

Northern Kentucky University

Assurance number A4348-01

Animal Welfare Assurance in accordance with the PHS Policy for Humane Care and Use of Laboratory Animals

I, William F. Thompson as named Institutional Official (IO) for animal care and use at Northern Kentucky University hereinafter referred to as Institution, by means of this document, provide assurance that this Institution will comply with the Public Health Service Policy on Humane Care and Use of Laboratory Animals, hereinafter referred to as PHS Policy.

I. Applicability of Assurance

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

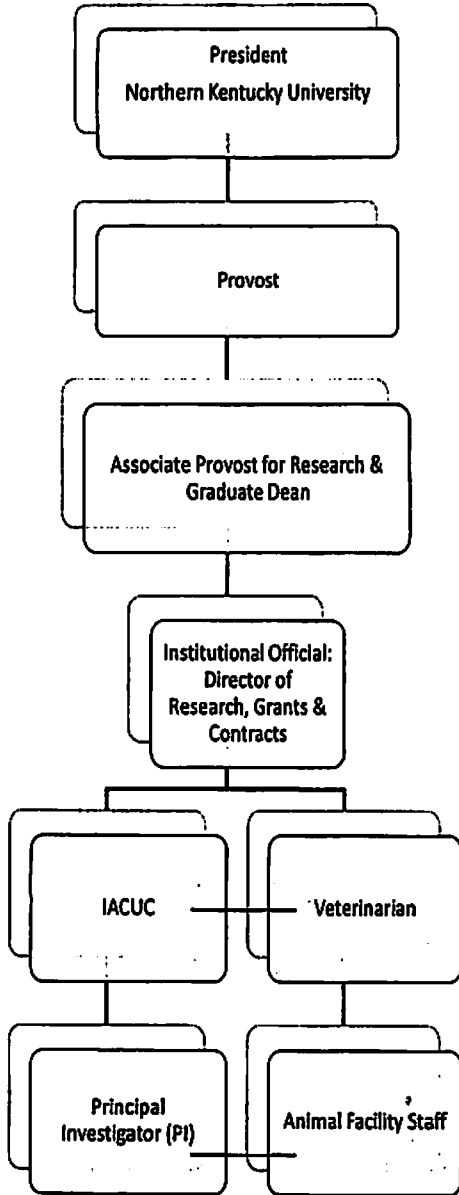
- A. The following are branches and components over which this Institution has legal authority, included are those that operate under a different name:
Northern Kentucky University Highland Heights, KY 41099
- B. The following are other institution(s), or branches and components of another institution: NONE

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, and 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 according to the *Guide for the Care and Use of Laboratory Animals (Guide)*.
- E. This Institution agrees to document 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 this Policy are:



- B. This Institution ensures that the Veterinarians listed are providing Clinical Veterinary Care and meet the definition for a veterinarian according to the Animal Welfare Act. The qualifications, authority, and percent of time contributed by the veterinarian(s) who will participate in the program are as follows:
- 1) Name: John Sector, D.V.M.
Qualifications
 - Degrees: D.V.M. from Auburn University College of Veterinary Medicine
 - Over 20 Years of experience in laboratory animal medicine
 - 2) Back up Veterinarian: Kristi Baker, D.V.M.
Qualifications
 - Degrees: D.V.M. from Ross University School of Veterinary Medicine
 - Has 8 years of animal research and ten years in laboratory animal medicine
 - 3) Authority:
Drs. Sector and Baker have delegated program authority and responsibility for the Institution's animal care and use program including access to all animals. The authority of the NKU IACUC Veterinarian is delegated by the IO. This includes authority to review proposals, visit animal facilities, confer with investigators and call violations of University policy to the attention of investigators, departmental chairpersons, Deans, IO and the Institutional Animal Care and Use Committee. The veterinarian is responsible for the health care of the animals covered by this Assurance. Individuals responsible for the daily care (animal facilities staff) are required to examine the animals at least once daily and report any signs of illness to the principal investigator and to the veterinarian as warranted. Health care is performed by the veterinary staff and may be assisted by veterinary technicians.
 - 4) Time contributed to program:
Veterinarian visits will be made as a walk-through every six months and when needed. Approximately 10% of the veterinarian's time will be contributed to the program. Veterinary care will be available at all times and if the primary veterinarian is not available, arrangements will be made to provide the assistance of the back-up veterinarian.
- C. The IACUC at this Institution 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. The IACUC is appointed by the President of the University based on recommendations through the IO.
- D. The IACUC will:
- 1) Conduct a Semi-Annual program review at least once every 6 months. The Institution's program for humane care and use of animals uses the *Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual program reviews are as follows:
 - The semiannual program review is conducted at a convened meeting (regular or special) where a majority of the committee is present.

- Each member receives or has received a copy of the *Guide*, the previous semiannual program inspection report, the IACUC policies and procedures (containing their charges and responsibilities), and this Institution's IACUC program evaluation checklist (modeled after that suggested by the OLAW) which reviews all aspects of the animal use program including administration.
 - In addition, agenda items for IACUC meetings include review, discussion and/or recommended revisions to improve the level of care and to ensure compliance.
- 2) The Semi-Annual facility inspection will occur at least once every 6 months. All of the Institution's animal facilities, including satellite facilities and animal surgical sites will be inspected 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, each facility or area will be completely inspected by no less than two (2) IACUC members. The results will be discussed following the inspection. All members are invited to participate in the semiannual inspection of the animal facilities.
 - Included in the facilities inspection is review of the animal care records, animal staff interviews, and random interviews with investigators holding active animal use protocols and other laboratory staff involved with animal care and utilization.
 - Any item not in compliance with the *Guide* will be recorded and submitted by the IACUC to the IO. Significant deficiencies will also be reported to OLAW.
 - The dates of each inspection will be included in the annual Assurance Document update (submitted before January 30 for the previous year). This Institution's semiannual facilities inspection is normally conducted in conjunction with the semiannual program evaluation.
 - NKU Field sites will be reviewed using current photographs and/or video during the semi-annual inspections. Live visits will be scheduled in years when the Field Station is actively used for housing or activities involving live vertebrate animals.
- 3) Prepare semi-annual 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 semi-annual reports and submitting them to the Institutional Official are as follows:
- The IACUC administrator prepares a draft of the semi-annual report based, in part, upon the facilities inspection report and applicable program review results. The report contains a description of the nature and extent of this institution's adherence to the *Guide for the Care and Use of Laboratory Animals*. Any departures from the *Guide* will be identified specifically and the reasons for each departure will be stated and reported to the IO.
 - A draft of the semi-annual report, along with any additional facilities inspection or program review information is distributed to the IACUC members for review and compiled into a final report.
 - The final semi-annual report, identifying significant and minor deficiencies, if any, along with the minority opinions and/or recommendations, will be signed by the majority of the IACUC members and forwarded to the IO. Any deficiencies identified will be designated as minor or significant and will include a reasonable plan and schedule for correction.

- 4) Review concerns involving the care and use of animals at the Institution. This Institution has an anonymous research misconduct reporting hotline and website monitored by a neutral third party company called Ethics Point. The institution's office of Compliance and Institutional Ethics have flyers posted that are displayed in all buildings and animal facilities on campus with directions on how to make a report anonymously. The directions contain the phone number and web address for anonymous reporting. The IACUC procedures for reviewing concerns are as follows:
 - Concerns can be submitted anonymously through the Institution's compliance hotline. Concerns also can be submitted in memo or report form via email or hard copy.
 - IACUC Chair will review formal complaint and decide which action, if any, is warranted.
 - If the complaint involves the IACUC Chair, the complaint will be reviewed by the IO.
 - Concerns will be addressed with individuals involved.
 - All appropriate parties and agencies will be informed if deemed necessary by the IACUC and those initiating the concern will receive a response.
 - Formal report will be generated, and if necessary, phone conversations logged.
 - Inform the IO if warranted by written report and make recommendations if needed.
 - Address concerns and report to IACUC on final outcome.
 - All concerns will be documented and kept on file.
 - There will be no retaliation or harassment towards anyone who reports concerns.

- 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:
 - Based on program or facility evaluations, IACUC will make a recommendation to be submitted to the IO.
 - The recommendation will be approved by the IACUC and submitted in writing by the IACUC administrator.
 - Address recommendations and report to IACUC on final outcome.
 - Recommendations will be kept on file.

- 6) Review and approve, require modifications in (to secure approval), or withhold approval of activities related to the care and use of live, vertebrate animals according to PHS Policy IV.C.1-3. The IACUC procedures for protocol review are as follows:
 - Requests for approval of animal utilization are submitted to the IACUC administrator in the Office of Research, Grants and Contracts by the Principal Investigator (PI) for each project.
 - Initial screening of the protocol is completed by the IACUC administrator.
 - Identical copies are provided to all IACUC members by the IACUC administrator. A time limit is established for IACUC members to request a full review.

- No IACUC member may participate in the IACUC review or approval of a research project in which the member has a conflicting interest (e.g. personally involved in the project) except to provide information requested by the IACUC.
 - If a full IACUC review is requested, the IACUC administrator coordinates the scheduling of the full review.
 - If there is no request for a full IACUC review, the IACUC Chair designates a member reviewer (DMR) for the protocol/protocol modification. Designated reviewers receive identical copies of the protocol and may approve, request modifications, or refer for Full Committee Review. Designated reviewers must be unanimous in their decision.
 - Reviewer comments are sent to the PI for reply by the IACUC administrator.
 - PI revisions and replies, based on reviewer comments are distributed to the full IACUC or designated reviewers by the IACUC administrator.
 - The process may be repeated until all reviewer concerns are addressed and the final protocol is approved.
 - If a full IACUC review is conducted, a convened meeting of a quorum with a majority vote of the quorum present is required to approve a protocol. Minority opinions are allowed to accompany any action. Actions may include approval, request for modifications or disapproval.
 - If all members of the IACUC are present at a meeting, the committee may vote to require modifications to secure approval and have the revised research protocol reviewed and approved by designated member review, or returned for FCR at a convened meeting.
 - If all members of the IACUC are not present at a meeting, the committee may use DMR subsequent to FCR according to the following stipulations:
 - All IACUC members agree in advance in writing that the quorum of members present at a convened meeting may decide by unanimous vote to use DMR subsequent to FCR when modification is needed to secure approval. However, any member of the IACUC may, at any time, request to see the revised protocol and/or request FCR of the protocol.
 - Expedited protocol review is not an option under current NKU IACUC policies and procedures.
 - The IACUC administrator will notify the PI of review decisions and send a formal notice of approval, requests for substantive modifications, or denial.
 - Formal approval must occur before any animal may be utilized.
- 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:
- Requests for approval of significant changes to approved research projects are submitted to the IACUC administrator in the Office of Research, Grants and Contracts by the PI for each project.
 - Initial screening of the protocol is completed by the IACUC administrator.
 - Identical copies are provided to all IACUC members by the IACUC administrator. A time limit is established for IACUC members to request a full review.
 - No IACUC member may participate in the IACUC review or approval of a research project in which the member has a conflicting interest (e.g.

personally involved in the project) except to provide information requested by the IACUC.

- If a full IACUC review is requested, the IACUC administrator coordinates the scheduling of the full review.
 - If there is no request for a full IACUC review, the IACUC Chair designates a member reviewer (DMR) for the protocol/protocol modification. Designated reviewers receive identical copies of the protocol and may approve, request modifications, or refer for Full Committee Review. Designated reviewers must be unanimous in their decision.
 - Reviewer comments are sent to the PI for reply by the IACUC administrator.
 - PI revisions and replies, based on reviewer comments are distributed to the full IACUC or designated reviewer by the IACUC administrator.
 - The process may be repeated until all reviewer concerns are addressed and the final protocol is approved.
 - If a full IACUC review is conducted, a convened meeting of a quorum with a majority vote of the quorum present is required to approve a protocol. Minority opinions are allowed to accompany any action. Actions may include approval, request for modifications or disapproval.
 - The IACUC administrator will notify the PI of review decisions and send a formal notice of approval, requests for substantive modifications, or denial.
 - Formal approval must occur before any animal may be utilized in activities proposed in the protocol modification.
- 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:
- Notification of IACUC review decisions or required modifications shall be the responsibility of the IACUC administrator, in Research, Grants and Contracts.
 - The IACUC administrator will provide the investigators and the Institution a formal approval notice with signatures upon approval of a protocol.
 - The IACUC administrator will provide the investigators and the Institution a formal notice with signatures if the IACUC votes to withhold approval.
 - The PI will have the opportunity to respond to a denial of a protocol or protocol modification in writing or in person.
- 9) Conduct continuing review of each previously approved, ongoing activity involving live, vertebrate animals annually as well as a complete review in accordance with PHS Policy IV.C.1.-5 at least once every three years. All correspondence regarding continuing/annual reviews will be handled by the IACUC administrator. The procedures for conducting continuing reviews are as follows:
- Records of animal use, care, health reports, and related facility records (e.g. temperature/humidity logs) will be available at each semi-annual facility inspection. The IACUC Administrator and Veterinarians have authority to request and review these records at any time if warranted. When deficiencies are found (i.e. non-compliance with PHS regulations), the PI will be notified and a plan of corrective action developed to be approved by the Veterinarian and the IACUC Administrator with notification to the IO and IACUC Chair.

Deficiencies affecting the health and well-being of laboratory animals will be dealt with according to procedures described in Section 10.

- Continuing/annual reviews will be conducted at twelve (12) month intervals. PI will be notified by the IACUC administrator via email prior to the expiration date and requested to submit an annual report.
- Continuing/annual reviews with no changes do not require committee approval. The IACUC administrator will monitor for yearly reports.
- With the exceptions noted below, continuing/annual reports with significant changes will be reviewed by a designated IACUC member with notification to entire committee.
- Continuing/annual review of protocols involving the following procedures shall be reviewed by full Committee.
 - Pain category "D" and "E"
 - Neuromuscular blocking agents
 - Multiple survival surgeries
 - Primates
- Each protocol shall be unique and shall be active for a maximum period of three (3) years. At the end of the three-year period, the protocol shall be automatically inactivated and all animal activities covered under it will be considered complete. Ongoing or additional animal activities must be submitted as a new protocol; go through the review process described in Section III.D.6, and will be assigned a new IACUC protocol number.

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:

- The IACUC may suspend an activity only after review of the matter at a convened meeting of a quorum of the IACUC present. A majority vote is required and a minority opinion shall be allowed for opposing view point(s). If a suspension is authorized, all activity will immediately cease. The Institutional Official in consultation with the IACUC shall review the reason for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW.
- If circumstances involving animal health, safety and/or welfare dictate, the Veterinarian, a subcommittee of the IACUC or the IO may immediately halt an activity on a temporary basis until evidence can be reviewed by the full IACUC as stated above.
- All affected parties including, but not limited to, the investigator, the IO and the appropriate oversight (e.g. Federal) agencies shall be notified of the reasons for the suspension, any applicable corrective action and any further action(s) anticipated.
- IACUC has the authority to suspend animal activities that have not received IACUC approval.

E. The occupational health and safety program for personnel working in laboratory animal facilities and personnel who have frequent contact with animals was developed with trained health professionals in university Health Services (RN) and the university's Environmental Safety Coordinator as follows:

1. The IACUC has a role in ensuring animal researchers receive appropriate occupational health and safety training, comply with environmental safety requirements and maintain a safe work environment. Review of the workplace and/or lab will be completed as part of the protocol and semiannual reviews.

2. Procedural links are established with the Environmental Safety Coordinator and communication is maintained with the researchers, instructors and lab workers, the IACUC, Environmental Safety department and occupational health services program. Continual development of the occupational health and safety program is underway.
3. Hazardous identification and risk assessment is completed through annual training in Environmental Safety and in each individual lab according to departmental procedures. Personnel are trained to practice good personal hygiene, be knowledgeable about the hazards in their work environment, understand the proper selection and use of equipment, follow established procedures, and use the PPE provided.
4. An Institutional Biosafety Committee (IBC) on campus is available to review studies involving biologic agents that may be used during animal studies.
5. Facilities, procedures and equipment have been designed, selected and developed to reduce the possibility of physical injury or health risk to personnel. Training is available on the use of equipment and the importance of using lab equipment correctly. A radiation program is in place to prevent excess permissible exposure limits and engineering controls and safety equipment are in place in all areas of animal care and use. Additional training is gained from the biosafety and lab training as well as CITI training.
6. Personnel training regarding zoonosis, chemical safety, physical hazards, allergies, handling of waste materials, precautions taken during pregnancy, illness or immune suppression are covered under the lab training, CITI training, the biosafety and lab training as well as in the hazardous waste material training.
7. Additional safety training required by personnel involved with animal use activities includes:
 - Online biosafety and lab training
 - Online blood borne pathogen training
 - Online hazardous waste material training
 - Animal care and use training for individuals working with animals
 - Animal contact assessment form
 - OSHA video training library available through Safety & Environmental Compliance department
8. Personal hygiene is reviewed in several required training formats such as the biosafety and lab training as well as in the lab. Departmental safety policies prohibit the consumption of food and drink and application of cosmetics in all laboratories where there is a risk of personal contamination, including all animal housing and use facilities. Gloves, masks, scrubs and lab coats are used solely in the animal facilities until disposal or decontamination by trained personnel. Disinfectants and hand soap are available in all animal facilities. NKU is a tobacco-free campus; therefore, the use of tobacco products is forbidden in all animal facilities.
9. Animal experimentation research studies involving hazards are reviewed by the IBC which have their own policy and procedures to guide researchers in the use of biologic, chemical and physical agents. Training may be obtained from the biosafety and lab training, CITI training and independent lab training through orientation and training in the labs.
10. Personal Protective Equipment (PPE) is provided to the personnel and lab procedures are in place to prevent contamination, accidents or occupational injury.

11. Personal Protective Equipment (PPE) is available in all labs which involve animal care and use. This includes gloves, gowns, masks and respirators. Procedures, to prevent researchers from wearing PPEs outside of the lab, are in place to decrease risk of contamination and injury. Training about PPE is available in the labs from mentors as well as from the biosafety and lab training.
 12. Prior to working with animals, students must work with the PI or senior technician learning such activities as disinfection techniques, use of PPE, and equipment.
 13. Enrollment of animal users: An Addition of Personnel form is completed whenever a student, faculty, or staff member is engaged in animal activities and added to an approved animal protocol. This includes summer students and visiting scientists. This form is returned with an Animal Contact Assessment form described in Section III.E.15.
 14. Other university personnel have extremely limited access to animal housing and procedure rooms. Housekeeping is handled by laboratory personnel, and maintenance personnel must be escorted by trained personnel except in emergencies (e.g. broken pipes, HVAC malfunctions, or electrical failures). The Public Safety Emergency Plan requires notification of the IACUC Chair and other animal users to facilitate communication with first responders. Contact information is posted on all animal facility doors along with signage about the presence of laboratory animals. Standard PPE (gloves, masks, scrubs and lab coats) are available to all non-animal users to reduce exposure to allergens.
 15. The IACUC requires all faculty, staff, students, and other study personnel involved in animal research, care and use to complete the Animal Contact Assessment form. This form was created with guidance by university Health Services and is used to educate animal personnel and allows trained professionals to assess individual risks associated with contact of laboratory or wildlife animals as part of a medical health evaluation. Personnel may visit his/her physician or visit NKU's Health, Counseling, & Student Wellness for immunizations or treatment for animal allergies. Pregnant women are cautioned against inhaling particular exposures or contracting certain zoonotic disease.
 16. Minor (non-life threatening) illnesses and injuries will be reported to the Health, Counseling and Prevention Services immediately and a report completed. Personnel may receive treatment through university Health Services or their personal physician. Life-threatening illnesses and injuries are reported to Public Safety with emergency medical personnel responsible for initial care and referral/transport to appropriate medical facilities as warranted. All incidents are reported to the respective department chair within 24 hours. Health records are maintained and protected according to HIPAA regulations.
- 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.
- G. The training or instruction available to scientists, animal technicians, and all other personnel involved in animal care, treatment, or use is as follows:
1. As part of this Institution's program for animal care and use, all personnel involved in animal use activities (the IACUC, investigators, technicians and animal care personnel) are required to participate in a training program. This Institution has contracted with the *Collaborative Institutional Training*

- Institute* (CITI) and required modules and instructions can be accessed through the Institution CITI website.
2. All personnel working with animals complete an orientation as well as ongoing training related to animal care and use.
 3. Prior to working with animals, students must work with the PI or senior technician learning activities such as recognizing common health conditions, proper procedures for handling adult and pre-weaning animals and food/water/enrichment requirements.
 4. Investigators new to animal research or using new procedures will work with an experienced investigator at the Institution or other Institutions before implementing the procedures.
 5. Anyone associated with an animal study receives additional training by the PI on the specific procedures being used.
 6. Instruction on research or testing methods that minimize the number of animals required to obtain valid results and limit animal pain and distress is continually discussed with research personnel and is ongoing for all personnel involved in animal care through the CITI system and updates distributed by the IACUC administrator or IACUC Chair as warranted. The IACUC strives to practice the "Three R's" recommended by the *Guide* of replacement, refinement, and reduction whenever possible.
 7. Ethical conduct of research for lab personnel is required. IACUC members are provided the current version of the *Guide*, current NKU Assurance and orientation by the IACUC Administrator and comprehensive CITI training modules online. Shared access to relevant PHS documents (e.g. Public Health Service Policy on Humane Care and Use of Laboratory Animals and the OLAW/ARENA IACUC Guidebook) and related standards (e.g. AVMA Guidelines on Euthanasia) is provided electronically through the university's Blackboard Web site.
 8. IACUC members are provided information to IACUC educational opportunities and resources. The IACUC administrator shares with the committee any information learned and encourages the committee to participate in continuing education. Because many of the committee members are part of the animal research community, ongoing education and training occurs regularly.

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 the IACUC Administrator at this Institution and made available to the OLAW upon request.

- (1) This Institution 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) is attached.

V. Recordkeeping Requirements

- A. This Institution 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, William F. Thompson
 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 3 years after completion of the activity.
- C. This Institution will maintain records of violations and suspensions for a period of time consistent with Human Resources requirements for personnel records.
- D. 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 calendar year (January 1 – December 31). The IACUC, through the Institutional Official, will submit an annual report to OLAW by January 31 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, William F. Thompson.
 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

A. Authorized Institutional Official	
Name: William F. Thompson	
Title: Director, Research, Grants and Contracts	
Name of Institution: Northern Kentucky University	
Address: UC 405, Nunn Drive, Highland Heights, KY 41099	
Phone: 859-572-5768	Fax: 859-572-6188
E-mail: thompsonw4@nku.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>William F. Thompson</i>	Date: 7/21/15

B. PHS Approving Official (to be completed by OLAW)

Name/Title: Office of Laboratory Animal Welfare (OLAW) National Institutes of Health 6705 Rockledge Drive RKL1, Suite 360, MSC 7982 Bethesda, MD USA 20892-7982 (FedEx Zip Code 20817) Phone: +1 (301) 496-7163 Fax: +1 (301) 915-9465	
Signature:	Date:
Assurance Number:	
Effective Date:	Expiration Date:

VIII. Membership of the IACUC

Date:03-30-15			
Name of Institution: Northern Kentucky University			
Assurance Number: A4348-01			
IACUC Chairperson			
Name*:Christine Curran			
Title*:Associate Professor of Biology			Degree/Credentials*:Ph.D.
Address*:Nunn Drive Science Building #344, Highland Heights, KY 41099			
E-mail*: curranc1@nku.edu			
Phone*:859-572-6194		Fax*: 859-572-6188	
IACUC Roster			
Name of Member/ Code**	Degree/ Credentials	Position Title***	PHS Policy Membership Requirements****
Dr. John Sector	D.V.M.	Veterinarian	Veterinarian
Dr. Patrick Schultheis	Ph.D.	Associate Professor of Biology	Scientist
Dr. Mark Bardgett	Ph.D.	Professor of Psychology	Scientist
Dr. Rudy Garns	Ph.D.	Associate Professor of Philosophy	Non-Scientist
Dr. Lindsey Walters	Ph.D.	Associate Professor of Biology	Scientist
Mr. Cliff Brown	B.S.	Psychology Technician	Scientist
Ms. Ashley Halpin		Student Representative	Student
Ms. Audrey Ostendorf	M.A.	IACUC Administrator	Non-voting member
Dr. Kristi Baker	D.V.M.	Veterinarian	Member
Ms. Danielle Mink	M.A.Ed.	Community Representative	Non-Affiliated Member

IX. Other Key Contacts (optional)

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

Contact #1	
Name: Audrey Ostendorf	
Title: Coordinator, Research Compliance	
Phone: 859-572-6017	E-mail: ostendorfa2@nku.edu
Contact #2	
Name:	
Title:	
Phone:	E-mail:

