

**MISSOURI STATE UNIVERSITY  
ANIMAL CARE AND USE POLICY  
STANDARD OPERATING PROCEDURES**

**1. GENERAL**

**A. Animal Care and Use Policy**

The Animal Care and Use Policy (hereinafter referred to as “University Policy”) was approved by the University’s Board of Governors on January 24, 2005. Changes to the University Policy require approval of the Board or its designee. The purpose of the University Policy and these Procedures is to cause the University’s use of animals in its educational and research facilities to be fully compliant with applicable law and regulations, in both letter and spirit, as opposed to other purposes such as recommending to the President or the Board policy revisions or expenditure of funds.

**B. Implementation of the University Policy**

The Standard Operating Procedures (hereinafter referred to as “SOP”) described herein are approved by the President to enable implementation of the University Policy. Approval of changes in the SOP must be approved by the Institutional Official.

**C. Institutional Official**

The Associate Vice President for Academic Affairs / Dean of the Graduate College is appointed by the President as having University system-wide responsibility for oversight and assuring compliance with the Animal Welfare Act (AWA), and the implementing regulations of the U.S. Department of Agriculture (USDA), and the U.S. Department of Health and Human Services (US DHHS).

**D. Covered Personnel**

The University Policy is applicable to all faculty, staff, students, visiting researchers and educators, and bona fide volunteers at Southwest Missouri State University that will be involved with vertebrate animal care and use, or intended use in research, research training, experimentation, or biological testing or for other related purpose as well as to the University’s faculty, staff and students conducting educational and research projects involving animal care and use at off-campus locations, or as otherwise required by law. Involvement in vertebrate animal care and use includes those persons who handle or are exposed to animal tissues, fluids, secretions, and/or excretions, as well as those who handle cages and other equipment contaminated with animal tissues. Persons involved in care and use of vertebrate animals who are not covered by the Policy include:

- (1) Students whose only involvement with animals is in formal academic courses or other educational programs; and

- (2) Persons involved in care and use of horses not used for research purposes, and farm animals used or intended for use as food or fiber unless included under Public Health Service funding requirements.
- (3) Faculty, staff and students whose only involvement is in recreational, judging and sporting use of livestock and poultry.

#### **E. Institutional Animal Care and Use Committee**

The Institutional Animal Care and Use Committee (IACUC) has the authority to develop and implement the SOP to assure humane care and use of animals and compliance with the University Policy and applicable law.

## **2. RESPONSIBLE UNIVERSITY ADMINISTRATORS**

Administrators responsible for units involved in animal care and use, and the concerned units are listed. If in the future other units become involved with animal care and use, they will be considered to be covered by the University Policy.

#### **A. President**

In accordance with the AWA, the President, as chief executive officer of the University, has overall responsibility for the University Policy and its implementation, as delegated by this Policy and SOP.

#### **B. Institutional Animal Care and Use Committee**

- (1) In accordance with the U.S. Department of Agriculture regulations ( 9 CFR Subchapter A) under the Animal Welfare Act and Public Health Service Policy on Humane Care and Use of Laboratory Animals (hereinafter referred to as “PHS Policy”), the President shall appoint a committee designated as the Institutional Animal Care and Use Committee (IACUC) and consisting of at least five members who have “sufficient ability to assess animal care, treatment and practices” (AWA 12(b)(1)). No more than three members shall be from the same administrative unit. At least one member shall be a doctor of veterinary medicine. At least one member shall not be affiliated in any way with the University other than as a committee member, nor be a member of the immediate family of a person who is affiliated with the University. The latter member is intended to represent the general community’s interests. At least one member shall be a practicing scientist experienced in research involving animals, and one member whose primary concerns are nonscientific, for example a lawyer or ethicist.
- (2) The mission of the IACUC is to develop and implement procedures that assure compliance with the University Policy and applicable law. This includes, but is not limited to reviewing and approving all projects that involve the care and use of animals, and to monitor these projects to assure compliance with this policy.

- (3) The IACUC shall meet on an as needed basis to review and approve in advance proposed projects involving the care and use of animals and to develop and implement procedures in accordance with the University Policy. Such meetings shall be conducted no less frequently than once per semester during the academic year. The IACUC shall inspect animal facilities no less frequently than semi-annually. Such inspections are to be conducted to assure that the facilities and projects are in compliance with this policy. A written report of facility reviews will be submitted to the Institutional Official, noting any deficiencies and providing a plan and timetable for correction.
- (4) The IACUC will conduct a semi-annual Program Review of the Animal Care and Use program. Results of the review and a report of any recommended corrective actions will be signed by all members of the IACUC including any dissenting opinions by members. The report will be filed with the Institutional Official, and will note any deficiencies in the program, and establish a timetable and plan for correction.
- (5) All new activities involving animals in research, teaching and display are to be approved by the IACUC before implementation. Approved ongoing activities will require review and approval every three years. Proposed significant changes to care or use of animals must be resubmitted for review and action to the IACUC.
- (6) The IACUC is authorized to suspend projects that are not in compliance with the University Policy, law or the approved protocol. Suspension will occur only after review at a convened meeting with a majority of a quorum approving suspension. In the case of egregious violation, the IACUC may suspend all the investigator's protocols. The investigators under review must be advised in writing of the complaint and have opportunity to respond to the IACUC prior to IACUC action.
- (7) The IACUC will investigate allegations of non compliance. The IACUC will report to the institutional official significant deficiencies, non compliance, and suspension. Complaints may originate within the University or from the public.
- (8) The IACUC will have two standing subcommittees – Policy Review and Compliance. These subcommittees will report to the full IACUC on matters within their assigned responsibilities.
  - (a) The Policy Review Subcommittee will consist of two internal members and the community representative with ex-officio representation from the Environmental Management Department and the Office of Sponsored Research and Programs. They will conduct an ongoing review of the University Policy and procedures to assure sustained compliance with applicable federal laws and implementing regulations.

- (b) The Compliance Subcommittee will consist of the University Veterinarian and two other members of the IACUC. They will investigate allegations of non-compliance and provide findings to the IACUC for determinations of the need for formal sanction and/or suspension. The IACUC will develop with the supervisor of the suspended activity a corrective plan to restore compliance.
  - (c) Other subcommittees may be appointed as needed by the Chair of the IACUC.
- (9) The IACUC will maintain minutes of all IACUC meetings and committee deliberations, applications and proposals reviewed, and reports of program reviews and inspections. Records must be maintained at least 3 years following completion of an activity, and made available to APHIS or OLAW representatives.

**C. Vice President for Academic Affairs**

- (1) Associate Vice President for Academic Affairs/Dean of the Graduate College (AVPAA/DGC) serves as the Institutional Official for the University Policy. The AVPAA/DGC will:
- (a) Sign and certify annual reports and assurances to USDA and OLAW.
  - (b) Provide oversight of the University activities to assure compliance with the University Policy;
  - (c) Review the findings of the Semi-Annual Program Review submitted by the IACUC, to determine the need for corrective actions;
  - (d) Review and evaluate proposed changes to the University Policy and this SOP as developed by the IACUC, and champion these changes to the appropriate approving authorities; and
  - (e) Review findings of government agencies and others to determine the need for corrective action to assure the University's compliance with federal laws and implementing regulations.
  - (f) Reports significant deficiencies, serious or continuing non compliance with this Policy, the AWA or the PHS Policy, failure to adhere to corrective plans, suspensions, and corrective plans to appropriate federal agencies.
- (2) Dean of College of Health and Human Services and Dean of College of Natural and Applied Sciences. The Deans will:

- (a) Assist the IACUC, the Environmental Management Department, and the Office of Sponsored Research and Programs in implementation of the University Policy;
  - (b) Assign responsibilities within each department where animals are used as an integral part of education and research programs to assure that the SOP is implemented;
  - (c) Assure that supervisors enroll persons covered by the University Policy in the Occupational Health and Safety Program. This will include faculty, staff, student employees, students not employed by the University but involved with animal care and use, as well as visiting researchers and educators. In addition, supervisors will assure that persons who wish to volunteer, i.e., participate in research and educational projects without remuneration, are approved by the Office of Human Resources before enrolling in the Occupational Health and Safety Program;
  - (d) Assure that all research activities involving animals covered by the University Policy are approved by the IACUC prior to implementation;
  - (e) Assure that all persons covered by the University Policy have completed applicable training as described in the SOP prior to participating in activities involving the care and use of animals;
  - (f) Assure that expenditures are not permitted for activities that have been suspended by notification in writing from the IACUC. Notification in writing from the IACUC of revocation of the suspension will permit further expenditures.
- (3) Office of Sponsored Research and Programs. The Director will:
- (a) Assist the Associate Vice President for Academic Affairs / Dean of the Graduate College in administering the SOP, and assist the IACUC in fulfilling its responsibilities;
  - (b) Coordinate the Occupational Health and Safety Program (OHSP) in collaboration with the Environmental Management Department; and
  - (c) Maintain records for IACUC and the OHSP as described in the SOP.

**D. Vice President for Administration and Finance**

- (1) Environmental Management Department (EMD)

The Director has University System-wide responsibility for coordinating a comprehensive program for handling, storage and disposal of hazardous and bio-hazardous materials and wastes. The Director will:

- (a) Assist in developing and conducting training for faculty, staff, and students involved in animal care and use;
  - (b) Advise on appropriate personal hygiene procedures and personal protective equipment (PPE) to be used by persons involved in animal care and use;
  - (c) Conduct waste audits, assessments, and inspections, and recommend corrective actions;
  - (d) Advise on the development and implementation of procedures including personal hygiene, use of personal protective equipment, bio-waste and hazardous storage and disposal; and
  - (e) Coordinate the disposal of hazardous materials, and contaminated waste generated in animal care and use.
- (2) Director of Human Resources. The Director will:
- (a) Forward to the Office of Sponsored Research and Programs the names of faculty and staff whose duties are identified as involving animal care and/or use;
  - (b) Determine whether persons proposing to become involved in research or educational activities involving animal care and use are bona fide volunteers in accordance with existing University policies.
- (3) Director of Physical Plant. The Director will:
- (a) Assure that supervisors enroll persons in their unit who are covered by the University Policy are enrolled in the Occupational Health and Safety Program; and
  - (b) Assure that persons who are covered by the University Policy are enrolled in the Occupational Health and Safety Program, and have completed the training and have access to the personal protective equipment as prescribed by the Director of the Environmental Management Department.
- (4) Director of Property Control and Receiving; The Director will:
- (a) Assure supervisors enroll persons in their unit who are covered by the University Policy are enrolled in the Occupational Health and Safety Program; and
  - (b) Assure that persons who are covered by the Policy are enrolled in the Occupational Health and Safety Program, have completed the training

and have access to the personal protective equipment as prescribed by the Director of the Environmental Management Department.

**E. Vice President for Student Affairs**

(1) Director of Student Employment. The Director will:

Forward to the Office of Sponsored Research and Programs the names of students whose duties will involve animal care and/or use.

(2) Director of Taylor Health and Wellness Center. The Director will:

- (a) Develop and implement a plan for assessments of health risks of persons who are referred by the Office of Sponsored Research and Programs;
- (b) Provide vaccinations for persons who are at risk because of their exposure to animals, animal tissues, fluids, secretions, and/or excretions; and
- (c) Provide acute treatment for illnesses and injuries resulting from exposures to or accidents related to involvement with animals.

**F. Chancellor of West Plains Campus**

(1) The Chancellor will:

- (a) Assist the IACUC, the Environmental Management Department, and the Office of Sponsored Research and Programs in implementation of the University Policy;
- (b) Assign responsibilities within each unit where animals are used as integral part of education and research programs to assure that the SOP is implemented;
- (c) Assure that supervisors enroll persons covered by the University Policy into the Occupational Health and Safety Program;
- (d) Assure that all research activities covered by the University Policy are approved by the IACUC prior to implementation;
- (e) Assure that expenditures are not permitted on projects that have been suspended by notification in writing from the IACUC. Notification in writing from the IACUC of revocation of the suspension will permit further expenditures.

### **3. OCCUPATIONAL HEALTH AND SAFETY PROGRAM (OHSP)**

#### **A. Purposes**

The OHSP is intended to provide persons covered by the University Policy with a safe work place and provide information that will enable compliance with the SOP. The Environmental Management Department, and the Office of Sponsored Research and Programs administer the OHSP with the assistance of Taylor Health and Wellness Center.

#### **B. Required Enrollment**

Persons covered by the University Policy are required to enroll in the OHSP. In addition, non-employees, e.g., visiting researchers and educators, and bona fide volunteers are required to enroll in the SMSU OHSP or provide certification that they are participants in a similar program at their home institution.

#### **C. Components of the OHSP**

- (1) The OHSP includes the following:
  - (a) A Hazard Evaluation Form will be completed by the supervisor of persons covered by the University Policy. This form is submitted to the Office of Sponsored Research and Programs (OSRP) and is used to enroll these persons in the OHSP. This form is available on the OSRP web site – [www.srp.missouristate.edu](http://www.srp.missouristate.edu) under Animal Care and Use.
  - (b) The enrolled person will schedule a Medical Risk Assessment at the Taylor Health and Wellness Center. These persons will complete a Medical History Questionnaire for use with the health professional conducting the Assessment. The results of this Assessment will be forwarded to the person, his/her supervisor, the Environmental Management Department (EMD) and the OSRP. These records may contain protected health information (PHI) and will have to be maintained in accordance with the Privacy and Security Rules of the Health Insurance Portability and Accountability Act (HIPAA).
  - (c) The OSRP will assign a Risk Category based on information provided in the Hazard Evaluation Form and the Medical Risk Assessment, and provide a listing of sources of information including electronic and hardcopy materials related to the identified hazards. This information will be provided to the person and his/her supervisor. The supervisor will acknowledge in writing receipt of this information and assure that the prescribed health and safety precautions will be implemented.
  - (d) The EMD will provide the person with information on the potential hazards related to their involvement with animals, as well as the required training programs, procedures, and personal protective equipment intended to minimize these risks. This information will be provided to the person and

his/her supervisor. The supervisor will acknowledge in writing receipt of this information and assure that the prescribed health and safety precautions will be implemented.

- (e) Once enrolled in the OHSP, persons can request a waiver of participation in the program including the completion of the Medical History Questionnaire and participation in a Medical Risk Assessment. Such a request must be approved by his/her supervisor, the medical professional at Taylor Health and Wellness Center, OSRP and EMD. Approval of waiving participation will be based on the relative risk of potential exposure to zoonotic diseases (transferable between animals and humans), and other hazards associated with the intended involvement with animals. Waiver will not be permitted for completion of applicable training programs and the use of personal protective equipment as prescribed by the EMD.
  - (f) The Hazard Evaluation Form will be submitted annually by supervisors or more frequently whenever there is to be a change in the exposures of covered persons.
- (2) Injury and Illness Resulting from Involvement with Research and Educational Activities Approved in Accordance with the University Policy:
- (a) Faculty, staff and student employees will be covered by Workers' Compensation.
  - (b) Students not employed by the University will be covered by their personal health insurance.
  - (c) Visiting researchers and educators participating in these projects as part of their employment by external organizations will be covered by their employer's insurance or their personal health insurance.
  - (d) Persons who are approved by the Office of Human Resources as volunteers will be covered by Workers' Compensation..
- (3) Monitoring of Facilities and Approved Activities – The IACUC and other responsible University personnel will conduct inspections at a minimum of every six months to determine if persons who are exposed to animals, animal tissues, fluids, secretions and/or excretions are acting in accordance the SOP. Representatives of federal agencies also will conduct periodic inspections of the University's compliance with applicable federal laws and implementing regulations.
- (4) The University Veterinarian will recommend surveillance measures that are to be undertaken for activities that use species known to have zoonotic diseases. It will be the responsibility of the Supervisor to implement these measures. Inspections by the full IACUC, the Compliance Committee, and the University Veterinarian, as described elsewhere, will include review of these surveillance measures.

## 4. TRAINING

### A. Animal Care and Use

In accordance with the Animal Welfare Act [13(d)], the University shall provide training for all personnel involved in animal care and use. No persons covered by the University Policy are permitted to be involved in care and use of animals until they have been certified as completing the training prescribed by the Office of Sponsored Research and Programs, the Environmental Management Department and by their supervisor. Under normal circumstances, persons requiring access to animal facilities for purposes of maintenance and repair are only required to be certified as having completed training described in Section 4.B.

#### (1) General Training Program

- (a) Online training will be provided that includes an overview of the federal laws and implementing regulations, and the University Policy and the SOP. This training includes humane practices of animal care and use, research and testing methods that minimize or eliminate the use of animals or limit animal pain or distress, and utilization of the National Agriculture Library and other electronic and published information sources that could prevent the unintended duplication of animal experimentation or improve the methods of animal experimentation.
- (b) Completion of this training program will be required of all persons covered by the University Policy. A certificate of completion will be signed by the covered person and his/her supervisor, and submitted with applications for approval of activities covered by this policy.
- (c) Refresher training is required every three years to ensure that covered persons understand applicable laws, regulations and policies.

#### (2) Survival Surgery Program

- (a) This training includes preoperative management, principles of operative procedures, use of anesthetics, and post-operative care. This program is provided online.
- (b) Completion of this training is required for all covered persons who are to be involved with animals that will undergo surgical procedures and survive for educational and research activities. A certificate of completion is signed by the covered person and the Supervisor, and submitted with applications of research activities covered by the Policy.

#### (3) Laboratory Procedures

Faculty and staff conducting educational and research activities involving animals are responsible for providing their staff and students with training on

specific hazards associated with their activities, as well as procedures and equipment to be used to reduce risks.

## **B. Personal Protection**

- (1) Covered persons may be exposed to hazards, including zoonotic diseases (transferable between animals and humans), bites and scratches, etc.
- (2) These persons also may be exposed to hazardous biological and chemical substances that are used as part of these activities.
- (3) In accordance with the University's Environmental Management Training Plan, these persons are required to undergo training in accordance with the University's Environmental Management Training Plan. No faculty, student or staff member is allowed to work unsupervised in a position in which they are exposed to risks as described in 4.B.(1) and (2) above, handle or are exposed to hazardous materials or wastes, or are involved in spill response until they have received the required training.
- (4) Even though persons working with livestock managed in a production environment (i.e., cattle, goats, horses, poultry, sheep and swine) and which are being utilized for recreational, sporting, or educational activities (not research activities) are exempt from the Policy, these persons will be responsible for caring for these animals in accordance with livestock standards.

## **C. Training of IACUC and Other Responsible Officials**

To assure that the University Policy is in compliance with this policy, and that the SOP is effective and efficient, members of the IACUC and the responsible units will participate in training programs offered by the federal agencies, and other national organizations recognized for their leadership in matters related to animal care and use.

- (1) Initial Training – All members of the IACUC will undergo training prior to being involved in decision making by the committee. This training will include completion of the online and personal protection training described above, as well as the online PHS Policy Tutorial. They also will receive a binder containing the following materials:
  - (a) Animal Welfare Act
  - (b) USDA Regulations – 9 CFR Chapter 1
  - (c) PHS Policy on Humane Care and Use of Laboratory Animals
  - (d) U.S. Government Principles for the Care and Use of Animals Used in Testing, Research, and Education
  - (e) University's Animal Care and Use Policy
  - (f) University's Standard Operating Procedures for Implementation of the University's Policy
  - (g) *Guide for the Care and Use of Laboratory Animals*
  - (h) *Occupational Health and Safety in the Care and Use of Research Animals*

- (i) *Guidelines for the Care and Use of Mammals in Neuroscience and Behavioral Research*

(b) Follow-Up Training – Members of the IACUC will participate annually in relevant training programs offered by PRIMR/ARENA or other organizations. The University attendees will provide a review of the materials covered in these training programs for members of the IACUC, as well as other University officials having responsibilities under the Animal Care and Use Policy.

#### **D. Records of Completed Training**

Certification of completion of training is described in Section 8.A below.

### **5. APPROVAL OF ACTIVITIES INVOLVING THE CARE AND USE OF ANIMALS**

#### **A. Applications**

Supervisors of research activities that will involve animals covered by the Policy will complete the Animal Care and Use Protocol application that is available on the OSRP web site under Animal Care and Use. The completed application and accompanying documentation is to be submitted to the Office of Sponsored Research and Programs where it will be logged in and forwarded to the members of the IACUC for review.

#### **B. Review and Approval**

Approval by the IACUC will occur at formal meetings with full committee review. Prior to these meetings members of the IACUC may contact the applicant to suggest changes and additional documentation. Applicants may be invited to the IACUC meeting to discuss their application.

#### **C. Ongoing Activities**

The IACUC will conduct continuing reviews of approved activities no less frequently than annually.

### **6. PROGRAM EVALUATION**

#### **A. IACUC Inspections and Monitoring of Animal Facilities and Approved Activities**

- (1) The IACUC will conduct semi-annual reviews of the Animal Care and Use Program in accordance with the OLAW *Institutional Animal Care and Use Committee Guidebook*, National Research Council *Occupational Health and Safety in the Care and Use of Research Animals*, and the OLAW Semiannual Program and Facility Review Checklist. This review will include:

- a. Inspection of facilities
  - b. Adherence to approved protocols
  - c. Adherence to the Occupational Health and Safety Program.
- (2) The IACUC and the Institutional Veterinarian will conduct periodic inspections of the animal facilities and the approved activities to assess compliance with the University Policy.

**B. Government Agency Evaluations**

- (1) A USDA-APHIS assigned veterinarian will conduct an inspection of the University's animal facilities, the records of the IACUC, and other documentation related to animal care and use.
- (2) A representative of USPHS – OLAW may conduct inspections of the animal facilities, the records of the IACUC, and other documentation related to animal care and use.

**C. External Consultant Evaluation**

To assure that the SOP implements the University Policy in an effective and efficient manner, the University will secure the services of an external consultant to conduct a review of the IACUC Procedures and Records, the Occupational Health and Safety Program, and environmental safety as related to this policy.

**7. SANCTIONS AND REMEDIATION**

**A. Allegations**

Persons suspecting that activities being conducted in the University or by University personnel are not in compliance with the University Policy are to report their concerns to the Associate Vice President for Academic Affairs / Dean of the Graduate College (Institutional Official), the IACUC, the Office of Sponsored Research and Programs, the Environmental Management Department or other University units for conveyance to the IACUC. In accordance with applicable laws and implementing regulations, whistleblower protection will be afforded to these persons reporting suspicions of violations.

**B. Investigations of Complaints**

The Compliance Subcommittee of the IACUC will investigate the validity of all complaints. This will include inspection of the applicable animal facilities and research or educational sites, discussions with the supervisor and other involved personnel, and further discussion with the person submitting the allegation.

The IACUC Veterinarian will advise a supervisor to make corrections in a timely manner where the facilities or practices are determined to be significantly deficient as defined previously.

**C. Notifications of Required Corrections**

Written notification of the findings of the complaint will be filed with the supervisor of the research or educational activity, that person's supervisor, the Dean of the Academic College, the Institutional Official, the Office of Sponsored Research and Programs, and the Environmental Management Department. Where required under applicable federal laws and implementing regulations, the Institutional Official will report violations to the agency sponsoring such activities.

#### **D. Handling of Minor and Significant Discrepancies**

- (1) The IACUC has the authority to temporarily suspend activities involving animal care and use if it is found that the activities are not in compliance with the University Policy. Permanent suspension (greater than 20 days) will require action of the IACUC as a whole, pursuant to 2.B.6.
- (2) The IACUC Veterinarian will advise a supervisor to make corrections in a timely manner where the facilities or practices are determined to be significantly deficient, and will report this deficiency to the IACUC for investigation. Should this investigation find that the discrepancy is significant, the IACUC may suspend the activity pursuant to 2.B.6.
- (3) For violations that are judged to be minor discrepancies by the IACUC, corrections to restore compliance must be completed in a timely manner prescribed by the IACUC.
- (4) The Dean of the applicable Academic College will not permit expenditures for an activity that has been suspended by the Institutional Official, the Institutional Veterinarian or the IACUC. Expenditures of funds will not be permitted until such time as the IACUC has reported in writing that the project is in compliance.

#### **E. Remediation**

The supervisor of the cited activity will submit a report to the IACUC for review. On-site inspections also may be conducted by the IACUC. If corrective measures are found to restore compliance, written notification will be submitted to the parties listed in Section 7.C. above.

### **8. RECORDKEEPING AND REPORTING**

#### **A. Internal Records**

- (1) The Office of Sponsored Research and Programs will maintain records of the IACUC and OHSP, including APHIS and PHS assurance, and, as applicable, accrediting body determinations. This office also will enter information into the Human Resources – Individual Development Plan database for persons who have completed training required under the University Policy.

- (2) The Environmental Management Department will maintain records of persons receiving information about hazards, training, as well as procedures and equipment to minimize risk. This office also will enter information into the Human Resources – Individual Development Plan database for persons who have completed training required under the University Policy.
- (3) The Taylor Health and Wellness Center will maintain records of persons participating in the Medical Risk Assessment.
- (4) Supervisors will maintain records of enrollment of persons in the Occupational Health and Safety Program.
- (5) The Office of Training and Development will maintain the Human Resources - Individual Development Plan database that will contain results of training programs completed by persons covered by the University Policy.
- (6) Records containing individually identifiable health information will be handled in accordance with the Health Insurance Portability and Accountability Act.

**B. Reporting**

- (1) The Office of Sponsored Research and Programs will assist the IACUC and the Institutional Official in filing reports as required by the Office of Laboratory Animal Welfare of the US DHHS and the Animal Plant and Inspection Service of USDA.
- (2) The Environmental Management Department will be responsible for the following records and reports
  - (a) Documentation of training related to the University Policy;
  - (b) Documentation of personal hygiene procedures and personal protection equipment usage recommendations to persons covered by the University Policy;
  - (c) Reports based on animal facilities inspection related to personal hygiene procedures and personal protection equipment usage;
  - (d) Spill and incident reports; and
  - (e) Environmental regulatory agency inspection reports (USEPA and MDNR).

## **9. COSTS**

### **A. Hazards and Medical Assessments and Vaccinations**

Costs incurred for the hazards and medical assessments and vaccinations will be covered through the Animal Care and Use account administered by the Office of Sponsored Research and Programs.

### **B. Injury and Illness**

Sources of funds to cover costs associated with injury or illness resulting from involvement in activities approved under the University Policy are described in 3.C.(2).

### **C. Personal Protection**

Costs for personal protection equipment and other materials and supplies required for animal care and use will be borne by the individual research programs or for educational activities by the academic department.

### **D. Training**

Costs for training persons covered by the University Policy and the IACUC and other responsible University officials will be covered through the Animal Care and Use account.

### **E. Facilities and Procedures Modifications**

Costs associated with modifications to animal facilities and activity procedures required for compliance with the University Policy will be covered by the individual research programs or for educational activities by the academic department.

## **10. AMENDMENTS**

The University recognizes that there will be a need to update and revise the University Policy and implementing procedures to enable effective and efficient practices that assure compliance with applicable federal and state laws and implementing regulations.

### **A. Changes in the University Policy**

- (1) Changes to the University Policy shall be proposed to the Associate Vice President for Academic Affairs / Dean of the Graduate College or the IACUC.
- (2) Changes approved by the IACUC will be conveyed to the Associate Vice President for Academic Affairs/Dean of the Graduate College for review and approval by the President and the University's Board of Governors. Once approved, changes will be incorporated as amendments to the University Policy.

**B. Changes to the SOP**

- (1) Changes to the SOP will be proposed to the the Associate Vice President for Academic Affairs / Dean of the Graduate College, the IACUC, the Office of Sponsored Research and Programs, or the Environmental Management Department.
- (2) Changes approved by the IACUC will be forwarded to the Associate Vice President for Academic Affairs / Dean of the Graduate College for review and approval by the President or his designee. Once approved, changes will be incorporated as amendments to the SOP.