

SOUTHERN ILLINOIS UNIVERSITY
EDWARDSVILLE
ASSURANCE OF COMPLIANCE
WITH
PUBLIC HEALTH SERVICE
POLICY ON HUMANE CARE AND
USE OF LABORATORY ANIMALS

Southern Illinois University Edwardsville, hereinafter referred to as institution, hereby gives assurance that it will comply with the Public Health Service Policy on Humane Care and Use of Laboratory Animals, hereinafter referred to as PHS Policy.

I. APPLICABILITY

This Assurance is applicable to all research, research training, experimentation, biological testing, and related activities, hereinafter referred to as activities, involving live, vertebrate animals supported by the Public Health Service (PHS) and conducted at this institution, or at another institution as a consequence of the subgranting or subcontracting of a PHS-conducted or supported activity by this institution.

“Institution” includes the following branches and major components of Southern Illinois University Edwardsville: Edwardsville Main Campus and the School of Dental Medicine.

II. INSTITUTIONAL POLICY

- A. This institution will comply with all applicable provisions of the Animal Welfare Act and other Federal statutes and regulations relating to animals.
- B. This institution is guided by the “U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training.”
- C. This institution acknowledges and accepts responsibility for the care and use of animals involved in activities covered by this Assurance. As partial

fulfillment of this responsibility, this institution will make a reasonable effort to ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with this Assurance as well as all other applicable laws and regulations pertaining to animal care and use.

- D. This institution has established and will maintain a program for activities involving animals in accordance with the Guide for the Care and Use of Laboratory Animals (Guide).

III. INSTITUTIONAL PROGRAM FOR ANIMAL CARE AND USE.

- A. The lines of authority and responsibility for administering the program and ensuring compliance with this Policy are:

The Graduate School's Office of Research and Projects (ORP) will administer this program and ensure compliance with this policy. The ORP will coordinate the activities of the Institutional Animal Care and Use Committee (IACUC). The Graduate Dean will serve as the Institutional Official. The Institutional Official will maintain open lines of communication with the IACUC and the program's veterinarian at all times. The ORP will report all activities to the Institutional Official. The Institutional Official is the individual who is authorized to make the commitment that the University will comply with the requirements of this policy.

- B. The qualifications, authority, and percent of time contributed by the veterinarian(s) who will participate in the program are:

Because of the nature of this institution's research protocols and the kinds of animals used by its researchers, this institution employs a veterinarian on a consulting basis. This institution's veterinarian devotes an estimated 10 to 15 percent of his time to the care and use of the laboratory animals. This institutions consulting veterinarian is available for, but whose services are not limited to, making quarterly visits, including semi-annual site inspections, to serve as a member of the SIUE IACUC, and to provide guidance to P.I.'s and other personnel on the care and use of animals.

Steven L. Settle, DVM, is the institution's consulting veterinarian for our IACUC program. Dr. Settle received his B.A. Degree in Biology with a minor in Chemistry from William Jewell College and a Doctor of Veterinary Medicine from the University of Missouri, College of Veterinary Medicine.

Dr. Settle is a Research Biologist in Molecular Pharmacology, employed by the Monsanto Corporate Research Office at Monsanto Company in St.

Louis, Missouri. Dr. Settle's experience with laboratory animal medicine stretches over a fourteen year period beginning in 1987 – 1990 when he was the head technologist in the Pharmacology Department at Washington University School of Medicine in St. Louis, Missouri and from 1991 through present as a Research Biologist in Molecular Pharmacology, employed by the Monsanto Corporate Research Office at Monsanto Company in St. Louis, Missouri. Dr. Settle has been this institutions consulting veterinarian for the IACUC for fourteen years. Based on Dr. Settles experience with the care of laboratory animals, and his knowledge of the PHS Policy and Guide Book, this institutions IACUC program gives him the authority to oversee the adequacy of all aspects of animal care and use at this institution.

