

BUFFALO STATE COLLEGE

DIRECTORY OF POLICY STATEMENTS

Policy Number: VII:04:00

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SUBJECT: Policy for Humane Care and Use of Laboratory Animals

STATE UNIVERSITY OF NEW YORK COLLEGE AT BUFFALO ASSURANCE OF COMPLIANCE WITH PUBLIC HEALTH SERVICE POLICY OF HUMANE CARE AND USE OF LABORATORY ANIMALS

State University of New York College at Buffalo, hereinafter referred to as institution, hereby gives assurance that it will comply with the Public Health Service Policy on Humane Care and Use of Laboratory Animals, hereinafter referred to as PHS Policy.

I. APPLICABILITY

This Assurance is applicable to all research, research training, experimentation, biological testing, and related activities, hereinafter referred to as activities, involving live, vertebrate animals supported by the Public Health Service (PHS) and conducted at this institution, or at another institution as a consequence of the subgranting or subcontracting of a PHS-conducted or supported activity by this institution.

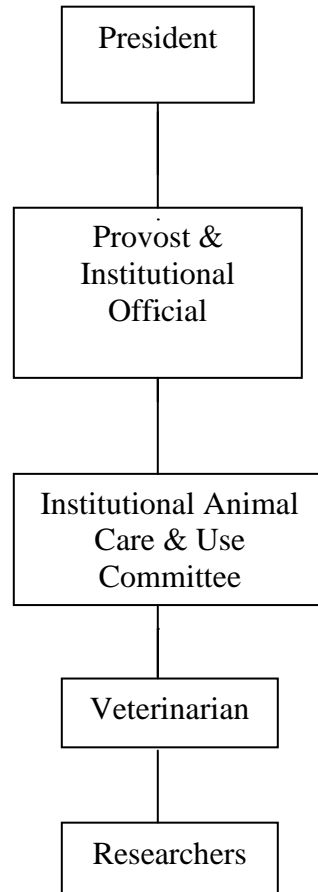
"Institution" includes the following branches and major components of the State University of New York College at Buffalo: the Biology Animal Facility, the Psychology Animal Facility, and the Field Station.

II. INSTITUTIONAL POLICY

- 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 make a reasonable effort to ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with this Assurance as well as all other applicable laws and regulations pertaining to animal care and use.
- D. This institution has established and will maintain a program for activities that involve animals in accordance with the *Guide for the Care and Use of Laboratory Animals*.

III. INSTITUTIONAL PROGRAM FOR ANIMAL CARE AND USE

- A. The lines of authority and responsibility for administering the program and ensuring compliance with this Policy are:



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

Scott G. Nachbar, DVM
Cornell University; over 15 years experience in veterinary care

Functions and responsibilities:

- 1.) participation in the Institutional Animal Care and Use Committee (IACUC) meetings
- 2.) inspection of animal facilities
- 3.) handling of special problems or animal medical emergencies as needed

Percent of time contributed:

- normally less than 1%, but available as needed on call

Because our program is a very small one, our veterinarian, Dr. Scott Nachbar delegates direct day-to-day responsibility for animals to the Chairperson of the IACUC who is on campus daily. However, the veterinarian retains authority and is available on a case-by-case basis if a problem arises that cannot be handled by campus personnel.

C. This institution has established an IACUC which is qualified through the experience and expertise of its members to oversee the institution's animal program, facilities, and procedures. The IACUC consists of at least five members, and its membership meets the composition requirements set forth in the PHS Policy at IV.A.3.b. Attached is a list of the names, degrees, position titles, specialties and institutional affiliations of the IACUC Chairperson and members.

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 for the Care and Use of Laboratory Animals* as a basis for evaluation. Our program review includes a review of (1) IACUC membership and functions, (2) IACUC records, (3) veterinary care, (4) personnel qualifications and training, and (5) occupational health and safety of personnel. The IACUC procedures for conducting semiannual program evaluations are:

The IACUC meets twice each year or more often, if necessary. Meetings will usually begin in the Biology Animal Facility and then proceed to the Psychology Animal Facility. In each facility, the Committee checks the following: (1) state and federal licenses are displayed and current; (2) each room in the facility (including the quarantine room) is clean and in good repair, the paint is not chipped, the illumination is adequate and proper for the species kept there, the noise is not excessive, and ventilation is adequate; (3) temperature and humidity are within an acceptable range, and recordings of these parameters are satisfactory; (4) feed is not past its expiration date and there is no evidence of wild rodent infestation; (5) cage washing equipment can reach sterilizing temperatures; and (6) mice and rats (and any other animals housed in the facility, including fish) are in good condition and their caging, bedding, food and general care meets regulations and recommendations set forth in the *Guide for the Care and Use of Laboratory Animals*; and (7) animal records and IACUC records are properly maintained in the individual facilities. In addition, the veterinarian asks the animal caretakers whether any animals have particular problems. If so, these animals are discussed and recommendations are made for their rehabilitation or euthanasia. The veterinarian also inspects each cage of animals for evidence of disease and other problems. If problems are found, he makes additional recommendations.

After inspecting the facilities, the Committee meets to discuss and review observations and new business, including animal protocols and problems that are brought up by individual members of the Committee. After, the Committee's report is drafted by the Chairperson and submitted to the individual IACUC members for their comments and approval.

2. Inspect at least once every six months all of the institution's animal facilities, including satellite facilities, using the *Guide for the Care and Use of Laboratory Animals* as a basis for evaluation. The IACUC procedures for conducting semiannual facility inspections are:

The IACUC meets at least once every six months; inspects all of the institution's animal facilities at least once every six months; communicates regularly to discuss recommendations, modifications, reviews, approvals, and authorization to suspend activities in accordance with the specifications set forth in the NIH guide.

3. Prepare reports of the IACUC evaluations as set forth in the PHS Policy at IV.B.3., and submit the reports to the Provost. The IACUC process for developing reports and submitting them to the Provost is:

The minutes of the IACUC meeting form the basis for the semiannual report to the Provost. The report will be submitted to the Provost and approved no later than one month after a given semi-evaluation.

4. Review concerns involving the care and use of animals at the institution. Concerns and complaints about animals used at Buffalo State College are made directly to the IACUC Chairperson or any member of the IACUC. The IACUC then holds a meeting to investigate the concern or complaint so that a timely and appropriate action can be made. The name of any individual expressing a concern or making a complaint is kept strictly confidential in order to guard against any possible reprisal or negative consequence that may occur for the individual who registers the concern. In addition, it is part of our policy that 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 Animal Welfare Act.

OLAW will be promptly notified by the IACUC via the Provost of a) any serious or continuing infraction of OLAW regulations, b) any significant breach of guidelines outlined by the *Guide for the Care and Use of Laboratory Animals*, or c) any IACUC-enforced suspension of activity.

Procedures for reporting concerns about animal care and use are posted on the Research Foundation of SUNY/Buffalo State College website (www.rf.buffalostate.edu). Any interested and/or concerned individual can access this information and respond as per the instructions.

5. Make written recommendations to the Provost regarding any aspect of the institution's animal program, facilities, or personnel training. The procedures for making recommendations to the Provost are:

Whenever such recommendations are necessary, the IACUC Chairperson, in consultation with the Committee, prepares them and submits the recommendations to the Provost.

6. Review and approve, require modifications in (to secure approval) or withhold approval of those activities related to the care and use of animals as set forth in the PHS Policy at IV.C.

State, Federal, and PHS regulations require that ALL uses of animals within the institution are reviewed and approved for humane care by the College's IACUC regardless of funding sources.

Applications can be submitted at any time during the calendar year and are reviewed as received. Applicants should submit the original signed copy of the application form and one electronic copy of the application form. Upon submission, applications are assigned a tracking number and disseminated to committee members for review. Specific reviewer methods by which to review studies are not designated, but the reviewer should follow all principles and guidelines set forth in the *Guide for the Care and Use of Laboratory Animals*. Review by the IACUC takes place in a conventional meeting in which a majority of members are present or via electronic communication between all IACUC members. Regardless of the review forum type, approval necessitates 100% agreement by all IACUC members.

The IACUC requires a full application be submitted for review every three years, whether or not changes have been made to a protocol. Notification will be sent to the PI four months before the anniversary date of the approved protocol. If at any time, a change is needed to a protocol, an Animal Use Minor Amendment Form must be submitted and approved by the IACUC before applying this change to the protocol. Modifications to studies prior to study approval are considered to be de novo submissions (not amendments) and should follow the procedure outlined for new submissions.

