



<b>SUBJECT:</b> Exempt Animal Studies	<b>Effective Date:</b> 8/3/2021	<b>Policy Number:</b> 10.4.2				
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<b>Responsible Authorities:</b> Principal Investigator Vice President, Research Institutional Animal Care and Use Committee Assistant Vice President for Research, Research Integrity						

- I. Background  
 FAU and its Institutional Animal Care and Use Committee are committed to the humane care and use of animals in research, teaching or testing activities. In accordance with Title 9, Code of Federal Regulations, Subchapter A – Animal Welfare, Parts 1-3, research and/or teaching activities involving animals that are studied in their natural habitat are exempt from IACUC protocol review and oversight provided they do not involve any invasive procedures and do not harm or materially alter the behavior of a vertebrate or cephalopod animal.
  
- II. Purpose  
 The purpose of this policy is to establish guidance for Research Personnel to determine when an animal activity may be considered exempt.
  
- III. General Statement  
 FAU's IACUC is responsible for ensuring that all animal activities are in compliance with the federal regulations, including the Animal Welfare Act, the Public Health Service Policy (PHS) and are consistent with the *Guide for the Care and Use of Laboratory Animals*.
  
- IV. Policy
  1. Research and/or teaching activities on free-living, wild vertebrate or cephalopod animals in their natural environment are exempt if the study **does not involve**:
    - a. Capture
    - b. Trapping
    - c. Handling
    - d. Chemical Restraint
    - e. Physical Restraint

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- f. Invasive Procedures
  - g. Treatment
  - h. Housing
  - i. Transportation
  - j. Euthanasia of animals
  - k. Disturbance of the natural habitat, target and/or non-target animals due to study activities
2. An application for exempt status for a research and/or teaching study that does not involve any invasive procedures and which does not harm or materially alter the behavior of a vertebrate or cephalopod animal must be electronically submitted directly to the IACUC office.
  3. The Principal Investigator (PI) will have 90 days to submit a revised application for exempt status requested from the administrative review. An email reminder will be sent to the PI within 8 weeks. Failure to submit the revised application within 90 days of notification from the IACUC office request will result in withdrawal of the application.
  4. All personnel must attend the didactic IACUC training on the Ethical Use of Animals, IACUC Function and the 3R's.
  5. The PI must secure all relevant local, State, Federal and International permits required to work in the chosen field location prior to the initiation of the study.
  6. Five-year renewal applications for exempt status must be submitted to the IACUC office 4 weeks prior to the expiration date of the approved exempt study.
  7. If there are any changes to the methods, procedures or personnel of the approved exempt study, the PI must submit the change(s) in writing to the IACUC office for re-evaluation of the exempt status.
  8. If the proposed research and/or teaching study does not qualify for exempt status, the PI must complete the IACUC application for animal use protocol and electronically submit the completed application to the IACUC office.

V. Definitions

1. **Field studies:** For the purposes of this policy, refers to a study conducted on free-living wild animals in their natural habitat that does not involve any invasive procedures, harms or materially alters the behavior of an animal.
2. **Wild Animal, Wildlife:** Refers to animals living in a natural habitat and not within the possession or control of humans, and includes both native and introduced species.
3. **Cephalopod:** Living species that are members of the molluscan class Cephalopoda, such as nautilus, cuttlefish, squid and octopus.

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VI. Accountability

**The Principal Investigator (PI) will be responsible for:**

- Obtaining IACUC approval for exempt status.
- Assuring that the proposed activities **do not** involve any invasive procedures and **do not** harm or materially alter the behavior of an animal.
- Assuring that all personnel have completed the required training.
- Obtaining the necessary permits from the appropriate agencies and submitting copies of applicable permits to the IACUC office.

**The IACUC will be responsible for:**

- Assuring that all personnel conducting exempt work are appropriately trained.

**The Research Integrity office will be responsible for:**

- Administrative support of the IACUC members to facilitate their regulatory function.
- Maintaining policy and assure regular review and update as necessary by the IACUC.
- Confirmation that all research personnel have completed the required training.

VII. Procedures

1. The PI must electronically submit an application for exempt status for a research and/or teaching study to the IACUC office. Hard copies will not be accepted. The application must be completed and provide all of the information as requested.
2. Any changes to the methods, procedures, or personnel of the approved exempt study must be submitted to the IACUC office in writing for re-evaluation of the exempt status.

VIII. Policy Renewal Date

8/3/2024

IX. References

1. Title 9, Code of Federal Regulations, Subchapter A – Animal Welfare, Parts 1-3
2. AAALAC International Reference Resource  
<https://www.aaalac.org/pub/?id=E9012458-E8F7-1CB9-E298-B0A29C3193A5>

POLICY APPROVAL

*Initiating Authority*

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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Name: Daniel C. Flynn, Ph.D., Vice President for Research

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Executed signature pages are available in the Initiating Authority Office(s)