

**NORTHERN ILLINOIS UNIVERSITY**  
**A3166-01**  
**ANIMAL WELFARE ASSURANCE**  
**In accordance with the PHS Policy for**  
**Humane Care and Use of Laboratory animals**

I, Lisa C. Freeman, DVM, PhD , as named Institutional Official for animal care and use at Northern Illinois University, hereinafter referred to as Institution, by means of this document, provide assurance that this Institution will comply with the Public Health Service Policy on Humane Care and Use of Laboratory Animals, hereinafter referred to as PHS Policy.

## **I. APPLICABILITY OF ASSURANCE**

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 Northern Illinois University: All components, Colleges, Schools, Departments, etc. which conduct activities involving live vertebrate animals are physically located on the University's campus in DeKalb, Illinois. There are no off-campus satellite facilities covered by this Assurance and/or other covered components which conduct activities involving live vertebrate animals.

## **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.

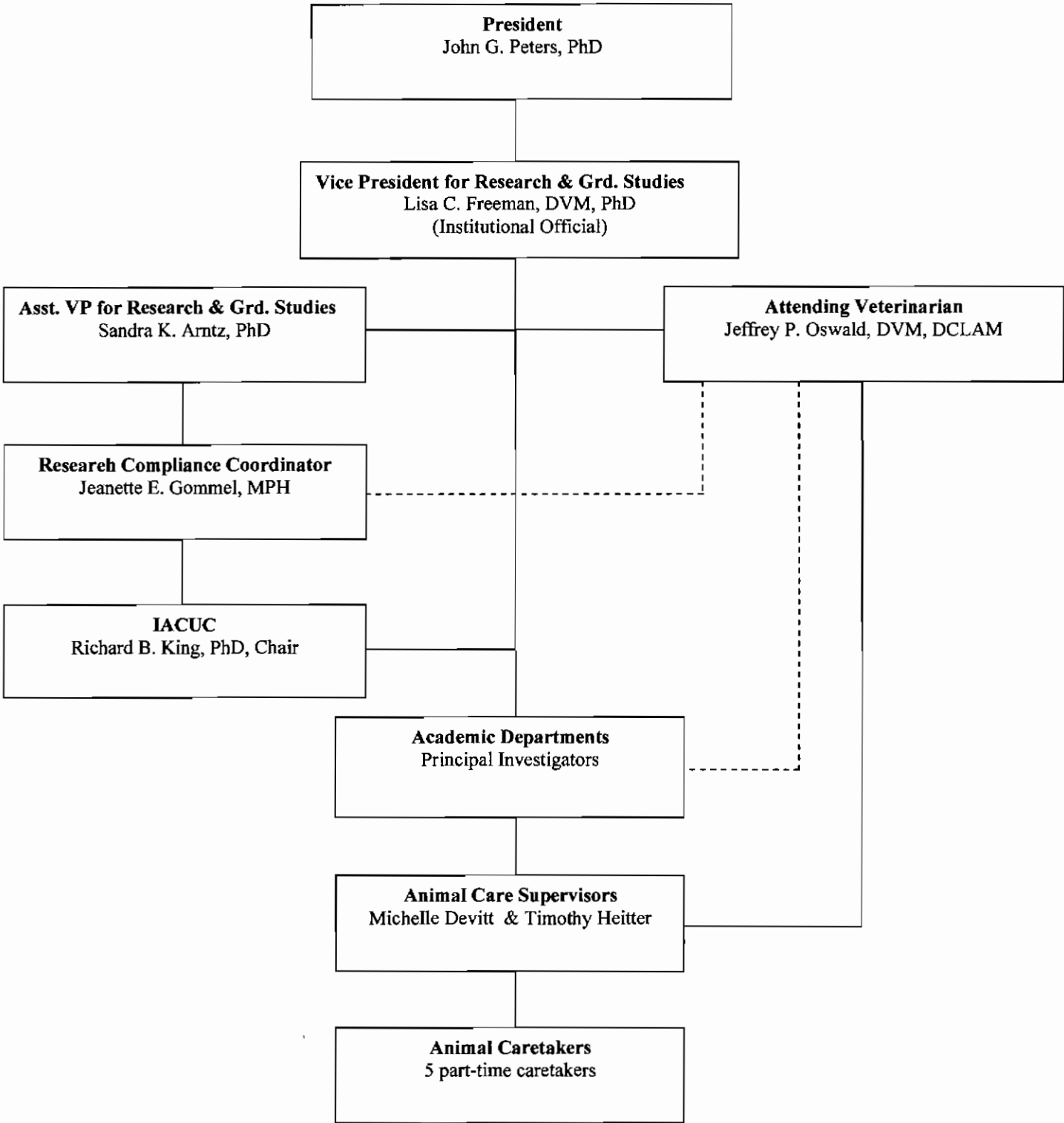
B. This institution is guided by the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training."

