

## VIII. Membership of the IACUC

July 15, 2016:			
Name of Institution: Texas A&M University-Kingsville			
Assurance Number: A3424-01			
IACUC Chairperson			
Name*: Randy Stanko			
Title*: Professor	Degree/Credentials*: Ph.D., Served on IACUC for six years; served as Chair 2012-2016; CITI IACUC Training		
Address*: (street, city, state, zip code) Department of Animal, Rangeland, and Wildlife Sciences 700 University Blvd., MSC 228 Kingsville, Texas 78363-8202			
E-mail*: randy.stanko@tamuk.edu			
Phone*: (b) (6)		Fax*: (b) (6)	
IACUC Roster			
Name of Member/ Code**	Degree/ Credentials	Position Title***	PHS Policy Membership Requirements****
Clay Hilton	D.V.M.	Director, Veterinary Technology Program	Attending Veterinarian
(b) (6)			Scientist
			Scientist
			Scientist
			Scientist
			Non-scientist
			Non-Affiliated Member
			Alternate for McManus
			Alternate for Hewitt or DeYoung
			Alternate for Hewitt or DeYoung
			Alternate Veterinarian
			Alternate Veterinarian
			Alternate for Creel

\* 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** A 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** A practicing scientist experienced in research involving animals.

**Nonscientist** A member whose primary concerns are in a nonscientific area. In evaluating the qualifications of an individual to serve as a nonscientific member, the CEO should consider appointing those with a naïve attitude with regard to science and scientific activities. A person without scientific training meets the Policy's intent, such as an ethicist, lawyer, or member of the clergy, as the Policy gives as examples. Some other examples include librarians, those working in business or finance, or instructors in English, history, or other liberal arts disciplines. When the rationale for categorizing an individual as a nonscientist is not apparent based on their occupation or training, the institution should maintain written documentation of the reason for the categorization.

**Non-affiliated Member** The nonaffiliated member must represent the general community interests in the proper care and use of animals. The nonaffiliated member must not be (1) a laboratory animal user or former user, (2) affiliated with the institution, or (3) an immediate family member of an individual affiliated with the institution. Immediate family includes parent, spouse, child, and sibling. In evaluating the qualifications of an individual to serve as a nonaffiliated member, the CEO should confirm the appointee has no discernible ties or ongoing affiliation with the institution. Regarding service of former employees or students as nonaffiliated members, the appointing official must be assured that the person is not in any way obligated to the institution. Real or perceived conflicts of interest must be avoided to ensure the IACUC's and the institution's integrity. Appointment of an individual who is unambiguously unaffiliated is the most effective way to fulfill the intent of the Policy.

All members must be appointed by the CEO (or individual with specific written delegation to appoint members) and must be voting members. Non-voting members and alternate members must be so identified.

## X. Facility and Species Inventory (page 1 of 2)

July 15, 2016:			
Name of Institution: Texas A&M University-Kingsville			
Assurance Number: A3424-01			
Laboratory, Unit, or Building*	Gross Sq. Ft. [include service areas]	Species Housed [use common names, e.g., mouse, rat, rhesus, baboon, zebrafish, African clawed frog]	Approximate Average Daily Inventory
(b) (4)	4,383 ft <sup>2</sup>	Cantil Southern Copperhead Broad-Banded Copperhead Northern Copperhead Osage Copperhead Trans-Pecos Copperhead Florida Cottonmouth Western Cottonmouth Eastern Cottonmouth Gaboon Viper Brazilian Lancehead Viper Malayan Pit Viper Eastern Diamondback Rattlesnake Western Diamondback Rattlesnake Baja rattlesnake Timber Rattlesnake Banded Rock Rattlesnake Mottled rock Rattlesnake Great Basin Rattlesnake Southwestern Speckled Rattlesnake Blacktail Rattlesnake Grand Canyon Rattlesnake Southern Pacific Rattlesnake Northern Pacific Rattlesnake Red Diamond Rattlesnake Mohave Rattlesnake Northwestern Neotropical Rattlesnake Tiger Rattlesnake Uracoan Rattlesnake Prairie Rattlesnake Monocled cobra Red Spitting Cobra Eastern Coral Snake Texas Coral Snake Desert Massasagua Western Massasauga Dusky Pigmy Rattlesnake Mice	2 19 15 7 4 10 3 29 1 1 6 1 10 124 3 16 7 2 1 6 16 1 19 4 20 24 4 7 4 24 1 4 1 18 1 1 4 1500

Unless otherwise indicated, mice and rats means mice of the genus *Mus* and rats of the genus *Rattus* that are purposely bred for research.

## X. Facility and Species Inventory (page 2 of 2)

July 15, 2016:			
Name of Institution: Texas A&M University-Kingsville			
Assurance Number: A3424-01			
(b) (4)	Total Area = 197,350 ft <sup>2</sup> Barn = 4,950 ft <sup>2</sup>	White-tailed deer	40
	48,600 ft <sup>2</sup>	American Alligator	20
	Farrowing Unit = 5500 ft <sup>2</sup> Holding Unit= 1800 ft <sup>2</sup>	Domestic swine	15
	Pens & barn = 261,360 ft <sup>2</sup> Pasture= 3,267,000 ft <sup>2</sup>	Domestic goats Domestic sheep	60 75
	1,360 ft <sup>2</sup>	Rabbits	150
	182 ft <sup>2</sup>	Snakes Salamanders	5 9

Unless otherwise indicated, mice and rats means mice of the genus *Mus* and rats of the genus *Rattus* that are purposely bred for research.





**TEXAS A&M**  
**UNIVERSITY**  
**KINGSVILLE**

The Office of Research & Sponsored Programs  
700 University Blvd., MSC 201  
Kingsville, Texas 78363-8202  
(361) 593-3344 • Fax (361) 593-3409

To: Dr. Mohamed Abdelrahman  
Institutional Official

(b) (6)

3/29/16

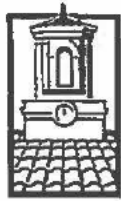
From: Dr. Randy Stanko  
Chair  
Institutional Animal Care and Use Committee (IACUC)

Date: March 29, 2016

Subject: **Spring 2016 Semiannual Report to the Institutional Official (IO)**

Please find attached: **Spring 2016 Semiannual Animal Facility Inspection Report**

- I. On **February 11, 2016**, the IACUC conducted the semiannual inspection of the Texas A&M University Kingsville animal facilities as required by the *PHS Policy on the Humane Care and Use of Animals* and the *Animal Welfare Regulations*. Minor deficiencies were reported.
- II. On **Feb. 11<sup>th</sup> and March 25 & 28, 2016**, the IACUC conducted the semiannual inspection of the Texas A&M University Kingsville Drug Storage Facilities as required by the *PHS Policy on the Humane Care and Use of Animals* and the *Animal Welfare Regulations*. Minor deficiencies were reported.
- III. On **March 15, 2016**, the IACUC conducted the semiannual program review of the Texas A&M University Kingsville animal care and use program as required by the *PHS Policy on the Humane Care and Use of Animals* and the *Animal Welfare Regulations*. The program review was conducted during a single, extended, convened meeting of the IACUC committee. All items are acceptable or not applicable to our Institution.



**Institutional Animal Care and Use Committee Meeting**  
**Report to the IO**  
**Spring 2016**

**Semiannual Animal Facility Inspection**

- I. On February 11, 2016, the IACUC conducted the semiannual inspection of the Texas A&M University Kingsville animal facilities as required by the *PHS Policy on the Humane Care and Use of Animals* and the *Animal Welfare Regulations*.

**IACUC Members in Attendance:**

Randy Stanko, Ph.D. – IACUC Chair  
Clayton Hilton, D.V.M. – Attending Veterinarian for IACUC

**IACUC Alternate Members in Attendance:**  
(none)

**Guests:**

(b) (6)

- II. On Feb. 11<sup>th</sup> and March 25 & 28, 2016, the IACUC conducted the semiannual inspection of the Texas A&M University Kingsville Drug Storage Facilities as required by the *PHS Policy on the Humane Care and Use of Animals* and the *Animal Welfare Regulations*. Minor deficiencies were reported.

**IACUC Members in Attendance:**  
Randy Stanko, Ph.D. – IACUC Chair  
(b) (6)

**Guests:**  
(b) (6)

The IACUC used the Office of Laboratory Animal Welfare's *Semiannual Facility Inspection Checklist* to assist with the animal facility inspection.

Overall, the IACUC found the facilities to be in great working order. No significant deficiencies were identified, however, minor deficiencies were found at multiple locations. Many were corrected immediately by unit managers whereas as others did not directly impact the health and safety of animal or staff. Please find attached the spring 2016 Facility Inspection Report with a list of all minor deficiencies discovered and a plan for the correction of each deficiency. Each deficiency is categorized by importance and identified by location. The responsible party and correction schedule are provided. The IACUC Chair, Dr. Randy Stanko, will follow up on each deficiency to determine when it was completed. No minority opinions were indicated.

### **Semiannual Program Review**

On **March 15, 2016**, the IACUC conducted the semiannual program review of the Texas A&M University Kingsville animal care and use program as required by the *PHS Policy on the Humane Care and Use of Animals* and the *Animal Welfare Regulations*. The program review was conducted over two convened meetings of the IACUC committee.

#### **IACUC Members in Attendance:**

- 1) Randy Stanko, Ph.D. – IACUC Chair
- 2) Clayton Hilton, D.V.M. – Attending Veterinarian for IACUC
- 3) (b) (6)
- 4) [REDACTED]
- 5) [REDACTED]
- 6) [REDACTED]

#### **IACUC Alternate Members in Attendance:**

(none)

#### **Guests:**

[REDACTED] (b) (6)

The IACUC used the Office of Laboratory Animal Welfare's *Semiannual Program Review Checklist* to assist with the program review. A copy of the completed checklist is attached.

Overall, the IACUC was extremely pleased with the animal care and use program. No significant deficiencies were identified. A single minor deficiency was determined. A description of these deficiencies is given below with a plan for their correction.



The committee reviewed OLAW's checklist on Institutional Policies and Responsibilities.

1. Animal Care and Use Program

All items were discussed and the item "Inter-institutional collaborations are described in formal written agreements," the IACUC noted that TAMUK may not have an agreement with another institution at this time and it would be needed in the future. Recently, a formal written agreement between TAMUK and The Texas A&M University System Health Science Center (TAMHSC) was presented to IACUC Chair and ORSP. This agreement became effective earlier this year. No minority opinions were indicated.

2. Disaster Planning and Emergency Preparedness

The committee discussed the disaster plans are complete for all animal units, including the fact that animals kept in the Biology program will be able to sustain/survive a storm breach and loss of power. The disaster plans were reviewed winter 2015/2016 by animal unit managers. No minority opinions were indicated.

3. IACUC

Continuing IACUC oversight after initial protocol approval is in place, annual continuing reviews of IACUC protocols began January 2016 and occur on or during the anniversary month of initial approval. No minority opinions were indicated.

