

Name: SUNY Upstate Medical University [A073]

FOR OFFICE USE ONLY

Recd
Code A073

NEW YORK STATE DEPARTMENT OF HEALTH
WADSWORTH CENTER
LABORATORY ANIMAL WELFARE PROGRAM
EMPIRE STATE PLAZA, P.O. BOX 509
ALBANY, NEW YORK 12201-0509

2019 RENEWAL APPLICATION
FOR APPROVAL FOR USE OF LIVING ANIMALS

SECTION I - GENERAL LABORATORY/INSTITUTION INFORMATION

CURRENT DATA	INDICATE CHANGES HERE
Laboratory/Institution Name: SUNY Upstate Medical University	
Address 1: 750 E. Adams St.	
Address 2: Lab Animal Resources	
City, State, Zipcode: Syracuse, NY 13210	
County: Onondaga	
Telephone Number: 315-464-6563	RECEIVED OCT 03 2018
Fax Number: 315-464-4295	FACILITIES MANAGEMENT
E-mail Address: quinnr@upstate.edu	

RECEIVED
OCT 03 2018

FACILITIES MANAGEMENT

SECTION I - GENERAL LABORATORY/INSTITUTION INFORMATION

Ownership:

- ☐ Corporation ☒ Government ☐ Individual ☐ Not For Profit ☐ Partnership
☐ Other: _____

Facility Type:

- ☐ 2 Year College ☐ 4 Year College ☐ Clinical or Environmental Lab
☐ Hospital ☒ Medical School ☐ Product Testing Lab
☐ Public Health Lab ☐ Research & Development Lab ☐ Veterinary School
☐ Other: _____

SECTION II - PROGRAM INFORMATION

Animals (Check all that apply):

- | | | | |
|--|---|--|---|
| <input checked="" type="checkbox"/> Mice (genus mus) | <input type="checkbox"/> Hamsters | <input checked="" type="checkbox"/> Fish | <input type="checkbox"/> Sheep/Goats |
| <input type="checkbox"/> Mice (wild or other) | <input type="checkbox"/> Guinea Pigs | <input checked="" type="checkbox"/> Cats | <input type="checkbox"/> Cattle |
| <input checked="" type="checkbox"/> Rats (genus rattus) | <input checked="" type="checkbox"/> Rabbits | <input type="checkbox"/> Dogs | <input checked="" type="checkbox"/> Swine |
| <input type="checkbox"/> Rats (wild or other) | <input type="checkbox"/> Small Birds | <input checked="" type="checkbox"/> Non-Human Primates | <input type="checkbox"/> Poultry |
| <input checked="" type="checkbox"/> Other: <u>frogs (Xenopus laevis)</u> | | | |

Are you currently housing live animals at your institution? ☒ Yes ☐ No

If you are not currently housing live animals, do you anticipate having live animals in your facility during the next 12 months?* ☐ Yes ☐ No

*LAWP permits are issued to those institutions that maintain living animals for teaching and/or research and have the appropriate programs and facilities to properly and humanely care for those animals.

Does your laboratory/institution have an Animal Care Committee? ☒ Yes ☐ No
(If Yes, attach a copy of the Committee members) (Attachment 1)

Since your last application, have there been any changes in your animal care and use procedures (i.e. feeding programs, disease control, environmental management, humane care, euthanasia)? ☒ Yes ☐ No
(If Yes, please explain) (Attachment 2)

Note: Any procedures that require the withholding of feed and water or exposing the animals to adverse or unusual conditions should be documented in your animal use protocols and approved by your IACUC.

