

**Colorado State University-Pueblo**  
Assurance number A3425-01

## **Animal Welfare Assurance for Domestic Institutions**

I, Dr. Lesley Di Mare, as named Institutional Official for animal care and use at Colorado State University-Pueblo, 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. This Assurance covers only those facilities and components 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:  
Colorado State University-Pueblo
- B. The following are other institution(s), or branches and components of another institution:  
NONE

### **II. Institutional Commitment**

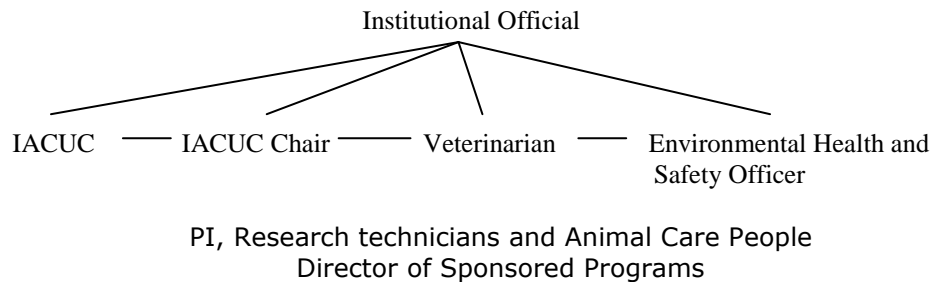
- A. This Institution will comply with all applicable provisions of the [Animal Welfare Act](#) and other Federal statutes and regulations relating to animals.
- B. This Institution is guided by the "[U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, 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, and 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 according to the *Guide for the Care and Use of Laboratory Animals* ([Guide](#)).
- 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 the PHS Policy are as follows:
  - 1. The IACUC, the IACUC Chair, the Veterinarian and the Environmental Health and Safety Officer have direct communication with the Institutional Official.

2. Because we are a small institution with regard to laboratory animal use and IACUC size, the IACUC Chair, the Veterinarian, the Environmental Health and Safety Officer and the Institutional Official constitute a close communication web.
3. Principal Investigators (PIs) and their associate technicians and animal care people have open access to the IACUC, the IACUC Chair, the Veterinarian, the Environmental Health and Safety Officer and the Institutional Official.

DIAGRAM:



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

1) Name: Dr. Regis Opferman

Qualifications

- Degrees:
  - 1975 – Earned DVM Degree from Colorado State University
  - Current Colorado Veterinary License Number = 2842
- Training or experience in laboratory animal medicine or in the use of the species at the institution:
  - 1975-1990 – Small Animal Private Practice
  - 1980-1994 – Contracted Veterinarian for the Pueblo, Colorado Zoo
  - 1980-Present – Private Reptile Collection and Reproduction
  - 1980-Present – Private Rodent Colony Collection and Reproduction
  - 1975-Present – Veterinary Continuing Education
  - 1994-Present – Volunteer Consultant for the Pueblo Zoo
  - 1975-Present – Private Practice related to Small Animals and Exotic Animals
  - 1987-Present – Veterinarian for Colorado State University-Pueblo, including the IACUC committee

Authority: Dr. Regis Opferman has specific direct program authority and responsibility for the Institution's animal care and use program including access to all animals.

- a. Primary consultant and resource for research proposal and protocol review and for animal husbandry.
- b. Authority to deny proposal and protocol approval upon determining the potential or existence for lack of humane and proper care and use of animals, or the use of excessive numbers of animals or excessive numbers of procedures endured by individual animals.

- c. Has direct communication lines and access to the Institutional Official, the IACUC and the IACUC Chair, the Principal Investigators, and the Environmental Health and Safety Officer for protocol enforcement support.
- d. Has the authority to conduct investigations regarding evaluations and concerns on appropriate animal care and use and, with the support of the Institutional Official, the Environmental Health and Safety Officer and the IACUC, has the authority to suspend programs that violate appropriate animal care and use protocol.
- e. Has the authority and responsibility, along with the Environmental Health and Safety Officer and with support from the Institutional Official to assure that proper training of research and animal care personnel occurs and is ongoing.
- f. Assures that appropriate vendors and sources are used for the procurement of animals suited for a given project.

Time contributed to program:

The Veterinarian contributes 0.1 to 1.0 percent of his time to the program, depending on the number of projects and reviews undertaken in a given year.

Provisions in place for back-up veterinarian:

Should the IACUC Veterinarian not be available for a specific incident, issue or emergency, the "backup" veterinary service and needs will be met and addressed by the veterinarians at the Mesa Vet Clinic (719-542-6075).

- C. The IACUC at this Institution is properly appointed according to 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 IACUC consists of at least 5 members, and its membership meets the composition requirements of PHS Policy IV.A.3.b.

The IACUC membership table is provided below in Part VIII.

D. The IACUC will:

- 1) Review at least once every 6 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:
  - a. The semi-annual program reviews are conducted every six months, once during the Fall semester and once during the Spring semester. All IACUC members participate in the program reviews.
  - b. A meeting is called by the IACUC Chair either as a regular routine meeting, or upon request, or upon determination of the existence of a concern or problem. Meetings begin with a vote for approval of records from the past meeting, and review of the proposed agenda, with additions as necessary or appropriate.
  - c. General review and evaluation of progress and conditions of on-going activities.
  - d. Specific three year review and evaluation of on-going projects and activities.
  - e. Discuss and distinguish significant deficiencies from minor deficiencies; and discuss and provide a reasonable specific plan for corrections.
  - f. Review, investigation and evaluation of any reported concerns.

- g. Review, evaluation and approval, modification or rejection of new proposals. (Written proposal material forwarded to IACUC members prior to the meeting.)
- 2) Inspect at least once every 6 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:
- a. The facility inspections are conducted every six months when the semiannual program reviews are held, once during the Fall semester and once during the Spring semester. All IACUC members participate in the inspections.
  - b. The areas inspected include the animal housing facilities and research labs. The IACUC committee requires the PI(s) to attend the facility inspections to answer any questions, and to provide a verbal summary of research progress and significant outcomes.
  - c. The IACUC procedures and protocols Checklist for conducting semiannual facilities inspections are those provided by OLAW and found on their website at: <http://www.grants.nih.gov/grants/olaw/sampledoc/>.
- 3) Prepare reports of the IACUC evaluations according to 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:
- a. Activities of IACUC meetings, program reviews, and facilities inspections are recorded, and then formalized by the IACUC Chair. A summary of the activities that occur at each semi-annual meeting is forwarded to the Institutional Official. Minutes of the meetings are filed with the IACUC Recorder.
  - b. Semi-annual reports are forwarded from the IACUC Chair to the Institutional Official for subsequent filing with OLAW. Copies of the report are filed with the office of the Institutional Official, the IACUC Chair, the Environmental Health and Safety Officer and, upon request, with people involved with the care and use of animals.
  - c. Departures from the Guide are identified when a new protocol is reviewed by IACUC. The PI is notified and must provide a written statement about the reasons for each departure. Departures that are approved by IACUC are reported to the Institutional Official for each six month reporting period during which the IACUC approved departure is in place, and the reasons for each departure will be stated. Research protocols with an approved departure are reviewed at least annually by IACUC.
  - d. Any deficiencies found during the semi-annual program review or facilities inspections which are not in compliance with the PHS Policy, the provisions of the Guide, or IACUC program policies, are recorded as either minor or significant with a reasonable plan and schedule for correction.
  - e. Any minority views are included with the report. If there are no minority views, that is stated as "NONE" in the report.
  - f. The report is reviewed and signed by a majority of the committee members.
- 4) Review concerns involving the care and use of animals at the Institution. The IACUC procedures for reviewing concerns are as follows:

- a. There are two mechanisms for reporting animal welfare concerns. The institutional IACUC website has information on how to report the concern and to whom concerns should be addressed. Multiple points of contact are listed, including the Institutional Official, IACUC Chair, Attending Veterinarian, and Environmental Health and Safety Officer. The entry to the Animal Facility has a similar posting on how to report the concern and to whom.
- b. Any individual or group may file or report concerns, with a mechanism for anonymity.
- c. Reported concerns are documented and officially acknowledged.
- d. The membership of the IACUC is notified.
- e. Regardless of origin, all concerns are promptly reviewed with conscious attention to due process. The IACUC Chair and Veterinarian assume primary responsibility. If a number of concerns must be addressed over a brief period, responsibility may be delegated to other IACUC members.
- f. Quick preliminary investigation and evaluation is employed to ascertain the significance of alleged situations to determine if:
  - 1) The health or well-being of animals is in jeopardy requiring immediate investigation and remediation halting of procedures.
  - 2) Potential illegal or unethical activity is involved.
  - 3) Health and safety and/or law enforcement and legal counsel need to be advised.
  - 4) Same-day, immediate attention is required or if a slower approach may be employed.
- g. Once the validity and severity of the concern have been identified, the Institutional Official is alerted and advised of progress and included in the process if needed.
- h. The IACUC committee will meet as needed to consider and review allegations, conduct an investigation and receive information regarding the allegations, assess findings, and determine final actions and resolutions.
- i. Investigations shall include:
  - 1) Interviews of complainants, accused persons and programs, and others who may be associated with or have knowledge relevant to the programs and procedures.
  - 2) Observation of animals and environments.
  - 3) Review of records – health protocols, etc.
- j. An investigation report will be made that includes:
  - 1) Concerns and allegation statements.
  - 2) Interview findings.
  - 3) Animal and environmental conditions.
  - 4) Findings of document and record reviews.

- 5) Supporting documents.
  - 6) Conclusions related to the substance and the degree of the concerns.
  - 7) Recommended action.
- k. The IACUC will evaluate the report and meet to decide if:
- 1) The complaint can or cannot be supported.
  - 2) The animals associated with the concerns require further observation and review.
  - 3) The complaint was valid.
- l. Following report evaluation, the IACUC will determine appropriate action that may include remediation or cessation/termination of procedures and projects with compliance timelines (dates). Mediation may include:
- 1) Counseling
  - 2) Written reprimand (with copies to the Institutional Official)
  - 3) Directed and required training.
  - 4) On-going IACUC sponsored monitoring.
- Sanctions may include temporary or permanent revocation or termination by the IACUC, the Institutional Official and the Institution.
- m. Throughout the process the Institutional Official will be kept informed of the IACUC's activities.
- n. Through all of the processes –acknowledgement of the concern, the investigation, the report findings, and the implementation of an action plan – the source of the complaint shall remain confidential. Should the source be identified inadvertently, or because of “sunshine, open-records” laws, the IACUC will monitor programs and conditions to assure there is no reprisal or discrimination.
- 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:
- a. Procedures for making recommendations to the Institutional Official regarding institutional animal programs, facilities, training, personnel, etc. are accomplished through reports of IACUC meetings and activities. The Institutional Official may also receive written reports and recommendations directly from the IACUC Chair, the Veterinarian, the Environmental Health and Safety Officer, or any member of the IACUC.
- 6) Review and approve, require modifications in (to secure approval), or withhold approval of PHS-supported activities related to the care and use of animals according to PHS Policy IV.C.1-3. The IACUC procedures for protocol review are as follows:
- a. Protocols are submitted by the Principal Investigator (PI) to the IACUC Chair who then conducts a pre-review and initial screening of the proposal. The Chair then contacts the PI to discuss any items needing clarification or revision before the proposal is reviewed by the IACUC committee.

- b. The IACUC Chair then distributes copies of the protocol to the IACUC members. Following distribution of proposal information, the IACUC holds a full committee review (FCR) at a convened meeting of a quorum that includes the attending veterinarian and nonaffiliated member, with a majority vote of the quorum present to approve, require modifications to secure approval, or to withhold approval.
  - c. For the outcome 'require modifications to secure approval', the IACUC Chair then distributes copies of the resubmitted protocol to the IACUC members. Following distribution of proposal information, the IACUC holds a full committee review at a convened meeting of a quorum as described above in 6b.
  - d. Conflicts of interest are handled by a majority vote excluding the person with the conflict of interest.
- 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 according to PHS Policy IV.C. The IACUC procedures for reviewing proposed significant changes in ongoing research projects are as follows:
- a. The procedures for reviewing proposed significant changes in ongoing research projects are the same as for new proposals outlined in Part III.D.6 above.
- 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 according to PHS Policy IV.C.4. The IACUC procedures to notify investigators and the Institution of its decisions regarding protocol review are as follows:
- a. The IACUC Chair notifies investigators and the IO of its decisions regarding protocol review by a written letter to the investigator shortly after the FCR decision is made, and by a summary to the IO in the semi-annual report.
  - b. If protocol approval is withheld, the investigator has an opportunity to reply to the IACUC committee either in person or in writing. The proposal can be submitted for a second FCR review if deemed appropriate.
- 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 at least once every 3 years according to PHS Policy IV.C.1.-5. The IACUC procedures for conducting continuing reviews are as follows:
- a. Ongoing activities (post-approval monitoring) are monitored by conducting semi-annual inspections of the animal rooms and research facilities. The PI attends the inspection and answers any questions the IACUC committee may have concerning animal care, personnel training, and progress toward goals outlined in the initial proposal. Prior to each inspection, IACUC members review the initial project proposal to identify compliance with approved activities. The IACUC meets for debriefing following facilities inspections to discuss the status and compliance of ongoing activities. Any concerns are documented in the IACUC report and are followed up by correspondence between the IACUC Chair and PI. The PI has the opportunity to respond with a written or verbal statement to the IACUC committee.
  - b. The three year review is a complete de novo review conducted by the FCR as described in Part III.D.6. The review is performed 2-3 months prior to the three year expiration date. Prior to the IACUC meeting date, the PI submits a "Three Year Program Review" form that summarizes progress made and compliance to the initial proposal. Upon completion of an approved project, the PI is also required to submit for FCR review a

"Project Completion Form" that was developed by the institutional IACUC. The completed paperwork is kept with the IACUC records in the office of the IO.

- c. The annual review process for USDA covered species is conducted by FCR, as described in Part III.D.6.
- 10) Be authorized to suspend an activity involving animals according to PHS Policy IV.C.6. The IACUC procedures for suspending an ongoing activity are as follows:
- a. IACUC holds a full committee review (FCR) at a convened meeting of a quorum that includes the veterinarian and nonaffiliated member, with a majority vote of the quorum present to approve suspensions and make recommended actions.
  - b. An suspension meeting is held if there is evidence that an activity is not being conducted in accordance with the applicable provisions the Animal Welfare Act, the Guide, the institution's Assurance, or IV.C.1.a.-g of this Policy.
  - c. The IACUC Chair issues a direct oral and written notification and recommendation to the Institutional Official and to the Principal Investigator, with copy provided to the Director of Research and Sponsored Programs.
  - d. The Institutional Official in consult with the IACUC is obligated to take appropriate corrective action in the event of a suspension including those involving previously approved activities.
  - e. The program Principal Investigator meets with the IACUC to be further advised and informed of the reason for the suspension; and to determine if remediation can be accomplished and in what time frame. The Institutional Official is informed of the proceedings of the meeting and remediation decisions; and the Institutional Official is then obligated to support the same.
  - f. When the IACUC suspends a protocol, the Institutional Official in consultation with the IACUC shall review the reasons for corrective action (including actions and suspension, take appropriate timelines), and shall report those decisions and actions with full explanation to OLAW.
- E. The risk-based occupational health and safety program for personnel working in laboratory animal facilities and personnel who have frequent contact with animals is as follows:
- 1) Occupational Health Program
    - a. Program Content/Policy: Established by Biosafety Committee and University Health and Safety Officer, IACUC, Veterinarian, Input from Research Associates.
    - b. Program Oversight
      - i. Approved and reviewed by Biosafety committee, Environmental Health and Safety Officer, and IACUC
      - ii. Maintenance overseen by Principal Investigator, Environmental Health and Safety Officer.
      - iii. Standard First Aid and Antiseptic Practices are employed for minor abrasions, lacerations, etc. Additional health care for animal care and use personnel is provided through the University Health Center, community EMT service and community Emergency Care centers.
    - c. All staff participants receive regularly scheduled updates by the Principal Investigator or by other agencies as upon instruction or request by the staff, the P.I., or the IACUC.



- d. Zoonosis and Personal Hygiene Training: Conducted and supervised by the Primary Investigator, Environmental Health and Safety Officer, and the IACUC at the time of staff hiring in accordance with the Biosafety Committee and IACUC standards and policies with appropriate updates at least annually.

## 2) Risk Evaluation

- a. Risk Assessment
  - i. Overseen by the Environmental Health and Safety Officer, IACUC, and Veterinarian
  - ii. Defines substantial animal exposure, establishes category guidelines.
- b. Risk Management
  - Compliance monitoring by IACUC and Environmental Health and Safety Officer
- c. Risk Education
  - i. Annual training updates for program participants for continuing compliance.
  - ii. Training available as needed for new projects and personnel.
- d. Risk Prevention
  - Training reviewed by IACUC and overseen by Environmental Health and Safety Officer and project PI's

## 3) Eligibility

- a. Training is required for all personnel involved in laboratory animal use projects include:
  - i. Those involved in direct animal care.
  - ii. Those having direct contact with animal quarters.
  - iii. Those having contact with viable animal tissues, fluids or wastes.
  - iv. Others who may have ancillary contact.
- b. A record of participation in training.
- c. If a participant chooses to not participate (declines), a "Declined to Participate" record is logged. "Decline to Participate" automatically identifies persons who will not be allowed to begin or continue participation or to be collaterally associated with programs involving the care and use of animals including exposure to viable animal tissues or body fluids in either testing or waste handling. When they "opt out" they are opting out of the program participation/involvement as well.
- d. Categories for potential participants at this institution, based on real or potential exposure, include:
  - i. Contact with small animals including rodents.
  - ii. University support staff.
  - iii. "Decline to Participate".
  - iv. No expected contact.
- e. Special training for personnel who may be exposed to potentially serious diseases.

## 4) Identification of Participants

- a. Any personnel involved in animal care and use is enrolled in the program.
- b. Participation in training shall occur before participant's exposure to animals' viable tissues, fluids, wastes.
- c. Projects involving laboratory animals will be reminded annually to review training for continuing personnel and requirements for new personnel.

- d. The IACUC review process will confirm program participation by investigators, staff, and ancillary personnel. Non-compliant individuals will be required to receive training immediately.

## 5) Occupational Health Provisions

- a. Injury Incidents:
  - i. Date of incident.
  - ii. Time of incident.
  - iii. Type of injury.
  - iv. On-site treatment.
  - v. Referral for additional treatment – place and time.
- b. Injuries and Infection – Log Entries
  - i. Date of injury or exposure.
  - ii. Time of injury or exposure.
  - iii. Type of injury or exposure.
  - iv. On-site treatment.
  - v. Referral for additional treatment – place and time.
- c. Injuries that may result in exposure to potential concomitant infection – such as tetanus, Hepatitis B, Rabies – must seek immediate medical (physician) attention.
- d. A number of agents responsible for a variety of infections in animals are capable of infecting humans – some covered by routine surveillance, some not. Personnel are counseled to report any gastrointestinal, respiratory, or dermal illness because they represent signs and symptoms of infections obtained through animal contact.
- e. Surveillance recall will be necessary for personnel with long term exposures to laboratory animals to update immunizations, or of those who have in fact contracted an animal related infection. Primary Investigators and the SEH-S Office shall receive advisory memos.

## 6) Basic Occupational Health Care

- a. Education – Training of either entry level or of annual type.
  - i. Entry Level
    - 1) As needed/on demand opportunities for new personnel.
    - 2) Topics will include but not limited to:
      - a) Program function and coverage descriptions.
      - b) Important zoonoses of laboratory animals.
      - c) Allergies, pregnancy, immunocompetence
      - d) Animal bites, scratches, illness, and injury
      - e) Important vaccinations and medical surveillance
      - f) Sources for additional information.
  - ii. Annual Training
    - 1) Opportunity provided at least once per year.
    - 2) Topics will include but not be limited to:
      - a) Updates on changes in program function and coverage.
      - b) Updates on zoonoses, allergies, hazards, immunocompetence.
      - c) Updates on important vaccination and surveillance monitoring
      - d) Sources for additional information.
      - e) Review of institutional occupational health and safety.
      - f) Updated informational handouts.

- b. Immunizations – all personnel are expected to be immunized for tetanus, Hepatitis B virus, and for other infectious diseases for which effective vaccines are available, for personnel involved in projects with infectious disease.
- c. Allergies – Personnel will be trained regarding allergies and animals:
  - i. History of pre-existing allergies, asthma, seasonal rhinitis, eczema, is collected.
  - ii. Personnel with suspected or pre-existing allergies are advised to seek medical evaluation by their personal physician or an occupational health specialist, and should have allergy testing before beginning work in animal facilities.
  - iii. Personnel are trained in safe practices for reducing the risk of allergies, including allergies that may develop with exposure to animals, bedding material, waste, or cleaning materials (latex gloves, chemicals, etc.) used in the animal facilities.
  - iv. Personnel are trained in early recognition and reporting of allergy symptoms.
  - v. A medical surveillance program promotes early diagnosis of allergies.
- d. Pregnancy, Illness, or Immunosuppression – Personnel will receive counseling and training about precautions to be taken when working in the animal facilities.
  - i. Health history will be documented by the employee's physician
  - ii. Counseling will be provided by the employee's physician
  - iii. A medical surveillance program promotes early diagnosis of health problems.
  - iv. Training about specific risks involved in working with animals are provided by the Biosafety Committee, IACUC, and personal physician.
- e. Personal Hygiene
  - i. Work clothing use and care: suitable attire is provided (gloves, masks, coats, shoe covers, etc.); soiled attire is laundered, disposed of, or decontaminated by the institution.
  - ii. Employment of acceptable cleanliness: personnel are trained about procedures to maintain good personal hygiene, including washing and/or disinfecting their hands and changing clothing as often as necessary.
  - iii. Shower and change facilities: provided for all personnel.
  - iv. Eating and drinking policy: Not allowed in animal rooms or prep-rooms.
  - v. Smoking policy: Smoking is not allowed anywhere inside the university or state-associated facilities. Smoking is allowed outdoors only and only beyond 20 feet of the buildings.
- f. Experimentation Involving Hazardous Agents
  - i. Policies and Procedures: Previewed and Reviewed by the Biosafety Committee, University Environmental Health and Safety Officer and with recommendations to the IACUC. IACUC gives final approval or denial.
  - ii. Monitoring: Conducted by the Principal Investigator, Biosafety Committee, Environmental Health and Safety Officer, and the IACUC.

## 7) Ancillary personnel

Ancillary personnel (custodians, maintenance, security) who may have occasional laboratory animal contact will be advised as to training sessions, and given the opportunity, and encouraged, to participate. If they choose not to, they will be advised of any potential waste hazard and instructed to leave waste handling to trained personnel.

- F. The total gross number of square feet in each animal facility (including each satellite facility), the species of animals housed there and the average daily inventory of animals, by species, in each facility is provided in the [attached 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 member orientation, background materials, resources, and training.

- a. Orientation – new members are provided orientation by the IACUC Chair. Training resources include the Guide (each member has a copy) and self-guided documents downloaded from the OLAW website.
  - b. Background materials – IACUC members are provided with copies of the Guide, the Public Health Services (PHS) Policy on Humane Care and Use of Laboratory Animals, the ARENA/OLAW/ IACUC Guidebook, and a copy of the approved Animal Welfare Assurance.
  - c. IACUC Meetings – the IACUC Chair and other members shall be provided with support by the Institutional Official to attend IACUC regional or national meetings.
- 2) Humane Methods
- a. Basic needs of each animal species.
  - b. Proper handling and care for various species of animals used by projects.
  - c. Proper pre-procedural and post-procedural care of animals.
  - d. Aseptic surgical methods and procedures.
- 3) The concept, availability, and use of research or testing methods that limit the use of animals or minimize animal distress.
- 4) Proper use of anesthetics, analgesics, and tranquilizers for species of animals used.
- 5) Methods whereby deficiencies in animal care and treatment are reported, including deficiencies in animal care and treatment report by an employee.
- 6) 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.
  - d. Regarding the intent and requirements of the Animal Welfare Act.
- 7) Topics for training will include but not be limited to:
- a. For animal care personnel, research personnel, ancillary personnel:
    - i. Animal Welfare laws, regulations, policies, guidelines.
    - ii. That all animals are to be on protocol.
    - iii. Cage card information.
    - iv. How to report perceived deficiencies in animal care and use.
    - v. Protocol requirements.
    - vi. Role of the IACUC.
    - vii. Animal related hazards.
    - viii. Facilities hazards.
    - ix. Occupational health and safety concerns.
    - x. Behavior and appearance of healthy animals.
  - b. For animal care personnel: Proper use of cage wash and maintenance equipment.

- c. For research personnel:
  - i. Recognizing pain and distress.
  - ii. Alleviation of pain and distress.
  - iii. Primary Investigators responsibilities.
- 8) Training in Occupational Health  
Described above in Part III.E
- 9) Training is to be sponsored and conducted by the IACUC, the Veterinarian, the Environmental Health and Safety Officer, and/or Consultants. Training shall be supported by the institution and the Institutional Official.

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

All of this Institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated by the IACUC within the past 6 months and will be reevaluated by the IACUC at least once every 6 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.

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](#).

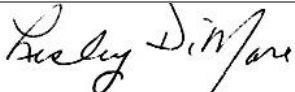
#### **V. Recordkeeping Requirements**

- A. This Institution will maintain for at least 3 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, Dr. Lesley Di Mare.
  - 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 3 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, [*Insert name or title of the Institutional Official signing the Assurance*].
  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
  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

<b>A. Authorized Institutional Official</b>	
Name: Lesley Di Mare	
Title: President	
Name of Institution: Colorado State University-Pueblo	
Address: <i>(street, city, state, country, postal code)</i> 2200 Bonforte Boulevard Pueblo, Colorado 81001	
Phone: (719) 549-2306	Fax: (719) 549 -2650
E-mail: lesley.dimare@colostate-pueblo.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: April 2, 2012

<b>B. PHS Approving Official</b> <i>(to be completed by OLAW)</i>	
Name/Title: Office of Laboratory Animal Welfare (OLAW) National Institutes of Health 6705 Rockledge Drive RKL1, Suite 360, MSC 7982 Bethesda, MD USA 20892-7982 (FedEx Zip Code 20817) Phone: +1 (301) 496-7163 Fax: +1 (301) 915-9465	
Signature:	Date:
Assurance Number:	
Effective Date:	Expiration Date:

## VIII. Membership of the IACUC

Date: April 2, 2012			
Name of Institution: Colorado State University-Pueblo			
Assurance Number: A3425-01			
<b>IACUC Chairperson</b>			
Name* : Annette M. Gabaldon			
Title* : Associate Professor, Biology		Degree/Credentials* : Ph.D.	
Address* : (street, city, state, zip code) 2200 Bonforte Boulevard Pueblo, Colorado 81001			
E-mail* : annette.gabaldon@colostate-pueblo.edu			
Phone* : (719) 549-2213		Fax* : (719) 549-2993	
<b>IACUC Roster</b>			
Name of Member/ Code**	Degree/ Credentials	Position Title***	PHS Policy Membership Requirements****
Annette M. Gabaldon	Ph.D.	Associate Professor, Biology	Chair
Regis Opferman	DVM	Veterinarian	Veterinarian
Jack A. Seilheimer	Ph.D.	Professor, Biology	Scientist
John O'Connor	Ph.D.	Assistant Professor, Philosophy	Nonscientist
Marilyn McBirney	B.S.	Curator, Pueblo Zoo	Nonaffiliated
Jason Turner	M.S	Environmental Health and Safety Officer	Non-voting member
Mel Druelinger	Ph.D.	Director of Research and Sponsored Programs	Non-voting member
TBD	---	Recorder	Non-voting member



## IX. Other Key Contacts (optional)

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

<b>Contact #1</b>	
Name: Mel Druelinger, Ph.D.	
Title: Director of Research and Sponsored Programs	
Phone: (719) 549-2325	E-mail: mel.druelinger@colostate-pueblo.edu
<b>Contact #2</b>	
Name:	
Title:	
Phone:	E-mail:

## X. Facility and Species Inventory

[illegible]

\*Institutions may identify animal areas (buildings/rooms) by a number or symbol in this submission to OLAW. However, the name and location must be provided to OLAW upon request.

**Colorado State University-Pueblo  
Institutional Animal Care and Use Committee**

**Spring Semiannual Report to OLAW – October 24, 2011**

To: Dr. Julio S. Leon, Interim President  
From: Institutional Animal Care and Use Committee (IACUC)  
Subject: Spring Semiannual to OLAW, December, 2010 – May, 2011 Evaluation of Animal Care and Use Program and Review of Program and Inspection of Facilities on September 6, 2011 (late).

Date: **October, 24, 2011**

Reference: **Assurance #A3425-01**

This document represents the required Spring Semiannual Report of the Institutional Animal Care and Use Committee (IACUC), as required by the PHS Policy on Humane Care and Use of Laboratory Animals and as a condition of CSU-Pueblo's Animal Welfare Assurance on file with the Office of Laboratory Animal Welfare (OLAW), and USDA Animal Welfare Regulations, 9 CFR Chapter I, subchapter A, as applicable.

The CSU-Pueblo IACUC conducted its Spring Semiannual Program Review and Facilities Inspection on September 6, 2011 using the "*Semiannual Program Review and Facility Review Checklist*" (*Checklist*) provided by OLAW, which is consistent with the *Guide for the Care and Use of Laboratory Animals* (*Guide*), and, as applicable, 9CFR Chapter I, 2.31.

Currently CSU-Pueblo's use and care of animals for research and instruction is limited to laboratories in just one building, the Life Sciences Building, these facilities operate under the direction of two professors: Dr. Annette Gabaldon and Dr. Jeff Smith. Dr. Smith completed his IACUC-approved research project in Fall of 2010, so the facility inspection for the Spring 2011 Semiannual report only pertains to Dr. Gabaldon's lab. The inspection was held late, September, past the regular date of May.

**The Program Review and Inspection**

The IACUC's Spring Semiannual Program Review and Laboratory Inspection conducted using the OLAW *Checklist* on September 6, 2011 revealed:

**Program:** There were no deficiencies in the Review of the Program.

1. Our IACUC Membership and Functions are **acceptable**. Dr. Annette Gabaldon is the new Chair of the IACUC effective July 1, 2010 for the Academic Year of 2010-2011. Dr. Jack Seilheimer, former Chair of the Committee for several years, resigned as Chair effective June 30, 2010 and agreed to remain on the IACUC as a Committee Member. Ms. Marilyn McBirney (Pueblo Zoo) continues to serve on the Committee. Dr. Ronald Aichele (Philosophy), Dr. Paul Kulkosky (Psychology), and Ms. Emily Woltjer (Student Rep.) all resigned from the Committee effective June 30, 2010. They have been replaced by Dr. John O'Connor (Philosophy), Dr. Jack Seilheimer (Biology), and Ms. Nicole Turner (Biology, Pre-Veterinary Student).
2. Our Records and Reporting Requirements are current and **acceptable**. Ms. Skye Lown has taken the position of Recording Secretary to replace Ms. Susan Hutton who left CSU-Pueblo last year.

3. Our Veterinary Care is **acceptable**. Dr. Regis Opferman, DVM, will continue to serve.
4. Our Personnel Qualifications and Training are **acceptable**.
5. The protocol for training new personnel has been placed in the Committee's files in the Provost's Office where it is available for distribution and/or examination.
6. Occupational Health and Safety of Personnel considerations are **acceptable**. Health and Safety Officer, Mr. Jason Turner, joined the IACUC last year and assumed the responsibilities associated with his role on the Committee.

**Laboratories:** There were no deficiencies in the Inspection of Laboratories.

1. Preventive Medicine, Animal Procurement and Transportation are **acceptable** without deficiencies in all *Checklist* criteria.
2. Surgeries are being done aseptically in an **acceptable** manner and in accordance with the *Checklist* criteria.
3. Pain, Distress, Analgesia and Anesthesia are being managed in an **acceptable** manner and in accordance with *Checklist* criteria.
4. Euthanasia is being accomplished in **acceptable** ways and in compliance with the AVMA Panel on Euthanasia and in accordance with the criteria of the *Checklist*.
5. Drug Storage and Control is being managed **acceptably** and in accordance with the criteria of the *Checklist*.
6. Animal Housing and Support Areas are **acceptable** and with no deviations from the criteria in the *Checklist*.
7. Cage wash, Construction, Procedures and Storage are all being conducted **acceptably** in accordance with the criteria set forth in the *Checklist*.
8. Procedure Areas, Non-survival Surgeries, Laboratories and Rodent Surgeries showed neither exceptions nor any deficiencies and are being performed in **acceptable** ways and in accordance with the criteria delineated in the *Checklist*.

The IACUC was pleased with the diligent preparation for the inspection by the PI and lab technicians. The Committee is comfortable concluding that the laboratories and personnel involved in laboratory research is housing, caring for and using animals at CSU-Pueblo in ways that meet or exceed both the letter and spirit of the laws, policies, procedures and criteria being overseen by OLAW to assure humane care and use of laboratory animals. There is no minority report to submit.

Submitted with our approval as the CSU-Pueblo IACUC for AY 2010-2011: (approvals were solicited and obtained by electronic means).

Annette M. Gabaldón, Associate Professor,  
Biology, IACUC Chair

Jack A. Seilheimer, Professor, Biology

Regis Opferman, Veterinarian

Marilyn McBirney, Curator, Pueblo Zoo

John O'Connor, Assistant Professor,  
Philosophy

Jason Turner, Health & Safety Officer

Mel Druelinger, Director of Research and  
Sponsored Programs

Nicole Turner, Pre-Veterinary Student