



To: Dr. Kevin Archer, Institutional Official for Animal Care and Use

From: Institutional Animal Care and Use Committee

Subject: Report of the IACUC's Evaluations - Animal Care and Use Program Review and Facilities Inspection.

Date: December 18, 2020

This represents the semiannual report of the Institutional Animal Care and Use Committee (IACUC), as required by the PHS Policy on Humane Care and Use of Laboratory and as a condition of this institution's Animal Welfare Assurance on file with the Office of Laboratory Animal Welfare (OLAW), and USDA Animal Welfare Regulations, 9 CFR Chapter I, subchapter A, as applicable.

#### Evaluation of the Animal Care and Use Program

1. The IACUC conducted its semiannual evaluation of the institution's animal care and use program on December 11, 2020, using the *Guide for the Care and Use of Laboratory Animals (Guide)*, and, as applicable, 9 CFR Chapter I, 2.31.

The Committee used the NRC Guide for the Care and Use of Laboratory Animals and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the review. To facilitate the evaluation, the Committee used a checklist based on the Sample OLAW Program and Facility Review Checklist from the OLAW website. The evaluation included, but was not necessarily limited to, a review of the following: a) Institutional and Individual Responsibilities; b) IACUC Membership and Functions; c) IACUC Member Experience and Training; d) IACUC Records and Reporting Requirements; e) Husbandry and Veterinary Care (all aspects); f) Personnel Qualifications (Experience and Training); g) Occupational Health and Safety; h) Emergency and Disaster Planning; and i) Security (personal and facility). In addition, the evaluation included a review of the Institution's PHS Assurance. No member was involuntarily excluded from participating in any portion of the review.

#### 2. Accreditation.

The Institution's Program for Laboratory Animal Care and Use is not accredited by the Association for the Assessment and Accreditation of Laboratory Animal Care International (AAALAC-Int'l).

#### 3. IACUC Approved Departures from the NRC Guide.

There are currently no IACUC approved departures from the Guide.

#### 4. Program Deficiencies.

Attached is a list of deficiencies. As required, the Committee categorized them as significant or minor (a significant deficiency is one that is or may be a threat to the health and safety of the animals or personnel) and developed a reasonable and specific plan and schedule for correcting each deficiency. All other aspects of the program are consistent with the PHS Policy, the Guide, and applicable Animal Welfare Regulations.

#### Inspection of the Animal Facilities

1. The IACUC inspected the animal facilities on December 18, 2020, using the *Guide*, and, as applicable, 9 CFR Chapter I, 2.31.

Members of the IACUC visited all of the institute's facilities where animals are housed or used, i.e., holding areas, animal care support areas, storage areas, procedure areas, and laboratories where animal manipulations are performed. Equipment used for transporting of the animals was also inspected. The Committee used the NRC Guide and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the inspection. To facilitate the evaluation, the Committee used a checklist based on the Sample OLAW Program and Facility Review Checklist from the OLAW website. No member was involuntarily excluded from participating in any portion of the inspection.

One animal facility was inspected: the Vivarium (Dept. of Biological Sciences, Science Bldg.). (The Psychology Animal Facility has no animals at this time and there are no plans to house animals at this time.) The Vivarium was designed and constructed specifically for the purpose of housing animals and therefore have adequate ventilation and environmental controls, and cage washing facilities. We also inspected the animal displays in the Science Building (SCI) lobby and the greenhouse.

The Vivarium houses a variety of species ranging from reptiles and amphibians to mice. The Vivarium itself has a number of individually temperature - and photoperiod - controlled rooms. There is one quarantine room that was empty at the time of the inspection.





#### 2. Facility Deficiencies.

Attached is a list of deficiencies. As required, the Committee categorized them as significant or minor (a significant deficiency is one that is or may be a threat to the health and safety of the animals or personnel) and developed a reasonable and specific plan and schedule for correcting each deficiency. All other aspects of the program are consistent with the PHS Policy, the Guide, and applicable Animal Welfare Regulations.

#### Minority Views

There are no minority views.

Signatures (Report of the IACUC's Evaluations to IO, conducted 12/18/2020)

Name:	Signature and Date:	Minority Opinion Y/N
__Jonathan Betz__	Jonathan Betz, January 25, 2021	N
__Lori Sheeran__	Lori K. Sheeran, January 25, 2021	N
__Mike Fuller (AV)__	Mike Fuller, January 31, 2021	N
__Patti Gylling__	Patti Gylling, January 25, 2021	N
__Leslie Hunter__	Leslie Hunter January 25, 2021	N
__Kerri Larson__	Kerri Larson 1/25/21	
__Jessica Mayhew__	 1/25/2021	N
__  __	 1-25-2021	N
__Wendy Williams__	 01-27-2021	N

**\*\*DUE TO COVID19 REMOTE WORK, COMMITTEE MEMBER APPROVALS FOR THIS REPORT WERE GRANTED THROUGH EMAIL INSTEAD OF SIGNATURE. SEE ATTACHED EMAILS\*\***

**SEMIANNUAL PROGRAM REVIEW**  
**PLAN & SCHEDULE FOR CORRECTING DEFICINECIES**

DATE: 12/11/2020

Members in Attendance: Lori Sheeran (Chair), Jessica Mayhew, Jonathan Betz (*ex officio*), Mike Fuller (AV), Patti Gylling, Leslie Hunter, Wendy Williams

Deficiency Category (S or M)	*	Deficiency & Plan for Correction	Responsible Party	Correction Schedule & Interim Status	Date Complete
M		Lori Sheeran and [1] / needed to complete IACUC Member CITI training	Sheeran, [9]	Completed	By December 14, 2020

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

\*Check if repeat deficiency

**SEMIANNUAL FACILITY INSPECTION REPORT**  
**PLAN & SCHEDULE FOR CORRECTING DEFICINECIES**

DATE: 12/18/2020

Members in Attendance: Lori Sheeran (Chair), Jonathan Betz (*ex officio*), Mike Fuller (AV)

Deficiency Category (S or M)	*	Location	Deficiency & Plan for Correction	Responsible Party	Correction Schedule & Interim Status	Date Complete
M			The emergency and disaster plan that is in place needs to be reviewed by higher administrative levels. A detailed disaster plan exists that will guide actions in the event that animals need to be evacuated from the campus, but this plan has not yet been shared with all campus entities, in part due to turnover in personnel in those offices.	Sheeran (IACUC chair)	January 31, 2021: complete review process with department chairs. February 30, 2021: complete review process with EHS and campus police. March 15, 2021: submit to IACUC for review if necessary (only if changes occur).	March 30, 2021

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

\*Check if repeat deficiency

On Jan 25, 2021, at 9:01 AM, Lori Sheeran <SheeranL@cwu.edu> wrote:

Hi Everyone:

I hope this email finds you well!

