

# Converse University

D16-00922 (A4733-01)

## Animal Welfare Assurance for Domestic Institutions

I, Will Case as named Institutional Official for animal care and use at Converse University, provide assurance that this Institution will comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy).

### I. Applicability of Assurance

This Assurance applies whenever this Institution conducts the following activities: all research, research training, experimentation, biological testing, and related activities involving live vertebrate animals supported by the PHS, HHS, NSF, and/or NASA This Assurance covers only those facilities and components listed below.

- A. The following are branches and components over which this Institution has legal authority, included are those that operate under a different name:  
All academic departments and branches of Converse University.
- B. The following are other institution(s), or branches and components of another institution:  
Not Applicable

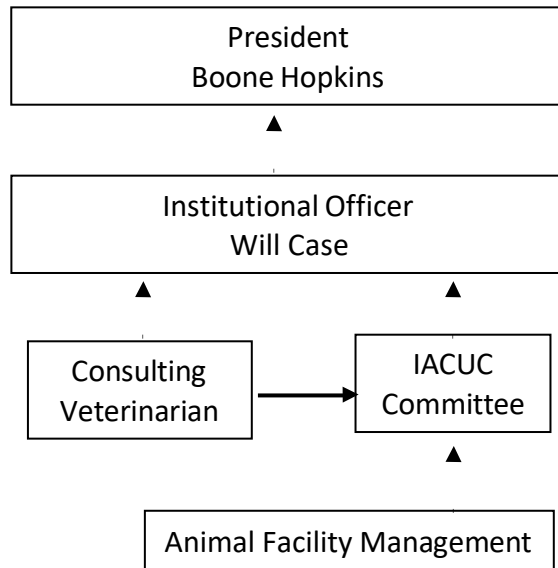
### II. Institutional Commitment

- A. Converse University will comply with all applicable provisions of the Animal Welfare Act and other Federal statutes and regulations relating to animals.
- B. Converse University is guided by the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training."
- C. Converse University acknowledges and accepts responsibility for the care and use of animals involved in activities covered by this Assurance. As partial fulfillment of this responsibility, this Institution will ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with this Assurance, and other applicable laws and regulations pertaining to animal care and use.
- D. Converse University has established and will maintain a program for activities involving animals according to the *Guide for the Care and Use of Laboratory Animals (Guide)*.
- E. Converse University agrees to ensure that all performance sites engaged in activities involving live vertebrate animals under consortium (subaward) or subcontract agreements have an Animal

Welfare Assurance and that the activities have Institutional Animal Care and Use Committee (IACUC) approval.

### III. Institutional Program for Animal Care and Use

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



The Institutional Animal Care and Use Committee (IACUC) operates as an independent committee and its members and chair are appointed by the Acting Provost, Dr. Will Case. The consulting veterinarian (CV) reports to the IACUC chair and directly to the Institutional Official (IO) if issues of noncompliance of the Animal Welfare Act (AWA) are discovered. Reporting of incidents of noncompliance will be consistent with the PHS Policy and the *Guide for the Care and Use of Laboratory Animals*, 8<sup>th</sup> edition. Each department involved in animal research is responsible for animal facility management but is accountable through facility inspections to the IACUC. The Institutional Officer has direct and open lines of communication with the veterinarian, chairperson of the IACUC and with the members of the IACUC.

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

1) Name: Kevin Elliott, DVM

Qualifications:

Veterinarian at Animal Emergency Clinic, Greenville SC

Degrees:

D.V.M. -1998 University of Georgia University of Veterinary Medicine

B.S. Biology - 1992 Wofford University

- Training or experience in laboratory animal medicine or in the use of the species at the institution: Dr. Elliott has been a general practitioner for 22 years at an animal emergency clinic. He has experience working with the types of animals housed in the University.

Authority: Dr. Kevin Elliott has direct program authority and responsibility for Converse University's animal care and use program including access to all animals. He has open lines of communication with the IO, chairperson of the IACUC and with the members of IACUC.

Time contributed to program: Consulting veterinarian. Time contributed varies according to need. Dr. Elliott is available on an on-call basis. He inspects and reviews existing protocols twice a year (about 1-2 hours per meeting). He spends approximately 1 hr per month for inspections, assisting in training and teaching. He also reviews all new or revised protocols, typically communicating with PI if there are concerns, and visits by phone or on site if there are issues or questions involving animal care or procedures. Due to the small number of protocols (and animals) under IACUC oversight, his total time commitment is typically around 1 hour per month (approximately 1% of his workload). If veterinary care or advice is required and Dr. Elliot is unavailable, we contact Dr. Tina Gorney or Dr. Glen Adcock at Pine Street Animal Hospital located on 980 South Pine Street Spartanburg SC 39302 Phone: 864-585-0231. This clinic is about 5 minutes from Converse University. Dr. Adcock is a 1998 graduate of the University of Georgia University of Veterinary Medicine and has experience working with rodents in his private practice. In addition, he has experience serving on animal lab committees. Dr. Gorney is a 1999 graduate of Auburn University College of Veterinary Medicine and has worked with rats/mice in her practice. Daily care of laboratory animals is supervised by Dr. Richard Keen (Professor of Psychology) with support from Dr. Mark Bohler (Assistant Professor of Biology).

C. The IACUC at Converse University is properly appointed according to PHS Policy IV.A.3.a. and is qualified through the experience and expertise of its members to oversee the Institution's animal care and use program and facilities. The IACUC consists of at least 5 members, and its membership meets the composition requirements of PHS Policy IV.A.3.b. Attached is a list of the chairperson and members of the IACUC and their names, degrees, profession, titles or specialties, and institutional affiliations.

D. The IACUC will:

- 1) Review at least once every 6 months the Institution's program for humane care and use of animals, using the *Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual program reviews are as follows:

Semiannual program and facility reviews are conducted every 6 months for full IACUC committee deliberations. All IACUC members are invited to attend the meeting and inspection. At this meeting, the IACUC reviews all protocols for ongoing animal research by using the *Guide*. Review areas include the following:

- Converse's commitment to appropriate and humane animal care and use

- Acceptable procedures for reviewing and monitoring the care and proposed, and ongoing, use of animals
- Mechanisms for suspending questionable procedures or projects
- A satisfactory veterinary care program, including a definition of the responsibilities and authority of the attending veterinarian, a description of the provisions for emergency, after-hours care, and how an investigator would obtain such care
- Acceptable training of the principal animal care managers
- Acceptable Occupational Health Program for persons working with animals, including any requirements pertaining to the use of personal protective equipment and personal hygiene procedures; policies pertaining to the use of hazardous agents in laboratory animals
- Policies pertaining to long-term restraint or multiple surgical procedures.

All IACUC members are invited to attend this meeting

- 2) Inspect at least once every 6 months all of the Institution's animal facilities, including satellite facilities and animal surgical sites, using the *Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual facility inspections are as follows:

All IACUC members are invited to inspect animal facilities, using the Guide as a basis for evaluation, at least once every six months (+/- 30 days) during the Spring and Fall IACUC meetings using a checklist provided by the OLAW. All areas that involve animal use and housing are inspected. In addition to the semi-annual scheduled inspections, the veterinarian and the IACUC can perform additional facility inspections of all rooms in which animals are housed.

The checklist provided by the OLAW allows the inspection of:

- Location: animal areas, separation of species, separation by disease status;
- Construction: corridors, doors, windows, floors, drainage, walls, ceilings, HVAC, power, lighting, noise;
- Room/Cage: temperature, humidity, ventilation, illumination, noise control;
- Cage/Run: sanitation, cleaning tools, food/water access, security, safety, allows undisturbed observation, size, rationale for Guide/USDA exceptions, meets physiologic, behavioral, social needs;
- Behavioral Management: environmental enrichment, social grouping, animal activity;
- Food: feeding schedule and procedures, contamination, vendor quality control, storage in sealed containers, expiration date labeling, vermin control, rotation of stocks;
- Water: ad libitum unless justified;
- Sanitation: Appropriateness of bedding frequency of bedding change (note *Guide* exceptions), cleaning, disinfection, monitoring;
- Waste Disposal: procedures for collection, storage and disposal; hazardous waste; animal carcasses;
- Pest Control: regularly scheduled, documented program including control of rodent pests and insecticide use;

- Emergency, Weekend and Holiday Animal Care: provision for accessible contact information, monitoring of backup systems, veterinary care, a disaster plan that takes into account both personnel and animals;
  - Animal Identification and Records: cage/rack cards contain required information, clinical records accessible and appropriate;
  - Storage: food and bedding, supplies, drugs and biologics, waste material, hazardous material, carcasses
- 3) Prepare reports of the IACUC evaluations according to PHS Policy IV.B.3. and submit the reports to the Institutional Official. The IACUC procedures for developing reports and submitting them to the Institutional Official are as follows:

Developing reports and submitting them to the Institutional Official is the responsibility of the IACUC chair. Reports will be submitted within 2 weeks of IACUC evaluations. The reports will include a description of the nature and extent of this Institution's adherence to the Guide for the Care and Use of Laboratory Animals. No facility at Converse University currently has AAALAC accreditation and unless the status changes in the future, the AAALAC status will be included in semiannual reports to the IO. Any departures from the Guide will be identified specifically and reasons for each departure will be stated and reported to the Institutional Official for each six month reporting period during which the IACUC approved departure is in place. Deficiencies noted will be distinguished as minor (not directly affecting animal health or safety) or significant (directly affecting animal health or safety). In consultation with the IACUC chair and veterinarian, the IACUC will create a reasonable plan and schedule for correcting each deficiency (using the Semiannual Program Review and Facility Inspection Report). The Institutional Official will then determine if the deficiency has been corrected by the deadline set by the IACUC and will pass this information on to the chair. The chair will report this information (as a memorandum or at the next meeting) to the committee. Any minority views will be included with the report. If there are no minority views, that fact will be stated. The report will be signed by a majority of the IACUC members. Significant deficiencies will also be investigated to determine if there is noncompliance with PHS or the Guide and will be reported to OLAW.

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

The names and contact information for all IACUC members are available on the Converse University IACUC internet home page [www.converse.edu/IACUC](http://www.converse.edu/IACUC), with instructions to contact the IACUC chair, an IACUC member, the Veterinarian, or the IO if inhumane use or inadequate care is suspected. Contact information will also be posted in animal care facilities. If concerns are raised, either directly with the IACUC Chair or Consulting Veterinarian, or indirectly through a department chair or other party, the matter will be investigated by the IACUC Chair and Veterinarian in a timely manner.

Confidentiality of the reporting individual will be strictly protected. An anonymous reporting mechanism is also available which involves submitting a written report to the Vice President of Finance and Business. Converse University will uphold all applicable whistleblower policies, including nondiscrimination against the reporting party and provide protection from reprisals. The Chair of the IACUC will notify the IO that a concern has been

raised, will be investigated, and the findings will be reported back to the IO. The IO's role is to make sure all University whistleblower policies are followed. The IACUC will then meet to determine what action is needed. A majority of the IACUC must be present at this meeting.

If the concerns are found to be justified, the IACUC Veterinarian will be asked to attend the Investigator's next procedure with the animals to determine if the Investigator is handling the animal(s) safely and humanely or if additional action is warranted (including additional observation, retraining, or suspension of further research by the investigator). In extreme cases, the Consulting Veterinarian may temporarily halt or cease activity until a majority of the IACUC can convene to consider full suspension of the activity. Details on suspension of activity can be found in Part III,D.10. The concern, and resolution thereof, will be included in the Semi-Annual Report.

- 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:

IACUC will submit a written report to the IO, Dr. Will Case, detailing the aspects of Converse University's animal program, facilities, and personnel training. The procedures for making recommendations to the IO are the responsibility of the IACUC chair and will be submitted within 2 weeks of the IACUC issuance of the recommendation. Urgent recommendations will be initiated with a phone call to the IO, followed up by a written report within two days.

- 6) Review and approve, require modifications in (to secure approval), or withhold approval of PHS-supported activities related to the care and use of animals according to PHS Policy IV.C.1-3. The IACUC procedures for protocol review are as follows:

All users (including pilot studies) are required to submit an Animal Use Description (IACUC) Protocol form with an accompanying Annual Review Form to the IACUC prior to starting of the experiments. The chair then forwards the protocols to all committee members and a full-committee review is convened. In person meetings are preferred and are the norm. When in person meetings are not feasible (e.g., Covid closure, etc.), the IACUC will conform to the NIH Guidance on Use of Telecommunications for IACUC meetings (NOT-0D-06-052). The outcome is determined by a majority vote of the quorum of IACUC members. There are three possible outcomes.

1. The proposal is approved with no required modifications.
2. The proposal requires modifications before it will be approved.
3. The proposal is not approved.

In the case of outcomes 2 or 3, the chair relays the IACUC concerns to the PI (originator of the proposal) who is required to make the protocol adjustments and submit the amended proposal to the full committee for review. A full-committee review is convened. The outcome is determined by a majority vote of the quorum of IACUC members present.

A Designated Member Review (DMR) is available when an expedited review is needed. All other protocols are reviewed by the full committee. In the case of a DMR request the chair of the IACUC will decide if requested expedited review through DMR will be granted in lieu of

FCR. If DMR is granted the chair appoints two designated IACUC members, then distributes the proposal for review to all IACUC members. These designated reviewers are selected on a rotating basis to equally distribute the workload among committee members. Three outcomes are possible at the end of a DMR:

After all members receive a copy of the proposal, any member may call for full committee review (FCR) within one week of receiving the proposal. If no member calls for FCR, then the protocol can be reviewed and approved by the DMR(s) appointed by the chair.

1. The proposal is approved with no required modifications.
2. The proposal requires modifications before it will be approved.
3. The proposal is referred to full committee review, and a full committee meeting will be convened to review and approve as described above.

A full committee review can be requested by designated members or by any member of IACUC. In the case of 2, the concerns of the designated reviewers are related to the PI who may then make the protocol adjustments and submit the amended proposal. Identical revised proposals are sent to both of the original designated reviewers for their unanimous approval. If an amended proposal is not granted unanimous approval, then the proposal is automatically directed for a full committee review.

Researchers do not participate in the IACUC review or approval of a research project in which they have a conflict of interest, (e.g. is personally involved in the project), except to provide information requested by IACUC. As per PHS Policy, IACUC members who have a conflicting interest cannot contribute to the constitution of a quorum (PHS Policy, Part IV. C.2.). If the recusal leads to less than a quorum, the review will be tabled until a time that quorum is able to be formed without the recused member(s). If a quorum is present, then the majority vote of the convened quorum is needed.

Following approval by the full committee or designated reviews, the chair notifies the initiator of the proposal in writing that the protocol has been approved by the IACUC. PIs are required to inform the IACUC of any changes to the approved protocols. All IACUC members must be informed when such modification is requested. Any IACUC member may request a full review as specified in III. 6. a-d when a modification to a protocol is requested. Chair sends copies of all approved proposals to the IO.

- 7) Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the use of animals in ongoing activities according to PHS Policy IV.C. The IACUC procedures for reviewing proposed significant changes in ongoing research projects are as follows:

Unless there is a request for full-committee review the significant changes to the use of animals in ongoing activities are reviewed and approved by IACUC by using designated member review as described in Part III.D.6. Changes are considered significant if there is a potential to have a negative impact on animal welfare or one of the following criteria are met: 1) changes from non-survival to survival surgery, 2) changes that can result in greater pain, distress, or degree of invasiveness, which includes, but is not limited to, a) increasing the duration, frequency, or number of procedures performed, b) changing the method of euthanasia, or c) changing the method of anesthesia, analgesia, sedation, or any experimental

substances, 3) housing/use of animals that is not part of the program overseen by Converse's IACUC, 4) change in species, 5) change in study objectives, 6) change in PI, or 7) changes that impact personnel safety.

- 8) Notify investigators and the Institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval according to PHS Policy IV.C.4. The IACUC procedures to notify investigators and the Institution of its decisions regarding protocol review are as follows:

The IACUC chair notifies the PI of the proposal, in written form, of the result and any new requirements specified by the IACUC (see III. 6 and 7 above). The IO receives a copy of the IACUC's decision. If the IACUC chooses to withhold approval of any proposal, the PI may either resubmit a revised proposal for consideration or petition to the IACUC chair to meet with the full committee if the proposed changes would seriously impact the research goals.

- 9) Conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including a complete review at least once every 3 years according to PHS Policy IV.C.1.-5. The IACUC procedures for conducting continuing reviews are as follows:

During semiannual program review meetings each previously approved, ongoing activity is reviewed as described in III D.1. A complete review of all the existing animal protocols is required on a three-year basis. Three-year review requires the submission of a renewal proposal of the original, approved protocol. This proposal is evaluated by the IACUC as a full proposal by FCR as described in III.D.6.

Renewal proposals are sent to the IACUC chair. Chair then sends the renewal proposal to all IACUC members for consideration. Proposals are evaluated during a full-committee meeting. The outcome is determined by a majority vote of the quorum of IACUC members. The PI can request a Designated Member Review (DMR) if an expedited review is needed (See Part III.D.6.f). The review will be conducted and approved before the expiration date.

The results of this review for 'renewal' will be reported to the appropriate PI(s). The IO will receive a copy of any modified protocol or other action taken by the IACUC.

- 10) Be authorized to suspend an activity involving animals according to PHS Policy IV.C.6. The IACUC procedures for suspending an ongoing activity are as follows:

If the IACUC determines that an animal activity is not being conducted in accordance with applicable provisions of the Animal Welfare Act, the *Guide*, the Institution's Assurance, or Part IV.C.1.a-g of the PHS Policy, it will suspend the activity. The suspension will be implemented only after review of the matter by a quorum of the IACUC and with the suspension vote of a majority of the quorum present. If the IACUC suspends an activity involving animals, the IO, 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 risk-based occupational health and safety program for personnel working in laboratory animal facilities and personnel who have frequent contact with animals is as follows:

*[Describe the Institution's occupational health and safety program for personnel involved in the care and use of animals. Refer to the following relevant topics listed in the Guide:*

All workers and researchers in contact with animals are enrolled in the risk-based assessment occupational health program. Occupational Health and Safety Program runs in conjunction with the Office of Provost and the Wellness Center at Converse University. It is staffed by a Nurse Practitioner, Michelle Mathis, and Bethany Garr, Director of Counseling and Wellness, who monitors the program. When needed referrals are made to physicians and specialists. Individuals are instructed to seek immediate medical treatment at the Wellness Center on campus, a local extended hour Walk-In Clinic, Mary Black Health System or the Spartanburg Regional Healthcare System emergency room in the event the other centers are closed.

In order to enroll in the program, the employees are required to contact the chair of IACUC. Chair sends the names and contact information of the personnel to the Wellness Center. Personnel complete a health history questionnaire along with applicable individual hazard identification and risk assessment form at the Wellness Center. These are evaluated by the Nurse Practitioner, in cooperation with the Student Wellness Center. The questionnaire assesses the personal susceptibility and history of occupational illness and injury. Based on this information personnel will be advised to wear appropriate protective devices. The Wellness Center sends a document to the chair verifying that each employee has completed the process and is cleared to work with animals. All personnel working with laboratory animals will be similarly screened by Wellness Center every year to monitor any development or worsening of allergic reactions, and appropriate measures will be taken based on this screening to limit their exposure to potential allergens. At these annual screenings, personnel will be trained on precautions to be taken during personnel pregnancy, illness, or decreased immunocompetence. Wellness Center also provides annual Blood Borne Pathogen Training (OSHA) for all personnel. This process is updated annually. The health history forms are maintained by the Wellness Center. Wellness Center notifies supervisors of any pertinent issues on a need to know basis and in accordance with applicable privacy rules (HIPAA).

Converse University Environmental Compliance Officer routinely oversees teaching and research uses of hazardous chemicals, as well as the documentation of the use, storage and handling procedures for such materials. The Environmental Compliance Officer provides training in the use, storage and handling of hazardous materials. Any concerns risen by the IACUC or by an investigator concerning such safety matters in the context of animal use or facilities, will be discussed with the appropriate safety personnel.

The IACUC requires principal investigators to train personnel under their supervision in areas of personal hygiene and protection, zoonosis, and general laboratory safety procedures including but not limited to: prevention, treatment and reporting of incidents including allergic reactions, bites, scratches, and accidents. Supervisors are required to provide written documentation of all incident reports to the IACUC. The IACUC will review the occupational health program at least twice annually.

Prior to participating in animal research at Converse University, individuals must complete the following "Training Program":

1. Attend an animal handling and care training workshop. The workshop covers topics including but not limited to:
  - a. Animal handling techniques
  - b. Surveillance of animal disease and illness
  - c. Types of cages and bedding
  - d. Caging densities
  - e. Provisions for feeding and watering (including on weekends and holidays)
  - f. Environmental conditions (e.g., temperature, humidity, and light cycles)
  - g. Sanitation schedules
  - h. Methods of identification and record keeping
  - i. Security procedures
  - j. Occupational health and safety program related to animal handling and care
    - i. Monitoring allergic reactions
    - ii. Prevention, reporting, and care of animal bites and scratches
    - iii. Personal hygiene and protection
    - iv. Enrollment in the occupational health program through Converse University Wellness Center – health evaluation and vaccination program.
  
2. Read the “Conducting Animal Research” packet which includes:
  - a. List of government resources available including the National Agricultural Library, the AVMA Guidelines on Euthanasia and the Guide for the Care and Use of Laboratory Animals.
  - b. Protocol for reporting questionable procedures or practices violating the terms of humane animal care.
  - c. Methods that minimize the number of animals required to obtain valid results.

Instruction of additional, specialized research procedures will be handled on an individual basis by the principle investigator. Each laboratory must have a specific plan that addresses the use of personal protective equipment and task specific training. Participation in the training is mandatory. During training personnel are advised to consult a health care professional if they are ill, have impaired immunocompetence, pregnant or are planning to become pregnant. Upon health professionals recommendation, if warranted, personnel are provided with accommodations. These accommodations are coordinated among the individual, their health care professional, supervisors, human resources, and other administrative authorities on campus. Training is provided through online programs and occasional seminars.

The housekeeping staff does not have routine access to the animal facilities. When access by housekeeping, maintenance, or other untrained personnel is necessary, they are permitted to the animal facilities for a limited period of time after briefed on appropriate precautions. A member of the animal care staff is available for escort if

needed. In situations where extensive or prolonged access is required the animals are removed prior to the individuals being allowed into the room.

All personnel are required to wear closed toe shoes and lab coats as necessary. Eating, drinking, smoking, and applying cosmetics in the animal rooms is prohibited. Converse University is a tobacco-free campus. Campus policy prohibits smoking in all buildings, facilities, grounds and spaces leased, owned or controlled by the University. Signage pertaining to injury/illness on weekends, holidays, or afterhours is to be posted in each appropriate laboratory.

Tetanus vaccine/booster within the last 5 years for all personnel with animal contact is required. Other immunizations will be required on a case-by-case basis based on physician's input in cooperation with Wellness Center and if required by the individual project PI. Annual screening for health monitoring by Converse University Wellness Center is required for all personnel.

Allergic reactions are common among personnel working with animals. Major sources of allergens include rodent urine and saliva. In order to minimize exposure and increase awareness personnel are provided with protective clothing, gloves, and educated on the topic. To reduce aerosol exposure to the allergens respiratory protection is recommended.

Bites and scratches expose personnel to biological hazards. This risk is mitigated by the University's practice to purchase laboratory rodents only from laboratories which exclude zoonotic agents. Training in animal handling techniques and the use of appropriate personal protective equipment is also provided to reduce the risk. In case of an incident, bites or scratches are washed immediately with antiseptic soap and running water. If a bite/scratch wound is severe, or in the event of injury or illness due to animal exposure, individuals are instructed to seek immediate medical treatment at the Wellness Center on campus, a local extended hour Walk-In Clinic, or the Spartanburg Regional Healthcare System emergency room in the event the other two centers are closed.

Infectious diseases seen in laboratory animals can also infect humans through environmental exposure and by handling animals, body fluids, cultured microbial pathogens, tissues and tumors. They might be present in a colony even when the animals appear healthy. Even though the animals used at Converse University are purchased from a certified vendor, standard universal precautions are used when handling the animals, their waste (dirty bedding), tissues, and bodily fluids. As applicable, dedicated work clothing is provided and may be worn only within the Animal Care Facility or procedure areas. Appropriate personnel protective equipment (PPE) is provided at the entrance to the Animal Facility.

Basic first aid kits are available in all animal facilities. All students have access to the Wellness Center in the event of an animal related injury, or bite. If required, treatment is also available Converse University Wellness Center. All personnel are provided with the contact information for the Human Resources to report any work-related illness and injury. This information is also posted in all animal facilities. Report of all work-related illness and/or injury is mandatory.

There are no radioactive substances and no active radioactive materials license at Converse University. The safe use of chemicals is enforced by each department according to the *Converse University Laboratory Safety and Chemical Hygiene Plan*. These documents are overseen by the Campus Chemical Compliance Director to

ensure they comply with all Federal and State regulations.

Resources on biosafety procedures for a wide spectrum of microbial agents with potential for human infection is available in the following manuals CDC/NIH manual, Biosafety in Microbiological and Biomedical Laboratories and Control of Communicable Diseases Manual, published by the American Public Health Association. Copies of both of these references are maintained by the IACUC Chair.

Risk assessment and hazard identification are continuously reviewed by Dr. Sheri Strickland, manager of Converse's Chemical Stockroom, as well as each PI of our animal facilities (Dr. Richard Keen and Dr. Mark Bohler). In addition, a review of existing procedures is conducted in August and includes review of policies with respect to biological, chemical, and physical hazards.

- F. The total gross number of square feet in each animal facility (including each satellite facility), the species of animals housed there and the average daily inventory of animals, by species, in each facility is provided in the attached Facility and Species Inventory Table X.
- G. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows:

Consulting Veterinarian, the IACUC chair and other faculty teaches mandatory training sessions to personnel working with animals and investigators. Training includes a workshop and reading the "Conducting Animal Research" packet, both are described below.

1. Attend an animal handling and care training workshop. The workshop covers instruction on the proper and humane animal care including but not limited to the following topics:

- a. Animal handling techniques
- b. Surveillance of animal disease and illness
- c. Types of cages and bedding
- d. Caging densities
- e. Provisions for feeding and watering (including on weekends and holidays)
- f. Environmental conditions (e.g., temperature, humidity, and light cycles)
- g. Sanitation schedules
- h. Methods of identification and record keeping
- i. Research and testing methods that limit pain and distress
- j. Security procedures
- k. Occupational health and safety program related to animal handling and care
  - i. Monitoring allergic reactions
  - ii. Prevention, reporting, and care of animal bites and scratches
  - iii. Personal hygiene and protection
  - iv. Enrollment in the occupational health program through Converse University Wellness Center – health evaluation and vaccination program.

2. Read the “Conducting Animal Research” packet which includes:
    - a. List of government resources available including the National Agricultural Library, the AVMA Guidelines on Euthanasia, and the Guide for the Care and Use of Laboratory Animals.
    - b. Protocol for reporting questionable procedures or practices violating the terms of humane animal care.
    - c. Methods that minimize the number of animals required to obtain valid results. Initially, the availability of non-animal alternatives (e.g., cell cultures, computational modeling, etc.) is explored. If live animals are required for the specific research objective, then statistical power analyses are conducted to determine the minimum number of animals required to obtain valid results. IACUC members will also receive this training.
- Instruction of additional, specialized research procedures will be handled on an individual basis by the principle investigator.

Records of training are kept and maintained by the IACUC chair. The consulting veterinarian will also provide training in specific topics on request. Researchers stay abreast in the field via attending workshops, professional meetings, and reviewing literature.


General information on the goals and role of the University’s IACUC is provided to the IACUC members by the chair. In addition, copies of the section from USDA on IACUC, from OLAW “Public Health Service Policy on Humane Care and Use of Laboratory Animals (2015), and OLAW “sample semiannual program and facility review checklist’ are provided to all members. These resources are also available at Converse’s IACUC webpage ([www.converse.edu/IACUC](http://www.converse.edu/IACUC)). Chair also provides relevant policy information such as animal welfare in field studies, revised space requirements, etc. to the IACUC members and potential users as needed. Furthermore there is an orientation session for new members of IACUC conducted by the chair of IACUC to review the IACUC procedures and procedures.

IACUC will evaluate the effectiveness of training primarily through “performance measurement” as described by Foshay and Tinkey (2007). Both intermittent observations and spot checks are conducted during research projects.

Wellesley R. Foshay, Peggy T. Tinkey, Evaluating the Effectiveness of Training Strategies: Performance Goals and Testing, *ILAR Journal*, Volume 48, Issue 2, 2007, Pages 156–162, <https://doi.org/10.1093/ilar.48.2.156>

#### **IV. Institutional Program Evaluation and Accreditation**

All of this Institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated by the IACUC within the past 6 months and will be reevaluated by the IACUC at least once every 6 months according to PHS Policy IV.B.1.-2. Reports have been and will continue to be prepared according to PHS Policy IV.B.3. All IACUC semiannual reports will include a description of the nature and extent of this Institution's adherence to the PHS Policy and the *Guide*. Any departures from the *Guide* will be identified specifically and reasons for each departure will be stated. Reports will distinguish significant deficiencies from minor deficiencies. Where program or facility deficiencies are noted, reports will contain a reasonable and specific plan and schedule for correcting each deficiency. Semiannual reports of the IACUC’s evaluations will be submitted to the Institutional Official. Semiannual reports of IACUC evaluations will be maintained by this Institution and made available to the OLAW upon request.

Converse University is Category 2 — not accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC) . As noted above, reports of the IACUC's semiannual evaluations (program reviews and facility inspections) will be made available upon request. The report of the most recent evaluations (program review and facility inspection) was attached and reviewed.

## V. Recordkeeping Requirements

- A. Converse University will maintain for at least 3 years:
  - 1. A copy of this Assurance and any modifications made to it, as approved by the PHS
  - 2. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations
  - 3. Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was granted or withheld
  - 4. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Institutional Official, Will Case.
  - 5. Records of accrediting body determinations
- B. Converse University will maintain records that relate directly to applications, proposals, and proposed changes in ongoing activities reviewed and approved by the IACUC for the duration of the activity and for an additional 3 years after completion of the activity.
- C. All records shall be accessible for inspection and copying by authorized OLAW or other PHS representatives at reasonable times and in a reasonable manner.

## VI. Reporting Requirements

- A. The Institutional reporting period is the federal fiscal year (Oct 1 – September 30). The IACUC, through the Institutional Official, will submit an annual report to OLAW after September 30<sup>th</sup>, but on or before December 1 of each year. The annual report will include:
  - 1. Any change in the accreditation status of the Institution (e.g., if the Institution obtains accreditation by AAALAC or AAALAC accreditation is revoked)
  - 2. Any change in the description of the Institution's program for animal care and use as described in this Assurance
  - 3. Any change in the IACUC membership
  - 4. Notification of the dates that the IACUC conducted its semiannual evaluations of the Institution's program and facilities (including satellite facilities) and submitted the evaluations to the Institutional Official, Will Case
  - 5. Any minority views filed by members of the IACUC
- B. The IACUC, through the Institutional Official, will promptly provide OLAW with a full explanation of the circumstances and actions taken with respect to:
  - 1. Any serious or continuing noncompliance with the PHS Policy
  - 2. Any serious deviations from the provisions of the *Guide*
  - 3. Any suspension of an activity by the IACUC
- C. Reports filed under VI.A. and VI.B. above should include any minority views filed by members of the IACUC.

## VII. Institutional Endorsement and PHS Approval

<b>A. Authorized Institutional Official</b>	
Name: Dr. Will Case	
Title: Acting Provost	
Name of Institution: Converse University	
Address: <i>(street, city, state, country, postal code)</i>  580 East Main Street Spartanburg SC 29302	
Phone: 864-596-9091	Fax: 864-596-9093
E-mail: Will.Case@Converse.edu	
Acting officially in an authorized capacity on behalf of this Institution and with an understanding of the Institution's responsibilities under this Assurance, I assure the humane care and use of animals as specified above.	
Signature: <i>Will Case</i>	Date: <i>8/29/24</i>

<b>B. PHS Approving Official</b> <i>(to be completed by OLAW)</i>	
Name/Title: Temeri Wilder-Kofie, DVM, MPH, DACLAM Animal Welfare Program Specialist Office of Laboratory Animal Welfare (OLAW) National Institutes of Health 6700 B Rockledge Drive Suite 2500, MSC 6910 Bethesda, MD USA 20892-6910 (FedEx Zip Code 20817) Phone: +1 (301) 496-7163	
Signature: <i>Temeri D. Wilder-kofie</i> <small>Digitally signed by Temeri D. Wilder-kofie -S Date: 2024.09.11 14:31:56 -0400</small>	Date: September 11, 2024
Assurance Number: D16-00922 (A4733-01)	
Effective Date: September 11, 2024	Expiration Date: July 31, 2028

## VIII. Membership of the IACUC

Date: August 23, 2024			
Name of Institution: Converse University			
Assurance Number: D16-00922 (A4733-01)			
<b>IACUC Chairperson</b>			
Name*: Dr. Richard Keen			
Title*: Professor of Psychology			Degree/Credentials*: PhD, Indiana University
Address*:  580 East Main Street Spartanburg SC 29302			
E-mail*: Richard.Keen@converse.edu			
Phone*:864-596-9135		Fax*: 864-596-9093	
<b>IACUC Roster</b>			
Name of Member/ Code**	Degree/ Credentials	Position Title***	PHS Policy Membership Requirements****
Richard Keen	PhD, Indiana University	Professor of Psychology, Converse University	Scientist
Mark Bohler	PhD, Virginia Tech University	Assistant Professor of Biology, Converse University	Scientist
Kristin Lacey	MBA Gardner-Webb University	VP for Operations and Chief Financial Officer, Converse University	Non-scientist
David Pittman	PhD, Florida State University	Professor of Psychology, Wofford College	Scientist
Kevin Elliott	DVM, University of Georgia	Consulting Veterinarian	Veterinarian
Caleb Arrington	PhD, University of Utah	Professor of Chemistry, Wofford College	Nonaffiliated, not performing research with animals
Scott Meek	PhD, University of South Carolina	Assistant Professor of Psychology, University of South Carolina, Upstate	Nonaffiliated, not performing research with animals
William "Gladden" Smoke	PE, The Citadel	Director of Facilities	Non-scientist



\* This information is mandatory.

\*\* Names of members, other than the chairperson and veterinarian, may be represented by a number or symbol in this submission to OLAW. Sufficient information to determine that all appointees are appropriately qualified must be provided and the identity of each member must be readily ascertainable by the institution and available to authorized OLAW or other PHS representatives upon request.

\*\*\* List specific position titles for all members, including nonaffiliated (e.g., banker, teacher, volunteer fireman; not “community member” or “retired”).

\*\*\*\* [PHS Policy](#) Membership Requirements:

*Veterinarian*      veterinarian with training or experience in laboratory animal science and medicine or in the use of the species at the institution, who has direct or delegated program authority and responsibility for activities involving animals at the institution.

*Scientist*            practicing scientist experienced in research involving animals.

*Nonscientist*        member whose primary concerns are in a nonscientific area (e.g., ethicist, lawyer, member of the clergy).

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

## IX. Other Key Contacts (optional)

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

<b>Contact #1</b>	
Name:	
Title:	
Phone:	E-mail:
<b>Contact #2</b>	
Name:	
Title:	
Phone:	E-mail:

## X. Facility and Species Inventory

Date: August 23, 2024			
Name of Institution: Converse University			
Assurance Number: D16-00922 (A4733-01)			
Laboratory, Unit, or Building*	Gross Square Feet [ <i>include service areas</i> ]	Species Housed [ <i>use common names, e.g., mouse, rat, rhesus, baboon, zebrafish, African clawed frog</i> ]	Approximate Average Daily Inventory
Kuhn Animal Facilities Room 1	84	Wistar rat	12
Phifer Animal Room	199	Wistar rat	15

\*Institutions may identify animal areas (buildings/rooms) by a number or symbol in this submission to OLAW. However, the name and location must be provided to OLAW upon request.