Living animals are used for (Check all that apply):

- | | |
|---|---|
| <input type="checkbox"/> Diagnostic Procedures | <input checked="" type="checkbox"/> Education/Teaching Demonstrations |
| <input checked="" type="checkbox"/> Experimentation | <input type="checkbox"/> Farm Production |
| <input type="checkbox"/> Public Display | <input type="checkbox"/> Public Health/Disease Surveillance |
| <input type="checkbox"/> Other: _____ | |

Are animals used in studies with human infectious agents? ☒ Yes ☐ No
(If Yes, attach a copy of your procedures for processing medical waste generated by the animals) (Attachment 3)

Registration/Accreditation Type:

- | | | |
|---|---|-------------------------------|
| <input checked="" type="checkbox"/> AAALAC Accredited | <input checked="" type="checkbox"/> USDA Registered | <input type="checkbox"/> None |
| <input checked="" type="checkbox"/> Other: <u>PHS Assured</u> | | |

SECTION III - PERSONNEL INFORMATION

CURRENT DATA		INDICATE CHANGES HERE	
Laboratory/Institution Person In Charge (Name): Amberg, David		Schmitt, Mark	
Title: VP for Research/Institutional Officer			
Telephone Number: 315-464-4515			
Work Hours:		Work Hours:	
MON:	8:00 am to 5:00 pm	Mon:	to
TUE:	8:00 am to 5:00 pm	Tue:	to
WED:	8:00 am to 5:00 pm	Wed:	to
THU:	8:00 am to 5:00 pm	Thu:	to
FRI:	8:00 am to 5:00 pm	Fri:	to
	to	Sat:	to
	to	Sun:	to

CURRENT DATA	INDICATE CHANGES HERE
Veterinarian in Charge (Name): Quinn, Robert H.	
Title: Director, Laboratory Animal Resources	
Telephone Number: 315-464-6563	
Work Name/Address (if different from laboratory/institution):	
Work Hours: MON: 8:00 am to 5:00 pm TUE: 8:00 am to 5:00 pm WED: 8:00 am to 5:00 pm THU: 8:00 am to 5:00 pm FRI: 8:00 am to 5:00 pm to to	Work Hours: Mon: to Tue: to Wed: to Thu: to Fri: to Sat: to Sun: to

SECTION III - PERSONNEL INFORMATION

CURRENT DATA	INDICATE CHANGES HERE
Contact Person (Name): Quinn, Robert H.	
Title: Director, Laboratory Animal Resources	
Telephone Number: 315-464-6563	
Work Hours: MON: 8:00 am to 5:00 pm TUE: 8:00 am to 5:00 pm WED: 8:00 am to 5:00 pm THU: 8:00 am to 5:00 pm FRI: 8:00 am to 5:00 pm to to	Work Hours: Mon: to Tue: to Wed: to Thu: to Fri: to Sat: to Sun: to

☒ Attach a list of all full-time and part-time animal care staff which includes the following information:
Name, Full-Time or Part-Time, Title and Education Level (Highest). (Attachment 4)

☐ No additional staff.

SECTION IV - ATTESTATION

I have read the Administrative Rules and Regulations concerning the use of living animals and understand that I am fully responsible for all work involving the use of living animals. I understand that the Certificate of Approval is not transferable and the New York State Department of Health (the Department) shall be advised promptly if the individual, in whose name approval has been granted, ceases to be in charge. The facility(ies) will be operated according to all applicable laws, rules and regulations.

I understand that by signing this application form I agree to cooperate with any investigations conducted by the Department to verify or confirm information given or any other investigation conducted in connection with animal welfare in any facility identified in this application. If additional information is requested, I will provide it.

In signing this application, I hereby certify that the information I have given the Department as a basis for obtaining or retaining a certificate of approval is true and correct. As information changes, I will promptly notify the Department. Further, I understand that filing a false instrument constitutes a crime under the Penal Law of the State of New York.


Signature, Laboratory/Institutional Officer

VP for Research
Title

9/27/18
Date

SECTION V - ADDITIONAL SITES WHERE LIVING ANIMALS ARE LOCATED

CURRENT DATA	INDICATE CHANGES HERE
Site [002] Name: Lab Animal Resources	
Address 1: 750 E. Adams St.	
Address 2:	
City, State, Zipcode: Syracuse, NY 13210	
Site Telephone Number: 315-464-6563	
Site Fax Number: 315-464-4295	
Site E-mail Address: quinnr@upstate.edu	
Contact Person (Name): Quinn, Robert H. (DVM)	

SECTION V - ADDITIONAL SITES WHERE LIVING ANIMALS ARE LOCATED

FIELDS	NEW SITE DATA
Site Name:	
Address 1:	
Address 2:	
City, State, Zipcode:	
Site Telephone Number:	
Site Fax Number:	
Site E-mail Address:	
Contact Person (Name):	

FIELDS	NEW SITE DATA
Site Name:	
Address 1:	
Address 2:	
City, State, Zipcode:	
Site Telephone Number:	
Site Fax Number:	
Site E-mail Address:	
Contact Person (Name):	

FIELDS	NEW SITE DATA
Site Name:	
Address 1:	
Address 2:	
City, State, Zipcode:	
Site Telephone Number:	
Site Fax Number:	
Site E-mail Address:	
Contact Person (Name):	

FIELDS	NEW SITE DATA
Site Name:	
Address 1:	
Address 2:	
City, State, Zipcode:	
Site Telephone Number:	
Site Fax Number:	
Site E-mail Address:	
Contact Person (Name):	

INSTITUTIONAL ANIMAL CARE & USE COMMITTEE

Chairperson	Degree/ Credentials	Title	Contact information
Michael Lyon	PhD	Associate Professor Otolaryngology & Communication Sciences	State University of New York Upstate Medical University 750 E Adams Street Syracuse, NY 13210 315-464-7253 [phone] 315-464-5572 [fax] Email: lyonm@upstate.edu
Members	Degree/ Credentials	Position Title	PHS Policy Membership Requirements
Robert Andrus	BS, MA	Manager Environmental Health & Safety	Nonscientist
Kazim Chohan	DVM, PhD	Director of Andrology Professor of Pathology and Obstetrics & Gynecology	Scientist
Karen Coty		Staff Assistant/IACUC Coordinator Laboratory Animal Resources	Nonscientist
Rev Christine Day	MDiv, MS, BA	Episcopal Minister	Nonaffiliated / Nonscientist
Gary Nieman	BS	Assistant Professor Surgery	Scientist
Robert Quinn	DVM, DACLAM	Director Laboratory Animal Resources	Veterinarian
Joshua Satalin	BS	Lab Manager Surgery	Scientist
Richard Veenstra (Vice Chair)	PhD	Professor Pharmacology	Scientist
Christopher Weiss	MEd, MA	Sr. Academic Counselor & Academic Resources Coordinator Syracuse University	Nonscientist/Nonaffiliated

CHANGES MADE TO INSTITUTIONAL ANIMAL CARE AND USE PROGRAM IN 2018

1/1/18 **Major VS Minor Surgery.** Currently, Appendix I - Surgical Intervention Form should be completed only if major surgery is to be performed. In practice, PIs use it for minor surgical procedures, as well.

This specifically relates to Dr. Bernstein's protocol covering ocular lesions in rabbits. The IACUC approved the ocular lesion as a major surgical procedure on a USDA-covered species, which meant that it must be performed under sterile conditions in the main DLAR UH 7th OR. In reality, there is no reason for this procedure to be performed in the main OR because the eyes can't be sterilized. The ocular lesion is a relatively minor procedure that could be performed in a non-sterile procedure room at the NRB, thus eliminating the transportation of the rabbits between NRB & UH. The rabbits could be housed & used solely at the NRB.

Therefore, Dr. Quinn requested that the IACUC reclassify the ocular lesions described in Dr. Bernstein's protocol as a minor procedure that can be performed in a DLAR procedure room. In addition, the IACUC should consider the suggested revisions to Appendix I - Surgical Intervention form: 1) eliminate the "major surgery" statement and 2) include the following surgical categories: Major, Minor, Multiple Survival and Nonsurvival.