4. IACUC Protocol Review – Special Considerations

Under "Humane Endpoints are established for..." it was confirmed that the IACUC does perform pain modeling for protocols.

Under "Pilot Studies, genetically modified animals, and restraint devices" the IACUC noted the only applicable situation is potential use of agriculture animal restraint devices (i.e. cattle chutes) which would not be classified as restraint type research. In the event that IACUC is presented with such protocols for review, special considerations will be applied and consultation of p. 28 and p. 29 of the *Guide* will be conducted during protocol review. Lastly, IACUC discussed that TAMUK has no active protocols involving toe-clipping. No minority opinions were indicated.

5. IACUC Membership and Functions

IACUC reviewed membership categories and functions. Emphasis on SOP generation and implementation was noted as a success, however, these items will be an ongoing process.. All categories deemed acceptable. No minority opinions were indicated.

6. IACUC Training – IACUC discussion confirmed all aspects are acceptable. Effective procedures are in place to notify PIs the status and expiration dates of CITI training. No minority opinions were indicated.

7. IACUC Records and Reporting Requirements – IACUC discussion confirmed all aspects are acceptable. Reports to IO need to be completed by IACUC chair in a timely manner. No minority opinions were indicated.

8. Veterinary Care (See also next section – Veterinary Care)

As Dr. Clayton Hilton is officially serving as the Attending Veterinarian for IACUC, IACUC confirmed all items to be acceptable. No minority opinions were indicated.

9. Personnel Qualifications and Training

There were limited comments on this section of the program review; however, IACUC discussion confirmed all aspects are acceptable and policies are in place to document training. No minority opinions were indicated.

10. Occupational Health and Safety of Personnel

The committee noted that TAMUK has established a fully functional Occupational Health Program for PIs, staff, and students involved with animal care and use. IACUC confirmed all items to be acceptable. No minority opinions were indicated.

11. Personnel Security

It was reaffirmed and noted that all paid employees receive a background check.

## 12. Investigating and Reporting Animal Welfare Concerns

Both signage and policies are in place. No Animal Welfare Concerns reported in last six months. New signs with personnel changes and text to address AVMA accreditation requirements will be produced within two weeks of this report. No minority opinions were indicated.

The committee reviewed OLAW's checklist on Veterinary Care.  
The addition of an additional veterinarian to the Veterinary Technology Program has enhanced the overall Veterinary Care aspect of TAMUK IACUC.

### 1. Clinical Care and Management

All aspects of clinical care and management were deemed acceptable under the consultation and recommendation of the attending veterinarian. No minority opinions were indicated.

### 2. Animal Procurement and Transportation/Preventative Medicine

All aspects of animal transportation were acceptable. No concerns were identified. All items in this section considered acceptable by IACUC. No minority opinions were indicated.

### 3. Surgery

All aspects contained in this section are acceptable. Dr. Clay Hilton has final decision on all analgesic and anesthetics used at TAMUK. IACUC confirmed that at present Dr. Hilton is the only PI with surgical protocols submitted to IACUC. There are no active protocols for either nonsurvival surgery or surgery on aquatic species. No minority opinions were indicated.

### 4. Pain, Distress Anesthesia and Analgesia

IACUC confirmed all items as Acceptable under the guidance by the attending veterinarian with the exception of the special use of paralytics. The TAMUK IACUC has never reviewed protocols that included use of paralytics. No minority opinions were indicated.

### 5. Euthanasia

IACUC discussed that all aspects contained in this section are acceptable. IACUC reaffirmed that it is essential that euthanasia be performed by trained personnel and that all protocols involving euthanasia must include a primary and a secondary method to confirm death of the animal. Cessation of vital signs must be confirmed by trained personnel. No minority opinions were indicated.

6. Drug Storage and Control

IACUC discussed that all aspects contained in this section are acceptable and are reviewed on a semiannual basis. (b) (6) confirmed that disposal procedures are in place. No minority opinions were indicated.

If you have any concerns or questions, please do not hesitate to contact me at extension 2124.

Sincerely,

(b) (6)

Randy Stanko, Ph.D.  
IACUC Chair



# IACUC

## Thursday, February 11, 2016 Facilities Inspections

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Name	Signature	Email
1. Randy Stanko	(b) (6)	
2. Clay Hilton		
3. (b) (6)		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		
15.		



# **I. Semiannual Program Review and Facility Inspection Report**

**Date:** February 11, 8:30 PM

**Members in Attendance:** Dr. Randy Stanko, Dr. Clay Hilton, (b) (6)

<b>Deficiency Category*</b>	<b>Location</b>	<b>Deficiency and Plan for Correction</b>	<b>Responsible Party</b>	<b>Correction Schedule and Interim Status</b>	<b>Date Complete</b>
Minor	(b) (4)	<ul style="list-style-type: none"><li>• Birds &amp; sparrows were nesting inside rabbit facility. Plan to plug up holes allowing birds entrance.</li><li>• No labels noting "not for human food use/human consumption only" on refrigerator. Will label refrigerator for appropriate use.</li><li>• Container for medicinal oil not labeled. Will add label.</li><li>• Expired medication found. Removed at that time.</li><li>• No sharps container present. Will procure one.</li><li>• Some medications found with no date, and though procedure is to remove after 10 days if no date is present, many were removed at that time.</li><li>• Prescription medications to be kept in separate container.</li></ul>	(b) (6)	<ul style="list-style-type: none"><li>• April 11<sup>th</sup></li><li>• April 11<sup>th</sup></li><li>• April 11<sup>th</sup></li><li>• April 11<sup>th</sup></li><li>• Immediate</li><li>• April 11<sup>th</sup></li></ul>	

Minor

(b) (4)

**All Pens**

- Signage required for all pens.

**Pavilion**

- Permanent electrical fixtures are not in place. Fans cannot be used until these are in place.

**Old Student Barn**

- Water hose on ground, tripping hazard.
- Stall #2: needs signage, stall is not in use.

**New Barn**

- Need lock on food storage refrigerator.
- Not in use.

**Outdoor Pens.**

- T-posts in pen must have caps. These have been ordered.
- Pens #4 and #5 are not in use.
- Pen #2 had hazardous fencing material, removed immediately.
- Hose found on the ground, tripping hazard.
- Shelter in Pen #1 and Pen #6 will not make it to the next inspection. Will need replacement.

**Pastures**

- The Lake Pasture is not in use.
- (b) (4), mechanical, still needs ceiling tiles.
- No smoke alarms in mechanical room.
- SOP and student training needed for use of Cage Washer
- One Red Diamondback Rattlesnake snake in quarantine since 12/15/201, has a puffy face.
- Ceiling insulation tiles in the original deer barn need replacement or removal.
- Fencing in Pen #4 is warped from an animal impact, should not affect animal security or safety.
- Personnel has not received training to notice abnormal animal behavior.

(b) (6)

August 11<sup>th</sup>

- Immediate

Minor

August 11<sup>th</sup>

Minor

Check with Dr. Hilton  
August 11<sup>th</sup>

Check with Dr. Hilton

Minor	(b) (4)	<ul style="list-style-type: none"> <li>• Currently housing alligators</li> <li>• Old feed was present, removed.</li> <li>• Rodents damaged plastic feed bins. Need to replace with metal feed storage containers.</li> <li>• Enrichment/bedding in place</li> <li>• One cat in quarantine since 02/02/2016.</li> <li>• "X-Ray in use" sign not situated in the best place to warn of use, as per X-ray inspection, earlier.</li> <li>• No deficiencies noted</li> <li>• No deficiencies noted</li> </ul>	(b) (6)	Dr. Clayton Hilton	August 11 <sup>th</sup>	Immediate
Minor		<b>Farrowing Building</b> <ul style="list-style-type: none"> <li>• (b) (4), decommission until flooring is repaired.</li> </ul> <b>Outside Pens</b> <ul style="list-style-type: none"> <li>• (b) (4), Remove concrete side wall due to stability issues.</li> <li>• (b) (4), Endcap of PVC needed to cover exposed rebar.</li> <li>• (b) (4) Paint metal floor covers square yellow</li> </ul>	(b) (6)		August 11 <sup>th</sup>	Immediate
Minor		<ul style="list-style-type: none"> <li>• Fencing was loose, fixed on site.</li> <li>• Salt block needed for all small ruminants.</li> </ul>			Immediate	Feb. 12th
Minor		<ul style="list-style-type: none"> <li>• NW corner, electrical outlet damaged/not working. 2 outlets needed.</li> <li>• Replace broken gate</li> </ul>			June 1st	
Minor		<ul style="list-style-type: none"> <li>• Food needs to be covered</li> <li>• Mold found in big plastic bins</li> <li>• Moldy corn present, needs to be buried.</li> <li>• Need sealed secondary containers for open bags.</li> <li>• Primary food storage bags ALL need to be on raised pallets. Some were on the ground.</li> <li>• Raccoons got to protein lick</li> </ul>			Immediate	Feb. 12th

Minor

(b) (4)

- Medication – Chlorhexadine needs label and OSHA notes
- Expired meds found but were removed
- No deficiencies noted

(b) (6)

Immediate

Feb. 11th

*	A = acceptable
	M = minor deficiency
	S = significant deficiency (is or may be a threat to animal health or safety)
	C = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)
✓	NA = not applicable

SPRING 2016

## II. Semiannual Facility Inspection Checklist

### Terrestrial Animal Housing and Support Areas

Date: 2/11/2016

Location: Aikek Wildlife + Aviary

	A*	M	S	C	NA
• Location:					
o animal areas separate from personnel areas (Guide, p 134)	✓				
o separation of species (Guide, p 111; NIH ARAC Guideline D1)	✓				
o separation by disease status (Guide, p 111)					X
o security and access control (Guide, p 151; NIH PM 3047)	✓				
• Construction:					
o corridors (Guide, p 136)					X
o animal room doors (Guide, p 137)					
o exterior windows (Guide, p 137)					
o floors (Guide, p 137)					
o drainage (Guide, p 138)					
o walls and ceilings (Guide, p 138)					
o heating ventilation and air conditioning (Guide, p 139)					
o power and lighting (Guide, p 141)					
o noise control (Guide, p 142)					
o vibration control (Guide, p 142)					
o environmental monitoring (Guide, p 143)					
• Room/Cage: outdoor facility					
o temperature and humidity (Guide, p 43)					X
o ventilation and air quality (Guide, p 45)					
o illumination (Guide, p 47)					
o noise and vibration (Guide, p 49)					
• Primary Enclosure: (OLAW)					
o space meets physiologic, behavioral <sup>xy</sup> , and social <sup>xvi</sup> needs (Guide, pp 51, 55-63)	✓				
o secure environment provided (Guide, p 51)	✓				
o durable, nontoxic materials in good repair and no risk of injury (Guide, p 51)	✓				
o flooring is safe and appropriate for species (Guide, p 51)					✓
o adequate bedding and structures for resting, sleeping, breeding (Guide, p 52; NIH ARAC Guideline B15)	✓				
o objective assessments of housing and management are made (Guide, p 52)	✓				
o procedures for routine husbandry are documented (Guide, p 52)					✓
o socially housed animals can escape or hide to avoid aggression (Guide, p 55)					✓
o cage height provides adequate clearance (Guide, p 56)	✓				
o animals express natural postures, can turn around, access food and water, and rest away from urine	✓				

- [illegible]



- rotation of stocks (*Guide*, p 66)
- **Water:**
  - ad libitum unless justified (*Guide*, pp 67-68)
  - QC procedures (*Guide*, pp 67-68)
- **Bedding and Nesting Materials:**
  - species appropriate (*Guide*, pp 68-69)
  - keeps animals dry (*Guide*, pp 68-69)
  - QC procedures (*Guide*, pp 68-69)
  - minimizes scientific variables (*Guide*, pp 68-69)
- **Sanitation:**
  - frequency of bedding/substrate change (*Guide*, p 70)
  - cleaning and disinfection of microenvironment (*Guide*, pp 70-71)
  - cleaning and disinfection of macroenvironment (*Guide*, p 72)
  - assessing effectiveness (*Guide*, p 73)
- **Waste Disposal: (NIH Waste Disposal Guide)**
  - procedures for collection (*Guide*, pp 73-74)
  - procedures for storage and disposal (*Guide*, pp 73-74)
  - hazardous wastes are rendered safe before removal from facility (*Guide*, pp 73-74) **must**
  - animal carcasses (*Guide*, pp 73-74)
- **Pest Control: (NIH Integrated Pest Management Program)**
  - regularly scheduled (*Guide*, p 74)
  - documented program including control of rodent pests and insecticide use (*Guide*, p 74)
- **Emergency, Weekend, and Holiday Animal Care: (OLAW)**
  - care provided by qualified personnel every day (*Guide*, p 74)
  - provision for accessible contact information (*Guide*, p 74)
  - monitoring of backup systems (*Guide*, p 143)
  - veterinary care available after hours, weekends, and holidays (*Guide*, pp 74, 114) **must**
  - a disaster plan that takes into account both personnel and animals (*Guide*, p 75)
- **Identification: (USDA#13; NIH ARAC Guideline B9)**
  - cage/rack cards contain required information (*Guide*, p 75)
  - genotype information included and standardized nomenclature used when applicable (*Guide*, p 75)
- **Recordkeeping: (NIH ARAC Guideline A2)**
  - clinical records accessible and contain appropriate information (*Guide*, pp 75-76)
  - records are provided when animals are transferred between institutions (*Guide*, p 75)
- **Breeding Genetics and Nomenclature:**
  - appropriate genetic records, management and monitoring procedures (*Guide*, p 76)
  - phenotypes that affect wellbeing are reported to IACUC and effectively managed (*Guide*, p 77)
- **Storage:**
  - adequate space for equipment, supplies, food, bedding and refuse (*Guide*, p 141)
  - bedding in vermin-free area and protected from contamination (*Guide*, p 141)
  - food in vermin-free, temperature and humidity controlled area and protected from contamination (*Guide*, p 141)
  - refuse storage is separate (*Guide*, p 141)
  - carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (*Guide*, p 141)

**- Personnel:**

- o adequate space for locker rooms, administration and training (*Guide, p 135*)
- \* **A** = acceptable
- M** = minor deficiency
- S** = significant deficiency (is or may be a threat to animal health or safety)
- C** = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)
- NA** = not applicable

**NOTES:**



SPRING 2016

**Aquatic Animal Housing and Support Areas** <sup>NEW</sup> (NIH ARAC Guideline B14)

Date: 2/11/2016

Location: Alligator Facility @ Ariary

	A*	M	S	C	NA
• <b>Location:</b>					
○ animal areas separate from personnel areas (Guide, p 134)	✓				
○ separation of species (Guide, p 111)	✓				✓
○ separation by disease status (Guide, p 111)					
○ security and access control (Guide, p 151)	✓				
• <b>Construction:</b>					
○ corridors (Guide, p 136)					X
○ animal room doors (Guide, pp 137, 150)					X
○ exterior windows (Guide, p 137)					X
○ floors (Guide, pp 137, 150)	✓				
○ drainage (Guide, pp 138, 150)					X
○ walls and ceilings (Guide, pp 138, 150)	✓				
○ heating ventilation and air conditioning (Guide, pp 139, 150-151)	✓				
○ power and lighting (Guide, pp 141, 150)	✓				
○ noise control (Guide, p 142)					X
○ vibration control (Guide, p 142)	✓				
○ environmental monitoring (Guide, p 143)					
• <b>Water Quality:</b>					
○ standards for acceptable quality are established (Guide, p 78)	✓				
○ chlorine, chloramines, chemical, and reactive bioproducts are removed or neutralized prior to use in aquatic systems (Guide, pp 78, 86) <b>[must]</b>	✓				
• <b>Life Support System:</b>					
○ water source is based on appropriate controls and research requirements (Guide, p 79)					X
○ biofilter is of sufficient size to process bioload (Guide, p 80) <b>[must]</b>					X
• <b>Temperature, Humidity and Ventilation/Illumination/Noise and Vibration:</b>					
○ temperature and humidity (Guide, pp 43, 80-81)	✓				
○ ventilation and air quality (Guide, pp 45, 81)	✓				
○ illumination (Guide, pp 47, 81)					X
○ noise and vibration (Guide, pp 49, 81)					X
• <b>Primary Enclosure:</b>					
○ allows for normal physiological and behavioral needs (Guide, p 82)	✓				
○ allows social interaction for social species (Guide, p 82)	✓				
○ provides a balanced, stable environment (Guide, p 82)	✓				
○ provides appropriate water quality and monitoring (Guide, p 82)	✓				

o allows access to food and waste removal ( <i>Guide, p 82</i> )	✓		
o restricts escape and entrapment ( <i>Guide, p 82</i> )	✓		
o allows undisturbed observation ( <i>Guide, p 82</i> )	✓		
o constructed of nontoxic materials ( <i>Guide, p 82</i> )	✓		
o prevents electrical hazards ( <i>Guide, p 82</i> )	✓		
o space needs of species are evaluated by IACUC during program evaluations and facility inspections ( <i>Guide, p 83</i> )	✓		
• <b>Environmental Enrichment, Social Housing, Behavioral and Social Management:</b>			
o enrichment elicits appropriate behaviors and is safe ( <i>Guide, p 83</i> )	✓		
o semi-aquatic reptiles are provided terrestrial areas ( <i>Guide, p 83</i> )	✓		
o handling is kept to a minimum and appropriate techniques are in place at facility or protocol level ( <i>Guide, p 84</i> )	✓		
o nets are cleaned, disinfected and managed to avoid contamination of systems ( <i>Guide, p 84</i> )	✓		
• <b>Food:</b>			
o storage to prevent contamination, preserve nutrients and prevent pests ( <i>Guide, p 84; NIH Integrated Pest Management Program</i> )	✓		
o delivery ensures access to all, minimizing aggression and nutrient loss ( <i>Guide, p 84</i> )	✓		
o storage times are based on manufacturer recommendations or accepted practice ( <i>Guide, p 84</i> )	✓		
o a nutritionally complete diet is provided ( <i>Guide, p 84</i> )	✓		
• <b>Substrate:</b>			
o amount, type and presentation of substrate is appropriate for the system and the species ( <i>Guide, p 85</i> )	✓		
• <b>Sanitation, Cleaning and Disinfection</b>			
o frequency of tank/cage cleaning and disinfection is determined by water quality, permits adequate viewing and health monitoring ( <i>Guide, p 86</i> )	✓		
o cleaning and disinfection of macroenvironment ( <i>Guide, p 86</i> )	✓		
• <b>Waste Disposal: (NIH Waste Disposal Guide)</b>			
o procedures for collection ( <i>Guide, pp 73-74</i> )			X
o hazardous wastes are rendered safe before removal from facility ( <i>Guide, pp 73-74</i> )			X
o animal carcasses ( <i>Guide, pp 73-74</i> )			
• <b>Pest Control: (NIH Integrated Pest Management Program)</b>			
o regularly scheduled ( <i>Guide, p 74</i> )	✓		
o documented program including control of pests and insecticide use ( <i>Guide, p 74</i> )	✓		
• <b>Emergency, Weekend, and Holiday Animal Care: (OLAW)</b>			
o care provided by qualified personnel every day ( <i>Guide, pp 74, 87</i> )	✓		
o provision for accessible contact information ( <i>Guide, pp 74, 87</i> )	✓		
o emergency response plans in place to address major system failures ( <i>Guide, 87</i> )	✓		
o veterinary care available after hours, weekends, and holidays ( <i>Guide, pp 74, 114</i> )	✓		
• <b>Identification:</b>			
o cage/tank cards contain required information ( <i>Guide, pp 75, 87</i> )	✓		

o genotype information included and standardized nomenclature used when applicable (Guide, pp 75, 87)					X
• <b>Recordkeeping:</b>					
o water quality parameters and frequency of testing recorded (Guide, p 88)					X
o records kept on feeding, nonexpired food supplies, live cultures (Guide, p 88)					X
• <b>Storage:</b>					
o adequate space for equipment, supplies, food, substrate and refuse (Guide, p 141)	✓				
o substrate protected from contamination (Guide, p 141)	✓				
o food in vermin-free, temperature and humidity controlled area and protected from contamination (Guide, p 141)	✓				
o refuse storage is separate (Guide, p 141)					
o carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (Guide, p 141)					X
• <b>Personnel:</b>					
o adequate space for locker rooms, administration and training (Guide, p 135)					
* A = acceptable					
M = minor deficiency					
S = significant deficiency (is or may be a threat to animal health or safety)					
C = change in program (PHS Policy IV.A.1.a.-i.) (Include in semiannual report to IO and in annual report to OLAW)					
NA = not applicable					

