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TITLE	:	Policy on IACUC Agreements with Collaborating Institutions
SCOPE	:	All Northwestern personnel collaborating with offsite institutions for activities involving animal research.
SOP OWNER	:	Institutional Animal Care and Use Committee (IACUC)
PURPOSE	:	To describe institutional policy regarding collaborations with offsite institutions.
RELATED DOCUMENTS	:	None

I. Performance Standard

Northwestern University (NU) assures all research is conducted in an appropriate and legal manner when collaborating with other institutions.

II. Background

The Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy) assigns responsibility to the prime awardee/grantee for the conduct of PHS-funded research and for ensuring that the information approved by the Institutional Animal Care and Use Committee (IACUC) is consistent with the grant.¹ The National Institutes of Health (NIH) Office of Laboratory Animal Welfare (OLAW) has clarified the roles that NU may assume when participating with other institutions in PHS-assured collaborative research. While NU considers collaborative activities as beneficial to successful research endeavors, these activities have the potential to create ambiguities and, in accordance with *The Guide for the Care and Use of Laboratory Animals (the Guide)*, should include a formal written outline describing animal ownership and defining the animal care and use responsibilities subject to IACUC review and oversight.²

III. Policy

This Policy provides guidance for situations where NU researchers engage in collaborative activity involving animal research performed at institutions other than NU. To outline the responsibilities of each institution within collaborations, an IACUC Agreement will be initiated. Review of the protocol by multiple IACUCs is not required; however, the NU IACUC will review collaborations occurring at foreign sites and protocols involving USDA-covered species to ensure that the work is appropriate. Regardless of which IACUC reviews the protocol, documentation of the protocol review must be maintained by the IACUCs at both collaborating institutions.^{3,4}

The IACUC Office shall serve as the coordinating unit for the NU IACUC to ensure all necessary requirements have been met prior to executing an IACUC Agreement. Documents that must be submitted to the IACUC Office, as applicable, include:

1. Complete copy of the grant (if federally funded).
2. Approved animal protocol and approval letter from the IACUC or equivalent committee at the collaborating institution (subawardee).

A. Options for collaborative work when PHS funds are involved:

1. **NU is the primary grantee of PHS funds that shall be used at a collaborating (subawardee) PHS- assured institution:** The IACUC Office will confirm that the work is approved by the IACUC or equivalent committee at the collaborating institution and complete a congruency review. An IACUC Agreement between the two institutions shall be established.

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2. **NU is the primary grantee of PHS funds that shall be used at a non-assured collaborating (subawardee) institution:** NU will not generally extend its PHS Assurance to non-assured institutions, except in extraordinary circumstances as determined by the Institutional Official. The collaborating institution shall contact the NIH requesting to become an assured institution. NU IACUC shall review/approve the protocol of the collaborator. An IACUC Agreement between the two institutions shall be established.

3. **NU is the collaborating institution using PHS funds for which the other institution is the primary grantee:** NU shall review/approve the protocol for the work being performed at NU. NU shall provide the primary grantee any information requested to fulfil the obligations of the primary grantee. The primary grantee will be responsible for confirming congruency and initiating an IACUC Agreement.

B. Options for collaborative work when NU is the primary grantee of non-PHS funds which shall be used at the other institution: The IACUC Office will confirm that the work is approved by the IACUC or equivalent committee of the collaborating institution. An IACUC Agreement between the two institutions shall be established.

IV. References

1. ARENA/OLAW Institutional Animal Care and Use Committee Guidebook 2nd Edition 2002: <https://grants.nih.gov/grants/olaw/guidebook.pdf>
2. The Guide for the Care and Use of Laboratory Animals, (8th edition), Collaborations: <https://grants.nih.gov/grants/olaw/guide-for-the-care-and-use-of-laboratory-animals.pdf>
3. Office of Laboratory Animal Welfare (OLAW) FAQ D.8, D.13: <https://olaw.nih.gov/guidance/faqs>
4. NIH Subawards (Consortium Agreements) for Grant SOP: <https://www.niaid.nih.gov/research/grants-subawards-consortium-agreements>
5. AAALAC, FAQ B.: <https://www.aaalac.org/accreditation-standards/faqs/#A1>