

## Annual Report to OLAW

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| Institution: Duke University                           |
| Assurance Number: D16-00123 (A3195-01)                 |
| Reporting Period: October 1, 2021 – September 30, 2022 |

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: 1/13/2022 | Date 2: 7/14/2022 |
|-------------------|-------------------|

## B. Facility Inspections

|                            |                            |
|----------------------------|----------------------------|
| Date 1: See attached table | Date 2: See attached table |
|----------------------------|----------------------------|

## 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 |
| Signature: (b) (6)      | Signature: (b) (6)        |
| Date: 11/14/22          | Date: 11/15/22            |

## V. Change in Institutional Official

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

## I. Change in IACUC Membership

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

(b) (6)

|                                   |
|-----------------------------------|
| Member                            |
| Veterinarian                      |
| Scientist                         |
| Scientist                         |
| Scientist                         |
| Member                            |
| Veterinarian                      |
| Veterinarian                      |
| Veterinarian                      |
| Veterinarian                      |
| Scientist                         |
| Scientist                         |
| Scientist                         |
| Scientist                         |
| Nonaffiliated Member <sup>1</sup> |
| Scientist                         |
| Nonscientist <sup>2</sup>         |
| Scientist                         |
| Veterinarian                      |
| Veterinarian                      |

|         |              |
|---------|--------------|
| (b) (6) | Veterinarian |
|         | Veterinarian |
|         | Scientist    |
|         | Scientist    |

<sup>1</sup>The nonaffiliated members are not hired or contracted by Duke University. Their only affiliation with Duke is their participation on the Duke IACUC. In addition, they are not a laboratory animal user or former animal user. Their IACUC appointment is in accordance with *NOT-OD-15-109 Guidance on Qualifications of IACUC Nonscientific and Nonaffiliated Members*.

<sup>2</sup>The 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*.

\* 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. |

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

1. Duke University Animal Welfare Assurance for Domestic Institutions. Section I.B. Triangle Veterinary Referral Hospital, Durham, NC was added as a covered component of the Duke Animal Welfare Assurance for the purposes of the grant. This amendment was approved by the Office of Laboratory Animal Welfare on February 18, 2022.
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.  
Sarah Long is a full-time participant in the Research Triangle Laboratory Animal Medicine residency program. Approximately 50% of her effort is spent serving as a Clinical Veterinarian in DLAR. She is a graduate of North Carolina State University College of Veterinary Medicine. She regularly attends national and regional continuing education provision for maintenance of credential for professional development. She has access to all animals.
3. Duke University Animal Welfare Assurance for Domestic Institutions. Section III. D. 9). Annual reviews are no longer routinely performed for protocols that indicate use of USDA-regulated species. This is in accordance with the USDA/APHIS Final Rule to 9 CFR Parts 2, 3, and 4, [Docket No. APHIS-2019-0001], RIN 0579-AE54.
4. 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, 2021 – September 30, 2022

| Facility<br>CODE | Reporting Period<br>Semiannual Site Inspection<br>Date 1* | Reporting Period<br>Semiannual Site Inspection<br>Date 2* |
|------------------|---|---|
| (b) (4)          | 3/3/2022  | 9/1/2022  |
|                  | 2/10/2022; 2/17/2022                                      | 8/18/2022   |
|                  | 10/7/2021; 10/13/2021; 10/21/2021                         | 4/7/2022  |
|                  | 2/10/2022; 2/17/2022                                      | 8/18/2022   |
|                  | 3/3/2022  | 9/1/2022  |
|                  | 3/10/2022   | 9/1/2022; 9/8/2022, 9/15/2022                             |
|                  | 2/3/2022, 2/10/22   | 8/4/2022; 8/11/2022                                       |
|                  | 3/17/2022   | 9/15/2022   |
|                  | 10/12/2021  | 4/21/2022; 4/27/2022                                      |
|                  | 10/7/2021; 10/12/2021;10/21/2021                          | 4/7/2022  |
|                  | 3/10/2022   | 9/8/2022  |
|                  | 10/7/2021; 10/12/2021                                     | 4/7/2022; 4/11/2022                                       |
|                  | 3/10/2022   | 9/8/2022  |
|                  | 3/17/2022   | 9/8/2022  |
|                  | 10/12/2021  | 4/7/2022  |
|                  | 11/4/2021   | 5/5/2022  |
|                  | 3/3/2022  | 9/1/2022  |
|                  | 3/3/2022  | 9/1/2022  |
|                  | 10/18/2021  | 4/15/2022   |
|                  | 3/17/2022   | 9/15/2022   |
|                  | 10/13/2021  | 4/14/2022   |
|                  | 10/7/2021   | 4/7/2022  |
|                  | 2/10/2022   | 8/11/2022   |
|                  | 10/12/2021  | 4/14/2022   |
|                  | 10/7/2021   | 4/7/2022  |
|                  | 3/3/2022  | 9/1/2022  |
|                  | 2/10/2022   | 8/11/2022   |
|                  | 2/10/2022   | 8/4/2022  |
|                  | 3/3/2022  | 9/1/2022; 9/8/2022  |
|                  | 10/12/2021  | 4/7/2022  |
|                  | 3/3/2022; 3/10/2022; 3/17/2022                            | 9/1/2022  |
|                  | 2/3/2022; 2/10/2022                                       | 8/11/2022   |
|                  | 3/17/2022   | 9/15/2022   |
|                  | 10/12/2021; 10/21/2021                                    | 4/14/2022; 4/21/2022                                      |
|                  | 2/10/2022   | 8/2/2022; 8/11/2022                                       |
|                  | 11/4/2021   | 5/5/2022; 5/9/2022  |

\*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.