IACUC Action: Reclassify the creation of ocular lesions described in Dr. Bernstein's protocol as a minor procedure that can be performed in a DLAR procedure room
[9 approved action, 0 against, 0 recusals]

IACUC Action: Appendix I – Surgical Intervention form – revise as suggested.
[9 approved action, 0 against, 0 recusals]

5/14/18 **IACUC approval when IBC site visit is pending**

Currently, we (the IACUC) require the IBC to approve all projects involving the use of biohazardous agent in live animals prior to granting IACUC approval. The IBC's current practice is to approve the project and then conduct a site visit. This can be problematic for new investigators who have not been assigned lab space or who are in the process of setting up the lab. Previously, if IBC approval was pending for any reason, the IACUC had two choices: 1) hold IACUC approval until all concerns were addressed and the site visit completed, or 2) require the investigator to remove the experiments involving biohazardous agents from the protocol. Neither course of action was optimal.

A brief discussion potential options/alternatives followed. Since everyone agreed that IBC approval exists in these cases, it was suggested the IACUC should not withhold its approval of the animal use protocol in cases where IBC site visit is the only pending item. However, if there are other concerns to be addressed, then IACUC approval should be withheld until a clean IBC approval letter is provided.

IACUC Action: Protocols involving IBC-approved projects may be approved by the IACUC when the only pending item is the lab site visit.
[9 approved action, 0 against, 0 recusals]

7/2/18 **Mark Schmitt, PhD** appointed as Interim Vice President for Research and IO.

IACUC office notified OLAW, USDA and AAALAC International.

8/8/18

Protocols from Upstate Faculty - Several years ago there was strong push from Dr. Goodman (and then Dr. Rochford) to foster collaborative research between Upstate and SU/ESF. In response to this institutional initiative, the IACUC agreed to accept protocol submissions from nonaffiliated personnel holding a doctoral degree.

Recently, an unaffiliated individual submitted an IACUC protocol that included agents requiring IBC approval. Questions regarding compliance oversight and overall responsibility ensued. After a lengthy discussion with research administration, the University decided that it was not comfortable granting access and providing oversight to individuals who are completely separate from Upstate. Therefore, the University will revert to its previous requirements for IACUC protocol approval:

1. The Principal Investigator must hold a faculty appointment at Upstate – OR –
2. s/he must collaborate with a current Upstate faculty member who will serve as the Principal Investigator on the protocol.

IACUC Action: All members present concurred. IACUC office will update policies/documents accordingly.

Guidance for justifying the use of NPG compounds – Dr. Quinn and Karen have recently noticed that PIs are a bit confused about how to justify the use of a nonpharmaceutical grade compound in the protocol and on the addendum form. It was suggested that perhaps some guidance could be added to both documents.

IACUC Action: All members present concurred. The IACUC office will update the forms accordingly.

PROCESSING OF MEDICAL WASTE GENERATED BY THE ANIMALS

1. Soiled bedding and refuse

Soiled bedding and waste is dumped within a filtered dump station into polyethylene bags, which are secured and placed into transfer receptacles. Non-regulated waste is placed in transfer containers located in Rooms 4102 WH, 7703 UH or 2607 NRB and transported by Environmental Services personnel daily to the University's trash compactors. Trash is removed by commercial haulers to the OCRRA Transfer Station for incineration. Bedding and waste from biohazard areas are separated from non-regulated waste. Regulated waste is dumped into polyethylene bags, "red bagged", and placed inside RMW cardboard boxes, which are put into totes located in rooms 7716 UH, 4151 WH or 2607 NRB. The totes are transported by Environmental Services personnel daily to the semi-trailer located at the Computer Warehouse loading dock. These semi-trailers are owned by Stericycle, Inc., and the waste is handled as Regulated Medical Waste described below.

2. Animal carcasses

Animal carcasses are placed in waterproof polyethylene bags or Dispo-bags and refrigerated or frozen. Small animal carcasses from UH are placed in the necropsy cooler (Rm 7716 UH). Small animals from the rooms at the NRB are placed in refrigerators or freezers located in Rm 2607 NRB. Small animal carcasses from the rooms in WH are placed directly into refrigerators or freezers in Room 4101 WH.

