



### **Policy on Animal Use Protocol Roster Requirements and PI Eligibility**

In order to ensure the accountable and responsible use of animals in research and instruction at the University of Georgia, the IACUC has adopted the following policy regarding requirements for inclusion of personnel on animal use protocol (AUP) rosters, and eligibility requirements for Principal Investigator (PI) status on AUPs.

#### **General AUP Roster Requirements and Exceptions:**

Personnel who handle animals for the research- or instruction-related purposes covered by the protocol, who **do not** meet any of the exceptions listed below, must be listed in the AUP roster. The **exceptions** are:

- Personnel who are assisting with the protocol in ways that are consistent with their standard job responsibilities (e.g., URAR animal care technicians or URAR veterinary staff assisting to ensure proper conduction of a procedure)
- Personnel who will receive course credit for their participation in instructional protocols (e.g., students enrolled in a class that the protocol covers, teaching assistants, undergraduate volunteer assistants for outreach activities)
- Volunteering without course credit (see Policy for Volunteers in Research and Instructional Protocols for more information)
- The participation of undergraduates who are receiving a research experience may be addressed generally in the AUP description. These participants do not need to be specifically listed on the AUP roster, provided they are not conducting research themselves and work under the direct supervision of the PI or senior lab personnel. These individuals must complete the UGA IACUC 101 and Staying Healthy While Working with Animals modules, and meet the Occupational Health and Safety Program enrollment requirements.

#### **Eligibility to Assume and Maintain PI Status:**

Individuals who wish to act as PI on an IACUC protocol must meet specific criteria. These criteria apply to assuming PI status on a new protocol, and maintaining PI status on an approved protocol.

Although anyone who logs into Artemis may draft and save an AUP, *submission* of an AUP for IACUC review is restricted to individuals who are eligible to hold PI status as described below.

- I. Individuals who are UGA faculty, employed at UGA 100%, according to University Policy, may serve as a PI on an AUP, with the caveats listed in section II.
- II. Individuals in the categories below are not eligible to submit an AUP unless the “Acknowledgement of Responsibility for IACUC-Approved Activities on Behalf of the PI” [form](#) has been submitted by their department head, director, dean, CEO, or similar. This form explains why an exception should be made,

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provides the individual's qualifications to be a PI, and verifies that the signing authority assumes blanket responsibility for and ensures compliance with all requirements in place for conduct of all IACUC protocols if the PI fails to do so, or if the PI is not available.

- **Faculty who are not 100% employed at UGA (Non-UGA employment obligations limit ability to provide direct oversight at UGA)**
- **Adjunct Faculty**
- **Visiting Faculty**
- **Temporary Assistant Professor**
- **Postdoctoral Associates**
- **Non-UGA personnel affiliated with private companies**

III. AUPs cannot be submitted by graduate or undergraduate students. AUPs covering any student's work with live vertebrates must be submitted through and under the auspices of an eligible faculty member.

IV. If there is a change in a PI's status that affects their eligibility, they must notify the Office of Care and Use.

- i. A PI who's status changes such that they fall under the categories in II above must address any active protocols using one of these methods:
  - a. Close the protocol
  - b. Amend the protocol to change the PI to someone who is eligible
  - c. Submit a signed form "Acknowledgement of Responsibility for IACUC Approved-Activities" as described in II above.
- ii. Personnel who leave UGA employment may not remain as PI. Any active protocols must be closed, or amended to change the PI to a UGA employee. This should occur before departing UGA. If a protocol is not closed or transferred before the departure from UGA, OACU has the discretion to close the AUP.