

Annual Report to OLAW

Institution: Duke University

Assurance Number: D16-00123 (A3195-01)

Reporting Period: October 1, 2020, through 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

- ☐ A. There have been **no changes** in this institution's program for animal care and use as described in the Assurance.
- ☒ 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.](#)).
- ☐ The individual designated by this institution as the Institutional Official has changed.
- ☒ The membership of this institution's IACUC has changed.

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.

A. Program Evaluations

Date 1: 01/14/2021

Date 2: 07/15/2021



B. Facility Inspections

Date 1: See attached table	Date 2: See attached table
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III. Minority Views

- ☒ 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: Anna Hampton, DVM	Name: Mary E. Klotman, MD
 (b) (6)	 (b) (6)
Signature:	Signature:
Date: 11/18/21	Date: Nov 18, 2021

V. Change in Institutional Official

Name:	
Title:	Degree/Credentials:
Name of Institution:	
Address:	
Phone:	Fax:
E-mail:	

VI. Change in IACUC Membership

Institution: Duke University			
IACUC Contact Information			
Address: 2424 Erwin Road, (b) (4) Durham, NC 27705			
E mail: IACUC@Duke.edu			
Phone: (b) (6)		Fax: (b) (6)	
IACUC Chairperson			
Name: Anna Hampton			
Title: Director, Office of Animal Welfare Assurance		Degree/Credentials: DVM, DACLAM, DACAW, CPIA	
PHS Policy Membership Requirements***: Chairperson/Other ³			
IACUC Roster			
Name of Member/ Code*	Degree/ Credentials	Position Title/ Occupational Background**	PHS Policy Membership Requirements***
John Norton	DVM, PhD, DABT, DACLAM	Director, Division of Laboratory Animal Resources, Duke University	Attending Veterinarian
(b) (6)			Scientist
			Scientist
			Scientist
			Scientist
			Scientist
			Scientist
			Scientist
			Scientist
			Nonaffiliated Member ¹ Nonscientist ²
			Scientist
			Nonscientist ²
			Scientist
			Scientist
			Veterinarian
			Scientist/Veterinarian
Scientist			

(b) (6)			Other ³
			Veterinarian
			Scientist
			Scientist
			Scientist
Anna Hampton	DVM, DACLAM, DACAW, CPIA	Director, Office of Animal Welfare Assurance, Duke University	Chairperson Other ³
(b) (6)			Veterinarian
			Veterinarian
			Veterinarian
			Scientist
			Scientist
			Scientist
			Scientist
			Scientist
			Nonaffiliated Member ¹ Nonscientist ²
			Scientist
			Nonscientist ²
			Scientist
			Veterinarian
			Scientist
			Veterinarian
			Veterinarian
			Scientist
			Scientist

¹The nonaffiliated members are not hired or contracted by Duke University. Their only affiliation with Duke is their participation on the Duke IACUC. Their IACUC appointment is in accordance with *NOT-OD-15-109 Guidance on Qualifications of IACUC Nonscientific and Nonaffiliated Members*. Note: the nonaffiliated

members also met the PHS Policy Membership Requirements of nonscientific member.

²The nonscientific members do not have scientific training. Their backgrounds include information science/communications, philosophy/English, and education/training. Their positions at Duke are nonscientific. Their IACUC appointment is in accordance with *NOT-OD-15-109 Guidance on Qualifications of IACUC Nonscientific and Nonaffiliated Members*.

³Other - These individuals are veterinarians with training in research involving animals who hold an administrative position at Duke University.

* 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:

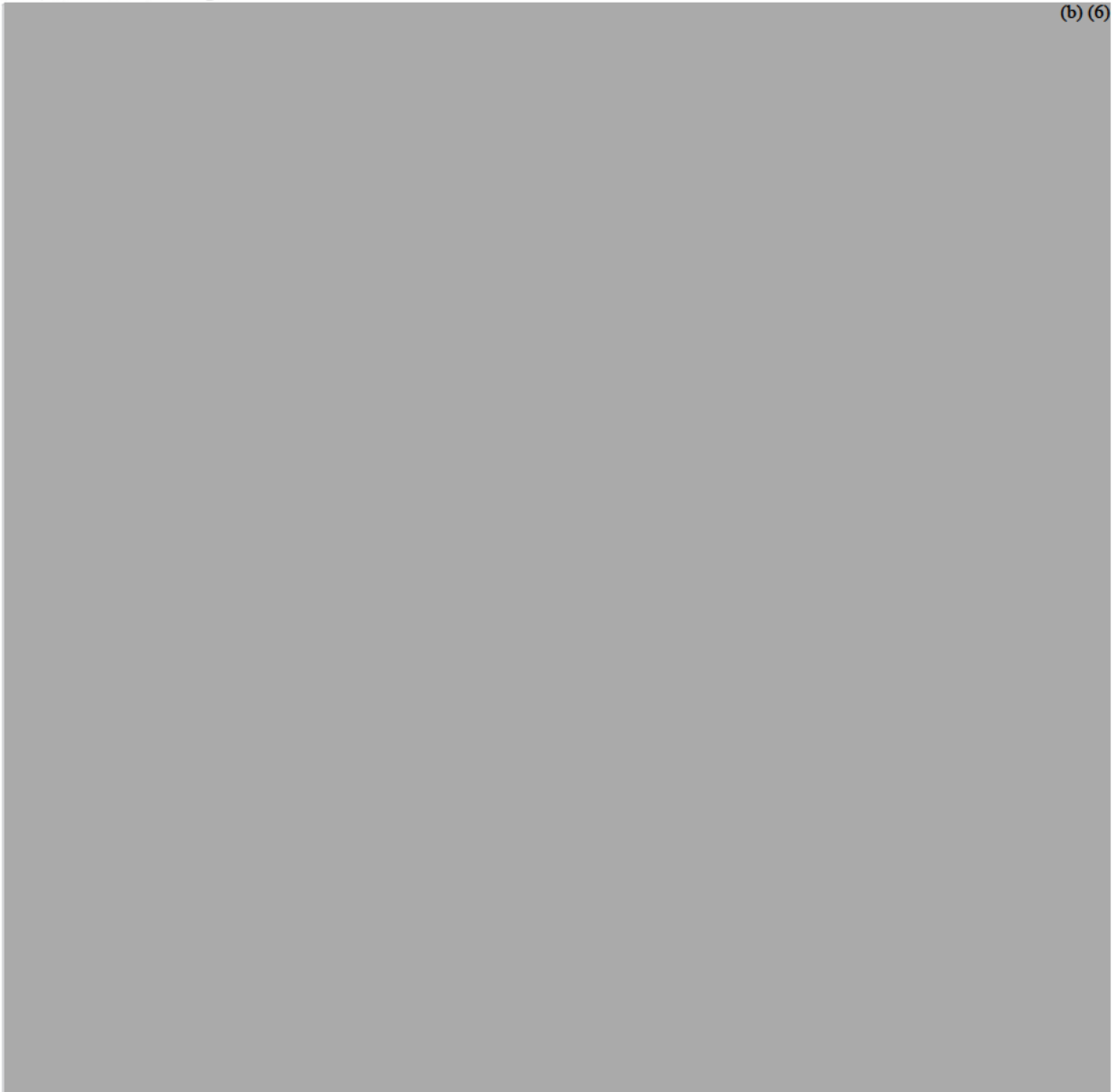
<i>Veterinarian</i>	veterinarian with training or experience in laboratory animal science and medicine or in the use of the species at the institution, who has direct or delegated program authority and responsibility for activities involving animals at the institution.
<i>Scientist</i>	practicing scientist 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.

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.

Narrative Supplement for Program Changes for Duke University, Assurance Number D16-00123 (A3195-01)

1. Duke University Animal Welfare Assurance for Domestic Institutions. Section III. A. Acronym list in the footer. DLAR is an acronym for the Division of Laboratory Animal Resources.
2. Duke University Animal Welfare Assurance for Domestic Institutions. Section III. B. The qualifications, authority, and percent of time contributed by the veterinarian(s) who will participate in the Program.



3. The IACUC has established/reviewed/revised many of the Duke Animal Care and Use policies within the past year. These revisions are consistent with our PHS Assurance. The most recent versions of all IACUC policies are available upon request.

Duke University, Assurance Number D16-00123 (A3195-01)
OLAW Annual Report: Semiannual Site Visit Dates by Facility
October 1, 2020 – September 30, 2021

Facility CODE	Reporting Period Semiannual Site Inspection Date 1*	Reporting Period Semiannual Site Inspection Date 2*
(b) (4)	3/4/2021	9/2/2021
	2/4/2021; 2/18/2021	8/19/2021
	10/1/2020	4/1/2021; 4/8/2021; 4/12/21
	2/11/2021; 2/18/2021	8/5/2021; 8/19/2021
	3/4/2021; 3/8/2021	9/2/2021
	3/8/2021; 3/18/2021	9/9/2021
	2/4/2021; 2/11/2021	8/5/2021
	3/18/2021	9/16/2021
	10/15/2020	4/15/2021
	10/1/2020	4/1/2021
	3/18/2021	9/16/2021
	10/1/2020	4/1/2021; 4/12/2021
	3/8/2021	9/9/2021
	3/11/2021	9/10/2021
	10/1/2020; 10/14/2020	4/1/2021
	11/5/2020	5/6/2021
	3/4/2021	9/2/2021
	3/4/2021	9/2/2021
	10/8/2020	4/8/2021
	3/18/2021	9/16/2021
	10/1/2020	4/5/2021
	10/1/2020	4/1/2021
	No animal activity	8/2/2021
	10/8/2020	4/8/2021
	10/1/2020	4/1/2021
	3/4/2021; 3/8/2021	9/2/2021
	2/25/2021	8/2/2021
	2/11/2021	8/12/2021
	3/4/2021	9/2/2021
	3/4/2021; 3/8/2021	9/2/2021
	2/4/2021	8/5/2021
	3/18/2021	9/16/2021
	10/15/2020; 10/19/2020	4/12/2021; 4/15/2021
	2/11/2021	8/12/2021
	11/5/2020	5/6/2021

*Locations with more than one date per-period indicates that different locations in the same facility were inspected on different days during their scheduled inspection month.