No project may begin or animals purchased until approval has been granted by the IACUC. For continuing projects (two year renewal), no additional animals can be entered into the study or additional animals purchased without continuing IACUC approval. Research cannot continue past the expiration date of the project without IACUC re-approval. Approved protocols are held on file for a period of at least three years beyond completion of the protocol.

Applications must be submitted by the PI (faculty or non-faculty, but not students) and students may be named as secondary investigators. The PI is responsible to the College for the conduct of the research under her/his supervision.

When modifications in the application are needed to secure approval, the applicant will be notified electronically approximately two weeks after the submission date and approval is withheld until the changes are made. Re-submission of the modified application should follow the same procedure as the original submission.

7. Review and approve, require modifications in (to secure approval) or withhold approval of proposed significant changes regarding the use of animals in ongoing activities as set forth in the PHS Policy IV.C.

It is the responsibility of the PI to alert the IACUC to changes (amendments) to an approved animal use protocol. Amendments are defined in two categories: **minor** or **major**.

Researchers should complete a “Minor Amendment Form” to make minor changes to an existing animal use protocol and should re-submit the entire protocol de novo as the approval process will follow the same procedure as the original submission.

The attending veterinarian and the IACUC Chairperson will approve a minor amendment administratively. The following are examples of **minor changes** and may be approved by the attending veterinarian and IACUC Chairperson:

- A change in the personnel
- A small (<10%) increase in the number of animals to be used.
- A minor change in technique that does not change the pain level.

The entire IACUC will review a major amendment. The following are examples of **major changes** that are to be presented to the entire IACUC:

- A change in the overall aim or objective of the study, which supports the need to perform the animal work.
- A change, which may involve an increase in the level of pain, distress, and/or discomfort so as to categorize it in a different USDA category.
- A change from non-surgery to surgery; from minor to major surgery; from non-survival to survival surgery, or from single to multiple survival surgery.
- A large (>10%) increase in the number of animals to be 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 as set forth in the PHS Policy at IV.C.4. The IACUC procedures to notify

investigators and the institution of its decisions regarding protocol review are:

If approved, a copy of the animal use protocol with a Certification of Approval form signed by IACUC members is sent to the project director for his/her file; the original is kept on file in Sponsored Programs Office. The third copy is placed in the animal facility where the animals are housed so that it is available for perusal by inspectors.

If the animal use protocol is not approved, the applicant will be notified electronically and in writing approximately two weeks after the submission date and approval will be withheld until the changes are made. At any time after non-approval, the project director has the option of meeting with the Committee Chairperson to discuss concerns and/or gain clarification of the reasons behind non-approval. The project director may then revise and resubmit the application or withdraw it. As applications that have been modified to secure IACUC approval can be submitted at any time during the calendar year and are reviewed as received (via conventional meeting or via electronic communication between all IACUC members), the approval of modified applications can be an expedient process, which is not hindered in any way by the biannual timetable in which conventional IACUC meetings are held.

9. Conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including complete review in accordance with the PHS Policy at IV.C 1-4. at least once every three years. The IACUC procedures for conducting continuing review are:

A letter requesting submission of forms for a 36-month review will be sent to the PI four months prior to the expiration date of protocol. If the PI does not plan to renew the protocol, he/she should notify IACUC.

IACUC must receive the 36-month review which consists of a complete, up-to-date protocol, at least 60 days before the expiration date. This review must take place even if there have been no changes in the protocol or the research described.

On the day of expiration, the protocol will be terminated. IACUC will check to see if the PI has animals in house under that protocol. The PI will no longer be allowed access to these animals, and all experiments on them will stop immediately. The PHS *Guide* states "When IACUC approval expires, it is no longer valid. Continuation of animal activities beyond the expiration is a serious and reportable violation of the PHS Policy."

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

The IACUC may suspend a previously approved protocol at a meeting in which a majority of the quorum votes for suspension when it has been determined that there is a significant deviation from the approved protocol. If the research is suspended, the Provost in consultation with the IACUC shall review reasons for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW.

- E. The individual(s) authorized by this institution to verify IACUC approval of those sections of applications and proposals related to the care and use of animals is the Provost.
- F. The occupational health and safety program for personnel who work in laboratory animal facilities or have frequent contact with animals is:

The following is a memorandum that is given to all of our full-time animal care personnel and administrators regarding health requirements:

Health Guidelines and Requirements for Full-time Animal Personnel

1. History and Physical Examinations

A medical history and pre-employment physical examination must be completed prior to anyone being allowed to work with animals. Persons with evidence of diseases transmissible to animals (e.g., tuberculosis), allergies to animals or who may be immune deficient are prohibited from working with animals.

