

## **MISSION STATEMENT**

The University of Wisconsin-Whitewater recognizes the scientific and ethical responsibility for the humane care and use of animals involved in research and education and enjoins all individuals involved to the highest standards of care and consideration.

The Institutional Animal Care and Use Committee (IACUC), as agent for the University of Wisconsin-Whitewater's obligations for humane care and use of animals, shall:

1. Assure all activities (involving animals) meet the ethical and legal requirements for the humane care and use of animals.
2. Maintain and promote an open and cooperative relationship with investigators and faculty/staff, and the greater university community.
3. Educate the University community concerning the ethical and regulatory considerations for the humane care of animals.
4. Consider it a moral and ethical obligation to educate our community, both internal and external, on the importance of animals for research and teaching.

## **COMMITTEE STRUCTURE**

### **MEMBERSHIP**

IACUC members are appointed by the Chancellor of the University of Wisconsin-Whitewater. Membership must include at least:

1. Veterinarian,
2. Community Representative,
3. Non-scientific representative,
4. Two other members representing the wide diversity of activities utilizing animals at the University of Wisconsin-Whitewater, and
5. Director of Research and Sponsored Programs (ex-officio) and IACUC Administrator.

Alternate members are designated to represent any member absent from a meeting. Alternates may attend all meetings and vote in the absence of members. Alternate IACUC members may act on behalf of any absent member when voting on full Committee matters. They may act as a member of the IACUC in authorizing clarifications of approved protocols, amendments not requiring full committee action, and in ratifying expedited protocols.

The Chair is elected by a majority vote of the IACUC.

A Vice-Chair may be appointed by the Chair with concurrence of the Committee. The Vice-Chair is authorized to perform primary review of new animal use petitions, chair IACUC meetings, and

perform other functions in the absence of the Chair or in cases of potential conflicts of interest involving the Chair.

From the full IACUC membership, special subcommittees may be convened as needed. The constitution and member qualifications for special subcommittees will be incorporated into this Policy Manual as needed.

Effective 1 May 2005, an Agricultural Research Subcommittee will be convened. This Subcommittee must include, at least:

1. Veterinarian,
2. IACUC Chair, and
3. An IACUC member with recent (in the past five years) animal research experience in a laboratory or agricultural setting.

#### **QUALIFICATIONS FOR IACUC AND SUBCOMMITTEE MEMBERS**

1. Commitment to the ethical and scientifically sound conduct of research, testing, or teaching involving animals.
2. Participation in training and animal handler certification.
3. Participation in thorough review of pertinent documents concerning appropriate animal care for research, testing, and teaching activities at the University.

#### **MEETINGS**

Meetings are open to the public. Matters concerning personnel, security arrangements, conferences with attorney, or issues required to be confidential by federal, state, or local law may be held in executive session. Meetings must, however, be convened and adjourned in public session.

Regular meetings are scheduled each semester, with additional meetings called by the Chair, or the Research and Sponsored Programs office, as deemed necessary.

While the Committee actively works to reach consensus on issues presented for consideration, the committee does function from a majority rule. To further evidence diversity of opinion, minority opinions may be included in the minutes of all meetings as well as in the Semi-Annual Report.

#### **GENERAL IACUC APPROVAL PROCEDURES**

1. New and renewal protocol applications (see Appendix 1) are approved by the IACUC Chair's designee and Veterinarian.
2. Protocols that have been approved pending receipt of clarifications not involving major changes may be approved by the Chair or Chair's designee plus one other IACUC member (preferably the Veterinarian) with notification of the IACUC. The clarifications

involving major changes are returned to the full Committee. The IACUC determines whether a clarification should come back to the Committee at the time it grants approval pending clarification to the protocol.

3. Regardless of the nature of the requested changes (i.e., 'non-major' or 'major'), such requested clarifications, responses to restrictions, or other requested changes, shall be incorporated into a revised protocol with the revision(s) highlighted .
4. Annual Reviews are conducted administratively by the Chair or Chair's designee and the Veterinarian with notification of the IACUC unless full Committee review is either requested by an administrative reviewer or is mandated by other such policy.
5. Amendments (either alone or as part of an annual review) involving significant changes are approved by the full Committee. Amendments (either alone or as part of an annual review) involving non-significant changes may be approved by two (2) committee members, usually the Chair or Chair's designee and the Veterinarian, with notification of the IACUC. Either reviewer may decide whether or not an amendment requires full IACUC review.
  - a. Amendments that may be presented to the IACUC include:
    - i. A significant change in procedure(s).
    - ii. Addition of new procedures.
    - iii. A significant change in administrative matters and/or the request for additional (greater than 10% of original approval) animals.
6. The Chair or Chair's designee and the Veterinarian may conduct an expedited protocol review on a "need" basis. The need for such a review will be determined by and the review will be initiated by the Chair upon request from an investigator or IACUC member. Expedited approvals will be limited in terms of approval duration, animal numbers, and/or allowed procedures. Such expedited review shall be followed by ratification of the full Committee at the next IACUC meeting. Only protocols in classifications 1 or 2 may be reviewed via Expedited methodology.
7. Closures of protocols are carried out by the Research and Sponsored Programs office (RSP) with notification of IACUC.
8. Certifications of current protocol approval are carried out by the Research and Sponsored Programs office (RSP) with notification of IACUC.
9. The transfer of animals from one approved protocol to another approved protocol will require action by the Veterinarian and the Chair and notification of the Committee.

## **PROCEDURES FOR PROCESSING ANIMAL USE PROTOCOLS AND AMENDMENTS**

1. Protocol Receipt and Initial Processing: A full and complete protocol must be submitted to the IACUC via the Research and Sponsored Programs office.
  - a. It will be date stamped.
  - b. It will be assigned a protocol code [number].
  - c. A file will be opened and the original will become the file copy.
  - d. The IACUC Chair and Veterinarian will complete preliminary review. The Chair and Veterinarian may:
    - i. Determine the protocol qualifies for Expedited review and approve, require modifications in (to secure approval), defer action, or withhold approval of the proposed activities.
    - ii. Determine the proposed activities require full review and place the protocol on the IACUC agenda.
    - iii. A principal investigator may insist that a protocol be considered by IACUC full review regardless of classification.
  - e. Copies of the protocol will be distributed to IACUC members.
2. IACUC Review.
  - a. At the next IACUC meeting the Chair and Veterinarian will give the Committee a short synopsis of the protocol and the protocol will be discussed.
  - b. The Committee will vote to approve, approve pending clarifications, defer action (usually pending further information and/or clarification), defer action pending required modifications, or disapprove the protocol. In general, approval pending clarification will be given if the Committee considers the clarification is sufficiently minor or straightforward so that the Chair and Veterinarian can certify the clarifications are adequate.
3. Outcomes of IACUC Actions.
  - a. If the protocol is approved:
    - i. A copy of the signed notice of approval and the protocol will be sent to RSP.
    - ii. A copy of the approval and a letter will be sent to the PI indicating that animals may be ordered and research covered by the protocol begun.

- b. If the protocol is approved pending clarification:
    - i. A request for clarifications will be sent to the PI and he/she will be asked to respond by a prescribed time. A protocol will be considered withdrawn if a timely response is not received.
    - ii. Upon receipt of the clarifications, the Chair and Veterinarian will review the response and either certify that it is adequate and proceed as in 2.b. or bring the response to the full Committee.
  - c. If the protocol is deferred or deferred pending required modifications:
    - i. The PI will be notified of the actions and reasons for the actions. If additional information or clarifications are requested, the PI will be asked to respond by a prescribed time. A protocol will be considered withdrawn if a timely response is not received.
    - ii. Upon receipt of the PI's response to RSP, RSP will proceed.
  - d. Regardless of the nature of the changes or modifications requested; clarifications, responses to restrictions, or other requested changes, shall be incorporated into a revised protocol with the revision(s) high-lighted. This revised document will be the protocol of record.
4. Procedures for Reviewing Amendments to Active Protocols.
- a. Amendment Receipt and Initial Processing: Amendments will be received by RSP. There they will be:
    - i. Date stamped.
    - ii. Copied for the protocol file.
    - iii. Sent (original) to a preliminary Screener (usually the Veterinarian).
  - b. Screening
    - i. The preliminary screener will indicate whether he/she believes the amendment is minor, not requiring committee action, or should be reviewed by the committee.
    - ii. He/she will indicate this judgment on the amendment, sign it, and return it to RSP.
  - c. The amendment will then be sent to a second Screener (usually the Chair) who will indicate his/her judgment as to whether the amendment is minor or requires full Committee action. He/she will indicate this decision on the original amendment, sign it, and return it to RSP.

- d. If both Screeners agree that the amendment is minor and does not require Committee action, the PI will be notified that the amendment is approved and in force.
  - e. If either Screener believes the Committee needs to consider the amendment, it will be processed "Procedures for Reviewing New Protocols".
5. Procedures for conducting a Continuing (Annual) Review of Protocols (Appendix 3).
- a. Information for Continuing Review:
    - i. Two months before the anniversary of a protocol, a continuing review memorandum will be sent to the PI. The PI will be asked for a timely response.
    - ii. If a response is not obtained the protocol will be inactivated after appropriate warning.
  - b. Screening: Once information is received it will be reviewed by a member of the IACUC and the Veterinarian specifically for:
    - i. Changes in the protocol.
    - ii. Changes in regulations that require modification of the protocol.
      - 1. If there are no changes or minor changes then the protocol will be handled as a minor amendment (as described in "Procedures for Reviewing Amendments to Active Protocols").
      - 2. If the Veterinarian or IACUC member believes the Committee should review the continuing review information, the protocol will be handled as an amendment would (as described in "Procedures for Reviewing Amendments to Active Protocols").
6. Procedures for conducting a Three-Year (*de-novo*) Review of an Active Protocol.
- a. The three-year review of a protocol will be conducted following the "Proposed Three (3) Year Review Policy."

### **FORMAT FOR SUBMITTED PROTOCOLS**

- 1. Protocols must be made using the form currently approved by the IACUC. University of Wisconsin-Whitewater personnel may use the University of Wisconsin-Whitewater Animal Study Proposal format as currently approved.
- 2. Call for renewal protocols will be initiated by RSP and shall utilize the same forms as were used in the initial review.
- 3. Requests and appropriate form (Appendix 3) for continuing (annual) reviews will be sent by RSP.

## **REPORTING THE MISTREATMENT OF ANIMALS AND DEFICIENCIES IN CARE**

It is the policy of the University of Wisconsin-Whitewater that the care, use, and treatment of university-owned laboratory or agricultural animals should be of high quality and in compliance with all federal, state, and local regulations. The law requires that all persons involved or in any way associated with the use of animals in research know how to report deficiencies in animal care and treatment. There are no restrictions on who can report an alleged incident. Anyone who has knowledge of such a deficiency is obligated to report it to the proper University of Wisconsin-Whitewater official immediately. Under no circumstances will reporting such incidences in good faith be detrimental to an individual's standing within the organization.

1. Definition: Allegations of animal mistreatment and deficiencies in care include the following:
  - a. The wrongful or abusive physical or psychological treatment of an animal.
  - b. Non-compliance with established procedures, policies or protocols.
2. Procedures: Any person with knowledge of deficiencies or with reasonable suspicions of deficiencies or mistreatment involving University of Wisconsin-Whitewater laboratory or agricultural animals is obligated to report them directly to the Research and Sponsored Programs office, IACUC Administrator, (262) 472-5212 or any member of the IACUC. Timely reporting is essential to protect the animals involved and to aid the investigation of the allegations.
  - a. Neither administrative action nor retribution of any kind may be taken against a person making a good faith report of deficiencies. This is in accordance with public law [9 CFR, Part 2, Subpart C 2.32 (c) (4)].
  - b. Reports of suspected deficiencies should be made in writing whenever possible and should include, but need not be limited to, the nature and the place of the occurrence, the person or persons alleged to be delinquent, the date, the time, and any supporting facts.
  - c. If a person actually witnesses mistreatment or abuse, the witness will immediately notify the Research and Sponsored Programs office, (262) 472-5212 so that the animal or animals involved can be evaluated and receive medical treatment if necessary. The person should then report the incident through channels as described above.
  - d. The Institutional Animal Care and Use Committee will investigate allegations and report its findings and recommendations to the Chancellor in a timely fashion.
  - e. Details of any reports or allegations of deficiencies, findings or recommendations of the IACUC, as well as administrative or legal actions taken by the committee are considered privileged information and may be released only through official channels, or as required by law.

3. Willful mistreatment or abuse of animals may be grounds for suspension of all animal use activities or protocols involved, or other disciplinary actions. Disciplinary action may be appealed through existing procedures.
4. This policy will be distributed to all personnel involved in any way in animal research at the University of Wisconsin-Whitewater facilities during periodic training sessions/meetings. Principal investigators will be responsible to assure that all personnel involved in research activities under their direction are aware of the above procedures.
5. Statutory authority for this instruction is found in the 1985 Amendment to The Animal Welfare Act Title 7, United States Code, Section 2131-2156, PL-99-198. The Act requires that "...training for scientists, animal technicians, and other personnel involved with animal care...shall include...methods whereby deficiencies in animal care and treatment should be reported."

### **PROCEDURES FOR DEALING WITH ALLEGATIONS OF ANIMAL MISTREATMENT OR DEFICIENCIES IN THEIR CARE**

1. Purpose: The purpose of this procedure is to establish guidelines for the investigation of complaints alleging the mistreatment of animals or other deficiencies in animal care or treatment.
2. Definition: Allegations of animal mistreatment include the following:
  - a. The wrongful or abusive physical or psychological treatment of an animal.
  - b. Non-compliance with established procedures or policies.
3. Reporting: Allegations should be made in writing, when possible, to the Research and Sponsored Programs office, the Chair (or to any member) of the IACUC, or to the Institutional Official. In all instances these allegations shall be immediately forwarded to the IACUC Chair. There are no restrictions on who can report an alleged incident. In accordance with the public law [9 CFR, Part 2, Subpart C 2.32(c) (4)], under no circumstances will reporting such incidences be detrimental to an individual's standing within the organization. Instruction regarding the methods by which allegations may be made to the IACUC and whistle-blower protection will be outlined in investigator training sessions. In addition, these instructions will be accessible in each building where research animals are used and available from the Research and Sponsored Programs office.

### **IACUC PROCEDURES FOR THE INVESTIGATION OF A COMPLAINT**

1. The IACUC Chair is responsible for the receipt and disposition of all complaints. All allegations will remain confidential to the extent possible until proven or disproven. When the complainant wishes to be openly identified, the IACUC Chair will acknowledge receipt of the allegation to the complainant in writing. The IACUC Chair will present all

allegations to the IACUC during its next meeting. The IACUC will then determine if the complaint has sufficient substance to warrant a full investigation. The IACUC will determine the procedures by which it will carry out an investigation. All persons involved in the investigation will be informed in writing of the purpose of the investigation and the manner in which it will be conducted. If there is indication of serious noncompliance, the IACUC may suspend an activity pending the outcome of a full investigation. The IACUC will examine all pertinent documents, animals, procedures, and interview involved personnel during its investigation. Persons against whom the complaint is made will be given the opportunity to appear before the committee. The final results of the investigation will be presented during a formal meeting of the IACUC and all Committee members will be given the opportunity to present minority views. The IACUC will inform all parties involved, including the complainant, of the Committee's findings.

2. The results will be forwarded to the Institutional Official with appropriate recommendations.
  - a. If following an investigation of the alleged incident the IACUC finds no evidence of animal mistreatment or noncompliance, the report of the investigation will be forwarded to the IACUC Administrator with the recommendation that no further action be taken.
  - b. If allegations of animal mistreatment are substantiated, the Institutional Official will be advised of the Committee's findings and recommendations. The IACUC Administrator will then take appropriate action after consulting with the IACUC and reviewing the results of the IACUC investigation and relay findings to the Chancellor. The Chancellor has the power to impose sanctions on an investigator found responsible for mistreatment or noncompliance. The decision of the Chancellor is final.
  - c. IACUC is empowered by U.S. Department of Agriculture (USDA) Regulation and Public Health Service (PHS) policy to suspend a previously approved project pending review by the IACUC Administrator. In this case, and whenever IACUC suspends an activity involving animals (for example when activities are suspended pending the outcome of an investigation), the Institutional Official must report the action with a full explanation to APHIS and any Federal funding agency including Office of Laboratory Animal Welfare (OLAW).

### **TIME LIMITATIONS FOR VARIOUS IACUC RESPONSE REQUESTS**

1. Continuing review questionnaires and requests for protocol renewal (i.e., three year *de-nova* review) will be mailed to investigators two (2) months prior to the continuing review or the renewal due date. The Committee recommends allowing thirty (30) days for investigators to:
  - a. Return an Annual Progress Report (continuing review memorandum) or submission of responses to continuing review concerns
  - b. Requests for renewal petitions.

- c. Responses to restrictions placed on protocol actions by the IACUC.
- d. After this time, closure or withdrawal action will be initiated and investigators will be promptly notified in writing.

## **ACQUISITION OF LIVE VERTEBRATE ANIMALS**

Use (including housing or holding) of all live, vertebrate, laboratory animals, whether for research, teaching, or demonstration must be authorized by an active animal study/use protocol approved by the University of Wisconsin-Whitewater Institutional Animals Care and Use Committee.

## **ANIMAL ACTIVITIES REQUIRING A PROTOCOL**

All use of live animals and animal tissues must be covered by an approved protocol except:

1. When no live vertebrate animals are used and
2. When no vertebrate animals are killed for the specific proposed use.

## **"LIVE" ANIMAL DETERMINATIONS**

1. Age when mammals are considered live animals: Fetuses of mammals will be considered "live animals" for compliance and logistics purposes at the live birth of such animal(s).
2. Determination of when avians are considered live animals: IACUC shall consider avians subject to review as live vertebrates after 85% of the normal gestation period of the species' eggs have passed.
3. Determination of when amphibians are considered live animals: The IACUC shall consider amphibians subject to review, as live vertebrates at the time the species require an external food source.

## **ANIMAL MODELS REQUIRING IACUC REVIEW**

Although, non-mammalian vertebrates are not covered by the Animal Welfare Act, they are covered under the "Public Health Service Policy on the Humane Care and Use of Laboratory Animals" which we have adopted for all laboratory animals used for research, teaching and testing at the University of Wisconsin-Whitewater. Any use of animals without an approved protocol is a serious breach of the University's agreement with the Public Health Service.

Therefore, non-mammalian vertebrates (i.e. fish and reptiles) used for research, teaching, or testing purposes must be covered by an approved animal use protocol. Though the use could be as casual as only observing the animals, an approved protocol is still required.

Agricultural animals used in certain research, teaching, and testing activities are also regulated under the Animal Welfare Act (CFR, 1992) and the facilities and programs related to their use are subject to inspection and review by APHIS. Both the Guide for the Care and Use of Laboratory Animals and the Animal Welfare Act regulations refer specifically and explicitly to

agricultural animals in the context of their use in biomedical research and teaching, in which they may serve as models for humans. Scientists at agricultural experiment stations and elsewhere are required to follow the same practices for these animals as those established for nonagricultural species used in similar experiments. The facilities and practices for the care and use of agricultural animals in this category are described and discussed in the Guide for the Care and Use of Laboratory Animals (available from UWW RSP) and will apply to research with animals conducted by University of Wisconsin-Whitewater faculty and staff.

University of Wisconsin-Whitewater faculty and staff who intend to use agricultural animals not addressed in the Guide for the Care and Use of Laboratory Animals will adhere to the recommendations outlined in the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching. Agricultural animals include any warm-blooded vertebrate animal used in agricultural research or teaching for which the scientific objects are to improve understanding of the animal's use in production agricultural and that may require a simulated or actual production agricultural setting consistent with consideration of the animal's well-being. Pertinent systems include range or pasture production in naturalistic settings, various degrees of confinement in certain less extensive production systems, and various degrees of confinement in more intensive production systems, including enclosed buildings.

The University's veterinarian, the IACUC Chair, and Research and Sponsored Programs staff are available for consultation regarding any protocols.

### **PROPOSED ACTIVITIES INVOLVING THE USE OF LABORATORY ANIMALS, RELEVANT AGRICULTURAL ANIMALS AND/OR TISSUES**

It is the goal of the Institutional Animal Care and Use Committee to ensure the proper and humane care and use of animals while not unnecessarily burdening University investigators.

1. General Considerations: In general, an approved protocol is required for any use of live animals or of animal tissues/products for which an animal was expressly used. This would include, for example, use of an animal to obtain an organ or to produce an antibody. A protocol would not be required to use excess tissue from an animal that was euthanized for another purpose. This might include the removal of an organ from an animal sacrificed under an approved protocol. Similarly, a protocol is not required for use of tissues from live stock killed for food at a slaughter house. A critical point in determining that a protocol is not required in the latter cases is that tissue, which would normally be unused, is collected from an animal whose sacrifice is fully justified and approved for another purpose.
2. In general, an approved protocol is not required when a "stock" animal product is purchased from a supplier. An example might include purchase of a stocked antibody from a biomedical company. However, if a product is made or an animal is used expressly for a specific purpose, that purpose must be covered by an animal use protocol. Examples of this situation might include purchase of custom antibodies or purchase of animal-utilizing test services.

## **ADOPTION OF A COMPANION PET**

It is the purpose of this policy to allow animals that are not assigned to protocols to be adopted by individuals as companion pets. For adoption to occur, several conditions must be met:

1. The animals eligible for adoption must have no sign of compromised health either natural or experimentally derived. The IACUC will examine animals that are adoption candidates and determine their health status. Though the good health of an animal is a prerequisite for adoption, the University will not guarantee adopted animals.
2. Individuals adopting animals should:
  - a. Agree not to sell or give away the animal.
  - b. Agree to care for the animal in a manner generally accepted as appropriate for a pet of the species.
  - c. Agree with IACUC's assessment of the animal's health.
  - d. Agree to not hold the University of Wisconsin-Whitewater liable for actions or circumstances arising from the adoption.
3. Though a nominal charge may be assessed for neutering a prospective pet, there will be no fee charged for adoption.
4. Adoption of multiple animals can occur through a cooperative arrangement with a recognized humane organization.

## **DISPOSITION POLICY**

The University is committed to minimizing the number of animals needed to satisfactorily conduct its research, teaching, and testing activities while being in full compliance with applicable federal, state, and local regulations. The policy that follows indicates methods for the disposition of animals not requiring euthanasia and for the disposal of the remains of those that do. This policy is implemented by the Institutional Animal Care and Use Committee.

1. Animals, which do not require euthanasia and are considered safe to be handled, may be transferred to another approved project at the University, transferred for approved activities to other appropriate federally licensed facilities, or adopted as a companion pet in accordance with IACUC companion pet policy. When not specifically approved in a protocol, transfer of animals from one approved protocol to another at the University of Wisconsin-Whitewater may be authorized by the IACUC Veterinarian and one member of IACUC, with notification of IACUC. Any institution asking for the transfer of live animals must submit a written request for approval by the full IACUC.
2. Requests for the transfer or disposition of animals other than as indicated in Item 1 above will be considered by IACUC on a case-by-case basis.

3. Tissues or individual organs of euthanized animals not exposed to infectious agents or chemical contaminants may be used by other investigators.
4. Requests for the disposition of uncontaminated remains, tissues, or organs of euthanized animals other than as indicated in Item 3 above will be considered by IACUC on a case-by-case basis.
5. All other remains will be disposed of in accordance with all state and federal regulations.

### **DISPOSITION OF EXCESS LIVE ANIMALS AND LIVE ANIMALS RETURNED TO THE UNIVERSITY OF WISCONSIN-WHITEWATER**

Animals, which are in excess of the number authorized or required for animal use protocols, as well as animals that are alive at the conclusion of animal use protocols will be disposed of by one of the following means:

1. Animals will be transferred to active animal use protocols, which contain requirements for the species in question.
2. If animals cannot be used as described in Item 1 and they are in appropriate health, they may be adopted in accordance with University's "Policy for Adoption of a Companion Pet."
3. If animals cannot be utilized as describe in Items 1 or 2, they will be euthanized as described in "Laboratory Animal Resources Standard Operating Procedures."

### **EFFECTIVE START DATE FOR PROTOCOLS/AMENDMENTS**

The Committee determines that the effective start date and subsequent latest approval (i.e. annual updates) for protocols and the effective dates of amendments will be the date of signature on the action forms by the Institutional Animal Care and Use Committee Chair.

### **EUTHANASIA CERTIFICATION PROCEDURES**

Investigators or their designate must be certified in the euthanasia method approved in the protocol. Investigators or designates of active protocols are considered to be certified. Those submitting new protocols require observation by the Veterinarian to become certified (previous experience is not grounds for an exemption). Investigators are responsible for assuring that all their personnel carrying out euthanasia are properly trained in the method approved in the protocol.

## **IACUC MONITORING OF ANIMAL CARE PROGRAM**

IACUC has approved the following mechanisms to provide periodic monitoring for compliance with IACUC Policy and Program of Animal Care:

1. Random visits to University of Wisconsin-Whitewater animal use areas and animal holding areas for inspection and discussion with investigators/staff about the procedures and methods they use for comparison with approved protocols and programs. Campus laboratories will be inspected by the full IACUC. Agricultural facilities will be inspected by the Agricultural Research Subcommittee.
2. Instruction of researchers and staff in "whistle blower" mechanisms and responsibilities.
3. Training certification through the Research and Sponsored Programs office with education of all those who handle or use animals.
4. IACUC may request investigators to meet with the committee to discuss the review of their protocols.
5. Periodic reminders of policy and updates in requirements.
6. Development of Standard Operating Procedures (SOPs) for animal handling and use.

### **USE OF APPROPRIATE NOMENCLATURE WHEN IDENTIFYING RESEARCH ANIMALS**

National Institutes of Health (NIH) guidelines require that some mechanism exist within funded institutions for informing investigators of the importance of using standardized nomenclature when identifying the animals they use in biomedical research. Accordingly, the purpose of this policy is to serve as the mechanism by which this information is relayed to all personnel involved in animal research at the University of Wisconsin-Whitewater.

International committees have developed rules for standardized nomenclature of inbred mice, outbred rodents, and rabbits. These widely accepted conventions permit accurate description of the animals used in research. University investigators are encouraged to use standard nomenclature conventions (found in supplier catalogs) to describe the genetic background of their experimental animals when placing animal orders, recording scientific data, and in publications. For animals obtained from commercial vendors, the strain (inbred animals) or stock (outbred animals) is that found in the breeder's price list.

The IACUC Chair may be contacted for assistance in providing standardized nomenclature for animals.

### **ANIMAL OVERAGE**

The number of animals approved in a protocol is considered to be an approximate number. An overrun of up to 10% is allowed with the approval of the IACUC Chair (or designee). Overruns beyond 10% are allowed only with the approval of an amendment to the protocol by IACUC. Numbers approved by amendment are not considered approximate and further overruns are not allowed without further approved amendments.

## **PERSONNEL CHANGES TO APPROVED PROTOCOLS**

It is the investigator's responsibility to request formal training for all personnel who handle animals in any way. This includes students in short-term projects and other temporary help. These people must be registered with the Research and Sponsored Programs office (via the certification process), with the list available for IACUC inspection. If the change in personnel involves continuing employees or key personnel, this information must be submitted to IACUC as a protocol amendment.

## **THREE (3) YEAR REVIEW POLICY**

Each Animal Study Proposal shall be unique and shall be active for a maximum period of three (3) years. At the end of this three-year period, it shall be automatically inactivated and all animal activities covered under it shall be considered complete.

Ongoing or additional animal activities as may be required by the specific protocol must be submitted as a new animal use protocol, which will be assigned a new study number.

Protocol numbers shall be unique and not reused.

## **ANNUAL REVIEW OF PROTOCOLS BY FULL IACUC**

The Committee establishes that protocols involving the following procedures should be reviewed annually by the full committee in lieu of an administrative review:

1. Those involving Pain Category "D,"
2. Those using neuromuscular blocking agents,
3. Those involving multi-survival surgeries, and/or
4. Those involving primates.

This form of annual review is designed to provide greater oversight; it is not intended to be a complete rewrite.

All other protocols shall be reviewed annually by an administrative review. This administrative review may result in:

1. Review by the full Committee, and/or
2. Requests for additional clarifications/additional information from the investigator before a final recommendation can be given.

## **ANIMAL USE/HANDLING TRAINING PROGRAM**

The training program is divided into three (3) units as outlined below:

1. An introductory unit that is comprehensive in scope and design and will provide a general background in the routine care, handling, and treatment of laboratory animals.

This section will also provide a synopsis of the various regulations, which control these activities. All individuals who will be involved with animals in handling, care or use, or for any other purpose, must complete this unit.

2. A species-specific unit that will provide additional instruction to investigators and technicians in the care, handling, and treatment (e.g., various surgical procedures and techniques) directed toward a species. Investigators and technicians will be required to attend the species-specific training sessions as appropriate and prior to being allowed to proceed with animal use activities.
3. The final unit may utilize interactive demonstrations performed by researchers to assure Research and Sponsored Programs staff that these researchers are prepared to conduct unsupervised animal-use activities. This assurance must be met by all appropriate investigators and technicians for each technique that will be performed and for each species that will be involved.
4. A supplemental unit that is comprehensive in scope and design will provide a general background in the routine care, handling, and treatment of relevant agricultural animals when there is an active agricultural research program by a University of Wisconsin-Whitewater faculty/staff member. This unit will also provide a synopsis of the various regulations, which control these activities. All individuals who will be involved with agricultural animals, including members of the Agricultural Research Subcommittee, must complete this unit.

The Committee will evaluate the first unit while evaluation of the second unit will be optional due to the variety of subunits. The Committee will also be able to review the third and fourth units as part of their monitoring program. All investigators new to the university will be required to attend the mandatory sessions before being permitted to carry out any type of research. An interim certification, to be granted based on previous experience and IACUC supervised observation of techniques, may be issued in order to allow an incoming, experienced investigator to continue research while awaiting their specific training session(s) to be scheduled.

**APPENDIX 1**

**ANIMAL STUDY PROPOSAL**



UNIVERSITY OF WISCONSIN-WHITEWATER  
 INSTITUTIONAL ANIMAL CARE AND USE  
**ANIMAL STUDY PROPOSAL**  
 [PROTOCOL REVIEW FORM]

UWW RSP USE ONLY

PROPOSAL #: \_\_\_\_\_

APPROVAL DATE: \_\_\_\_\_

EXPIRATION DATE: \_\_\_\_\_

PLEASE TYPE

**A. ADMINISTRATIVE DATA**

Department:		
Principal Investigator:		
Mailing Address:		
Telephone:	Fax:	Email:
Project Title:		
<input type="checkbox"/> Initial Submission	<input type="checkbox"/> Renewal	<input type="checkbox"/> Modification
Funding Source		

List the names of all individuals authorized to conduct procedures involving animals under this proposal and identify key personnel role [e.g., co-investigator(s)], providing their department, telephone, fax, and email:

Department:		
Name:	<input type="checkbox"/> check here if student	
Mailing Address:		
Telephone:	Fax:	Email:
Project Role:		

Department:		
Name:	<input type="checkbox"/> check here if student	
Mailing Address:		
Telephone:	Fax:	Email:
Project Role:		

Department:		
Name:	<input type="checkbox"/> check here if student	
Mailing Address:		
Telephone:	Fax:	Email:
Project Role:		

## B. ANIMAL REQUIREMENTS

Genus: <i>[e.g., Mus]</i>	Species: <i>[e.g., musculus]</i>
Strain, subspecies, or breed: <i>[e.g., C57BL]</i>	Common name: <i>[e.g., black laboratory mouse]</i>
Approximate age, weight or size:	Sex:
Bacteriological status: <i>[e.g., germfree (axenic), defined flora (gnotobiotic), specific pathogen free, conventional]</i>	
Viral status: <i>[e.g., simian immunodeficiency virus, simian retrovirus]</i>	
Source(s): <i>[e.g., name of vendor or breeder, bred in-house]</i>	
Primary housing location(s):	<i>[Facility manager must certify below that facility has the resource capability to support the study. If animals will be housed in lab or anywhere else outside central facility for more than 12 hours, provide building and room number or other address.]</i>
<input type="checkbox"/> Winther Lab <input type="checkbox"/> Upham Lab <input type="checkbox"/> Other (describe below)	
Location(s) where manipulation will be conducted:	
Number of Animals to be Used:	
Year 1:	Year 2:                                      Year 3:
Total:	

### **C. TRANSPORTATION**

Transportation of animals must conform to all institutional guidelines/policies and federal regulations. If animals will be transported on public roads or out of state, describe efforts to comply with USDA regulations. If animals will be transported between facilities, describe the methods and containment to be utilized. If animals will be transported within a facility, include the route and elevator(s) to be utilized.

### **D. STUDY OBJECTIVES**

Briefly explain in language understandable to a layperson the aim of the study and why the study is important to human or animal health, the advancement of knowledge, or the good of society.

**E. RATIONALE FOR ANIMAL USE** (Use additional sheets if necessary.)

1. Explain your rationale for animal use. (The rationale should include reasons why non-animal models cannot be used.)

2. Justify the appropriateness of the species selected. (The species selected should be the lowest possible on the phylogenetic scale.)

3. Justify the number of animals to be used. (The number of animals should be the minimum number required to obtain statistically valid results.)

**F. DESCRIPTION OF EXPERIMENTAL DESIGN AND ANIMAL PROCEDURES**

(Use additional sheets if necessary.)

Briefly explain the experimental design and specify all animal procedures. This description should allow the IACUC to understand the experimental course of an animal from its entry into the experiment to the endpoint of the study. Specifically address the following:

- **Experimental injections or inoculations** (substances, e.g., infectious agents, adjuvants, etc.; dose, sites, volume, route, and schedules)

- **Blood withdrawals** (volume, frequency, withdrawal sites, and methodology)

- **Surgical procedures** (Provide details of survival and non-survival surgical procedures in Section G.)

- **Behavioral studies**

- **Radiation** (dosage and schedule)

- **Methods of restraint** (e.g., restraint chairs, collars, vests, harnesses, slings, etc.) Include how animals are restrained for routine procedures like blood withdrawals. Prolonged restraint must be justified with appropriate oversight to ensure it is minimally distressing. Describe any sedation, acclimation, or training to be utilized.

- **Animal identification methods** (e.g., ear tags, tattoos, collar, cage card, implant, etc.)

- **Other procedures** (e.g., survival studies, tail biopsies, etc.)

- **Resultant effects**, if any, that the animals are expected to experience (e.g., pain or distress, ascites production, etc.)

- **Other potential stressors** (e.g., food or water deprivation, noxious stimuli, environmental stress) **and procedures to monitor and minimize distress.** If a study is USDA Classification E, indicate any non-pharmaceutical methods to minimize pain and distress.

- **Experimental endpoint criteria** (e.g., tumor size, percentage body weight gain or loss, inability to eat or drink, behavioral abnormalities, clinical symptomatology, or signs of toxicity) must be specified when the administration of tumor cells, biologics, infectious agents, radiation, or toxic chemicals are expected to cause significant symptomatology or are potentially lethal. List the criteria to be used to determine when euthanasia is to be performed. Death as an endpoint must always be scientifically justified.

- **Veterinary care** (Indicate desired plan of action in case of animal illness, e.g., initiate treatment, call investigator prior to initiating treatment, euthanize).

**G. SURGERY**

If proposed, complete the following: (Use additional sheets if necessary.)

1. Identify and describe the surgical procedure(s) to be performed. Include preoperative procedures (e.g., fasting, analgesic loading), and monitoring and supportive care during surgery. Include the aseptic methods to be utilized.

2. Who will perform surgery and what are their qualifications and/or experience?

3. Where will surgery be performed and postoperative care provided (building and rooms)?

4. If survival surgery, describe postoperative care required, frequency of observation, and identify the responsible individual(s). Include detection and management of postoperative complications during work hours, after hours, weekends, and holidays.

5. If non-survival surgery, describe how humane euthanasia is enacted and how death is determined.

6. Are paralytic agents used during surgery? If yes, please describe how ventilation will be maintained and how pain will be assessed.

7. Has major survival surgery been performed on any animal prior to being placed on this study?  
*[Major survival surgery penetrates and exposes a body cavity or produces substantial impairment of physical or physiologic functions (such as laparotomy, thoracotomy, crainotomy, joint replacement, or limb amputation).]*

YES    NO

If yes, please explain:

8. Will more than one major survival surgery be performed on an animal while on this study?

YES    NO

If yes, please justify:

## H. PAIN OR DISTRESS CLASSIFICATION AND CONSIDERATION OF ALTERNATIVES

### 1. Pain or Distress Classification

Species (common name)	USDA Classification* B, C, D or E	Number of animals used each year			3 year total number of animals
		Year 1	Year 2	Year 3	
<b>Total number of animals (should equal total from Section B):</b>					

### USDA CLASSIFICATIONS AND EXAMPLES

**Classification B:** Animals being bred, conditioned, or held for use in teaching, testing, experiments, research, or surgery, but not yet used for such purposes.

Examples:

- Breeding colonies of any animal species (USDA does not require listing of rats, mice, birds) that are held in legal sized caging and handled in accordance with the *Guide* and other applicable regulations. Breeding colony includes parents and offspring.
- Newly acquired animals that are held in proper caging and handled in accordance with applicable regulations.
- Animals held under proper captive conditions or wild animals that are being observed.

**Classification C:** Animals upon which teaching, research, experiments, or tests will be conducted involving no pain, distress, or use of pain-relieving drugs.

Examples:

- Procedures performed correctly by trained personnel such as the administration of electrolytes/fluids, administration of oral medication, blood collection from a common peripheral vein per standard veterinary practice (dog cephalic, cat jugular) or catheterization of same, standard radiography, parenteral injections of non-irritating substances.
- Euthanasia performed in accordance with the recommendations of the most recent AVMA Panel on Euthanasia, utilizing procedures that produce rapid unconsciousness and subsequent humane death.
- Manual restraint that is no longer than would be required for a simple exam; short period of chair restraint for an adapted nonhuman primate.

**Classification D:** Animals upon which experiments, teaching, research, surgery, or tests will be conducted involving accompanying pain or distress to the animals and for which appropriate anesthetic, analgesic, or tranquilizing drugs will be used.

Examples:

- Surgical procedures conducted by trained personnel in accordance with standard veterinary practice such as biopsies, gonadectomy, exposure of blood vessels, chronic catheter implantation, laparotomy, or laparoscopy.
- Blood collection by more invasive routes such as intracardiac or periorbital collection from species without a true orbital sinus such as rats and guinea pigs.
- Administration of drugs, chemicals, toxins, or organisms that would be expected to produce pain or distress but which will be alleviated by analgesics.

**Classification E:** Animals upon which teaching, experiments, research, surgery, or tests will be conducted involving accompanying pain or distress to the animals and for which the use of appropriate anesthetic, analgesic, or tranquilizing drugs will adversely affect the procedures, results, or interpretation of the teaching, research, experiments, surgery, or tests.

Examples:

- Procedures producing pain or distress unrelieved by analgesics such as toxicity studies, microbial virulence testing, radiation sickness, and research on stress, shock, or pain.
- Surgical and postsurgical sequella from invasion of body cavities, orthopedic procedures, dentistry or other hard or soft tissue damage that produces unrelieved pain or distress.
- Negative conditioning via electric shocks that would cause pain in humans.
- Chaining of nonhuman primates not conditioned to the procedure for the time period used.

**NOTE REGARDING CLASSIFICATION E:** An explanation of the procedures producing pain or distress in these animals and the justification for not using appropriate anesthetic, analgesic, or tranquilizing drugs must be provided on the report included as an Appendix. This information is required to be reported to the USDA, will be available from USDA under the Freedom of Information Act, and may be publicly available through the Internet via USDA's website.

## 2. Consideration of Alternatives

If any procedures fall into USDA's Classification D or E, causing more than momentary or slight pain or distress to the animals, describe your consideration of alternatives and your determination that alternatives are not available. Delineate the methods and sources used in the search. Database references must include databases searched, the date of the search, period covered, and the keywords used. Alternatives include methods that (1) refine existing tests by minimizing animal distress, (2) reduce the number of animals necessary for an experiment, or (3) replace whole-animal use with in vitro or other tests. When ascites production is used to produce antibodies, justification needs to be given as to why in vitro systems cannot be used. Note that you must certify in Section Q.5. that no valid alternative was identified to any described procedures which may cause more than momentary pain or distress, whether relieved or not.

## I. ANESTHESIA, ANALGESIA, TRANQUILIZATION, OTHER AGENTS

For animals indicated in Section H.1., Classification D, specify the anesthetics, analgesics, sedatives, or tranquilizers that are to be used. Include the name of the agent(s), the dosage, route and schedule of administration. If information is provided in Section G. above, please cross-reference. Describe tracking and security of controlled drugs (per Drug Enforcement Agency requirements).

## J. METHOD OF EUTHANASIA OR DISPOSITION OF ANIMALS AT END OF STUDY

Indicate the proposed method of euthanasia. If a chemical agent is used, specify the dosage and route of administration. If the method(s) of euthanasia include those not recommended by the AVMA Panel Report on Euthanasia (e.g., decapitation or cervical dislocation without anesthesia), provide scientific justification why such methods must be used. Indicate the method of carcass disposal if not described in Section K. below.

## K. HAZARDOUS AGENTS

Use of hazardous agents requires the approval of the institutional Biosafety Committee and Risk Management and Safety. Attach documentation of approval for the use of recombinant DNA or potential human pathogens.

Hazardous Agent	Yes	No	Agent	Date of Biosafety Approval	Tracking #
Radionuclides	<input type="checkbox"/>	<input type="checkbox"/>			
Biological Agents	<input type="checkbox"/>	<input type="checkbox"/>			
Hazardous Chemicals or Drugs	<input type="checkbox"/>	<input type="checkbox"/>			
Recombinant DNA	<input type="checkbox"/>	<input type="checkbox"/>			

Study Conducted at Animal Biosafety Level: 1 2 3 4

Describe the practices and procedures required for the safe handling and disposal of contaminated animals and material associated with this study. Also describe methods for removal of radioactive waste and, if applicable, the monitoring of radioactivity.

Additional safety considerations:

**L. BIOLOGICAL MATERIAL/ANIMAL PRODUCTS FOR USE IN ANIMALS**  
(e.g., cell lines, antiserum, etc.)

1. Specify Material:
2. Source:  Material Sterile or Attenuated: <input type="checkbox"/> YES <input type="checkbox"/> NO  If derived from rodents, has the material been MAP/RAP/HAP tested? <i>[MAP - Mouse Antibody Production; RAP - Rat Antibody Production; HAP - Hamster Antibody Production]</i>  <input type="checkbox"/> YES (Attach copy of results) <input type="checkbox"/> NO
3. I certify that the MAP/RAP/HAP tested materials to be used have not been passed through rodent species outside of the animal facility in question and/or the material is derived from the original MAP tested sample. To the best of my knowledge the material remains uncontaminated with rodent pathogens.  <div style="display: flex; align-items: center; margin-top: 10px;"><div style="border: 1px solid black; width: 60px; height: 25px; margin-right: 10px;"></div><b>Initials of Principal Investigator.</b></div>

### **M. TRANSGENIC AND KNOCKOUT ANIMALS**

Describe any phenotypic consequences of the genetic manipulations to the animals. Describe any special care or monitoring that the animals will require.

### **N. EXEMPTIONS FROM ENVIRONMENTAL ENHANCEMENT FOR NONHUMAN PRIMATES OR EXERCISE FOR DOGS**

1. For non-human primates, are you seeking an exemption for scientific reasons from the institution's plan for environment enhancement?  YES  NO

If yes, provide the basis of the request.

2. For dogs, are you seeking an exemption for scientific reasons from the institution's plan to provide dogs with the opportunity for exercise?  YES  NO

If yes, provide the basis of the request.

### **O. FIELD STUDIES**

If animals in the wild will be used, describe how they will be observed, any interactions with the animals, whether the animals will be disturbed or affected, and any special procedures anticipated. Indicate if Federal permits are required and whether they have been obtained.

**P. SPECIAL CONCERNS OR REQUIREMENTS OF THE STUDY**

List any special housing, equipment, animal care (e.g., special caging, water, feed, or waste disposal, environmental enhancement, etc.)

List any attachments here:

## Q. PRINCIPAL INVESTIGATOR CERTIFICATIONS

1. I certify that I have participated in the institutionally required investigator training and have passed the animal care and use certification examination

Year:

Location:

2. I certify that I have determined that the research proposed herein is not unnecessarily duplicative of previously reported research.
3. I certify that all individuals working on this proposal who are at risk are participating in the Institution's Occupational Health and Safety Program.
4. I certify that the individuals listed in Section A. are authorized to conduct procedures involving animals under this proposal, have attended the institutionally required investigator training course, and received training in: the biology, handling, and care of this species; aseptic surgical methods and techniques (if necessary); the concept, availability, and use of research or testing methods that limit the use of animals or minimize distress; the proper use of anesthetics, analgesics, and tranquilizers (if necessary); and procedures for reporting animal welfare concerns.
5. For all USDA Classification D and E proposals (see section H.1.): I certify that I have reviewed the pertinent scientific literature and the sources and/or databases as noted in Section H.2. and have found no valid alternative to any procedures described herein which may cause more than momentary pain or distress, whether it is relieved or not.
6. I certify that I will obtain approval from the IACUC before initiating any significant changes in this study.
7. I certify that I will notify the IACUC regarding any unexpected study results that impact the animals. Any unanticipated pain or distress, morbidity or mortality will be reported to the attending Veterinarian and the IACUC.
8. I certify that I am familiar with and will comply with all pertinent institutional, state, and federal rules and policies.

### Principal Investigator:

Name:

Signature:

Date:

/

/20

**R. CONCURRENCES**

**PROPOSAL NUMBER** \_\_\_\_\_ (leave blank)

Risk Management and Safety Office and/or Biosafety Committee Certification of Review and Concurrence: (Required of all studies utilizing hazardous agents.)

Name: Ernie Stracener                      Signature:                                      Date:                      /                      /20

---

Comments:

Facility Manager (Department Chair) certification of resource capability in the indicated facility to support the proposed study:

Roseman                       Winther

Name:                                      Signature:                                      Date:                      /                      /20

---

Comments:

Attending Veterinarian certification of review and consultation on proper use of anesthetics and pain relieving medications for any painful procedures:

Name: Mark Hiebert                      Signature:                                      Date:                      /                      /20

---

Comments:

**S. FINAL APPROVAL:**

Certification of review and approval by the Institutional Animal Care and Use Committee Chair or designee:

Expedited

Full

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date:        /        /20

Comments:

## APPENDIX 2

# EXPLANATION OF USDA CLASSIFICATION E REPORT

Explanation for USDA Classification E  
This report is required to accompany USDA Form 7023  
to support any USDA Classification E listings.  
This document must be typed.

Name of investigator:

Animal Study Proposal Title:

Species and number of animals listed in Classification E for each year:

Species:

Number of animals:

Year 1 -

Year 2 -

Year 3 -

Total:

Description of project including reason(s) for species selection:

Provide a scientific justification to explain why the use of anesthetics, analgesics, sedatives or tranquilizers during and/or following painful or distressing procedures is contraindicated:

PRINCIPAL INVESTIGATOR SIGNATURE

Name:	Signature:	Date:     /     /20
-------	------------	---------------------

IACUC CHAIR SIGNATURE

Name:	Signature:	Date:     /     /20
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## APPENDIX 3

# ANIMAL STUDY PROGRESS REPORT CONTINUING REVIEW QUESTIONNAIRE



**UNIVERSITY OF WISCONSIN-WHITEWATER  
 INSTITUTIONAL ANIMAL CARE AND USE  
 ANIMAL STUDY PROPOSAL  
 [CONTINUING REVIEW QUESTIONNAIRE]**

**U W W R S P U S E O N L Y**

DATE RECEIVED: \_\_\_\_\_

BY: \_\_\_\_\_

TO \_\_\_\_\_

AUGUST 2009

*The Animal Welfare Act Regulations (AWAR) and the Public Health Service (PHS) require that each IACUC shall conduct continuing reviews no less than annually. Please complete all of the following sections and return this form to Research and Sponsored Programs.*

**PLEASE TYPE**

**A. ADMINISTRATIVE DATA**

Department:		
Principal Investigator (name):		
Mailing Address:		
Telephone:	Fax:	Email:
Project Title:		
Proposal Number	Expiration Date	

List the names of all individuals authorized to conduct procedures involving animals under this proposal and identify key personnel role [e.g., co-investigator(s)], providing their department, telephone, fax, and email:

Department:		
Co-Investigator (name):		
Mailing Address:		
Telephone:	Fax:	Email:
Project Role:		


Please also provide a list of students authorized conduct procedures involving animals under this protocol (names only)

Student Name:
Student Name:
Student Name:
Student Name:
Student Name:
Student Name:

**SUBMIT the continuing review questionnaire to the University of wisconsin-Whitewater  
 Research & SPonsored programs office, 2237 andersen, FAX: 262.462.5214, TELEPHONE: 262.472.5212**

**CONTINUED ON REVERSE**

RSP USE ONLY

	TO <input type="checkbox"/> DE <input type="checkbox"/> CHAIR ON/BY	DATE
---	---	------

**B. STATUS OF PROJECT**

<input type="checkbox"/> Ongoing. I have attached a summary of results to date.	Estimated completion date / / . Do you want the IACUC to notify a funding agency? <input type="checkbox"/> No <input type="checkbox"/> Yes, provide sponsor name/address:	
<input type="checkbox"/> Completed. I have attached a summary of project results		
<input type="checkbox"/> Not Applicable	Research project cancelled/not started. There is no need to conduct continuing review.	
<input type="checkbox"/> Pending	Research project not yet started. Anticipate start date / / . Do you want the IACUC to notify a funding agency? <input type="checkbox"/> No <input type="checkbox"/> Yes, provide sponsor name/address:	

**C. PROTOCOL MODIFICATIONS**

Have you made or will you make any changes to your protocol?

<input type="checkbox"/> No	<input type="checkbox"/> Yes	If yes, attach a description of proposed changes.	
-----------------------------	------------------------------	---	--

**D. PRINCIPAL INVESTIGATOR CERTIFICATION**

PRINCIPAL INVESTIGATOR FACULTY/STAFF SUPERVISOR CERTIFICATION		
TYPED/PRINTED NAME	SIGNATURE	DATE

**E. CONTINUING REVIEW DECISION**

<input type="checkbox"/> Animal Study Proposal is <b>APPROVED</b> to continue.
<input type="checkbox"/> Renewal is <b>APPROVED</b> contingent upon modifications as described below. [Submit to UWW RSP for approval.]
<input type="checkbox"/> see attachment for details
<input type="checkbox"/> Requires <b>FULL BOARD REVIEW</b> and will be included on the next IACUC agenda / /
<input type="checkbox"/> <b>RESUBMIT</b> with modifications/additional information as described below. [Submit to UWW RSP for approval.]
<input type="checkbox"/> see attachment for details
<b>REVIEW OF PROTOCOL MODIFICATIONS (AND/OR CONDITION FULFILLMENT)</b> I have reviewed the modifications to the protocol renewal and determined that the modified protocol is
<input type="checkbox"/> is <b>APPROVED</b> . <input type="checkbox"/> must be <b>RESUBMITTED</b> with modifications as described below. [Submit to UWW RSP for approval.]
<input type="checkbox"/> see attachment for details
<b>REVIEW AUTHORIZATION</b> MICHAEL WOLLER
TYPED/PRINTED NAME IACUC CHAIR/DESIGNEE                      SIGNATURE                      DATE

<input type="checkbox"/> I concur.	<input type="checkbox"/> I disagree for the following reasons: <input type="checkbox"/> See attachment for details:
<b>REVIEW AUTHORIZATION</b> MARK HIEBERT	
TYPED/PRINTED NAME IACUC VETERINARIAN                      SIGNATURE                      DATE	

**RSP USE ONLY**

	DISTRIBUTED TO PI(S), STUDENT PI(S) ON/BY	CONT REVIEW <input type="checkbox"/> Y <input type="checkbox"/> N
	AGENDA DATE	AGENDA ACTION <input type="checkbox"/> REV <input type="checkbox"/> RAT

## APPENDIX 4

# ANIMAL ADOPTION RECORD UNIVERSITY OF WISCONSIN-WHITEWATER

## ANIMAL ADOPTION RECORD UNIVERSITY OF WISCONSIN-WHITewater

1. I accept the adoption of the animal described below from the University of Wisconsin-Whitewater. I agree with IACUC's assessment that the animal is in good health. I do understand, however, that there are no expressed or implied guarantees relative to the health or temperament of the animal.
2. I accept responsibility for the care of the animal described below and will make every reasonable attempt to care for this animal in a manner that is generally considered appropriate for a pet of this species.
3. The animal described below is to be a pet for my immediate family and myself. I understand that it is not to be sold, given away, or otherwise released from my care unless extreme circumstances require the same. If the animal described below must be released from my care, I will make every attempt to secure a satisfactory home environment for it.
4. I assume responsibility and agree to hold harmless from liability the IACUC, the University of Wisconsin-Whitewater or its agents, for any claim that may arise from the adoption of the animal described below.
5. I have read and understand the foregoing and voluntarily sign this Animal Adoption Record with full knowledge of its significance.

Species

---

Breed or Type

---

Identifying Marks/Tattoo number/Color

---

Sex

Age

Weight

---

Vaccination History of Animal

---

---

---

Medical/Behavioral Information

---

---

---

Name (Print)

---

Address

---

Telephone

---

Signature and Date

---

PI Signature and Date

---

IACUC Signature and Date

---

## APPENDIX 5

# FACILITY AND SPECIES INVENTORY

# FACILITY AND SPECIES INVENTORY

NAME OF INSTITUTION: University of Wisconsin-Whitewater

ASSURANCE NUMBER: A4087-01

Laboratory, Unit, or Building*	Gross Square Feet (including service areas)	Species Housed in Unit (use complete common names)	Approx. Average Daily Inventory
Winther	661	Psychology Department, College of Letters and Sciences	12 (range from 0 to maximum of 20)
Upham	1,886	Biological Sciences Department, College of Letters and Sciences	12 (range from 0 to maximum of 25)

\*Institutions may identify animal areas in any manner, e.g., initials, ID number, etc. However, the name and location must be provided to OLAW upon request.



*The framers of the 1985 amendments to the federal Animal Welfare Act (AWA) envisioned the Institutional Animal Care and Use Committee (IACUC) as the linchpin—the central and cohesive element—of the laboratory animal care and use program at research, education, and testing organizations. Effective operation of this Committee is essential if these organizations are to achieve full regulatory compliance, and, more importantly, retain the public’s support for activities involving the use of animal subjects.*

--Podolsky, M.L. and Lukas, V.S., *The Care and feeding of an IACUC*, CRC Press, Washington, D.C.

## INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE<sup>1</sup> RESEARCH AND SPONSORED PROGRAMS

UNIVERSITY OF WISCONSIN-WHITEWATER  
2237 Anderson Library, 800 West Main Street  
Whitewater, WI 53190  
262-472-5212  
[ehlend@uww.edu](mailto:ehlend@uww.edu)  
[www.uww.edu/orsp](http://www.uww.edu/orsp)



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<sup>1</sup> Updated January 2007