



Institutional Animal Care and Use Committee

Animal Welfare Assurance for Domestic Institutions

I, Ivan Lopez Hurtado, Ph.D. as named Institutional Official for animal care and use at Northern New Mexico College, provide assurance that this Institution will comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy).

I. Applicability of Assurance

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

- A. The following are branches and components over which this Institution has legal authority, included are those that operate under a different name:
 - Espanola Campus, Northern New Mexico College
 - El Rito Campus, Northern New Mexico College

References:

- o [Custom services](#)
- o [Tissue or dead animals](#)
- o [Embryonated eggs](#)
- o [Amphibians and fish](#)
- o [Privately owned animals](#)
- o [Research activity or veterinary clinical trial versus clinical care](#)
- o [Non-PHS funded activities](#)

II. Institutional Commitment

- A. This Institution will comply with all applicable provisions of the [Animal Welfare Act](#) and other Federal statutes and regulations relating to animals.
- B. This Institution is guided by the "[U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training.](#)"
- C. This Institution acknowledges and accepts responsibility for the care and use of animals involved in activities covered by this Assurance. As partial fulfillment of this responsibility, this Institution will ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with this Assurance, and other applicable laws and regulations pertaining to animal care and use.

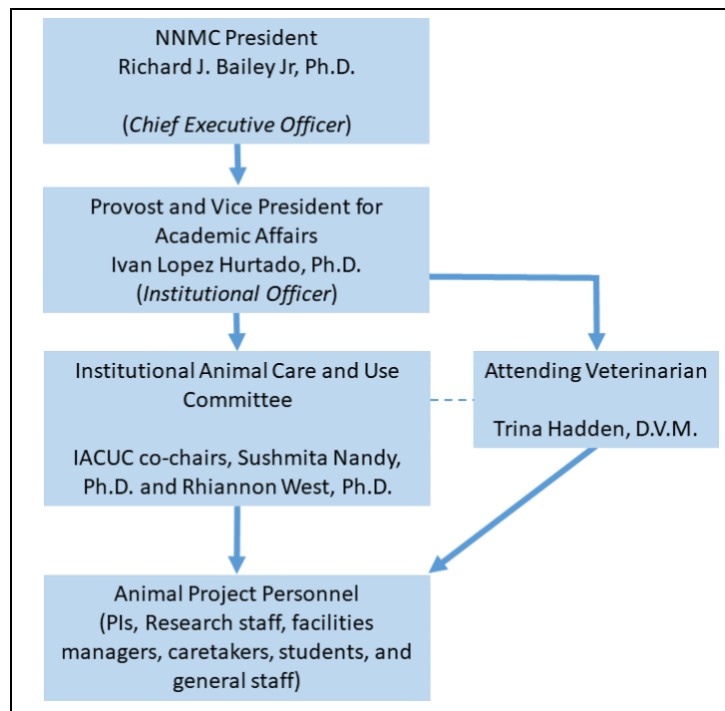
Recommended Reference:

- o [Distribution of Assurance within Institution](#)

- D. This Institution has established and will maintain a program for activities involving animals according to the *Guide for the Care and Use of Laboratory Animals (Guide)*.
 - o [*Use of the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching*](#)
- E. This Institution agrees to ensure that all performance sites engaged in activities involving live vertebrate animals under consortium (subaward) or subcontract agreements have an Animal Welfare Assurance and that the activities have Institutional Animal Care and Use Committee (IACUC) approval.

III. Institutional Program for Animal Care and Use

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



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

1) Name: Trina Hadden, D.V.M

Qualifications

- Degrees:
 - Doctor of Veterinary Medicine
- Training or experience in laboratory animal medicine or in the use of the species at the institution:

Dr. Hadden has thirteen years of work experience as a veterinarian in private practice and shelter medicine, in addition to over fifteen years as a veterinary technician in a variety of medical settings. She has held the position of Attending Veterinarian at the Los Alamos National Laboratory IACUC since 2008. Dr. Hadden is a member of the AVMA (American Veterinary Medical Association), AASRP (American Association of Small Ruminant Practitioners), and NMVMA (New Mexico Veterinary Medical Association)

Authority: Dr. Trina Hadden has direct program authority and responsibility for the Institution's animal care and use program including access to all animals.

