

**NIDDK Review Process for Significant Changes (Modifications) to Animal Study Proposals**

## Guideline 1.01

The goal of this policy is to develop guidelines and procedures for amendments to Animal Study Proposals (ASP). This policy is based on the ARAC policy: Guidelines Regarding Significant Changes to Animal Study Protocols.

The NIDDK ACUC has established the following policy for mandatory and conditional review of changes to an Animal Study Proposal. Mandatory changes as outlined in the ARAC policy: Guidelines Regarding Significant Changes to Animal Study Protocols. Category 1 changes will be reviewed by the full committee review (FCR) or designated member review (DMR) in accordance with the PHS Policy.

Significant changes are categorized and reviewed as follows:

**Category 1: Mandatory non-administrative changes [Modifications], (Full Committee Review)**

These changes will be termed Modifications and will require Full Committee Review (FCR) or the designated member review process (DMR):

- a. Changes from non-survival to survival surgery
- b. Changes resulting in greater pain, distress or degree of invasiveness
- c. Changes in housing and or use of animals in a location that is not currently part of the animal program overseen by the ACUC
- d. Changes in species
- e. Changes in study objectives
- f. Changes in Principal Investigator (PI)
- g. Changes that could impact personnel safety

*Procedure:* The PI submits the proposed modification (bolded) within the latest approved version of the protocol. The ACUC Coordinator places this on the agenda for FCR. Upon approval, the ACUC Coordinator records the change as "Modification x, approval date" in the ASP. An approval notice to the PI along with the updated latest approved version of the protocol. The signatures of the PI, Veterinarian and ACUC Chairperson are recorded on the hard copy, which is placed on file and also is filed electronically. A copy of the change(s) will be sent to the appropriate animal facility staff.

**Category 2. Administrative Conditional (Veterinary Review)**

The NIDDK ACUC has established the conditional handling of significant changes under certain conditions if reviewed by the attending veterinarian to be known as Category 2 Veterinarian Verification and Consultation (VVC).

Note: The veterinarian has the option to refer the proposed change to FCR.

If an investigator requests change(s) to his ASP and the attending veterinarian may review the request and handle as a category 2 conditional change(s) as outlined in the ARAC policy: Guidelines Regarding Significant Changes to Animal Study Protocols.

These Category 2 changes include:

- a. Method of blood withdrawal if within the guidelines of the ARAC Policy for Bleeding.
- b. Changes in anesthesia, analgesia, and sedation by a NIDDK Standard Operating Procedure (SOP) or holding Animal Facility SOP(Appendix 1).
- c. Harem breeding if the cage density stays within the limits of the Guide.
- d. Change in method of euthanasia (as long as the new method is approved in the [AVMA Guidelines for the Euthanasia of Animals](#)).
- e. Change in experimental substances if substance is similar to approved substances or method of activity is similar to substance approved in their current ASP and has been reviewed by the safety representative has not safety concerns. (see attached table of substances Appendix 2).
- f. Increase of  $\leq 50$  animals or increase of  $\leq 10\%$  animals or greater of the two of previously approved animal numbers.
- g. Floor feeding of experimental diets or for experimental requirements.
- h. Collect of ear biopsies by ear punch for identification and/or tissue analyses.
- i. Second biopsy for genotyping is they follow the ARAC Guidelines for the Genotyping of Mice and Rats and/or Animal Facility's SOP sample for Genotyping.
- j. Add or change method of rodent identification (i.e. ear punch, ear tags, toe clipping or electronic chip). If toe clipping is used as identification, they must follow the ARAC Guideline for Toe Clipping of Rodents.
- k. Change in genotype/strain/stock of animal provided there is no anticipated adverse phenotype and provided the addition does not increase the number of previously approved animals by greater than 10%
- l. Minor changes in duration, frequency, type, or number of procedures performed on an animal or addition of behavior tests (Behavior Policy 1.02).

*Procedure:* The PI submits the proposed change (bolded) within the latest approved version of the protocol. The ACUC Coordinator sends this to the veterinarian. The consultation with the veterinarian is documented and this is attached to the final approved version of the protocol for the file. When the veterinarian approves, the ACUC Coordinator documents the change(s) in the ASP with a description of the change(s) and the date of approval. The ACUC Coordinator then sends an approval notice to the PI along with the updated latest approved version of the protocol. A hard copy is sent to the appropriate animal facility staff, and placed in the file and also filed electronically. A list of approved changes including protocol number, PI, title and description of the change is provided to the ACUC in the agenda and is recorded in the meeting minutes.

### **Category 3: Unconditional Administrative (Administrative Review)**

The NIDDK ACUC will follow the Category 3 Unconditional administrative handling as outlined in the ARAC policy: [Guidelines Regarding Significant Changes to Animal Study Protocols](#) .

Minor Amendments:

### **Category 3: Unconditional Administrative (Administrative Review)**

The following changes may be approved by the ACUC Coordinator.

- a. Correction of typographical errors
- b. Correction of grammar
- c. Contact information updates
- d. Change in personnel other than the PI

*Procedure:* For a, b and c, the ACUC Coordinator makes the change(s) in the ASP. For d, the PI submits the add personnel form, and all in-processing procedures (verification of enrollment in occupational health and safety program and has taken the Animal User Training) and verified by the ACUC Coordinator. The ACUC Coordinator then records the addition of personnel in the ASP and sends a copy to the appropriate animal facility staff. An approval notice is sent the PI along with the updated latest approved version of the protocol. A hard copy of both is placed in the file and also is filed electronically. A list of approved changes will be provided to the ACUC in the next meeting's agenda.

The ACUC and Animal Program policies, guidelines and standard operating procedures must be reviewed by the ACUC at appropriate intervals of no less than once every three years to ensure they are appropriate and accurate.

**Approved by the NIDDK ACUC 3/18/2015**  
**Amendment #1 Addition Category 2 I.**  
**4/15/2020**

**Approved by the NIDDK ACUC 6/17/2015 Revised**