

# GENESEO

## Office of Sponsored Research

### STATE UNIVERSITY OF NEW YORK AT GENESEO D16-00847 (A4636-01) Animal Welfare Assurance

I, Anne E. Baldwin, Ph.D., as named Institutional Official for animal care and use at the State University of New York at Geneseo (SUNY Geneseo), provide assurance that this Institution will comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy).

#### **I. Applicability of Assurance**

This Assurance applies whenever this Institution conducts the following activities: all research, research training, experimentation, biological testing, and related activities involving live vertebrate animals supported by the PHS, HHS, and/or NSF. This Assurance covers only those facilities listed below.

- A. The following are branches and components over which this Institution has legal authority, included are those that operate under a different name: All components (Colleges, Schools, Departments, etc.) that are physically located on the SUNY Geneseo main campus in Geneseo, New York. There are no off-campus satellite facilities and/or other covered components.
- B. The following are other institution(s), or branches and components of another institution: None / Not Applicable.

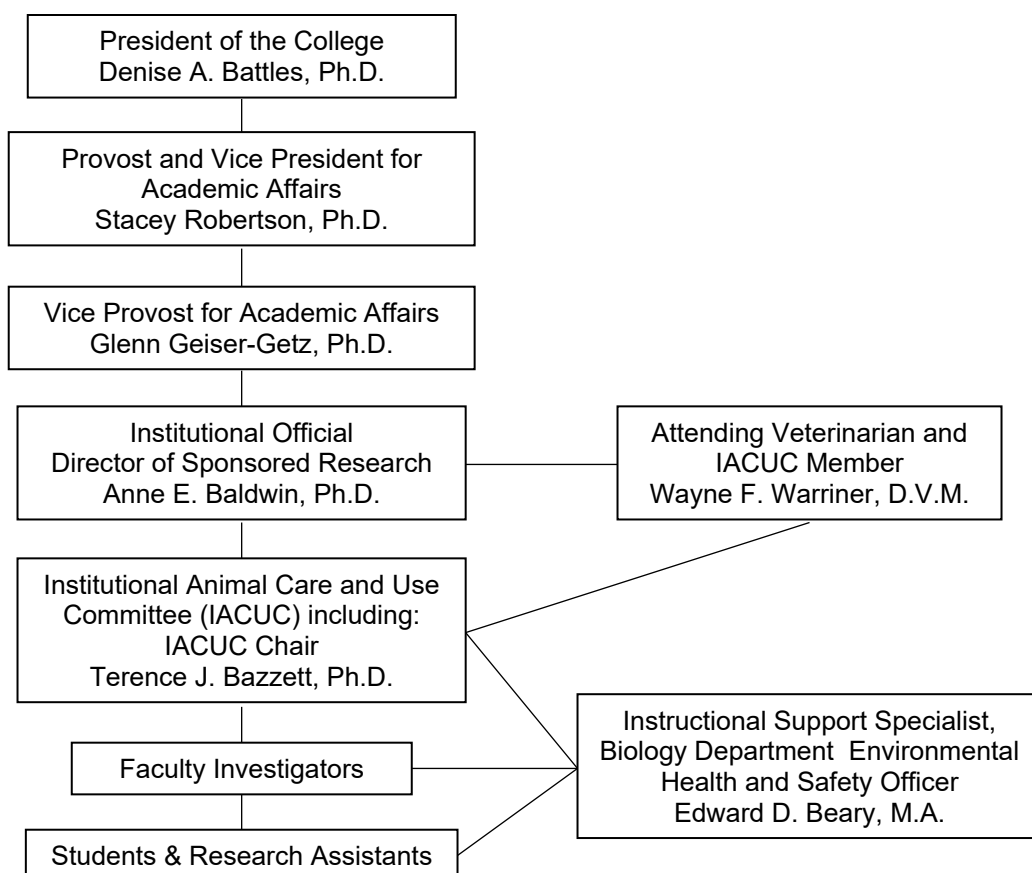
#### **II. Institutional Commitment**

- 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 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"), 8<sup>th</sup> Edition.

- E. This Institution agrees to ensure that all performance sites engaged in activities involving live vertebrate animals under consortium (subaward) or subcontract agreements have an Animal Welfare Assurance and that the activities have Institutional Animal Care and Use Committee (IACUC) approval.

### 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 as follows:



As indicated above, there are direct and open lines of communication between the IACUC and the Institutional Official (IO) and between the Veterinarian and the IO.

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

1. Name: Wayne F. Warriner, Jr.

Qualifications:

- Degrees: Doctor of Veterinary Medicine (D.V.M.), Cornell University, 1967.
- Training and/or experience in laboratory animal medicine: Dr. Warriner is former director of, and now works part-time (semi-retired) at, the Avon Animal Hospital, a veterinary clinic for small animals. He has been in practice since 1967. His New York State License Number is 002799-1. He complies with the NY State requirements for continuing education and attends the annual meeting of the

New York Veterinary Medical Society, completing both laboratory animal and species-specific training, as available.

Authority: Dr. Wayne Warriner has direct program authority and responsibility for the Institution's animal care and use program including the authority to implement the PHS Policy and the recommendations of the Guide. He has access to all animals and may conduct unscheduled inspections at any time.

Time Contributed to Program: Dr. Warriner is present at the Institution an average of approximately one hour per month. One-hundred percent of this time is contributed to the animal care and use program. In addition Dr. Warriner contributes on average approximately one hour per month to the program while off-site reviewing protocols and providing consultation on various program related topics.

2. Provisions for Back-up Veterinary Care: In the event that Dr. Warriner is unavailable, back-up veterinary care is available through Dr. Warriner's practice where his associate (see information below) is on-call. The qualifications, authority, and percent of time contributed by the veterinarian who will participate in the program to provide back-up veterinary care are as follows:

Name: Jennifer Marvin

Qualifications:

- Degrees: Doctor of Veterinary Medicine (D.V.M.), Cornell University, 2006.
- Training and/or experience in laboratory animal medicine: Dr. Marvin is an associate veterinarian at the Avon Animal Hospital, a veterinary clinic for small animals and has been in practice since 2006. Her New York State License Number is 010239-1. Dr. Marvin regularly treats rodents, including rats and mice, through her practice. She complies with the NY State requirements for continuing education and attends the annual meeting of the New York Veterinary Medical Society, completing both laboratory animal and species-specific training, as available.

Authority: Dr. Marvin has delegated program authority and responsibility for the Institution's animal care and use program including the authority to implement the PHS Policy and the recommendations of the Guide. She has access to all animals and may conduct unscheduled inspections at any time.

Time Contributed to Program: Dr. Marvin provides back-up veterinary care and is present at the Institution an average of approximately one half-hour per year. One-hundred percent of this time is contributed to the animal care and use program.

The Avon Animal Hospital and Dr. Warriner's residence are located approximately 10 miles from the Geneseo campus. Emergency numbers for both Dr. Warriner and Dr. Marvin, including both Dr. Warriner's office and home/mobile phone numbers, are posted in each of the institution's animal facilities.

- C. The Institutional Animal Care and Use Committee (IACUC) at this Institution is properly appointed in accordance with the PHS Policy IV.A.3.a and is qualified through the

experience and expertise of its members to oversee the Institution's animal care and use program and facilities. The President of the College (Chief Executive Officer) appoints the members of the IACUC. The IACUC consists of at least five members, and its membership meets the composition requirements set forth in the PHS Policy, Section IV.A.3.b. The nonaffiliated member is (1) not a laboratory animal user or former user, (2) not affiliated with the institution, or (3) not an immediate family member of an individual affiliated with the institution. Part VIII is a list of the chairperson and members of the IACUC and their names, degrees, profession, titles or specialties, and institutional affiliations.

D. The IACUC will:

**1. Review at least once every six months the Institution's program for humane care and use of animals, using the Guide as a basis for evaluation. The IACUC procedures for conducting semiannual program reviews are as follows:**

- The IACUC will meet at least once every six months to review the Institutional Program for Humane Care and Use of Animals.
- The Committee uses the Guide and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the review.
- To facilitate the evaluation, the Committee will use a checklist based on the Sample Office of Laboratory Animal Welfare (OLAW) Program and Facility Review Checklist from the OLAW website.
- The evaluation will include, but not necessarily be limited to, a review of the following:
  - a. Institutional and Individual Responsibilities;
  - b. IACUC Membership and Functions;
  - c. IACUC Member Experience and Training;
  - d. IACUC Records and Reporting Requirements;
  - e. Husbandry and Veterinary Care (all aspects);
  - f. Personnel Qualifications (Experience and Training);
  - g. Occupational Health and Safety;
  - h. Emergency and Disaster Planning; and
  - i. Security (personal and facility).
- In addition, the evaluation may include a review of the Institution's PHS Assurance.
- If program deficiencies are noted during the review, they will be categorized as significant or minor and the Committee will develop a reasonable and specific plan and schedule for correcting each deficiency. A significant deficiency is one that is or may be a threat to the health and safety of the animals or personnel.

- Subcommittees may be used to conduct all or part of the reviews. However, no member will be involuntarily excluded from participating in any portion of the reviews.
- 2. Inspect at least once every six months all of the Institution's animal facilities, including satellite facilities and animal surgical sites, using the "Guide" as a basis for evaluation. The IACUC procedures for conducting semiannual facility inspections are as follows:**
- At least once every six months at least two voting members of the IACUC will visit all of the institute's facilities where animals are housed or used, i.e., holding areas, animal care support areas, storage areas, animal surgery suites, procedure areas, and laboratories where animal manipulations are conducted. Equipment used for transporting of the animals is also inspected.
  - The Committee uses the Guide and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the review.
  - To facilitate the evaluation, the Committee will use a checklist based on the Sample OLAW Program and Facility Review Checklist from the OLAW website.
  - If deficiencies are noted during the inspection, they will be categorized as significant or minor and the Committee will develop a reasonable and specific plan and schedule for correcting each deficiency. A significant deficiency is one that is or may be a threat to the health and safety of the animals or personnel.
  - No member will be involuntarily excluded from participating in any portion of the inspections.
- 3. Prepare reports of the IACUC evaluations as set forth in the PHS Policy IV.B.3 and submit the reports to the Institutional Official. The IACUC procedures for developing reports and submitting them to the Institutional Official are as follows:**
- Individual IACUC members will convey their observations to the IACUC Chairperson, or his or her designee, who, in turn, will draft the reports using the sample OLAW Semiannual Report to the Institutional Official format from the OLAW website.
  - The reports will contain a description of the nature and extent of the institution's adherence to the Guide and the PHS Policy.
  - The reports will identify specifically any IACUC approved departures from the provisions of the Guide and the PHS Policy, and state the reasons for each departure. If there are no departures from the Guide, the reports will so state.
  - Approved departures must be approved as part of a protocol, protocol amendment, or other written document, using either Full Committee Review (FCR) or Designated Member Review (DMR) as delineated below in Section III.D.6.