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 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 as follows:



The Chief Executive Officer of the institution, John G. Peters, President, appoints members of the Institutional Animal Care and Use Committee (hereinafter IACUC) upon the recommendation of Lisa C. Freeman, Vice President for Research and Dean of the Graduate School, who serves as the Institutional Official (IO). In addition, a full-time supportive professional staff position, entitled Compliance Coordinator, has been staffed to serve as a liaison for the Institutional Official and the IACUC, and assist with its administrative duties. However, open and direct lines of communication exist between the IACUC and the IO and between the Institutional (consulting) Veterinarian and the IO.

There are two full time Lab Animal Care Supervisors at Northern Illinois University. Five part time employees report to them. Open and direct lines of communication exist between the Animal Care Supervisors and the consulting veterinarian.

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

Attending veterinarian: Dr. Jeffrey P. Oswald, D.V.M., DACLAM of the Comparative Research Center, Rush University Medical Center, Chicago, Illinois.

1. Degrees: DVM, 1995; Diplomate ACLAM 1999
2. Experience: Senior Director, Comparative Research Center, Rush University Medical Center, Chicago, Illinois
3. Authority granted by Northern Illinois University pursuant to written contract for services. These services require approximately 10 hours per month, 100% of this time is contributed to the NIU Animal Care and Use Program.
4. Responsibilities:
  - (a) Site visits to Northern Illinois University; conduct of clinical rounds at least once a month at times convenient for investigators who require consultation.
  - (b) Attendance at Northern Illinois University IACUC meetings.
  - (c) Faculty and staff training, including presentations of seminars and workshops for all faculty, staff, and students whose activities involve the use of live vertebrate animals. The purpose of the seminars is to provide current information pertaining to the use of animals in research and teaching. Additional special training sessions may be arranged at the request of the IACUC Chair.

Emergency veterinary care: Dr. Paul Augustine, D.V.M., of the Malta Veterinary Hospital in Malta, Illinois

1. Degrees: B.S. Animal Science 2001, DVM 2007
2. Experience: Three years as a practicing mixed animal veterinarian
3. Authority granted by Northern Illinois University pursuant to a written contract for services.
4. Responsibilities:
  - (a) Veterinary services to be provided on an "as needed" basis.
  - (b) Advise Dr. Oswald of the condition of the animals and any treatments provided.

C. The Institutional Animal Care and Use Committee (IACUC) at this Institution is properly appointed in accordance with the 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 Chief Executive Officer (C.E.O.), the University President, appoints the members of the IACUC. The IACUC consists of at least five members, and its membership meets the composition requirements set forth in the PHS Policy, Section IV.A.3.b. Attached is a list of the chairperson and members of the IACUC and their names, degrees, position titles, specialties and institutional affiliations (**Attachment 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 reviews are as follows: The IACUC will meet at least once every six months to review the Institutional Program for Humane Care and Use of Animals. The Committee uses the Guide and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the review. To facilitate the evaluation, the Committee will use a checklist based on the Sample OLAW Program and Facility Review Checklist from the OLAW website. The evaluation will include, but not necessarily be limited to, a review of the following: a) IACUC Membership and Functions; b) IACUC Records and Reporting Requirements; c) Husbandry and Veterinary Care (all aspects); d) Personnel Qualifications (Experience and Training); e) Occupational Health and Safety, and f) Disaster Planning. In addition, the evaluation will include a review of the Institution's PHS Assurance. If program deficiencies are noted during the review, they will be categorized as significant or minor and the Committee will develop a reasonable and specific plan and schedule for correcting each deficiency. A significant deficiency is one that is or may be a threat to the health and safety of the animals. No member will be involuntarily excluded from participation in any portion of the reviews.

