The University of Scranton
Assurance #A3122-01
ANIMAL WELFARE ASSURANCE
in accordance with the PHS Policy for
Humane Care and Use of Laboratory Animals

I, Joseph H. Dreisbach, Ph.D., as named Institutional Official for animal care and use at
The University of Scranton, 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 The University of
Scranton:
1. College of Arts and Sciences;
2. Kania School of Management;
3. College of Graduate and Continuing Education;

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:

- President of the University
  Kevin P. Quinn, S.J., J.D., Ph.D.

- Provost and Vice President for Academic Affairs
  Harold W. Baillie, Ph.D.

- Institutional Official
  Joseph H. Dreisbach, Ph.D., Associate Provost for Academic Affairs and Director of Research

- Institutional Animal Care and Use Committee (IACUC) including:
  Gary G. Kwiecinski, Ph.D., Chair, IACUC and Director of the Loyola Animal Facility

- Investigators

- Students & Research Assistants

- Animal Care Personnel:
  Full-Time Animal Caretaker
  Stephen K. Manning

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

Name: Keith C. Dorton, D.V.M.

Qualifications:
- Degrees: B.S. Life Sciences (1980) and D.V.M (1982), Kansas State University
- Training and/or experience in laboratory animal medicine: Dr. Dorton 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.
Authority:
Dr. Dorton has delegated program authority and responsibility for The University of Scranton’s animal care and use program. As a voting member of the IACUC, the Attending Veterinarian, Dr. 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.

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 and Sponsored Programs. 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 may suspend activities immediately if he deems that animals are endangered. If Dr. Dorton halts or temporarily suspends a protocol, such suspensions are subject to IACUC review (see III.D.10.).

Time Contributed to Program:
Dr. Dorton spends an estimated 5% of his professional time per year on the University of Scranton's animal care and use program. His 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. 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 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, profession, titles or 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 reviews are as follows: The IACUC will meet at least once every six months to review the Institutional Program for Humane Care

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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; 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 a 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 or personnel. No member will be involuntarily excluded from participating 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 as follows: At least once every six months a quorum of the IACUC members, supervised by Keith Dorton, D.V.M., will visit all of the institute's facilities where animals are housed or used, i.e., holding areas, animal care support areas, storage areas, procedures 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 or personnel. No member will be involuntarily excluded from participating 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, or his or her designee, 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, and state the reasons for each departure. The reports will distinguish significant deficiencies from minor deficiencies. If some or all of the institution's facilities are accredited by AAALAC International the report will identify those facilities as such. A reasonable plan and schedule for correction of deficiencies will be included, as stated in Parts III.D.1 and III.D.2. 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. Following completion of each evaluation, the completed report will be submitted to the Institutional Official in a timely manner.

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 Institutional Official, IACUC Chair, Attending 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 Institutional Official 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 aspect 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 reviewed and approved by the Committee and then submitted to the Institutional Official.

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 PHS-supported activities related to the care and use of animals. The IACUC procedures for protocol review 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 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 with comments and/or suggestions for the reviewer's consideration only. That is, concurrence to use the designated member review method may not be conditioned. If multiple designated reviewers are used, their decisions must be unanimous; if not, the protocol will be referred for full committee review. If full committee review 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. Potential outcomes of full committee review are: approval of, required modifications in (to secure approval), or withhold approval of PHS-supported activities related to the care and use of animals.
Generally, the full committee review method will be used. However, should a situation warrant it, the institution or IACUC may want to use the designated member review method. In such instances the protocol will be distributed to all IACUC members to allow all members the opportunity to call for full committee review; records of polling of members to obtain concurrence to use the designated member review method, or concurrence by silent assent after five working days, and approval of protocols via designated member review are maintained and recorded in the minutes of the next convened IACUC meeting.

When the IACUC requires modifications to a protocol (to secure approval) subsequent to full committee review, such modifications are reviewed as follows:

a. Full committee review or designated member review following the procedures delineated above.

b. Designated member review if approved unanimously by all members at the meeting at which the required modifications are developed 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 designated member review subsequent to full committee review 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 full committee review of the protocol.

c. 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, 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 will conduct a review of those components related to the care and use of animals and determine that the proposed protocols are in accordance with the PHS Policy. In making this determination, the IACUC will confirm that the protocol will be conducted in accordance with the Animal Welfare Act insofar as it applied 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 euthanized 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 scientists 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 and American Veterinary Medical Association (AVMA) 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 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 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 or his/her delegate. The Institutional
Official is notified by receiving a copy of the Principal Investigator'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 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 (post-approval monitoring) 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 [prior to expiration of the original or preceding protocol] as described in Paragraph III.D.6. above.

10. Be authorized to suspend an activity involving animals as set forth in the PHS Policy 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. Dr. Dorton may suspend activities immediately if he deems that animals are endangered. 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 working in laboratory animal facilities or have frequent contact with animals is as follows:

1. Administration/management:
The Assistant Director for Environmental Health and Safety 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, and is responsible for the overall management (development, implementation, monitoring, etc) of the Occupational Health and Safety Program for Personnel involved in the care and/or use of laboratory animals.
2. Scope:
The program covers all personnel involved in the laboratory animal care and/or use at the University of Scranton. Participation in the program is mandatory. Individuals who wish to decline participation must do so in writing. To date, less than one percent of covered personnel have declined to participate.

3. Hazard Identification and Risk Assessment:
The program is based on hazard identification, risk assessment, and developing and implementing measures to minimize identification hazards and risks.

Hazard identification is an on-going process in which hazards are identified by investigators, during protocol review, and during facilities inspection and program review. Risk levels are assessed and content is added to the training program, as appropriate.

Signs are posted inside and outside both animal facilities indicating environmental hazards and emergency phone numbers. Facilities have appropriate first aid kits which are checked monthly, restocked when necessary, and inspected by the IACUC at their semi-annual facilities inspection.

4. Health Histories and Evaluations:
All personnel are required to complete a health history questionnaire. Each questionnaire along with an applicable individual hazard identification and risk assessment form are evaluated by the Assistant Director for Environmental Health and Safety. This process is completed initially and updated/repeated at least annually. All personnel are advised that, should they have any concerns regarding their health such as allergies, pregnancy, illness and decreased immunocompetence as related to their involvement in laboratory animal care and use, they should consult a health care professional/physician regarding these concerns. If warranted, any work restrictions and/or accommodations are coordinated among the individual, his/her health care professional, and Human Resources. The health history forms are maintained in the University Department of Public Safety.

5. Common Identified Hazards and Risks:
Allergic reactions are among the most common conditions that adversely affect the health of personnel working with laboratory animals. Major sources of allergens include rodent urine and saliva. Rodent bites are also a risk that has been identified.

6. Procedures in Place to Alleviate Hazards and Minimize Risk:
Measures taken to minimize exposure include the following: education, protective clothing, gloves, and hand washing. To reduce aerosol exposure, the use of bedding dump stations, appropriate hoods or laminar flow benches/cabinets, and/or other respiratory protection, e.g., N95 masks, are worn when performing cage changing and/or handling dirty bedding. Personnel are trained in the proper handling of rodents and identification of signs of rodent illness or distress, which may increase the propensity to bite. Protective handling gloves are also available.
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 and professional employees are provided occupational health and safety training by health and safety staff for allergies, personnel protection, zoonoses and other 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.

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

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 and Sponsored Programs.

7. Immunization:
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.

Individuals who decline vaccination must do so in writing. To date, less than one percent of covered personnel have declined vaccination.

8. Precautions taken during pregnancy, illness or decreased immunocompetence: Personnel are advised during training that they should consult a health care professional/physician regarding how such conditions as pregnancy, illnesses and impaired immunocompetence might pertain to their working with laboratory animals. If warranted, any work restrictions and/or accommodations are coordinated among the individual, his/her health care professional and Human Resources.

9. Provisions for personnel who are not involved in animal care and/or use but nevertheless need to enter areas when animals are housed or used:
The housekeeping staff is not routinely allowed access to the animal facilities. 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 personal protective equipment and are then permitted access 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. Availability and procedures for treatment in the event of bites, scratches, illness or injury:
Facilities have appropriate first aid kits which are checked monthly, restocked when necessary, and inspected by the IACUC at their semi-annual facilities inspection. In the event of an animal related injury or bite 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. First aid may also be obtained by students free of charge at Student Health Services, which maintains records of such treatment. Student Health Services is open 8:30am to 5:00pm Monday through Thursday, and 8:30am to 4:30pm on Fridays while classes are in session. Telephone nurse assistance is available for students on nights, weekends and holidays. If required, acute treatment is also available at Mercy Hospital, Moses Taylor Hospital and Community Medical Center, each located within 1 mile of the center of campus.

After normal business hours, accidents are to be reported immediately to Public Safety which will arrange for appropriate care.

There are no required tuberculosis tests or medical examinations.

11. Procedures/program for reporting and tracking injuries and illnesses:
Occupational injuries are monitored by the Environmental Health and Safety Office. Report of all work-related illness and/or injury is mandatory. Accidents, or other health problems, related to the animal facilities must also be reported to the Director of the Animal Facility and Director of Human Resources. This requirement is covered during the Occupational Health and Safety training and Animal Care and Use Seminar.

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 Facility and Species Inventory table.

G. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows: Each IACUC member will be provided with a copy of, and/or full website access to, 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 1) successfully complete the Essentials for IACUC Members course located at the Collaborative Institute Training Initiative (CITI) website (www.citiprogram.org); 2) will visit the OLAW website at least semi-annually to complete the IACUC tutorial module (initial visit) and familiarize themselves with the other pertinent modules and information, e.g., OLAW FAQs, Policies and Laws, Guidance, Educational and other Resources.

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 and Sponsored Programs 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 and Sponsored Programs 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 and Sponsored Programs 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) successfully completed the Collaborative Institutional Training Initiative (CITI) Lab Animal Welfare Course; 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 that includes the laws and regulations covering laboratory animal care and use with an emphasis on the contents of the NRC Guide and the Three R’s (replacement, refinement and reduction). 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 and Sponsored Programs.

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 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 re-evaluated 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’s evaluations will be submitted to the Institutional Official. Semiannual reports of IACUC evaluations will be maintained by this Institution and made available to the OLAW upon request.

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.

V. RECORDKEEPING REQUIREMENTS

A. This Institution will maintain for at least three years:
   1. A copy of this Assurance and any modifications thereto, as approved by the PHS.
   2. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations.
   3. Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was given or withheld.
Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Institutional Official, Joseph H. Dreisbach, Ph.D., Associate Provost for Academic Affairs and Director of Research.

4. 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 to 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 accreditation status of the Institution (e.g., if the Institution obtains accreditation 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 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, Joseph H. Dreisbach, Ph.D., Associate Provost for Academic Affairs and Director of Research.

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 sections 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

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B. PHS Approving Official

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C. Effective Date of Assurance: July 13, 2011
D. Expiration Date of Assurance: June 30, 2015