Time contributed to program: Dr. Hadden serves as a consulting veterinarian who provides approximately 1 hour per month to animal care and use program, given NNMC's small size. She serves on a voluntary basis and is not remunerated by the college.

References:

- [ACLAM Guidelines on Adequate Veterinary Care. \(PDF\)](#)
- [Guide, pages 4, 114](#)

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

- Veterinarian: Dr. Trina Hadden, D.V.M. Dr. Hadden serves as the IACUC veterinarian for Los Alamos National Laboratories and has extensive experience with IACUCs.
- Co-chairpersons: Dr. Rhiannon West, Ph.D. in Biology and Dr. Sushmita Nandy, Ph.D. in Biology. Both Drs. West and Nandy will serve as the practicing scientist involved in research involving animals. We feel the co-chair position will allow easy recusals when needed given the size of the institution.
- Alternate scientist: Dr. Anthony Sena, Ph.D in Biology will serve as an alternate for Dr. Nandy or Dr. West if they need to recuse themselves.
- Non-scientist: Dr. Heather Winterer, Ph.D. in Literature and Creative Writing
- Non-affiliate member: Dr. Christina L Wall, Ph.D. in Atmospheric Science. Dr. Wall is the Director of Science and Education at the New Mexico Wildlife Center and is not involved in animal research or affiliated with NNMC in any capacity outside of the IACUC

References:

- [Alternate members](#)
- [ARENA/OLAW IACUC Guidebook \(PDF\)](#)
- [Financial compensation](#)
- [Membership requirements](#)
- [Nonscientific and nonaffiliated members](#)

D. The IACUC will:

- 1) Review at least once every 6 months the Institution's program for humane care and use of animals, using the *Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual program reviews are as follows:
 - a. The co-chairs of the IACUC will perform a semiannual program review using the *Guide*, PHS policy, USDA policy, and the Animal Welfare Act, and a checklist based upon the Semiannual Program Review Checklist provided by OLAW. The co-chairs will then present their findings and recommendations to the IACUC committee for a final vote.
 - b. If committee members require changes, the co-chairs will implement them and resubmit the program review to the committee.
- 2) Inspect at least once every 6 months all of the Institution's animal facilities, including satellite facilities and animal surgical sites, using the *Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual facility inspections are as follows:
 - a. All members of the IACUC committee will be invited to perform semi-annual inspections of all animal facilities housed at NNMC. At the least, the veterinarian will be required to perform the semi-annual inspections. No IACUC member who wants to inspect the facilities will be prevented from doing so. A checklist based on the Semiannual Facilities

- Inspection Checklist provided by OLAW will be used to determine if the facility meets the requirements of the *Guide*, PHS policy, USDA policy, and the Animal Welfare Act.
- b. If there are deficiencies noted, they will be rated minor or significant. Significant refers to potential threats to safety and welfare of the animal. The committee will create a reasonable plan and timeline for the PI to correct the deficiencies.

References:

- o [Inspection of field study sites](#)
 - o [Inspection of laboratories and other animal sites](#)
 - o [Sample semiannual program and facility review checklist](#)
- 3) Prepare reports of the IACUC evaluations according to PHS Policy IV.B.3. and submit the reports to the Institutional Official. The IACUC procedures for developing reports and submitting them to the Institutional Official are as follows:
 - a. The IACUC committee will discuss the Semiannual Program Review prepared by the co-chairs and the Semiannual Animal Facility Inspection findings. Changes suggested by the members will be implemented by the co-chairs and submitted to the committee for approval.
 - b. Following approval, the co-chairs will use the template provided by OLAW to create a semiannual report to the institutional official
 - i. The report will detail how the institution is complying with the *Guide* and PHS policy. It will discuss any departures from the *Guide* and PHS policy. All such departures must be a part of an approved IACUC protocol. The report will note what protocols are the departures. If there are no departures, the report will state as such.
 - ii. The report will designate any departures as minor or major deficiencies. For any facility and/or program departure deficiencies, the IACUC will report a reasonable plan and schedule for correcting the departure findings, reviewing the corrections, and approving the corrections.
 - iii. The final report will be reviewed and revised by the IACUC until a majority vote is achieved. The majority will sign the report.
 - iv. Minority views will be stated in the report. If there are no minority views, the report will state as such.
 - v. The completed report will be submitted to the Institutional Official as soon as reasonably possible and within 60 days.

References:

- o [Departures from the Guide](#)
 - o [Distinguishing between significant and minor deficiencies](#)
 - o [Sample semiannual report to the Institutional Official](#)
- 4) Review concerns involving the care and use of animals at the Institution. The IACUC procedures for reviewing concerns are as follows:
 - a. Concerns involving the care and use of animals at the institution may be reported to any or all individual(s) of the IACUC committee and/or the Institutional Official.
 - b. Such concerns can be reported verbally or in writing.
 - c. Anonymous concerns may be submitted to the mailbox of any member of the IACUC committee or the Institutional Official.
 - d. Animal facilities will have postings as to how to report any concerns, starting with the animal facility PI's contact information and followed by the committee's contact information. Postings will note that good faith reporters will be protected from undo reprisals related to any such report.
 - e. All reports must be immediately shared with the IACUC committee, barring any conflicts of interest (i.e. if a committee member is involved in the facility the complaint is being made against)
 - f. The concerns will be reviewed by the committee and recommendations for addressing the concerns will be made.

- g. If the committee determines an investigation is warranted, the investigation will involve the facility PI, the co-chairs, the veterinarian, and any members of the committee who are required, requested, or desire to attend. The Institutional Official will be informed of the complaint and the schedule of the investigation.
 - h. A report will be generated detailing the submitted concern, the review of the concern by the committee, the committee's ruling on the complaint, any investigative actions, corrections, plans, and schedules created to address the concern. The IACUC committee will submit the report to the Institutional Official.
 - i. Whistleblowers and individuals who report in good faith will be protected against reprisal per New Mexico state law.
- 5)

References:

- o *Guide, pages [23-24](#)*

- 6) Make written recommendations to the Institutional Official regarding any aspect of the Institution's animal program, facilities, or personnel training. The procedures for making recommendations to the Institutional Official are as follows:
- a. Recommendations to the Institutional Official regarding any aspect of the Institution's animal care and use program, facilities, or personnel training will be reviewed by the IACUC, modified as necessary, approved and submitted to the Institutional Official in writing.
 - b. Any such recommendations will be maintained in the IACUC's records.
- 7) Review and approve, require modifications in (to secure approval), or withhold approval of PHS-supported activities related to the care and use of animals according to PHS Policy IV.C.1-3. The IACUC procedures for protocol review are as follows:
- a. Protocols are submitted to the email address IACUC@nmmc.edu which is received by the co-chairs of the IACUC.
 - i. Primary Investigators (PIs) may request a full committee review or allow a designated member review, where applicable
 - ii. Pain category E protocols require a full review
 - b. The co-chairs will email the protocol to all the members of the IACUC
 - c. Each member may request a full committee review of the proposal or one or more members may be designated by the co-chairs to review the proposal
 - d. Each reviewing member is to fill out an IACUC Proposal Review Checklist and state whether the proposal is approved or not.
 - e. The checklists will be compiled by the IACUC co-chairs and anonymous recommended modifications to the proposals will be made to the Principle Investigator
 - f. The PI may then either incorporate the requested modifications or challenge them by citing the *Guide*, specific PHS policy, USDA policy, peer-reviewed scientific findings, or, in the lack of guidance from any of the former, PI experience.
 - g. In the event of a full review, the PI responses will then be provided to the IACUC and the committee members who rejected the initial proposal will be required to respond to the changes. Those IACUC members who previously accepted a protocol may, but are not required to, modify their vote based upon the new protocol.
 - h. In the event of a designated member review, in accordance with PHS policy, the designated member reviewer(s) can approve, require modifications, or request a full committee review.
 - i. Full committee reviews require a meeting of a quorum of the IACUC. Approval of the protocol requires a majority vote.
 - j. Meetings can be either virtually conducted over email or held in person. All discussion regarding the proposals must either be recorded in meeting minutes or via email.
 - k. In the event of a conflict of interest, the IACUC member will recuse themselves from all deliberations and will be treated as a non-committee member by the committee.

References:

- o [Designated member review and full committee review](#)
- o [Electronic communications](#)
- o [Methods of IACUC review](#)

- [Quorum](#)
 - [Tracking animal numbers](#)
 - [Use of nontraditional species](#)
- 8) Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the use of animals in ongoing activities according to PHS Policy IV.C. The IACUC procedures for reviewing proposed significant changes in ongoing research projects are as follows:
- a. Significant changes to proposals will be submitted as outlined above (part III.D.6). The co-chair(s) will determine if changes are significant. In the event of significant changes, the review process outlined in part III.D.6 will be used; or the co-chair(s) and the veterinarian will provide an administrative review in accordance with the *Guide*, PHS Policy, and Animal Welfare Regulations.

Reference:

- [Significant changes to approved protocols](#)
- 9) Notify investigators and the Institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval according to PHS Policy IV.C.4. The IACUC procedures to notify investigators and the Institution of its decisions regarding protocol review are as follows:
- a. Principle Investigators will be notified via electronic mail that their protocol is approved, requires modification, or approval is withheld.
 - i. Required modifications and a deadline to provide a modified protocol and respond to requests will be provided
 - ii. Notice of withheld approval will be delineated with reasons for the IACUC's decision. The PI will have an opportunity to respond and/or appeal the decision.
 - iii. The PI may request such responses and/or appeals in person before a full quorum of the IACUC
 - iv. Approved protocols are subject to review and potential overturning of IACUC approvals by the veterinarian and the Institutional Official. The veterinarian or the IO may not approve a protocol where the IACUC has withheld approval.
 - b. The IO will receive a copy of the IACUC meeting minutes, which detail protocol decisions and other IACUC activities.
- 10) Conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including a complete review at least once every 3 years according to PHS Policy IV.C.1.-5. The IACUC procedures for conducting continuing reviews are as follows:
- a. Ongoing protocols and animal activities are reviewed on an ongoing basis by animal care staff, the veterinarian, and the IACUC
 - b. In conjunction with the approval of a protocol, the IACUC will set a complete review date. The IACUC conducts a complete review of previously approved, ongoing protocols at least every 3 years.
 - c. Ongoing USDA covered protocols will be reviewed annually.
 - d. Post-approval monitoring is conducted via bi-annual facility inspections, annual protocol reviews, adverse reporting, and veterinarian rounds.

References:

- [Frequency of review](#)
 - [Model for performing continuing review of research activities](#)
 - [Postapproval monitoring](#)
- 11) Be authorized to suspend an activity involving animals according to PHS Policy IV.C.6. The IACUC procedures for suspending an ongoing activity are as follows:
- a. The IACUC can suspend approved protocols if the approved protocol is not being followed, if activities are contrary to the *Guide*, PHS Policy, the Animal Welfare Act, other laws, this Assurance, or Institutional Policies and Principles,

- b. Approval can only be suspended following a full meeting of the IACUC and a majority vote to suspend the activity.
 - c. Immediate suspension of activities can be required by the IO, the co-chair(s), or the veterinarian in the advent of serious threat to animal welfare or evidence of serious non-compliance. Following such suspension, the IACUC will be notified.
- E. The risk-based occupational health and safety program for personnel working in laboratory animal facilities and personnel who have frequent contact with animals is as follows:
- a. All PIs are required to provide proof of initial and annual facility and animal specific OSHA training of their personnel and submit the proof of training in the form of a certification to the IACUC.
 - b. PIs are required to notify the IACUC co-chairs(s), in writing, any injury that occurs in their facility or when personnel are conducting work associated with a protocol or facility. This includes, but is not limited to, field work, obtaining supplies for the facility, working with animals, and traveling for work associated with a protocol or facility.
 - c. The co-chairs will determine if they need to suspend activity in the facility. The co-chairs will notify the IACUC and the IO of any incidences reported to them and any actions taken or requested to be taken.

References:

- o [Guide, pages 17-23](#)
- o [Institute of Laboratory Animal Resources, Occupational Health and Safety in the Care and Use of Research Animals, 1997](#)
- o [Occupational health and safety programs](#)
- o [OLAW Online Seminar: "Occupational Health and Safety Programs"](#)

- F. The total gross number of square feet in each animal facility (including each satellite facility), the species of animals housed there and the average daily inventory of animals, by species, in each facility is provided in the attached Facility and Species Inventory table.

Espanola Campus, High Tech building room 17
Fish (pupfish) Facility. Roughly 150 individuals.

- G. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows:
- Training on NNMCC's IACUC policy is required of all scientists, animal technicians, and other personnel involved in animal care, treatment.
- Specific organism care and use training is provided by the animal facility manager.

References:

- o [Guide, pages 15, 17](#)
- o [Training in the Laboratory Animal Science Community: Strategies to Support Adult Learning, 2007](#)
- o [Training of staff](#)

IV. Institutional Program Evaluation and Accreditation

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

V. Recordkeeping Requirements

- A. This Institution will maintain for at least 3 years:
 - 1. A copy of this Assurance and any modifications made to it, as approved by the PHS
 - 2. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations
 - 3. Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was granted or withheld
 - 4. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Institutional Official, Dr. Ivan Lopez Hurtado, Ph.D.
 - 5. Records of accrediting body determinations

- B. This Institution will maintain records that relate directly to applications, proposals, and proposed changes in ongoing activities reviewed and approved by the IACUC for the duration of the activity and for an additional 3 years after completion of the activity or as required by the funding agency.

Institutional Endorsement

A. Authorized Institutional Official	
Name: Dr. Ivan Lopez Hurtado, Ph.D.	
Title: Provost and Vice President for Academic Affairs	
Name of Institution: Northern New Mexico College	
Address: <i>(street, city, state, country, postal code)</i> 921 North Paseo de Oñate Española, NM 87532	
Phone: (505) 747-2225	Phone: (505) 747-2225
E-mail: provost@nnmc.edu	
Acting officially in an authorized capacity on behalf of this Institution and with an understanding of the Institution's responsibilities under this Assurance, I assure the humane care and use of animals as specified above.	
Signature: <i>Ivan Lopez Hurtado</i>	Date: 10/9/2018

Membership of the IACUC

Date: 14 May, 2018			
Name of Institution: Northern New Mexico College			
Assurance Number:			
IACUC Chairpersons			
Names*: Rhiannon West, Ph.D., Sushmita Nandy, Ph.D.			
Titles*: Assistant Professor of Biology		Degree/Credentials*: Ph.D.	
Address*: <i>(street, city, state, zip code)</i> 921 North Paseo de Oñate Española, NM 87532			
E-mail*: Rhiannon.West@NNMC.edu ; Sushmita.Nandy@NNMC.edu			
Phone*: 505-747-5466; 505-747-5468		Fax*:	
IACUC Roster			
Name of Member/ Code**	Degree/ Credentials	Position Title***	PHS Policy Membership Requirements****
Trina Hadden	D.V.M.	Veterinarian	veterinarian with training or experience in laboratory animal science and medicine or in the use of the

			species at the institution, who has direct or delegated program authority and responsibility for activities involving animals at the institution.
Rhiannon West	Ph.D. in Biology	Scientist	practicing scientist experienced in research involving animals.
Sushmita Nandy	Ph.D. in Biology	Scientist	practicing scientist experienced in research involving animals.
Anthony Sena	Ph.D. in Biology	Alternative member - Scientist	practicing scientist experienced in research involving animals.
Heather Winterer	Ph.D. in Literature	Nonscientist	member whose primary concerns are in a nonscientific area
Christina Wall	Ph.D. in Atmospheric Science	Nonaffiliated	individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution. This member is expected to represent general community interests in the proper care and use of animals and should not be a laboratory animal user. A consulting veterinarian may not be considered nonaffiliated.

* This information is mandatory.

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

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

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

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

Scientist practicing scientist experienced in research involving animals.

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

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

VI. Other Key Contacts (optional)

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

Contact #1	
Name:	
Title:	
Phone:	E-mail:
Contact #2	
Name:	
Title:	
Phone:	E-mail:

