Animal Welfare Assurance for Domestic Institutions

I, Gregory Dewey, as named Institutional Official for animal care and use at The University of La Verne, 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:
   The Natural Science Division

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 (subaward) 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:
   See attached organizational chart for these components:
   - chief executive officer
   - Institutional Official
- IACUC
- veterinarian
- animal facility management

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

1) Name: Terry Lepper, DVM

Qualifications
- Degrees: DVM University of Illinois 1972
- Training or experience in laboratory animal medicine or in the use of the species at the institution:
  20 years experience in the care of the species being used, including C57BL/6 mice and Fisher 344 rats, with University of La Verne and Claremont Colleges animal care facilities.
  Consultant and owner/retired veterinarian of Citrus Veterinary Clinic (small animal clinic) 1972-present and Inland Valley Humane Society veterinarian.
Authority:
  Dr. Terry Lepper has direct program authority and responsibility for the Institution's animal care and use program including access to all animals.
Time contributed to program:
  Dr. Lepper spends approximately 0.1 hours per month at the institution (equivalent to 2 visits per year for a minimum of one hour each), and 100% of those hours contribute to the animal care and use program. In addition, Dr. Lepper is on call for any emergencies and his private practice is located less than one mile from campus. Dr. Lepper is a full member of the IACUC and actively involved in the review of all protocols and projects, and in the inspection of facilities and review of institutional programs involving animals in research, testing and teaching.

2) Name: Teri Drean, VMD

Qualifications
- Degrees: VMD University of Pennsylvania 2002
- Training or experience in laboratory animal medicine or in the use of the species at the institution:
  Veterinary program training in the care of the species being used, including C57BL/6 mice and Fisher 344 rats. Back-up veterinarian for the Institution and practicing veterinarian at Citrus Veterinary Clinic (small animal clinic) 2002-present.
Responsibilities:
  Dr. Drean has delegated authority and responsibility for activities involving animals at the Institution in the event that Dr. Lepper is unavailable.
Time contributed to program:
  Dr. Drean will spend time as-needed, up to approximately 0.1 hours per month, at the institution in the event Dr. Lepper is unavailable, and 100% of those hours will contribute to the animal care and use program.

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 IACUC consists of at least 5 members, and its membership meets the composition requirements of PHS Policy IV.A.3.b. Attached is a list of the chairperson and members of the IACUC and their names, degrees, profession, titles or specialties, and institutional affiliations.

[See IACUC membership table provided (see Part VIII.).]
D. The IACUC will:

1) Review at least once every 6 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 committee will meet two times a year to oversee and evaluate the institution’s animal care and use program, procedures, and facilities to ensure that they are consistent with the "Guide" Eighth Edition, Animal Welfare Regulations, PHS Policy and USDA regulations. The IACUC membership is as follows: 1) IACUC Chair, 2) the veterinarian, 3) at least one practicing scientist experienced in research involving live animals, 4) one member of the public, not affiliated with the institution or in the immediate family of a person affiliated with the institution (non-affiliated member), and 5) two members whose concerns are in a nonscientific area (nonscientist). A minimum of four committee members (50% plus one) in attendance represents a quorum. Seven categories of issues will be discussed: 1) IACUC membership and functions; 2) IACUC records and reporting; 3) Veterinary care; 4) personnel qualifications and training; 5) occupational health and safety of personnel; 6) review protocols, new and renewals; and, 7) internal or external concerns involving the care and use of animals at the Institution. The IACUC chair will read the semiannual program and facility review checklist and the committee will review the material for each section, checking whether the Animal Care and Use program is acceptable ("A") or has minor ("M") or significant ("S") deficiencies. Each deficiency, if there are any, will be discussed and a course of action with a reasonable timetable for correction is recommended. The IACUC secretary will include this information in the meeting’s minutes.

2) Inspect at least once every 6 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:

The committee will meet two times a year to oversee and evaluate the institution’s animal care and use program, procedures, and facilities to ensure that they are consistent with the "Guide", Animal Welfare Regulations (AWR), Public Health Service (PHS) Policy on the Humane Care and Use of Laboratory Animals and USDA regulations. At the end of each meeting, the committee will conduct a walk through inspection of the animal facility, using appropriate facility inspection checklists. At least a quorum (four committee members) will be required for the inspection. The committee will check whether the Animal Care and Use program and facilities are acceptable ("A") or has minor ("M") or significant ("S") deviations/deficiencies. Each deficiency/deviation, if there are any, will be discussed and a course of action and a reasonable timetable for correction will be recommended. The committee will also examine the health of the animals, animal and human safety issues, and the animal environment. The IACUC secretary shall include this information in the meeting’s minutes.

