



A. PURPOSE

To establish who can be a Principal Investigator (PI) or Co-PI on an IACUC protocol and outline the expectations and responsibilities of a University of Arizona (UArizona) PI or Co-PI on an IACUC protocol.

Serving in the role of PI/Co-PI on an activity is a privilege granted to certain people associated with the University of Arizona. With the oversight responsibility implicit in the University's engagement in the activity, including acceptance of outside funds for a project, the University must be in a position of authority over the PI/Co-PI's actions. Therefore, an individual's participation in University of Arizona research is dependent upon that individual's relationship with the institution. RII has set out guidelines that must be met for the consideration of granting status as a PI/Co-PI's to any individual.

B. GUIDELINES

PI Eligibility

- The IACUC follows University of Arizona Research, Innovation & Impact (RII) guidelines for PI/Co-PI eligibility (see [RII Eligibility Guidelines](#)).
- The minimum level of FTE to serve as a PI/Co-PI is 0.50 FTE as a University of Arizona employee. A request for a lower FTE must be made through RII (see *RII PI/PD/Co-PI Minimum Employment Exception Request*, below for link).
- A Co-PI assumes the same responsibilities and expectations as the PI on an IACUC protocol.

IACUC Expectations for PI/Co-PIs

The IACUC expects all individuals working with animals to adhere to all federal, state, UArizona, and IACUC guidances, policies, and requirements for animal use. This includes, **but is not limited to**, the following. Individual guidances and additional information are available on the IACUC website.

- The PI/Co-PI is responsible for securing protocol approval and/or de novo renewal approval prior to beginning animal work. An expired protocol is not valid for animal work. The PI will conduct animal work only as part of an approved protocol, as described on the protocol.
- PI/Co-PIs and all persons listed on an IACUC protocol are required to conduct the project in accordance with the PHS Policy on Humane Care and Use of Laboratory Animals, USDA regulations (9 CFR Parts 1, 2, 3), the Federal Animal Welfare Act (7 USC 2131 et. Seq.), the *Guide for the Care and Use of Laboratory Animals*, and all relevant institutional regulations and policies regarding animal care and use at the University of Arizona.
- All procedures involving animals will be carried out humanely.
- All individuals working autonomously on a protocol are qualified to conduct procedures involving animals, are competent in the techniques cited in the protocol, and will maintain appropriate and complete animal and training records. All untrained staff will be sufficiently supervised until competency is achieved. All staff members involved with the protocol are aware that they may access the protocol documents through eSirius at any time.
- The PI or designee will notify the IACUC regarding any unanticipated deaths or unexpected study results, or a phenotype that negatively impacts the welfare of the animals; including but not limited to those that require veterinary care or treatment not described in the approved protocol.



- University Animal Care veterinarians are authorized by federal regulations to provide treatment or euthanize an animal as required to relieve severe pain or distress.
 - It is the policy of the IACUC and University Animal Care to work with the PI and their research team to assure that any modifications made to the protocol will not compromise the research aims of the project. Please note, federal law has granted intervention authority to either the attending veterinarian or the IACUC in the event that animal health is jeopardized or approved protocol procedures have been altered without prior IACUC approval. The IACUC has the authority to suspend work that is in violation of federal regulations.
- Before initiating any change in the study design or procedures listed on a protocol, approval from the IACUC must be received through the protocol amendment process. All amendments must be approved by the IACUC prior to implementation. Work performed without IACUC approval cannot be published with certification of IACUC approval and may result in federally-required reporting of non-compliance.
- Animals may not be transferred between investigators or between protocols without prior IACUC approval.
- When an investigator can no longer serve as PI, measures should be taken to transfer ownership of the protocol to another investigator; or close the protocol. Adequate notice of either PI ownership transfer or protocol closure must be provided to the IACUC Program staff.

C. REFERENCES, MATERIALS, AND/OR ADDITIONAL INFORMATION

- [RII PI/PD/Co-PI Minimum Employment Exception Request](#)
- RII [PI Eligibility Guidelines](#)
- [IACUC Website](#)
- [Current IACUC Guidances](#)