Attached is the semiannual report that we discussed at our last meeting. Could you please either sign and date the attached document, or send an email indicating that you are willing to sign?

Thank you,

Lori

Lori K. Sheeran, Ph.D.

*she/her/hers*

Interim Chair, Institutional Animal Care and Use Committee

Professor

Department of Anthropology and Museum Studies | Central Washington University

400 East University Way

Ellensburg, WA 98926-7544

509-963-1434

<http://www.cwu.edu/anthropology/>

<Semiannual Report to the IO December 2020.pdf>

**From:** Jonathan Betz <BetzJ@cwu.edu>

**Sent:** Monday, January 25, 2021 10:30 AM

**To:** Lori Sheeran <SheeranL@cwu.edu>

**Subject:** Re: semiannual IACUC report

Lori,

I am willing to sign the semiannual report. As an ex officio member, should I abstain from signing?

Thanks,

**Jonathan A. Betz**

Instruction & Classroom Support Technician

Department of Biological Sciences

400 East University Way, Science 317B

Ellensburg, WA 98926-7537

[BetzJ@CWU.edu](mailto:BetzJ@CWU.edu)

 Central Washington University

[5]

---

Michael R. Fuller <mfrodeodoc@gmail.com>

Sun 1/31/2021 6:57 AM

To: Lori Sheeran



**Caution: This email originated from outside the university.**

Do not click on links, open attachments, or reply unless you recognize the sender and know the content is safe. If you consider this email as phishing or spam please use the **Report Message Button** in Outlook to inform both the CWU Service Desk and Microsoft.

I'm sorry, I've replied a couple of times but I must be doing something wrong.

I approve the semiannual report as presented to me on January 30, 2021.

Respectfully,

Michael R. Fuller DVM

January 31, 2021

**From:** Patti Gylling <pattigyling@gmail.com>

**Sent:** Monday, January 25, 2021 9:15 AM

**To:** Lori Sheeran <SheeranL@cwu.edu>

**Subject:** Re: semiannual IACUC report

**Caution: This email originated from outside the university.**

Do not click on links, open attachments, or reply unless you recognize the sender and know the content is safe. If you consider this email as phishing or spam please use the **Report Message Button** in Outlook to inform both the CWU Service Desk and Microsoft.

Lori, please indicate I am willing to sign.

(Apologies for missing the last Zoom meeting. My Post It note reminder system failed miserably)

Patti

Sent from my iPhone

**From:** Leslie Hunter <Leslie.Hunter@cwu.edu>

**Sent:** Monday, January 25, 2021 9:21 AM

**To:** Lori Sheeran <SheeranL@cwu.edu>

**Subject:** RE: semiannual IACUC report

I approve of this report.

-Leslie Hunter

**From:** Kerri Larson <Kerri.Larson@cwu.edu>  
**Sent:** Monday, January 25, 2021 9:05 AM  
**To:** Lori Sheeran <SheeranL@cwu.edu>  
**Subject:** RE: semiannual IACUC report

Here is my signature. Not sure if this is how you want it done, but I approve.  
Kerri Larson

---

**From:** Jessica Mayhew <MayhewJ@cwu.edu>  
**Sent:** Monday, January 25, 2021 10:07 AM  
**To:** [redacted]; Lori Sheeran <SheeranL@cwu.edu>; Patti Gylling <pattigyling@gmail.com>; Michael R. Fuller <mfrodeodoc@gmail.com>; Jonathan Betz <BetzJ@cwu.edu>; Leslie Hunter <Leslie.Hunter@cwu.edu>; Kerri Larson <Kerri.Larson@cwu.edu>; Wendy Williams <WilliamW@cwu.edu>  
**Subject:** Re: semiannual IACUC report

Hi Everyone,

Here is a copy of the report with my signature on it.

Jessica



**Jessica A. Mayhew, Ph.D.**  
Associate Professor | [Anthropology and Museum Studies](#)  
Director | [Primate Behavior and Ecology Program](#)  
509-963-3220  
(she/her)

**From:** [redacted]  
**Sent:** Monday, January 25, 2021 9:22 AM  
**To:** Lori Sheeran <SheeranL@cwu.edu>; Patti Gylling <pattigyling@gmail.com>; Michael R. Fuller <mfrodeodoc@gmail.com>; Jonathan Betz <BetzJ@cwu.edu>; Leslie Hunter <Leslie.Hunter@cwu.edu>; Kerri Larson <Kerri.Larson@cwu.edu>; Jessica Mayhew <MayhewJ@cwu.edu>; Wendy Williams <WilliamW@cwu.edu>  
**Subject:** Re: semiannual IACUC report



Hello all:

Attached is the copy with my signature.

Best,

[Signature]

Wendy Williams

Wed 1/27/2021 2:16 PM

To: Jessica Mayhew; [Signature]; Lori Sheeran; Patti Gylling <pattigylling@gmail.com> +4 others



Semiannual Report to the IO ...  
199 KB

Here is my signature.

***Wendy A. Williams, Ph.D.***

Associate Professor of Psychology  
Psychology Department, MS 7575  
Central Washington University  
400 E. University Way  
Ellensburg, WA, 98926-7575  
(509) 963-3679

Preferred Pronouns: *She, her, hers*

"Enthusiasm is the mother of effort, and without it, nothing great was ever achieved." *Ralph Waldo Emerson*

# 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.

## 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.

## Questions or comments?

Suggestions or comments about this checklist should be e-mailed to: [olawdp@mailto.nih.gov](mailto:olawdp@mailto.nih.gov).

# I. Semiannual Program Review Checklist <sup>i</sup>

## Institutional Policies and Responsibilities

Date:

1. Animal Care and Use Program <sup>NEW</sup>	A*	M	S	C	NA
• Responsibility for animal well-being is assumed by all members of the program ( <i>Guide, p 1</i> ) <b>[must]</b>	X				
• IO has authority to allocate needed resources ( <i>Guide, p 13</i> )	X				
• Resources necessary to manage program of veterinary care are provided ( <i>Guide, p 14</i> ) <b>[must]</b>	X				
• Sufficient resources are available to manage the program, including training of personnel in accord with regulations and the <i>Guide</i> ( <i>Guide, pp 11, 15</i> )					
• Program needs are regularly communicated to IO by AV and/or IACUC ( <i>Guide, p 13</i> )					
• 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, p 14</i> ) <b>[must]</b>	X				
• Inter-institutional collaborations are described in formal written agreements ( <i>Guide, p 15</i> )					
• Written agreements address responsibilities, animal ownership, and IACUC oversight ( <i>Guide, p 15</i> )					
2. Disaster Planning and Emergency Preparedness <sup>NEW</sup>	A*	M	S	C	NA
• Disaster plans for each facility to include satellite locations are in place ( <i>Guide, p 35, p 75</i> ) <b>[must]</b>	X				
• Plans include provisions for euthanasia ( <i>Guide, p 35</i> ) <b>[must]</b>	X				
• Plans include triage plans to meet institutional and investigators' needs ( <i>Guide, p 35</i> )					
• Plans define actions to prevent animal injury or death due to HVAC or other failures ( <i>Guide, p 35</i> )					
• Plans describe preservation of critical or irreplaceable animals ( <i>Guide, p 35</i> )					
• Plans include essential personnel and their training ( <i>Guide, p 35</i> )					
• Animal facility plans are approved by the institution and incorporated into overall response plan ( <i>Guide, p 35</i> )					
• Law enforcement and emergency personnel are provided a copy and integration with overall plan is in place ( <i>Guide, p 35</i> )					
3. IACUC <sup>NEW</sup>	A*	M	S	C	NA
• Meets as necessary to fulfill responsibilities ( <i>Guide, p 25</i> ) <b>[must]</b>	X				
• IACUC Members named in protocols or with conflicts recuse themselves from protocol decisions ( <i>Guide, p 26</i> ) <b>[must]</b>	X				
• Continuing IACUC oversight after initial protocol approval is in place ( <i>Guide, p 33</i> )					
• IACUC evaluates the effectiveness of training programs ( <i>Guide, p 15</i> )					
4. IACUC Protocol Review - Special Considerations	A*	M	S	C	NA
• Humane endpoints are established for studies that involve tumor models, infectious diseases, vaccine challenge, pain modeling, trauma, production of monoclonal antibodies, assessment of toxicologic effects, organ or system failure, and models of cardiovascular shock ( <i>Guide, p 27</i> )					
• For pilot studies, a system to communicate with the IACUC is in place ( <i>Guide, p 28</i> )					
• For genetically modified animals, enhanced monitoring and reporting is in place ( <i>Guide, p 28</i> )					
• Restraint devices are justified in the animal use protocols ( <i>Guide, p 29</i> ) <b>[must]</b>	X				
• Alternatives to physical restraint are considered ( <i>Guide, p 29</i> )					
• Period of restraint is the minimum to meet scientific objectives ( <i>Guide, p 29</i> )					
• Training of animals to adapt to restraint is provided ( <i>Guide, p 29</i> )					
• Animals that fail to adapt are removed from study ( <i>Guide, p 29</i> )					
• Appropriate observation intervals of restrained animals are provided ( <i>Guide, p 29</i> )					
• Veterinary care is provided if lesions or illness result from restraint ( <i>Guide, p 30</i> ) <b>[must]</b>	X				



• Explanations of purpose and duration of restraint are provided to study personnel ( <a href="#">Guide, p 30</a> )					
• Multiple surgical procedures on a single animal are justified and outcomes evaluated ( <a href="#">Guide, p 30</a> )					
• Major versus minor surgical procedures are evaluated on a case-by-case basis ( <a href="#">Guide, p 30</a> )					
• Multiple survival procedure justifications in non-regulated species conform to regulated species standards ( <a href="#">Guide, p 30</a> )					
• Animals on food/fluid restriction are monitored to ensure nutritional needs are met ( <a href="#">Guide, p 31</a> )					
• Body weights for food/fluid restricted animals are recorded at least weekly ( <a href="#">Guide, p 31</a> )					
• Daily written records are maintained for food/fluid restricted animals ( <a href="#">Guide, p 31</a> )					
• Pharmaceutical grade chemicals are used , when available, for animal-related procedures ( <a href="#">Guide, p 31</a> )					
• Non-pharmaceutical grade chemicals are described, justified, and approved by IACUC ( <a href="#">Guide, p 31</a> )					
• Investigators conducting field studies know zoonotic diseases, safety issues, laws and regulations applicable in study area ( <a href="#">Guide, p 32</a> )					
• Disposition plans are considered for species removed from the wild ( <a href="#">Guide, p 32</a> )					
• Toe-clipping only used when no alternative, performed aseptically and with pain relief ( <a href="#">Guide, p 75</a> )					

## 5. IACUC Membership and Functions

	A*	M	S	C	NA
• IACUC is comprised of at least 5 members, appointed by CEO (PHS Policy, <a href="#">IV.A.3.</a> )					
• Members include a veterinarian, a scientist, a nonscientist, and a nonaffiliated non-lab animal user ( <a href="#">Guide, p 24</a> ) <sup>ii</sup>					
• IACUC authority and resources for oversight and evaluation of institution's program are provided ( <a href="#">Guide, p 14</a> )					
• IACUC conducts semiannual evaluations of institutional animal care and use program (PHS Policy, <a href="#">IV.B.</a> )					
• Conducts semiannual inspections of institutional animal facilities (PHS Policy, <a href="#">IV.B.</a> )					
• IACUC organizationally reports to the Institutional Official (PHS Policy, <a href="#">IV.A.1.b.</a> )					
• Methods for reporting and investigating animal welfare concerns are in place ( <a href="#">Guide, p 23</a> ) [must]	X				
• Reviews and investigates concerns about animal care and use at institution <sup>iii</sup> (PHS Policy, <a href="#">IV.B.</a> )					
• Procedures are in place for review, approval, and suspension of animal activities <sup>iv</sup> (PHS Policy, <a href="#">IV.B.</a> )					
• Procedures are in place for review and approval of significant changes to approved activities (PHS Policy, <a href="#">IV.B.</a> )					
• Policies are in place for special procedures (e.g., genetically modified animals, restraint, multiple survival surgery, food and fluid regulation, field investigations, agricultural animals) ( <a href="#">Guide, p 27-32</a> )					
• Requests for exemptions from major survival surgical procedure restrictions are made to USDA/APHIS <sup>v</sup> ( <a href="#">Guide, p 30</a> ) [must]					X