To ensure adequate veterinary care of research animals should Dr. Settle not be available, we have in place a backup veterinarian, Dr. Kenneth Boschert, DVM, Associate Director and Facility Veterinarian, Division of Comparative Medicine at Washington University, St. Louis, Missouri. In the event that Dr. Settle is not available, this institution's backup veterinarian will serve in the same capacity as Dr. Settle (see above) and will devotes up to an estimated 10 to 15 percent of his time to the care and use of the laboratory animals.

- C. This institution has established an Institutional Animal Care and Use Committee (IACUC), which is qualified through the experience and expertise of its members to oversee the institution's animal program, facilities, and procedures. The IACUC consists of at least five members, and its membership meets the composition requirements set forth in the PHS Policy at IV.A.3.b. Attached is a list of the names, degrees, position titles, specialties and institutional affiliations of the IACUC chairperson and members.
- D. The IACUC will:
1. during it's Semi-Annual Inspection and Programs meeting, of which requires a quorum of the full board, review at least once every six month the institution's program for humane care and use of animals, using the National Research Council's Guide for the Care and Use of Laboratory Animals as a basis for evaluation. The IACUC procedures for conducting semiannual program evaluations are:
 - a. Review IACUC membership and functions
 - b. Review records of IACUC Activities
 - c. Review of recordkeeping practices
 - d. Review of occupational health and safety
 - e. Review of any concerns relating to animal care and use
 - f. Review of method of reporting requirements
 - g. Review veterinarian care

- h. Review training programs
2. during it's Semi-Annual Inspection and Programs meeting, of which requires a quorum of the full board, inspect all of the institution's animal facilities which includes the main animal facility at the Edwardsville campus and the satellite facility at the Alton Dental School, using the National Research Council's Guide for the Care and Use of Laboratory Animals as a basis for evaluation. The inspections are scheduled by the IACUC Administrator who chooses the best date and time for all of the IACUC members to meet to conduct the inspections. The staffing of the inspections is made up of the full IACUC including the veterinarian and the community representative. The IACUC's procedures for conducting semiannual facility inspections are:
 - a. Inspect physical conditions at the main animal facility at the Edwardsville campus and the satellite facility at the Alton Dental School Campus. Inspections at the Edwardsville Campus consist of inspecting the holding rooms, and one surgery room. Inspections at the Alton campus consist of inspecting the holding area and one surgery room. Inspections on both campuses also include inspections of cage condition, including water, food, size, bedding, waste disposal, cage location, as well as the condition of walls, floors, drainage, ceilings, power, lighting, and temperature
 - b. Inspect facility procedures and records
 - c. Review personnel associated with the care of the animals
 - d. Inspect storage of food, bedding, & supplies
3. Prepare reports of the IACUC evaluations as set forth in the PHS Policy IV.B.3. and submit the reports to the Graduate Dean. The IACUC process for developing reports and submitting them to the Institutional Official is:

Once the semi-annual inspection and program review are completed, the IACUC administrator will prepare the Semiannual Report to the institutional official listing any deficiencies that were found. This report will describe each deficiency, identify each deficiency as either minor or significant, and provide a reasonable and specific plan and schedule for the correction of each deficiency.

If no deficiencies were identified in any animal facility, the report will state that no deficiencies were identified and that all facilities are consistent with the PHS Policy, the Guide, and applicable Animal Welfare Regulations.

4. review concerns involving the care and use of animals at the institution. IACUC procedures for reviewing concerns are:
 - a. Any concerns regarding the care and use of animals in research at SIUE are communicated to the IACUC Administrator, members of the IACUC, or the Institutional Official. Once a concern is reported, the IACUC Chair is notified immediately. The IACUC Chair will then call a convened meeting of the full committee to review the concern in a timely and systematic manner so that prompt corrective action can be taken. Methods for evaluating concerns will include the following elements: a) verify concerns, b) verified concerns will be related to the Animal Welfare Regulations (AWRvs), the PHS Policy or SIUE's policies, c) guidelines referenced for carrying out appropriate corrective measures, when necessary.

The SIUE Institutional Official and OLAW will be notified of these concerns and all action taken by the IACUC in a timely manner.
 - b. The IACUC Administrator in the Office of Research & Projects provides information to individuals regarding their ability to contact the IACUC of any concerns regarding the care and use of animals in research by providing articles in the ORP's bi-monthly publication, *Research Highlights*, and via the ORP website. Contact information, including phone numbers and email addresses, for the IACUC Chair, Administrator, Institutional Official and all IACUC members, is listed on the ORP website and printed in ORP and campus directories which are distributed campus wide.
 - c. SIUE protects confidentiality of those who report concerns as well as anyone against whom allegations are directed, while allegations are under investigation. As required under the Animal Welfare Act, any individual reporting concerns to the SIUE IACUC will be protected from reprisal.
5. will make written recommendations to the Institutional Official through it's semi-annual report regarding any aspect of the institution's animal program, facilities, or personnel training. The procedures for making recommendations to the Institutional Official are:

The IACUC will meet to discuss, write and finalize any recommendations proposed regarding any aspect of the institution's animal program, facilities, or personnel training and will then present them to the Institutional Official.

6. review and approve, require modifications in, or withhold approval of those activities related to the care and use of animals as set forth in the PHS Policy at IV.C. The SIUE IACUC procedures for protocol review are:

All animal care and use protocols are submitted to the IACUC Administrator in the Office of Research and Projects. Once the protocol arrives in the ORP, it is date stamped "received," assigned a protocol number, checked for completeness by the IACUC Administrator, and placed on the upcoming IACUC meeting Agenda. All protocols are reviewed by a convened meeting of the full IACUC. The IACUC will review and approved, require modifications of, or withhold approval pending further gathering of information for each protocol. Approved protocols are signed by the IACUC Chair, Veterinarian, and Animal Facilities Manager. A formal approval letter from the IACUC Chair is prepared and sent to the researcher stating that they have been approved by the SIUE IACUC. Protocols that require minor modifications such as editorial changes, are approved by the full IACUC pending receipt of those minor changes by the IACUC Chair. He will then give the final approval at which point an approval letter is sent to the researcher. Protocol withheld for more major modifications are tabled until the next meeting. The Administrator will contact the researcher via formal letter with a list of modifications recommended by the IACUC with instructions to submit those modifications in time for the next convened full IACUC meeting. The IACUC will conduct a review of the modifications and, if all concerns are addressed, approve the modified protocol. An approval letter will be sent to the research. If the modifications are not approved, the protocol will be tabled again and more information will be requested from the researcher using the same methods used in the first round of revisions.

A quorum is required to vote on all research protocols.

No member may participate in the IACUC review or approval of a research project in which the member has a

conflicting interest (e.g. is personally involved in the project) except to provide information requested by the IACUC; nor may a member who has a conflicting interest contribute to the constitution of a quorum.

7. review and approve, required modifications in, or withhold approval of proposed significant changes regarding the use of animals in ongoing activities as set forth in the PHS Policy at IV.C. The IACUC procedures for reviewing proposed significant changes in ongoing research projects are:

Significant changes to an already approved protocol must be reviewed and approved by the full IACUC at a convened meeting before the researcher can proceed with his/her project. Significant changes include, change in objectives of the research or procedure, change in species or number of species, changes in the invasiveness of a procedure or discomfort to an animal, a change in personnel involved in animal procedures, a change in the use or non-use of an anesthetic agent(s), a change from non-survival to survival of surgery, or in the method of euthanasia.

8. notify investigators and the institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval as set forth in the PHS Policy at IV.C.4. The IACUC procedure to notify investigators and the institution of its decisions regarding protocol review are:

After the IACUC meets to review the protocol(s) and determines if the protocol(s) will be approved or approval will be withheld pending revisions based on the PHS Policy at IV.C.4., the investigator will be notified in writing by the Chair of the IACUC. The IACUC Administrator will prepare the letter. If the protocol requires modifications and approval is withheld until those modifications are received and reviewed by the IACUC, the researcher will be notified by a letter prepared by the Administrator listing, in detail, all of the concerns of the IACUC. The researcher will be asked to address all concerns and to resubmit a revised protocol to the IACUC by the next meeting date. The modified protocol will be added to the Agenda for the next meeting. Once the IACUC approves the modifications, the researcher will receive a formal approval letter from the IACUC Chair.

9. conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including a complete review in accordance with the PHS Policy at IV.C. 1-4. at least once every three years. The IACUC procedures for conducting continuing review are:

The IACUC will conduct annual reviews of ongoing, previously approved research involving the care and use of animals by requiring the researcher to submit a Continuing Review Report form stating that their research is continuing as it was approved by the IACUC. If the research is continuing in the way that it was approved, the IACUC Chair will approve and sign the form and a copy will be added to the researcher's file for that project. Any modifications to the approved research is required to be listed on this form for submission to the IACUC Chair. The Chair will approve minor modifications listed on the Continuing Review Report. If there are major modifications, such modifications include, change in objectives of the research or procedure, change in species or number of species, changes in the invasiveness of a procedure or discomfort to an animal, a change in personnel involved in animal procedures, a change in the use or non-use of an anesthetic agent(s), a change from non-survival to survival of surgery, or in the method of euthanasia to the approved protocol, the IACUC Chair will request that the researcher submit a modified protocol to the IACUC for full committee review. If a project expands beyond a three years period, the IACUC will require the investigator to submit a new protocol for review.

10. be authorized to suspend an activity involving animals as set forth in the PHS Policy at IV.C.6. The IACUC procedures for suspending an ongoing activity are:

The IACUC may suspend research once a review of the matter is conducted at a convened meeting where a majority of the quorum votes for a suspension. If the research is suspended, the institutional official in consultation with the IACUC shall review the reasons for the suspension, take appropriate corrective action and report that action to OLAW.

- E. The individuals authorized by this institution to verify IACUC approval of those sections of applications and proposals related to the care and use of animals are:

The IACUC Administrator, Linda L. Skelton, Project Coordinator; IACUC Chair, Steven A. McCommas, Associate Professor; Institutional Official, Stephen L. Hansen, Graduate Dean.

- F. The SIUE occupational health and safety program for all personnel who have animal or animal related contact is as follows:

Proper care of vertebrate animals maintained for research and instructional purposes at SIUE is dependent upon all personnel who have animal or animal related contact being fully informed of the husbandry needs of each species and the special requirements called for by the various research, testing, and educational programs. It is also essential that the health of these animals and the personnel working with them be safeguarded through regular monitoring. The provisions of this section apply to all personnel who have animal or animal related contact. Toward these goals the following provisions are set forth:

1. Occupational Health Program

- a) An occupational health program is mandatory for all personnel (faculty, staff and students) who have animal or animal related contact.
- b) The health program will be supervised by the SIUE Facilities Manager. SIUE Health Services will perform all medical services.
- c) When appropriate, medical records and medical histories of all animal care personnel, including immunizations records and allergy histories, will be maintained in the Health Services office. Individuals under the care of personal physicians are required to have changes in their medical histories or status reported to Health Services by their respective physicians.
- d) Potential hazards such as chemical cleaning agents, allergens, and zoonoses will be monitored by the Facilities Manager. Bite wounds or unusual illnesses must be reported to the Facilities Manager and to the Health Services office.

2. Personal Hygiene

Personal cleanliness is essential in order to maintain a healthy environment for laboratory animals, and for animal care facility

workers (professional and custodial). It is the responsibility of the Facilities Manager (or as officially delegated by that person) to assure that these personal hygiene guidelines are followed.

- a) Personnel shall wash regularly before and after handling laboratory animals, animal feed, animal cages, or any other material that might come into contact with the animals.
- b) When it is appropriate, SIUE shall provide appropriate protective clothing including gloves, masks, head covers, coats, coveralls, and shoe covers for all workers to wear while in the animal care facility. Animal facility garments shall be laundered or disposed of by the University. Commercial laundering services are permissible unless the garments have been exposed to infectious or otherwise potentially injurious microbic agents or toxic substances. In such cases, the University must decontaminate the garments.

3. Training

It is the responsibility of SIUE to assure that all professional, custodial, and other personnel working with laboratory animals and/or in the animal care facility are qualified to handle their assigned tasks and that they are kept abreast of new information pertinent to their respective assigned tasks.

- a) The Office of Research & Projects, the IACUC Chair, and the Facilities Manager are responsible for assuring that all personnel (faculty, staff, and students) working with animals and/or providing animal care are properly trained in: (1) animal husbandry, (2) occupational hazards, and (3) personal hygiene associated with animal care. Online training for animal care, developed by the U. S. Veteran's Administration, is provided via a link on the ORP website. Certificates of Completion for completing the training are required to be submitted with the protocol for each person associated with the research project. Certification is good for three years and is kept in a hard copy file and electronic data base in the ORP office.
 - 1) Animal husbandry – Training will include instruction in proper animal care (handling, feeding, sanitation and cleaning, animal requirements, etc.).
 - 2) Occupational hazards/personal hygiene – Instruction should include information concerning: zoonoses, hazards such as bites, allergic reactions,

dealing with contaminated materials, etc., and emergency procedures.

- b) The principal investigators, along with the Office of Research & Projects, the IACUC Chair, and the Facilities Manager are required to assure that all personnel participating on their projects receive training in animal husbandry, personal hygiene, and occupational health. The principal investigators are also responsible for providing training to the personnel participation in their projects for anesthesia, analgesia, euthanasia, surgical techniques, and any other specialized activity involving the care and use of animals in the project.
- c) The Facilities Manager and the members of the IACUC must participate in appropriate continuing education programs. These programs should include discussions on federal regulations and on developments in the care and use of laboratory animals.

4. Personnel Responsibilities for Institutional Health, Hygiene, and Training Programs

a) Facilities Manager:

- 1) SIUE animal care facilities shall have one individual designated as the Facilities Manager. This person is responsible for supervising all workers assigned to the facility, conduction appropriate training, hygiene, and health programs for people working in the facility, and for assuring full compliance with all regulations pertaining to the handling and care of laboratory animals.
- 2) The Facilities Manager shall determine the number of individuals and their specific work assignments needed to provide adequate care for the animals housed within the facility and to maintain the cleanliness and upkeep of that facility. The Facilities Manager shall maintain a schedule or work assignments (duties and hours), which shall be posted and kept on file at the facility.
- 3) The Facilities Manager is responsible for zoonoses surveillance. The Facilities Manager must also maintain records of any bite wounds and unusual

illnesses and communicate that information to the University Health Services Office.

b) Principal Investigators

- 1) Principal investigators are responsible for supervising all students and workers participation in their projects and for assuring full compliance with policies regarding hygiene health, and training.
- 2) Principal investigators must keep the Facilities Manager are advised of any special needs (housing, food, fluids, etc.) that the animals have.

5. Veterinarian

The University shall enter into a contract with a veterinarian having training or experience in laboratory animal species and medicine. This veterinarian shall routinely make inspections of all approved SIUE Animal Care Facilities and will be available on call to treat specific situations. The veterinarian will also serve on the University Institutional Animal Care and Use Committee. In the event that the primary veterinarian would be unavailable, a back up veterinarian is in place and will be utilized.

- G. The total gross number of square feet in each animal facility, the species of animals housed therein and the average daily inventory of animals, by species, in each facility is provided in the attached table.
- H. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is:

SIUE provides training and instruction for all personnel working with animals at this institution through the Collaborative Institutional Training Initiative (CITI Program); an online training course originally developed by the University of Miami. The CITI training includes information on the humane practice of animal care and use, testing methods that minimize the numbers of animals required, ways of minimizing animal pain and distress, instruction on animal husbandry, instruction on occupational hazards, personal hygiene, and the proper care and use of laboratory animals. (See attachment, "Occupational Health, Hygiene and Training: Institutional Programs and Procedures.")

Once the training has been completed by personnel involved in animal care, treatment, or use, they submit a “Certificate of Completion” listing the date training was completed to the ORP. The ORP keeps a hard copy on file and also enters their name and date of certification into a database. Certification is good for three years from the date the training was completed.

IV. INSTITUTIONAL STATUS

As specified in the PHS Policy at IV.A.2., as Category 2, all of this institution’s programs and facilities, including satellite facilities, for activities involving animals have been evaluated by the IACUC and will be reevaluated by the IACUC at least once every six months in accord with IV.B.1. and 2. Of the PHS Policy, and reports prepared in accord with IV.B3. of the PHS Policy.

All IACUC semiannual reports will include a description of the nature and extent of this institution’s adherence to the Guide. Any departures from the Guide will be identified specifically and reasons for each departure will be stated. Reports will distinguish significant deficiencies from minor deficiencies. Where program or facility deficiencies are noted, reports will contain a reasonable and specific plan and schedule for correcting each deficiency. Semiannual reports of the IACUC evaluations will be submitted to the Institutional Official, Stephen L. Hansen, Graduate Dean. Semiannual reports of IACUC evaluations will be maintained by this institution and made available to the Office of Laboratory Animal Welfare (OLAW) upon request. The most recent semiannual report of the IACUC is attached.

V. RECORD KEEPING REQUIREMENTS

- A. This institution will maintain for at least three years:
 1. A copy of this Assurance and any modifications thereto, as approved by PHS.
 2. Minutes of IACUC meetings, including records of attendance, activities of the committee, committee deliberations.
 3. Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was given or withheld.
 4. Records of semiannual IACUC reports and recommendations including minority views as forwarded to the Institutional Official.
 5. Records of accrediting body determinations.

- B. This institution will maintain records that relate directly to applications, proposals, and proposed changes in ongoing activities reviewed and approved by the IACUC for the duration of the activity and for an additional three years after completion of the activity.
- C. All records shall be accessible for inspection and copying by authorized OLAW or other PHS representatives at reasonable times and in a reasonable manner.

VI. REPORTING REQUIREMENTS

- A. At least once every 12 months, the IACUC, through the Institutional Official, will report in writing to OLAW:
 - 1. Any change in the status of the institution, any change in the description of the institution's program for animal care and use as described in this Assurance, or any changes in IACUC membership. If there are no changes to report this institution will provide OLAW with written notification that there are no changes.
 - 2. Notification of the dates that the IACUC conducted its semiannual evaluations of the institution's program and facilities (including satellite facilities) and submitted the evaluations to the Institutional Official, Stephen L. Hansen, Graduate Dean.
- B. The IACUC, through the Institutional Official, will provide the OLAW promptly with a full explanation of the circumstances and actions taken with respect to:
 - 1. Any serious or continuing noncompliance with the PHS Policy.
 - 2. Any Serious deviations from the provisions of the Guide.
 - 3. Any suspension of an activity by the IACUC.
- C. Reports filed under VI.A. and VI.B. above shall include any minority views filed by members of the IACUC.

VII. INSTITUTIONAL ENDORSEMENT AND PHS APPROVAL

A. Authorized Institutional Official

Name: Stephen L. Hansen

Title: Graduate Dean

Address: Graduate Studies and Research
Southern Illinois University Edwardsville
Campus Box 1046
Edwardsville, IL 62025

Phone: 618/650-3010

Fax: 618/650-3523

Signature: _____
Institutional Official
Stephen L. Hansen, Graduate Dean

Date: _____

B. PHS Approving Official

Name: _____

Title: _____

Address: Office of Laboratory Animal Welfare
Division of Assurances
National Institutes of Health
6705 Rockledge Drive
RKL 1, Suite 360-MSC 7982
Bethesda, MD 20892-7982

Phone: 301-496-7163

Fax: 301-402-7065

Signature:

Date:

C. Effective Date of Assurance:

D. Expiration Date of Assurance:

