

LEHMAN COLLEGE
A3724-01
Animal Welfare Assurance

I, Ricardo R. Fernández, as named Institutional Official for animal care and use at Lehman College, 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: All components of Lehman College (Academic Departments, programs, etc.) that are physically located on the college's 250 Bedford Park Boulevard- West, Bronx, NY, campus. There are no off-campus facilities and/or other covered components.
- B. The following are other institution(s), or branches and components of another institution: none

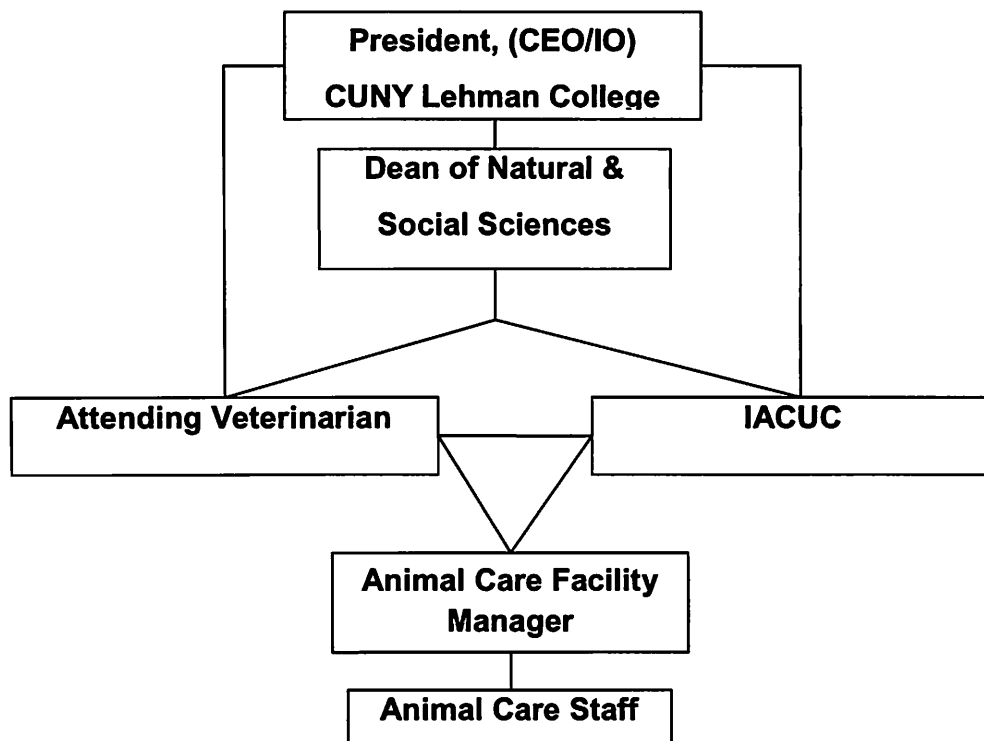
II. Institutional Commitment

- 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 (sub-award) 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:

The Institution has chosen to allow ultimate responsibility for the operation of its laboratory animal facilities to rest with its President, with the understanding that the President is free to choose a designee for this purpose. The lines of authority and responsibility for administering the program and ensuring compliance with this policy are delineated below:



As indicated in the organizational chart above there are open and direct lines of communication between the IACUC and the IO and between the Attending Veterinarian and the IO.

Correspondence [e.g., meeting minutes, recommendations, reports, etc.] from the IACUC and/or the veterinarian to the IO may be routed through administrative channels for informational purposes. However, such correspondence will not be changed, influenced, or delayed in any manner whatsoever.

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

1. Name: Carol A. Novotney

Qualifications

- Degrees: D.V.M., 1987, Tuskegee University
Doctor of Veterinary Medicine; Diplomate American College of Veterinary Internal Medicine, Specialty of Oncology; Masters of Science, Animal Nutrition
- Training or experience in laboratory animal medicine or in the use of the species at the institution: Dr. Novotney received post-graduate training in Veterinary Clinical Research at North Carolina State University, College of Veterinary Medicine (four years) and post-graduate training in Laboratory Animal Medicine at the Rockefeller University, Laboratory Animal Research Center (three years). She is currently the Director of the Division of Laboratory Animal Resources at SUNY Downstate Medical Center, where she has been the Associate Director for the last seven years. Prior to that she was the Interim Director of the Columbia University IACUC (one and a half years) and the Director of NYU Washington Square Campus, Office of Veterinary Resources (12 years).

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

Time contributed to program: On a contract consulting basis, the Veterinarian contributes to the animal care and use program through several mechanisms as follows: she is available daily on call for veterinary medical emergencies (24 hour, seven day a week by cell phone and by email with the Facility Manager, animal care staff, IACUC chair and/or Investigators; semi-annually for inspections and reviews; as needed by appointment for training/lectures. One hundred percent of approximately 20 hours per year is spent directly involved in the animal care and use program.

2. Provisions for Back-up Veterinary Care: When the veterinarian is out of town, emergency veterinary services will be provided by Bruce Scharf, D.V.M., ARA (Philippines), 1986; AVMA ECFVG Certificate, 1988; Diplomate ACLAM, Executive Director of Comparative Medicine Resources (CMR), New Jersey Medical School, Newark NJ.

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 President, as Chief Executive Officer (C.E.O.), appoints the members of the IACUC. The IACUC consists of at least five members, and its membership meets the composition requirements of PHS Policy IV.A.3.b. 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 the 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 members perform the review with a modified version of the "OLAW Sample Semiannual Program and facility Review Checklist" in hand to ensure inclusion of all items indicated and therefore a comprehensive review.
- The evaluation will include, but is not necessarily limited to, a review of the following:
 - a. Institutional and Individual Responsibilities
 - b. IACUC Membership and Function;
 - 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.
 - 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 members of the IACUC will inspect

all of the institute's animal facilities and animal surgical areas.

- The areas inspected include, but are not necessary limited to the following: Any and all buildings, room, area, enclosures, or vehicle and equipment, including satellite facilities, used for animal confinement, transportation, maintenance, breeding, or experiments inclusive of surgical manipulation.

- All members are invited to participate in the semiannual facility inspection. No member will be involuntarily excluded from participating in any portion of the reviews.

- The inspection is conducted using "the Guide" and the pertinent resources such as the PHS Policy, and the code of Federal Regulations (Animal Welfare) as a basis for the evaluation.

- Committee members conduct the inspection with modified versions of the "OLAW Sample Semiannual Facility Inspection Checklist" in hand to facilitate and ensure a comprehensive review.

- Standard operating procedures are available for all husbandry activities and a daily checklist sheet is kept in each room where animals are housed or used; these checklists document daily room temperature, census, enrichment, behavior, and routine husbandry duties.

- The Committee members conduct their inspection by reviewing the daily checklists, observation of animals, the facilities, husbandry and technical activities; followed by discussions with the veterinarian, animal care and research staff.

- If deficiencies are noted during the inspection, they will be categorized as significant or minor, and the IACUC 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.

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:

- Members will convey their observations to the IACUC Chairperson, or his designee, who, in turn, will draft the reports using the modified version of the OLAW Sample semiannual report to Institutional Official.

- 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 the reports will so state.

- Approved departures must be approved as part of a protocol, protocol amendment, or other written document, using either FCR or 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. The IACUC will develop a reasonable plan and schedule for discontinuing the departure or for having the departure properly reviewed and approved.

- 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 reports will identify those facilities as such.

- The drafted report is presented to the Committee members for comment, revisions as warranted, and/or approval.

- The final report 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—generally within 30 days or less.

- The Chairman of the IACUC serves as the point of contact between investigators, animal care personnel, and the IACUC.

- Emergent problems in the program of humane care of laboratory animals or physical plant are referred to the Facility Manager who is empowered by the IACUC to address those problems which are routine in nature by requiring procedural changes or by issuing work orders. More complex problems are presented to the Committee for resolution as they arise.

- The Facility Manager is responsible for implementing the decisions of the Committee.

- Deficiencies will be tracked by the Facility Manager to ensure that they are appropriately resolved.

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

- Prior to involvement in research with animals, individuals are informed that all concerns or complaints regarding the physical plant or the program of humane care may be addressed, without fear of reprisal, to the Chairman of the IACUC, to any member of the IACUC, Institutional Veterinarian or directly to the Institutional

Official.

- Concerns can be reported either verbally, in writing, or electronically.
- The mechanisms for reporting concerns are posted in prominent locations in the facility and on the Research Foundation CUNY website with instructions on how to report concerns and to whom. A direct link to these instructions is available on the IACUC website. An individual who, in good faith, reports an animal welfare concern will be protected against reprisals.
- 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 the 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 aspects of the institution's animal program or facilities are discussed and reviewed by the IACUC, revised as appropriate, and then submitted to the IO.
- The IACUC's recommendations are included in the IACUC meeting minutes, or the report of the committee's evaluations (program review and facility inspection), or a separate letter.

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:

- All personnel proposing to use a live vertebrate animal in research, research training, experimentation, biological testing, or related activities must submit a completed Animal Care and Use Application form (hereafter referred to as protocol) to the IACUC Chair.
- Protocols can be submitted in paper copy or electronically via email. The Protocol form contains a detailed narrative of the animal procedures.

- No pre-review or screening process is required.
- Members of the IACUC are notified of protocols for review via email.
- Protocols are distributed to IACUC members via email
- 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.
- Any use of telecommunications will be in accordance with NIH Notice NOT-OD-06-052 of March 24th, 2006, entitled Guidance on Use of Telecommunications for IACUC Meetings under the PHS Policy on Humane Care and Use of Laboratory Animals.
- Prior to the review, each IACUC member will be provided with written descriptions of activities/projects (protocols) that involve the care and use of animals by email and requested for a response within five days as to whether a full committee review is needed.
- 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.
- Meetings are generally conducted in person. Any use of telecommunications will be as indicated above.
- No member of the IACUC may participate in the review or approval of a research project 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 considers each protocol individually. Protocol applications for animal use during classroom demonstration or instruction require the same level of review and justification as research protocols.

- The possible outcomes of FCR, by majority vote of a quorum of the members present may result in:

- a. approval,
- b. modifications required to secure approval, or
- c. 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 designated-member review (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 all members of the IACUC are present at a meeting, the committee may decide by unanimous consent to have the required modifications to secure approval reviewed and approved by (DMR)

OR

- c. DMR if approved unanimously by all members present at the meeting at which the required modifications are developed/delineated AND if all current IACUC members have previously agreed in writing (e.g., documented a policy) that the quorum of members present at a convened meeting may decide by unanimous decision 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, require signatures, etc. may be confirmed by IACUC administrative/support personnel.

Designated-Member Review (DMR)

- In Instances where the IACUC uses the designated-member review (DMR) method the protocol will be distributed to all IACUC members to allow members to opportunity to call FCR; records of polling of members to obtain concurrence to use the DMR method, or concurrence by silent assent after five (5) 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, then a designated-member review (DMR) is conducted where 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 the modifications in (to secure approval) or request full committee review of those protocols.

- The 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 DMR method may not be conditional.
- 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.
- The possible outcomes of DMR are as follows:
 - a. approval
 - b. modifications required to secure approval
 - c. referral for FCR

DMR may not result in withholding of approval.

- The DMRs shall review identical versions of the protocol and, if modifications are requested by any one of the reviewers, the other reviewers must be aware of and agree to the modifications. The DMRs shall be unanimous in any decision.
- The designated-reviewer approval has equal validity to full-committee review approval and does not require subsequent re-approval or notification by a convened meeting

Special or expedited Reviews

- Other than DMR, there are no processes or procedures for special or expedited reviews.
- In order to approve proposed protocols or proposed significant changes in ongoing protocols, the IACUC will conduct a review by FCR or DMR 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 Animal Welfare Act 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 American Veterinary Medical Association (AVMA) Guidelines for the Euthanasia of Animals unless a deviation is justified for scientific reasons in writing by the investigator.
- Work using animals cannot commence until approval is granted. The specific method of review (FCR or DMR) for each protocol is documented, along with the outcome of the review in the IACUC meeting minutes.
- 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:**
- The IACUC procedures for reviewing proposed significant changes in ongoing research projects are the same as those described for review and approval of new protocols under PHS Policy IV.C as described in Paragraph II. D. 6. above
 - Examples of changes considered to be significant include, but are not limited to, changes:
 - a. in the objectives of a study
 - b. from non survival to survival surgery;
 - c. resulting in greater discomfort or in a greater degree of invasiveness;
 - d. in the species used
 - e. in Principal Investigator;
 - f. that impact personnel safety
 - g. in anesthetic agent(s) or the use or withholding of analgesics;
 - h. in the method of euthanasia;

- i. in the duration, frequency, or number of procedures performed on an animal
 - j. in approximate number of animals used
- 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:**
- When the IACUC requires modifications in, or withholds approval of those sections of applications or protocols related to the care and use of animals, the Principal Investigator is notified either by e-mail or in writing from the IACUC Chairperson or his/her delegate.
 - If the IACUC's decision is to require modifications to secure approval, the required modifications are delineated in the written notification.
 - If the IACUC's decision is to withhold approval, it will include in its written notification a statement of the reasons for its decision and give the investigator an opportunity to respond in person or in writing.
 - 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 at least once every three years according to PHS Policy IV.C.1.-5. The IACUC procedures for conducting continuing reviews are as follows:**
- Post-approval Monitoring – The facility manager observes the procedures and reconciles the conduct of those procedures with the description in the IACUC approved protocol that is kept on file in the facility office
 - USDA Regulated Species – Protocols involving USDA regulated species are reviewed by a member or members of the IACUC at least annually.
 - Non-USDA Regulated Species – annual review not required.
 - Annual protocols reviews are recorded in the IACUC meeting minutes. The IACUC meeting minutes are reviewed and approved by the Committee.
 - Protocols (any species) are approved for a maximum of three years, that is, all protocols expire no later than the three-year anniversary of the initial IACUC approval.

- If activities will continue beyond the expiration date, prior to expiration of the original or preceding protocol, a new protocol must be submitted, reviewed, and approved as described in Paragraph III.D.6 above.

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:

- The IACUC may suspend an activity that is previously approved if it determined 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.
- The Veterinarian is also authorized to immediately suspend an activity if he or she deems it warranted; the IACUC will be promptly notified of all such suspensions.
- 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 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. Administration/management.

- The Director of Environmental Health and Safety is responsible for the overall management (development, implementation, monitoring, etc.) of the Occupational Health and Safety Program for Personnel involved in the care and/or use of laboratory animals.
- Personnel (e.g., animal care staff, investigators, technical staff, students, and volunteers) who work directly with the animals, their tissues or fluids, or who may be exposed to them as a consequence of their job or presence in the animal facility, are required to participate in the occupational health and safety program (OHSP).
- All other personnel including maintenance, buildings engineers, university police, and housekeeping are also included in the program; these individuals receive a complete facility orientation and training by the Facility Manager regarding the risks and hazards of working in the laboratory environment.

- Anyone visiting the animal facility must comply with certain regulations, policies, and procedures for reasons of health and safety. They include having proper identification to access the animal facilities, utilizing the key card system for access to the facility, obtaining the required vaccinations, using protective clothing and equipment, reporting injuries, personal hygiene and safe handling of laboratory animals.

2. Scope.

- The program covers all personnel involvement in laboratory animal care and/or use at Lehman College.
- Participation in the program is mandatory and is verified during the facility orientation by the Facility Manager.
- Individuals who wish to decline participation must do so in writing. To date, no covered personnel have declined to participate.

3. Health Histories and Evaluations.

- As a required component of the Occupational Health and Safety program, a medical evaluation or collection of a health history that meets federal, state and local HIPAA regulations as part of the risk assessment process is a required.
- The Animal Care Facility has an Occupational Health and Safety program with occupational health and safety professionals that work in conjunction with the Environmental Health and Safety program and Health Services at Lehman College.
- Health evaluations and/or the review of health histories in conjunction with an individual's job description as well as any known hazards or risks that the individual may be exposed to, will be administered by the Lehman Health Center or by an individual's personal health care provider at their own expense.
- The health care provider (register nurse, nurse practitioner, physician assistant, or physician) will provide documentation that the individual is or is not cleared to perform their described duties, or is cleared with specified restrictions, e.g., specific respiratory protection.
- Personal medical information will be maintained by the health care center or provider. Documentation of clearance for involvement in animal care and/or use will be maintained by the Lehman Health Center.
- Individuals must provide proof of tetanus vaccination. In that there are no nonhuman primates, no tuberculosis tests are required.
- All individuals working in the vivarium or who have students working in the vivarium will receive a yearly letter advising them to seek the guidance of their

health care provider or the Lehman Health Center, concerning their work in an animal facility.

4. Hazard Identification and Risk Assessment.

- The program at Lehman College is based on hazard identification.
- An Occupational Health Specialist(s) with knowledge in relevant disciplines is involved in the risk assessment and the development of procedures to manage the risks
- At the semi-annual meeting (or greater frequency if needed) the IACUC committee evaluates hazard identification, risk assessment and the committee develops implementing measures to minimize identified hazards and risks.

5. Procedures in Place to Alleviate Hazards and Minimize Risks.

- Common identified hazards and risks include allergic reactions which are among the most common conditions that adversely affect the health of personnel working with laboratory animals. Major sources of allergies include rodent urine, saliva and hay, which is used for bedding.
- Education and protective clothing (gowns, gloves, masks, caps, and hand washing prior to and following handling the animals.)
- To reduce aerosol exposure, bedding dump stations will be used, and respiratory protection (whether by voluntary or required use) will be used when performing cage changing and handling dirty bedding."
- Because of the possibility of introducing infection into animal colonies and potential of exposing visitors to physical, chemical, or biological hazards, no unauthorized personnel or tours are allowed in animal facilities. Some exceptions to this policy may be made by Vivarium Directors, or their designee (e.g. site visitors, collaborative studies, conferences, and visiting scientists.)
- Children under 18 are not allowed in the animal facilities without prior approval of the vivarium director.
- If unauthorized persons are observed in the animal facilities, the observer is to contact either their supervisor or the Vivarium Director, immediately.
- Our laboratory animals are to be purchased from reputable vendors and certified specific pathogen free. We are not to house any animals of unknown origin so the chance of any disease being accidentally introduced or spread is minimal.
- Employees are trained to understand the hazards associated with their work area and job duties, and how those risks are mitigated through institutional

policies, engineering controls, work practices, and personal protective equipment. Training includes information about the following:

- a. chemical safety,
- b. microbiologic and physical hazards (e.g., allergens, animal bites/scratches)
- c. hazards associated with experimental procedures,
- d. handling of waste materials,
- e. precautions to be taken during pregnancy
- f. precautions to be taken during illness or periods of immunocompetence
- g. personal hygiene.

6. Immunizations.

- Vaccination against tetanus is required.
- Individuals who decline vaccination must do so in writing. To date, no covered personnel have declined.

7. 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, human resources, and the facility veterinarian, etc.

8. 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.

- Provisions are set in place for personnel or visitors who are not involved in animal care and/or use but nevertheless need to enter areas when animals are housed or used. For these individuals, a Visitor Waiver of Liability must be filled out upon entry to these areas.
- 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 room, they are briefed on the appropriate precautions and provided any appropriate PPE 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 individuals being allowed into the room.

9. Availability and procedures for treatment of bites, scratches, illness or injury.

- All animal bites and scratches should be washed promptly with soap.
- All staff and students have access to the Health Center in the event of an animal related injury or bit. Records are maintained by the health Center.
- If required, treatment is also available at the local hospital Montefiore Hospital, which is 1.5 miles from the facility.

10. Procedures/program for reporting and tracking injuries and illnesses.

- Occupational injuries are monitored by the Environmental Health and Safety Office.
- Report of all work-related illness and/or injury is mandatory.
- This requirement is covered during OH&S training and Animal Care and Use Training.

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 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 Members

- Each IACUC member will be provided with a copy of the following:
 - a. The PHS Policy for 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 the IACUC Members Curriculum located at the American Association for Laboratory Animal Science website, www.aalaslearninglibrary.org or the Collaborative Institutional Training Initiative website, www.citiprogram.org
- All IACUC members will visit the OLAW website at least semiannually 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&ARENA IACUC meeting or similar course may be substituted for any required training session.

2. Animal Care and Use Personnel

- This Assurance and its contents will be brought to the attention of facility personnel involved in animal care and/or use at the time of facility orientation.
- Personnel will be informed of the assurance and that it is on file in the institutional Official's office and in the Alt must be resubmitted beforevvvvvghnimal Care Facility Office.
- 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 procedure 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 the 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 qualified individual(s), which covers the laws and regulations coving laboratory animal care and use with an emphasis on the contents of the NRC Guide and the 3R's.
- 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 includes 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 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 includes training in experimental methods, i.e., specific animal manipulations and techniques and in the care of a new 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 some Institutional required training. Acceptance of previous training in lieu of the Institution's training is solely at the IACUC's discretion.

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.

V. Recordkeeping Requirements

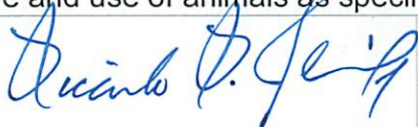
- A. This Institution will maintain for at least three years:
1. A copy of this Assurance and any modifications made to it, as approved by the PHS
 2. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations
 3. Records of applications, proposals, 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, Ricardo R. Fernández, PhD.
 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, Ricardo R. Fernández, PhD.

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

A. Authorized Institutional Official	
Name: Ricardo R. Fernández	
Title: President	
Name of Institution: Lehman College	
Address: <i>(street, city, state, country, postal code)</i> 250 Bedford Park Blvd. W. Bronx, NY 10468	
Phone: 718-960-8111	Fax: 718-584-1765
E-mail: president.office@lehman.cuny.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: <i>July 22, 2015</i>

B. PHS Approving Official <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: May 21, 2015			
Name of Institution: Lehman College- City University of New York			
Assurance Number: A-3724-01			
IACUC Chairperson			
Name: Joseph Rachlin			
Title: Professor, Biological Sciences			Degree/Credentials: Ph.D.
Address: (street, city, state, zip code)			
250 Bedford Park Blvd. W., Bronx, NY 10468			
E-mail: joseph.rachlin@lehman.cuny.edu			
Phone: 718-960-8239		Fax: 718-960- 8236	
IACUC Roster			
Name of Member/ Code**	Degree/ Credentials	Position Title***	PHS Policy Membership Requirements****
Carol Novotney	DVM, Diplomate ACVIM	Veterinarian	Veterinarian, Scientist
Joseph Rachlin, IACUC Chairman	Ph.D.	Professor, Biological Sciences	Scientist
Natalia Rodriguez, IACUC Administrator	B.A	Manager, Animal Care Facility	Scientist
Sandra Franco	LVT., A.S.	Technician, Animal Care Facility	Member
Rene Rotolo	B.A.	Director, Campus Facilities	Nonscientist
Martin Olivieri	Ph.L.	Vice President of the High School for American Studies	Non-affiliated Member
Martin Muntzel	Ph.D.	Professor, Biological Sciences	Scientist
Jennifer King	M.A.	Science Librarian	Nonscientist
Gezina Bouma	M.S.	Engineer, Campus Facilities	Alternate for Rene Rotolo

* 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>	A 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>	A practicing scientist experienced in research involving animals.
<i>Nonscientist</i>	A member whose primary concerns are in a nonscientific area (e.g., ethicist, lawyer, member of the clergy).
<i>Nonaffiliated</i>	An 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)

Contact #1	
Name: Natalia A. Rodriguez	
Title: Animal Care Facility Manager	
Phone: 718-960-8642	E-mail: natalia.rodriguez2@lehman.cuny.edu
Contact #2	
Name:	
Title:	
Phone:	E-mail:

X. Facility and Species Inventory

Date: May 21, 2015			
Name of Institution: Lehman College- City University of New York			
Assurance Number: A-3724-01			
Laboratory, Unit, or Building	Gross Square Feet [include service areas]	Species Housed [use common names, e.g., mouse, rat, rhesus, baboon, zebrafish, African clawed frog]	Approximate Average Daily Inventory
Davis Hall, Basement	5,345		
Room 004	111	Mice	29
Room 005	111	Prairie Voles	6
Room 006	111	Prairie Voles	94

Unless otherwise indicated, mice and rats means mice of the genus *Mus* and rats of the genus *Rattus* that are purposely bred for research.

*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.