the following set of requirements and procedures for designating an IACUC-approved qualified group as appropriately qualified to perform research protocol-related procedures without being specifically listed on the approved animal use protocol:

1. To establish an approved group of personnel fulfilling the IACUC requirements for participation in research or educational activities without specific listing in the approved animal use protocol (hereafter referred to as Staff Research Personnel), the IACUC requires the submission and approval of a modified animal use protocol (hereafter referred to as the Services Protocol).
2. The facility director (or highest management individual for the unit) or IACUC-approved designee will be the Principal Investigator for this protocol (hereafter referred to as the Services Protocol Principal Investigator) and the individual responsible for the management of Staff Research Personnel.
3. This Services Protocol will state that the purpose of this protocol is to establish a cadre of individuals (Staff Research Personnel) who would perform certain procedures (as services for either a fee or otherwise) on IACUC-approved protocols for principal investigators requesting these services. All animals and procedures performed by Staff Research Personnel must be approved on the Animal Use Protocol of the Principal Investigator requesting the services. The Services Protocol does not authorize any animal use that is not listed and approved on other Animal Use Protocols.
4. The Services protocol approved by the IACUC shall not contain any specific procedures, surgeries, treatments, etc. The Services Protocol shall not require any literature searches for duplication or alternatives since these requirements will be addressed under the Animal Use Protocol requesting the services.

5. The Services Protocol shall detail the proposed training program and requirements for all Staff Research Personnel. At a minimum, all Staff Research Personnel must:
 - a) Complete the training required of all individuals participating in research activities at the University of Kentucky prior to the participation in any research activity. Please refer to “*IACUC Policies, Procedures, and Guidelines 106: Training and Continuing Education Requirements.*” See (<https://www.research.uky.edu/uploads/iacuc-doc-106>) for specific training requirements.
 - b) Complete all continuing education and training requirements required in “*IACUC Policies, Procedures, and Guidelines 106: Training and Continuing Education Requirements.*” See (<https://www.research.uky.edu/uploads/iacuc-doc-106>) for specific continuing education requirements.
 - c) Be actively enrolled in an IACUC-recognized Occupational Health and Safety Program.
6. The Services Protocol Principal Investigator shall be responsible for ensuring that Staff Research Personnel are appropriately trained for all specific procedures in which they participate. Specific procedural training should be provided by experienced persons with protocol or programmatic responsibility. In most instances the Principal Investigator, co-researcher, or supervisor are appropriate individuals to provide the training. In the case of aseptic survival surgery, intra-operative anesthesia monitoring, or post-operative recovery the clinical veterinarian for the academic unit or directly trained designee should be directly involved in the training.
7. The Services Protocol Principal Investigator shall:
 - a) Maintain a current listing of all qualified Staff Research Personnel in the IACUC-approved Services Protocol who are authorized to perform research protocol related activities
 - b) Maintain records of training procedures and occupational health and safety enrollment for all qualified Staff Research Personnel in the IACUC-approved Services Protocol. The records should specify:
 - i. date of training
 - ii. name of person trained
 - iii. specific procedural training with details of asepsis if pertinent (i.e. aseptic blood collection, aseptic injectable anesthesia administration,)
 - iv. signatures of person trained and their trainer (including UK title/affiliation if appropriate)
 - c) Ensure that all individuals performing research activities under this protocol are appropriately qualified and capable of performing the assigned duties. Additional training, when required, shall be documented and recorded in the individual’s record.
8. Training records shall be made available for IACUC review and evaluation when requested.

130.4 IACUC RESPONSIBILITIES

The Institutional Animal Care and Use Committee (IACUC) is responsible for ensuring that personnel conducting procedures on animals are “appropriately qualified and trained in those procedures.” In delegating the direct management and approval of individuals (Staff Research Personnel) to perform research related activities without listing on an approved animal use protocol the IACUC must ensure that the individuals are “appropriately qualified and trained.”

The IACUC shall perform a *de novo* review and approve the training requirements for each IACUC-approved Services Protocol at least every three years. Personnel fulfilling the IACUC-approved requirements may be certified by the Services Protocol Principal Investigator as Staff Research Personnel and added to the Services Protocol via an administrative amendment. As a component of the IACUC oversight of the animal care and use program, however, the Committee shall review the training records of all active Staff Research Personnel as often as necessary and at a minimum of every three years during the renewal of the an IACUC-approved qualified group approval.

REFERENCES

1. **Institute of Laboratory Animal Resources (U.S.). 2011. *Guide for the Care and Use of Laboratory Animals*. Washington, D.C.: National Academy Press.**
2. **National Institutes of Health (U.S.). Office of Laboratory Animal Welfare., United States. Public Health Service. 2002. *Public Health Service policy on humane care and use of laboratory animals*. Bethesda, MD (6705 Rockledge Dr., Bethesda 20892-7982): Office of Laboratory Animal Welfare, National Institutes of Health, Dept. of Health and Human Services.**
3. **The American Society of Animal Science (ASAS). 2010. *Guide for the care and use of agricultural animals in research and teaching* Champaign, Il.: FASS, Federation of Animal Science Societies, pp. 3-4.**
4. **United States., United States. Animal and Plant Health Inspection Service. 2005. *Animal Welfare Act and animal welfare regulations*. Washington, D.C.: U.S. Dept. of Agriculture, Animal and Plant Health Inspection Service.**

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