



GUSTAVUS ADOLPHUS COLLEGE

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## **Gustavus Adolphus College**

### *Assurance of Compliance with Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals*

*May 25, 2012*

Gustavus Adolphus hereby gives assurance that it will comply with the Public Health Service Policy on Humane Care in accordance with the Health Research Extension Act of 1985, Public law 99-158.

#### **I. Applicability**

This assurance is applicable to all research, research training, experimentation, biological testing, field research, and other related activities, hereinafter referred to as activities, involving live, warm-blooded vertebrate animals. This includes all activities conducted at this institution, or at another institution as a consequence of sub-granting or subcontracting by personnel of this institution; whether funded externally by private, state or U.S. Government agencies or internally by the institution. "Institution includes all academic and administrative departments of Gustavus Adolphus College.

The use of animals in research comes under the jurisdiction of several government agencies. Any activity that receives support from PHS must be conducted in accordance with policies as described in the documents listed in section II.B. The institution has determined that all activities involving warm-blooded vertebrates should be in accordance with these policies, in a manner which is consistent with its status as a Category 2 institution, in which activities are evaluated by the institution.

The use of animals also comes under the jurisdiction of the United States Department of Agriculture through the Animal and Plant Health Inspection Service (APHIS). Facilities for housing dogs, cats, non-human primates, guinea pigs, hamsters, rabbits, and all other warm blooded mammals other than rats or mice, must be registered with APHIS and inspected by APHIS officials at regular intervals. The institution has further determined that any activity involving birds, rats, or mice should also be monitored by the institution. The institution is expected to file regular reports to appropriate regulating agencies concerning these activities.

## 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 following documents: Public Health Service Policy on Humane Care and Use of Laboratory Animals September, 1986 revision; Guide for the Care and Use of Laboratory Animals, 1985 Revision (GUIDE); and USDA regulations published in the Code of Federal Regulations (9CFR).
- 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 the Assurance as well as 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. The institutional Program of Humane Care and Use of Animals (PHCUA) was first approved in August 1996.

## III Institutional Program for Animal Care and Use

- A The lines of authority and responsibility for administering the program and ensuring compliance with the Policy are:
  - 1) *Institutional Official*: The Provost will serve as the Institutional Official responsible for appointing members of the Institutional Animal Care and use Committee, making a commitment on behalf of the institution of meet the requirements of stated policy, and to sign annual reports for submission to PHS or USDA officials.
  - 2) *Institutional Animal Care and Use Committee*: IACUC is responsible for setting policy, reviewing and approving research protocols, monitoring activities, advising applicants of the actions taken by the committee on proposals & reporting deviations from established policy to appropriate officials.
  - 3) *Campus Animal Facilities Manager*: The Director of the Biology Department

(Ms Maureen Carlson ) animal facility will be responsible for:

- a) Updating the PHCUA
- b) Devising appropriate training and animal care procedures
- c) Directing the activity of student workers in the Biology Dept. facility
- d) Keeping records for annual reports
- e) Preparing and recording IACUC minutes as Secretary of the Committee
- f) Keeping records of proposals and committee action
- g) Maintaining a list of ongoing activities
- h) Preparing reports and forwarding these reports to the Institutional Official.

The Facilities Manager reports to the IACUC on matters of procedure and policy and to the Chair of the Biology Department on other matters related for facilities maintenance. Since January 15, 1993 the Biology Department facility has been certified as a registered animal facility by the Department of Agriculture ( Reg. # 41-R-0043 ).

4) *Department Chairs:* Any other facilities that are used to house live vertebrates must conform to GUIDE housing standards and activities performed therein must comply with IACUC policies. These facilities are to be inspected by IACUC members during semesters when animals are being used. The Chair of the departments involved in these activities will be responsible for the maintenance of facilities, upholding policies and standards, and forwarding research protocols to the IACUC.

**B** *Animal Facility Veterinarian.* A licensed veterinarian will be retained to assist in policy development, monitor activities as a member of IACUC, and perform regular animal care procedures as described in PHCUA, and other services as needed. This position is currently occupied by Dr. Mari Feder, from the Kind Veterinary Clinic in St. Peter, MN. Dr Feder holds a DVM degree from the University of Minnesota and has been with her present employer since 1997. Dr. Feder's services are provided on demand as needed, not as part of a contractual arrangement which specifies commitment of a certain number of hours of service.

**C** *Committee Composition:* The institution has established an Institution Animal Care and Use Committee which is qualified through the experience and expertise of its members to oversee the institutions animal program, facilities, and procedures. The IACUC consists of at least five appointed by the Institutional Official in accordance with PHS Policy at IV 3.b.( See Appendix A for names, position titles, earned degrees and qualifications). One member will be appointed as Chair and the Biology Department Facility Manager will serve as secretary. The committee will consist of at least:

- 1) One doctor of veterinary medicine
- 2) At least one practicing scientist
- 3) At least one person whose primary concern is in a non-science area

- 4) One non-college member of the wider community
- 5) The Institutional Officer or his/her appointee

**D**     *Committee Responsibilities:* The IACUC will:

1.     Review at least once every six months the institution's Program for Humane Care and Use of Laboratory Animals, using the Guide as a basis for evaluation.
2.     Inspect at least once every six months all of the institution's animal facilities using the Guide as a basis.
3.     Prepare reports of the IACUC evaluations as required by the two previous instructions and submit the reports to Institutional Officer.
4.     Review concerns involving the care and use of animals at the institution.
5.     Make written recommendations to the institutional official regarding any aspect of the institutions animal program, facilities, or personnel training.
6.     Review and approve, require modifications in (to secure approval) or withhold approval of those activities related to the care and use of animals as set forth in the PHS Policy at IV.C.
7.     Review and approve, require modifications in (to secure approval) 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.
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.
9.     Be authorized to suspend an activity involving animals as set forth in the PHS Policy at IV.C.6.

**E.**     *Committee Procedures:* The procedures that the IACUC will follow to fulfill the requirements set forth in the PHS Policy at IV.B. are:

1. *Guiding Principles:* In order to approve proposed research projects or proposed significant changes in ongoing research projects, the IACUC shall conduct a review of those components related to the care and use of animals and determine that the proposed research projects are in accordance with this Policy. In making this determination, the IACUC shall confirm that the research project will be conducted in accordance with the Animal Welfare Act insofar as it applies to the research project, and that the research project is consistent with the Guide or appropriate USDA documents unless acceptable justification for a departure is presented. Further, the IACUC shall determine that the research project conforms with the institutions Assurance and meets the following requirements:

1. Procedures with animals will avoid or minimize discomfort, distress, and pain to the animals, consistent with sound research design.
2. Procedures that may cause more than momentary or slight pain or distress to the animals will be performed with appropriate sedation, analgesia, or anesthesia, unless the procedure is justified for scientific reasons in writing by the investigator.
3. Animals that would otherwise experience severe or chronic pain or distress that cannot be relieved will be painlessly sacrificed at the end of the procedure or, if appropriate, during the procedure.
4. The living conditions of animals will be appropriate for their species and contribute to their health and comfort. The housing, feeding, and non-medical care of the animals will be directed by a veterinarian or other scientist trained and experienced in the proper care, handling, and use of the species being maintained or studied.
5. Medical care for animals will be available and provided as necessary by a qualified veterinarian.
6. Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures.

## 2. *Procedures for Approval of Animal Care Activities*

### a) *Committee Meetings:*

The IACUC will meet at least once per semester (preferably in September, January and May) to inspect facilities, consider proposals, and review policy. The following items should be on the agenda of each meeting:

1. Inspection of facilities
2. Consider changes to and re-approve the institution's Program of Humane Care and Use of Animals
3. Approve ongoing research and educational activities
4. Consider and approve any new proposals for research or educational activities
5. Consider concerns from any source regarding activities involving animals

The Chair of the committee, working with the Secretary will establish the agenda, schedule the meetings, distribute meeting notices and advise proposal authors of action taken by the committee following its review. The Secretary will be responsible for keeping records of committee actions, and conveying reports about committee activities to the Institutional Official.

*b) Procedures for Reviewing Proposals:*

1. Any research or educational activity involving live vertebrates must be submitted for approval by the IACUC. Investigators who wish to propose activities involving live vertebrates are required to complete and submit a Protocol Review Form (Appendix A) to the IACUC Chair, preferably, at least two weeks prior to the beginning of the semester in which the activity is to take place.

2. Those activities that are expected to be repeated at regular intervals or are ongoing research activities may be approved for three years. However, investigators are expected to report any deviation from approved procedures to the IACUC secretary who will maintain a list of all ongoing activities during each semester and will report any changes in procedure to the full committee. The committee will re-consider and approve ongoing activities at each of its meetings.

3. Proposals may also be submitted for an expedited review. If the timing of a proposed activity does not mesh well with the committee's scheduled meetings, proposals may be submitted to the Chair who will distribute a copy to all committee members, form a sub-committee of at least two members (designated reviewers, one being the veterinarian) to perform a provisional review to determine whether the proposed project is consistent with institutional standards, and if so, to issue a provisional approval. Committee members may direct questions or concerns

directly to the chair, or raise these issues when the proposal is presented to the full committee at its regular meeting.

4. All activities must be approved by a majority vote of committee members present at meetings. The Chair will only vote in case of ties, and is charged with the responsibility of notifying the applicants of the committee's decisions. The committee secretary will maintain records of all correspondence and meeting minutes.

5. The committee may withhold approval or require modification of proposed activities. In these cases, the Chair will provide a written statement of the reasons for the decision, and offer the investigator the opportunity to respond in person or in writing. These appeals will be heard at the next scheduled committee meeting.

*3) Procedures for Inspecting Facilities:*

The committee will inspect all facilities used to house animals used in any activity involving live warm-blooded vertebrates as part of each meeting. The inspection will be conducted in accordance with procedures described in the Guide, and will be concluded by the signing of the Inspection Form. Records of these inspections will be kept by the committee secretary.

*4) Procedures for Addressing Concerns:*

a) The IACUC will conduct a continuing review of all activities during semesters when that activity is in progress. Investigators must notify the committee each semester if there have been changes in the way the activity is being conducted.

b) The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with principles outlined in this document. The IACUC may suspend an activity only after a review of the matter at a convened meeting of a quorum of the IACUC and with the suspension vote of a majority of the quorum present.

b) If the IACUC suspends an activity involving animals, the Institutional Official, in consultation with the IACUC, shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to PHS and USDA officials.

**F.** The individual(s) authorized by this institution to verify IACUC approval of those sections of applications and proposals related to the care and use of animals is the chairperson of the IACUC.

- G. The health program for personnel who work in laboratory animal facilities or have frequent contact with animals is described in the Program of Human Care and Use of Animals.
- H. The total gross number of square feet in each animal facility, the species of animals housed therein, and the average daily inventory of animals in each facility:

Biology Department:

Total Animal Room Size:

<u>Species</u>	<u>Sq. Footage</u>	<u>Avg. Daily Census</u>
Rabbits	42 sq ft	6 (fall only)
Mice	128 sq ft	8
Rats	128 sq ft	16 (spring only)

Psychology Department

Total Animal Room Size:

<u>Species</u>	<u>Sq. Footage</u>	<u>Avg. Daily Census</u>
Rats	288 sq ft	6

- I. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use are described in the Program of Humane Care and Use of Animals. This currently consists of:
  - a) Attend a one-hour **Right to Know Meeting**, which includes general work, safety and MSDS information.
  - b) Read and be familiar with the Program of Humane Care and Use of Animals.
  - c) Attend a half-hour hands-on session in the Animal Facility going over guidelines and handling of animals etc.

#### 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. The report of the IACUC evaluation has been submitted to the Institutional Official and a copy of the report is attached. The report contains a description of the nature and extent of this institution's adherence to the Guide. Any departures from the Guide are identified specifically

and reasons for each departure are stated. Where program or facility deficiencies are noted, the report contains a reasonable and specific plan and schedule for correcting each deficiency. The report distinguishes significant deficiencies from minor deficiencies. Semiannual reports of the IACUC evaluation submitted to the Institutional Official will also contain a reasonable and specific plan and schedule for correcting each deficiency and distinguish significant deficiencies from minor deficiencies. Semiannual reports of IACUC evaluations will be maintained by this institution and made available to OPRR upon request.

A. Record keeping Requirements

1. 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, and 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 as forwarded to the institutional official.
  5. Records of accrediting body determinations.
2. 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.
3. All records shall be accessible for inspection and copying by authorized OPRR, other PHS representatives, or representatives of the APHIS at reasonable times and in a reasonable manner.

V. Reporting Requirements:

1. At least once every 12 months, the IACUC, through the Institutional Official, will report in writing to the United States Department of Agriculture through the Animal and Plant Health Inspection Service Office as directed by that office. The following information will be sent to

the Office for Protection from Research Risks (OPRR).

1. Any change in the status of the institution (e.g., if the institution becomes accredited by AAALAC or AAALAC accreditation is revoked), 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 submit a letter to OPRR stating that there are no changes.
  2. Notification of the date that the IACUC conducted its semiannual evaluations of the institutions program and facilities (including satellite facilities) and submitted the evaluations to the institutional official.
2. The IACUC, through the Institutional Official, will provide the OPRR 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.
3. Reports filed under VI.A.2. and VI.B. above shall include any minority views filed by members of the IACUC.

**VI. Institutional Endorsement and PHS Approval**

1. Authorized Institutional Official

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_

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

2. PHS Approving Official

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_

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

3. Effective Date of Assurance: \_\_\_\_\_

4. Expiration Date of Assurance: \_\_\_\_\_