**NOTES:**

## II. Semiannual Facility Inspection Checklist

### Terrestrial Animal Housing and Support Areas

Date: 2/11/16

Location: NCTR 0935-10<sup>25</sup>

	A*	M	S	C	NA
<b>• Location:</b> <ul style="list-style-type: none"> <li>animal areas separate from personnel areas (Guide, p 134)</li> <li>separation of species (Guide, p 111; NIH ARAC Guideline D1)</li> <li>separation by disease status (Guide, p 111)</li> <li>security and access control (Guide, p 151; NIH PM 3047)</li> </ul>	/				
<b>• Construction:</b> <ul style="list-style-type: none"> <li>corridors (Guide, p 136)</li> <li>animal room doors (Guide, p 137)</li> <li>exterior windows (Guide, p 137)</li> <li>floors (Guide, p 137)</li> <li>drainage (Guide, p 138)</li> <li>walls and ceilings (Guide, p 138)</li> <li>heating ventilation and air conditioning (Guide, p 139)</li> <li>power and lighting (Guide, p 141)</li> <li>noise control (Guide, p 142)</li> <li>vibration control (Guide, p 142)</li> <li>environmental monitoring (Guide, p 143)</li> </ul>	/	/			/
<b>• Room/Cage:</b> <ul style="list-style-type: none"> <li>temperature and humidity (Guide, p 43)</li> <li>ventilation and air quality (Guide, p 45)</li> <li>illumination (Guide, p 47)</li> <li>noise and vibration (Guide, p 49)</li> </ul>	/	/			/
<b>• Primary Enclosure: (OLAW)</b> <ul style="list-style-type: none"> <li>space meets physiologic, behavioral<sup>xy</sup>, and social<sup>xvi</sup> needs (Guide, pp 51, 55-63)</li> <li>secure environment provided (Guide, p 51)</li> <li>durable, nontoxic materials in good repair and no risk of injury (Guide, p 51)</li> <li>flooring is safe and appropriate for species (Guide, p 51)</li> <li>adequate bedding and structures for resting, sleeping, breeding (Guide, p 52; NIH ARAC Guideline B15)</li> <li>objective assessments of housing and management are made (Guide, p 52)</li> <li>procedures for routine husbandry are documented (Guide, p 52) (cans)</li> <li>socially housed animals can escape or hide to avoid aggression (Guide, p 55)</li> <li>cage height provides adequate clearance (Guide, p 56)</li> <li>animals express natural postures, can turn around, access food and water, and rest away from urine</li> </ul>	/	/	/	/	/







o rotation of stocks (Guide, p 66)	/			
• <b>Water:</b>				
o ad libitum unless justified (Guide, pp 67-68)	/			✓
o QC procedures (Guide, pp 67-68)	/			
• <b>Bedding and Nesting Materials:</b>				
o species appropriate (Guide, pp 68-69)	/			
o keeps animals dry (Guide, pp 68-69)	/			
o QC procedures (Guide, pp 68-69)	/			
o minimizes scientific variables (Guide, pp 68-69)	/			
• <b>Sanitation:</b>				
o frequency of bedding/substrate change (Guide, p 70)	/			
o cleaning and disinfection of microenvironment (Guide, pp 70-71)	/			
o cleaning and disinfection of macroenvironment (Guide, p 72)	/			
o assessing effectiveness (Guide, p 73)	/			✓
• <b>Waste Disposal: (NIH Waste Disposal Guide)</b>				
o procedures for collection (Guide, pp 73-74)	/			
o procedures for storage and disposal (Guide, pp 73-74)	/			
o hazardous wastes are rendered safe before removal from facility (Guide, pp 73-74) <b>must</b>	/			
o animal carcasses (Guide, pp 73-74)	/			
• <b>Pest Control: (NIH Integrated Pest Management Program)</b>				
o regularly scheduled (Guide, p 74)	/			
o documented program including control of rodent pests and insecticide use (Guide, p 74)	/			
• <b>Emergency, Weekend, and Holiday Animal Care: (OLAW)</b>				
o care provided by qualified personnel every day (Guide, p 74)	/			
o provision for accessible contact information (Guide, p 74)	/			
o monitoring of backup systems (Guide, p 143)	/			
o veterinary care available after hours, weekends, and holidays (Guide, pp 74, 114) <b>must</b>	/			
o a disaster plan that takes into account both personnel and animals (Guide, p 75)	/			
• <b>Identification: (USDA#13; NIH ARAC Guideline B9)</b>				
o cage/rack cards contain required information (Guide, p 75)	/			
o genotype information included and standardized nomenclature used when applicable (Guide, p 75)	/			
• <b>Recordkeeping: (NIH ARAC Guideline A2)</b>				
o clinical records accessible and contain appropriate information (Guide, pp 75-76)	/			
o records are provided when animals are transferred between institutions (Guide, p 75)	/			✓
• <b>Breeding Genetics and Nomenclature:</b>				
o appropriate genetic records, management and monitoring procedures (Guide, p 76)	/			
o phenotypes that affect wellbeing are reported to IACUC and effectively managed (Guide, p 77)	/			
• <b>Storage:</b>				
o adequate space for equipment, supplies, food, bedding and refuse (Guide, p 141)	/			
o bedding in vermin-free area and protected from contamination (Guide, p 141)	/			
o food in vermin-free, temperature and humidity controlled area and protected from contamination (Guide, p 141)	/			
o refuse storage is separate (Guide, p 141)	/			
o carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (Guide, p 141)	/			

• **Personnel:**

- o adequate space for locker rooms, administration and training (*Guide, p 135*)

\* **A** = acceptable

**M** = minor deficiency

**S** = significant deficiency (is or may be a threat to animal health or safety)

**C** = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)

**NA** = not applicable

**NOTES:**

Prigay R-5 passed

Ceiling Tiles still need to be fixed / in Mechanical Room - No Smoke Alarm

(b) (4)

1 snake in Quarantine / (puffy face) + swollen gland  
Red 4 - R. Snk 12/15 date since Quarantine

## Cagewash

Date: 2-11

Location: NTRC C 0935

liquid descaler

Wear lab coats

### Construction and Operation:

- o dedicated central area for sanitizing cages and equipment is provided (Guide, p 143) ✓
- o cage-washing equipment meets need (Guide, p 143) ✓
- o doors, windows, floors, drainage, walls, ceilings (Guide, pp 136-138) ✓
- o convenient to animal areas/waste disposal (Guide, p 143) ✓
- o ease of access (including door size) facilitates use (Guide, p 143) ✓
- o sufficient space for staging and maneuvering (Guide, p 143) ✓
- o safety precautions/clothing/equipment used for waste disposal/prewash/acid wash (Guide, p 143) ✓
- o traffic flow clean to dirty with no contamination of clean equipment by dirty equipment and appropriate air pressurization (Guide, p 143) ✓
- o insulation and/or sound attenuation present as needed (Guide, p 143) ✓
- o utilities are appropriate (Guide, p 143) ✓
- o ventilation meets heat and humidity load (Guide, p 143) ✓
- o safety features (e.g., SOPs, warning signs, eyewash stations, showers) are in use. Eyewash stations (weekly) & showers (yearly) are present, flushed at appropriate intervals & documented. (Guide, p 143; NIH Chemical Hygiene Plan) ✓
- o functioning safety devices to prevent entrapment in washer/sterilizers (Guide, p 143) ✓
- o instructional safety signage is present for use of de-energizing and emergency exit devices. Staff training has occurred & been documented. (Guide, p 143; AAALAC) ✓
- o cage wash temperatures are monitored and records are available (Guide, p 73) ✓
- o appropriate clean cage storage (Guide, p 141) ✓

\* A = acceptable

M = minor deficiency - Document staff training (signage not avail) / Standardized

S = significant deficiency (is or may be a threat to animal health or safety)

C = change in program (PHS Policy IV.A.1.a.-i.) (Include in semiannual report to IO and in annual report to OLAW)

NA = not applicable

NOTES: No students allowed unsupervised



## II. Semiannual Facility Inspection Checklist

### Terrestrial Animal Housing and Support Areas

Date: 2/11/2016  
Location: Vet Tech Facility

	A*	M	S	C	NA
<b>• Location:</b>					
o animal areas separate from personnel areas (Guide, p 134)	✓				
o separation of species (Guide, p 111; NIH ARAC Guideline D1)	✓				
o separation by disease status (Guide, p 111)	✓				
o security and access control (Guide, p 151; NIH PM 3047)	✓				
<b>• Construction:</b>					
o corridors (Guide, p 136)	✓				
o animal room doors (Guide, p 137)	✓				
o exterior windows (Guide, p 137)	✓				X
o floors (Guide, p 137)	✓				
o drainage (Guide, p 138)	✓				
o walls and ceilings (Guide, p 138)	✓				
o heating ventilation and air conditioning (Guide, p 139)	✓				
o power and lighting (Guide, p 141)	✓				
o noise control (Guide, p 142)					X
o vibration control (Guide, p 142)					X
o environmental monitoring (Guide, p 143)					X
<b>• Room/Cage:</b>					
o temperature and humidity (Guide, p 43)	✓				
o ventilation and air quality (Guide, p 45)	✓				
o illumination (Guide, p 47)	✓				
o noise and vibration (Guide, p 49)					X
<b>• Primary Enclosure: (OLAW)</b>					
o space meets physiologic, behavioral <sup>xv</sup> , and social <sup>xvi</sup> needs (Guide, pp 51, 55-63)	✓				
o secure environment provided (Guide, p 51)	✓				
o durable, nontoxic materials in good repair and no risk of injury (Guide, p 51)	✓				
o flooring is safe and appropriate for species (Guide, p 51)	✓				
o adequate bedding and structures for resting, sleeping, breeding (Guide, p 52; NIH ARAC Guideline B15)	✓				
o objective assessments of housing and management are made (Guide, p 52)	✓				X
o procedures for routine husbandry are documented (Guide, p 52)	✓				
o socially housed animals can escape or hide to avoid aggression (Guide, p 55)	✓				X
o cage height provides adequate clearance (Guide, p 56)	✓				
o animals express natural postures, can turn around, access food and water, and rest away from urine	✓				



• **Personnel:**

- o adequate space for locker rooms, administration and training (*Guide*, p 135)

