

# **NORTHERN ILLINOIS UNIVERSITY ASSURANCE OF COMPLIANCE WITH PUBLIC HEALTH SERVICE POLICY ON HUMANE CARE AND USE OF LABORATORY ANIMALS**

Northern Illinois University, hereinafter referred to as institution, hereby gives assurance that it will comply with the Public Health Service Policy on Humane Care and Use of Laboratory Animals, hereinafter referred to as PHS Policy.

## **I. APPLICABILITY**

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

"Institution" includes the following branches and major components of Northern Illinois University: Department of Biological Sciences, Department of Psychology, and all other units within the University that may become engaged in such activities.

## **II. INSTITUTIONAL POLICY**

A. This institution will comply with all applicable provisions of the Animal Welfare Act and other Federal statutes and regulations relating to animals.

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

C. This institution acknowledges and accepts responsibility for the care and use of animals involved in activities covered by this Assurance. As partial fulfillment of this responsibility, this institution will make a reasonable effort to ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with this Assurance as well as all other applicable laws and regulations pertaining to animal care and use.

D. This institution has established and will maintain a program for activities involving animals in accordance with the Guide for the Care and Use of Laboratory Animals (Guide).

### III. INSTITUTIONAL PROGRAM FOR ANIMAL CARE AND USE

A. The lines of authority and responsibility for administering the program and ensuring compliance with this Policy are contained in APPENDIX A. 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 Rathindra N. Bose, Vice President for Research and Dean of the Graduate School, who serves as the Institutional official. In addition, a full-time supportive professional staff position, entitled Compliance Coordinator, has been staffed to act as a liaison between the Institutional Official and the IACUC, and assist with its administrative duties.

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., of the Rush University Comparative Research Center, Rush-Presbyterian-St. Luke's Medical Center, Chicago, Illinois.

1. Qualifications: See attached curriculum vitae. (APPENDIX B)
2. Authority granted by Northern Illinois University pursuant to written contract for services. (See APPENDIX C). These services require approximately 15 hours per month, or 20% of Dr. Oswald's time.
3. 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. George L. Balster, D.V.M.

1. Experience: 22 years as Hospital Director at Bethany Animal Hospital, 2400 Bethany Rd., Sycamore, IL 60178; 36 years of private practice of veterinary medicine; Doctor of Veterinary Medicine from Iowa State University in 1970.
2. Authority granted by Northern Illinois University pursuant to contract for services.
3. 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 (See APPENDIX D).

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

D. The IACUC will:

1. Review at least once every six months the institution's program for humane care and use of animals, using the Guide as a basis for evaluation. The IACUC procedures for conducting semiannual program evaluations are: All of the IACUC members review the overall IACUC program. The IACUC makes written recommendations to the Institutional Official regarding any aspect of the institution's animal program, facilities, or personnel training.

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: Four IACUC members volunteer to conduct the lab inspections – two inspect the biology facility and two inspect the psychology facility. All of the IACUC members review the results of the inspections. The IACUC makes written recommendations to the Institutional Official regarding any aspect of the institution's animal program, facilities, or personnel training.

3. Prepare reports of the IACUC evaluations as set forth in the PHS Policy at IV.B.3. and submit the reports to [*insert name or title of the Institutional Official signing the Assurance*]. The IACUC process for developing reports and submitting them to the Institutional Official is: A final report (including recommendations) on the results of the inspections and program review is written up by staff in the Office of Research Compliance. The final report is signed by all of the IACUC members and is given to the Institutional Official along with a letter from the IACUC Chair detailing the findings.

4. Review concerns involving the care and use of animals at the institution. The IACUC procedures for reviewing concerns are: Concerns about the care and use of animals at NIU or noncompliance may be brought to the attention of the Vice President for Research, the Chair of the IACUC, the Attending Veterinarian, or the Office of Research Compliance (ORC). The Vice President for Research will be notified when the concern does not originate through his/her office. The concerns will be referred to the IACUC for review and recommendations. The Vice President for Research will determine appropriate corrective action.

