

UC SANTA BARBARA

Institutional Animal Care and Use Committee

Santa Barbara CA 93106-5062

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<https://www.research.ucsb.edu/animal-subjects/about>

OLAW Annual Report Attachment

Animal Welfare Assurance A3865-01

Division of Assurances
Office of Laboratory Animal Welfare
National Institutes of Health
RKL 1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7982

Dear Division of Assurances,

In preparation for the 2021 OLAW Annual Report, the approved PHS Assurance document for UC Santa Barbara was reviewed and amended to reflect changes in the program.

- I. Program Changes
 - A. Changes in the Institution's Program
 - i. The membership of this Institution's IACUC has changed. Please see the roster on the Annual Report for the change.
- II. Semiannual Evaluations
 - A. Facility Inspection Dates
 - i. Spring 2021: May 14, 19, 20th, 2021; June 3, 7, 8, 10, 11, 14, 29, 30th, 2021
 - ii. Fall 2021: October 12, 13, 14, 20, 25, 26th, 2021; November 1st, 2021
 - B. Program Review Dates
 - i. Spring 2021: April 27th, 2021
 - ii. Fall 2021: October 26th, 2021

Sincerely,

DocuSigned by:
 (b) (6)
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Prof. Joseph Incandela
Institutional Official
Vice Chancellor for Research

Cc: Dr. Stuart Feinstein, IACUC Chair
IACUC Office

Annual Report to OLAW

Institution: UC Santa Barbara
Assurance Number: A3865-01
Reporting Period: October 1, 2020 – September 30, 2021

This institution's Institutional Animal Care and Use Committee (IACUC), through the Institutional Official, provides this annual report to the Office of Laboratory Animal Welfare (OLAW).

I. Program Changes *[Select A or B]*

- ☐ A. There have been **no changes** in this institution's program for animal care and use as described in the Assurance. *[Skip to Item II.]*
- ☒ B. Change(s) in this institution's program for animal care and use as described in the Assurance have occurred during this reporting period.

Select all that apply:

- ☐ This institution's AAALAC accreditation status has changed ([PHS Policy IV.A.2.](#)).
- ☐ [AAALAC Accredited](#) – Category 1
- ☐ Non-Accredited – Category 2
- ☒ This institution's program for animal care and use has changed ([PHS Policy IV.A.1.a-i.](#)). *[Attach a full description of the changes.]*
- ☐ The individual designated by this institution as the Institutional Official has changed. *[Provide name, title(s), address, e-mail, phone, and fax numbers in Item V.]*
- ☒ The membership of this institution's IACUC has changed. *[Provide current roster of members in Item VI.]*

II. Semiannual Evaluations

This IACUC has conducted semiannual evaluations of the institution's program and inspections of the institution's facilities (including satellite facilities) on the dates below. Reports of the evaluations and inspections have been submitted to the Institutional Official. The reports include any IACUC-approved departures from the *Guide* with a reason for each departure, any deficiencies (significant or minor) that were identified, and a plan and schedule for correction of each deficiency. *[Do not provide semiannual reports unless they include a minority view.]*

A. Program Evaluations

[Two dates (month/day/year) must be provided to satisfy the PHS Policy requirement that evaluations be done at 6-month intervals. If the IACUC conducted more than 2 evaluations of the program during the reporting period, please attach a list showing the dates.]

Date 1: October 29th, 2020	Date 2: April 27th, 2021
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B. Facility Inspections


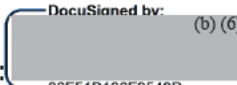
[Two dates (month/day/year) must be provided to satisfy the PHS Policy requirement that facility inspections be done at 6-month intervals. If the IACUC conducted more than 2 inspections of each site during the reporting period, please attach a list showing the dates.]

Date 1: November 13th, 2020	Date 2: May 14th, 2021
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III. Minority Views *[Select A or B]*

- ☒ A. There were **no minority** views during this reporting cycle.
- ☐ B. Any minority views submitted by members of the IACUC regarding reports filed under [PHS Policy IV.F.](#) for this reporting cycle are attached.

IV. Signatures

IACUC Chairperson	Institutional Official
Name: Dr. Stuart Feinstein	Name: Dr. Joseph Incandela
Signature: 	Signature: 
Date: 11/29/2021	Date: 12/1/2021

V. Change in Institutional Official

Name:	
Title:	Degree/Credentials:
Name of Institution:	
Address: <i>[street, city, state, zip code]</i>	
Phone:	Fax:
E-mail:	

VI. Change in IACUC Membership [*Current roster*]

Institution: UC Santa Barbara			
IACUC Contact Information			
Address: [<i>street, city, state, zip code</i>] Office of Research (b) (4), (b) (6) Cheadle Hall Santa Barbara, CA 93106-2050			
E-mail: iacuc@lifesci.ucsb.edu			
Phone: (b) (6)		Fax: 805-893-2005	
IACUC Chairperson			
Name: Stuart Feinstein			
Title: Professor, Co-Director of NRI		Degree/Credentials: Ph.D	
PHS Policy Membership Requirements***: Scientist			
IACUC Roster [<i>Provide below or attach</i>]			
Name of Member/ Code*	Degree/ Credentials	Position Title/ Occupational Background**	PHS Policy Membership Requirements***
Manuel Garcia	DVM, Ph.D, DACLAM	Attending Veterinarian	Veterinarian
(b) (6)			Scientist
			Scientist
			Scientist
			Scientist
			Scientist
			Nonscientist
			Scientist
			Scientist
			Nonaffiliated

¹ Committee member 028 serves as the alternate for Committee member 029, and Committee member 029 serves as the alternate for Committee member 028. Only one of these two members is present at each meeting.

* Names of members, other than the chairperson and veterinarian, may be represented by a number or symbol in this report to OLAW. Sufficient information to determine that all appointees are appropriately qualified must be provided and the identity of each member must be readily ascertainable by the institution and available to authorized OLAW or other PHS representatives upon request.

** List specific position titles for all members, including nonaffiliated (e.g., banker, teacher, volunteer fireman; not "community member" or "retired").

*** [PHS Policy](#) Membership Requirements:

<i>Veterinarian</i>	veterinarian with training or experience in laboratory animal science and medicine or in the use of the species at the institution, who has direct or delegated program authority and responsibility for activities involving animals at the institution.
<i>Scientist</i>	practicing scientist experienced in research involving animals.
<i>Nonscientist</i>	member whose primary concerns are in a nonscientific area (e.g., ethicist, lawyer, member of the clergy).
<i>Nonaffiliated</i>	individual who is not affiliated with the institution in any way other than as a member of the IACUC and is not a member of the immediate family of a person who is affiliated with the institution. This member is expected to represent general community interests in the proper care and use of animals and should not be a laboratory animal user or former user. A consulting veterinarian may not be considered nonaffiliated.

[Note: all members must be appointed by the Chief Executive Officer (or individual with specific written delegation to appoint members) and must be voting members. Non-voting members and alternate members must be so identified.]

Statement of Burden

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0765). Do not return the completed form to this address.

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Assurance Amendments

Animal Welfare Assurance A3865-01

Division of Assurances
Office of Laboratory Animal Welfare
National Institutes of Health
RKL 1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7982

Dear Division of Assurances,

In reviewing the approved PHS Assurance document for the University of California, Santa Barbara, it was noted that there are several changes to the Assurance with respect to the Institutional Commitment, IACUC Responsibilities, and Reporting Requirements sections. Below is a summary of the proposed changes.

Part III. B. page 3 Institutional Program for Animal Care and Use Current Description:

Finally, emergency veterinary care for the SNARL field station is provided by a local, private veterinary clinic, also through a formal agreement.

Part III. B. page 3 Institutional Program for Animal Care and Use Changed Description:

Finally, emergency veterinary care for animals housed at the SNARL field station is provided by a local, private veterinary clinic, also through a Standard Operating Procedure.

Part III. D. 2. page 4 Institutional Program for Animal Care and Use Current Description:

Natural Reserves field sites, except VESR-SNARL, are inspected on an as-needed basis, which is determined by the frequency of use of the reserve.

Part III. D. 2. page 4 Institutional Program for Animal Care and Use Changed Description:

Natural Reserves field sites, except VESR-SNARL, are inspected on an as-needed basis, which is determined by the frequency of vertebrate animals being housed at the reserve.

Part III. D. 3. page 5 Institutional Program for Animal Care and Use Current Description:

At this time, the Committee will review any identified deficiency to ensure the deficiency category (i.e., major or minor) assigned is appropriate to the finding.

Part III. D. 3. page 5 Institutional Program for Animal Care and Use Changed Description:

At this time, the Committee will review any identified deficiency to ensure the deficiency category (i.e., significant or minor) assigned is appropriate to the finding.

Part III. D. 4. page 5 Institutional Program for Animal Care and Use Current Description:

All animal use concerns are taken very seriously, and the IACUC Chair begins a fact-finding process immediately.

Part III. D. 4. page 5 Institutional Program for Animal Care and Use Changed Description:

All animal use concerns are taken very seriously, and the IACUC Chair begins a fact-finding process when notified of a concern.