Carcasses are disposed in one of two methods:

- a. Rodents, small animals and any material meeting the New York State Department of Health/Department of Environmental Conservation definition of Regulated Medical Waste are placed into RMW cardboard boxes. The total weight of each box is not greater than 40 pounds. Filled boxes are placed in Stericycle dumpsters by DLAR personnel. The dumpsters are transferred by Environmental Services personnel to the semi-trailers located at the Computer Warehouse Building loading dock. The boxes containing the carcasses are transported by Stericycle to their facility in East Syracuse, NY. Upon arrival at Stericycle's facility, they are off loaded at their dock and run through a radiation monitor. The boxes are removed from the totes and stored in their cooler at a temperature of 48 degrees until they are loaded on their trucks and taken to Stericycle's facilities in Dunkirk, NY, and then to Warren, OH, where it is incinerated.
- b. Large animal carcasses which do **not** meet the New York State Department of Health/Department of Environmental Conservation definition of Regulated Medical Waste are placed on polyethylene bags, and then into two wheeled dumpsters. As necessary, carcasses are transported for digestion at the Cornell College of Veterinary Medicine (CCVM). Weight records, tracking tags, billing and scheduling of delivery are arranged by DLAR and the CCVM Biosafety Program.

3. Hazardous Wastes

Other hazardous wastes are handled according to protocols approved by the institutional biosafety committee, the institutional radiation safety office and/or the environmental health and safety office.

DEPARTMENT OF LABORATORY ANIMAL RESOURCES STAFF

Name	Full/part-time	Title	Degree/Certification
Stephanie Betts	Full-time	Senior Lab Animal Caretaker	AA
Nicolle Comstock	Full-time	Veterinary Technician	LVT
Anne Marie Cooper	Full-time	Senior Lab Animal Caretaker	BA, ALAT*
Karen Coty	Full-time	Staff Assistant	-
Valerie Darnley	Full-time	Senior Lab Animal Caretaker	BS, LVT, LAT*
Joseph Garafolo	Full-time	Senior Lab Animal Caretaker	LAT
John Gersch	Full-time	Principal Lab Animal Caretaker	LATG*
Stephanie Hamilton	Full-time	Senior Lab Animal Caretaker	ALAT*
Amanda Harvey	Full-time	Senior Lab Animal Caretaker	AA
Elizabeth Hirsh	Full-time	Senior Lab Animal Caretaker	ALAT*
Janet Jackson	Full-time	Secretary I	-
Karin Kellish	Full-time	Senior Lab Animal Caretaker	AAS, ALAT*
Jennifer Kieffer	Full-time	Senior Veterinary Technician	BBA, RLATG*, CMAR, ILAM
Alicia Quattropani	Full-time	Senior Lab Animal Caretaker	AAS, LVT
Robert Quinn	Full-time	Director	DVM, Dipl. ACLAM
Kathleen Reinhard	Full-time	Associate Director	MS, RLATG*, CMAR, CPIA
Lori Sadoski	Full-time	Senior Lab Animal Caretaker	ALAT*
Hillari Sahm	Full-time	Senior Lab Animal Caretaker	AA
John Satalin	Full-time	Principal Lab Animal Caretaker	BS, LATG*, ILAM

*Certification by American Association of Laboratory Animal Science (AALAS)

ALAT = Assistant Laboratory Animal Technician
 RALAT = Registered Assistant Laboratory Animal Technician
 LAT = Laboratory Animal Technician
 RLAT = Registered Laboratory Animal Technician
 LATG = Laboratory Animal Technologist
 RLATG = Registered Laboratory Animal Technologist
 LVT = Licensed Veterinary Technician

 CMAR=Certified Manager of Animal Resources
 CPIA=Certified Professional IACUC Administrator

 ILAM=Institute for Laboratory Animal Management