\* **A = acceptable**

**M = minor deficiency**

**S = significant deficiency (is or may be a threat to animal health or safety)**

**C = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)**

**NA = not applicable**

**NOTES:**

and feces ( <i>Guide</i> , p 56) <b>must</b>					
o rationale <sup>xvii</sup> for <i>Guide</i> /USDA space exceptions approved by IACUC and based on performance indices ( <i>Guide</i> , p 56)	✓				
o dogs and cats allowed to exercise and provided human interaction ( <i>Guide</i> , p 58)	✓				
o nonhuman primates are socially housed except for scientific, veterinary or behavior reasons ( <i>Guide</i> , pp 58-59)					X
o single housing of nonhuman primates is for shortest duration possible ( <i>Guide</i> , p 60)					X
o opportunities for release into larger enclosures is considered for single caged nonhuman primates ( <i>Guide</i> , p 60)					X
o agricultural animals are housed socially ( <i>Guide</i> , p 60)					X
o food troughs and water devices for agricultural animals allow access for all animals ( <i>Guide</i> , p 60)					X
• <b>Environmental Enrichment, Behavioral and Social Management: (OLAW; USDA#7)</b>					
o structures and resources promote species typical behavior ( <i>Guide</i> , pp 52-54)	✓				
o novelty of enrichment is considered ( <i>Guide</i> , p 53)	✓				
o species specific plans for housing including enrichment, behavior and activity are developed and reviewed regularly by IACUC, researchers and veterinarian ( <i>Guide</i> , pp 53, 58, 60, 63)	✓				
o animal care personnel receive training to identify abnormal animal behaviors ( <i>Guide</i> , p 53)	✓				
o stability of pairs or groups is monitored for incompatibility ( <i>Guide</i> , p 64)	✓				X
o single housing is justified for social species ( <i>Guide</i> , p 64)					X
o single housing is limited to the minimum period necessary ( <i>Guide</i> , p 64)					X
o single housing is in compliance with ARAC Guidelines (AAALAC)					X
o additional enrichment for single housed animals is provided ( <i>Guide</i> , p 64)					X
o single housing is reviewed regularly by IACUC and veterinarian ( <i>Guide</i> , p 64)					X
o habituation to routine procedures is part of enrichment program ( <i>Guide</i> , p 64)					X
o housing multiple species in same room is reviewed & approved by ACUC ( <i>Guide</i> , p 64; ARAC Guideline D1)					X
• <b>Sheltered or Outdoor Housing:</b> (e.g. barns, corrals, pastures, islands)					X
o weather protection and opportunity for retreat ( <i>Guide</i> , p 54) <b>must</b>					
o appropriate size ( <i>Guide</i> , p 54)					
o ventilation and sanitation of shelter (no waste/moisture build-up) ( <i>Guide</i> , p 54)					
o animal acclimation ( <i>Guide</i> , p 55)					
o social compatibility ( <i>Guide</i> , p 55)					
o roundup/restraint procedures ( <i>Guide</i> , p 55)					
o appropriate security ( <i>Guide</i> , p 55)					
• <b>Naturalistic Environments:</b>					
o animals added /removed with consideration of effect on group ( <i>Guide</i> , p 55)					
o adequate food, fresh water, and shelter ensured ( <i>Guide</i> , p 55)					
• <b>Food: (OLAW; NIH ARAC Guideline D7)</b>					
o feeding schedule and procedures including caloric intake management ( <i>Guide</i> , pp 65-67)	✓				
o contamination prevention ( <i>Guide</i> , p 65)	✓				
o vendor quality control ( <i>Guide</i> , p 66)	✓				
o storage in sealed containers ( <i>Guide</i> , p 66)	✓				
o expiration date labeling ( <i>Guide</i> , p 66)	✓				
o vermin control ( <i>Guide</i> , p 66)	✓				

SPRING 2014

**Special Facilities: Aseptic Surgery**

Date: 2/11/2014

Location: VETT Facility

	A*	M	S	C	NA
• <b>General Considerations: (NIH ARAC Guideline B6)</b>					
◦ location minimizes traffic/contamination (Guide, p 144)	✓				
◦ functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (Guide, p 144)	✓				
◦ appropriate drug storage, control, expiration date monitoring (Guide, pp 115, 122; NIH PM 1345)	✓				
◦ safe sharps disposal system (Guide, p 74)	✓				
◦ adequate records of anesthesia and perioperative care (Guide, p 122)	✓				
◦ aseptic procedures in use for all survival surgery (Guide, pp 118-119)	✓				
• <b>Operating Room:</b>					
◦ effective contamination control procedures (Guide, p 144)	✓				
◦ effective cleaning procedures/dedicated tools (Guide, p 145)	✓				
◦ interior surfaces smooth and impervious to moisture (Guide, p 145)	✓				
◦ HVAC system meets Guide requirements (Guide, p 145)	✓				
◦ lighting safe and appropriate (Guide, p 145)	✓				
◦ outlets safe and appropriate (Guide, p 145)	✓				
◦ scavenging of anesthetic gases implemented (Guide, p 145; NIH Waste & Anesthetic Gas Surveillance Program)	✓				
• <b>Surgical Support:</b>					
◦ facility for washing, sterilizing, storing instruments and supplies (Guide, p 145)	✓				
◦ autoclave monitoring procedures are implemented (Guide, pp 119, 145)	✓				
◦ storage of autoclaved materials maintains sterility (Guide, p 145)	✓				
◦ cold sterilization procedures are appropriate (Guide, p 119)	✓				
• <b>Animal Preparation:</b> contains large sink to facilitate cleaning of animal and operative site (Guide, p 145)	✓				
• <b>Surgeon Scrub:</b> outside operating room, non-hand-operated sink (Guide, p 145)	✓				
• <b>Postoperative Recovery:</b> allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (Guide, p 145)	✓				
• <b>Dressing Area:</b> place for personnel to change (Guide, p 145)	✓				

\* A = acceptable

M = minor deficiency

S = significant deficiency (is or may be a threat to animal health or safety)

C = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)

NA = not applicable



## II. Semiannual Facility Inspection Checklist

SPRINT 2016

### Terrestrial Animal Housing and Support Areas

Date: Feb. 11, 2016

Location: TAMUK TEACHING/RESEARCH FARM

	A*	M	S	C	NA
• <b>Location:</b>					
o animal areas separate from personnel areas (Guide, p 134)	✓				
o separation of species (Guide, p 111; <b>NIH ARAC Guideline D1</b> )	✓				
o separation by disease status (Guide, p 111)	✓				
o security and access control (Guide, p 151; <b>NIH PM 3047</b> )	✓				
• <b>Construction:</b>					
o corridors (Guide, p 136)					X
o animal room doors (Guide, p 137)					X
o exterior windows (Guide, p 137)					X
o floors (Guide, p 137)	✓				X
o drainage (Guide, p 138)					X
o walls and ceilings (Guide, p 138)					X
o heating ventilation and air conditioning (Guide, p 139)	✓				X
o power and lighting (Guide, p 141)	✓				X
o noise control (Guide, p 142)					X
o vibration control (Guide, p 142)	✓				X
o environmental monitoring (Guide, p 143)					X
• <b>Room/Cage:</b> <i>Livestock</i>					
o temperature and humidity (Guide, p 43)					X
o ventilation and air quality (Guide, p 45)					X
o illumination (Guide, p 47)					X
o noise and vibration (Guide, p 49)					X
• <b>Primary Enclosure: (OLAW)</b>					
o space meets physiologic, behavioral <sup>xv</sup> , and social <sup>xvi</sup> needs (Guide, pp 51, 55-63)	✓				
o secure environment provided (Guide, p 51)	✓				
o durable, nontoxic materials in good repair and no risk of injury (Guide, p 51)	✓				
o flooring is safe and appropriate for species (Guide, p 51)					X
o adequate bedding and structures for resting, sleeping, breeding (Guide, p 52; <b>NIH ARAC Guideline B15</b> )	✓				X
o objective assessments of housing and management are made (Guide, p 52)	✓				
o procedures for routine husbandry are documented (Guide, p 52)	✓				
o socially housed animals can escape or hide to avoid aggression (Guide, p 55)					X
o cage height provides adequate clearance (Guide, p 56)	✓				X
o animals express natural postures, can turn around, access food and water, and rest away from urine	✓				

- and feces (*Guide, p 56*) **[must]**
- o rationale<sup>xvii</sup> for *Guide*/USDA space exceptions approved by IACUC and based on performance indices (*Guide, p 56*)
- o dogs and cats allowed to exercise and provided human interaction (*Guide, p 58*)
- o nonhuman primates are socially housed except for scientific, veterinary or behavior reasons (*Guide, pp 58-59*)
- o single housing of nonhuman primates is for shortest duration possible (*Guide, p 60*)
- o opportunities for release into larger enclosures is considered for single caged nonhuman primates (*Guide, p 60*)
- o agricultural animals are housed socially (*Guide, p 60*)
- o food troughs and water devices for agricultural animals allow access for all animals (*Guide, p 60*)
- **Environmental Enrichment, Behavioral and Social Management: (OLAW; USDA#7)**
  - o structures and resources promote species typical behavior (*Guide, pp 52-54*)
  - o novelty of enrichment is considered (*Guide, p 53*)
  - o species specific plans for housing including enrichment, behavior and activity are developed and reviewed regularly by IACUC, researchers and veterinarian (*Guide, pp 53, 58, 60, 63*)
  - o animal care personnel receive training to identify abnormal animal behaviors (*Guide, p 53*)
  - o stability of pairs or groups is monitored for incompatibility (*Guide, p 64*)
  - o single housing is justified for social species (*Guide, p 64*)
  - o single housing is limited to the minimum period necessary (*Guide, p 64*)
  - o single housing is in compliance with ARAC Guidelines (AAALAC)
  - o additional enrichment for single housed animals is provided (*Guide, p 64*)
  - o single housing is reviewed regularly by IACUC and veterinarian (*Guide, p 64*)
  - o habituation to routine procedures is part of enrichment program (*Guide, p 64*)
  - o housing multiple species in same room is reviewed & approved by ACUC (*Guide, p 64; ARAC Guideline D1*)
- **Sheltered or Outdoor Housing: e.g., barns, corrals, pastures, islands)**
  - o weather protection and opportunity for retreat (*Guide, p 54*) **[must]**
  - o appropriate size (*Guide, p 54*)
  - o ventilation and sanitation of shelter (no waste/moisture build-up) (*Guide, p 54*)
  - o animal acclimation (*Guide, p 55*)
  - o social compatibility (*Guide, p 55*)
  - o roundup/restraint procedures (*Guide, p 55*)
  - o appropriate security (*Guide, p 55*)
- **Naturalistic Environments:**
  - o animals added /removed with consideration of effect on group (*Guide, p 55*)
  - o adequate food, fresh water, and shelter ensured (*Guide, p 55*)
- **Food: (OLAW; NIH ARAC Guideline D7)**
  - o feeding schedule and procedures including caloric intake management (*Guide, pp 65-67*)
  - o contamination prevention (*Guide, p 65*)
  - o vendor quality control (*Guide, p 66*)
  - o storage in sealed containers (*Guide, p 66*)
  - o expiration date labeling (*Guide, p 66*)
  - o vermin control (*Guide, p 66*)