Part III. D. 4. page 6 Institutional Program for Animal Care and Use Current Description:

Depending on the nature of the concern and the actions taken by the IACUC, the offense may also be reported to OLAW (if PHS or NSF funded), the USDA (if covered species are involved), AAALAC, and/or other funding agencies (if appropriate).

Part III. D. 4. page 6 Institutional Program for Animal Care and Use Changed Description:

Depending on the nature of the concern and the actions taken by the IACUC, the offense may also be reported to OLAW (if PHS or NSF funded), AAALAC, and/or other funding agencies (if appropriate).

Part III. D. 7. page 7 Institutional Program for Animal Care and Use Current Description:

The IACUC has implemented the NIH Guidance on Significant Changes to Animal Activities (NOT-OD-14-126). The PI must highlight...

Part III. D. 7. page 8 Institutional Program for Animal Care and Use Moved Description:

The IACUC has implemented the NIH Guidance on Significant Changes to Animal Activities (NOT-OD-14-126). The following significant changes may be handled administratively...

Part III. D. 10. page 9 Institutional Program for Animal Care and Use Current Description:

Any animals on a suspended protocol are transferred to the AV's "holding protocol".

Part III. D. 10. page 9 Institutional Program for Animal Care and Use Changed Description:

Any animals on a suspended protocol are transferred to the AV's and/or other "holding protocol".

Part III. E. page 10 Institutional Program for Animal Care and Use Current Description:

Basic personal hygiene, such as no eating in the animal facilities, keeping the surgery and animal areas clean, donning and discarding appropriate PPE, etc. are communicated to researchers.

Part III. E. page 10 Institutional Program for Animal Care and Use Changed Description:

Basic personal hygiene guidance, such as no eating in the animal facilities, keeping the surgery and animal areas clean, donning and discarding appropriate PPE, etc., are communicated to researchers and vivaria staff.

Part III. E. page 10 Institutional Program for Animal Care and Use Current Description:

If needed, the PI must submit an updated protocol or amendment along with the appropriate EH&S information or approval, or Institutional Biosafety Committee (IBC) approval, before receiving final protocol approval.

Part III. E. page 10 Institutional Program for Animal Care and Use Current Description:

If needed, the PI must submit an updated protocol or amendment along with the appropriate EH&S information or approval, such as Institutional Biosafety Committee (IBC) approval, before receiving final protocol approval.

Part III. E. page 10 Institutional Program for Animal Care and Use Current Description:

If the hazardous agent or material is being used in the PI's laboratory or in the field, then the PI must include this agent or material, and appropriate precautions or mitigations for working with this agent or material, in the Chemical Hygiene Plan (CHP) for their laboratory.

Part III. E. page 10 Institutional Program for Animal Care and Use Changed Description:

If the hazardous agent or material is being used in the PI's laboratory or in the field, then the PI must include this agent or material, and appropriate precautions or mitigations for working with this agent or material, in the EH&S Chemical Hygiene Plan (CHP) for their laboratory.

Part III. E. page 11 Institutional Program for Animal Care and Use Current Description:

The IACUC Coordinator receives copies of the outcome for each individual's review, which indicates one of the four possible outcomes described above and any recommendations from the Occupational Health Physician.

Part III. E. page 11 Institutional Program for Animal Care and Use Current Description:

The IACUC Coordinator receives copies of the evaluation report for each individual's review, which indicates one of the four possible outcomes described above and any recommendations from the Occupational Health Physician.

Part III. G. page 13 Institutional Program for Animal Care and Use Current Description:

All researchers planning to perform survival surgeries on rodents must complete this training, unless they are specifically exempted by the IACUC for comparable training/qualifications.

Part III. G. page 13 Institutional Program for Animal Care and Use Changed Description:

All researchers planning to perform survival surgeries on, or providing post-operative care for, rodents must complete this training, unless they are specifically exempted by the AV for comparable training/qualifications.

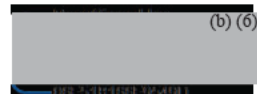
Part III. G. page 13 Institutional Program for Animal Care and Use Current Description:

New members must sign a New Member Orientation Training Checklist confirming they have received the items and been trained on the information described above.

Part III. G. page 13 Institutional Program for Animal Care and Use Changed Description:

New members must sign a New Member Orientation Training Checklist confirming they have received the training materials and been trained on the information described above.

Sincerely,

 (b) (6)

Prof. Joseph Incandela
Institutional Official
Vice Chancellor for Research

Cc: Dr. Stuart Feinstein, IACUC Chair
IACUC Office