In addition, once a year, a USDA representative will conduct an unannounced inspection of the animals, facilities, and IACUC records.

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:

A) Minutes will be taken during the IACUC meetings and facility inspections. The minutes will be circulated electronically in the week following the IACUC meeting to all members for corrections and additions. The minutes will be officially approved at the next IACUC meeting. In the interim between meetings, the IACUC secretary will prepare a report (based on the minutes) and submit it to the IACUC Chair. The IACUC Chair reviews the report, circulates it electronically to the IACUC members, and collects signatures or minority/dissenting views. Any IACUC member may also submit a minority view directly to the Institutional Official and/or OLAW addressing any aspect of the institution’s animal program,
facilities, or personnel training. Once the report has been approved by the IACUC committee and signed by at least four members who attended the meeting, the report is submitted to the Natural Science Division Chair and the Institutional Official (Provost of the University).

B) Deficiencies (as defined by PHS Policy, the “Guide” or based on University policy), if any, will be identified in the minutes and report. The deficiency will be described, as well as any required action. Reports will distinguish significant deficiencies from minor deficiencies by labeling them “(minor)” or “(significant)”. If any deficiencies are noted, the report will contain a reasonable and specific plan and schedule for correcting each deficiency.

C) If a deficiency is noted, the IACUC Chair will identify the party responsible for correcting the deficiency (e.g. Institution’s facilities management, risk management, animal care personnel, or principle investigator). A written description of the identified deficiency will be provided to the responsible party. In accordance with the institution’s IACUC policy, the responsible party must then correct the deficiency before the next IACUC meeting (minor deficiencies) or by an earlier date indicated in the correction plan (significant deficiencies). If the deficiency is not addressed by the date on the correction plan, the responsible party will be required to prepare and submit in writing an explanation to the IACUC outlining the progress and reason(s) for the delay in addressing the concern.

Any departures from the Guide will be identified specifically and reasons for each departure will be stated and reported to the IO.

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

A) Any person who believes s/he has observed or otherwise become aware of possible animal abuse or neglect has the right and responsibility to report concerns immediately. Individuals should report their concerns verbally or in writing to any of the following: 1) animal care personnel, 2) animal care personnel supervisor, 3) the Biology Laboratory Manager, 4) the veterinarian, 5) biology department faculty, 6) IACUC Chair, 7) any IACUC member, or 8) the Institutional Official. The person receiving a complaint will notify the IACUC Chair of a complaint and obtain a copy of the IACUC Animal Incident Report. The IACUC Animal Incident Report will be provided to the complainant to document their observations. The IACUC shall keep the identity of any person filing a legitimate complaint confidential both during and after the investigation. No employee or student shall be subjected to reprisals for filing a legitimate report of possible animal abuse or neglect by the institution. A copy of this policy is posted inside the animal facility directly below the names and phone numbers of the animal care supervisor (also called the animal facility manager), department chair, and veterinarian.

B) The Animal Incident Report will be provided, immediately upon completion, to the IACUC Chair. The Biology Laboratory Manager in collaboration with the IACUC Chair will conduct an investigation of the concern, including an immediate inspection of the animal facility (or location of the incident) and interviews with involved individuals. The IACUC Chair will review the findings of the investigation and bring the problem before the IACUC for review. The IACUC may recommend temporary or permanent suspension of involved individuals’ activity involving animals and/or disciplinary action to the appropriate supervisor. Suspension of a previously approved activity requires a review of the matter at a convened quorum (four members) of the IACUC and a suspension vote by a majority of the quorum present. Any activity requiring suspension and corrective action will be reported in writing to the Natural Science Division Chair, the Institutional Official, and OLAW, following the review process.
C) Once the investigation and review is completed, the IACUC portion of the Animal Incident Report will be completed. This portion of the form provides space for a description of "actions taken". The completed form will be provided to the Institutional Official. If the Institutional Official is satisfied that the situation or concern has been appropriately addressed, the form will be filed in the IACUC records. If not, the Institutional Official can request that the IACUC reconvene and make further recommendations or take additional action. A report of the conclusions and actions taken will also be provided to the individual who reported the incident/concern.

