



**THE UNIVERSITY OF VERMONT
AND STATE AGRICULTURAL COLLEGE**

**ASSURANCE OF COMPLIANCE
WITH
PUBLIC HEALTH SERVICE
POLICY ON HUMANE CARE AND
USE OF LABORATORY ANIMALS
(A3301-01)**

JULY 1, 2005 RENEWAL

The University of Vermont and State Agricultural College, 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

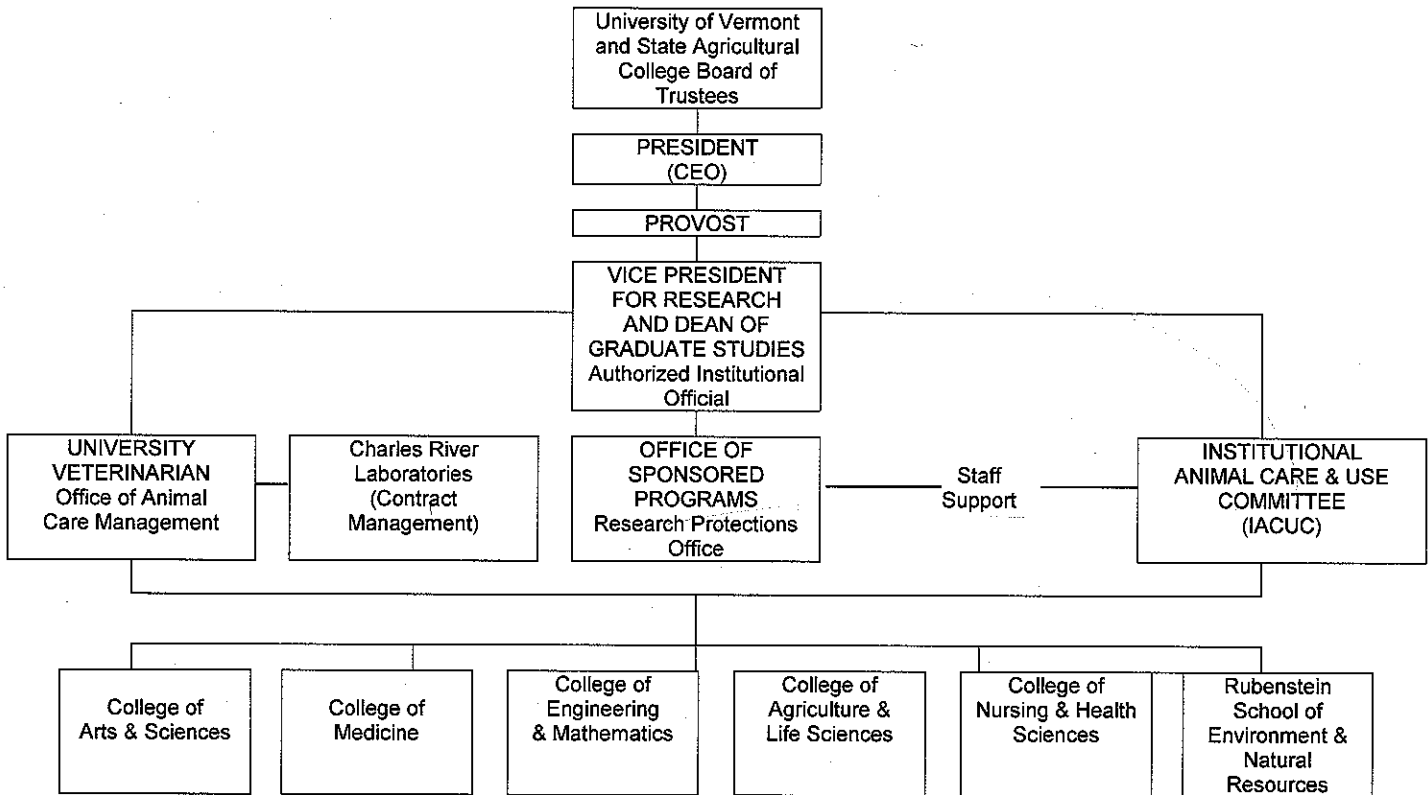
This Assurance is applicable to all research, research training, experimentation, biological testing, and related activities, hereinafter referred to as activities, involving live, vertebrate animals supported by the Public Health Service (PHS) and conducted at this institution, or at another institution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

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 involving animals in accordance with the Guide for the Care and Use of Laboratory Animals (Guide).

