



**Whereas:** San José State University must have a current, comprehensive policy assuring the humane care and use of laboratory animals; and

**Whereas:** That policy must be in accord with current Federal guidelines; and

**Whereas:** That policy should indicate clearly how animal activities are to be organized and conducted, what procedures are to be followed, what individual responsibilities are with regard to the care and use of animals, and what University committee oversees the humane care and use of animals; and

**Whereas:** IACUC meeting bylaws are now detailed in a Standards of Practice changing federal regulations; be it therefore

**Resolved:** That the following amendment to S14-6 be adopted.

- Approved: April 8, 2024
- Vote: 7-0-0
- Present: Kourosh Amirkhani, Megan Chang, Stefan Frazier, Marie Haverfield, Ellen Middaugh, Scott Shaffer, Hiu-Yung Wong (Chair)
- Absent: Tæ!& âqE|æ!&æ[, P^æc@^! Šæccâ { ^!, Üâ&@æ!â T [ &æ!•\â, Sahithya Swaminathan, Cristina Velarde
- Workload Impact: None
- Financial Impact: None

# UNIVERSITY POLICY

## Policy and Assurance for Humane Care and Use of Animals at San José State University

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### 1.0 Preamble.

#### Ethics and the Care and Use of Animals at San José State University

San José State University (SJSU) recognizes this policy as its reference for the humane care and use of animals and for addressing ethical concerns in discussions, evaluations and policy matters regarding the care and use of animals by all individuals at SJSU and its affiliates.

SJSU acknowledges the public debate about the legitimacy, importance and relevance of the ethics of animal care and use. We recognize that within this debate there are a number of legitimate and responsible perspectives, concerns and unresolved issues that are expressed in various ways. We, therefore, commit ourselves to be a respectful and responsible party within this on-going public debate.

SJSU recognizes the relevance, value and significance of the ideals of the humane treatment of animals as part of conducting sound scientific research and quality teaching. Therefore, we commit ourselves to actively: seek satisfactory means that do not entail the use of animals; employ ways that minimize the number of animals used; minimize physical and psychological discomfort to the animal; and minimize the extent of euthanasia entailed in our work.

SJSU holds that among the sources of our ethical responsibilities in the care and use of animals are the relationships we have with the other members of the animal kingdom, and the life that we hold in common with them. Therefore, we view our role in the care of animals to be one of stewardship, which includes the responsibility to actively assess and meet the needs of animals in our charge and to provide for their comfort. We view our role in all instances of animal use to be one that must reflect a deep sense of humility. Our corresponding responsibilities must include efforts to seek and employ methods that embody respect for the life of individual animals and reverence for life itself.

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## 0. Purpose.

When animals are used for academic activities at SJSU, every effort will be made to ensure that faculty, staff, and students understand their ethical and scientific obligations with respect to animal care and use. This policy sets forth standards, procedures, and guidelines by which SJSU and its affiliates shall ensure compliance with federal and University expectations with regard to the care and use of animals for academic purposes.

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## 3.0 Definitions.

3.1 Animal refers to any live or dead non-human vertebrate species that is acquired, utilized or held for intended use in an academic activity, which includes the utilization of animal blood or tissues. Non-living animal tissues covered by this policy include, but are not limited to hair, bone, feathers, scales, teeth, excrement, boluses and secretions.

3.1.1 Operationally, this policy pertains to the care and use of vertebrate animals. In addition, SJSU affirms that the purview of this policy extends to the use of Cephalopods and select invertebrate species as described in \_\_\_\_\_ of this policy.

3.2 Activity refers to any University-supported project, whether it is publicly or privately funded, involving the use of animals for purposes of research, field study, experimentation, teaching, demonstration, training, testing, exhibition, artistic display, or related academic purpose.

3.3 Handling refers to the physical care, feeding, holding, petting, capture, dosing, sampling, disturbance, dispatch, breeding, baiting, release, transport, immobilization, dissection, treatment, training, or related interaction with an animal.

3.4 Pain refers to a complex experience that typically results from stimuli that damage or has the potential to damage tissue; such stimuli prompt withdrawal and evasive action on

providing public assurance that animals associated with legitimate academic activities are properly cared for and being treated in accordance with IACUC-approved standards.

