



Closure and Management of Expired IACUC Protocol	Policy No.: CW-IACUC - 06	Version: 1.0
Original Implementation Date: 2/17/2026	Page 1 of 2	Next Review Date: 02/16/2029
Prepared By: Members of the Office of the IACUC	Approved By: Downstate IACUC	

1.0 Purpose:

This policy describes the response of the Institutional Animal Care and Use Committee (IACUC) when a Principal Investigator's (PI's) IACUC protocol expires, as well as the process for maintenance of animals associated with expired protocols.

2.0 Policy:

IACUC protocols are approved for a maximum of three years. To ensure compliance with federal regulations (PHS Policy and Animal Welfare Act), the expiration date is generally set to the **day before the third anniversary** of the original approval date. If the animal use will continue beyond its three-year expiration, the Principal Investigator (PI) must submit a new protocol for review and approval by the Institutional Animal Care and Use Committee (IACUC). It is recommended that the PI submit a protocol application for 3rd-year renewals highlighting progress, future plans, and updated animal numbers, typically 6-8 weeks in advance. If a new protocol has not been approved prior to the protocol expiration date, animals on the protocol will be transferred to a Division of Comparative Medicine (DCM) Holding Protocol. Protocols expire at 11:59 PM on the date of expiration and will be permanently closed.

Absolutely no research, teaching, or testing activities can be conducted under an expired protocol.

3.0 Responsibilities:

- Office of the IACUC Staff, DCM Staff, Attending Veterinarian
- Principal Investigator (PI): It is the responsibility of the PI to track expiration dates and ensure timely submissions.

4.0 Procedures/Guidelines:

- 4.1. Office of the IACUC Staff sends PI notice of protocol expiration at least 90 days prior to expiration. Additional reminders are sent to PI approximately 60 and 30 days prior to the protocol expiration date.
- 4.2. Approximately one week prior to expiration: Office of the IACUC Staff reviews expiring protocol census.
- 4.3. If animals are listed, an email message is sent to the PI with information regarding the expiration status, to confirm census is accurate, and require PI to inform IACUC of plans for final disposition of remaining animals (i.e. euthanasia, transferring animals to an approved protocol or the DCM holding protocol). This message includes a reminder that once the protocol expires, Federal funds cannot be used to support animals on the holding protocol.
- 4.4. Office of IACUC Staff notifies Attending Veterinarian of protocol expiration date and current census if there are active cage cards under the expiring protocol.
- 4.5. Day of expiration: Office of the IACUC Staff confirms protocol census is zero and closes protocol in the IACUC protocol platform (i.e. RPM and/or MyResearch).

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- 4.6. Office of the IACUC Staff emails official notice of protocol deactivation to PI.
- 4.7. Once protocol expires, animals are transferred to a DCM Holding Protocol and all experimental work must stop. Only DCM staff can access animals for routine husbandry/euthanasia purposes.
- 4.8. Office of the IACUC Staff sends a copy of protocol deactivation notice to DCM Administrator.
- 4.9. All animals placed on the DCM Holding protocol will be under the control and management of the Attending Veterinarian and their designee (Clinical Veterinarian, DCM husbandry and veterinary technicians staff).
- 4.10. DCM staff will provide routine veterinary care to animals. No research, teaching, testing, or breeding activities can be conducted under DCM Holding protocol.
- 4.11. Payment of all per diem charges will remain the responsibility of the PI and the department. These charges cannot be charged to any federally funded grant.
- 4.12. IACUC Administrator or Office of the IACUC Staff updates associated protocol details from the following IACUC record (IACUC Locations Master spreadsheet, AAALAC Program Description (PD), IACUC Archive).

5.0 References:

- Animal Welfare Act
- Guide for the Care and Use of Laboratory Animals (8th Edition)
- NIH Office of Laboratory Animal Welfare (OLAW)
- PHS Grants Policy Statement on Laboratory Animals and Institutional Animal Committees
- OLAW publishes second edition of Institutional Animal Care and Use Committee Guidebook
- PHS Policy on Humane Care and Use of Laboratory Animals
- USDA AWARs § 2.31(d)(5) requires the Institutional Animal Care and Use Committee (IACUC) to conduct complete, "de novo" reviews of all animal-use activities at least every three years.
- Title 9 Code of Federal Regulations (C.F.R.), Chapter 1, Subchapter A - Animal Welfare

Revision History: N/A

Revision	Author	Revisions Made	Effective Date
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