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: At least once every six months at least two (2) members of the IACUC will visit all of the institute's facilities where animals are housed or used, i.e., holding areas, animal care support areas, storage areas, procedure areas, and laboratories where animal manipulations are conducted. Equipment used for transporting of the animals is also inspected. The Committee uses the Guide and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the review. To facilitate the evaluation, the Committee will use a checklist based on the Sample OLAW Program and Facility Review Checklist from the OLAW website. If deficiencies are noted during the inspection, they will be categorized as significant or minor and the Committee will develop a reasonable and specific plan and schedule for correcting each deficiency. A significant deficiency is one that is or may be a threat to the health and safety of the animals. No member will be involuntarily excluded for participation in any portion of the inspections.

3. Prepare reports of the IACUC evaluations as set forth in the 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: Individual IACUC members will convey their observations to the IACUC Chairperson who, in turn, will draft

the reports using the sample OLAW Semiannual Report to the Institutional Official format from the OLAW website. The reports will contain a description of the nature and extent of the institution's adherence to the Guide and the PHS Policy, identify specifically any departures from the provisions of the Guide and the PHS Policy, and state the reasons for each departure. The reports will distinguish significant deficiencies from minor deficiencies. If program or facility deficiencies are noted, the reports will contain a reasonable and specific plan and schedule for correcting each deficiency. If some or all of the institution's facilities are accredited by AAALAC International the report will identify those facilities as such. Copies of the draft reports will be reviewed, revised as appropriate, and approved by the Committee. The final reports will be signed by a majority of the IACUC members and will include any minority opinions. If there are no minority opinions, the reports will reflect such. The completed reports will be submitted to the Institutional Official within 60 days following the evaluation.

4. Review concerns involving the care and use of animals at the institution. The IACUC procedures for reviewing concerns are as follows: Any individual may report concerns to the IO, IACUC Chair, Institutional Veterinarian, or any member of the IACUC. Notices are located in the animal facilities advising individuals how and where to report animal welfare concerns and stating that any individual who, in good faith, reports an animal welfare concern will be protected against reprisals. All reported concerns will be brought to the attention of the full Committee. If necessary the IACUC Chair will convene a meeting to discuss, investigate, and address any reported concern. Reported concerns and all associated IACUC actions will be recorded in the IACUC meeting minutes. The Committee will report such actions to the IO and, as warranted, to OLAW.

5. Make written recommendations to the Institutional Official regarding any aspect of the institution's animal program, facilities, or personnel training. The procedures for making recommendations to the Institutional Official are as follows: Recommendations regarding any aspects of the institution's animal program or facilities are discussed and developed by the Committee. The Committee's recommendations are included in the IACUC Meeting minutes or a report of the IACUC's evaluations or a separate letter. Such documents are approved by the Committee and then submitted to the IO.

6. In accord with the PHS Policy IV.C. 1-3, the IACUC shall 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 activities involving animals (protocols) are as follows: Prior to the review, each IACUC member will be provided with written descriptions of activities (protocols) that involve the care and use of animals and any member of the IACUC may obtain, upon request, full committee review of those protocols. If full-committee review (FCR) is not requested, at least one member of the IACUC, designated by the chairperson and qualified to conduct the review, may be assigned to review those protocols and have the authority to approve, require modifications in (to secure approval) or request full committee review of those protocols. Other IACUC members may provide the designated reviewer(s) with comments and/or suggestions for the reviewer's consideration only. That is, concurrence to use the DMR method may not be conditioned. If multiple designated reviewers are used, their decisions must be unanimous; if not, the protocol will be referred for FCR. If FCR is requested, approval of those protocols may be granted only after review at a convened

meeting of a quorum of the IACUC and with the approval vote of a majority of the quorum present.

Generally, the FCR method will be used. However, should a situation warrant it, the institution or IACUC may want to use the designated-member review (DMR) method. In such instances, the protocol will be distributed to all IACUC members to allow all members the opportunity to call for FCR; records of polling of members to obtain concurrence to use the DMR method, and approval of protocols via DMR are maintained and recorded in the minutes of the next convened IACUC meeting.

Required modifications Subsequent to FCR. When the IACUC requires modifications (to secure approval), of a protocol, such modifications are reviewed as follows:

1. FCR or DMR following the procedures delineated above.
2. DMR if approved unanimously by all members at the meeting at which the required modifications are delineated AND if the entire current Committee has previously approved, in advance and in writing, that the quorum of members present at a convened meeting may decide by unanimous vote to use DMR subsequent to FCR when modification is needed to secure approval. However, any member of the IACUC may, at any time, request to see the revised protocol and/or request FCR of the protocol.
3. Minor modifications of an administrative nature, i.e., typographical or grammatical errors, required signatures, etc. may be confirmed by IACUC administrative/support personnel.

