

THE UNIVERSITY OF LOUISIANA AT MONROE
ASSURANCE OF COMPLIANCE
WITH
PUBLIC HEALTH SERVICE
POLICY ON HUMANE CARE AND
USE OF LABORATORY ANIMALS
(Animal Welfare Assurance #A3641-01)

The University of Louisiana at Monroe, 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 University of Louisiana at Monroe: the College of Arts and Sciences, the College of Education and Human Performance and the College of Pharmacy and Health Sciences.

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 illustrated in Figure 1.

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

Dr. Brent White works with the University under special contract to provide consultation and veterinary services to laboratory animals. Dr. White obtained the D.V.M. from Louisiana State University School of Veterinary Medicine in 1997. Dr. White has been in private practice in Monroe since graduation. He has special interest in small animal medicine, surgery, canine, feline, avian and exotic animals.

Dr. White is anticipated to perform semi-annual inspections of all laboratory animal care facilities on campus and to prepare a report specifying any deficiencies, recommendations for improvement and/or needs for future facility improvement. Dr. White consults with each animal caretaker on methods and procedures. Dr. White serves as a member of the ULM IACUC with delegated authority to visit research projects unannounced, to suspend research projects to be found in violation of Public Health Service policy and report these violations to the IACUC for program review and action.

The actual percentage of time spent by Dr. White varies with the needs of the program and can be as small as 5% to as high as is needed depending on problems encountered. His minimum involvement is meeting with the IACUC on a semi-annual basis, reviewing all animal use protocols and inspecting the animal facilities. He is available on an on-call basis. If Dr. White is not available, Dr. Sara Groan, a 2001 graduate of the LSU School of Veterinary Medicine in the group practice in which he is a member has signed a contractual agreement to provide ULM on-call veterinary needs.

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. Members of the IACUC are appointed by the ULM President. 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.

**Lines of Authority
Institutional Program for Animal Care and Use
The University of Louisiana at Monroe**

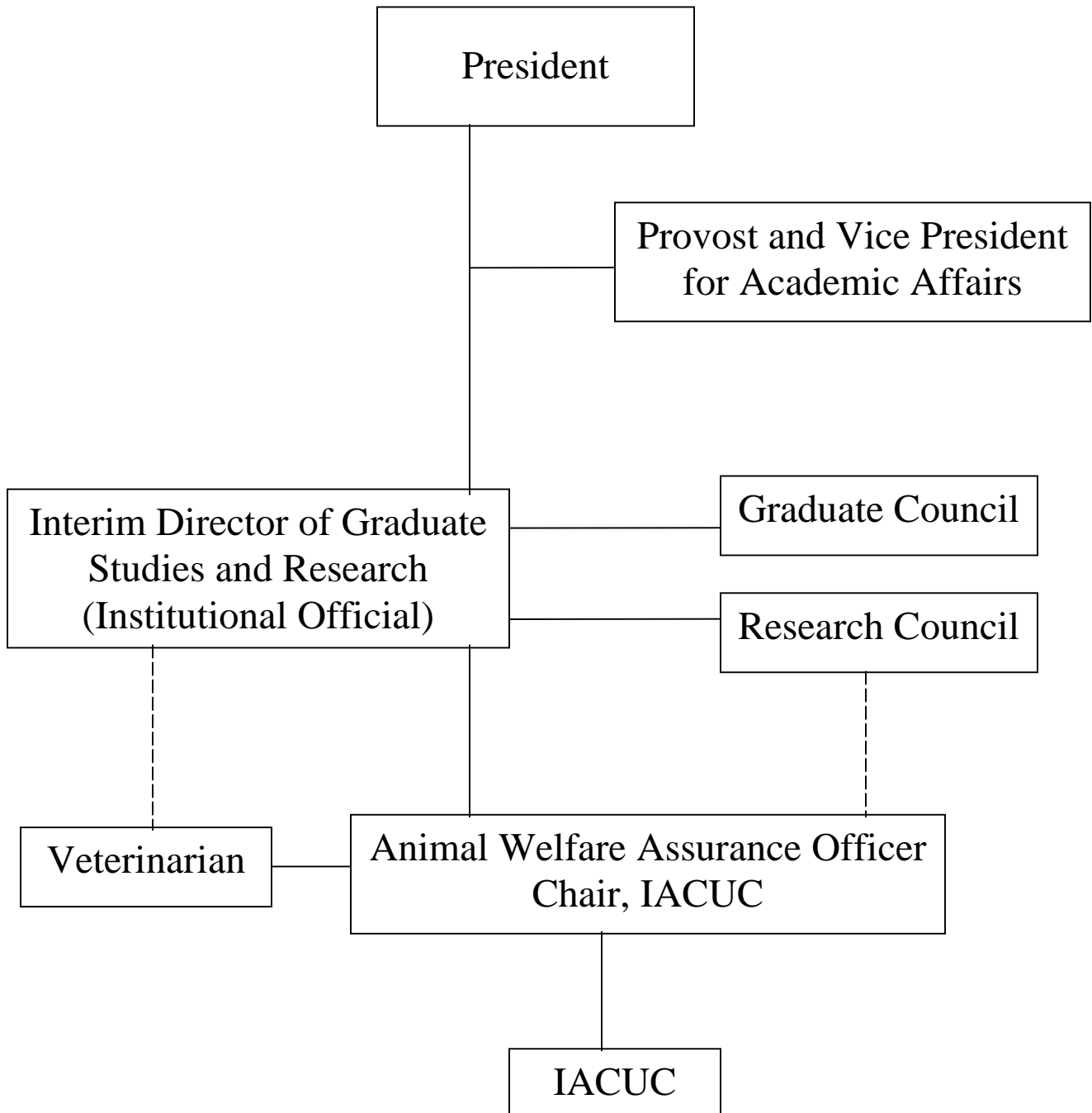


Figure 1

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 meets in April and November of each year. At those times, all animal use protocols submitted by investigators are reviewed and discussed by the full committee covering, but not limited to, the following points:
 - a. Rationale and purpose of the proposed use of animals
 - b. Justification of the species and number of animals requested
 - c. Availability and/or appropriateness of the use of alternative procedures which are less invasive or could substitute for the use of animals (organ culture, tissue culture, cell culture, etc)
 - d. Appropriateness of experience and training of the P.I. and other personnel involved in the protocol
 - e. Unusual housing and husbandry requirements
 - f. Appropriate use of sedation, analgesia and anesthesia
 - g. Unnecessary duplication of experiments
 - h. Use of multiple major operative procedures
 - i. Criteria and process for timely intervention, removal of animals from a study, or euthanasia if painful or stressful outcomes are anticipated
 - j. Postoperative and/or postprocedure care
 - k. Method of euthanasia and animal disposition
 - l. Safety of working environment for personnel

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 inspects the animal housing facilities in April and November of each year in conjunction with the committee meeting. Inspection items include:
 - a. Appropriateness and adequacy of the physical environment
 1. Animal housing – since our facility houses only mice and rats, all animals are housed in either shoebox cages or hanging cages. All holding rooms that contain cages are checked for appropriate cage size, number of animals per cage and the separation of species.
 2. Environment – appropriate temperature, humidity and light/dark cycles are being maintained in the holding rooms. Also, the appropriate number of room air changes per hour is being maintained. In our facility, this is 12-15 complete room air changes per hour. The air used is 100% fresh air.
 3. Food and bedding – ensure the quality of food and bedding. Harlen Teklad LM 485 sterilizable mouse/rat diet is used unless a protocol specifies a special diet. Harlen Teklad Laboratory Grade Sani-Chips are used unless the protocol specifies another type of

bedding. A representative number of cages in each holding room is checked for the following:

- a. the food is checked to ensure adequate amounts are available
 - b. bedding cleanliness and evidence of regular changes.
 - c. water availability and the working condition of the bottles and sipper tubes are checked
4. Population management – each holding room is checked to insure that all cages have cage cards with, at a minimum, the following information:
- a. Animal source
 - b. Strain
 - c. Investigator(s) name
 - d. Number of animals
 - e. Name of protocol or “unassigned”
5. Waste Disposal – records are checked as to the disposition of animal wastes. Storage facilities for carcasses are checked for adequacy and function. Facilities are also checked to verify that all radioactive wastes are stored separately and that the disposal is by a licensed facility.
6. General facility condition – the general condition and upkeep of the ULM vivarium is observed and noted. Storage facilities are checked for adequacy and appropriateness (food and bedding are stored on raised palates, not on the floor; torn or otherwise opened food containers are removed and food not used in the facility). Any physical condition needing attention is noted and brought to the attention of the Vivarium director, the ULM Animal Welfare Assurance Officer and the Institutional Official.

3. Prepare reports of the IACUC evaluations as set forth in the PHS Policy at IV.B.3. and submit the reports to Dr. Virginia Eaton. Detailed minutes of each meeting and inspection tour are prepared in writing and are hand-delivered to the Institutional Official (Interim Director of Graduate Studies and Research, Dr. Virginia Eaton) for her review and comments. The Institutional Official’s comments are returned to the Institutional Animal Welfare Assurance Officer for consideration and action by the IACUC, if action is necessary.

4. Review concerns involving the care and use of animals at the institution. Although no such concerns have been sent to the IACUC, the procedure is for the Chair of the IACUC, the assistant director of the ULM vivarium, the consulting veterinarian or any other member of the IACUC to receive any concerns in written form, electronic form, telephone call or personal communication. Any such communications/concern will be handled in the most discrete manner possible to protect the anonymity of the individual reporting the concern and prevent any possibility of reprisal. Only the person receiving the concern, the University Animal Welfare Assurance Officer and the Institutional Official are on a “need-to-know” basis

concerning the identity of the individual presenting the concern unless the situation, as determined by the Institutional Official, warrants others to be included in that information loop. The concern will be presented to the IACUC for investigation, discussion and disposition. If the concern is a valid issue, the ULM Vivarium Director will be instructed to correct the problem. In the event that the resolution of such concerns exceed the ability of the ULM Vivarium Director and the Vivarium staff to resolve, the University Animal Welfare Assurance Officer will be notified of the situation and the Institutional Official will be consulted as to the most appropriate route of resolution. In either case, the Institutional Official (Interim Director Eaton) and OLAW would be sent a report of such action.

5. Make written recommendations to the Institutional Official (Dr. Virginia Eaton) regarding any aspect of the institution's animal program, facilities, or personnel training. As a result of the regular meetings or special called meetings, the IACUC would make a written report detailing aspects of ULM's animal program, facilities or personnel training.

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 Institutional Animal Welfare Assurance Officer receives and distributes copies of animal welfare assurance forms to members of the IACUC throughout the year as they are received for review. After review, if there are no concerns, the designated IACUC member can approve the protocol. If the IACUC members review the protocol and any member feels that there are problems significant enough to deny approval, that member can request a meeting of the full IACUC to vote to deny approval. Only a vote by the full IACUC may deny a protocol approval. Any member can notify the designated IACUC member with a request for modification. If modification is requested, the protocol is returned to the investigator by the Institutional Animal Welfare Assurance Officer with appropriate instructions. When the modifications have been made, the protocol is again distributed to the IACUC for review. If the protocol is now acceptable and, after review, there are no concerns about the protocol, the designated member can approve the protocol. A copy of the animal welfare assurance protocol is sent to the Institutional Official, the Institutional Animal Welfare Assurance Officer maintains records and the original form is returned to the investigator with notification of approval.

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 Institutional Animal Welfare Assurance Officer receives and distributes to the members of the IACUC for review any significant changes in animal protocols. After review, if there are no concerns, the designated IACUC member can approve the protocol. If the IACUC members review the protocol and any member feels that there are problems significant enough to deny approval, that member can request a meeting of the full IACUC to vote to deny approval. Only a vote by the full IACUC may deny a protocol approval. Any member can notify the designated IACUC member with a request for modification. If modification is requested, the protocol is returned to the investigator by the Institutional

Animal Welfare Assurance Officer with appropriate instructions. When the modifications have been made, the protocol is again distributed to the IACUC for review. If the protocol is now acceptable and, after review, there are no concerns about the protocol, the designated member can approve the protocol. A copy of the animal welfare assurance protocol is sent to the Institutional Official, the Institutional Animal Welfare Assurance Officer maintains records and the original form is returned to the investigator with notification of approval.

8. Notify investigators and the Institutional Official 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. When protocols are received, distributed for review and a decision is reached to approve, request modification or, by vote of the IACUC at a called meeting, deny approval, the Institutional Animal Welfare Assurance Officer notifies the individual investigator of the result and any new requirements specified by the IACUC. The Institutional Officer receives a copy of the IACUC's decision.

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 Institutional Animal Welfare Assurance Officer regularly communicates with researchers and is aware of on-going protocol activity prior to the three-year review. The Institutional Animal Welfare Assurance Officer shares any new information with the rest of the IACUC committee. A complete review of the existing animal protocols is scheduled for the upcoming November, 2002 meeting. On a three-year cycle, all animal protocols are reviewed by the IACUC during the Fall meeting. This is possible due to the relatively limited number of protocols. Each IACUC member will receive copies of the protocols prior to the meeting for their review and comments. All protocols will then be discussed in the meeting and decisions made to continue, ask for modification or discontinue the protocol. The Institutional Animal Welfare Assurance Officer will report the outcome of individual reviews to the appropriate investigator(s). The Institutional Official receives a copy of any modified protocol or other action taken by the IACUC.

10. Be authorized to suspend an activity involving animals as set forth in the PHS Policy at IV.C.6. The Institutional Officer, in consultation with the IACUC, reviews reasons for suspension of part or all of an animal protocol and takes corrective action. A meeting of the IACUC will be called for such occasions. Suspension of part or all of an animal protocol will result only by a majority vote of a quorum of the IACUC. The outcome of this meeting will be reported to the Institutional Official and OLAW. The Institutional Animal Welfare Assurance Officer will inform the individual investigator of the outcome of the review.

E. The individual authorized by this institution to verify IACUC approval of those sections of applications and proposals related to the care and use of animals is Dr.

Benny L. Blaylock, Professor and Head, Department of Toxicology, who is designated as the Institutional Animal Welfare Assurance Officer

F. The occupational health and safety program for personnel who work in laboratory animal facilities or have frequent contact with animals is:

1. Hazard Identification and Risk Assessment – it is the responsibility of the Principal Investigator to instruct his/her graduate concerning the use of hazardous substances in the experimental design and protocol for animal use. Such things as biological hazards and radioactive hazards will be discussed with the appropriate graduate and/or undergraduate students working with a particular PI.
2. Personal Hygiene – all workers are instructed concerning appropriate hand washing, the use of gloves and lab coats and other appropriate protective clothing by the vivarium manager/associate director. It is the responsibility of the Principal Investigator to provide other personal protective clothing such as shoe covers, head covers, overalls, and self-contained breathing apparatus if such provisions are needed for that particular protocol.
3. Medical Evaluation and Preventive Medicine for Personnel - The University recommends that participants on PHS projects related to the care and use of animals have an annual medical exam including a test for tuberculosis. Occupational hazards, including animal bites, scratches and allergies, will be recognized and methods for preventing and treating them are in place. Bite and scratch incidences are reported to and recorded by the individual facility manager and/or the office of the Animal Welfare Assurance Officer. The report is recorded on the appropriate form (Laboratory Animal Bite Form) and the individual is escorted to the infirmary. Records of the incident disposition will be kept in the vivarium. Allergic reactions are reported to and recorded by the individual facility manager. The incident will be recorded on an incident form that will be kept in the vivarium. The medical record is kept either in the infirmary or by the private practice physician. It is, however, the responsibility of the PHS project participant to seek medical care from a physician in private practice. Personnel are not permitted to eat, drink, or apply cosmetics in animal rooms. A separate locker room facility is provided for such activities in the animal facility.
4. Pre-employment medical evaluations consist of those required for students entering ULM and include vaccinations. Any new employee must either show proof of tetanus vaccination with the previous five years or receive a tetanus vaccination before starting to work in the vivarium. If new full-time employees are hired, they will undergo a pre-employment physical including TB skin test. Personnel are instructed to notify their supervisors of potential or known exposures or of suspected health hazards and illnesses. As explained in number 3 above, there are clear procedures for reporting all accidents, bites, scratches and allergic reactions.

Since only rodents are housed in the ULM vivarium, Herpes B infection precautions do not apply.

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.

H. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is: Mr. J.W. Smith (associate director of the vivarium) attends continuing education forums on animal housing and care in the research setting. Mr. Smith, RLAT, provides individualized instruction to undergraduate, graduate, postdoctoral and new investigators in the area of care and housing of animals, the importance of minimizing animal usage and distress, and proper disposal methods. This training is available and is provided on an ongoing basis as new investigators and students come into the vivarium. Records are kept in the vivarium of training of workers in all phases of animal handling including using the cage washer, appropriate disinfection methods, handling and storage of biological and radioactive hazards, breeding and handling of the rat colony. The consulting veterinarian will provide training in specific topics on request but does not routinely provide training of workers.

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. 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 Dr. Virginia Eaton, Interim Director of Graduate Studies and Research. Semiannual reports of IACUC evaluations will be maintained by this institution and made available to the Office of Laboratory Animal Welfare (OLAW) upon request. The most recent semiannual report of the IACUC is attached.

V. RECORD KEEPING 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 Dr. Virginia Eaton, Interim Director of Graduate Studies and Research.
 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 Dr. Virginia Eaton, Interim Director of Graduate Studies and Research, 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 Dr. Virginia Eaton, Interim Director of Graduate Studies and Research.
- B. The IACUC, through Dr. Virginia Eaton, 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: Dr. Virginia Eaton

Title: Interim Director, Graduate Studies and Research

Address: The University of Louisiana at Monroe
700 University Avenue
Monroe, LA 71209-0600

Phone: (318)342-1036

Fax: (318)342-1042

Signature: *Virginia Eaton*

Date: *9-12-02*

B. PHS Approving Official

Name: **Dr. Axel Wolff-Senior Assurance Officer**
Division of Assurances-OLAW
National Institutes of Health
Title: **RKLL, Suite 360-MSB 7982**
6705 Rockledge Drive
Address: **Bethesda, MD 20892-7982**

Phone: 301-496-7163

Fax: 301-402-7065

Signature: *Axel Wolff, ms, cum*

Date: *9/23/02*

C. Effective Date of Assurance: *9/23/02*

D. Expiration Date of Assurance: *8/31/07*

MEMBERSHIP OF THE INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE Date: June 19, 2002

NAME OF INSTITUTION: ULM College of Pharmacy and Health Sciences vivarium
 ASSURANCE NUMBER: A3641-01

Chairperson Name, Title, and Degree/Credentials		Business Address, Phone, Fax, and Email of Chairperson		
Name: Benny L. Blaylock		Address: College of Pharmacy, The University of Louisiana at Monroe 700 University Ave		
Title: Professor and Head, Dept. of Toxicology		Monroe, LA 71209-0470		
Degree/credentials: Ph.D.		Phone: 318-342-1696	Fax: 318-342-1606	Email: pyblaylock@ulm.edu

Name of Member*	Degree/Credentials	Position Title	PHS Policy Membership Requirements**
Steve J. Tolson	M.S.	Co-Chair	Research Associate
Kevin N. Baer	Ph.D.		Associate Professor
Ann Findley	Ph.D.		Associate Professor
Willie Hoefler	Ph.D.		Associate Professor
Joe Maggio	M.S.	Non-scientist	Community representative
Brent White	DVM		Veterinarian
J.W. Smith	RLAT	Ex officio (non-voting)	Assistant vivarium director

* non voting members must be so identified

***Veterinarian*: a veterinarian with direct or delegated program responsibility.

Scientist: a practicing scientist experienced in research involving animals.

Nonscientist: a member whose primary concerns are in a non-scientific areas (e.g. ethicist, lawyer, member of the clergy).

Non-affiliated member: a member who is not affiliated with the institution in any way other than as a member of the IACUC, and who is not a member of the immediate family of a person who is affiliated. 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 attending veterinarian may not be considered non-affiliated.

FACILITY AND SPECIES INVENTORY

Date: June 19, 2002

NAME OF INSTITUTION: ULM College of Pharmacy and Health Sciences vivarium
 ASSURANCE NUMBER: A3641-01

Laboratory, Unit, or Building*	Gross Square Feet (including service areas)	Species Housed in Unit (use complete common names)	Approx. Average Daily Inventory
Sugar Hall 401	46.8 sq ft	Freezer storage	
Sugar Hall 402	126.5 sq ft	rats	300
Sugar Hall 403	33.8 sq ft	storage	
Sugar Hall 404	130 sq ft	Procedure room	
Sugar Hall 404A	124 sq ft	rats	300
Sugar Hall 404B	124 sq ft	rats	300
Sugar Hall 405	126 sq ft	Procedure room	
Sugar Hall 405A	126.5 sq ft	mice	50
Sugar Hall 405B	126.5 sq ft	rats	35
Sugar Hall 406	576 sq ft	Clean-up, washers	
Sugar Hall 408	188 sq ft	Locker room, bath facilities	
Sugar Hall 409	188 sq ft	office	
Sugar Hall 410	504 sq ft	storage	
Sugar Hall 411	156 sq ft	Procedure room	
Sugar Hall 411A	145 sq ft	mice	300
Sugar Hall 411B	126.5 sq ft	mice	180

*Institutions may identify animal areas in any manner, e.g., initials, ID number, etc. However, the name and location must be provided to OLAW upon request.