

Annual Report to OLAW

Institution: California Institute of Technology
Assurance Number: D16-00266 (A3426-01)
Reporting Period: 01/01/2018-12/31/2018

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. ([FAQ 6](#))

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: 6/12/2018	Date 2: 1/15/2018
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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: See attached schedule (Appendix A)



Date 2:

III. Minority Views [Select A or B]

[X] 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: Richard Andersen	Name: Grace Fisher-Adams
Signature:  (b) (6)	Signature:  (b) (6)
Date: 1/23/19	Date: 1-23-2019

V. Change in Institutional Official

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

VI. Change in IACUC Membership [Current roster]

Institution:			
IACUC Contact Information			
Address: 1200 E. California Boulevard MC 02-31 Pasadena, CA 91125			
E-mail: iacuc@caltech.edu			
Phone: (b) (6)		Fax: (b) (6)	
IACUC Chairperson			
Name: Richard Andersen			
Title: James G. Boswell Professor of Neuroscience		Degree/Credentials: B.S., Ph.D.	
PHS Policy Membership Requirements***: Scientist			
IACUC Roster [Provide below or attach]			
Name of Member/ Code*	Degree/ Credential	Position Title/ Occupational Background**	PHS Policy Membership Requirements***
R. Andersen	B.S., Ph.D.	Professor, Biology	Scientist
(b) (6)			Veterinarian
			Scientist
			Scientist
			Scientist
			Alternate Scientist
			Nonscientist
			Nonaffiliated Member
			Nonscientist
			Nonscientist
			Alternate Scientist
			Alternate Nonscientist
			Alternate Veterinarian
			Alternate Nonaffiliated Member

* 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 (for example, 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. A consulting veterinarian may not be considered nonaffiliated.

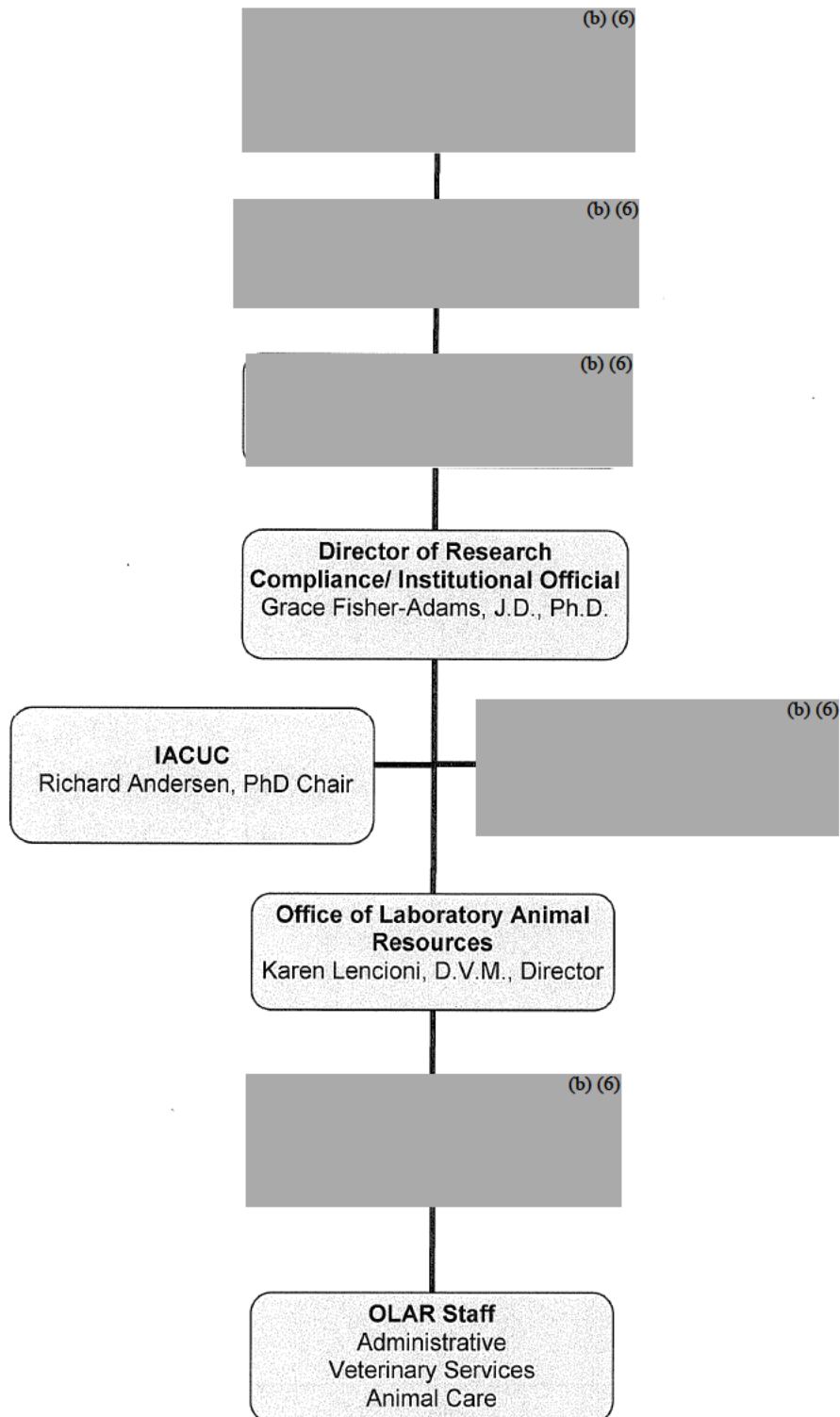
[Note: all members must be appointed by the CEO (or individual with specific written delegation to appoint members) and must be voting members. Non-voting members and alternate members must be so identified.]

Changes in the Caltech Program for animal care and use during this reporting period include the following:

1. The IACUC roster has changed to include: One new alternate veterinarian (b) (6) and one new alternate nonaffiliated member (b) (6) have been added. (see roster above)

INSTITUTIONAL PROGRAM FOR ANIMAL CARE AND USE

- A. The lines of authority and responsibility for administering the program and ensuring compliance with the PHS Policy are as follows:



Note: As indicated above, there are direct and open lines of communication between the IACUC and the Institutional Official (IO) and between the Veterinarian and the IO.

Appendix A.

Semi-Annual Inspection Schedule January to November 2018:

Building# & Inspection Type	Date 1	Date 2
1 - Animal facility	1/18/2018	7/17/2018
1- PI labs	1/10/2018	7/12/2018
2- Animal Facility	2/14/2018	8/21/2018
2 - PI Labs	2/21/2018	8/23/2018
3 - Animal Facility	3/14/2018	9/19/2018
3 - PI Labs	3/15/2018	9/17/2018
4 - Animal Facility	4/11/2018	10/11/2018
4 - PI Labs	4/16/2018	10/18/2018
5 - Animal Facility	5/07/2018	11/05/2018
5 - PI Labs	5/14/2018	11/14/2018