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 veterinarians who will participate in the program are as follows:

- Ruth Blauwikel, DVM, PhD is the University Veterinarian and Director of the Office of Animal Care Management. She is an adjunct faculty member in the Department of Animal Science and is a voting member of the IACUC. The University Veterinarian has the direct program responsibility for activities involving animals at the institution. Dr. Blauwikel is employed full-time (100%) by the institution in this capacity. She has 6 years of experience in a private clinical practice and 22 years of experience in research, extension, and technical service positions.
- Sonja (Scout) Chou, VMD, MS is the interim Clinical Laboratory Animal Veterinarian for the Animal Resources Center (ARC), which is managed by the subcontractor, Charles River Laboratories (CRL). CRL manages the biomedical research animal facilities at the University of Vermont. Dr. Chou assists in the review of IACUC protocols. She is responsible for daily clinical veterinary care and fulfills the role of University Veterinarian in her absence. Dr. Chou has four years of post-doctoral experience. A permanent clinical veterinarian will be employed full-time by CRL in this capacity.

The University Veterinarian has authority to ensure implementation campus-wide of all applicable requirements specified in the Guide and Animal Welfare Act Regulations by:

1. Ensuring that there is, and maintaining the mechanism for, daily observation of every animal in the institution's animal care program in order to obtain timely information regarding problems in animal health, behavior and well-being.
 2. Establishing appropriate policies and procedures for laboratory animal veterinary care such as: advising on experimental models; reviewing protocols and proposals with respect to veterinary care, animal husbandry and animal welfare; monitoring occupational health, hazard containment and zoonosis control programs; and supervising animal nutrition, husbandry and sanitation.
 3. Ensuring that a program of preventive medicine is maintained that includes the following:
 - a. verification that there is lawful procurement of healthy animals from responsible vendors, that the animals are transported appropriately and are quarantined and stabilized upon arrival according to procedures appropriate for the species and circumstances.
 - b. separation of animals by species, source and health status.
 4. Ensuring maintenance of procedures for the surveillance, diagnosis, treatment and control of disease and injuries and for ensuring the availability of emergency, weekend and holiday care.
 5. Ensuring that research personnel are provided with guidelines and advice concerning the choice and use of anesthetics, analgesics and tranquilizers. Ensure that muscle relaxants or paralytics are used properly in conjunction with drugs known to produce adequate anesthesia.
 6. Ensuring that aseptic surgery is performed in suitable facilities as outlined in the Guide and that all surgery is performed or directly supervised by trained, experienced personnel, including provision of training in aseptic surgery for those who require it.
 7. Ensuring that techniques for euthanasia are carried out by trained personnel using acceptable techniques in accordance with institutional policies and applicable laws. The techniques used should not interfere with postmortem evaluation and should follow current guidelines established by the American Veterinary Medical Association Panel on Euthanasia. Techniques other than those in accordance with the above mentioned guidelines will be reviewed and approved by the IACUC and University Veterinarian.
 8. Ensuring that necropsies are completed as required.
 9. Ensuring that scientists, research technicians, animal technicians, and other personnel involved in animal care, treatment or use are qualified to perform their duties.
 10. Temporarily suspending any activity involving animals not being conducted in accordance with the Guide or Animal Welfare Act until such time as the IACUC can be fully convened and the activity be reviewed, and appropriate action be determined by a quorum of the IACUC.
 11. Other responsibilities and/or priorities as delegated by the Institutional Official or IACUC or as mandated by changes in the Guide, federal regulations, or other applicable guidelines or standards.
- C. This institution has established an Institutional Animal Care and Use Committee (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 (Appendix A).

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 evaluations are as follows.

The IACUC conducts a program review at least once every six months to evaluate the institution's program for the humane care and use of animals, using the Guide as a basis for evaluation. The IACUC conducts its semi-annual program evaluation by utilizing many resources, including those as follows.

- The table of contents from the Guide is utilized as the outline for the review of the program. The Committee reviews each category to determine if the policies and procedures remain consistent with the Guide.
 - Institutional policies are checked for completeness and consistency with the APHIS Guidelines and the OLAW Sample Semiannual Program and Facility Review Checklist is completed.
 - There is a formal process for protocol follow-up, where a representative of the IACUC reviews protocols with individual researchers. Results of these follow-ups are reviewed to determine if any issues need to be incorporated into the program review.
 - Results from the semi-annual facilities inspection are incorporated into the program review. The IACUC places special emphasis on animal health and well being during these inspections.
 - Issues raised in the IACUC meetings, as well as regular meetings between the IACUC staff, the IACUC chair and the Office of Animal Care Management are incorporated into the program evaluation process.
2. Inspect at least once every six months all of the institution's animal facilities, including satellite facilities, using the Guide as a basis for evaluation. The IACUC procedures for conducting semiannual facility inspections are as follows.

The institution's animal facilities are inspected at least once every six months using the Guide as a basis for evaluation. Members of the IACUC are designated to conduct these inspections and this group includes the University Veterinarian or his/her designee. All standard operating procedures are made available to the group and the group is briefed about the findings of the previous inspection and the steps taken to address any problems or concerns, if applicable.

3. Prepare reports of the IACUC evaluations as set forth in the PHS Policy at IV.B.3. and submit the reports to the Institutional Official, Frances E. Carr, Vice President for Research and Dean of Graduate Studies. The IACUC process for developing reports and submitting them to the Institutional Official is as follows.

Written reports of program evaluations and inspections are prepared according to PHS policy criteria and are submitted to the full committee for discussion and modification, if necessary, prior to taking action. Final reports are then forwarded to the institutional official.

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

The IACUC meets monthly to review all necessary aspects of the institution's program for the humane care and use of animals. This includes reviewing concerns involving the care and use of animals at the institution, making recommendations to the Institutional Official regarding any aspect of the animal program and facilities, conducting initial and continuing review of protocols and proposed significant changes, and suspending any activity involving animals in accordance with the criteria contained in the PHS policy and the Animal Welfare Act. If serious concerns

arise which need to be handled between meetings, a special meeting of the IACUC may be called by the IACUC Chair or his/her designee. The institution's training program addresses procedures for reporting animal care concerns through the Office of Animal Care Management. Information regarding the reporting of animal welfare issues is posted prominently in all animal facilities. The IACUC assures that no individual will be discriminated against or be subject to any reprisal for reporting suspected violations of any regulation or standards under the Animal Welfare Act.

5. Make written recommendations to the Institutional Official, Frances E. Carr, Vice President for Research and Dean of Graduate Studies, 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 to the Institutional Official are made through submission of formal Program and Inspection Reports, as well as memoranda and other reports submitted from the IACUC Chair, Institutional Research Compliance Administrator, or any other Committee designee, on any aspect of the institution's animal program.

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. The IACUC procedures for protocol review are described in Appendix B.
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 at IV.C. The IACUC procedures for reviewing proposed significant changes in ongoing research projects are described in Appendix B.
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 notifies investigators and the institution of its decisions regarding protocol review through written memoranda.
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 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 described in Appendix B.
10. Be authorized to suspend an activity involving animals as set forth in the PHS Policy at IV.C.6. The IACUC has the authority for suspension of activities in accordance with the PHS Policy, IV.C.6-7.

The IACUC may suspend an activity that it previously approved if it determines 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. If the IACUC suspends an activity involving animals, the Institutional Official in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW. Applications and proposals that have been approved by the IACUC may be subject to further appropriate review and approval by officials of the institution. However, those officials may not approve an activity involving the care and use of animals if it has not been approved by the IACUC.

- 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 IACUC Chair, or his/her designee.

- F. The occupational health and safety program for personnel who work in laboratory animal facilities (both UVM and CRL employees) is as follows.

Pre-employment: Medical history, physical examination, drawing of a serum sample, zoonotic disease and hazards briefing are completed before Animal Resources Center personnel begin working with animals. University research personnel are required to complete an occupational health risk assessment form which is evaluated by an occupational health physician (Occupation Health & Rehabilitation, S. Burlington, VT). Swipe card access to animal facilities is not granted until the assessment form is reviewed.

During employment: Animal Resources Center personnel, except for those having documented medical contra-indications or special waivers, are required to be immunized against tetanus, hepatitis A & B and to undergo an annual physical exam. Personnel are provided uniforms, boots, masks, gloves, eye protection, hearing protection, as appropriate, based upon the location and nature of the task. Additional special equipment is provided as necessary, i.e., form fit respirators for those working with hazardous materials. Research staff (UVM employees) are provided necessary occupational health information regarding protective equipment, zoonoses, allergies, hazards, and other special precautions through the institutional training program. For individuals not under the direct authority of the Office of Animal Care Management, implementation of the University of Vermont's Environmental Safety and Health Policy is delegated to the manager at the most appropriate level of responsibility to ensure fulfillment of the University's commitment to health and safety. There is an established procedure for reporting job-related injury or illness to the University Department of Risk Management. A record is kept of job-related as well as job-unrelated illnesses/accidents and of annual physical exams done by the University or a private physician. The Director of the Office of Animal Care Management is responsible for monitoring the program.

- 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 animals, by species, in each facility is provided in Appendix C.
- H. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows.

As part of the institution's program for animal care and use the following training/instruction is being provided to scientists, animal technicians and other personnel involved in animal care, treatment or use.

- a. A general training program for all individuals working with animals is provided. Web-based training is available but must be augmented with a face-to-face meeting with the University Veterinarian. Didactic training is provided on a regular basis, covering topics such as record-keeping, anesthesia, surgical techniques, post-operative analgesia, and euthanasia. Participation in the training program is required and is documented.
- b. Ongoing "hands-on" training for present and incoming research personnel is provided by the veterinary staff. Regularly scheduled small group sessions cover restraint, injection and sampling techniques, recognition of common health problems, aseptic technique, anesthesia and euthanasia. This training is provided to individuals on an as-needed basis following consultation with the University Veterinarian.
- c. Workshops, guest speakers and/or consultation on various relevant topics such as research models and mouse colony management are provided to the research community.
- d. Library support for searches for alternatives to animal use and/or procedures which cause more than momentary or slight pain and distress to animals, is available

- through the University Library Services. The Office of Animal Care Management and the Office of Sponsored Programs have numerous reference materials available.
- e. Information on the following topics are also available: Levels of discomfort/distress in animal experimentation; anesthetic and analgesic drug formulary for different species; AVMA Guidelines for Euthanasia.
 - f. Self-study materials on handling and basic manipulative procedures for commonly used laboratory animals are available.

IV. INSTITUTIONAL STATUS

- A. As specified in the PHS Policy at IV.A.2., as Category 1, all of this institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated and accredited by The Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC). All of this institution's programs and facilities (including satellite facilities) for activities involving animals have also 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. 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 evaluations will be submitted to the Institutional Official, Frances E. Carr, Vice President for Research and Dean of Graduate Studies. 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. RECORD KEEPING REQUIREMENTS

- A. This institution will maintain the following records 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 Vice President for Research and Dean of Graduate Studies.
 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. At least once every 12 months, the IACUC, through the Institutional Official, will report 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.

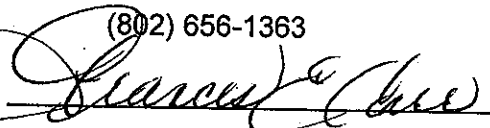
- 2. Notification of the dates that the IACUC conducted its semiannual evaluations of the institution's program and facilities (including satellite facilities) and submitted the evaluations to the Vice President for Research and Dean of Graduate Studies.
- B. The IACUC, through the Vice President for Research and Dean of Graduate Studies, will provide 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.
 - 3. Any suspension of an 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.

VII. INSTITUTIONAL ENDORSEMENT AND PHS APPROVAL

A. Authorized Institutional Official

Name: Frances E. Carr, Ph.D.
 Title: Vice President for Research and Dean of Graduate Studies
 Address: Waterman Building
 University of Vermont and State Agricultural College
 Burlington, VT 05405
 Phone: (802) 656-4400

Fax: (802) 656-1363


Signature: 

Date: 12/14/04

B. PHS Approving Official

Name: Dr. Venita B. Thornton- *Senior Assurance Officer*
 Office of Laboratory Animal Welfare
 Title: National Institutes of Health
 RKL1, Suite 360-MSB 7982
 Address: 6705 Rockledge Drive
 Bethesda, MD 20892-7982
 Phone: 301) 451-4208

Fax: 301) 402-2803

Signature: 

Date: 10/11/05

C. Effective Date of Assurance: 10/11/05

D. Expiration Date of Assurance: 10/31/09