

Annual Report to OLAW

Institution: Northwestern University
Assurance Number: D16-00182 (A3283-01)
Reporting Period: October 1, 2020 – September 30, 2021

This institution's Institutional Animal Care and Use Committee (IACUC), through the Institutional Official, provides this annual report to the Office of Laboratory Animal Welfare (OLAW).

I. Program Changes

- ☐ A. There have been **no changes** in this institution's program for animal care and use as described in the Assurance.
- ☒ B. Change(s) in this institution's program for animal care and use as described in the Assurance have occurred during this reporting period.

Select all that apply:

- ☐ This institution's AAALAC accreditation status has changed ([PHS Policy IV.A.2.](#)).
- ☐ [AAALAC Accredited](#) – Category 1
- ☐ Non-Accredited – Category 2
- ☒ This institution's program for animal care and use has changed ([PHS Policy IV.A.1.a-i.](#)). See Appendix 1.
- ☐ The individual designated by this institution as the Institutional Official has changed.
- ☒ The membership of this institution's IACUC has changed.

II. Semiannual Evaluations

This IACUC has conducted semiannual evaluations of the institution's program and inspections of the institution's facilities (including satellite facilities) on the dates below. Reports of the evaluations and inspections have been submitted to the Institutional Official. The reports include any IACUC-approved departures from the *Guide* with a reason for each departure, any deficiencies (significant or minor) that were identified, and a plan and schedule for correction of each deficiency.

A. Program Evaluations

Date 1: December 17, 2020	Date 2: June 17, 2021
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B. Facility Inspections

Date 1: Evanston: 10/20/2020 Chicago: See Appendix 2 Satellites: See Appendix 3 Laboratories: 11/2020 – 3/2021	Date 2: Evanston: 4/20/2021 Chicago: See Appendix 2 Satellites: See Appendix 3 Laboratories: 5/2021-9/2021
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III. Minority Views

- ☒ A. There were **no minority** views during this reporting cycle.

[☐] B. Any minority views submitted by members of the IACUC regarding reports filed under [PHS Policy IV.F.](#) for this reporting cycle are attached.

IV. Signatures

IACUC Chairperson	Institutional Official
Name: CJ Heckman	Name: Milan Mrksich
Signature: (b) (6)	Signature: (b) (6)
Date: 3/2/2022	Date: 3/2/2022

V. Change in Institutional Official

Name:	
Title:	Degree/Credentials:
Name of Institution:	
Address:	
Phone:	Fax:
E-mail:	

VI. Change in IACUC Membership

Institution: Northwestern University			
IACUC Contact Information: Mandy Kozlowski			
Address: 750 N. Lake Shore Drive Rubloff Bldg. 7 th Floor Chicago, IL 60611			
E-mail: m-kozlowski@northwestern.edu			
Phone: (b) (6)	Fax: (b) (6)		
IACUC Chairperson			
Name: CJ Heckman			
Title: Professor		Degree/Credentials: Ph.D.	
PHS Policy Membership Requirements ^{***} : Scientist			
IACUC Roster			
Name of Member/ Code*	Degree/ Credentials	Position Title/ Occupational Background**	PHS Policy Membership Requirements ^{***}
(b) (6)			Veterinarian
(b) (6)			Scientist
(b) (6)			Scientist

(b) (6)			Scientist
			Scientist
			Scientist
			Non-affiliate
			Member
9 – Lisa Forman	DVM, ACLAM	Executive Director CCM/Attending Veterinarian	Veterinarian
(b) (6)			Scientist
			Scientist
			Scientist
			Scientist
			Scientist
			Member
			Veterinarian
			Scientist
			Non-Scientist
			Scientist
			Scientist
			Scientist
			Scientist
			Member
			Alternate for #15
			Alternate for #15
			Alternate for #1, #9, #16
			Alternate for #8, #23
			Alternate for #15
			Alternate for #1, #9, #16
			Alternate for #15
			Alternate for #15
			Alternate for #2, #3, #4, #5, #6, #10, #11, #12, #13, #14, #17, #19, #20, #21, #22
			Alternate for #1, #9, #17
			Alternate for #2, #3, #4, #5, #6, #10, #11, #12, #13, #14, #17, #19, #20, #21, #22

(b) (6)	Alternate for #8, #23
	Alternate for #1, #9, #16

* Names of members, other than the chairperson and veterinarian, may be represented by a number or symbol in this report 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 or former user. A consulting veterinarian may not be considered nonaffiliated.