## 6. IACUC Training NEW

	A*	M	S	C	NA
• All IACUC members should receive:					
◦ Formal orientation to institution's program ( <a href="#">Guide, p 17</a> )	X				
◦ Training on legislation, regulations, guidelines, and policies ( <a href="#">Guide, p 17</a> )	X				
◦ Training on how to inspect facilities and labs where animal use or housing occurs ( <a href="#">Guide, p 17</a> )	X				
◦ Training on how to review protocols as well as evaluate the program ( <a href="#">Guide, p 17</a> )	X				
◦ Ongoing training/education ( <a href="#">Guide, p 17</a> )	X				

## 7. IACUC Records and Reporting Requirements<sup>vi</sup>

	A*	M	S	C	NA
• Semiannual report to the IO (PHS Policy, <a href="#">IV.B.</a> )					
◦ Submitted to IO every 6 months					
◦ Compiles program review and facility inspection(s) results (includes all program					

and facility deficiencies)					
◦ Includes minority IACUC views					
◦ Describes IACUC-approved departures from the <i>Guide</i> or PHS Policy and the reasons for each departure <sup>vii</sup>					
◦ Distinguishes significant from minor deficiencies					
◦ Includes a plan and schedule for correction for each deficiency identified <sup>viii</sup>					
• Reports to OLAW (PHS Policy, <a href="#">IV.F.</a> )					
◦ Annual report to OLAW documents program changes, dates of the semiannual program reviews and facility inspections and includes any minority views					
◦ Promptly advises OLAW of serious/ongoing <i>Guide</i> deviations or PHS Policy noncompliance ( <a href="#">NOT-OD-05-034</a> )					
◦ Institute must promptly advise OLAW of any suspension of an animal activity by the IACUC ( <a href="#">NOT-OD-05-034</a> )					
• Reports to U.S. Department of Agriculture (USDA) or Federal funding agency <sup>ix</sup>					
◦ Annual report to USDA contains required information including all exceptions/exemptions					
◦ Reporting mechanism to USDA is in place for IACUC-approved exceptions to the regulations and standards					
◦ Reports are filed within 15 days for failures to adhere to timetable for correction of significant deficiencies					
◦ Promptly reports suspensions of activities by the IACUC to USDA and any Federal funding agency					
• Records (PHS Policy, <a href="#">IV.E.</a> )					
◦ IACUC meeting minutes and semiannual reports to the IO are maintained for 3 years					
◦ Records of IACUC reviews of animal activities include all required information <sup>x</sup>					
◦ Records of IACUC reviews are maintained for 3 years after the completion of the study					

## 8. Veterinary Care (See also next section - Veterinary Care)

	A*	M	S	C	NA
• An arrangement for veterinarian(s) with training or experience in lab animal medicine is in place including backup veterinary care <sup>xi</sup>					
• Veterinary access to all animals is provided ( <a href="#">Guide, p 14</a> ) <a href="#">[must]</a>	X				
• Direct or delegated authority is given to the veterinarian to oversee all aspects of animal care and use ( <a href="#">Guide, p 14</a> ) <a href="#">[must]</a>	X				
• Veterinarian provides consultation when pain and distress exceeds anticipated level in protocol ( <a href="#">Guide, p 5</a> ) <a href="#">[must]</a>	X				
• Veterinarian provides consultation when interventional control is not possible ( <a href="#">Guide, p 5</a> ) <a href="#">[must]</a>	X				
• If part time /consulting veterinarian, visits meet programmatic needs ( <a href="#">Guide, p 14</a> )					
• Regular communication occurs between veterinarian and IACUC ( <a href="#">Guide, p 14</a> )					
• Veterinarian(s) have experience and training in species used ( <a href="#">Guide, p 15</a> ) <a href="#">[must]</a>	X				
• Veterinarian(s) have experience in facility administration/management ( <a href="#">Guide, p 15</a> )					

## 9. Personnel Qualifications and Training

	A*	M	S	C	NA
• All personnel are adequately educated, trained, and/or qualified in basic principles of laboratory animal science. Personnel included: <a href="#">[must]</a>					
◦ Veterinary/other professional staff ( <a href="#">Guide, p 15-16</a> )	X				
◦ IACUC members ( <a href="#">Guide, p 17</a> )	X				
◦ Animal care personnel ( <a href="#">Guide, p 16</a> )	X				
◦ Research investigators, instructors, technicians, trainees, and students ( <a href="#">Guide, pp 16-17</a> )	X				
• Continuing education for program and research staff provided to ensure high quality care and reinforce training ( <a href="#">Guide, pp 16-17</a> )	X				
• Training is available prior to starting animal activity ( <a href="#">Guide, p 17</a> )	X				
• Training is documented ( <a href="#">Guide, p 15</a> )	X				
• Training program content includes: ( <a href="#">Guide, p 17</a> )					
◦ Methods for reporting concerns ( <a href="#">Guide, p 17</a> )	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</i> , p 17) <sup>xliii</sup>					
o Research/testing methods that minimize numbers necessary to obtain valid results (PHS Policy, <i>IV.A.1.g.</i> )	X				
o Research/testing methods that minimize animal pain or distress (PHS Policy, <i>IV.A.1.g.</i> )	X				
o Use of hazardous agents, including access to OSHA chemical hazard notices where applicable ( <i>Guide</i> , p 20)	X				
o Animal care and use legislation ( <i>Guide</i> , p 17)	X				
o IACUC function ( <i>Guide</i> , p 17)	X				
o Ethics of animal use and Three R's ( <i>Guide</i> , p 17)	X				

## 10. Occupational Health and Safety of Personnel

**A\* M S C NA**

• Program is in place and is consistent with federal, state, and local regulations ( <i>Guide</i> , p 17) <b>[must]</b>	X				
• Program covers <i>all</i> personnel who work in laboratory animal facilities ( <i>Guide</i> , p 18)					
• Changing, washing, and showering facilities are available as appropriate ( <i>Guide</i> , p 19)					
• Hazardous facilities are separated from other areas and identified as limited access ( <i>Guide</i> , p 19)					
• Personnel training is provided based on risk (e.g., zoonoses, hazards, personal hygiene, special precautions, animal allergies) ( <i>Guide</i> , p 20)					
• Personal hygiene procedures are in place (e.g., work clothing, eating/drinking/smoking policies) ( <i>Guide</i> , p 20)					
• Procedures for use, storage, and disposal of hazardous biologic, chemical, and physical agents are in place ( <i>Guide</i> , p 21)					
• Personal Protective Equipment for the work area is appropriate and available ( <i>Guide</i> , p 21)					
• Program for medical evaluation and preventive medicine for personnel includes:					
o Pre-employment evaluation including health history ( <i>Guide</i> , p 22)					
o Immunizations as appropriate (e.g., rabies, tetanus) and tests as appropriate ( <i>Guide</i> , p 22)					
o Zoonosis surveillance as appropriate (e.g., Q-fever, tularemia, Hantavirus, plague) ( <i>Guide</i> , p 23)					
o Procedures for reporting and treating injuries, including accidents, bites, allergies, etc. ( <i>Guide</i> , p 23)					
o Promotes early diagnosis of allergies including preexisting conditions ( <i>Guide</i> , p 22)					
o Considers confidentiality and other legal factors as required by federal, state and local regulations ( <i>Guide</i> , p 22) <b>[must]</b>	X				
o If serum samples are collected, the purpose is consistent with federal and state laws ( <i>Guide</i> , p 22) <b>[must]</b>	X				
• Waste anesthetic gases are scavenged ( <i>Guide</i> , p 21)					
• Hearing protection is provided in high noise areas ( <i>Guide</i> , p 22)					
• Respiratory protection is available when performing airborne particulate work ( <i>Guide</i> , p 22)					
• Special precautions for personnel who work with nonhuman primates, their tissues or body fluids include:					
o Tuberculosis screening provided for all exposed personnel ( <i>Guide</i> , p 23)					
o Training and implementation of procedures for bites, scratches, or injuries associated with macaques ( <i>Guide</i> , p 23)					
o PPE is provided including gloves, arm protection, face masks, face shields, or goggles ( <i>Guide</i> , p 21)					
o Injuries associated with macaques are carefully evaluated and treatment implemented ( <i>Guide</i> , p 23)					
• Occupational safety and health of field studies is reviewed by OSH committee or office ( <i>Guide</i> , p 32)					

## 11. Personnel Security **NEW**

**A\* M S C NA**

• Preventive measures in place include pre-employment screening, and physical and IT security ( <i>Guide</i> , p 23)					
--	--	--	--	--	--

## 12. Investigating & Reporting Animal Welfare Concerns NEW

	A*	M	S	C	NA
• Methods for investigating and reporting animal welfare concerns are established ( <i>Guide, p 23</i> ) <span style="background-color: lightblue;">[must]</span>	X				
• Reported concerns and corrective actions are documented ( <i>Guide, p 24</i> )					
• Mechanisms for reporting concerns are posted in facility and at applicable website with instructions ( <i>Guide, p 24</i> )					
◦ Includes multiple contacts ( <i>Guide, p 24</i> )					
◦ Includes anonymity, whistle blower policy, nondiscrimination and reprisal protection ( <i>Guide, p 24</i> )					

\* **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 NEW

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

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

	A*	M	S	C	NA
• Procedures for lawful animal procurement are in place ( <i>Guide, p 106</i> ) <b>[must]</b>	X				
• Sufficient facilities and expertise are confirmed prior to procurement ( <i>Guide, p 106</i> )					
• Procurement is linked to IACUC review and approval ( <i>Guide, p 106</i> )					
• Random source dogs and cats are inspected for identification ( <i>Guide, p 106</i> )					
• Population status of wildlife species is considered prior to procurement ( <i>Guide, p 106</i> )					
• Appropriate records are maintained on animal acquisition ( <i>Guide, p 106</i> )					
• Animal vendors are evaluated to meet program needs and quality ( <i>Guide, p 106</i> )					
• Breeding colonies are based on need and managed to minimize numbers ( <i>Guide, p 107</i> )					
• Procedures for compliance with animal transportation regulations, including international requirements, are in place ( <i>Guide, p 107</i> ) <b>[must]</b>	X				
• Transportation is planned to ensure safety, security and minimize risk ( <i>Guide, p 107</i> )					
• Movement of animals is planned to minimize transit time and deliveries are planned to ensure receiving personnel are available ( <i>Guide, pp 107- 108</i> )					
• Appropriate loading and unloading facilities are available ( <i>Guide, p 109</i> )					
• Environment at receiving site is appropriate ( <i>Guide, p 109</i> )					
• Policies in place on separation by species, source, and health status ( <i>Guide, pp 109, 111-112</i> )					
• Procedures in place for quarantine to include zoonoses prevention ( <i>Guide, p 110</i> )					
• Quarantined animals from different shipments are handled separately or physically separated ( <i>Guide, p 110</i> )					
• Procedures in place for stabilization/acclimation ( <i>Guide, pp 110-111</i> )					
• Policies in place for isolation of sick animals ( <i>Guide, p 112</i> )					
• Program is in place for surveillance, diagnosis, treatment and control of disease to include daily observation ( <i>Guide, p 112</i> )					
• Diagnostic resources are available for preventive health program ( <i>Guide, p 112</i> )					

### 3. Surgery

	A*	M	S	C	NA
• Surgical outcomes are assessed and corrective changes instituted ( <i>Guide, p 115</i> )					
• Researchers have appropriate training to ensure good technique ( <i>Guide, p 115</i> ) <b>[must]</b>					X



<ul style="list-style-type: none"> <li>Pre-surgical plans are developed and include veterinary input (e.g., location, supplies, anesthetic and analgesic use, peri-operative care, recordkeeping) (<i>Guide, p 116</i>)</li> <li>Aseptic surgery is conducted in dedicated facilities or spaces, unless exception justified and IACUC approved (<i>Guide, p 116</i>)</li> <li>Surgical procedures including laparoscopic procedures are categorized as major or minor (<i>Guide, pp 117-118</i>)</li> <li>For nonsurvival surgery, the site is clipped, gloves are worn and instruments and area are clean (<i>Guide, p 118</i>)</li> <li>Aseptic technique is followed for survival surgical procedures (<i>Guide, pp 118-119</i>)</li> <li>Effective procedures for sterilizing instruments and monitoring expiration dates on sterile packs are in place (<i>Guide, p 119</i>)</li> <li>Procedures for monitoring surgical anesthesia and analgesia are in place (<i>Guide, p 119</i>)</li> <li>For aquatic species, skin surfaces are kept moist during surgical procedures (<i>Guide, p 119</i>)</li> <li>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, pp 119-120</i>)</li> </ul>					
---	--	--	--	--	--

#### 4. Pain, Distress, Anesthesia and Analgesia

**A\* M S C NA**

<ul style="list-style-type: none"> <li>Guidelines for assessment and categorization of pain, distress and animal wellbeing are provided during training (<i>Guide, p 121</i>)</li> <li>Selection of analgesics and anesthetics is based on professional veterinary judgment (<i>Guide, p 121</i>)</li> <li>Painful procedures are monitored to ensure appropriate analgesic management (<i>Guide, p 122</i>)</li> <li>Nonpharmacologic control of pain is considered as an element of postprocedural care (<i>Guide, p 122</i>)</li> <li>Procedures are in place to assure antinoception before surgery begins (<i>Guide, p 122</i>) [must]</li> <li>Guidelines for selection and use of analgesics and anesthetics are in place and regularly reviewed and updated (<i>Guide, p 122</i>)</li> <li>Special precautions for the use of paralytics are in place to ensure anesthesia<sup>xiv</sup> (<i>Guide, p 123</i>)</li> </ul>					X
---	--	--	--	--	---

#### 5. Euthanasia

**A\* M S C NA**

<ul style="list-style-type: none"> <li>Methods are consistent with AVMA Guidelines on Euthanasia unless approved by the IACUC (<i>Guide, p 123</i>)</li> <li>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>)</li> <li>Training is provided on appropriate methods for each species and considers psychological stress to personnel (<i>Guide, p 124</i>)</li> <li>Procedures and training are in place to ensure death is confirmed (<i>Guide, p 124</i>) [must]</li> </ul>	X				
	X				
	X				
	X				

#### 6. Drug Storage and Control **NEW**

**A\* M S C NA**

<ul style="list-style-type: none"> <li>Program complies with federal regulations for human and veterinary drugs (<i>Guide, p 115</i>) [must]</li> <li>Drug records and storage procedures are reviewed during facility inspections (<i>Guide, p 115</i>)</li> <li>Procedures are in place to ensure analgesics and anesthetics are used within expiration date (<i>Guide, p 122</i>) [must]</li> <li>Anesthetics and analgesics are acquired, stored, and their use and disposal are recorded legally and safely (<i>Guide, p 122</i>)</li> </ul>					
---	--	--	--	--	--

\* **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:

Semiannual Checklist

v3/8/2012

8

## Terrestrial Animal Housing and Support Areas

**Location:** Basement Level of Science Building

9



(Guide, pp 53, 58, 60, 63)									
o	animal care personnel receive training to identify abnormal animal behaviors (Guide, p 53)	X							
o	stability of pairs or groups is monitored for incompatibility (Guide, p 64)	X							
o	single housing is justified for social species (Guide, p 64)								X
o	single housing is limited to the minimum period necessary (Guide, p 64)								X
o	additional enrichment for single housed animals is provided (Guide, p 64)								X
o	single housing is reviewed regularly by IACUC and veterinarian (Guide, p 64)								X
o	habituation to routine procedures is part of enrichment program (Guide, p 64)	X							
•	<b>Sheltered or Outdoor Housing:</b> (e.g., barns, corrals, pastures, islands)								
o	weather protection and opportunity for retreat (Guide, p 54) [must]								X
o	appropriate size (Guide, p 54)								X
o	ventilation and sanitation of shelter (no waste/moisture build-up) (Guide, p 54)								X
o	animal acclimation (Guide, p 55)								X
o	social compatibility (Guide, p 55)								X
o	roundup/restraint procedures (Guide, p 55)								X
o	appropriate security (Guide, p 55)								X
•	<b>Naturalistic Environments:</b>								
o	animals added /removed with consideration of effect on group (Guide, p 55)								X
o	adequate food, fresh water, and shelter ensured (Guide, p 55)								X
•	<b>Food:</b>								
o	feeding schedule and procedures including caloric intake management (Guide, pp 65-67)	X							
o	contamination prevention (Guide, p 65)	X							
o	vendor quality control (Guide, p 66)	X							
o	storage in sealed containers (Guide, p 66)	X							
o	expiration date labeling (Guide, p 66)	X							
o	vermin control (Guide, p 66)	X							
o	rotation of stocks (Guide, p 66)								X
•	<b>Water:</b>								
o	ad libitum unless justified (Guide, pp 67-68)	X							
o	QC procedures (Guide, pp 67-68)	X							
•	<b>Bedding and Nesting Materials:</b>								
o	species appropriate (Guide, pp 68-69)	X							
o	keeps animals dry (Guide, pp 68-69)	X							
o	QC procedures (Guide, pp 68-69)	X X							
o	minimizes scientific variables (Guide, pp 68-69)								
•	<b>Sanitation:</b>								
o	frequency of bedding/substrate change (Guide, p 70)	X							
o	cleaning and disinfection of microenvironment (Guide, pp 70-71)	X							
o	cleaning and disinfection of macroenvironment (Guide, p 72)	X							
o	assessing effectiveness (Guide, p 73)	X							
•	<b>Waste Disposal:</b>								
o	procedures for collection (Guide, pp 73-74)	X							
o	procedures for storage and disposal (Guide, pp 73-74)	X							
o	hazardous wastes are rendered safe before removal from facility (Guide, pp 73-74) [must]								X
o	animal carcasses (Guide, pp 73-74)	X							
•	<b>Pest Control:</b>								
o	regularly scheduled (Guide, p 74)								X
o	documented program including control of rodent pests and insecticide use (Guide, p 74)								X
•	<b>Emergency, Weekend, and Holiday Animal Care:</b>								
o	care provided by qualified personnel every day (Guide, p 74)	X							
o	provision for accessible contact information (Guide, p 74)	X							
o	monitoring of backup systems (Guide, p 143)	X							
o	veterinary care available after hours, weekends, and holidays (Guide, pp 74, 114) [must]	X							
o	a disaster plan that takes into account both personnel and animals (Guide, p 75)	X							

<ul style="list-style-type: none"> <li>• <b>Identification:</b> <ul style="list-style-type: none"> <li>○ cage/rack cards contain required information (<i>Guide, p 75</i>)</li> <li>○ genotype information included and standardized nomenclature used when applicable (<i>Guide, p 75</i>)</li> </ul> </li> </ul>					
	X				
					X
<ul style="list-style-type: none"> <li>• <b>Recordkeeping:</b> <ul style="list-style-type: none"> <li>○ clinical records accessible and contain appropriate information (<i>Guide, pp 75-76</i>)</li> <li>○ records are provided when animals are transferred between institutions (<i>Guide, p 75</i>)</li> </ul> </li> </ul>					
	X				
					X
<ul style="list-style-type: none"> <li>• <b>Breeding Genetics and Nomenclature:</b> <ul style="list-style-type: none"> <li>○ appropriate genetic records, management and monitoring procedures (<i>Guide, p 76</i>)</li> <li>○ phenotypes that affect wellbeing are reported to IACUC and effectively managed (<i>Guide, p 77</i>)</li> </ul> </li> </ul>					
					X
					X
<ul style="list-style-type: none"> <li>• <b>Storage:</b> <ul style="list-style-type: none"> <li>○ adequate space for equipment, supplies, food, bedding and refuse (<i>Guide, p 141</i>)</li> <li>○ bedding in vermin-free area and protected from contamination(<i>Guide, p 141</i>)</li> <li>○ food in vermin-free, temperature and humidity controlled area and protected from contamination (<i>Guide, p 141</i>)</li> <li>○ refuse storage is separate (<i>Guide, p 141</i>)</li> <li>○ carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (<i>Guide, p 141</i>)</li> </ul> </li> </ul>					
	X				
	X				
	X				
	X				
	X				
<ul style="list-style-type: none"> <li>• <b>Personnel:</b> <ul style="list-style-type: none"> <li>○ adequate space for locker rooms, administration and training (<i>Guide, p 135</i>)</li> </ul> </li> </ul>					
	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:

**NEW**

**Location:**

**A\* M S C NA**

- **Location:**
  - 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*)
- **Construction:**
  - corridors (*Guide, p 136*)
  - animal room doors (*Guide, pp 137, 150*)
  - exterior windows (*Guide, p 137*)
  - floors (*Guide, pp 137, 150*)
  - drainage (*Guide, pp 138, 150*)
  - 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*)
  - vibration control (*Guide, p 142*)
  - environmental monitoring (*Guide, p 143*)
- **Water Quality:**
  - 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*) [must]
- **Life Support System:**
  - water source is based on appropriate controls and research requirements (*Guide, p 79*)
  - biofilter is of sufficient size to process bioload (*Guide, p 80*) [must]
- **Temperature, Humidity and Ventilation/Illumination/Noise and Vibration:**
  - temperature and humidity (*Guide, pp 43, 80-81*)
  - ventilation and air quality (*Guide, pp 45, 81*)
  - illumination (*Guide, pp 47, 81*)
  - noise and vibration (*Guide, pp 49, 81*)
- **Primary Enclosure:**
  - 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*)
  - allows access to food and waste removal (*Guide, p 82*)
  - restricts escape and entrapment (*Guide, p 82*)
  - allows undisturbed observation (*Guide, p 82*)
  - constructed of nontoxic materials (*Guide, p 82*)
  - prevents electrical hazards (*Guide, p 82*)
  - space needs of species are evaluated by IACUC during program evaluations and facility inspections (*Guide, p 83*)
- **Environmental Enrichment, Social Housing, Behavioral and Social Management:**
  - enrichment elicits appropriate behaviors and is safe (*Guide, p 83*)
  - semi-aquatic reptiles are provided terrestrial areas (*Guide, p 83*)
  - handling is kept to a minimum and appropriate techniques are in place at facility or protocol level (*Guide, p 84*)
  - nets are cleaned, disinfected and managed to avoid contamination of systems (*Guide, p 84*)
- **Food:**
  - storage to prevent contamination, preserve nutrients and prevent pests (*Guide, p*





## Cagewash

Date:

Location:

A\* M S C NA

• Construction and Operation:						
o dedicated central area for sanitizing cages and equipment is provided ( <i>Guide, p 143</i> )						
o cage-washing equipment meets need ( <i>Guide, p 143</i> )						
o doors, windows, floors, drainage, walls, ceilings ( <i>Guide, pp 136-138</i> )						
o convenient to animal areas/waste disposal ( <i>Guide, p 143</i> )						
o ease of access (including door size) facilitates use ( <i>Guide, p 143</i> )						
o sufficient space for staging and maneuvering ( <i>Guide, p 143</i> )						
o safety precautions/clothing/equipment used for waste disposal/prewash/acid wash (( <i>Guide, p 143</i> )						
o traffic flow clean to dirty with no contamination of clean equipment by dirty equipment and appropriate air pressurization ( <i>Guide, p 143</i> )						
o insulation and/or sound attenuation present as needed ( <i>Guide, p 143</i> )						
o utilities are appropriate ( <i>Guide, p 143</i> )						
o ventilation meets heat and humidity load ( <i>Guide, p 143</i> )						
o safety features (e.g., SOPs, warning signs, eyewash stations) are In use ( <i>Guide, p 143</i> )						
o functioning safety devices to prevent entrapment in washer/sterilizers ( <i>Guide, p 143</i> )						
o cage wash temperatures are monitored and records are available ( <i>Guide, p 73</i> )						
o appropriate clean cage storage ( <i>Guide, p 141</i> )						

\* 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:

## Special Facilities: Aseptic Surgery

Date:

Location:

	A*	M	S	C	NA
<ul style="list-style-type: none"> <li><b>General Considerations:</b> <ul style="list-style-type: none"> <li>location minimizes traffic/contamination (<i>Guide, p 144</i>)</li> <li>functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (<i>Guide, p 144</i>)</li> <li>appropriate drug storage, control, expiration date monitoring (<i>Guide, pp 115, 122</i>)</li> <li>safe sharps disposal system (<i>Guide, p 74</i>)</li> <li>adequate records of anesthesia and perioperative care (<i>Guide, p 122</i>)</li> <li>aseptic procedures in use for all survival surgery (<i>Guide, pp 118-119</i>)</li> </ul> </li> <li><b>Operating Room:</b> <ul style="list-style-type: none"> <li>effective contamination control procedures (<i>Guide, p 144</i>)</li> <li>effective cleaning procedures/dedicated tools (<i>Guide, p 145</i>)</li> <li>interior surfaces smooth and impervious to moisture (<i>Guide, p 145</i>)</li> <li>HVAC system meets <i>Guide</i> requirements (<i>Guide, p 145</i>)</li> <li>lighting safe and appropriate (<i>Guide, p 145</i>)</li> <li>outlets safe and appropriate (<i>Guide, p 145</i>)</li> <li>scavenging of anesthetic gases implemented (<i>Guide, p 145</i>)</li> </ul> </li> <li><b>Surgical Support:</b> <ul style="list-style-type: none"> <li>facility for washing, sterilizing, storing instruments and supplies (<i>Guide, p 145</i>)</li> <li>autoclave monitoring procedures are implemented (<i>Guide, pp 119, 145</i>)</li> <li>storage of autoclaved materials maintains sterility (<i>Guide, p 145</i>)</li> <li>cold sterilization procedures are appropriate (<i>Guide, p 119</i>)</li> </ul> </li> <li><b>Animal Preparation:</b> contains large sink to facilitate cleaning of animal and operative site (<i>Guide, p 145</i>)</li> <li><b>Surgeon Scrub:</b> outside operating room, non-hand-operated sink (<i>Guide, p 145</i>)</li> <li><b>Postoperative Recovery:</b> allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (<i>Guide, p 145</i>)</li> <li><b>Dressing Area:</b> place for personnel to change (<i>Guide, p 145</i>)</li> </ul>					

\* 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:



**Date:** \_\_\_\_\_  
**Location:** \_\_\_\_\_

\* **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:**

**Members in Attendance:** Jonathan Betz, Lori Sheeran, Mike Fuller

\* **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  
✓ Check if repeat deficiency

## IV. Endnotes

<sup>i</sup> The PHS Policy requires that Assured institutions comply with the regulations (9 CFR, Subchapter A) issued by the U.S. Department of Agriculture (USDA) under the Animal Welfare Act, as applicable. The endnotes below are specific USDA regulatory requirements that differ from or are in addition to the PHS Policy. This list is not intended to be all inclusive. For additional information please refer to 9 CFR Subchapter A - Animal Welfare.

<sup>ii</sup> Part 2 Subpart C - Research Facilities

- 2.31(b)(2) - "The Committee shall be composed of a Chairman and at least two additional members;... at least one shall not be affiliated in any way with the facility...such person will provide representation for general community interests in the proper care and treatment of animals." [PHS policy requires 5 members]

<sup>iii</sup> 2.32(c)(4) - "...No facility employee, Committee member, or laboratory personnel shall be discriminated against or be subject to any reprisal for reporting violations of any regulation or standards under the Act." [USDA requirement additional to PHS Policy]

<sup>iv</sup> 2.31(d)(5) - "...shall conduct continuing reviews of activities...not less than annually." [PHS Policy requires a complete new review every 3 years utilizing all the criteria for initial review]

<sup>v</sup> 2.31(d)(1)(x) - "...no animal will be used in more than one major operative procedure from which it is allowed to recover unless...(it is) justified for scientific reasons...(or is) required as routine veterinary procedure...or other special circumstances as determined by the Administrator on an individual basis." [this last point is an additional USDA justification for multiple survival surgeries]

<sup>vi</sup> 2.36 - "...each reporting facility shall submit an annual report to the APHIS, AC sector supervisor for the State where the facility is located on or before December 1 of each calendar year." [The USDA annual report has a list of requirements which differ from PHS annual report]

<sup>vii</sup> 2.36(b)(3) - "...exceptions to the standards and regulations be specified and explained by the principal investigator and approved by the IACUC. A summary of all such exceptions must be attached to the facility's annual report." [Refers to USDA annual report]

<sup>viii</sup> 2.31(c)(3) - "...Any failure to adhere to the plan and schedule that results in a significant deficiency remaining uncorrected shall be reported in writing within 15 business days by the IACUC, through the institutional official, to APHIS and any Federal agency funding that activity." [PHS Policy requires prompt reporting to OPRR of serious or continuing noncompliance with the PHS Policy or serious deviations from the provisions of the *Guide*]

<sup>ix</sup> 2.36 - "...each reporting facility shall submit an annual report to the APHIS, AC sector supervisor for the State where the facility is located on or before December 1 of each calendar year." [The USDA annual report has a list of requirements which differ from PHS annual report]

<sup>x</sup> In addition to PHS requirements for IACUC review/application for funding, USDA regulations require:

2.31(d)(1)(ii) - "The principal investigator (PI) consider alternatives to procedures that cause more than momentary or slight pain or distress to the animals, and has provided a written narrative description of the methods and sources...used to determine that alternatives were not available."

2.31(d)(1)(iii) - "The PI has provided written assurance that the activities do not unnecessarily duplicate previous experiments."

2.31(d)(1)(iv) - "Procedures that may cause more than momentary or slight pain or distress to the animals will:  
- involve in their planning, consultation with the attending veterinarian or his or her designee; [PHS Policy does not specify veterinary consultation]  
- not include paralytics without the use of anesthesia;"

---

2.31(d)(1)(x) - “No animal will be used in more than one major operative procedure from which it is allowed to recover, unless justified for scientific reasons by the principal investigator, in writing...”

<sup>xi</sup> 2.33(a)(1) - “In the case of a part-time attending veterinarian or consultant arrangements, the formal arrangements shall include a written program of veterinary care and regularly scheduled visits to the research facility.” [USDA requirement additional]

<sup>xii</sup> 2.32(c) - “Humane methods of animal maintenance and experimentation, including the basic needs of each species, proper handling and care for the various species of animals used by the facility, proper pre-procedural and post-procedural care of animals, and aseptic surgical methods and procedures.”

<sup>xiii</sup> 2.32(c) - additional specifications include:

- “proper use of anesthetics, analgesics, and tranquilizers for any species of animals used by the facility”
- “methods whereby deficiencies in animal care and treatment are reported, including deficiencies in animal care and treatment reported by any employee of the facility...”
- “utilization of services (e.g., National Agricultural Library, National Library of Medicine) to provide information on appropriate animal care and use, alternatives to the use of live animals in research, that could prevent unintended and unnecessary duplication of research involving animals, and regarding the intent and requirements of the Act.” [USDA training specifications are more detailed than PHS Policy].

<sup>xiv</sup> 2.31(d)(iv)(C) - “Procedures that may cause more than momentary or slight pain or distress to the animals will...not include the use of paralytics without anesthesia.”

<sup>xv</sup> Part 3 Subpart A 3.8 - “...research facilities must develop, document, and follow an appropriate plan to provide dogs with the opportunity for exercise. In addition the plan must be approved by the attending veterinarian. The plan must provide written standard procedures...”

<sup>xvi</sup> Part 3 Subpart D 3.81 - “...research facilities must develop, document, and follow an appropriate plan for environment enhancement adequate to promote the psychological well-being of nonhuman primates.”

<sup>xvii</sup> Part 3 Subpart A 3.6(c)(1) - “Each dog housed in a primary enclosure must be provided with a minimum amount of floor space, calculated as follows:  
(length of dog in inches + 6)<sup>2</sup> / 144 = required floor space in square feet.”

- Part 3 Subpart D 3.80 (b) - “Primary enclosures [for nonhuman primates] must meet the minimum space requirements provided in this subpart.”

- In situations where the USDA regulations and the *Guide* differ with respect to space requirements, the larger of the two must be followed.