4.3 Institutional Official. The University President may designate responsibility to the Institutional Official (e.g. the Associate Vice President for Research) to oversee and ensure that the animal care and use program complies with all applicable laws and institutional assurances; and 2) define and assign responsibilities and reporting channels essential to the animal care and use program and this policy.

4.3.1 The Institutional Official will rely on the Institutional Animal Care and Use Committee (IACUC), Campus Veterinarian, and the Dean of the College of Science to: 1) develop and implement timelines to correct program deficiencies; 3) respond to reported concerns that may arise and 4) coordinate a training program for personnel.

4.3.2 The Institutional Official will have the responsibility and authority to sign correspondence with outside agencies making a commitment on behalf of the University as it pertains to the animal care and use program. The Institutional Official shall promptly notify the appropriate external agency if the IACUC suspends an approved activity or there is a serious violation of the Public Health Service Policy on the Humane Care and Use of Laboratory Animals or the Laboratory Animal Welfare Act, if applicable.

4.3.4 The University President shall act as the Institutional Official if his/her designee is unavailable. In such instances, the Office of the President shall generate a memo to the IACUC Chair indicating that the University President shall assume the role as Institutional Official with the authority to sign all related documents under this role until any further change in designation is indicated in writing. The University President shall promptly notify the respective Federal agencies of any change in designation of the Institutional Official as required.

4.4 Campus Veterinarian. The University President shall appoint one Doctor of Veterinary Medicine with the appropriate training, certification and experience in laboratory animal science and medicine who will have direct responsibility for the health and welfare of animals associated with the SJSU Animal Care Program. As Veterinary Director, responsibilities of the Campus Veterinarian include monitoring animal health and welfare, routine clinical







and experimental design shall be clearly defined and justified by the PI to yield useful results, not practically obtainable without the use of animals.

5.2 Animals selected for an activity shall be of an appropriate species and quality and minimum number required to obtain valid results. Each animal use protocol must adequately address animal (use of inanimate models and/or taxonomically lower species, and methods such as computer simulation and biological systems); animal (statistical justification and/or scientific support of animal numbers associated with an activity are the minimum number necessary to achieve valid results); and avoidance of in research and curriculum.

5.3 Proper use of animals, including the avoidance or minimization of discomfort, distress, and pain where consistent with sound scientific practices, is imperative ( ). Unless the contrary is established, investigators shall consider that procedures known to cause pain or distress in human beings may cause pain or distress in other animals.

5.4 Procedures with animals that may cause more than momentary or slight pain or distress shall be performed with appropriate sedation, analgesia, or anesthesia whenever possible. A qualified veterinarian shall evaluate and provide investigators input on the clinical, surgical, and technical aspects of an activity or procedure known to cause more than momentary or slight pain or distress to an animal. Confirmation of veterinary consultation shall be clearly documented in the animal care and use protocol for such activities.

5.4.1 If a procedure or manipulation is likely to cause greater discomfort than the applied level of anesthesia, the animals must first be rendered incapable of perceiving pain and be maintained in that condition until the experiment or procedure is ended. Animals that would otherwise suffer severe or chronic pain or distress that cannot be relieved should be painlessly dispatched at the earliest, most appropriate time. The PI or personnel in charge of the activity must be prepared to terminate the study whenever s/he believes that its continuation may result in undue or unnecessary injury or suffering to the animal as a humane endpoint.

5.4.2 If an emergent situation occurs where the well-being of the animal is at stake, investigators shall immediately halt the activity and contact the attending veterinarian for



and primary conveyances must provide adequate ventilation, protection from temperature extremes and minimize stress to the animal. During transport animals shall be appropriately secured and monitored at appropriate intervals while in transit to ensure their well-being.

IACUC in a timely manner for review and approval. No change to an approved protocol may be instituted without prior written approval from the IACUC.

6.1.1 Personnel must pursue IACUC approval for instructional, research, artistic and field activities as required by this policy or as requested by individual academic departments, the College of Graduate Studies, or the San Jose State University Research and Tower Foundations. It is at the discretion of the IACUC to voluntarily review submissions from the campus community that do not meet policy requirements for oversight of an animal activity. \_

6.1.2 SJSU IACUC approval of an activity shall not relieve the Principal Investigator of the responsibility to obtain additional permits with the Institutional Review Board (human subjects), Health Physics Committee (radioactive materials), or Institutional Biosafety Committee (recombinant DNA use and Biological Use Authorizations), or to comply with

6.1.6

import permit for specimens derived from species of special concern, threatened, endangered or as required by law. The IACUC may require documentation of the date, time, and circumstances of collection, including proof of prior IACUC approval, for tissues shared by outside collaborators. An abbreviated protocol form is available for IACUC review of such activities.

