

**ASSURANCE OF COMPLIANCE  
WITH  
PUBLIC HEALTH SERVICE  
POLICY ON HUMANE CARE AND  
USE OF LABORATORY ANIMALS  
PHS Assurance # A3122-01, renewal approved 6/28/07-6/30/11**

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

**I. APPLICABILITY**

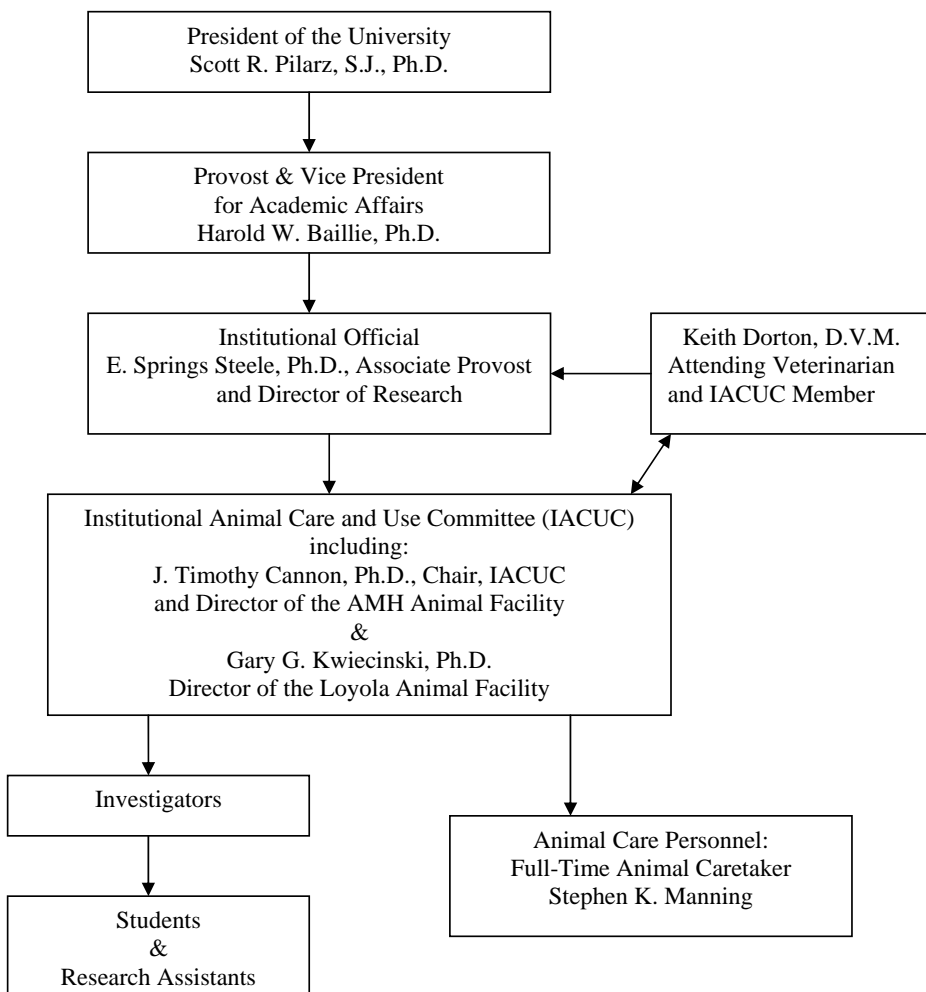
This Assurance is applicable to all research, research training, experimentation, biological testing, and related activities, hereinafter referred to as activities, involving live, vertebrate animals supported by the Public Health Service (PHS) and conducted at this institution, or at another institution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

**II. INSTITUTIONAL POLICY**

- A. This institution will comply with all applicable provisions of the Animal Welfare Act and other Federal statutes and regulations relating to animals.
- B. This institution is guided by the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training."
- C. This institution acknowledges and accepts responsibility for the care and use of animals involved in activities covered by this Assurance. As partial fulfillment of this responsibility, this institution will make a reasonable effort to ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with this Assurance as well as all other applicable laws and regulations pertaining to animal care and use.
- D. This institution has established and will maintain a program for activities involving animals in accordance with the Guide for the Care and Use of Laboratory Animals (Guide).

III. INSTITUTIONAL PROGRAM FOR ANIMAL CARE AND USE

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



B. The qualifications, authority, and percent of time contributed by the veterinarian who participates in the program are:

Dr. Dorton graduated from Kansas State University in 1980 with a B.S. in Life Sciences and earned D.V.M. in 1982 from Kansas State University. He worked with laboratory animals during his 2 years at the Animal Resource facility at Kansas State University. Since 1983 he has been in private practice involving small animal veterinary medicine and surgery.

As a voting member of the IACUC, the Attending Veterinarian, Dr. Keith Dorton, participates in all IACUC functions described in sections III. D. and E of the institution's Animal Welfare Assurance.

He reviews all animal protocols for compliance with the Guide and also provides guidance to the IACUC, investigators and animal caretaker, especially as related to handling, surgical procedures and post-surgical care, anesthesia and analgesia, euthanasia, and animal husbandry. His approval is required for all animal protocols. Dr. Dorton reports directly to the Institutional Official, E. Springs, Steele, Ph.D.

Dr. Dorton conducts scheduled semi-annual inspections of the animal facilities, monitoring compliance with the Guide, and submits reports on these inspections to the IACUC and the Institutional Official, with the assistance of the Office of Research Services. He may conduct unscheduled inspections at any time.

Dr. Dorton is responsible for coordinating with the animal caretaker, facilities directors, and investigators to ensure adequate daily animal husbandry. He is on call in case of animal illness and provides for treatment, as required. Diagnostic testing and necropsy services are arranged through Dr. Dorton's veterinary practice. He also provides certifications of quarantine and vaccination, as required.

Dr. Dorton may submit a request to the IACUC to suspend any activities involving animals at any time. Action requires a majority vote of a quorum of the IACUC present at a convened meeting.

Dr. Dorton spends an estimated 5% of his professional time per year on the University of Scranton's animal care and use program.

Dr. Dorton's veterinary practice, the Scranton Animal Hospital, has veterinarians on call at all times, including weekends and holidays. Emergency numbers are posted in the animal facilities.

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

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 review of all items of the OLAW Sample Semiannual Program Review Checklist by a quorum of the IACUC during one convened IACUC meeting in the fall and one in the spring. A written report will be forwarded to the Institutional Official (Associate Provost and Director of Research).
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 to review all items of the OLAW Sample Semiannual Facility Review Checklist during a walk-through inspection of the facilities by a quorum of the IACUC members, supervised by Keith Dorton, D.V.M., veterinarian. The results of these inspections will be discussed at the first IACUC meeting immediately following the inspection and a written report will be forwarded to the Institutional Official (Associate Provost and Director of Research).

3. Prepare reports of the IACUC evaluations as set forth in the PHS Policy at IV.B.3. and submit the reports to the Associate Provost and Director of Research. The IACUC process for developing reports and submitting them to the Institutional Official is to utilize the forms of the OLAW Sample Format for the Semiannual Report to the Institutional Official, reporting program and facility deficiencies categorized as minor or significant. Actions to be taken, including follow-up to ensure compliance, and a timeline for correction of deficiencies, are included. The report also includes any minority views.
4. Review concerns involving the care and use of animals at the institution. The IACUC procedures for reviewing concerns are:

Concerns involving care and use of animals at the institution may be submitted in writing to the Institutional Official or the IACUC Chair by any person. The Institutional Official will bring concerns to the attention of the IACUC Chair and request an IACUC meeting if deemed necessary. In addition, an IACUC member may request that a meeting be called if that member believes that a situation requiring immediate attention exists. Such requests will be communicated in writing to the Chair of the IACUC. A meeting will be scheduled within 7 days. The IACUC will determine if the complaint has sufficient substance to be further investigated. If further investigation is required, the IACUC will inform the alleged violator of the nature of the complaint and investigative procedures that will be followed. The investigation shall include examination of pertinent documents, animals, procedures, personnel, etc. The IACUC will then notify the Institutional Official of their findings and make recommendations for corrective action.

The IACUC may also discuss non-significant concerns about the institution's animal program, facilities and procedures at regularly scheduled meetings.

Minutes and written recommendations arising from IACUC meetings will be forwarded to the Institutional Official in a timely fashion.

No institution employee, IACUC member, or laboratory personnel shall be discriminated against or be subject to any reprisal for reporting violations of any regulation or standard.

5. Make written recommendations to Dr. E. Springs Steele, Associate Provost and Director of Research, regarding any aspect of the institution's animal program, facilities, or personnel training. The procedures for making recommendations to the Institutional Official are to submit a copy of all reports and minutes of IACUC meetings to the Institutional Official. Special recommendations may be submitted to the Institutional Official by the IACUC Chair or an individual IACUC member (particularly in the case of a minority opinion) in letter form in addition to the reports and minutes. The Institutional Official, as a non-voting member of the IACUC, may attend meetings at any time on his/her own initiative or by invitation.
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:

All animal care and use protocols will be submitted to the Office of Research Services, prepared according to the IACUC-approved format, at least seven (7) days prior to a scheduled IACUC meeting. The protocols will be assigned file numbers and distributed to the IACUC members with the agenda no later than five (5) days before the meeting. Approval will be made after

review by a quorum at the convened meeting, with an approval vote of the majority of the quorum present. The results of the review process will be communicated in writing to the investigator. Notification shall include either 1) approval of the protocol, 2) request that the investigator provide clarification/additions/changes to secure approval, or 3) withholding of approval.

In cases where a need for temporal expediency exists, review may take place via mail, in which case, IACUC members are allowed two weeks to read the protocol and return the IACUC approved response form to the IACUC Chair. On the IACUC approved response form sent out with the protocol, the IACUC member indicates whether 1) a full meeting is requested to review the protocol, or 2) IACUC Chair or designee may act as the designated reviewer for the protocol. The designated reviewer for a protocol may consult with the other IACUC members, including the attending veterinarian, by phone or mail prior to taking any action on the protocol. The designated reviewer will notify the investigator in writing of either 1) approval of the protocol or 2) request that the investigator provide clarification/additions/changes to secure approval. A copy of the notification will be sent to the IACUC chair.

Available to the IACUC and to the principal investigators are consultants in Statistics and Research Design, Galen Baril, Ph.D., Associate Professor of Psychology, The University of Scranton, and in Chemical Safety, David Marx, Ph.D., Professor of Chemistry, The University of Scranton.

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 to review the changes as for initial application as set forth in 6 above.
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:

Within seven (7) days following decision by the IACUC, according to procedure set out above, notification is sent to the investigator with a copy to the IACUC Chair. Determinations of the IACUC are also set forth in the minutes, a copy of which is sent to the Institutional Official.

If the IACUC withholds approval of a protocol, the written notification to the investigator will include a statement 1) of the reasons for the decision and 2) that the investigator will have the opportunity to respond to this decision in writing or in person within 30 days of receipt. Written responses should be submitted to the IACUC Chair who will distribute them to IACUC members. If the investigator desires to address the IACUC in person, a written request to this effect should be delivered to the IACUC Chairperson and a meeting of the committee will be convened within 7 days of the receipt of the request.

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:

A notice indicating that a proposal requires review is sent to the investigator by the Office of Research Services prior to the expiration of each annual period.

Following the first and second years of an ongoing protocol, the investigator must submit the IACUC-approved Protocol Renewal Form to the Chair of the IACUC. If there are no substantive changes to the protocol, the Chair may approve the renewal. Substantive changes must be submitted for review as a new protocol.

Following the third year of an ongoing project, a full proposal will be submitted for review as a new protocol according to procedures set forth in 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:

Keith Dorton, D.V.M., attending veterinarian, or any IACUC member may submit a request to the IACUC to suspend activities involving animals at any time by notifying the IACUC Chair in writing. Dr. Dorton may suspend activities immediately if he deems that animals are endangered. A meeting will be convened within 72 hours of receipt of the request. Action requires a majority vote of a quorum of the IACUC present at a convened meeting. If the IACUC votes to suspend an ongoing activity (in accordance with PHS Policy in IV.C.6.), this decision will be communicated in writing to the investigator and the Institutional Official. The affected investigator will have the opportunity to respond to this decision in writing or in person.

If the IACUC suspends an activity involving animals, the Institutional Official, in consultation with the IACUC will review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW.

- E. The individuals authorized by this institution to verify IACUC approval of those sections of applications and proposals related to the care and use of animals are Eileen Callahan, M.S., Director of Research Services, and E. Springes Steele, Ph.D., Associate Provost and Director of Research.
- F. The occupational health and safety program for personnel who work in laboratory animal facilities or have frequent contact with animals is:

The full-time position of Animal Caretaker requires a pre-employment physical, allergy testing, tetanus and other vaccinations, as necessary, and periodic re-evaluations. Shower and changing facilities are located in the Psychology Department Animal Facilities. The animal caretaker is provided with suitable work clothing, laundry services and other protective equipment, including dust masks, disposable gloves, and safety goggles or face shields.

All students are required to have a physical and tetanus vaccination prior to admission to the institution. Additional vaccinations (e.g. rabies) are required, as necessary. Investigators are expected to obtain tetanus and other vaccinations as necessary. Disposable lab coats, gloves, dust masks, and safety goggles are available for students and faculty.

Signs are posted inside and outside both animal facilities indicating environmental hazards and emergency phone numbers. Both facilities will have appropriate first aid kits which will be inspected and restocked monthly.

The Animal Caretaker is an AALAS certified Assistant Laboratory Animal Technician, and has received training in zoonoses, personal hygiene, occupational hazards and first aid.

Investigators are required to provide basic training to their students on topics such as: zoonoses; personal hygiene; occupational hazards, such as animal bites; and first aid. Students must report any unusual incidents, including accidents, animal bites, and sick or dead animals, to their faculty advisor immediately. Incident Report forms (IACUC approved) are provided in all rooms of the animal facilities. This form must be signed by the person submitting the report and the principal investigator, submitted to the Animal Facilities Director for review and recommendation, and a copy filed in the Office of Research Services.

Safety and occupational health training is included as a component in the annual IACUC Animal Care Workshop. The training will include instructional videotapes and/or presentations by health and safety staff on the topics of zoonoses, personal hygiene, occupational hazards, and first aid. Presentations will be posted on the Animal Care and Use web page of the Office of Research Services.

During normal working hours the institution has a Registered Nurse on duty who can administer first aid and refer personnel to appropriate health care facilities. After normal business hours, accidents are to be reported immediately to Public Safety which will arrange for appropriate care. Accidents, or other health problems, related to the animal facilities must also be reported to the Director of the Animal Facility and Director of Personnel Services. Incident Report Forms are located in each animal facility. There are no required tuberculosis tests or medical examinations.

**Comment:** and Director of Human Resources?

The Assistant Director for Environmental Health of the University Department of Public Safety serves as an ex officio member of the IACUC and provides input to the Committee, the facility directors and the investigators on occupational safety issues.

- 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:

The IACUC maintains and continues to update a collection of written and video materials pertaining to the humane practice of animal care and the appropriate use of research or testing methods that minimize the number of animals required to obtain valid results and minimize animal distress. These materials are housed in the Office of Research Services and the Media Resources Center and are available to all individuals involved in the care and use of animals. In addition, the Animal Care and Use web page of the Office of Research Services includes links to informative websites.

Each animal facility and laboratory at the institution has established a written set of standard operating procedures for animal related activities relevant to that location. This documentation includes provisions for the humane practice of animal care and the appropriate use of research or testing methods that minimize the number of animals required to obtain valid results and minimize animal distress. Any individual who will be working in one of these locations must become familiar with the relevant procedures prior to being allowed to work without the direct supervision of someone with appropriate training. Such familiarity can be gained through a reading of the appropriate documents, through direct demonstration, through educational materials housed in the Office of

Research Services and Media Resources Center (see above) or through combinations of the preceding.

Each student and research assistant/technician working with animals must provide written certification that he/she has: 1) read the approved animal protocol; 2) watched the required training videotapes; 3) familiarized him/herself with the contents of the web-based Tutorial on the Public Health Service Policy on Humane Care and Use of Laboratory Animals; 4) received complete training from the Animal Caretaker in the maintenance procedures of the animal facility; and 5) will receive complete training from the Investigator for relevant procedures prior to being allowed to work directly with animals and will not perform any procedures without supervision until they have been properly trained. Certifications must be signed by the student, the Animal Caretaker, and the Investigator under whose supervision he/she will be working

Annually, the institution holds a seminar for investigators, animal care technicians and students involved in animal research or maintenance. The seminar is used to disseminate information and recent PHS and USDA policy updates regarding animal care and use, testing methods, ethical issues, educational resources available on and off campus, and federal regulations. Participants in the Annual Animal Care and Use Seminar sign in, providing their name, position (e.g. student, staff, or faculty member), and department/institution. This list is to be kept on file in the Office of Research Services.

On a regular basis, updated information is sent to all investigators, including information about appropriate use of research or testing methods that minimize the number of animals required to obtain valid results and minimize animal distress, and newly available resources.

#### 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, E. Springs Steele, Ph.D., Associate Provost and Director of Research. Semiannual reports of IACUC evaluations will be maintained by this institution and made available to the Office of Laboratory Animal Welfare (OLAW) upon request. The most recent semiannual report of the IACUC is attached.

#### V. RECORD KEEPING REQUIREMENTS

A. This institution will maintain for at least three years:

1. A copy of this Assurance and any modifications thereto, as approved by PHS.

2. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations.
  3. Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was given or withheld.
  4. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to E. Springs Steele, Ph.D., Associate Provost and Director of Research
  5. Records of accrediting body determinations.
- B. This institution will maintain records that relate directly to applications, proposals, and proposed changes in ongoing activities reviewed and approved by the IACUC for the duration of the activity and for an additional three years after completion of the activity.
- C. All records shall be accessible for inspection and copying by authorized OLAW or other PHS representatives at reasonable times and in a reasonable manner.

## VI. REPORTING REQUIREMENTS

- A. At least once every 12 months, the IACUC, through 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 E. Springs Steele, Ph.D., Associate Provost and Director of Research.
- 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: E. Springs Steele, Ph.D.  
Title: Associate Provost and Director of Research  
Address: The University of Scranton, Scranton, PA. 18510  
Phone: 570-941-4760  
Fax: 570-941-7520  
Signature:  
Date:

B. PHS Approving Official

Name:  
Title:  
Address:  
Phone:  
Fax:  
Signature:  
Date:

C. Effective Date of Assurance:

D. Expiration Date of Assurance:

## MEMBERSHIP OF THE INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

D:

NAME OF INSTITUTION: The University of Scranton  
 ASSURANCE NUMBER: A3122-01

| Chairperson Name, Title, and Degree/Credentials |  | Business Address, Phone, Fax, and Email of Chair |  |                                      |
|---|--|--|--|--------------------------------------|
| Name:   | J. Timothy Cannon  | Address:   | Department of Psychology<br>The University of Scranton<br>Scranton, PA 18510 |                                      |
| Title:  | Professor of Psychology<br>Director, AMH Animal Facility |  |  |                                      |
| Degree/Credentials:                             | Ph.D.  | Phone:   | 570-941-4266   | Fax: 570-941-7899<br>Email: cannon@s |

| Name of Member*     | Degree/Credentials | Position Title   | PHS Policy<br>Requirement |
|---------------------|--------------------|--|---------------------------|
| Charles Pinches     | Ph.D.              | Professor of Theology                                      | Affiliated Non-Sci        |
| Keith Dorton**      | D.V.M.             | Veterinarian, Scranton Animal Hospital                     | Affiliated - Atter        |
| Timothy Foley       | Ph.D.              | Associate Professor of Chemistry                           | Affiliated - Scien        |
| Gary Kwiecinski     | Ph.D.              | Professor of Biology<br>Director, Loyola Animal Facilities | Affiliated - Scien        |
| Tom McLane          |                    | Landscape Architect  | Non-Affiliated - 1        |
| David E. Marx       | Ph.D.              | Associate Professor/Chair of Chemistry                     | Affiliated - Scien        |
| Christine Zakzewski | Ph.D.              | Associate Professor of Physics                             | Affiliated - Scien        |
| Eileen Callahan*    | M.S.               | Director of Research Services                              | Affiliated                |
| E. Springs Steele*  | Ph.D.              | Associate Provost/Director of Research                     | Affiliated - Instit       |
| Diana Trygar*       | M.S.               | Assistant Director, Environmental Health                   | Affiliated                |

\* non voting members must be so identified; \*\**Veterinarian*: a veterinarian with direct or delegated program responsibility.  
*Scientist*: a practicing scientist experienced in research involving animals; *Non-scientist*: a member whose primary concerns are in a non-scientific areas (e.g. ethicist, lobbyist, etc.);  
*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 community. 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 constant member should not be considered non-affiliated.

## FACILITY AND SPECIES INVENTORY

Date: 6/20/07

NAME OF INSTITUTION: The University of Scranton  
 ASSURANCE NUMBER: A3122-01

| Laboratory, Unit, or Building* | Gross Square Feet<br>(including service areas) | Species Housed in Unit<br>(use complete common names) |  |
|--------------------------------|--|---|--|
| Loyola Animal Facility         | 1,361 sq. ft.                                  | mice  |  |
|                                |  | rats  |  |
|                                |  | hamsters  |  |
|                                |  | fish  |  |
| AMH Animal Facility            | 412 sq. ft.                                    | mice  |  |
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\*Institutions may identify animal areas in any manner, e.g., initials, ID number, etc. However, the name and location must upon request.