



Policy on Research Animal Care & Use

Office for Research

Enacted by the Board of Regents of New Mexico Tech, _____

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1. Introduction

New Mexico Institute of Mining and Technology, i.e. New Mexico Tech (NMT) assumes full responsibility for complying with all federal and state regulations pertaining to the use and care of animal subjects in research, teaching, and related activities. This includes compliance with the NMT Animal Welfare Assurance # D20-01066, the Public Health Service (PHS) Policy on Human Care and Use of Laboratory Animals, the Guide for the Care and Use of Laboratory Animals, and other applicable regulations.

As part of its responsibility, NMT will make a reasonable effort to ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with all applicable laws and regulations pertaining to animal care and use. This section provides a summary description of the responsibilities of those involved in carrying out the policies and procedures for proper care and use of laboratory animals.

2. Animal Care & Use Program Definitions

- 2.1. **Animal Care and Use Program (ACUP)** – The combined components of an institution’s operations involved in the care and use of animals for research, teaching, and testing.
- 2.2. **Institutional Animal Care and Use Committee (IACUC)** – a committee comprised of at least 5 members who are appointed by the Vice President for Research, and that acts as an advisory board to the Institutional Official (IO) and is responsible for overseeing the university’s adherence to all applicable requirements governing the use of vertebrate animals
- 2.3. **Protocol** – A written description of a planned research, teaching, or testing activity that involves the use of vertebrate animals. It must provide sufficient detail and documentation to allow members of the IACUC to understand exactly what will be done with/to the animals and why it is necessary; and to determine that the described activities will be conducted in accordance with applicable laws, policies, and regulatory requirements.
- 2.4. **Animals** – any live vertebrate.
- 2.5. **Animal Use** – for purposes of this document, animal use refers to the conduct of research, teaching, or testing activities that involve the use of animals in any way.
- 2.6. **Animal Welfare Assurance** – before issuing a grant or contract for a project that includes the use of animals, the PHS requires the recipient institution and all performance sites involving or using animals to have an approved Animal Welfare Assurance on file with the Office of Laboratory Animal Welfare (OLAW).
- 2.7. **Complainant** – for purposes of this document, complainant refers to an individual who reports a concern or complaint about the way in which animals in the Animal Care and Use Program at NMT are being used or cared for.
- 2.8. **The Guide** – refers to the most current version of the National Research Council publication, Guide for the Care and Use of Laboratory Animals, which is intended to

assist institutions in caring for and using animals in ways judged to be scientifically, technically, and humanely appropriate; and to assist investigators in fulfilling their obligation to plan and conduct animal experiments in accord with the highest scientific, humane, and ethical principles.

- 2.9. **Institutional Official (IO)** – refers to the formally designated senior official with the authority to administer the ACUP to allocate the resources necessary to operate the Program, and to make commitments on behalf of the institution to ensure compliance with the Animal Welfare Act Regulations, the Public Health Service Policy, and any other applicable Federal, State, or local laws, policies, and regulations.
- 2.10. **Principal Investigator (PI)** – refers to the researcher, instructor, or tester who conducts, and/or supervises others who conduct, activities involving animals. Only NMT faculty or staff members serve as PIs. Student investigators may be named as co-investigators, with appropriate direction and supervision provided by the PI.
- 2.11. **Non-compliance** – refers to the circumstance when animals are used in a manner that is inconsistent with applicable laws, regulations, and/or policies. This includes use of animals beyond the time period specified in the protocol approval. All instances of non-compliance will be reported by the IACUC to the IO. Some instances might require reporting to other local, state, or federal departments or agencies.
- 2.12. **Respondent** – for purposes of this document, respondent refers to an individual who is allegedly responsible for the circumstances leading to a reported concern or complaint regarding the care and use of animals, and who may be asked to respond to the complaint.

3. **Program Management Responsibility and Authority:**

Effective leadership in and collaboration among the three federally mandated components: Institutional Official (IO), Attending Veterinarian (AV), and the Institutional Animal Care and Use Committee (IACUC) are necessary. NMT's Animal Care and Use Program (ACUP) has established a balance among these components while attaining the highest standards of animal well-being and scientific quality. Communication of activities between these components as well as other support units in the ACUP is necessary to ensure efficient ACUP operation. The following outlines the roles, authorities, and responsibilities of each component of the ACUP at NMT.

- 3.1. **Institutional Official (IO):** The IO for the NMT's ACUP is the Vice President for Research, appointed by the President of NMT. The IO bears the ultimate responsibility for the Program, although overall Program direction is a shared responsibility among the IO, AV, and IACUC. The IO has the responsibility and authority for:

- 3.1.1. Resource planning and ensuring alignment of Program goals of high-quality animal care and use with the institution's mission,
- 3.1.2. Communicating the importance of animal welfare to the NMT community,
- 3.1.3. Assuming the role of providing the Assurance for the ACUP on behalf of NMT,

- 3.1.4. Supporting implementation of Program decisions and taking administrative actions to facilitate compliance,
 - 3.1.5. Allocating and distributing resources as necessary to ensure the Program's overall effectiveness,
 - 3.1.6. Appointing individuals to the IACUC and ensuring that these individuals are protected from coercion or undue influence while serving in this capacity,
 - 3.1.7. Appointing a Chair and Vice-Chair to provide leadership to the IACUC,
 - 3.1.8. Ensuring the Attending Veterinarian (AV) has the proper authority and resources to meet their responsibilities to the ACUP,
 - 3.1.9. Serving as a point of contact for OLAW, USDA, and other federal agencies sponsoring and overseeing animal use and providing required ACUP reports to these agencies, and
 - 3.1.10. Communicating with and advising other senior administrative officials on ACUP issues as necessary.
- 3.2. **Attending Veterinarian (AV):** The AV is responsible for the health and well-being of all live vertebrate animals used at the institution for research, teaching, agricultural, or clinical studies. The AV is appointed by the IO. The AV has the responsibility and authority for:
- 3.2.1. Managing the program of veterinary care, environmental enrichment, and zoonotic disease prevention,
 - 3.2.2. Overseeing other aspects of vertebrate animal care and use such as husbandry and housing to ensure that the ACUP complies with the regulations,
 - 3.2.3. Providing guidance and oversight to surgery programs and perioperative care,
 - 3.2.4. Assisting the IACUC in determining that personnel performing surgical procedures are appropriately qualified and trained,
 - 3.2.5. Serving as the point of authority on regulatory interpretation for veterinary and animal husbandry regulations, and
 - 3.2.6. Providing veterinary consultation during protocol development for procedures that may cause more than momentary or slight pain or distress to vertebrate animals.
- 3.3. **IACUC Administrator:** An administrative unit of the NMT Research Compliance Office has the following responsibilities:
- 3.3.1. Receiving and screening of all protocols submitted for IACUC review,
 - 3.3.2. Verifying that the PI proposing the project is eligible to serve in the capacity of PI and that all compliance-related requirements (e.g., COI disclosure) have been met,
 - 3.3.3. Providing administrative support to the IACUC by keeping investigators and others in the university informed of IACUC decisions and performing all other IACUC-related recordkeeping and administrative processing,

- 3.3.4. Notifying investigators of expired/terminated/suspended protocols and facilitating transfer of animals to another approved protocol, as applicable,
 - 3.3.5. Facilitating post-approval monitoring.
 - 3.3.6. All IACUC matters must remain confidential by the IACUC administrator and not discussed with other non-IACUC members outside of the Office of Research.
 - 3.3.7. Assisting in the IACUC's investigation of ACUP findings or concerns,
 - 3.3.8. Preparing regulatory reports and agency notifications (e.g., noncompliance) per IACUC direction to appropriate institutional offices OLAW, and other federal agencies as required,
 - 3.3.9. Maintaining IACUC records for at least three years.
 - 3.3.10. Communicating program issues including facility problems, regulatory updates and ACUP trends to the IACUC and the IO and the PIs,
 - 3.3.11. Developing and implementing training for ACUP Personnel in the care and use of animals, and
 - 3.3.12. Assisting institutional health officials to establish and monitor an occupational health program including biohazard control policies/procedures for ACUP activities and personnel.
- 3.4. **Principal Investigator (PI):** Principal Investigators involved with live vertebrate laboratory animals must adhere to the following responsibilities:
- 3.4.1. Maintain an understanding of federal, state and university regulations pertaining to the humane care and use of laboratory animals,
 - 3.4.2. Annually, file an Approved Animal Study Protocols Yearly Update Form with the IACUC for a review,
 - 3.4.3. Purchase laboratory animals from businesses approved by Purchasing or the university;
 - 3.4.4. Ensure that staff, visiting scholars and students are trained in the humane care of animals as they perform their duties and obligations set forth by external regulations and university policy,
 - 3.4.5. Maintain documentation on staff and student training as requested by regulatory and accrediting agencies,
 - 3.4.6. Seek prior approval to bring laboratory animals to the university campus from outside institutions or collaborating agencies
 - 3.4.7. Seek prior approval from the IACUC to move and/or transport animals out of the animal facility.
- 3.5. **Responsibility of Faculty, Staff, Visiting Scholars, and Students**
- 3.5.1. All faculty, staff, visiting scholars and students involved in animal research are required to comply with all relevant regulations and policies related to the humane care and treatment of laboratory animals. As a result, training for the care and use of laboratory animals is mandatory for all individuals engaged in animal research.

3.6. Visitors in Animal Facilities

- 3.6.1. For purposes of this document, "visitors" may be defined as persons who fall under the following categories:
 - 3.6.1.1. Inspectors
 - 3.6.1.2. Site review staff
 - 3.6.1.3. Tour guest as approved by PIs
 - 3.6.1.4. Workshop participants and students in approved course activities
 - 3.6.1.5. Contractor service personnel
- 3.6.2. Individuals recovering from surgery or otherwise immuno-suppressed may want to consider that certain areas pose an increased risk to personal health.
- 3.6.3. Visitors entering animal facilities must be chaperoned by ACF personnel who are participating in an animal occupational health program and have completed animal care and use training.
- 3.6.4. The ACF personnel should assist the visitors in complying with all procedures and precautions that have been established based on the species and activity that will take place, such as donning masks, gloves, eye protections, etc.
- 3.6.5. Questions regarding the appropriate precautions can be directed to the PI or members of IACUC

Note: This visitation policy is applicable to exposure to animals from the general housing areas only. Entry into quarantined areas or those containing known biological, radiological, or chemical hazards should be evaluated on a case-by-case basis by the PI and members of IACUC.

4. Institutional Animal Care and Use Committee (IACUC)

- 4.1.1. **Membership:** Consist of at least five members with the following:
 - 4.1.1.1. At least one shall be a Doctor of Veterinary Medicine, with training or experience in laboratory animal science and medicine, who has direct or delegated program responsibility for activities involving animals at the research facility;
 - 4.1.1.2. At least one shall not be affiliated in any way with the facility other than as a member of the Committee, and shall not be a member of the immediate family of a person who is affiliated with the facility. The person will provide representation for general community interests in the proper care and treatment of animals;
 - 4.1.1.3. At least one practicing scientist who is experienced in research involving animals.
 - 4.1.1.4. At least one member whose primary concerns are in a nonscientific area.
- 4.1.2. **IACUC Member Expectations:**
 - 4.1.2.1. IACUC members are expected to participate in polling of protocol/amendment submissions.

- 4.1.2.2. It is expected that full IACUC members will attend 75% of IACUC meetings.
- 4.1.2.3. It is expected that alternate IACUC members will attend at least 25% of IACUC meetings.
- 4.1.2.4. All IACUC members (full and alternate) are expected to participate in a minimum of 1 semi-annual inspection per 12-month period in which there was live vertebrate research approved to take place in the facility. No member shall be excluded from participating in facility expectations or program review.
- 4.1.2.5. All IACUC members (full and alternate) are expected to serve as primary or secondary reviewer on protocol(s) and/or amendment(s) as assigned.
- 4.1.2.6. All IACUC matters must remain confidential by the IACUC member and not discussed with other non-IACUC members.
- 4.1.2.7. IACUC members should be aware of federal regulations in the Animal Welfare Act, Title 7, Chapter 54, Section 2157 that it is unlawful for any member of the IACUC to release confidential information to a third party or to use, or attempt to use, confidential information to their own advantage.
- 4.1.2.8. If a potential conflict of interest exists regarding any IACUC-related duties, the IACUC member must recuse themselves.
- 4.1.2.9. IACUC members must disclose any financial Conflict of Interest.
- 4.1.2.10. Full or alternate members who fail to meet expectations may not have their committee appointment renewed. Exceptions will be considered by the IO and IACUC Chairperson.
- 4.1.3. **IACUC Chair Expectations:** The IACUC Chair is responsible for overseeing the coordination and implementation of effective, efficient systems for protocol review and program review by the IACUC in compliance with the PHS policy and the AWA. Other duties include:
 - 4.1.3.1. Convene and chair meetings, ensure that there is a quorum present, and declare the loss of a quorum resulting in the end of official business if a sufficient number of members depart.
 - 4.1.3.2. Recommend IACUC membership changes to the IO.
 - 4.1.3.3. Evaluate and champion policy and practice initiatives to improve NMT's animal care and use program.
 - 4.1.3.4. Participate in the assignment of designated reviewers for protocols and amendments.
 - 4.1.3.5. Communicate regularly with the IO and Attending Veterinarian/s
- 4.1.4. **Appointments:**

- 4.1.4.1. IACUC members will be appointed by the Institutional Official (IO) with input from the IACUC Chairperson and will receive their official appointment letter thereafter.
 - 4.1.4.2. Appointments will be either as a full or alternate member. An IACUC member and his/her alternate may not count toward a quorum at the same time or act in an official member capacity at the same time. Alternates will receive training identical to the training provided to full members.
 - 4.1.4.3. Appointments for a new member will be for 1 year initially and renewed at the discretion of the IO for another 2 years thereafter with subsequent renewals (3 year appointments).
 - 4.1.4.4. Members may resign from the IACUC at any time.
 - 4.1.4.5. The IACUC Chairperson will have a 3-year appointment initially. Thereafter, they may renew their appointment for another 4 years.
- 4.1.5. **Function:** The IACUC is authorized and responsible for administering the following functions.
- 4.1.5.1. At least once every six months, review the institution's program for humane care and use of animals, using the Guide as a basis for evaluation;
 - 4.1.5.2. At least once every six months during which live vertebrate research has been approved in a campus facility, inspect the institution's animal facility using the Guide as a basis for evaluation
 - 4.1.5.3. Prepare reports of the IACUC evaluations conducted and submit the reports to the IO:
 - 4.1.5.3.1. If live vertebrate research has been conducted in the institutional animal facility during a six month period, the reports shall be updated at least once every six months upon completion of the required semiannual evaluations
 - 4.1.5.3.2. Shall be maintained by the institution and made available to OLAW upon request.
 - 4.1.5.3.3. The reports must contain a description of the nature and extent of the institution's adherence to the Guide and the PHS Policy and must identify specifically any departures from the provisions of the Guide and the PHS Policy, and must state the reasons for each departure.
 - 4.1.5.3.4. The reports must distinguish significant deficiencies from minor deficiencies. A significant deficiency is one which, consistent with this Policy, and, in the judgment of the IACUC and the Institutional Official, is or may be a threat to the health or safety of the animals.

- 4.1.5.3.5. If program or facility deficiencies are noted, the reports must contain a reasonable and specific plan and schedule for correcting each deficiency.
- 4.1.5.3.6. Review concerns involving the care and use of animals at the institution;
- 4.1.5.4. Make recommendations to the IO regarding any aspect of the institution's animal program, facilities, or personnel training;
- 4.1.5.5. Review and approve, require modifications in (to secure approval) or withhold approval of activities related to the care and use of live vertebrate animals.
- 4.1.5.6. Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the use of live vertebrate animals in ongoing activities; and
- 4.1.5.7. Be authorized to suspend an activity involving live vertebrate animals in accordance with the specifications set forth in the PHS Policy.

4.1.6. Protocol Review:

- 4.1.6.1. In order to approve proposed research projects or proposed significant changes in ongoing research projects, the IACUC shall conduct a review of those components related to the care and use of live vertebrate animals and determine that the proposed research projects are in accordance with this Policy.

In making this determination, the IACUC shall confirm that the research project will be conducted in accordance with the Animal Welfare Act as it applies to the research project, and that the research project is consistent with the Guide unless acceptable justification for a departure is presented. Further, the IACUC shall determine that the research project conforms to any current Assurance the institution has, and meets the following requirements:

- 4.1.6.1.1. Procedures with animals will avoid or minimize discomfort, distress, and pain to the animals, consistent with sound research design.
- 4.1.6.1.2. Procedures that may cause more than momentary or slight pain or distress to the animals will be performed with appropriate sedation, analgesia, or anesthesia, unless the procedure is justified for scientific reasons in writing by the investigator.
- 4.1.6.1.3. Animals that would otherwise experience severe or chronic pain or distress that cannot be relieved will be painlessly killed at the end of the procedure or, if appropriate, during the procedure.

- 4.1.6.1.4. The living conditions of animals will be appropriate for their species and contribute to their health and comfort. The housing, feeding, and nonmedical care of the live vertebrate animals will be directed by a veterinarian or other scientist trained and experienced in the proper care, handling, and use of the species being maintained or studied.
- 4.1.6.1.5. Medical care for live vertebrate animals will be available and provided as necessary by a qualified veterinarian.
- 4.1.6.1.6. Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures.
- 4.1.6.1.7. Methods of euthanasia used will be consistent with the recommendations of the American Veterinary Medical Association (AVMA) Panel on Euthanasia, unless a deviation is justified for scientific reasons in writing by the investigator.
- 4.1.6.2. Prior to the review, each IACUC member shall be provided with a list of proposed research projects to be reviewed. Written descriptions of research projects that involve the care and use of animals shall be available to all IACUC members. Approval of those research projects may be granted only after review at a convened meeting of a quorum of the IACUC and with the approval vote of a majority of the quorum present.
- 4.1.6.3. No member may participate in the IACUC review or approval of a research project in which the member has a conflicting interest (e.g., is personally involved in the project) except to provide information requested by the IACUC; nor may a member who has a conflicting interest contribute to the constitution of a quorum.
- 4.1.6.4. The IACUC may invite consultants to assist in the review of complex issues, wildlife vertebrates, or non-USDA live vertebrates. Consultants may not approve or withhold approval of an activity or vote with the IACUC unless they are also members of the IACUC.
- 4.1.6.5. The IACUC shall notify investigators and the institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval.
- 4.1.6.6. If the IACUC decides to withhold approval of an activity, it shall include in its written notification a statement of the reasons for its decision and give the investigator an opportunity to respond in person or in writing.
- 4.1.6.7. The IACUC shall conduct a complete review (of research protocols involving live vertebrate animals) at least once every three years.

- 4.1.6.8. The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with applicable provisions of the Animal Welfare Act, the Guide, the institutional Assurance, or the PHS Policy.
- 4.1.6.9. The IACUC may suspend an activity only after review of the matter at a convened meeting of a quorum of the IACUC and with the suspension vote of a majority of the quorum present.
- 4.1.6.10. If the IACUC suspends an activity involving vertebrate animals under an Assurance, the IO in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW.
- 4.1.6.11. Applications and proposals that have been approved by the IACUC may be subject to further appropriate review and approval by officials of the institution. However, those officials may not approve an activity involving the care and use of animals if it has not been approved by the IACUC.

5. Training

- 5.1. All personnel working with live vertebrates must receive sufficient training in all procedures in which they will participate to ensure that animals are properly cared for and maintained.
- 5.2. New faculty, staff, and students working with live vertebrates are required to complete Animal Care and Use training modules through the Citi Program (<https://www.citiprogram.org/>) along with any other applicable species or technique modules before beginning work with animals.
- 5.3. Student and staff training will be supplemented by in-person training by the PI who is responsible for maintaining their own training level.
- 5.4. The Attending Veterinarian(s) will provide training, as needed, to any investigator who wishes to engage in surgical techniques with which they are unfamiliar.
- 5.5. It is the PI's responsibility to maintain and provide the IACUC Administrator and ACF Coordinator training records for themselves and any other participants working under their approved protocol.

6. Occupational Health and Safety

The occupational health and safety program for personnel who work in laboratory animal facilities or have frequent contact with animals involves Hazard Identification and Risk Assessment:

6.1. Administrative Procedures

- 6.1.1. The IACUC works with the NMT Safety and Compliance Office and the Loss Prevention and Control Committee when animal activities involving

- hazardous agents are proposed. Identification of potential hazards and a risk assessment is conducted via a team-based approach involving the researcher, NMT Safety and Compliance Office, and the IACUC Administrator.
- 6.1.2. When an experiment involving hazardous agents is submitted to the IACUC for approval, the protocol must have been reviewed and approved by the NMT Research Safety Committee. It is the responsibility of the subcommittee to:
 - 6.1.2.1. Review all animal protocols involving these agents and conduct a risk assessment;
 - 6.1.2.2. Approve procedures for using these agents;
 - 6.1.2.3. Approve facilities; and
 - 6.1.2.4. Approve written procedures.
 - 6.1.3. The NMT Safety and Compliance Office and their committees are responsible to monitor compliance with the protocols they approve.
 - 6.2. **Personnel training:** Before individuals (including visiting students and faculty) are allowed to conduct research with hazardous agents they must complete all applicable training.
 - 6.2.1. Training includes topics such as biosafety and biohazard use, radiation safety, potential zoonosis, and safe techniques for handling animals and conducting procedures.
 - 6.2.2. Training is also provided by the NMT Safety and Compliance Office for tasks which involve hazardous agents.
 - 6.2.3. In collaboration with the NMT Safety and Compliance Office, all personnel will be trained and monitored on the precautions to be taken during pregnancy, illness and decreased immunocompetence.
 - 6.2.4. Other personnel, such as maintenance, police, housekeeping, etc., will be escorted in areas with hazardous agents, until they have completed the proper training.
 - 6.3. **Personal hygiene:** All standard operating procedures (SOPs) involving personal hygiene have been developed in conjunction with the NMT Safety and Compliance Office.
 - 6.3.1. In particular SOPs dictate that individuals must wash hands after working with animals and in particular after working with any bio-hazardous or radioactive agents.
 - 6.3.2. A shower is available in the facility in case of need for more thorough personal washing.
 - 6.4. **Facilities, procedures, and monitoring:** Animal experiments with hazardous agents are overseen by the NMT Safety and Compliance Office, PIs, and the ACF coordinator to ensure personnel safety.
 - 6.4.1. Physical facilities are inspected by representatives of the facility and the NMT Safety and Compliance Office.

- 6.4.2. Live vertebrate animal husbandry procedures are developed with input from the IACUC, PIs, and ACF Coordinator. These practices are based on the agent involved, potential exposure level, and requirements of the experiment.
- 6.4.3. Monitoring of compliance with safe operating procedures is the combined responsibility of the ACF staff and the Safety and Compliance Office.
- 6.4.4. All accidents, injuries, or exposures are reported to the ACF Administrator and the PI.
- 6.4.5. In case of accident, injury, or exposure, individuals are referred to the NMT Student Health Services, personal physicians, local occupational health professional, or local hospital emergency room.
- 6.4.6. Work related injuries are also reported to the University Human Resources Office and Safety and Compliance Office.
- 6.5. **Personal protective equipment:** All personal protective equipment requirements are derived from the risk assessment and associated standard operating procedures that are developed and approved prior to initiating any associated live vertebrate animal work.
 - 6.5.1. All ACF personnel, research investigators, and visitors are required to wear lab coats upon entering the live vertebrate animal quarters.
 - 6.5.2. The animal caretakers may wear coveralls, surgical scrub suits, or lab coats.
 - 6.5.3.
 - 6.5.4. Personnel wear gloves and surgical masks as appropriate to the species, when handling live vertebrate animals.
 - 6.5.5. Animal caretakers change gloves and wash hands between animal rooms.
 - 6.5.6. Work in biosafety level 2 (BSL-2) areas is conducted according to a standard operating procedure (SOP) approved by the Safety and Compliance Office.
 - 6.5.6.1. Personnel, when working in BSL-2 areas, must wear lab coats or gowns (which remain in the room) and gloves.
 - 6.5.6.2. Surgical masks may also be worn.
 - 6.5.6.3. Masks, gloves, and miscellaneous waste are placed in a biohazardous container in the room.
 - 6.5.6.3.1. The waste is decontaminated by autoclaving and discarded.
 - 6.5.6.4. Additional procedure precautions are instituted in all biocontainment areas to minimize the likelihood of exposure to potential pathogens.
- 6.6. **Medical evaluation and preventive medicine for personnel:** All personnel who wish to have security access to the animal facility must enroll in the Occupational Health and Safety Program. The Occupation Health and Safety Program is overseen by the ACF administrator and the Safety and Compliance Office. A three-page form is utilized to determine what needs to be included in the Occupation Health and Safety Program for each individual and re-evaluated annually thereafter. Records will be maintained by the Safety and Compliance Office. The form includes:
 - 6.6.1. General information

- 6.6.2. Potential occupational risk assessment
- 6.6.3. Protection plan which includes training
- 6.6.4. Individual health history
- 6.6.5. This form is completed by the employee and their supervisor. The form is reviewed by the Safety and Compliance Office. Additionally, all individuals must undergo a medical consultation with an occupational health nurse or doctor prior to receiving admittance to the animal holding facility. All decisions regarding preventive medical care, such as vaccinations or limits on an individual's activities, are made by the Safety and Compliance Office and a medical professional.

7. Record keeping

- 7.1. NMT will maintain for at least three years:
 - 7.1.1. A copy of the Assurances obtained, and any modifications thereto, as approved by PHS.
 - 7.1.2. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations.
 - 7.1.3. Records of applications, proposals, and proposed significant changes in the care and use of live vertebrate animals and whether IACUC approval was given or withheld.
 - 7.1.4. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to New Mexico Tech Vice President for the Office of Research.
 - 7.1.5. Records of accrediting body determinations.
- 7.2. NMT will maintain records that relate directly to applications, proposals, and proposed changes in ongoing activities reviewed and approved by the IACUC for the duration of the activity and for an additional three years after completion of the activity.
- 7.3. All records pertaining to periods in which there was live vertebrate research under an Assurance shall be accessible for inspection and copying by authorized OLAW or other PHS representatives at reasonable times and in a reasonable manner.

8. Reporting Requirements:

In years in which live vertebrate research was approved under an Assurance, the IACUC, through the Institutional Official (IO), will submit an annual report to OLAW every year. The report will include:

- 8.1. Any change in the status of the Institution (e.g., if the Institution becomes accredited by American Association for Accreditation of Laboratory Animal Care (AAALAC) or AAALAC accreditation is revoked).
- 8.2. Any change in the description of the Institution's program for animal care and use as described in this Assurance.
- 8.3. Any changes in IACUC membership.

- 8.4. Notification of the dates that the IACUC conducted its semiannual evaluations of the Institution's program and facility and submitted the evaluations to NMT's Vice President for The Office of Research IO.
- 8.5. Any minority view files by members of the IACUC.
- 8.6. The IACUC, through the IO, will provide the OLAW promptly with a full explanation of the circumstances and actions taken with respect to:
 - 8.6.1. Any serious or continuing noncompliance with the PHS Policy.
 - 8.6.2. Any serious deviations from the provisions of the Guide.
 - 8.6.3. Any suspension of an Activity by the IACUC.
- 8.7. Reports filed shall include any minority views filed by members of the IACUC.