6.3.1 Opportunistic sources of obtaining animal tissue include (but are not limited to)



6.8.4 Activities that may produce significant pain or distress in vertebrate animals and Cephalopods in which every effort is made to avoid, minimize and alleviate suffering using the appropriate anesthetic, analgesic or tranquilizing drugs, and in which the use of such drugs is being by providing adequate supportive and veterinary care where appropriate. Activities of this nature (e.g., invasive surgery) require that investigators maintain detailed animal care records documenting animal monitoring plans, assessments, pain management, and supportive veterinary care schedules. Category IV studies present an explicit responsibility on the part of the PI to justify the experimental design and implementation of research, to seek alternative methods, and to properly train personnel working on the study to ensure that animal pain and distress is properly recognized and alleviated, or avoided.

6.8.5 Activities that involve greater than momentary pain or distress, or unavoidable pain, discomfort, or distress in vertebrate animals and Cephalopods whereas use of the appropriate anesthetic, analgesic or tranquilizing drugs to minimize or alleviate suffering are withheld due to adverse impacts on the procedures, results or interpretation of study. The PI must explore and document means by which any animal suffering shall be mitigated to the greatest extent possible, including the use of such drugs. Such activities must be deemed irrefutably necessary by design to receive IACUC approval.

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## 7.0 Protocol Review Standards and Procedures.

7.1 The IACUC is charged with institutional review and approval of animal care and use protocols, including proposed significant or minor changes to a protocol, and oversight of ongoing activities that involve the care and use of laboratory animals. The IACUC shall evaluate each animal use protocol description and modification request for (but not limited to):

7.1.1 Adherence to the provisions and standards cited in \_\_\_\_\_ of this policy.

7.1.2 Assurance that protocols that entail the use of live vertebrate animals include identification of the species and approximate numbers to be used; rationale for involving animals and the appropriateness of the animals selected and numbers of animals to be used; a complete description for the proposed use of animals; a description of procedures designed to assure that discomfort and pain to animals will be limited to that which is

unavoidable for the conduct of scientifically valid research or teaching; and a description of a euthanasia method to be used.

7.1.3 Assurance that the housing and care of animals meets Federal standards, and that animals receive adequate veterinary care and physical and psychological enrichment where appropriate per IACUC standards.

7.1.4 Assurance that activities involving surgery include appropriate provision for pre-operative and post-operative care of animals in accordance with established veterinary medical and nursing practices, and that all survival surgery will be performed using aseptic technique.

7.1.5 Assurance that the pain and distress category for each proposal is appropriately assigned and that all procedures that may cause more than momentary or slight pain or distress to animals are performed with appropriate sedation, analgesia or anesthesia when possible, with accompanying documentation and scientific justification that less painful or distressful procedures are not available or appropriate.

7.1.6 Assurance that the number of animals to be used is the minimum necessary to achieve valid results and alternatives to the use of live animals have been adequately considered.

7.1.7 Assurance that animal activity locations and facilities are described in the animal care and use protocol. For proposed off-campus facilities the IACUC must approve  
the use of animals will be subject to the principles outlined herein.

7.1.8 Assurance from the PI that the proposed animal activity has been examined and is not unnecessarily duplicating work that is ongoing or has already completed, whether in publication or curriculum.

7.1.9 Assurance that the level of personnel involvement, animal handling experience and training or required training, guidance and supervision is described and that all individuals are properly trained and deemed proficient by the PI or their designee in the humane care and use of animals before engaging in an animal-related activity.

7.1.10 Assurance that the risks associated with the care and use of animals are reduced to acceptable levels and that personnel are adequately trained. The IACUC shall evaluate and inform the PI of the potential hazards related to chemical usage, bites and exposures,

7.1.11 Assurance that the PI or designee shall obtain and abide by all applicable Federal, state or local scientific collection, marking and access permits associated with the care and use of animals.

7.1.12 Assurance that any deviation from provisions outlined in this policy, applicable Federal guidelines, or institutional standards in the care and use of animals is revealed to and approved by the IACUC before the activity commences.

7.1.13 Falsification of information on an animal care and use protocol submission or deviation from approved protocol by the PI or personnel may be considered by the IACUC as immediate grounds for suspension of an activity, revocation of IACUC approval for the use of animals and referral to the Institutional Official for appropriate action.

## 7.2 Protocol Review and Approval.

7.2.1 The PI is responsible for screening the protocol application for accuracy and completeness prior to IACUC consideration. The PI shall submit the appropriate animal care and use protocol submission form with attachments for IACUC review in ample time before the proposed project initiation date (60 days prior is recommended). Instructional protocols must be submitted to and approved by the IACUC in ample time before the commencement of a given semester. The PI is encouraged to allow time for preview of the protocol submission by the IACUC staff or Campus Veterinarian before formally submitting materials for IACUC consideration.

7.2.2 For activities identified at a pain and distress level III or greater, the PI must consult a qualified veterinarian prior to IACUC consideration of the protocol to ensure that methods of analgesia, anesthesia, tranquilization, euthanasia and pre/post-operative care are appropriate, employed where necessary, and are in accordance with current veterinary and nursing practices.

7.2.3 Procedures for handling a protocol submission for IACUC review and approval are:

. The complete protocol submission is routed to the IACUC Coordinator electronically for processing by the submission deadline. The Coordinator reviews all submissions for completeness and may provide input or assistance to the PI with developing the submission before accepting it.

a. The PI must provide a complete lay description of the proposed use of animals. Submissions that are considered too technical for a lay audience by the IACUC will be returned for full revision.

b.



involving animals or animal tissues may submit a request for IACUC approval exemption available on the IACUC resources webpage.

7.9.2 The IACUC Chair may grant IACUC approval exemption based on the information provided by the PI with respect to the provisions set forth in this policy. Denial of a request for exemption implies that IACUC approval for the proposed activity is required.

7.9.3 If accepted, an official letter of IACUC approval exemption will be provided to the PI to satisfy requirements for animal subjects oversight.

#### 7.10 Annual review of protocols

7.10.1 All active protocols for animal care and use shall be reviewed and approved by the IACUC annually. The IACUC coordinator will route the PI of a protocol the appropriate annual review request information one month before the protocol anniversary date.

7.10.2 The PI is required to respond to all IACUC requests listed on the annual review cover letter and return the completed annual review form provided by the IACUC Coordinator by the designated date. Questions concerning annual review documents should be directed to the IACUC coordinator.

7.10.3 A request may result in protocol approval suspension for an ongoing animal activity.

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### 8.0 Project Risk Assessment, Personnel Safety and Training.

8.1 All activities will be assessed by the IACUC for a safe and healthy work environment to ensure that risks associated with experimental use of animals are maintained within acceptable levels. In addition to complying with University Injury and Illness Prevention Program (IIPP) procedures implemented by SJSU Environmental Health & Safety, personnel will be required to adhere to standards set forth by the IACUC with regard to personal protection and safety. The IACUC requires the PI and all personnel associated with an activity to be familiar with the personnel safety risks, precautions to mitigate safety hazards and emergency response procedures with respect to an IACUC-approved protocol.

8.1.1 In the event of an injury related to animal handling or potential exposure to a zoonotic disease, personnel shall immediately seek medical attention and report any such exposure to their PI or appropriate supervisor. The PI or supervisor is required to report

personnel accidents and injuries to Risk Management or University Personnel within 24 hours of the incident to ensure appropriate follow-up care is offered.

8.2 A University-wide Laboratory Animal Occupational Health Program (LAOHP) shall be in

8.4 The IACUC shall maintain a personnel training program for all individuals responsible for the care or use of animals. All personnel shall be appropriately qualified and experienced in conducting procedures involving live animals. Personnel who are expected to perform veterinary anesthesia, surgery or other experimental manipulations must be qualified through experience and training to accomplish these tasks in a humane and scientifically acceptable manner. Personnel shall also have access to and, where appropriate, engage in continuing education and training in the care and use of animals as it relates to their work.

8.4.1 IACUC policy training shall include (but not be limited to): principles of the intent and requirements of animal welfare law; alternatives to the use of live animals in research; resources that could prevent unintended or unnecessary duplication of research involving animals; the concept, availability and use of research testing methods that limit the use of animals or minimize animal distress; basic needs, proper handling and care of each species of animal to be used; proper pre-





U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training (1985)