No members of the university community (e.g., employees, students, or IACUC members) may be discriminated against or subjected to any reprisal for reporting violations or noncompliance with institutional animal care and use policies. Where possible, all reports of such activities will remain confidential.

5. Make written recommendations to Rathindra N. Bose, 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:

Through the Office of Research Compliance, the IACUC members as a whole agree on written recommendations to be made to the Institutional Official. Correspondence with the Institutional Official comes from the IACUC Chair but with approval from all of the members.

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

An "Application for Approval" and pertinent documentation will first be completed by all researchers and/or instructors who intend to utilize animals in their projects and submitted to the Office of Research Compliance. The investigator indicates on the application form whether the animal use is for laboratory research, field research, or instructional purposes. If the investigator is seeking external funding for the research project, a copy of the animal use procedure section of the grant application is appended; a copy of the section on "Vertebrate Animals" from a PHS grant proposal, if applicable, is also required.

These completed applications and proposals will then be submitted to the IACUC for approval, to require modifications to secure approval, or to withhold approval of those sections of applications or proposals related to the care and use of animals, as specified in PHS Policy IV.C. A simple majority quorum is required at a convened meeting in order for votes to be valid. Both new research projects and ongoing, previously approved projects with significant changes will be reviewed in this manner annually. Researchers with projects which have continued for a year beyond the last review, without changes, or projects with minor changes, can use the abbreviated "Continuation Application."

Expedited review of applications at the discretion of the IACUC Chair is available in extraordinary situations when review is required before the next scheduled IACUC meeting. The procedure for expedited review involves the circulation, to all members, of a copy of the full proposal, with a review form. The review form asks each member to indicate approval as submitted, disapproval, the need for modifications, or the need for review at a full convened meeting. A majority of the members must vote for approval in order for the project to be granted expedited approval. In any case, the project is placed on the next meeting agenda for ratification, at a convened meeting, of the expedited approval.

The results of the IACUC review of the Application will be communicated to the principal investigator and other interested parties in writing. Applications and proposals, including the written decision of the committee, will be kept on file in the Office of Research Compliance for a period of at least three years from the time the project ends.

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:

Proposed significant changes in previously approved protocols are submitted to the IACUC for review at a full convened meeting. The results of the IACUC review of the Amendment will be communicated to the principal investigator and other interested parties in writing.

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:

The results of the IACUC review of any new, continuing, or amended protocols will be communicated to the principal investigator and other interested parties in writing. Applications and proposals, including the written decision of the committee, will be kept on file in the Office of Research Compliance for a period of at least three years from the time the project ends.

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

Principal investigators are required to submit a continuation form to the IACUC shortly before the original protocol approval expires. The continuation form provides information about minor changes, animal use in the past year, and any problems that arose. Requests for continuation are reviewed by the full convened IACUC, and decisions made by the IACUC are communicated to the principal investigator and any interested parties. Protocols that have been active for three years must be resubmitted in their entirety as new Applications.

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:

Decisions to suspend animal research activities are made by the full convened IACUC and communicated to the principal investigator through the IACUC Chair. The communication includes an explanation of the suspension and the changes that are needed in order for the project to be re-activated.

E. The individual(s) authorized by this institution to verify IACUC approval of those sections of applications and proposals related to the care and use of animals are Richard B. King, PhD, IACUC Chair, or another IACUC member designated by the Chair.

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

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

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

- (1) 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 animal welfare issues, regulations, animal husbandry, anesthesia, euthanasia, sanitation, and others. All NIU personnel who work with animals are required to attend at least once per year. Attendance is recorded and updated in a database kept in the Office of Research Compliance.
- (2) Special training sessions may be arranged at the request of the IACUC chair.
- (3) Individual researchers train graduate students and other personnel who have contact with animals in handling and research techniques on a continuing basis.
- (4) The consulting laboratory animal veterinarian is available at all reasonable times for consultations with NIU personnel via telephone, electronic mail, or in person.

#### IV. INSTITUTIONAL STATUS

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

All IACUC semiannual reports will include a description of the nature and extent of this institution's adherence to the Guide. Any departures from the Guide will be identified specifically and reasons for each departure will be stated. Reports will distinguish significant deficiencies from minor deficiencies. Where program or facility deficiencies are noted, reports will contain a reasonable and specific plan and schedule for correcting each deficiency. Semiannual reports of the IACUC evaluations will be submitted to the Institutional Official, Rathindra N. Bose. Semiannual reports of IACUC evaluations will be maintained by this institution and made available to the Office of Laboratory Animal Welfare (OLAW) upon request. The most recent semiannual report of the IACUC is attached (APPENDIX F).

## 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, Rathindra N. Bose.
5. Records of accrediting body determinations.

B. This institution will maintain records that relate directly to applications, proposals, and proposed changes in ongoing activities reviewed and approved by the IACUC for the duration of the activity and for an additional three years after completion of the activity.

C. All records shall be accessible for inspection and copying by authorized OLAW or other PHS representatives at reasonable times and in a reasonable manner.

## VI. REPORTING REQUIREMENTS

A. At least once every 12 months, the IACUC, through the Institutional Official, will report in writing to OLAW:

1. Any change in the status of the institution (*e.g., if the institution becomes accredited by AAALAC or AAALAC accreditation is revoked*), any change in the description of the institution's program for animal care and use as described in this Assurance, or any changes in IACUC membership. If there are no changes to report, this institution will provide OLAW with written notification that there are no changes.

2. Notification of the dates that the IACUC conducted its semiannual evaluations of the institution's program and facilities (including satellite facilities) and submitted the evaluations to the Institutional Official, Rathindra N. Bose.

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

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

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

## VII. INSTITUTIONAL ENDORSEMENT AND PHS APPROVAL

### A. Authorized Institutional Official

Name: Rathindra, N. Bose, PhD  
Title: Vice President for Research  
and Dean of the Graduate School  
Address: Division of Research and Graduate Studies  
301 Lowden Hall  
Northern Illinois University  
DeKalb, IL 60115  
Phone: (815) 753-1883  
Fax: (815) 753-1631

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

### 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

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

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

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

# MEMBERSHIP OF THE INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

Date:

August 1, 2006

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: Associate 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**
James Corwin	PhD	Professor	Scientist
Michele Crase	M.P.H., B.S.	Biosafety Specialist, Office of Environmental Health and Safety	Non-scientist Non-voting
Kenneth Gasser	PhD	Associate Professor	Scientist
Gail Mitchell	B.A.	Acting Asst. Vice President of Technology Development and Transfer	Non-scientist
Jeffrey P. Oswald	D.V.M.	Consulting Lab Animal Veterinarian	Veterinarian
Kathleen Stelford		Director, Oaken Acres Wildlife Refuge	Non-scientist, non-affiliated
Douglas Wallace	PhD	Assistant Professor	Scientist

\*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.

\*\*PHS Policy Membership Requirements:

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

*Scientist* - a practicing scientist experienced in research involving animals.

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

*Non-affiliated member* - a member who is not affiliated with the institution in any way other than as a member of the IACUC, and who is not a member of the immediate family of a person who is affiliated. This member is expected to represent general community interests in the proper care and use of animals and should not be a laboratory animal user. A consulting attending veterinarian may not be considered non-affiliated.

NOTE: Nonvoting members must be so identified

# FACILITY AND SPECIES INVENTORY

Date: August 1, 2006

NAME OF INSTITUTION: Northern Illinois University

ASSURANCE NUMBER: A3166-01

Laboratory, Unit, or Building*	Gross Square Feet (including service areas)	Species Housed in Unit (use complete common names)	Approx. Average Daily Inventory
Department of Psychology Psychology/Computer Science Building	1,470 sq. feet	Rats	430
Department of Biological Sciences Montgomery Hall	4,216 sq. feet	Rabbits	2
		Rats	150
		Snakes	100
		Frogs	20
		Chickens	300
		Quail	200
		Turtles	4
Mice	20		

\*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.