- o rotation of stocks (*Guide*, p 66)
- **Water:**
  - o ad libitum unless justified (*Guide*, pp 67-68)
  - o QC procedures (*Guide*, pp 67-68)
- **Bedding and Nesting Materials:**
  - o species appropriate (*Guide*, pp 68-69)
  - o keeps animals dry (*Guide*, pp 68-69)
  - o QC procedures (*Guide*, pp 68-69)
  - o minimizes scientific variables (*Guide*, pp 68-69)
- **Sanitation:**
  - o frequency of bedding /substrate change (*Guide*, p 70)
  - o cleaning and disinfection of microenvironment (*Guide*, pp 70-71)
  - o cleaning and disinfection of macroenvironment (*Guide*, p 72)
  - o assessing effectiveness (*Guide*, p 73)
- **Waste Disposal: (NIH Waste Disposal Guide)**
  - o procedures for collection (*Guide*, pp 73-74)
  - o procedures for storage and disposal (*Guide*, pp 73-74)
  - o hazardous wastes are rendered safe before removal from facility (*Guide*, pp 73-74) **[must]**
  - o animal carcasses (*Guide*, pp 73-74)
- **Pest Control: (NIH Integrated Pest Management Program)**
  - o regularly scheduled (*Guide*, p 74)
  - o documented program including control of rodent pests and insecticide use (*Guide*, p 74)
- **Emergency, Weekend, and Holiday Animal Care: (OLAW)**
  - o care provided by qualified personnel every day (*Guide*, p 74)
  - o provision for accessible contact information (*Guide*, p 74)
  - o monitoring of backup systems (*Guide*, p 143)
  - o veterinary care available after hours, weekends, and holidays (*Guide*, pp 74, 114) **[must]**
  - o a disaster plan that takes into account both personnel and animals (*Guide*, p 75)
- **Identification: (USDA#13; NIH ARAC Guideline B9)**
  - o cage/rack cards contain required information (*Guide*, p 75)
  - o genotype information included and standardized nomenclature used when applicable (*Guide*, p 75)
- **Recordkeeping: (NIH ARAC Guideline A2)**
  - o clinical records accessible and contain appropriate information (*Guide*, pp 75-76)
  - o records are provided when animals are transferred between institutions (*Guide*, p 75)
- **Breeding Genetics and Nomenclature:**
  - o appropriate genetic records, management and monitoring procedures (*Guide*, p 76)
  - o phenotypes that affect wellbeing are reported to IACUC and effectively managed (*Guide*, p 77)
- **Storage:**
  - o adequate space for equipment, supplies, food bedding and refuse (*Guide*, p 141)
  - o bedding in vermin-free area and protected from contamination(*Guide*, p 141)
  - o food in vermin-free, temperature and humidity controlled area and protected from contamination (*Guide*, p 141)
  - o refuse storage is separate (*Guide*, p 141)
  - o carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (*Guide*, p 141)



- **Personnel:**

- o adequate space for locker rooms, administration and training (*Guide*, p 135)

\* **A** = acceptable

**M** = minor deficiency

**S** = significant deficiency (is or may be a threat to animal health or safety)

**C** = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)

**NA** = not applicable

**NOTES:**

## Spring 2016 Facility Inspection Report

Date: Feb. 11th & March 25, 28, 2015 Drug Storage Facilities (Randy L. Stanko and (b) (6))

Members in Attendance: Randy Stanko, (b) (6), and Clayton Hilton, D.V.M.

Deficiency Category	Location	Deficiency and Plan for Correction	Responsible Party	Correction Schedule and Interim Status	Date Complete
A	(b) (4)	No deficiencies noted	Clayton Hilton	N/A	N/A
A	(b) (4)	No deficiencies noted	(b) (6)		
M	(b) (4)	6 or 7 bottles of Tiletamine/Zolazepam were on a research study location but no evidence of transfer. Bottles #144-148 of Tiletamine/Zolazepam have no documentation or records of use. 2 bottles of expired Yohimbine not on drug inventory.	(b) (6)	One week April 1st 2016	
A	(b) (4)	No deficiencies noted	(b) (6)		

A = Acceptable

M = Minor Deficiency

S = Significant Deficiency (is or may be a threat to animal health or safety)

NA = Not Applicable



# IACUC

Tues. March 15, 2016 – Research Conference Room 147 - 3:00-5PMs

	Name	Signature	E-mail
1.	RANDY STANKO	(b) (6)	randy.stanko@danlab
2.	Clay Hilton	(b)	
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			

# Semiannual Program Review and Facility Inspection Checklist

## About the checklist

The Semiannual Program Review and Facility Inspection Checklist is provided to assist institutions in conducting their semiannual reviews of programs and facilities for the care and use of animals. The Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (*Policy*), section IV.B.1.-2., requires the Institutional Animal Care and Use Committee (IACUC) to review the institution's program for humane care and use of animals and inspect all of the institution's animal facilities at least once every 6 months using the *Guide for the Care and Use of Laboratory Animals: Eighth Edition (Guide)* as a basis for evaluation.

**NOTE:** The page numbers listed in the checklist correspond to the online National Academies Press version of the Guide ([http://www.nap.edu/openbook.php?record\\_id=12910&page=1](http://www.nap.edu/openbook.php?record_id=12910&page=1)). Click the Guide hyperlink to view the referenced section.

## How to use the checklist

This checklist is a tool to assist IACUCs in conducting thorough semiannual reviews. IACUCs are not required to use this checklist but are encouraged to amend it as necessary to reflect institutional programs and needs, or to develop their own checklist. If the checklist is modified, periodic review of the checklist is recommended to ensure relevant topics are considered as the animal care and use program changes.

The checklist covers the major topics of the *Guide* and the requirements of the PHS Policy. The checklist does not replace the *Guide*, but should be utilized in conjunction with the *Guide*. The *Guide* provides the standards, recommendations, and descriptions of desired outcomes necessary to evaluate and inspect an animal care and use program. Relevant references for the *Guide* and the PHS Policy are noted. Endnotes are included to reference specific U.S. Department of Agriculture (USDA) regulatory requirements that differ from the PHS Policy. Topics that are new to this version of the checklist or identified as a "must" in the *Guide* are highlighted. A column to identify changes that have occurred in the institution's program for animal care and use (PHS Policy IV.A.1.a.-i.) since the last review is also a new feature.

The checklist consists of the following sections:

- I. Semiannual Program Review Checklist
  - Institutional Policies and Responsibilities
  - Veterinary Care
- II. Semiannual Facility Inspection Checklist
  - Terrestrial Animal Housing and Support Areas
  - Aquatic Animal Housing and Support Areas
  - Cagewash
  - Special Facilities: Aseptic Surgery
  - Special Facilities: Procedure Areas, Non-survival Surgeries, Laboratories, Rodent Surgeries, Imaging, Whole Body Irradiation, Hazardous Agent Containment, Behavioral Studies
- III. Semiannual Program Review and Facility Inspection Report
- IV. Endnotes

It is recommended that the Program Review section be completed during an IACUC meeting. Because physical aspects of a program require visual observation to evaluate, it is recommended that the Facility Inspection section be completed during an inspection of the facilities, including satellite facilities.

A table is provided, "Semiannual Program Review and Facility Inspection Report," as a format for the IACUC to organize and track information regarding deficiencies, and plans and schedules for correction. IACUCs may choose to attach the table to the Semiannual Report to the Institutional Official.



# **I. Semiannual Program Review Checklist<sup>1</sup>** **Institutional Policies and Responsibilities**

**Date:** March 15, 2016

## **1. Animal Care and Use Program** <sup>NEW</sup> **(NIH Policy 3040-2)**

	A*	M	S	C	NA
• Responsibility for animal well-being is assumed by all members of the program ( <i>Guide</i> , p 1) [must]	X				
• IO has authority to allocate needed resources ( <i>Guide</i> , p 13)	X				
• Resources necessary to manage program of veterinary care are provided ( <i>Guide</i> , p 14) [must]	X				
• Sufficient resources are available to manage the program, including training of personnel in accord with regulations and the <i>Guide</i> ( <i>Guide</i> , pp 11, 15)	X				
• Program needs are regularly communicated to IO by AV and/or IACUC ( <i>Guide</i> , p 13)					
• Responsibilities for daily animal care and facility management are assigned to specific individual(s) when a full-time veterinarian is not available on site ( <i>Guide</i> , p 14) [must]	X				
• Inter-institutional collaborations are described in formal written agreements ( <i>Guide</i> , p 15; <b>OLAW; NIH ARAC Guideline C4</b> )	X				
• Written agreements address responsibilities, animal ownership, and IACUC oversight ( <i>Guide</i> , p 15; <b>NIH ARAC Guideline C4</b> )	X				

## **2. Disaster Planning and Emergency Preparedness** <sup>NEW</sup> **(OLAW; USDA; NIH OACU Disaster Planning)**

	A*	M	S	C	NA
• Disaster plans for each facility to include satellite locations are in place ( <i>Guide</i> , p 35, p 75) [must]	X				
• Plans include provisions for euthanasia ( <i>Guide</i> , p 35) [must]	X				
• Plans include triage plans to meet institutional and investigators' needs ( <i>Guide</i> , p 35)	X				
• Plans define actions to prevent animal injury or death due to HVAC or other failures ( <i>Guide</i> , p 35)	X				
• Plans describe preservation of critical or irreplaceable animals ( <i>Guide</i> , p 35)	X				
• Plans include essential personnel and their training ( <i>Guide</i> , p 35)	X				
• Animal facility plans are approved by the institution and incorporated into overall response plan ( <i>Guide</i> , p 35)	X				
• Law enforcement and emergency personnel are provided a copy and integration with overall plan is in place ( <i>Guide</i> , p 35)	X				

## **3. IACUC** <sup>NEW</sup> **(OLAW; NIH Policy 3040-2)**

	A*	M	S	C	NA
• Meets as necessary to fulfill responsibilities ( <i>Guide</i> , p 25) [must]	X				
• IACUC Members named in protocols or with conflicts recuse themselves from protocol decisions ( <i>Guide</i> , p 26; <b>OLAW; NIH ARAC Guideline C7</b> ) [must]	X				
• Continuing IACUC oversight after initial protocol approval is in place ( <i>Guide</i> , p 33; <b>OLAW</b> )	X				
• IACUC evaluates the effectiveness of training programs ( <i>Guide</i> , p 15)	X				
• IACUC Policy in place for use of Designated Member Review subsequent to Full Committee Review and new members informed of the policy. ( <b>OLAW; NIH ARAC Guideline C7</b> )	X				
• Non-affiliated member(s) regularly participate in Semiannual Program Review & Facility Inspection Process	X				

## **4. IACUC Protocol Review - Special Considerations (USDA#12)**

	A*	M	S	C	NA
• Humane endpoints are established for studies that involve tumor models, infectious diseases, vaccine challenge, pain	X				

modeling, trauma, production of monoclonal antibodies, assessment of toxicologic effects, organ or system failure, and models of cardiovascular shock ( <i>Guide</i> , p 27; <b>NIH ARAC Guideline C6</b> )					
• For pilot studies, a system to communicate with the IACUC is in place ( <i>Guide</i> , p 28; <b>OLAW</b> )					X
• For genetically modified animals, enhanced monitoring and reporting is in place ( <i>Guide</i> , p 28)					X
• Restraint devices are justified in the animal use protocols ( <i>Guide</i> , p 29) [must]					
• Alternatives to physical restraint are considered ( <i>Guide</i> , p 29)	X				
• Period of restraint is the minimum to meet scientific objectives ( <i>Guide</i> , p 29)	X				
• Training of animals to adapt to restraint is provided ( <i>Guide</i> , p 29)					X
• Animals that fail to adapt are removed from study ( <i>Guide</i> , p 29)					X
• Appropriate observation intervals of restrained animals are provided ( <i>Guide</i> , p 29)	X				
• Veterinary care is provided if lesions or illness result from restraint ( <i>Guide</i> , p 30) [must]	X				
• Explanations of purpose and duration of restraint are provided to study personnel ( <i>Guide</i> , p 30)	X				
• Multiple surgical procedures on a single animal are justified and outcomes evaluated ( <i>Guide</i> , p 30; <b>OLAW; USDA#14</b> )	X				
• Major versus minor surgical procedures are evaluated on a case-by-case basis ( <i>Guide</i> , p 30)	X				
• Multiple survival procedure justifications in non-regulated species conform to regulated species standards ( <i>Guide</i> , p 30)	X				
• Animals on food/fluid restriction are monitored to ensure nutritional needs are met ( <i>Guide</i> , p 31; <b>OLAW; NIH ARAC Guideline B7</b> )	X				
• Body weights for food/fluid restricted animals are recorded at least weekly ( <i>Guide</i> , p 31; <b>NIH ARAC Guideline B7</b> )	X				
• Daily written records are maintained for food/fluid restricted animals ( <i>Guide</i> , p 31; <b>NIH ARAC Guideline B7</b> )	X				
• Pharmaceutical grade chemicals are used, when available, for animal-related procedures ( <i>Guide</i> , p 31; <b>OLAW; NIH ARAC Guideline B13</b> )	X				
• Non-pharmaceutical grade chemicals are described, justified, and approved by IACUC ( <i>Guide</i> , p 31; <b>NIH ARAC Guideline B13</b> )	X				
• Investigators conducting field studies know zoonotic diseases, safety issues, laws and regulations applicable in study area ( <i>Guide</i> , p 32)	X				
• Disposition plans are considered for species removed from the wild ( <i>Guide</i> , p 32)	X				
• Toe-clipping only used when no alternative, performed aseptically and with pain relief ( <i>Guide</i> , p 75; <b>NIH ARAC Guideline B9</b> )					X