No member may participate in the IACUC review or approval of a protocol in which the member has a conflicting interest (e.g., is personally involved in the project) except to provide information requested by the IACUC; nor may a member who has a conflicting interest contribute to the constitution of a quorum. The IACUC may invite consultants to assist in reviewing complex issues. Consultants may not approve or withhold approval of an activity or vote with the IACUC unless they are also members of the IACUC.

**Note:** Any use of telecommunications will be in accordance with NIH Notice NOT-OD-06-052 of March 24<sup>th</sup>, 2006, entitled Guidance on Use of Telecommunications for IACUC Meetings under the PHS Policy on Humane Care and Use of Laboratory Animals.

In order to approve proposed protocols or proposed significant changes in ongoing protocols, the IACUC shall conduct a review of those components related to the care and use of animals and determine that the proposed protocols are in accordance with this Policy. In making this determination, the IACUC shall confirm that the protocol will be conducted in accordance with the Animal Welfare Act insofar as it applies to the activity, and that the protocol is consistent with the Guide unless acceptable justification for a departure is presented. Further, the IACUC shall determine that the protocol conforms to the institution's PHS Assurance and meets the following requirements:

- a. Procedures with animals will avoid or minimize discomfort, distress, and pain to the animals, consistent with sound research design.

- b. Procedures that may cause more than momentary or slight pain or distress to the animals will be performed with appropriate sedation, analgesia, or anesthesia, unless the procedure is justified for scientific reasons in writing by the investigator.
- c. Animals that would otherwise experience severe or chronic pain or distress that cannot be relieved will be painlessly killed at the end of the procedure or, if appropriate, during the procedure.
- d. The living conditions of animals will be appropriate for their species and contribute to their health and comfort. The housing, feeding, and nonmedical care of the animals will be directed by a veterinarian or other scientist trained and experienced in the proper care, handling, and use of the species being maintained or studied.
- e. Medical care for animals will be available and provided as necessary by a qualified veterinarian.
- f. Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures.
- g. Methods of euthanasia used will be consistent with the current recommendations of the American Veterinary Medical Association (AVMA) Panel Guidelines on Euthanasia, unless a deviation is justified for scientific reasons in writing by the investigator.

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 as follows: Review and approval of significant changes are handled in the same manner as new protocols. See Paragraph III.D.6. above.

Examples of changes considered to be significant include, but are not limited to, changes:

- a. in the objectives of a study
- b. from non survival to survival surgery;
- c. resulting in greater discomfort or in a greater degree of invasiveness;
- d. in the species or in approximate number of animals used;
- e. in Principal Investigator;
- f. in anesthetic agent(s) or the use or withholding of analgesics;
- g. in the method of euthanasia; and
- h. in the duration, frequency, or number of procedures performed on an animal

8. Notify investigators and the institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval as set forth in the PHS Policy at IV.C.4. The IACUC procedures to notify investigators and the institution of its decisions regarding protocol review are as follows: Principal Investigators are notified either by e-mail or letter from the IACUC Chairperson. The Institutional Official is notified by receiving a copy of the PI's notification letter and/or a copy of the IACUC meeting minutes.

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

The IACUC procedures for conducting continuing reviews are as follows: All ongoing activities are monitored continuously by the animal care and use staff and the associated protocols are reviewed by a member or members of the IACUC at least annually. Annual protocol reviews are recorded in the IACUC meeting minutes. The IACUC meeting minutes are reviewed and approved by the Committee.

Protocols are approved for a maximum of 36 months. That is, all protocols expire no later than the three-year anniversary of the initial IACUC review. If activities will continue beyond the expiration date, a new protocol must be submitted, reviewed, and approved as described in Paragraph III.D.6. above.

10. Be authorized to suspend an activity involving animals as set forth in the PHS Policy at IV.C.6. The IACUC procedures for suspending an ongoing activity are as follows: 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, or any other institutional intervention results in the temporary or permanent suspension of an activity due to noncompliance with the Policy, Animal Welfare Act, the *Guide*, or the institution's Assurance, the Institutional Official in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW.

