IACUC POLICY
PRINCIPAL INVESTIGATORS AND IACUC PROTOCOLS

The University of Pennsylvania’s Institutional Animal Care and Use Committee (IACUC) has adopted the following policy to define the responsibilities of the Principal Investigator (PI) conducting animal research, teaching, or testing. Penn’s IACUC is charged with ensuring that all animal uses procedures meet the criteria set by the federal regulations, including the Animal Welfare Act and Regulations (AWAR), and the Public Health Service Policy (PHS). The PHS requires institutions to comply with the performance-based standards in the Guide for the Care and Use of Laboratory Animals (Guide).

The PI is defined as the person “responsible for a proposal to conduct research and for the design and implementation for research involving animals” (AWAR). The Guide and the PHS also refer to the PI being the person who is able to make or take part in decisions regarding important topics such as managing a vivarium, disaster planning, end of life/study judgments, etc.

This policy provides guidance to the research community regarding the criteria an individual must possess in order to be considered to be and function as a PI on an IACUC protocol.

- Faculty categories
- Training
- Exemptions

FACULTY CATEGORIES

In order to serve as a PI on Form-A (general research), privately owned animal (POAP), or Form-D (off-site) protocols, the individual must be one of the following categories of the faculty, as defined in the Faculty Handbook.

- Standing Faculty
  - Tenure or tenure-probationary status
  - Clinical-Educator
  - Emeritus faculty who are maintaining an active research program
- Associated Faculty
  - Research faculty

TRAINING

Regardless of the position or role on an IACUC protocol, all research personnel (not including business administrators) are required to complete Penn Profiler, Regulations and the IACUC, and the Occupational Health and Safety Animal Users Orientation online training. PIs may be assigned either the “Scientific Advisor” or “Scientist” role on an ARIES protocol.

- “Scientific Advisors” will not be handling animals and will not perform any animal procedures, but will provide general oversight and guidance for the research and will likely be the grant recipient funding the work. These “Scientific Advisor” PIs are additionally required to complete only the online species specific training for the species used on the protocol.
- “Scientists” will be handling animals and performing procedures. Therefore, “Scientist” PIs are required to complete all training related to the procedures that they will directly participate on
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the protocol (e.g. aseptic technique for surgical procedures, Physical methods of euthanasia without anesthesia for certain euthanasia procedures, etc.).

Additional training may be necessary as regulations and guidance changes, new policies are adopted, or for the resolution of compliance issues.

EXEMPTIONS

Exemptions to the policy may be requested to the IACUC Chair or OAW Director for a case-by-case consideration by the full IACUC membership at a convened meeting.