- Departures from the provisions of the Guide that are not IACUC approved are considered deficiencies and addressed as such, i.e., the IACUC will develop a reasonable plan and schedule for discontinuing the departure or for having the departure properly reviewed and approved. Unapproved departures are considered non-compliant with the PHS Policy. Unapproved departures will be included in the semiannual report to the IO and will promptly be reported to OLAW by the IO, per section VI.B., below.
- The reports will distinguish significant deficiencies from minor deficiencies. If program or facility deficiencies are noted, the reports will contain a reasonable and specific plan and schedule for correcting each deficiency.
- If some or all of the institution's facilities are accredited by AAALAC International the report will identify those facilities as such.
- Copies of the draft reports will be reviewed, revised as appropriate, and approved by the Committee.
- The final reports will be signed by a majority of the IACUC members and will include any minority opinions. If there are no minority opinions, the reports will so state.
- Following completion of each evaluation, the completed report will be submitted to the Institutional Official in a timely manner.
- As appropriate for a specific deficiency, either the IACUC Chair or the IO will communicate the nature of the deficiency and the schedule for its correction to the investigator in charge of the protocol involved or, in the case of institutional matters or facilities issues, to the appropriate administrator or director. The Chair or the IO will be responsible for tracking the correction of the deficiency to ensure that it is appropriately resolved and will communicate results to the IACUC.

**4. Review concerns involving the care and use of animals at the Institution. The IACUC procedures for reviewing concerns are as follows:**

- Any individual may report concerns to the IO, IACUC Chair, Institutional Veterinarian, or any member of the IACUC.
- Concerns may be reported anonymously using the Silent Witness on-line form, which is maintained by SUNY Geneseo's University Police.
- Notices are located in the animal facilities advising individuals how and where to report animal welfare concerns and stating that any individual who, in good faith, reports an animal welfare concern will be protected against reprisals.
- Mechanisms for reporting concerns, including how and to whom to report concerns and how to do so anonymously, if desired, are posted in prominent locations in the animal facilities and on the IACUC web page.

- All reported concerns will be brought to the attention of the full Committee.
  - If necessary the IACUC Chair will convene a meeting to discuss, investigate, and address any reported concern.
  - Reported concerns and all associated IACUC actions will be recorded in the IACUC meeting minutes.
  - The Committee will report such actions in writing to the IO and, as warranted, to OLAW. Reports to the IO may be either via meeting minutes, semiannual report of IACUC evaluations, or separate document. Reports to OLAW will be in writing and through the IO. Preliminary reports to both the IO and OLAW may be made verbally.
- 5. Make written recommendations to the Institutional Official regarding any aspect of the Institution's animal program, facilities, or personnel training. The procedures for making recommendations to the Institutional Official are as follows:**
- Recommendations regarding any aspects of the institution's animal program or facilities are discussed and developed by the Committee.
  - The Committee's recommendations are included in the IACUC Meeting minutes or a report of the IACUC's evaluations or a separate letter. Such documents are reviewed and approved by the Committee and then submitted to the IO.
- 6. In accord with the PHS Policy IV.C.1-3, the IACUC shall review and approve, require modifications in (to secure approval), or withhold approval of PHS-supported activities related to the care and use of animals. The IACUC procedures for protocol review are as follows:**
- Signed protocols are submitted to the Office of Sponsored Research in hard copy or via email as a PDF of the original signed document.
  - There is no prescreening process prior to distribution to the IACUC members for review.
  - Members of the IACUC are notified via email of protocols for review.
  - Each protocol is distributed to IACUC Members in a separate email to which a PDF version of the signed protocol is attached. The email also includes a form on which each member must either empower the IACUC member designated by the IACUC Chair for designated member review (DMR) or request full committee review (FCR). IACUC members may also provide suggestions and comments to the designated reviewer if DMR is empowered.
  - No member may participate in the IACUC review or approval of a protocol 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.

- The IACUC may invite consultants to assist in reviewing complex issues. Consultants may not approve or withhold approval of an activity or vote with the IACUC unless they are also members of the IACUC.
- IACUC meetings will be conducted in person.
- Any use of telecommunications will be in accordance with NIH Notice NOT-OD-06-052 of March 24<sup>th</sup>, 2006, entitled Guidance on Use of Telecommunications for IACUC Meetings under the PHS Policy on Humane Care and Use of Laboratory Animals.
- In order to approve proposed protocols or proposed significant changes in ongoing protocols, the IACUC will conduct a review of those components related to the care and use of animals and determine that the proposed protocols are in accordance with the PHS Policy. In making this determination, the IACUC will confirm that the protocol will be conducted in accordance with the insofar as it applies to the activity, and that the protocol is consistent with the Guide unless acceptable justification for a departure is presented. Further, the IACUC shall determine that the protocol conforms to the institution's PHS Assurance and meets the following requirements:
  - a. Procedures with animals will avoid or minimize discomfort, distress, and pain to the animals, consistent with sound research design.
  - b. 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.
  - c. Animals that would otherwise experience severe or chronic pain or distress that cannot be relieved will be painlessly killed at the end of the procedure or, if appropriate, during the procedure.
  - d. The living conditions of animals will be appropriate for their species and contribute to their health and comfort. The housing, feeding, and nonmedical 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.
  - e. Medical care for animals will be available and provided as necessary by a qualified veterinarian.
  - f. Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures.



- g. Methods of euthanasia used will be consistent with the current recommendations of the American Veterinary Medical Association (AVMA) Guidelines on Euthanasia, unless a deviation is justified for scientific reasons in writing by the investigator.
- Prior to the review, each IACUC member will be provided with written descriptions of activities (protocols) that involve the care and use of animals and any member of the IACUC may obtain, upon request, full committee review of those protocols.

### **Full-Committee Review (FCR)**

- If FCR is requested, approval of those protocols may be granted only after review at a convened meeting of a quorum of the IACUC and with the approval vote of a majority of the quorum present.
- Following deliberation, an oral vote is taken. Each member has only one vote and proxy votes are not accepted.
- FCR may result in approval, a requirement for modifications (to secure approval), or withholding of approval.
- Review of Required modifications Subsequent to FCR. When the IACUC requires modifications (to secure approval), of a protocol, such modifications are reviewed as follows:
  - a. FCR or DMR following all applicable procedures as delineated in the PHS Policy and elsewhere in Part III.D.6 of this Assurance.

OR

- b. DMR if approved unanimously by all members at the meeting at which the required modifications are developed delineated AND if the entire current Committee has previously approved, in advance and in writing (e.g., documented a policy), that the quorum of members present at a convened meeting may decide by unanimous vote to use DMR subsequent to FCR when modification is needed to secure approval. However, any member of the IACUC may, at any time, request to see the revised protocol and/or request FCR of the protocol.

Minor modifications of an administrative nature, i.e., typographical or grammatical errors, required signatures, etc. may be confirmed by IACUC administrative/support personnel.

### **Designated-Member Review (DMR)**

- Generally, the FCR method will be used. However, should a situation warrant it, the institution or IACUC may want to use the designated-member review (DMR)

method. In such instances the protocol will be distributed to all IACUC members to allow all members the opportunity to call for FCR.

- Records of polling of members to obtain concurrence to use the DMR method, or concurrence by silent assent after ten working days, and approval of protocols via DMR are maintained and recorded in the minutes of the next convened IACUC meeting.
- If full-committee review (FCR) is not requested, at least one member of the IACUC, designated by the chairperson and qualified to conduct the review, may be assigned to review those protocols and have the authority to approve, require modifications in (to secure approval) or request full committee review of those protocols.
- Other IACUC members may provide the designated reviewer with comments and/or suggestions for the reviewer's consideration only. That is, concurrence to use the designated-member review (DMR) method may not be conditioned.
- If multiple designated reviewers are used and additional modifications are required, after all required modifications are made, a final revised protocol, i.e., an identical document with all required modifications included, is submitted to all designated reviewers for review and approval.
- If multiple designated reviewers are used, their decisions must be unanimous; if not, the protocol will be referred for FCR.
- DMR may result in approval, a requirement for modifications (to secure approval), or referral to the full committee for review. DMR may not result in withholding of approval.
- There are no alternate processes or procedures for special expedited reviews.

**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 IV.C. The IACUC procedures for reviewing proposed significant changes in ongoing research projects are as follows**

- Review and approval of significant changes are handled in the same manner as new protocols. See Paragraph III.D.6., above.
- Examples of changes considered to be significant include, but are not limited to, changes:
  - a. from nonsurvival to survival surgery;
  - b. resulting in greater pain, distress, or degree of invasiveness;
  - c. in housing and or use of animals in a location that is not part of the animal program overseen by the IACUC;
  - d. in species;
  - e. in study objectives;

- f. in Principal Investigator (PI); and
- g. that impact personnel safety.

**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 IV.C.4. The IACUC procedures to notify investigators and the Institution of its decisions regarding protocol review are as follows:**

- Principal Investigators are notified either by e-mail or letter from the IACUC Chairperson or his/her delegate.
- If the IACUC decides to require modifications to the protocol in order to secure approval, the required modifications will be delineated in the written notification to the investigator.
- If the IACUC decides to withhold approval of an activity, it shall include in its written notification to the investigator a statement of the reasons for its decision and give the investigator an opportunity to respond in person or in writing. Responses will be received or reviewed during a full committee meeting.
- The Institutional Official is notified by receiving a copy of the PI's notification letter and/or a copy of the IACUC meeting minutes.

**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 IV.C.1-4 at least once every three years. The IACUC procedures for conducting continuing reviews are as follows**

- Post-approval Monitoring
  - All ongoing activities are monitored continuously by the animal care and use staff.
  - Protocols are reviewed at least annually by the IACUC. At least one month prior to the first and second annual anniversary of initial approval date investigators are sent a protocol renewal form to complete which requests information including: Number of animals used in the prior year; whether the number of animals originally requested will be changed in the coming year and justification for this; information on any adverse effects observed or unanticipated problems encountered; whether new alternatives to the use of animals are available and, if so, a justification for why the alternative is not being used; progress on reducing the animal numbers, restraint, or any paid/discomfort; names or new students/personnel who will be working on the project.
  - The IACUC inspects the animal facilities twice per year. These inspections include: housing rooms and observation of animals in their home

cages/enclosures; daily observation logs for each housing room; food and water (as applicable) sources and supply; behavioral testing rooms and equipment; surgical areas and surgical records; controlled substance storage, expiration dates, and use logs; investigator standard operating procedures (SOPs) for animal care and use; and food and bedding storage (as applicable). The Attending Veterinarian is present for semi-annual inspections.

- In addition, in order to maintain required New York State approval for use of living animals we are subject to annual inspection by the New York State Department of Health. This includes full inspection of the animal facilities, and the inspector may also read protocols, request clarification or additional information as needed, and make recommendations for programmatic or experimental changes.
- USDA Regulated Species:
  - Protocols are/will be\* reviewed by the IACUC at least annually. \*Currently no USDA covered species are maintained and/or used.
  - Annual reviews will be conducted within the same month of the initial approval.
  - The review may be conducted by the IACUC or a subcommittee.
  - All IACUC members are informed of the annual reviews.
  - All members are given the opportunity to participate in the annual reviews.
  - The IACUC reviews and decisions are documented in writing and available for inspection.
  - Annual protocol reviews are recorded in the IACUC meeting minutes. The IACUC meeting minutes are reviewed and approved by the Committee.
  - Protocols are approved for a maximum of 36 months. That is, all protocols expire no later than the three-year anniversary of the initial IACUC review.
  - If activities will continue beyond the expiration date, a new protocol must be submitted, reviewed, and approved [prior to expiration of the original or preceding protocol] as described in Paragraph III.D.6., above.
- Non-USDA Regulated Species:
  - Protocols are reviewed by a member or members of the IACUC at least annually.
  - Annual protocol reviews are recorded in the IACUC meeting minutes. The IACUC meeting minutes are reviewed and approved by the Committee.

- Protocols are approved for a maximum of 36 months. That is, all protocols expire no later than the three-year anniversary of the initial IACUC review.
- If activities will continue beyond the expiration date, a new protocol must be submitted, reviewed, and approved [prior to expiration of the original or preceding protocol] as described in Paragraph III.D.6., above.

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

- The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with applicable provisions of the Animal Welfare Act, the Guide, the institution's Assurance, or IV.C.1.a.-g. of the PHS Policy.
- The IACUC may suspend an activity only after 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.
- If the IACUC suspends an activity involving animals, or any other institutional intervention results in the temporary or permanent suspension of an activity due to noncompliance with the Policy, Animal Welfare Act, the *Guide*, or the institution's Assurance, 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 in writing to OLAW. Preliminary reports may be made verbally.

**E. The occupational health and safety program for personnel working in laboratory animal facilities or have frequent contact with animals is as follows:**

**1. Administration/management.**

- The Office of Environmental Health and Safety is responsible for the overall occupational health and safety program for personnel involved in care and/or use of laboratory animals.
- The Director of the Office of Environmental Health and Safety is involved in planning and monitoring the occupational health and safety program for personnel involved in care and/or use of laboratory animals. The Director of the Office of Environmental Health and Safety is an occupational health professional.
- The Biology Department's Instructional Support Specialist and Environmental Health and Safety Officer contributes to the development of the Occupational Health and Safety Program for Personnel involved in the care and/or use of laboratory animals, and is responsible for the management of the program.

## **2. Scope.**

- The program covers all personnel involved in laboratory animal care and/or use at SUNY Geneseo.
- Participation in the program is mandatory. Individuals who wish to decline participation must do so in writing. To date, less than 1% percent of covered personnel have declined to participate.

## **3. Hazard Identification and Risk Assessment.**

- The program is based on hazard identification, risk assessment, and developing and implementing measures to minimize identified hazards and risks. The training program includes the areas of zoonoses, allergies, and hazards.
- Hazard identification is an on-going process in which hazards are identified by investigators, during protocol review, and during facilities and program review. The Office of Environmental Health and Safety also identifies hazards through hazard assessments.
- Health risks are identified through the use of health histories (see below).
- Risk levels are assessed and content is added to the training program, as appropriate.

## **4. Health Histories and Evaluations.**

- Personnel who regularly conduct research with and/or care for animals must complete a health history form which meets all federal, state and local HIPAA requirements. The completed form is mailed to and reviewed by the Medical Director of our Health and Counseling Center. If any health risks are identified, the Medical Director will provide written recommendations to the individual on methods to minimize the risk. The Medical Director will also provide general information on identified health risks to the Director of Environmental Health and Safety, the IO, and the IACUC so that appropriate new content may be added to the Occupational Health and Safety program. Personnel are also advised that should they have any concerns regarding their health as related to their involvement in laboratory animal care and use, that they should consult their own health care professional/physician regarding these concerns. If warranted, any work restrictions and/or accommodations are coordinated among the individual, his/her health care professional, Human Resources, and the faculty supervisor, as appropriate.

## **5. Common Identified Hazards and Risks**

- Allergic reactions are among the most common conditions that adversely affect the health of personnel working with laboratory animals. Major sources of allergens include rodent urine and saliva. Rodent bites are also a risk that has been identified.

## **6. Procedures in Place to Alleviate Hazards and Minimize Risks.**

- Measures taken to minimize exposure include the following: education, protective clothing, gloves, and hand washing.
- To reduce aerosol exposure to allergens, the use of appropriate hoods or laminar flow benches/cabinets, and/or other respiratory protection, e.g. N95 masks, may be worn when performing cage changing and/or handling dirty bedding.
- Personnel are trained in the proper handling of rodents and identification of signs of rodent illness or distress, which may increase the propensity to bite. Protective handling gloves are also available.

## **7. Immunizations.**

- While New York State Law prohibits the requirement of certain vaccines, most personnel do have up-to-date tetanus immunizations. Tetanus vaccination (or booster) are strongly recommended for personnel working with animals, and are available at Health Services. Additional vaccinations may be recommended, as appropriate (e.g. rabies).

## **8. Precautions taken during pregnancy, illness or decreased immunocompetence.**

- Personnel are advised during training that if they are planning to become pregnant, are pregnant, are ill, or have impaired immunocompetence that they should consult a health care professional/physician regarding such conditions and how they might pertain to their working with laboratory animals. If warranted, any work restrictions and/or accommodations are coordinated among the individual, his/her health care professional, and Human Resources.

## **9. Provisions for personnel who are not involved in animal care and/or use but nevertheless need to enter areas when animals are housed or used.**

- The housekeeping staff is not routinely allowed access to the animal facilities. In situations where housekeeping, maintenance, or other non-animal care and use personnel must access the animal rooms, they are briefed on appropriate precautions and provided any appropriate personal protective equipment and are then permitted in for a limited amount of time.
- A member of the animal care staff will be available for escort if needed. If there is extensive or prolonged work to be done the animals are removed prior to the individuals being allowed into the room.

## **10. Availability and procedures for treatment in the event of bites, scratches, illness or injury.**



- Both facilities have appropriate first aid kits which will be inspected and restocked semiannually.
- In the event of an animal related injury or bite, first aid may also be obtained by staff and students free of charge at Health Services, which maintains records of such treatment. Health Services is open during normal working hours, and until 7:00 PM on Mondays and Thursdays while classes are in session. Telephone nurse assistance is available for students on nights, weekends, and holidays, and Health Services also maintains a web site list of other after-hour and weekend health care providers in the area.
- If required, acute treatment is also available at the local Livingston Health Services After Hours Care Center, which is 1.2 miles from campus, or at area hospitals, including Noyes Memorial Hospital in Dansville, NY (21 miles), Highland Hospital in Rochester, NY (30 miles), and Strong Memorial Hospital in Rochester, NY (30 miles).

#### **11. Procedures/program for reporting and tracking injuries and illnesses.**

- Incident report forms (IACUC approved) are provided each animal facility. This form must be signed by the person submitting the report and the faculty investigator, submitted to the Chair of the IACUC for review and recommendation, and a copy filed in the Office of Sponsored Research.
- A separate Employee Accident and Injury Report must be filed with Human Resources immediately following accident or injury (as required under NYS PESH Rule Part 801).
- Employees also must report any work related accident to the NYS Accident Reporting System, 1-888-800-0029.
- Injuries must also be reported to University Police who complete an incident report.
- Report of all work-related illness and/or injury is mandatory. This requirement is covered and during OH&S training and Animal Care & Use Training.

F. The total gross number of square feet in each animal facility (including each satellite facility), the species of animals housed therein and the average daily inventory of animals, by species, in each facility is provided in Part X., the Facility and Species Inventory table.

G. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows:

##### **1. IACUC Training**

- New IACUC member orientations are conducted by the IACUC Chair and the IO and include the following:
  - a. A description of the IACUC, its composition and responsibilities;

- b. Information on federal regulations and IACUC resources (e.g. the PHS Policy the Guide, the Animal Welfare Act, the 3 R's, AVMA Guidelines on Euthanasia, OLAW);
  - c. Overview of the PHS Assurance process and of this Assurance;
  - d. The IACUC protocol review and periodic review processes;
  - e. The process for protocol modifications;
  - f. Semi-annual reporting process.
- Each IACUC member will be provided with a copy of the following:
  - a. The PHS Policy for the Humane Care and Use of Laboratory Animals;
  - b. The National Research Council (NRC) Guide for the Care and Use of Laboratory Animals;
  - c. The ARENA/OLAW IACUC Guidebook;
  - d. The AVMA Guidelines on Euthanasia;
  - e. A copy of this Assurance.
- All members of the IACUC will complete the Essentials for IACUC Members Curriculum located at the American Association for Laboratory Animal Science website, [www.aalaslearninglibrary.org](http://www.aalaslearninglibrary.org) or the Collaborative Institutional Training Initiative website, [www.citiprogram.org](http://www.citiprogram.org).
- All IACUC members will visit the OLAW website at least semi-annually and will complete the IACUC tutorial module (initial visit) and will familiarize themselves with the other pertinent modules and information, e.g., OLAW FAQs, Policies and Laws, Guidance, Educational and other Resources.
- Attendance at an IACUC 101, IACUC 102, IACUC Advanced, PRIM&R/ARENA IACUC meeting, or similar course may be substituted for any required IACUC refresher training session.

## 2. Animal Care and Use Personnel

- Protocol forms include a certification that investigators have read this Assurance and that they will ensure that all students and staff involved in the protocol will read this Assurance, and also provides the web site address where the Assurance can be found. All students must complete a Student Training Certification form on which they must certify that they have read this Assurance.
- All personnel performing procedures using animals must be identified in the Institutional Animal Care and Use Protocol.
- A description of each individual's qualifications, experience and/or training with the specific animal species, model and procedures must be available for IACUC review.

Any person needing additional protocol-specific training will be identified during the review process and such required training will be a condition of approval of the protocol.

- All persons involved in animal care and use will be required to attend an orientation seminar given by the IACUC Chair, Consulting Veterinarian, or other qualified individual(s), which covers the laws and regulations covering laboratory animal care and use with an emphasis on the contents of the National Research Council (NRC) Guide and the 3R's (replacement, refinement, and reduction). The training includes training or instruction on research or testing methods that minimize the numbers of animals required to obtain valid results and limit animal pain or distress as well as other requirements delineated in 9 CFR, Part 2, Subpart C, Section 2.32(c).
- Specifically, as applicable, training and instruction of personnel must include guidance in at least the following areas:
  1. Humane methods of animal maintenance and experimentation, including:
    - a. The basic needs of each species of animal;
    - b. Proper handling and care for the various species of animals used by the facility;
    - c. Proper pre-procedural and post-procedural care of animals; and
    - d. Aseptic surgical methods and procedures;
  2. The concept, availability, and use of research or testing methods that limit the use of animals or minimize animal distress;
  3. Proper use of anesthetics, analgesics, and tranquilizers for any species of animals used by the facility;
  4. Methods whereby deficiencies in animal care and treatment are reported, including deficiencies in animal care and treatment reported by any employee of the facility. No facility employee, Committee member, or laboratory personnel shall be discriminated against or be subject to any reprisal for reporting violations of any regulation or standards under the Act;
  5. Utilization of services (e.g., National Agricultural Library, National Library of Medicine) available to provide information:
    - a. On appropriate methods of animal care and use;
    - b. On alternatives to the use of live animals in research;
    - c. That could prevent unintended and unnecessary duplication of research involving animals; and
    - d. Regarding the intent and requirements of the Animal Welfare Act and USDA-APHIS Regulations
- On-line training may be used and accepted in lieu of in-house training. Any use of on-line training to fulfill training requirements must be approved by the IACUC. Approval and completion of on-line training will be documented.
- Specialized Training: Training in experimental methods, i.e., specific animal manipulations and techniques and in the care of new and nontraditional laboratory animal species, will be conducted based on the types of research being conducted and the species being used at the institution.

- For investigators transferring from other facilities at which they have received similar training, verification of previous training may be accepted in lieu of some Institutional required training. Acceptance of previous training in lieu of the Institution's training is solely at the IACUC's discretion.
- The Institution bears ultimate responsibility for ensuring that all personnel involved in animal care and/or use are adequately trained and qualified to perform their duties. Faculty investigators are tasked with providing students with training in the humane practice of animal care and use, including training or instruction on research or testing methods that minimize the number of animals required to obtain valid results and limit animal pain and distress.
- Each student working with animals must provide written certification that he/she:
  - a. has read the approved animal protocol, as provided by the faculty investigator;
  - b. has successfully completed on-line training, as appropriate (see below); and
  - c. will not perform any procedures without supervision until they have been properly trained.

Certifications must be signed by the student and the investigator under whose supervision he/she will be working.

- The Biology Department's Instructional Support Specialist, who is experienced in animal care, is also available to both faculty and students for consultation.
- SUNY Geneseo subscribes to the Collaborative Institutional Training Initiative (CITI), and courses for Laboratory Animal Welfare are available to all students, faculty and staff. The basic course, "Working with the IACUC," is required for all students involved in animal research and for new investigators (and as a refresher course). Other topic-specific ("Aseptic Surgery") and species-specific courses ("Minimizing Pain and Distress in Laboratory Mice and Rats," "Working with Mice in Research Settings," "Working with Rats in Research Settings," and "Working with Amphibians in Research Settings") are required, as appropriate. The "Essentials for IACUC Members" course is available for new IACUC members and as a refresher course. The Institutional Official is the campus administrator for the CITI system.
- The Office of Sponsored Research maintains a regularly updated page of links to information sources and on-line training available to those involved in the institution's animal care and use program.
- If faculty investigators, staff, or IACUC members are in need of specialized training related to any component of the institution's animal care and use program (techniques, statistics, IACUC member training, etc.) the Office of Sponsored Research provides funds to support the costs of travel and training fees, as appropriate.

#### **IV. Institutional Program Evaluation and Accreditation**

- A. All of this Institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated by the IACUC within the past six months and will

be reevaluated by the IACUC at least once every six months according to PHS Policy IV.B.1.-2. Reports have been and will continue to be prepared according to PHS Policy IV.B.3. All IACUC semiannual reports will include a description of the nature and extent of this Institution's adherence to the PHS Policy and 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's evaluations will be submitted to the Institutional Official. Semiannual reports of IACUC evaluations will be maintained by this Institution and made available to the OLAW upon request.

- B. This Institution is Category 2 — not accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC). As noted above, reports of the IACUC's semiannual evaluations (program reviews and facility inspections) will be made available upon request. The report of the most recent evaluations (program review and facility inspection) is attached.

Although not accredited by AAALAC, as required by state law, SUNY Geneseo is registered with the New York State Department of Health and maintains an active state Certificate of Approval for the Use of Living Animals (AW ID #: 036). As part of this certification process, our program and facilities are subject to annual inspection by the New York State Department of Health.


## **V. Recordkeeping Requirements**


- A. This Institution will maintain for at least three years:
1. A copy of this Assurance and any modifications made to it, as approved by the 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 granted or withheld
  4. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Institutional Official, the Director of Sponsored Research.
  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. The Institutional reporting period is the calendar year (January 1 – December 31). The IACUC, through the Institutional Official, will submit an annual report to OLAW by January 31 of each year. The annual report will include:
  - 1. Any change in the accreditation status of the Institution (e.g., if the Institution obtains accreditation by AAALAC or AAALAC accreditation is revoked)
  - 2. Any change in the description of the Institution's program for animal care and use as described in this Assurance
  - 3. Any change in the IACUC membership
  - 4. 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, the Director of Sponsored Research.
  - 5. Any minority views filed by members of the IACUC
- B. The IACUC, through the Institutional Official, will promptly provide OLAW with a full explanation of the circumstances and actions taken with respect to:
  - 1. Any serious or continuing noncompliance with the PHS Policy, including departures not approved by the IACUC.
  - 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 should include any minority views filed by members of the IACUC.

## VII. Institutional Endorsement and PHS Approval

A. Authorized Institutional Official	
Name: Anne E. Baldwin, Ph.D., C.R.A.	
Title: Director of Sponsored Research	
Name of Institution: State University of New York at Geneseo	
Address: (street, city, state, country, postal code)	
Office of Sponsored Research 1 College Circle, Erwin Hall Room 202 Geneseo, NY 14454	
Phone: 585-245-5954 / 5547	Fax: 585-245-5096
E-mail: baldwinA@geneseo.edu	
Acting officially in an authorized capacity on behalf of this Institution and with an understanding of the Institution's responsibilities under this Assurance, I assure the humane care and use of animals as specified above.	
Signature: 	Date: November 30, 2018

B. PHS Approving Official (to be completed by OLAW)	
Name/Title:	
Neera Gopee, D.V.M., Ph.D., DACLAM, DABT Veterinary Medical Officer Office of Laboratory Animal Welfare (OLAW) National Institutes of Health 6700 B Rockledge Drive Suite 2500, MSC 6910 Bethesda, Maryland 20892 gopeenv@od.nih.gov	
Signature: 	Date: 12-03-2018
Assurance Number: D16-00847 (A4636-01)	
Effective Date: 12-03-2018	Expiration Date: 12-31-2022



## VIII. Membership of the IACUC

Date: August 31, 2018			
Name of Institution: State University of New York at Geneseo			
Assurance Number: A4636-01			
IACUC Chairperson			
Name*: Terence J. Bazzett			
Title*: Professor of Psychology		Degree/Credentials*: Ph.D.	
Address*: (street, city, state, zip code)			
Department of Psychology State University of New York at Geneseo 1 College Circle, Bailey Hall, Room 145 Geneseo, NY 14454			
E-mail*: bazzett@geneseo.edu			
Phone*: 585-245-5248		Fax*: 585-245-5235	
IACUC Roster			
Name of Member/ Code**	Degree/ Credentials	Position Title***	PHS Policy Membership Requirements****
Duane R. McPherson	Ph.D.	Professor of Biology	Scientist
Vincent Markowski	Ph.D.	Associate Professor of Psychology	Scientist
Amanda Roth	Ph.D.	Assistant Professor of Philosophy	Non-Scientist (Ethicist)
Eugene Scherline	D.V.M.	Veterinarian <sup>1</sup> , Genesee Valley Veterinary Hospital	Nonaffiliated
Wayne F. Warriner, Jr.	D.V.M.	Veterinarian, Avon Animal Hospital	Veterinarian

<sup>1</sup>Dr. Scherline is a private veterinary practitioner. He is not involved in research involving animals. He represents the interests of the general community in the proper care and use of animals.

\* This information is mandatory.

\*\* Names of members, other than the chairperson and veterinarian, may be represented by a number or symbol in this submission to OLAW. Sufficient information to determine that all appointees are appropriately qualified must be provided and the identity of each member must be readily ascertainable by the institution and available to authorized OLAW or other PHS representatives upon request.

\*\*\* List specific position titles for all members, including nonaffiliated (e.g., banker, teacher, volunteer fireman; not "community member" or "retired").

\*\*\*\* [PHS Policy](#) Membership Requirements:

<i>Veterinarian</i>	veterinarian with training or experience in laboratory animal science and medicine or in the use of the species at the institution, who has direct or delegated program authority and responsibility for activities involving animals at the institution.
<i>Scientist</i>	practicing scientist experienced in research involving animals.
<i>Nonscientist</i>	member whose primary concerns are in a nonscientific area (e.g., ethicist, lawyer, member of the clergy).
<i>Nonaffiliated</i>	individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution. This member is expected to represent general community interests in the proper care and use of animals and should not be a laboratory animal user. A consulting veterinarian may not be considered nonaffiliated.

All members must be appointed by the CEO (or individual with specific written delegation to appoint members) and must be voting members. Non-voting members and alternate members must be so identified.

## IX. Other Key Contacts (optional)

If there are other individuals within the Institution who may be contacted regarding this Assurance, please provide information below.

Contact #1	
Name:	
Title:	
Phone:	E-mail:
Contact #2	
Name:	
Title:	
Phone:	E-mail:

## X. Facility and Species Inventory

Date: August 31, 2018			
Name of Institution: State University of New York at Geneseo			
Assurance Number: A4636-01			
Laboratory, Unit, or Building*	Gross Square Feet [ <i>include service areas</i> ]	Species Housed [ <i>use common names, e.g., mouse, rat, rhesus, baboon, zebrafish, African clawed frog</i> ]	Approximate Average Daily Inventory
Integrated Sciences Center Facility	1,484	Mice <sup>1</sup>	6
		Zebra Danio Fish	4,000
		Grass Frogs	20
Bailey Hall Facility	3,327	Mice <sup>1</sup>	100
		Rats <sup>1</sup>	80

<sup>1</sup> Mice and Rats means mice of the genus *mus* and rats of the genus *rattus* that are purposely bred for research.