2. Immunizations

Preconditions for employees who care for animals are: (a) submission of a serum sample for banking prior to employment, at triyearly intervals and at termination. These samples will be stored at -70°C for reference use in case of a suspected zoonotic illness; (b) vaccination against tetanus at preemployment and at 10 year intervals; (c) voluntary vaccinations for rabies.

3. Monitoring

The Campus Environmental Health and Safety Officer monitor compliance with the animal health requirements for personnel.

4. Occupational Health Program

The College has in place guidelines for dealing with occupational-related injuries. Animal bites and other injuries occurring at animal facilities must be reported to the Department Chairperson and the University Police, who reports the accident to the Environmental Health and Safety Officer.

The Committee, in consultation with the veterinarian, is responsible for informing all personnel who work with animals about hazards and proper precautionary procedures.

- G. The total gross number of square feet in each animal facility (including each satellite facility), the species of animals housed therein and the average daily inventory of animals, by species, in each facility is provided in the attached table.

Biology Department

- | | |
|-----------------|-------------------------------|
| 1. Mice | 200 (daily)
1,000 (yearly) |
| 2. Square Feet: | 2,400 |

Psychology Department

- | | |
|-----------------|---------------------------|
| 1. Rats | 60 (daily)
80 (yearly) |
| 2. Square Feet: | 1,080 |

Field Station

- | | |
|-----------------|-------------------------------|
| 1. Fish | 200 (daily)
2,200 (yearly) |
| 2. Square Feet: | 8,500 |

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

Because our research program involving the use of vertebrate animals is limited, an extensive training program is not warranted or economically feasible. However, faculty members serving as principal investigators on research projects involving vertebrate animals will be encouraged to attend workshops, seminars or otherwise consult with experienced researchers at institutions (e.g., University at Buffalo) with larger animal facilities in order to upgrade their knowledge in the proper care and use of laboratory animals. These faculty members will, in turn, train all students, technicians and other faculty involved in the humane practice of animal care and use, as well as provide training or instruction in research and testing methods that minimize the number of animals required to obtain valid results and minimize animal distress. In addition to direct training by faculty advisors, all students and employees with direct animal contact will be provided with a copy of the second edition of "Essentials for Animal Research, A Primer for Research Personnel", by B.T. Bennett, M.J. Brown, and J.C. Shofield. Faculty will be required to keep records documenting their own training, and student training in the proper care and use of laboratory animals. At the conclusion of

each academic year, faculty members will provide copies of the training records to the IACUC Chairperson.

IV. INSTITUTIONAL STATUS

As specified in the PHS Policy at IV.A.2 as Category 2, all of this institution's programs and facilities, including satellite facilities, for activities involving animals have been evaluated by the IACUC and will be reevaluated by the IACUC at least once every six months in accord with IV.B.1. and 2. of the PHS Policy, and reports prepared in accord with IV.B.3. of the PHS Policy.

All IACUC semiannual reports will include a description of the nature and extent of this institution's adherence to the *Guide for the Care and Use of Laboratory Animals*. Any departures from the *Guide for the Care and Use of Laboratory Animals* 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 evaluations will be submitted to the Provost. Semiannual reports of IACUC evaluations will be maintained by this institution and made available to the Office of Laboratory Animal Welfare (OLAW) upon request.

V. RECORDKEEPING REQUIREMENTS

- A. This institution will maintain for at least three years:
1. A copy of this Assurance and any modifications thereto, as approved by 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 given or withheld.
 4. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Provost.
 5. Records of accrediting body determinations.
- B. This institution maintains 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 are and 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. At least once every 12 months, the IACUC, through the Provost, reports in writing to OLAW:
 - 1. Any change in the status of the institution (e.g., if the institution becomes accredited by AAALAC or AAALAC accreditation is revoked), any change in the description of the institution's program for animal care and use as described in this Assurance, or any changes in IACUC membership. If there are no changes to report, this institution will provide OLAW with written notification that there are no changes.
 - 2. 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 Provost.
- B. The IACUC, through the Provost, provides the OLAW promptly 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 for the Care and Use of Laboratory Animals*.
 - 3. Any suspension of activity by the IACUC.
- C. Reports filed under VI.A. and VI.B. above shall include any minority views filed by members of the IACUC.