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:

A written report will be sent to the Institutional Official after each program review and facility inspection has been conducted by the IACUC. This report will contain a description of the nature and extent of this institution’s adherence to the regulations set forth in the Animal Welfare Act, The Guide, PHS policy, USDA policy, and institutional policy. Any departures from these regulations or policies will be identified specifically and reasons for each departure will be stated. Where program or facility deficiencies are noted, the report will also distinguish significant deficiencies from minor deficiencies. The report will contain a reasonable and specific plan and schedule for correcting each deficiency. Any new recommendations, not contained in the regular reports, will be collected in writing by the IACUC chair and circulated electronically to IACUC members one week in advance of the next IACUC meeting. The IACUC Chair, the veterinarian, at least one scientist experienced in research involving live animals, a nonscientist, and one non-affiliated member of the public will be required to review recommendations. A minimum of four committee members in attendance will represent a quorum. Recommendations will be reviewed based on the Guide, Animal Welfare Act, PHS Policy, USDA policy, and institutional policy and approved or not approved by IACUC members. If a recommendation needs to be acted upon before the next scheduled meeting of the IACUC, the recommendation will be circulated and approved or not approved electronically. Approved recommendations will be forwarded to the Natural Science Division Chair and the Institutional Official.

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:

A) It is the principle investigator’s responsibility to prepare and submit research and teaching project proposals using the guidelines listed in the Guide. These guidelines include:

- Rationale and purpose of the proposed use of animals.
- Justification of the species and number of animals requested, including application of the "three Rs" (reduction, refinement, replacement). Whenever possible, the number of animals requested should be justified statistically.
- Availability or appropriateness of the use of less-invasive procedures, other species, isolated organ preparation, cell or tissue culture, or computer simulation.
- Adequacy of training and experience of personnel in the procedures used.
- Unusual housing and husbandry requirements.
- Appropriate sedation, analgesia, and anesthesia.
- Unnecessary duplication of experiments.
- Conduct of multiple major operative procedures.
- Criteria and process for timely intervention, removal of animals from a study, or euthanasia if painful or stressful outcomes are anticipated.
- Post-procedure care.
- Method of euthanasia or disposition of animal.
- Safety of working environment for personnel.

B) Protocols shall be submitted to the IACUC Chair, and the chair will verify the proposal’s completeness before distributing electronic copies to the committee.
All protocols will be sent by email to committee members for review at least one week in advance of the official review. If a member of the IACUC has a conflicting interest (e.g. is personally involved in the project), an alternate member will replace him/her in the review process (except to provide information requested by the IACUC) to avoid conflicts of interest. The two methods of IACUC review are 1) full committee review (FCR, composition described in D. 1.) or 2) by designated member review (DMR, composition described in III.D.6.d.). FCR is the primary method of protocol review utilized but DMR may be requested by the principle investigator or suggested by the IACUC chair, if circumstances (e.g. funding agency requests documentation of IACUC approval prior to award, a change in anesthesia, analgesia, or method of euthanasia, etc.) require review before a regularly scheduled semi-annual meeting will occur and a physically-convened meeting of a quorum of IACUC members cannot be called in a timely fashion. However, DMR may be employed only after all voting members have been provided an opportunity to call for full-committee review, and no one requests FCR. Thus the IACUC members will determine whether a protocol may be reviewed by DMR. The specific method of review for a given protocol (FCR or DMR) must be documented, along with the outcome of the review. The IACUC evaluates protocols based on the following criteria:

- The protocol is consistent with the Guide, unless a scientific justification for a departure is presented and is acceptable to the IACUC;
- The protocol conforms with the institution’s Assurance;
- The protocol will be conducted in accordance with the USDA Animal Welfare Regulations if applicable; and
- The protocol meets the requirements of the PHS Policy at IV.C.1.a.-g. “Review of PHS Conducted or Supported Research Projects”.

C) FCR must occur during a convened meeting of a quorum of the IACUC members, and with a vote of the quorum present. For FCR review of protocols, there are three possible outcomes: approval, require modifications (for approval), or withhold approval.

- If the committee requires modifications to secure approval, the IACUC can vote to have the revised research protocol reviewed and approved by DMR, or returned for FCR at a convened meeting. If electing to use DMR, all members, including the members not present at the initial meeting, will have the revised research protocol available to them and will have the opportunity to call for FCR. A DMR (see D. 6. d.) may be conducted only if all members of the committee have had the opportunity to request FCR and none have done so. (PHS Policy IV.C.2)
- If approval is withheld by the IACUC, the proposed research protocol may not be conducted at this institution. Investigators, whose proposals are disapproved, will have the opportunity to address the committee in writing or in person (at the next IACUC meeting) to clarify his/her activities.

D) If designated member review (DMR) is used, all members of the IACUC must be given an opportunity to review the protocol and call for full committee review (FCR). If, and only if, no member requests FCR, the protocol may be reviewed by one or more qualified members appointed by the Chair (PHS Policy IV.C.2). If a protocol is assigned more than one designated reviewer, the reviewers must be unanimous in any decision. They must all review identical versions of the protocol and if modifications are requested by any one of the reviewers then the other reviewers must be aware of and agree to the modifications. Designated review may result in approval, a requirement for modifications (to secure approval), or referral to the full committee for review. Designated review may not result in withholding of approval.

E) Following FCR or DMR review the IACUC chair or appointed representative will sign and date the protocol, collect all comments, and keep them with the IACUC research and teaching protocol records (filed by researcher’s name). If a protocol is evaluated by DMR, the approval date is the date that the designated member(s) approve the study. Animal work may not be conducted before the approval date. If work begins before the approval date, it will be reported to OLAW as a serious noncompliance with the PHS Policy. (PHS Policy IV.F.3) Additionally, a copy of the protocol and the IACUC’s actions will be sent to the Natural Science Division Chair and the Institutional Official.
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:

Requests for significant changes in an approved protocol must be submitted to the IACUC in a formal letter, which clearly states the reasons for modification. Modifications to a previously approved, on-going protocol may not be put into practice unless the committee has approved the requested changes. The IACUC Chair will review the changes and determine whether the changes are minor or significant. Review and approval of proposed significant changes must comply with the same requirements as review and approval of new protocols as set forth in the PHS Policy IV.C. Review of significant changes may be accomplished by FCR or DMR as described in III.D.6. Minor changes will be evaluated and approved/not approved by the IACUC Chair, in consultation with the veterinarian.

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:

Investigators will be notified in writing of the committee’s decision to approve, to require modifications, or to disapprove of proposed animal use protocols. When research or teaching protocols are approved by the IACUC, the investigator will receive a signed copy of the protocol and a protocol number. Proposals requiring modifications will be returned to the investigator, without approval signature, and with a letter stating the recommended changes required for IACUC approval. Investigators will be invited to resubmit their protocols with the recommended modifications. Research or teaching activities may not begin until the protocol’s activities have been approved. Proposals for which approval is withheld by the IACUC may not be conducted at this institution.

Investigators, for whose proposals approval is withheld, will have the opportunity to address the committee in writing or in person (at the next IACUC meeting) to clarify his/her activities.

The Natural Science Division Chair and the Institutional Official will be notified in writing of the committee’s decision to approve, to require modifications, or to withhold approval of proposed animal use protocols. Results of the evaluation of research and teaching protocols conducted during regularly scheduled FCR are included in the semi-annual report to the Institutional Official. Evaluations by DMR or specially convened FCR are sent as separate memos following each review.

The Biology Laboratory Manager (also a member of the IACUC) receives a signed copy of all approved protocols. Animals may not be ordered for an investigator or housed in the animal facility without an IACUC approved protocol.

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 3 years according to PHS Policy IV.C.1.-5. The IACUC procedures for conducting continuing reviews are as follows:

All active animal use protocols require yearly monitoring by the IACUC. The convened IACUC will perform annual protocol monitoring and renewal. The purpose of monitoring is to ensure that no changes in the approved activity have taken place inadvertently that might require further review by the IACUC and to inform the investigator of any new requirements of the PHS, USDA, or the institution that may have transpired in the
course of the year. A standard form will be circulated annually to all investigators with IACUC-approved activities. The form contains current basic information, such as IACUC approval number, IACUC approval date, project title, and species used. The investigator will be required to note that either no changes have taken place, or to describe any changes that have occurred. Responses will be reviewed by the IACUC Chair to determine whether any changes are minor or significant. Any changes to the approved activity deemed of sufficient magnitude to merit further consideration will then be presented to the IACUC. Review of significant changes may be accomplished by FCR or DMR as described in III.D.6.). All of these dispositions will be documented as official IACUC actions.

A complete de novo review in accordance with the PHS Policy IV.C.1-4 (and as described in D. 6.) will be conducted at least once every three years of all ongoing, previously approved activities. A complete review requires submission of all IACUC, OLAW, USDA, and PHS required animal use documentation. In addition, the number of animals ordered, used, and disposed of for the project under review will be confirmed. Additional animal requests will be evaluated for appropriateness. The investigator will be asked to submit a written status report outlining the progress of the study under review, including reasons for continuation of the study, for additional animals, for time to complete the study, or for delays in progression. The investigator may be invited to attend the review meeting to discuss the projects status and answer IACUC’s questions. De novo review every three years of ongoing, previously approved activities may be accomplished by FCR or DMR as described in III D. 6. prior to the expiration of the previous protocol.

Post-approval monitoring of ongoing activities will occur by the following mechanism: 1) the Animal Facility Manager (or in her/his absence, the Biology Department Chair or Biology Laboratory Manager) will conduct bi-weekly (twice a month) inspections of the animal facility, including the monitoring of animal health; 2) the Animal Facility Manager will contact principle investigators once a month to inquire about changes to ongoing activities; 3) the Animal Facility Manager will immediately report to the IACUC chair, veterinarian, or other IACUC member any unexpected changes in animal health and/or behavior in addition to PI self-reported changes in procedures. The IACUC chair, in consultation with the veterinarian, will determine if the health, behavior, or procedural changes fall outside of the approved protocol. If it is determined that the changes fall outside of the approved protocol, the IACUC chair will follow the procedures for review of significant changes (III D. 7.) and suspension of activities (III D. 10.).

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:

If it is determined that the activity of an approved research or teaching project is not being conducted in accordance with the Guide, Animal Welfare Act, PHS Policy, USDA policy, institutional policy, the institution’s animal use policies and assurance, or an approved animal use protocol, that investigator’s activities will be immediately halted. Permanent suspension requires an investigation, a convened meeting of a quorum (four members) of the IACUC, and a majority vote of the convened quorum. The Institutional Official in consultation with the IACUC will review the reason for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW. Any activity requiring suspension and corrective action will be reported in writing to the Natural Science Division Chair, the Institutional Official, and OLAW, following the review process.

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. The Institution’s occupational health and safety program (OHSP) is consistent with federal, state, and local regulations and focuses on maintaining a safe and healthy workplace. The OHSP is administered through cooperation between the Institution’s Risk Management Department (the campus entity that monitors

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the occupational health and safety program), the Institution’s administration (e.g., human resources, treasury, and facility maintenance personnel), the Animal Care and Use Program (as represented by the AV, IO, and IACUC), the University Safety Specialist (who performs annual safety inspections), the department-based safety officer (e.g., Biology Lab Manager), and the research coordinator (department chair or principle investigator, as appropriate). Operational and day-to-day responsibility for safety in the workplace resides with the laboratory or facility supervisor (e.g., principal investigator, animal facility manager, or the veterinarian) and depends on safe work practices by all employees.

2. The program is based on risk assessment and hazard identification and applies to all faculty, staff, and students working at the Institution. Once a year, a mandatory OHSP refresher orientation is provided. To ensure ongoing evaluation of health and safety in the animal care and use program, during the bi-weekly (twice a month) inspections of the animal facility, conducted by the Animal Facility Manager (or in her/his absence, the Biology Department Chair or Biology Laboratory Manager), occupational health and safety issues will be discussed in addition to animal health, facility maintenance issues, and status of supplies. OHSP issues requiring further action will be reported to the IACUC and appropriate administrative units (see III E. 1.)

3. As soon as an individual is hired, s/he is required to undergo training and orientation. As part of personnel training in the sciences, all individuals working with animals will receive training in occupational health and safety from the Biology Department Safety Officer and the appropriate investigator before they may begin working. This includes training on individual risk assessment, prevention of exposure to animal allergies, bites, or other hazards, chemical safety, physical hazards, allergies, handling of waste materials, personal hygiene, precautions taken during pregnancy, illness or immune suppression, zoonotic diseases (diseases potentially transmissible between animals and humans), and mechanisms to report problems for follow up as needed. The main objectives of the training are to instruct individuals on risk assessment, hazard recognition, and avoidance.

4. It is the responsibility of the Safety Officer to ensure all employees are aware of facilities, procedures (including the current disaster plan), monitoring, and general hazards in the workplace when animals are involved. It is the responsibility of the principal investigator to ensure that all employees are aware of the specific hazards associated with their job duties, the risks associated with those hazards, and the safe practices used daily. The hazards, risks, and preventive measures associated with a specific research project will be explained to all employees. Depending on the species of the animal, the degree of exposure, or an individual’s prior sensitivity, not all employees will be affected equally. Thorough communication between the animal caregivers, researchers, and safety staff will be expected to ensure a safe working environment. All training will be documented and the records maintained by the investigator and IACUC.

5. All personnel working with animals are required to have a tetanus booster vaccination within the last ten years. A pre-employment health exam and self-reported health history is taken to document the tetanus vaccination, to assess health risks, and to determine employee suitability for animal work. The employee/student health history questionnaire will be administered and maintained through the Institution’s Student Health Center, so as to maintain the employee/student’s privacy. The Student Health Director will review the employee/student’s health history questionnaire and give the IACUC and Biology Laboratory Manager her recommendation for any restrictions in animal care and use. Consideration will be given to pre-existing health issues that, in the context of animal care, might endanger the health of the employee/student. For example, employees/students with severe allergies to animal dander would not be selected for direct animal work. The Student Health Director’s recommendations will be documented in writing and maintained by the IACUC and Biology Laboratory
6. All personnel working with animals will be required to wear personal protective equipment in the animal facility, such as foot covers, hair bonnets, disposable lab coats, facemasks, and gloves. Students and employees will be required to report and document all animal incidents (bites, scratches), illness or allergic reactions, or injuries to the Biology Laboratory Manager. First aid kits, eye wash, and a telephone are present in all laboratories and the animal facility. All incidents are evaluated immediately by the Biology Laboratory Manager or Safety Officer, the investigator, or nearest faculty member. Minor injuries will be dealt with on-site using the first aid kit. Depending on the severity of the incident or reaction, the individual will be encouraged and assisted, if necessary, to seek medical attention at the Institution's Student Health Center, at the individual's personal physician, or at the local urgent care center. For true emergencies, the Institution is located across the street from the city fire and police station and will get an immediate response to 911 calls.

7. Records of incidents will be evaluated yearly for trends. Activities or incidents warranting action will be reported to the IACUC (and the appropriate administrative units, see III E. 1.) and the program will be adjusted accordingly to minimize or eliminate risks and hazards.

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 the attached Facility and Species Inventory table. 

[See Facility and Species Inventory table provided (see Part X.).]

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

1. Description of animal care training program:
All personnel responsible for animal care and maintenance will undergo a minimum of 20 hours of training. Ten of these hours are spent observing animal care protocols. The remaining ten hours are spent assisting another animal caregiver. Individuals also receive approximately two hours of one-on-one instruction on:

   a. Humane methods of experimentation and maintenance, including:
      * basic needs of each animal species
      * proper handling, restraint, and care of animals used in the facility
      * proper pre-procedural and post-procedural care of research animals
      * aseptic surgical methods and procedures
   b. Research methods that minimize the number of animals required to obtain valid results and that minimize pain and distress.
   c. The proper use of tranquillizers, anesthetics and analgesics for any species of animals used by the facility.
   d. Methods to report deficiencies in animal care or other concerns or questions.
   e. Information regarding:
      * appropriate methods of animal care and use
      * alternatives to the use of live animals in research
      * prevention of unintended and unnecessary duplication of research involving animals
      * the intent and requirements of the Animal Welfare Act
   f. Information regarding:
      * individual risk assessment
      * prevention of exposure to animal allergies, bites, or other hazards, zoonotic diseases (diseases potentially transmissible between animals and humans)
      * mechanisms to report problems for follow-up as needed
   g. Information regarding:
      * specific hazards associated with their job duties
      * safe practices
hazard, risk, and preventive measures associated with each specific research project.

In addition, animal caregivers, research staff, and students will watch the training DVD titled, *Training in Basic Biomedical Methodology for Laboratory Mice*, produced by Shelley Hoogstraten-Miller, D.V.M. and her staff at the National Human Genome Research Institute. The DVD covers all of the above information.

Once the Biology Laboratory Manager and the investigator are confident that the individual can perform their tasks humanely and without causing injury to the animal or themselves, they are approved for animal care and use. Opportunities for ongoing professional development and training are also provided (e.g. online training).

2. Investigator orientation:
Investigators receive an orientation tour and lecture regarding the institution's animal care and use program, once they have expressed a desire to use live animals in their research. As part of the training investigators receive information on humane practice of animal care and use (described above in G. 1. a-g), electronic versions of all IACUC paperwork required for submitting protocols, and instructions for obtaining copies of the "Guide", Animal Welfare Act and Animal Welfare Regulations, PHS Policy, and USDA regulations. Opportunities for ongoing professional development and training are also provided (e.g. CITI online training).

3. IACUC member training:
A standing IACUC member will give all new members of the IACUC a 30-minute orientation, prior to the newly-appointed members' first meeting. The orientation includes a description of the IACUC member’s responsibilities and right to a minority opinion. New members will be provided with copies of at least one set of minutes, semiannual report, and correction plan & schedule. New members are given instructions to download or are provided electronic copies of the Institution's Approved Animal Welfare Assurance Document, the "Guide", the Arena/OLAW IACUC Guidebook, PHS Policy, USDA regulations, and the Animal Welfare Act and Animal Welfare Regulations. Opportunities for ongoing professional development and training are also provided (e.g. CITI online training).

IV. Institutional Program Evaluation and Accreditation

All of this Institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated by the IACUC within the past 6 months and will be reevaluated by the IACUC at least once every 6 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.

(1) 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.

[See attached, the most recent semi-annual program review and facility inspection report from May 2013.]
V. Recordkeeping Requirements

A. This Institution will maintain for at least 3 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, Dr. Gregory Dewey, Provost.
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 3 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, Dr. Gregory Dewey, Provost.
5. Any minority views filed by members of the IACUC

[Note: if there are no changes to report, provide written notification that there are no changes.]

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

<table>
<thead>
<tr>
<th>Name:</th>
<th>T. Gregory Dewey, Ph. D.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title:</td>
<td>Provost</td>
</tr>
<tr>
<td>Name of Institution:</td>
<td>University of La Verne</td>
</tr>
<tr>
<td>Address:</td>
<td>(street, city, state, country, postal code)</td>
</tr>
<tr>
<td></td>
<td>1950 Third Street</td>
</tr>
<tr>
<td></td>
<td>La Verne, CA 91750</td>
</tr>
<tr>
<td>Phone:</td>
<td>(909) 448-4747</td>
</tr>
<tr>
<td>Fax:</td>
<td></td>
</tr>
<tr>
<td>E-mail:</td>
<td><a href="mailto:gdewey@laverne.edu">gdewey@laverne.edu</a></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>Signature:</td>
<td>[Signature]</td>
</tr>
<tr>
<td>Date:</td>
<td>July 15, 2013</td>
</tr>
</tbody>
</table>

B. PHS Approving Official (to be completed by OLAW)

| Name/Title: | Office of Laboratory Animal Welfare (OLAW) |
|            | National Institutes of Health              |
|            | 6705 Rockledge Drive                       |
|            | RK1, 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: June 17, 2013
Name of Institution: University of La Verne
Assurance Number: A4588-01

IACUC Chairperson
Name*: Christine Broussard
Title*: Professor of Biology
Degree/Credentials*: Ph.D.
Address*: (street, city, state, zip code)
Natural Science Division, Department of Biology
Mainiero Building Rm 257
1950 Third Street
La Verne, CA 91750
E-mail*: cbroussard@laverne.edu
Phone*: (909) 448-4597
Fax*: (909) 392-2754

IACUC Roster

<table>
<thead>
<tr>
<th>Name of Member/Code**</th>
<th>Degree/Credentials</th>
<th>Position Title***</th>
<th>PHS Policy Membership Requirements****</th>
</tr>
</thead>
<tbody>
<tr>
<td>Christine Broussard</td>
<td>Ph.D.</td>
<td>Professor of Biology</td>
<td>S</td>
</tr>
<tr>
<td>Terry Lepper</td>
<td>DVM</td>
<td>Veterinarian</td>
<td>V</td>
</tr>
<tr>
<td>Nonaffiliated Member</td>
<td>B.S.</td>
<td>Animal Behaviorist, Humane Society</td>
<td>NA</td>
</tr>
<tr>
<td>Nonscientist A</td>
<td>B.A.</td>
<td>Budget Coordinator</td>
<td>NS</td>
</tr>
<tr>
<td>Nonscientist B</td>
<td>B.S.</td>
<td>Laboratory Manager</td>
<td>NS</td>
</tr>
<tr>
<td>Scientist A</td>
<td>Ph.D.</td>
<td>Associate Professor of Biology</td>
<td>S</td>
</tr>
<tr>
<td>Scientist B</td>
<td>Ph. D.</td>
<td>Professor of Biology</td>
<td>S</td>
</tr>
<tr>
<td>Scientist C</td>
<td>AbD</td>
<td>Biology Instructor</td>
<td>S, alternate</td>
</tr>
</tbody>
</table>

Domestic Assurance v1/6/2012 14
* 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:

<table>
<thead>
<tr>
<th>Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Veterinarian</td>
<td>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.</td>
</tr>
<tr>
<td>Scientist</td>
<td>practicing scientist experienced in research involving animals.</td>
</tr>
<tr>
<td>Nonscientist</td>
<td>member whose primary concerns are in a nonscientific area (e.g., ethicist, lawyer, member of the clergy).</td>
</tr>
<tr>
<td>Nonaffiliated</td>
<td>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.</td>
</tr>
</tbody>
</table>

[Note: 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)

If there are other individuals within the Institution who may be contacted regarding this Assurance, please provide information below.

<table>
<thead>
<tr>
<th>Contact #1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: Christine Broussard</td>
</tr>
<tr>
<td>Title: Professor of Biology and IACUC Chair</td>
</tr>
<tr>
<td>Phone: (909)448-4597</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contact #2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
</tr>
<tr>
<td>Title:</td>
</tr>
<tr>
<td>Phone:</td>
</tr>
</tbody>
</table>
X. Facility and Species Inventory

<table>
<thead>
<tr>
<th>Laboratory, Unit, or Building</th>
<th>Gross Square Feet [Include service areas]</th>
<th>Species Housed [use common names, e.g., mouse, rat, rhesus, baboon, zebrafish, African clawed frog]</th>
<th>Approximate Average Daily Inventory</th>
</tr>
</thead>
<tbody>
<tr>
<td>Animal Facility</td>
<td>470 sq. ft.</td>
<td>mouse</td>
<td>110</td>
</tr>
<tr>
<td>Developmental Biology Lab</td>
<td>745 sq. ft.</td>
<td>zebrafish</td>
<td>40</td>
</tr>
</tbody>
</table>

*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.*
III. INSTITUTIONAL PROGRAM FOR ANIMAL CARE AND USE, University of La Verne

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

- Devorah Lieberman, President
- Gregory Dewey, Provost
- Terry Lepper, DVM
  IACUC Veterinarian
- Christine Broussard,
  Natural Science Division Chair
- Jerome Garcia, Chair
  Biology Department
- IACUC
  (See composition below)

IACUC meets and inspects the animal care and use facility 2 times per year.

Members:
- Christine Broussard, Ph.D. (S, IACUC chair)
- Terry Lepper, DVM (V)
- Nonaffiliated Member, B.S. (NA)
- Nonscientist A, B.S. (NS)
- Nonscientist B, B.S. (NS)
- Scientist A, Ph.D. (S)
- Scientist B, Ph.D. (S)
- Scientist C, AbD (S, alternate)

- Animal Facility Manager (Christine Broussard, Ph.D.)
- Biology Dept. Lab Manager (Monica Rios, B.S.)