#### 5. IACUC Membership and Functions (**OLAW; NIH Policy 3040-2**)

	A*	M	S	C	NA
• IACUC is comprised of at least 5 members, appointed by CEO (PHS Policy, IV.A.3.; <b>NIH ARAC Guideline C9</b> )	X				
• Members include a veterinarian, a scientist, a nonscientist, and a nonaffiliated non-lab animal user ( <i>Guide</i> , p 24 <sup>ii</sup> ; <b>NIH ARAC Guideline C9</b> )	X				
• IACUC authority and resources for oversight and evaluation of institution's program are provided ( <i>Guide</i> , p 14)	X				
• IACUC conducts semiannual evaluations of institutional animal care and use program (PHS Policy, IV.B.)	X				
• Conducts semiannual inspections of institutional animal facilities (PHS Policy, IV.B.)	X				
• Non-affiliate member(s) actively participate in meetings and semiannual program review.	X				
• IACUC organizationally reports to the Institutional Official (PHS Policy, IV.A.1.b.)	X				
• Methods for reporting and investigating animal welfare concerns are in place ( <i>Guide</i> , p 23; <b>NIH ARAC Guideline C2; NIH Policy Memo</b> ) [must]	X				

• Reviews and investigates concerns about animal care and use at institution <sup>iii</sup> (PHS Policy, IV.B.; <b>NIH ARAC Guideline C2; NIH Policy Memo</b> )	X				
• Procedures are in place for review, approval, and suspension of animal activities <sup>iv</sup> (PHS Policy, IV.B.; <b>NIH ARAC Guideline C2; NIH Policy Memo</b> )	X				
• Procedures are in place for review and approval of significant changes to approved activities (PHS Policy, IV.B.; <b>NIH ARAC Guideline C3</b> )	X				
• Policies are in place for special procedures (e.g., genetically modified animals, restraint, multiple survival surgery, food and fluid regulation, field investigations, agricultural animals) ( <i>Guide</i> , p 27-32; <b>NIH ARAC Guideline B7</b> )	X				
• Requests for exemptions from major survival surgical procedure restrictions are made to USDA/APHIS <sup>v</sup> ( <i>Guide</i> , p 32; <b>NIH ARAC Guideline C10</b> ) [must]	X				
<b>6. IACUC Training</b> <sup>NEW</sup> ( <b>NIH ACUC Member Course</b> )	<b>A*</b>	<b>M</b>	<b>S</b>	<b>C</b>	<b>NA</b>
• All IACUC members should receive:					
o Formal orientation to institution's program ( <i>Guide</i> , p 17;)	X				
o Training on legislation, regulations, guidelines, and policies ( <i>Guide</i> , p 17)	X				
o Training on how to inspect facilities and labs where animal use or housing occurs ( <i>Guide</i> , p 17)	X				
o Training on how to review protocols as well as evaluate the program ( <i>Guide</i> , p 17)	X				
o Ongoing training/education ( <i>Guide</i> , p 17)	X				
<b>7. IACUC Records and Reporting Requirements</b> <sup>vi</sup>	<b>A*</b>	<b>M</b>	<b>S</b>	<b>C</b>	<b>NA</b>
• Semiannual report to the IO (PHS Policy, IV.B.)					
o Submitted to IO every 6 months	X				
o Compiles program review and facility inspection(s) results (includes all program and facility deficiencies)	X				
o Includes minority IACUC views	X				
o Describes IACUC-approved departures from the <i>Guide</i> or PHS Policy and the reasons for each departure <sup>vii</sup>					X
o Distinguishes significant from minor deficiencies ( <b>NIH ARAC Guideline C1</b> )	X				
o Includes a plan and schedule for correction for each deficiency identified <sup>viii</sup>	X				
• Reports to U.S. Department of Agriculture (USDA) or Federal funding agency <sup>ix</sup> ( <b>NIH ARAC Guideline A1</b> )					
o Annual report to USDA contains required information including all exceptions/exemptions	X				
• Records (PHS Policy, IV.E.)					
o IACUC meeting minutes and semiannual reports to the IO are maintained for 3 years ( <b>OLAW; NIH Minutes</b> )	X				
o Records of IACUC reviews of animal activities include all required information <sup>x</sup>	X				
o Records of IACUC reviews are maintained for 3 years after the completion of the study	X				
<b>8. Veterinary Care (See also next section - Veterinary Care) (USDA #3; NIH PM 3040-2)</b>	<b>A*</b>	<b>M</b>	<b>S</b>	<b>C</b>	<b>NA</b>
• An arrangement for veterinarian(s) with training or experience in lab animal medicine is in place including backup veterinary care <sup>xi</sup>	X				
• Veterinary access to all animals is provided ( <i>Guide</i> , p 14) [must]	X				
• Direct or delegated authority is given to the veterinarian to oversee all aspects of animal care and use ( <i>Guide</i> , p 14) [must]	X				
• Veterinarian provides consultation when pain and distress exceeds anticipated level in protocol ( <i>Guide</i> , p 5; <b>NIH ARAC Guidelines: B12; C6</b> ) [must]	X				
• Veterinarian provides consultation when interventional control is not possible ( <i>Guide</i> , p 5) [must]	X				

• If part time /consulting veterinarian, visits meet programmatic needs ( <i>Guide, p 14</i> )	X				
• Regular communication occurs between veterinarian and IACUC ( <i>Guide, p 14</i> )	X				
• Veterinarian(s) have experience and training in species used ( <i>Guide, p 15</i> ) [must]	X				
• Veterinarian(s) have experience in facility administration/management ( <i>Guide, p 15</i> )	X				

#### 9. Personnel Qualifications and Training (OLAW; NIH PM 3040-2; NIH OACU Training Program) A\* M S C NA

• All personnel are adequately educated, trained, and/or qualified in basic principles of laboratory animal science. Personnel Included: [must]					
• Veterinary/other professional staff ( <i>Guide, p 15-16</i> )	X				
• IACUC members ( <i>Guide, p 17</i> )	X				
• Animal care personnel ( <i>Guide, p 16</i> )	X				
• Research investigators, instructors, technicians, trainees, and students ( <i>Guide, pp 16-17</i> )	X				
• Continuing education for program and research staff provided to ensure high quality care and reinforce training ( <i>Guide, pp 16-17</i> )	X				
• Training is available prior to starting animal activity ( <i>Guide, p 17</i> )	X				
• Training is documented ( <i>Guide, p 15</i> )	X				
• Training program content includes: ( <i>Guide, p 17</i> )					
• Methods for reporting concerns ( <i>Guide, p 17</i> )	X				
• Humane practices of animal care (e.g., housing, husbandry, handling) <sup>xii</sup>	X				
• Humane practices of animal use (e.g., research procedures, use of anesthesia, pre- and post-operative care, aseptic surgical techniques and euthanasia ( <i>Guide, p 17</i> ) <sup>xiii</sup>	X				
• Research/testing methods that minimize numbers necessary to obtain valid results (PHS Policy, IV.A.1.g.)	X				
• Research/testing methods that minimize animal pain or distress (PHS Policy, IV.A.1.g.)	X				
• Use of hazardous agents, including access to OSHA chemical hazard notices where applicable ( <i>Guide, p 20</i> )	X				
• Animal care and use legislation ( <i>Guide, p 17</i> )	X				
• IACUC function ( <i>Guide, p 17</i> )	X				
• Ethics of animal use and Three R's ( <i>Guide, p 17</i> )	X				

#### 10. Occupational Health and Safety of Personnel (NIH Policy 1340; NIH AEP; NIH Laboratory Animal Allergy Prevention Program; NIH ARAC Guideline D2)

	A*	M	S	C	NA
• Program is in place and is consistent with federal state and local regulations ( <i>Guide, p 17</i> ) [must]	X				
• Program covers all personnel who work in laboratory animal facilities ( <i>Guide, p 18</i> )	X				
• Changing, washing, and showering facilities are available as appropriate ( <i>Guide, p 19</i> )	X				
• Hazardous facilities are separated from other areas and identified as limited access ( <i>Guide, p 19</i> )	X				
• Personnel training is provided based on risk (e.g., zoonoses, hazards, personal hygiene, special precautions, animal allergies) ( <i>Guide, p 20</i> )	X				
• Personal hygiene procedures are in place (e.g., work clothing, eating/drinking/smoking policies) ( <i>Guide, p 20</i> )	X				
• Procedures for use, storage, and disposal of hazardous biologic, chemical, and physical agents are in place ( <i>Guide, p 21</i> ) (NIH PMs: 1341, 3015, 3034, 3035)	X				
• Personal Protective Equipment for the work area is appropriate and available ( <i>Guide, p 21</i> ) (NIH ARAC Guideline D2)	X				
• Program for medical evaluation and preventive medicine for personnel includes: (NIH AEP)					
Pre-employment evaluation including health histo ( <i>Guide, p 22</i> )	X				



o Immunizations as appropriate (e.g., rabies, tetanus) and tests as appropriate (Guide, p 22)	X				
o Zoonosis surveillance as appropriate (e.g., Q-fever, tularemia, Hantavirus, plague) (Guide, p 23)	X				
o Procedures for reporting and treating injuries, including accidents, bites, allergies, etc. (Guide, p 23)	X				
o Promotes early diagnosis of allergies including preexisting conditions (Guide, p 22; <b>NIH OMS LAAPP</b> )	X				
o Considers confidentiality and other legal factors as required by federal, state and local regulations (Guide, p 22) [must]	X				
o If serum samples are collected, the purpose is consistent with federal and state laws (Guide, p 22) [must]	X				
• Waste anesthetic gases are scavenged (Guide, p 21; <b>NIH Waste &amp; Anesthetic Gas Surveillance Program</b> )	X				
• Hearing protection is provided in high noise areas (Guide, p 22; <b>NIH Hearing Conservation Program</b> )	X				
• Respiratory protection is available when performing airborne particulate work (Guide, p 22; <b>NIH Respiratory Protection Program</b> )	X				
• Special precautions for personnel who work with nonhuman primates, their tissues or body fluids include: ( <b>NIH PM 3044-2</b> )					
o Tuberculosis screening provided for all exposed personnel (Guide, p 23; <b>NIH AEP; Tuberculosis Surveillance Program</b> )					X
o Training and implementation of procedures for bites, scratches, or injuries associated with macaques (Guide, p 23; <b>Working Safely with NHPs; NHP Body Fluid Exposure</b> )					X
o PPE is provided including gloves, arm protection, face masks, face shields, or goggles (Guide, p 21; <b>NIH ARAC Guideline D2</b> )					X
o Injuries associated with macaques are carefully evaluated and treatment implemented (Guide, p 23; <b>NHP Body Fluid Exposure</b> )					X
• Occupational safety and health of field studies is reviewed by OSH committee or office (Guide, p 32)	X				