Statement of Burden

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0765). Do not return the completed form to this address.

Appendix 1: OLAW Annual Report Section I.B: Program Changes

The following change have been made to the Animal Care and Use Program:

1. Effective July 2021, the IACUC approved new training requirements for all new personnel performing surgery with anesthesia regardless of species. New research personnel are required to take NU's "*Principles of Aseptic Technique*", "*Pain Management and Perioperative Care*" and complete the CCM "*Introduction to Aseptic and Surgical Technique*" wet lab. Personnel with surgical experience may test out of the hands-on training, however must be deemed competent by a member of the CCM veterinary or PAM team.
2. NU's IACUC follows the OLAW guidance NOT-OD-06-052 "*Guidance on Use of Telecommunications for IACUC Meeting under the PHS Policy on Humane Care and Use of Laboratory Animals*" for convened IACUC meetings. The Assurance has been updated to codify the use of telecommunication during convened IACUC meetings.

Appendix 2: Chicago Facility Inspection Dates

	2021 OLAW Annual Report Period: 10/1/20 - 9/30/21	
Building Code	Chicago Facility Inspections	
1	10/7/2020 & 10/8/2020	4/7/2021 & 4/8/2021
2	10/22/2020	4/22/2021
3	10/7/2020	4/7/2021 & 4/8/2021
4	10/7/2020 & 10/8/2020	4/7/2021 & 4/8/2021
5	Not Open	4/7/2021
6	10/7/2020	4/7/2021

Appendix 3: Satellite Inspections

***Note:** Please note that the Laboratory Inspections from 5/2020-9/2020 have been included below to bridge the change in reporting cycle beginning with the 2020 Annual Report inspection dates. This show a continuum of the inspections cycle every 6 months.

12 Buildings with 28 Locations	2021 OLAW Annual Report Period 10/1/2020 - 9/30-2021		
	*Laboratory Inspections: 5/2020 - 9/2020	Laboratory Inspections: 11/2020 - 3/2021	Laboratory Inspections: 5/2021 - 9/2021
Location Code	Satellite Inspection Date 1	Satellite Inspections Date 2	Satellite Inspections
1	6/9/2020	12/11/2020	6/9/2021
2	6/9/2020	12/11/2020	6/9/2021
3	6/9/2020	12/7/2020	6/9/2021
4	6/9/2020	12/11/2020	6/9/2021
5	6/9/2020	12/11/2020	6/9/2021
6	6/9/2020	12/11/2020	6/9/2021
7	6/9/2020	12/11/2020	6/9/2021
8	7/7/2020	1/14/2021	7/13/2021
9	7/7/2020	1/14/2021	7/13/2021
10	8/12/2020	2/17/2021	8/17/2021
11	7/7/2020	1/15/2021	7/13/2021
12	8/18/2020	2/25/2021	8/26/2021
13	6/9/2020	12/9/2020	6/9/2021
14	6/24/2020	12/9/2020	6/23/2021
15	6/24/2020	12/9/2020	6/24/2021
16	9/11/2020	3/10/2021	9/23/2021
17	9/9/2020	3/11/2021	9/13/2021
18	9/10/2020	3/10/2021	9/9/2021
19	9/9/2020	3/10/2021	9/9/2021
20	9/9/2020	3/10/2021	9/9/2021
21	6/9/2020	12/9/2020	Closed
22	6/9/2020	12/11/2020	6/10/2021
23	6/9/2020	12/11/2020	6/10/2021
24	7/23/2020	1/26/2021	7/28/2021
25	7/24/2020	Closed	Closed
26	7/24/2020	Closed	Closed
27	7/23/2020	1/27/2021	7/27/2021
28	7/29/2020	1/27/2021	7/28/2021