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

1. The NIU Biosafety Specialist from the Department of Environmental Health and Safety is responsible for the overall management of the Occupational Health and Safety Program for personnel involved in the care and/or use of laboratory animals.

2. The program covers all personnel involved in laboratory animal care and/or use at Northern Illinois University. Participation in this program is mandatory. All personnel who have contact with animals are required to review the Occupational Health Program policy (posted on the NIU IACUC website) or attend an OH&S training session and submit a signed copy of the NIU "Occupational Health Program Acknowledgment" to the NIU Office of Research Compliance at least annually.

3. The program is based on hazard identification, risk assessment, and developing and implementing measures to minimize identified hazards and risks. In addition to assessing hazards and risks for the animal facility, each IACUC protocol is reviewed for specific hazards and risks as a part of the IACUC review.

4. Based on an assessment of the hazards and risks involved with the species used at NIU, annual physicals are suggested but not required by this program. NIU Health Services is available to students. If conditions arise in which a current employee needs additional health evaluation, the NIU Department of Environmental Health and Safety will initiate and coordinate the necessary occupational health services.

5. The most common hazard that has been identified is allergy to rodents caused by exposure to dander, urine, saliva, and fecal matter.

6. To reduce the risks of developing animal allergies, all animal areas are well ventilated to prevent buildup of particles in the air. Personnel working with animals wear gloves and lab coats. Cages are changed frequently. N95 masks are worn when performing cage changing and/or handling dirty bedding. Anyone who develops significant symptoms is advised to obtain medical advice.

7. Although there are no required vaccinations, immunization against tetanus is recommended every ten years, or if an injury occurs which could cause tetanus in an individual where more than five years has elapsed since the last immunization. Tetanus immunizations for students are available through University Health Services. For employees of NIU vaccinations are available through the DeKalb County Health Department. Environmental Health and Safety will set up an appointment for tetanus immunization for employees.

8. Persons with conditions which put them at additional risk, such as pregnancy, illness or decreased immunocompetence are advised during training to consult their attending physician and inform the physician about the type of work performed and the animals being used. Any suggested accommodations should be forwarded to the supervisor/principle investigator for implementation. Additional assistance is available through Environmental Health and Safety if necessary.

9. In situations where housekeeping, maintenance, or other non-animal care and use personnel must access the animal rooms, they are briefed on appropriate precautions and provided any appropriate PPE and are permitted in the area for a limited amount of time. A member of the animal care staff will be available for escort if needed. If there is extensive or prolonged work to be done the animals are removed prior to the individuals being allowed into the room.

10. In the event of bites, scratches, illness or injury, supervisors and/or the principal investigator should be notified. In the case of a minor injury, University Health Services is available during regular business hours. Kishwaukee Community Hospital Emergency Room is available 24 hours daily. In the event of a serious injury, medical assistance should be sought immediately. In the case of a medical emergency, a call will be made to 911. Patients should NOT be taken to University Health Services for medical emergencies.

11. In the event of an illness or injury, supervisors and/or the principal investigator will complete an accident/incident report and send it to Environmental Health and Safety. The report includes the name of the injured person, his/her contact information, status (student, faculty, staff, or visitor), a description of the accident/incident, the response and medical treatment, if any, and any follow up or corrective action.

F. 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 (**Attachment B**).

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

**IACUC Training** - Each IACUC member will be provided with a copy of the following:

- 1) The PHS Policy for the Humane Care and Use of Laboratory Animals;
- 2) The National Research Council (NRC) Guide for the Care and Use of Laboratory Animals;
- 3) The ARENA/OLAW IACUC Guidebook;
- 4) The AVMA Guidelines on Euthanasia;
- 5) A copy of this Assurance.

All members of the IACUC will receive one-on-one training from a standing member of the IACUC or a member of the Office of Research Compliance which covers the policies and laws governing the use of animals in laboratory research and the responsibilities of the IACUC. Attendance at an IACUC 101, 102, IACUC Advanced, PRIM&R/ARENA IACUC meeting or similar course is encouraged. All IACUC members are required to attend a training seminar at least annually.

**Animal Care and Use Personnel** – The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows: All personnel performing procedures using animals must be identified in the Institutional Animal Care and Use Protocol. A description of each individual's qualifications, experience and/or training with the specific animal species, model and procedures must be provided for IACUC review. Any person needing additional protocol-specific training will be identified during the review process and such required training will be a condition of approval of the protocol.

Seminars or workshops are conducted at least annually by the IACUC Chair, the consulting laboratory animal veterinarian, or other invited speakers on various topics related to the use of animals in research and teaching. Topics covered include:

1. Humane methods of animal maintenance and experimentation, including:
  - a. The basic needs of each species of animal;
  - b. Proper handling and care for the various species of animals used by the facility;
  - c. Proper pre-procedural and post-procedural care of animals; and
  - d. Aseptic surgical methods and procedures;
2. The concept, availability, and use of research or testing methods that limit the use of animals or minimize animal distress;
3. Proper use of anesthetics, analgesics, and tranquilizers for any species of animals used by the facility;
4. Methods whereby deficiencies in animal care and treatment are reported, including deficiencies in animal care and treatment reported by any employee of the facility. No facility employee, Committee member, or laboratory personnel shall be discriminated against or be subject to any reprisal for reporting violations of any regulation or standards under the Act;

5. Utilization of services (e.g., National Agricultural Library, National Library of Medicine) available to provide information:
  - a. On appropriate methods of animal care and use;
  - b. On alternatives to the use of live animals in research;
  - c. That could prevent unintended and unnecessary duplication of research involving animals; and
  - d. Regarding the intent and requirements of the Animal Welfare Act and USDA-APHIS Regulations

All NIU personnel who work with animals are required to attend a training session at least once a year or to view the DVD of the training session. Attendance or viewing of the DVD is recorded by the Office of Research Compliance.

Properly trained individual researchers/primary investigators train graduate students and other personnel who have contact with animals in the methods for handling the animals and conducting the research techniques on a continuing basis. The consulting laboratory animal veterinarian is available at all reasonable times for consultations with NIU personnel via telephone, electronic mail, or in person.

On-line training may be used and accepted in lieu of in-house training. Any use of on-line training to fulfill training requirements must be approved by the IACUC. Approval and completion of on-line training will be documented.

Specialized Training: Training in experimental methods, i.e., specific animal manipulations and techniques and in the care of new and nontraditional laboratory animal species, will be conducted based on the types of research being conducted and the species being used at the institution.

Note: For investigators transferring from other facilities at which they have received similar training, verification of previous training may be accepted in lieu of some Institutional required training. Acceptance of previous training in lieu of the Institution's training is solely at the IACUC's discretion.

#### IV. INSTITUTIONAL PROGRAM EVALUATION AND ACCREDITATION

All of this institution's programs and facilities ( including satellite facilities) for activities involving animals have been evaluated by the IACUC within the past six months and will be reevaluated by the IACUC at least once every six months thereafter, in accord with the PHS Policy IV.B.1- 2. Reports have been and will continue to be prepared in accord with the 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 "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, the Vice President for Research and 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.

This Institution is Category Two (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 (**Attachment C**).

## 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 the Institutional Official, the Vice President for Research and 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. This institution's reporting period is January 1 – December 31. The IACUC, through the Institutional Official, will submit an annual report to OLAW on January 31 of each year. The report will include:

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 change in the 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 Institutional Official, the Vice President for Research and Graduate Studies.

B. The IACUC, through the Institutional Official, will promptly provide OLAW with a full explanation of the circumstances and actions taken with respect to:

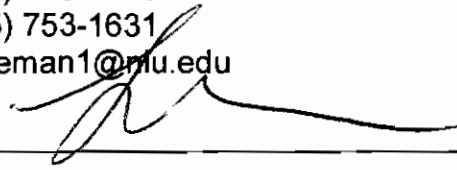
1. Any serious or continuing noncompliance with the PHS Policy.
2. Any serious deviations from the provisions of the "Guide."
3. Any suspension of an activity by the IACUC.

C. Reports filed under VI.A. and VI.B of this document shall include any minority views filed by members of the IACUC.

VII. INSTITUTIONAL ENDORSEMENT AND PHS APPROVAL

A. Authorized Institutional Official

Name: Lisa C. Freeman, DVM, PhD  
Title: Vice President for Research and Graduate Studies  
Institution: Northern Illinois University  
Address: Division of Research and Graduate Studies  
301 Lowden Hall  
Northern Illinois University  
DeKalb, IL 60115  
Phone: (815) 753-1883  
Fax: (815) 753-1631  
E-mail: Lfreeman1@niu.edu

Signature:  \_\_\_\_\_ Date: Jan 18 2011

B. PHS Approving Official

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Address: Office of Laboratory Animal Welfare  
Division of Assurances  
National Institutes of Health  
RKL1, Suite 1050-MSC 7982  
6570 Rockledge Dr.  
Bethesda, MD 20892-7982  
Phone: (301) 496-7163  
Fax: (301) 402-7065  
E-mail: olawdoa@mail.nih.gov

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

C. Effective Date of Assurance: \_\_\_\_\_

D. Expiration Date of Assurance: \_\_\_\_\_

**Attachment A**

**MEMBERSHIP OF THE INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE August 28, 2010**

NAME OF INSTITUTION: Northern Illinois University ASSURANCE NUMBER: A3166-01

Chairperson Name, Title, and Degree/Credentials		Business Address, Phone, Fax, and Email of Chairperson		
Name: Richard B. King	Address: Department of Biological Sciences Northern Illinois University DeKalb, IL 60115			
Title: Professor				
Degree/credentials: PhD	Phone: 815-753-7833	Fax: 815-753-0461	Email: rbking@niu.edu	
Name of Member/Code*	Degree/Credentials	Position Title	PHS Policy Membership Requirements**	
Angela Grippo	PhD	Asst. Professor	Scientist	
Michele Crase	M.P.H., B.S.	Biosafety Specialist, Office of Environmental Health and Safety	Non-scientist	
Kenneth Gasser	PhD	Associate Professor	Scientist	
Patricia Wallace	PhD	Research Associate	Scientist	
Jeffrey P. Oswald	D.V.M., DACLAM	Consulting Lab Animal Veterinarian	Veterinarian	
Jon Bockman	B.S.	Asst. Director, Oaken Acres Wildlife Refuge <sup>1</sup>	Non-scientist, non-affiliated	
Douglas Wallace	PhD	Assoc. Professor	Scientist	

<sup>1</sup>Mr. Bockman is an administrator. He is not involved in the care of animals involved in research nor is he involved in animal research (wildlife or any other); he is not an animal user. He represents the general community.

## Attachment B

### FACILITY AND SPECIES INVENTORY

Date: August 28, 2010

NAME OF INSTITUTION: Northern Illinois University

ASSURANCE NUMBER: A3166-01

Laboratory, Unit, or Building*	Gross Square Feet	Species Housed in Unit	Approx. Avg. Daily Inventory
Department of Psychology Psychology/Computer Science Building	2825 sq. feet	Rats <sup>1</sup>	500
		Prairie voles	220
Department of Biological Sciences Montgomery Hall	2223 sq. feet	Rats <sup>1</sup>	150
		Plains garter snakes	12
		African clawed frog	8
		Leopard frog	30
		Chickens	300
		Northern bobwhite	200
		Eastern river cooter turtle	4

<sup>1</sup> Mice and Rats means mice of the genus *Mus* and rats of the genus *Rattus* that are purposely bred for research.

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

## Attachment C

To: Lisa C. Freeman, DVM, PhD  
Vice President for Research and Graduate Studies  
Institutional Official for Animal Care and Use

From: Institutional Animal Care and Use Committee

Subject: Report of the IACUC's Evaluations  
Animal Care and Use Program Review and Facilities Inspection

Date: November 18, 2010

This represents the semiannual report of the Institutional Animal Care and Use Committee (IACUC), as required by the PHS Policy on Humane Care and Use of Laboratory and as a condition of this institution's Animal Welfare Assurance on file with the Office of Laboratory Animal Welfare (OLAW), and USDA Animal Welfare Regulations, 9 CFR Chapter 1, subchapter A, as applicable.

### Evaluation of the Animal Care and Use Program

1. The IACUC conducted its semiannual evaluation of the institution's animal care and use program on September 29, 2010 using the *Guide for the Care and Use of Laboratory Animals (Guide)*, and, as applicable, 9 CFR Chapter 1, 2.31. The Committee used the NRC Guide for the Care and Use of Laboratory Animals and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the review. To facilitate the evaluation, the Committee used a checklist based on the Sample OLAW Program and Facility Review Checklist from the OLAW website. The evaluation included, but was not necessarily be limited to, a review of the following: a) IACUC Membership and Functions; b) IACUC Records and Reporting Requirements; c) Husbandry and Veterinary Care (all aspects); d) Personnel Qualifications (Experience and Training); e) Occupational Health and Safety; and f) disaster planning. In addition, the evaluation included a review of the Institution's PHS Assurance. No member was involuntarily excluded from participating in any portion of the review.

### 2. Accreditation.

The Institution's Program for Laboratory Animal Care and Use is not accredited by the Association for the Assessment and Accreditation of Laboratory Animal Care International (AAALAC-Int'l).

### 3. IACUC Approved Departures from the NRC Guide.

There are currently no IACUC approved departures from the Guide.

### 4. Program Deficiencies.

No deficiencies in the Animal Care and Use Program were identified. All aspects of the program are consistent with the PHS Policy, the Guide, and applicable Animal Welfare Regulations.

## Inspection of the Animal Facilities

1. The IACUC inspected the animal facilities on September 23 and September 29, 2010 using the *Guide*, and, as applicable, 9 CFR Chapter I, 2.31.

Members of the Committee visited all of the institute's facilities where animals are housed or used, i.e., holding areas, animal care support areas, storage areas, procedure areas, and laboratories where animal manipulations are performed. Equipment used for transporting of the animals was also inspected. The Committee used the NRC Guide and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the inspection. To facilitate the evaluation, the Committee used a checklist based on the Sample OLAW Program and Facility Review Checklist from the OLAW website. No member was involuntarily excluded from participating in any portion of the inspection.

All animal facilities at Northern Illinois University are housed on the DeKalb campus, either in the Psychology/Math building or in Montgomery Hall. There were no deficiencies identified in the Psychology building animal facilities. Several minor deficiencies were identified in the Biology facility relating to chipping or peeling paint. This is an ongoing problem in the Biology facility which staff and physical plant employees work to resolve as needed.

### 2. Facility Deficiencies.

Attached is a list of deficiencies. As required, the Committee categorized them as significant or minor (a significant deficiency is one that is or may be a threat to the health and safety of the animals or personnel) and developed a reasonable and specific plan and schedule for correcting each deficiency. All other aspects of the program are consistent with the PHS Policy, the Guide, and applicable Animal Welfare Regulations.

### Minority Views

There are no minority views.

Report of the IACUC's Evaluations (program review and facility inspection), November 18, 2010

Signatures

Name:	Signature and Date:	Minority Opinion Y/N
<u>Richard B. King</u>	<u>Richard B. King</u>	N
<u>Jeffrey P. Oswald</u>	<u>Jeffrey P. Oswald</u>	N
<u>Jon Bockman</u>	<u>[Signature]</u>	N
<u>Kenneth Gasser</u>	<u>Kenneth W. Gasser</u>	N
<u>Angela P. Grippo</u>	<u>[Signature]</u>	N
<u>Douglas Wallace</u>	<u>[Signature]</u>	N
<u>Patricia Wallace</u>	<u>Patricia Wallace</u>	N
<u>Michele Crase</u>	<u>Michele M. Crase</u>	N
<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>

SEMIANNUAL PROGRAM REVIEW & FACILITY INSPECTION REPORT  
PLAN & SCHEDULE FOR CORRECTING DEFICIENCIES

DATE: NOVEMBER 18, 2010

MEMBERS IN ATTENDANCE:

Deficiency Category (S or M)	*	Location	Deficiency & Plan for Correction	Responsible Party	Correction Schedule & Interim Status	Date Complete
M	X	MO 511C	Chipped paint on floor. Will send work order to Physical Plant to have floor scraped and sealed or repainted.	Rich Becker	Repairs to be completed before end of Fall 10 semester.	10/21/10
M	X	MO508	Paint peeling on ceiling. Will send work order to Physical Plant to have ceiling scraped and repainted.	Rich Becker	Repairs to be completed before end of Fall 10 semester.	10/21/10
M	X	MO501	Paint peeling/chipping on floor and ceiling. Animals not currently housed in this room; room condition is being monitored.	Rich Becker	No action needed at this time; situation being monitored	
M	X	MO511	Paint chipping on floor and ceiling. Animals not currently housed in this room; room condition is being monitored	Rich Becker	No action needed at this time; situation being monitored	
M	X	MO203	Peeling paint on ductwork	M. Devitt	Staff continues to remove paint as it becomes loose.	
M	X	MO504	Minor roof leak, paint chipping on ceiling. Animals not currently housed in this room.	Rich Becker	Physical plant will be notified	

S = significant deficiency, M = minor deficiency (a significant deficiency is or may be a threat to animal health or safety)