#### 11. Personnel Security <sup>NEW</sup> (**NIH PM 3047**)

**A\* M S C NA**

• Preventive measures in place include pre-employment screening, and physical and IT security (Guide, p 23)	X				
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#### 12. Investigating & Reporting Animal Welfare Concerns <sup>NEW</sup> (**NIH ARAC Guideline C2; NIH Policy Memo; NIH Incident Investigation**)

**A\* M S C NA**

• Methods for investigating and reporting animal welfare concerns are established (Guide, p 23) [must]	X				
• Reported concerns and corrective actions are documented (Guide, p 24)	X				
• Mechanisms for reporting concerns are posted in facility and at applicable website with instructions (Guide, p 24)	X				
o Includes multiple contacts (Guide, p 24)	X				
o Includes anonymity, whistle blower policy, nondiscrimination and reprisal protection (Guide, p 24)	X				

\* A = acceptable

M = minor deficiency

S = significant deficiency (Is or may be a threat to animal health or safety)

C = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)

NA = not applicable

#### NOTES:



## Veterinary Care

Date:

### 1. Clinical Care and Management <sup>NEW</sup> (USDA #3; NIH PM 3040-2; NIH Policy Memo)

	A*	M	S	C	NA
• Veterinary program offers high quality of care and ethical standards ( <i>Guide</i> , p 105) [must]	X				
• Veterinarian provides guidance to all personnel to ensure appropriate husbandry, handling, treatment, anesthesia, analgesia, and euthanasia ( <i>Guide</i> , p 106)	X				
• Veterinarian provides oversight to surgery and perioperative care ( <i>Guide</i> , p 106)	X				
• Veterinary care program is appropriate for program requirements ( <i>Guide</i> , pp 113-114)					
• Veterinarian(s) is familiar with species and use of animals and has access to medical and experimental treatment records ( <i>Guide</i> , p 114)	X				
• Procedures to triage and prioritize incident reports are in place ( <i>Guide</i> , p 114)	X				
• Procedures are in place to address:					
o Problems with experiments to determine course of treatment in consultation with investigator( <i>Guide</i> , p 114)	X				
o Recurrent or significant health problems with the IACUC and documentation of treatments and outcomes ( <i>Guide</i> , p 114)	X				
o Veterinary review and oversight of medical and animal use records ( <i>Guide</i> , p 115)	X				
• Procedures established for timely reporting of animal injury, illness, or disease ( <i>Guide</i> , p 114; NIH Policy Memo) [must]	X				
• Procedures established for veterinary assessment, treatment, or euthanasia ( <i>Guide</i> , p 114; NIH Policy Memo; NIH ARAC Guideline A2) [must]	X				
• Veterinarian is authorized to treat, relieve pain, and/or euthanize ( <i>Guide</i> , p 114) [must]	X				

### 2. Animal Procurement and Transportation/Preventive Medicine (OLAW; NIH PM: 3040-3, 3043-1, 3044-1)

	A*	M	S	C	NA
• Procedures for lawful animal procurement are in place ( <i>Guide</i> , p 106) [must]	X				
• Sufficient facilities and expertise are confirmed prior to procurement ( <i>Guide</i> , p 106)	X				
• Procurement is linked to IACUC review and approval ( <i>Guide</i> , p 106)	X				
• Random source dogs and cats are inspected for identification ( <i>Guide</i> , p 106)	X				
• Population status of wildlife species is considered prior to procurement ( <i>Guide</i> , p 106)	X				
• Appropriate records are maintained on animal acquisition ( <i>Guide</i> , p 106)	X				
• Animal vendors are evaluated to meet program needs and quality ( <i>Guide</i> , p 106)	X				
• Breeding colonies are based on need and managed to minimize numbers ( <i>Guide</i> , p 107)	X				
• Procedures for compliance with animal transportation regulations, including international requirements, are in place ( <i>Guide</i> , p 107; USDA#18) [must]	X				
• Transportation is planned to ensure safety, security and minimize risk ( <i>Guide</i> , p 107; ARAC Guidelines: B1a; B1b)	X				

• Movement of animals is planned to minimize transit time and deliveries are planned to ensure receiving personnel are available ( <i>Guide</i> , pp 107- 108)	X				
• Appropriate loading and unloading facilities are available ( <i>Guide</i> , p 109)	X				
• Environment at receiving site is appropriate ( <i>Guide</i> , p 109)	X				
• Policies in place on separation by species, source, and health status ( <i>Guide</i> , pp 109, 111-112; <b>ARAC Guideline D1</b> )	X				
• Procedures in place for quarantine to include zoonoses prevention ( <i>Guide</i> , p 110; <b>NIH ARAC Guideline D3</b> )	X				
• Quarantined animals from different shipments are handled separately or physically separated ( <i>Guide</i> , p 110)	X				
• Procedures in place for stabilization/acclimation ( <i>Guide</i> , pp 110-111)	X				
• Policies in place for isolation of sick animals ( <i>Guide</i> , p 112)	X				
• Program is in place for surveillance, diagnosis, treatment and control of disease to include daily observation ( <i>Guide</i> , p 112)	X				
• Diagnostic resources are available for preventive health program ( <i>Guide</i> , p 112)					

### 3. Surgery (OLAW; NIH ARAC Guideline B6)

	A*	M	S	C	NA
• Surgical outcomes are assessed and corrective changes instituted ( <i>Guide</i> , p 115)	X				
• Researchers have appropriate training to ensure good technique ( <i>Guide</i> , p 115) [must]	X				
• Pre-surgical plans are developed and include veterinary input (e.g., location, supplies, anesthetic and analgesic use, peri-operative care, recordkeeping) ( <i>Guide</i> , p 116)	X				
• Aseptic surgery is conducted in dedicated facilities or spaces, unless exception justified and IACUC approved ( <i>Guide</i> , p 116)	X				
• Surgical procedures including laparoscopic procedures are categorized as major or minor ( <i>Guide</i> , pp 117-118)	X				
• For nonsurvival surgery, the site is clipped, gloves are worn and instruments and area are clean ( <i>Guide</i> , p 118)					X
• Aseptic technique is followed for survival surgical procedures ( <i>Guide</i> , pp 118-119)	X				
• Effective procedures for sterilizing instruments and monitoring expiration dates on sterile packs are in place ( <i>Guide</i> , p 119)	X				
• Procedures for monitoring surgical anesthesia and analgesia are in place ( <i>Guide</i> , p 119)	X				
• For aquatic species, skin surfaces are kept moist during surgical procedures ( <i>Guide</i> , p 119; <b>NIH ARAC Guideline B11</b> )					X
• Post-operative monitoring and care are provided by trained personnel and documented (e.g., thermoregulation, physiologic function, analgesia, infection, removal of skin closures) ( <i>Guide</i> , pp 119-120)	X				

### 4. Pain, Distress, Anesthesia and Analgesia (USDA#11; NIH ARAC Guideline B12)

	A*	M	S	C	NA
• Guidelines for assessment and categorization of pain, distress and animal wellbeing are provided during training ( <i>Guide</i> , p 121)	X				
• Selection of analgesics and anesthetics is based on professional veterinary judgment ( <i>Guide</i> , p 121)	X				
• Painful procedures are monitored to ensure appropriate analgesic management ( <i>Guide</i> , p 122)	X				
• Nonpharmacologic control of pain is considered as an element of postprocedural care ( <i>Guide</i> , p 122)	X				
• Procedures are in place to assure antinociception before surgery begins ( <i>Guide</i> , p 122) [must]	X				
• Guidelines for selection and use of analgesics and anesthetics are in place and regularly reviewed and updated ( <i>Guide</i> , p 122)	X				
• Special precautions for the use of paralytics are in place to ensure anesthesia <sup>xiv</sup> ( <i>Guide</i> , p 123)					X

<b>5. Euthanasia (OLAW; AVMA Guidelines 2013; NIH ARAC Guidelines: B4, B5)</b>	<b>A*</b>	<b>M</b>	<b>S</b>	<b>C</b>	<b>NA</b>
• Methods are consistent with AVMA Guidelines on Euthanasia unless approved by the IACUC ( <i>Guide, p 123</i> )	X				
• CO2 regulators & flowmeters are present and functioning. Flow rate is appropriate for the euthanasia chamber size. ( <b>ARAC Guideline B5</b> )	X				
• Standardized methods are developed and approved by the veterinarian and IACUC that avoid distress and consider animal age and species ( <i>Guide, pp 123-124</i> )	X				
• Training is provided on appropriate methods for each species and considers psychological stress to personnel ( <i>Guide, p 124</i> )	X				
• Procedures and training are in place to ensure death is confirmed ( <i>Guide, p 124</i> ) [must]	X				
<b>6. Drug Storage and Control <sup>NEW</sup> (NIH PM 1345)</b>	<b>A*</b>	<b>M</b>	<b>S</b>	<b>C</b>	<b>NA</b>
• Program complies with federal regulations for human and veterinary drugs( <i>Guide, p 115</i> ) [must]	X				
•	X				
• Drug records and storage procedures are reviewed during facility inspections ( <i>Guide, p 115</i> )	X				
• Procedures are in place to ensure analgesics and anesthetics are used within expiration date ( <i>Guide, p 122</i> ; <b>OLAW; NIH ARAC Guideline C11</b> ) [must]	X				
• Anesthetics and analgesics are acquired, stored, and their use and disposal are recorded legally and safely ( <i>Guide, p 122</i> )	X				

\* A = acceptable

M = minor deficiency

S = significant deficiency (is or may be a threat to animal health or safety)

C = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)

NA = not applicable

#### NOTES: