

TO: Dr. John Koker  
Provost and Vice Chancellor  
Institutional Official for Research

FROM: Kelly Schill  
Associate Director of Research Compliance  
On Behalf of Institutional Animal Care and Use Committee

DATE: July 22, 2020  
RE: Semi-Annual Report

This report along with the attached minutes of the February 24, 2020, May 14, 2020, and July 9, 2020 meetings represent the semi-annual report of the Institutional Animal Care and Use Committee (IACUC), as required by the *PHS Policy on Humane Care and Use of Laboratory Animals* 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

The IACUC conducted its semiannual evaluation of the institution's animal care and use program at the July 9, 2020 meeting. Prior to the meeting, a subcommittee of IACUC members conducted facilities inspections on July 1, 2020.

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 9 CFR Chapter I, 2.31 (Animal Welfare Act) as a basis for the review. To facilitate the evaluation, the Committee utilized the AAALAC Program Description to review our animal care and use program.

The evaluation included, but was not necessarily limited to, a review of the following involving our Animal Care and Use Program: 1) Disaster Planning and Emergency Preparedness; 2) IACUC; 3) IACUC Protocol Review; 4) IACUC Membership and Functions; 5) IACUC Training; 6) IACUC Records and Reporting Requirements; 7) Veterinary Care; 8) Personnel Qualifications & Training; 9) Occupational Health and Safety of Personnel; 10) Personnel Security; and 11) Investigating & Reporting Animal Welfare Concerns. The Committee evaluated the following details of Veterinary Care: 1) Clinical Care and Management; 2) Animal Procurement and Transportation/Preventive Medicine; 3) Surgery; 4) Pain, Distress, Anesthesia, and Analgesia; 5) Euthanasia; 6) Drug Storage and Control. In addition, the evaluation included a review of the Institution's PHS Assurance and inspection of the

animal facilities and support areas. No member was involuntarily excluded from participating in any portion of the review.

#### IACUC Approved Departures from the NRC Guide or AVMA Guidelines

- 1) The IACUC approved a *Guide* departure for Protocol **000324-07-14-20**. The departure allows the PI to utilize a non-pharmaceutical grade drug. Novel chemicals will be synthesized by collaborating chemists and the purity of all tested compounds will be validated as >95% pure by NMR or HPLC.
- 2) The IACUC approved a *Guide* departure for Protocol **000298-R1-11-05-19**. The departure allows the PI to utilize a non-pharmaceutical grade drug. Mesalazine will be ordered from Sigma-Aldrich in a 99% pure pharmaceutical standard.
- 3) Exceptions to cage changing guidelines for breeding and hibernating squirrels are IACUC approved under SOP#3: Ground Squirrel Care. In addition, food and fluid is withheld for hibernating squirrels and approved under SOP#3.
- 4) Exceptions to cage changing guidelines for breeding meadow voles are IACUC approved under SOP#8: Meadow Vole Care.
- 5) An exception to solid bottom rodent housing was approved for squirrel breeding by the IACUC on February 11, 2019 for Protocol **0026-260-R2-11-29-18** and SOP#3: Ground Squirrel Care.

#### Program Deficiencies

No program deficiencies were identified by the IACUC during the semi-annual program review at the July 9, 2020 meeting. Subcommittees were assigned sections of the AAALAC Program Description to review prior to the meeting. Updates to the program description since the last review were noted at the meeting.

#### Inspection of the Animal Facilities and Support Areas

A subcommittee of IACUC members conducted facilities inspections on July 1, 2020. The subcommittee inspected all of the institution's spaces where animals are housed including [REDACTED] Animal Care Facility (HAC [REDACTED] animal [REDACTED] ity ([REDACTED] and satellite housing in [REDACTED] and [REDACTED]. In addition, any spaces where [REDACTED] are used [REDACTED] grammatic spaces were inspected; i.e., animal holding areas, backup emergency housing, animal care support areas, storage areas, procedure areas, and laboratories where animal manipulations are performed. The Committee used the NRC *Guide* and other pertinent resources, e.g., the *PHS Policy*, 9 CFR Chapter I, 2.31 (Animal Welfare Act), and OLAW Checklist as a basis for the inspection.

No member was involuntarily excluded from participating in any portion of the inspection.

bcommittee visited the following animal program spaces:  
[redacted] Animal Care Facility [redacted] al Care Facility  
[redacted], Satellite Housing [redacted] a [redacted] imal

[redacted] animals, was also inspected by the subcommittee. The "OLAW Semiannual Program Review and Facility Inspection Checklist" was utilized during the subcommittee inspections and provided to the IACUC at the July 9, 2020 meeting. The observations from the subcommittee inspection team were used to guide the full-committee discussion.

### Facility Deficiencies

Listed below are identified deficiencies. As required, the IACUC 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.

Deficiency Category*	Location	Deficiency and Plan for Correction	Responsible Party	Correction Schedule and Interim Status	Date Complete
Minor	[redacted]	<u>Humidity:</u> Noticed the room humidity was a bit high in the animal housing rooms ranging from 70-75%. The rooms had dehumidifiers in them but the buckets were full and needed to be emptied. Husbandry staff were present conducting room checks and cage cleaning and emptied the dehumidifiers while we were finishing our inspections.	[redacted] / care staff	[redacted] will contact facilities to see if they can adjust humidity. [redacted] will remind caretakers to empty dehumidifiers during their checks.	Done. 7/9/20
Minor	[redacted]	<u>Water:</u> Room [redacted] Litter 26 was missing a water bottle. The husbandry staff had just finished changing the cages in the room and needed to conduct their final checks. We notified the care staff and they added a water bottle right away.	[redacted] / care staff	[redacted] will contact caretakers.	Done. 7/9/20



		A couple of cages with larger squirrel litters had water bottles about 1/3 full. Recommend 2 water bottles should go in those larger cages with >5 pups (cages are large and can hold 2 water bottles).			
Minor		<u>Identification:</u> Two cages housing single newly-weaned squirrels were missing cage identification cards (room ). A sticky note with some information was on each cage. PI was present and indicated animals were going to be shipped out soon.	/PI of animals	Discussion to be had between Schill and . Review of best practices and inquiry to USDA on identification requirements for rodents.	Done. 7/16/20 Note: USDA does not have specific requirements for rodent identification.
Minor	Cage wash	<u>Cage Wash:</u> Sign on door stated no clean/dirty side?		Traffic flow for clean and dirty discussed. will remove sign and put back clean/dirty signs.	Done. 7/9/20
Minor	Surgery/ Procedure Room	<u>Expiration Dates:</u> Dermavet ointment to expire 7/2020, eye lubricant to expire 7/2020—replace if needed or dispose of by 7/31/20, some of the mediums in refrigerator expired.	/PI	disposed medium and will dispose of drugs by expiration date.	Done. 7/9/20
Minor	Surgery/ Procedure Room	Sharps container at fill line in surgery room- replace.		will dispose and replace with new container.	Done. 7/9/20
Minor	Dry Storage Room	First Aid Kit would be a little hard to access in room in an emergency due to the room arrangements and racks. Consider placing the first aid kit in a more readily available location.		will rearrange room and move First Aid Kit.	Done. 7/9/20
Minor		Eyewash stations have not been serviced since last IACUC meeting	Biology Professors/Department Chairs	Work order placed for facilities to resume this activity (when staff return from furlough).	Done. 7/9/20
Minor		Temperature not in range (~66F)	Biology Department Chairs	will put in a work order.	Done. 7/9/20
Minor	Cage Wash Room	Expired Nolvasan		will toss.	Done. 7/1/20
Minor		Expired neomycin/triple antibiotic in first aid kit		will toss.	Done. 7/9/20

All deficiencies were deemed minor by the IACUC and at the time of compiling this report, the majority of deficiencies were addressed and compliant with PHS Policy, the *Guide*, and applicable Animal Welfare Regulations. The findings are also documented in the Semi-annual Program Review and Facility

Inspection Report. The [REDACTED] were found to be clean, organized, and overall well maintained.

#### Animal Census

After action taken at the July 9, 2020 meeting, there were 28 active animal research protocols at UW Oshkosh. The current animal census at the time of inspections is reflected in the table below:

Facility	Species	Census
[REDACTED]	thirteen-lined ground squirrels	94 plus 4 unweaned litters
[REDACTED]	gerbils	107
[REDACTED]	thirteen-lined ground squirrels	210 plus 48 unweaned litters

#### Animal Facilities Repairs and Maintenance

1. Steam system failed in [REDACTED]; a new valve was ordered and installed.
2. A new Sensaphone was installed in [REDACTED] which calls out when temperature is out of the range in the *Guide*. The temperature sensors were lowered following the installation of the new unit.
3. Multiple issues were identified with the cage washer in [REDACTED] over the last 6 months. An issue with the sensor on the [REDACTED] cage wash unit was fixed in July 2020. Tubing to chemical barrels was replaced and chemical delivery tested. [REDACTED] blower motor issues and spray header error identified as possible signs of needing to replace [REDACTED] cage washer in the near future.
4. [REDACTED] cage washer was out of order in February 2020. The pneumatic cylinder was replaced, and the cage washer is now up and running.
5. Rodent nosecone and anesthesia equipment purchased and installed for [REDACTED].
6. Researchers, IACUC and Facilities Management have been discussing the growth of the animal program and the possibility of seeking grant funding for future expansion or modification of the existing animal facilities.

#### Animal Care and Use Program Updates

##### Occupational Health and Safety Update: COVID-19 Pandemic

COVID-19 safety precautions are in place for both animal facilities; including designated entry and exits, mask wearing, social distancing, and increased cleaning of common touchpoints in the animal facilities. Research on campus was ramped down to essential research in March due to COVID-19. Researchers,

animal care staff, and the Veterinarian continued to provide care to the animals and all research deemed to be essential continued without any problems. The Animal Disaster/Emergency Response Plan was updated to reflect COVID-19 procedures.

#### Veterinary Care

Attending Veterinarian, Dr. [REDACTED], will be retiring at the end of August 2020. Planning continuity in care is in progress. We are looking into the possibility of sharing a Veterinarian with another UW System school or establishing a service contract with a local Veterinarian.

#### AAALAC Site Visit

Our next AAALAC site visit is scheduled for winter 2021 trimester (January-February-March). Our program description writing and data collection is underway. The program description is due to the AAALAC Office on December 1, 2020.

Should you have any questions concerning the operation of the Institutional Animal Care and Use Committee at any time, please do not hesitate to contact the Committee Chair, Colin Long, (phone: x1217, e-mail: ([longc@uwosh.edu](mailto:longc@uwosh.edu)) or IACUC Administrator, Kelly Schill, (phone: x3375, email: [iacuc@uwosh.edu](mailto:iacuc@uwosh.edu) or [schillk@uwosh.edu](mailto:schillk@uwosh.edu)).

All protocols are available in the OneDrive [IACUC Protocol File](#).

#### **Committee member signatures/minority views:**

**Note:** Due to COVID-19, UWO IACUC followed the OLAW COVID-19 Pandemic Contingency Planning FAQ VIII.19 for signing this report:

OLAW's position is that because some IACUC members may not have access to software that generates digital signatures, an email acknowledgement from the member(s) may serve as their acceptance with the semiannual report. These emails should be retained for the record by the IACUC.

Under normal circumstances, the USDA's position on this issue is that an email with no digital signature, just a signature block, is unacceptable. While digital signatures or scanned signatures are preferred, the USDA has made an exception in light of the current COVID-19 pandemic. The USDA has agreed to accept an email that states "This serves as my signature for the semi-annual report" (or related statement) and it must be clear that the email is from the IACUC member. Please keep in mind that this is a temporary change in the USDA's position to assist institutions during the pandemic.

IACUC members were also given the opportunity to share minority views via email. No minority views were received from IACUC members.



# UWO Semiannual Program Review & Inspection Review Checklist <sup>i</sup>

(Use this form when AAALAC PD is used for Program Review)

**Program Review Basis:** AAALAC Subcommittee Program Review (Complete Part I) completed: July 9, 2020

**Subcommittee Inspections** (Complete Part II-VII) completed: July 1, 2020

**Subcommittee Program Review & Inspection Findings Discussed** (Complete Part VIII.): July 9, 2020

## KEY:

**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

## I. Semiannual Program Review: AAALAC Program Description Review

### Subcommittee #1: Section 2. Part I.A. Program Management- (Schill, [REDACTED])

#### i. Comments/Findings: Updates/comments noted by subcommittee:

1. Update to Veterinarian information if a new vet is appointed,
2. Updates to animal research funding,
3. Update Dean of COLs to Interim [REDACTED],
4. Update to biological safety officer
5. Update [REDACTED] Lab manager to [REDACTED],
6. Update surgical procedures section,
7. Update Euthanasia Guidelines to reference 2020 guidelines,
8. Update Chemical Safety training,
9. Check on date of review for Chemical Hygiene Plan,
10. Update Occupational Health Section and last visit to ACFs to January 2020,
11. Remove mention of mutagens work in the hazardous agents chart

### Subcommittee #2: Section 2. Part I.B. Program Oversight (Long, [REDACTED])

#### i. Comments/Findings: Updates/comments noted by subcommittee:

1. Update the flexibility language for meetings which are held through teleconference.
2. Comment on IACUC defining prolonged physical restraint. Is this in a current SOP or defined in the protocol application?
3. Comment on whether multiple survival surgeries are permitted (response: only with justification and IACUC approval). Suggestion to add to Surgery SOP if it is not in there yet.
4. Food and fluid regulation will need to be updated for current studies.

### Subcommittee #3: Section 2. Part II. Animal Environment, Housing, and Management ([REDACTED])

#### i. Comments/Findings: Updates/comments noted by subcommittee:

1. Updated information on temperature settings for hibernaculum and included the % for recycled air.
2. Section on thermoneutral zone updated.
3. Updates aquatic species section.
4. Updates made to husbandry food types and sources.
5. Date of water testing updated to January 2020.
6. Update to animal transport section (no longer have fleet vehicles).
7. Pest control section updated to include live Sherman traps in animal rooms.



8. Weekend and holiday care section updated to include text notification when animal care checks are completed and process for contacting responsible personnel in case of an emergency.

#### Subcommittee #4: Section 2. Part III. Veterinary Care ( )

##### i. Comments/Findings: Updates/comments noted by subcommittee:

1. Dates updated for serum samples submitted to Charles River and CDC.
2. Addition of phone line in the included.
3. Will need to update veterinary section and emergency care.
4. Updated dates for in-house diagnostic laboratory tests.
5. Section on surgical procedures will need to be updated.
6. Maintenance of anesthetic equipment updated

#### Subcommittee #5: Section 2. Part IV. Physical Plant ( )

##### i. Comments/Findings: Updates/comments noted by subcommittee:

1. Facilities overview updated. Psychology Chair updated to .
2. Updates to structure section.
3. Appendices will need to be updated.

## II. Inspections: Terrestrial Animal Housing and Support Areas Animal Facility:

Date: 7/1/2020

Subcommittee Inspection Team

Location:

; Department Van

Animal Census TLGS: 94 + 4 unweaned litters; Gerbils: 107

	A*	M	S	C	NA
• <b>Location:</b>					
o animal areas separate from personnel areas ( <i>Guide, p 134</i> )	X				
o separation of species ( <i>Guide, p 111</i> )	X				
o separation by disease status ( <i>Guide, p 111</i> )	X				
o security and access control ( <i>Guide, p 151</i> )	X				
• <b>Construction:</b>					
o corridors ( <i>Guide, p 136</i> )	X				
o animal room doors ( <i>Guide, p 137</i> )	X				
o floors ( <i>Guide, p 137</i> )	X				
o drainage ( <i>Guide, p 138</i> )	X				
o walls and ceilings ( <i>Guide, p 138</i> )	X				
o heating ventilation and air conditioning ( <i>Guide, p 139</i> )	X				
o power and lighting ( <i>Guide, p 141</i> )	X				
o noise control ( <i>Guide, p 142</i> )	X				
o vibration control ( <i>Guide, p 142</i> )	X				
o environmental monitoring ( <i>Guide, p 143</i> )	X				
• <b>Room/Cage:</b>					
o temperature and humidity ( <i>Guide, p 43</i> )	X				
o ventilation and air quality ( <i>Guide, p 45</i> )	X				
o illumination ( <i>Guide, p 47</i> )	X				
o noise and vibration ( <i>Guide, p 49</i> )	X				
• <b>Primary Enclosure:</b>					
o space meets physiologic, behavioral <sup>ii</sup> , and social <sup>iii</sup> needs ( <i>Guide, pp 51, 55-63</i> )	X				
o secure environment provided ( <i>Guide, p 51</i> )	X				

o durable, nontoxic materials in good repair and no risk of injury ( <i>Guide, p 51</i> )	X				
o flooring is safe and appropriate for species ( <i>Guide, p 51</i> )	X				
o adequate bedding and structures for resting, sleeping, breeding ( <i>Guide, p 52</i> )	X				
o objective assessments of housing and management are made ( <i>Guide, p 52</i> )	X				
o procedures for routine husbandry are documented ( <i>Guide, p 52</i> )	X				
o socially housed animals can escape or hide to avoid aggression ( <i>Guide, p 55</i> )	X				
o cage height provides adequate clearance ( <i>Guide, p 56</i> )	X				
o animals express natural postures, can turn around, access food and water, and rest away from urine and feces ( <i>Guide, p 56</i> ) [must]	X				
o rationale <sup>iv</sup> for <i>Guide</i> /USDA space exceptions approved by IACUC and based on performance indices ( <i>Guide, p 56</i> )	X				
<b>• Environmental Enrichment, Behavioral and Social Management:</b>					
o structures and resources promote species typical behavior ( <i>Guide, pp 52-54</i> )	X				
o novelty of enrichment is considered ( <i>Guide, p 53</i> )	X				
o species specific plans for housing including enrichment, behavior and activity are developed and reviewed regularly by IACUC, researchers and veterinarian ( <i>Guide, pp 53, 58, 60, 63</i> )	X				
o animal care personnel receive training to identify abnormal animal behaviors ( <i>Guide, p 53</i> )	X				
o stability of pairs or groups is monitored for incompatibility ( <i>Guide, p 64</i> )	X				
o single housing is justified for social species ( <i>Guide, p 64</i> )	X				
o single housing is limited to the minimum period necessary ( <i>Guide, p 64</i> )	X				
o additional enrichment for single housed animals is provided ( <i>Guide, p 64</i> )	X				
o single housing is reviewed regularly by IACUC and veterinarian ( <i>Guide, p 64</i> )	X				
o habituation to routine procedures is part of enrichment program ( <i>Guide, p 64</i> )	X				
<b>• Naturalistic Environments:</b>					
o animals added /removed with consideration of effect on group ( <i>Guide, p 55</i> )	X				
o adequate food, fresh water, and shelter ensured ( <i>Guide, p 55</i> )	X				
<b>• Food:</b>					
o feeding schedule and procedures including caloric intake management ( <i>Guide, pp 65-67</i> )	X				
o contamination prevention ( <i>Guide, p 65</i> )	X				
o vendor quality control ( <i>Guide, p 66</i> )	X				
o storage in sealed containers ( <i>Guide, p 66</i> )	X				
o expiration date labeling ( <i>Guide, p 66</i> )	X				
o vermin control ( <i>Guide, p 66</i> )	X				
o rotation of stocks ( <i>Guide, p 66</i> )	X				
<b>• Water:</b>					
o ad libitum unless justified ( <i>Guide, pp 67-68</i> )	X				
o QC procedures ( <i>Guide, pp 67-68</i> )	X				
<b>• Bedding and Nesting Materials:</b>					
o species appropriate ( <i>Guide, pp 68-69</i> )	X				
o keeps animals dry ( <i>Guide, pp 68-69</i> )	X				
o QC procedures ( <i>Guide, pp 68-69</i> )	X				
o minimizes scientific variables ( <i>Guide, pp 68-69</i> )	X				
<b>• Sanitation:</b>					
o frequency of bedding/substrate change ( <i>Guide, p 70</i> )	X				
o cleaning and disinfection of microenvironment ( <i>Guide, pp 70-71</i> )	X				
o cleaning and disinfection of macroenvironment ( <i>Guide, p 72</i> )	X				
o assessing effectiveness ( <i>Guide, p 73</i> )	X				
<b>• Waste Disposal:</b>					
o procedures for collection ( <i>Guide, pp 73-74</i> )	X				
o procedures for storage and disposal ( <i>Guide, pp 73-74</i> )	X				
o hazardous wastes are rendered safe before removal from facility ( <i>Guide, pp 73-74</i> ) [must]	X				
o animal carcasses ( <i>Guide, pp 73-74</i> )	X				
<b>• Pest Control:</b>					
o regularly scheduled ( <i>Guide, p 74</i> )	X				

o documented program including control of rodent pests and insecticide use ( <i>Guide, p 74</i> )	X				
• <b>Emergency, Weekend, and Holiday Animal Care:</b>					
o care provided by qualified personnel every day ( <i>Guide, p 74</i> )	X				
o provision for accessible contact information ( <i>Guide, p 74</i> )	X				
o monitoring of backup systems ( <i>Guide, p 143</i> )	X				
o veterinary care available after hours, weekends, and holidays ( <i>Guide, pp 74, 114</i> ) [must]	X				
o a disaster plan that takes into account both personnel and animals ( <i>Guide, p 75</i> )	X				
• <b>Identification:</b>					
o cage/rack cards contain required information ( <i>Guide, p 75</i> )	X				
o genotype information included and standardized nomenclature used when applicable ( <i>Guide, p 75</i> )	X				
• <b>Recordkeeping:</b>	X				
o clinical records accessible and contain appropriate information ( <i>Guide, pp 75-76</i> )	X				
o records are provided when animals are transferred between institutions ( <i>Guide, p 75</i> )	X				
• <b>Breeding Genetics and Nomenclature:</b>					
o appropriate genetic records, management and monitoring procedures ( <i>Guide, p 76</i> )	X				
o phenotypes that affect wellbeing are reported to IACUC and effectively managed ( <i>Guide, p 77</i> )	X				
• <b>Storage:</b>					
o adequate space for equipment, supplies, food, bedding and refuse ( <i>Guide, p 141</i> )	X				
o bedding in vermin-free area and protected from contamination( <i>Guide, p 141</i> )	X				
o food in vermin-free, temperature and humidity controlled area and protected from contamination ( <i>Guide, p 141</i> )	x				
o refuse storage is separate ( <i>Guide, p 141</i> )	X				
o carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable ( <i>Guide, p 141</i> )	X				
• <b>Personnel:</b>					
o adequate space for locker rooms, administration and training ( <i>Guide, p 135</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:



### III. Inspections: Terrestrial Animal Housing and Support Areas Animal Facility: [REDACTED]

Date: 7/1/2020

Subcommittee Inspection Team [REDACTED] Kelly Schill, Colin Long

Location: [REDACTED]

Animal Census CACF: TLGS: 210 = 48 unweaned litters

	A*	M	S	C	NA
• <b>Location: See below</b>					
o animal areas separate from personnel areas ( <i>Guide, p 134</i> )	X				
o separation of species ( <i>Guide, p 111</i> )	X				
o separation by disease status ( <i>Guide, p 111</i> )	X				
o security and access control ( <i>Guide, p 151</i> )	X				
• <b>Construction: See below</b>					
o corridors ( <i>Guide, p 136</i> )	X				
o animal room doors ( <i>Guide, p 137</i> )	X				
o floors ( <i>Guide, p 137</i> )	X				
o drainage ( <i>Guide, p 138</i> )	X				
o walls and ceilings ( <i>Guide, p 138</i> )	X				
o heating ventilation and air conditioning ( <i>Guide, p 139</i> )	X				
o power and lighting ( <i>Guide, p 141</i> )	X				
o noise control ( <i>Guide, p 142</i> )	X				
o vibration control ( <i>Guide, p 142</i> )	X				
o environmental monitoring ( <i>Guide, p 143</i> )	X				
• <b>Room/Cage:</b>					
o temperature and humidity ( <i>Guide, p 43</i> )		X			
o ventilation and air quality ( <i>Guide, p 45</i> )	X				
o illumination ( <i>Guide, p 47</i> )	X				
o noise and vibration ( <i>Guide, p 49</i> )	X				
• <b>Primary Enclosure:</b>					
o space meets physiologic, behavioral <sup>v</sup> , and social <sup>vi</sup> needs ( <i>Guide, pp 51, 55-63</i> )	X				
o secure environment provided ( <i>Guide, p 51</i> )	X				
o durable, nontoxic materials in good repair and no risk of injury ( <i>Guide, p 51</i> )	X				
o flooring is safe and appropriate for species ( <i>Guide, p 51</i> )	X				
o adequate bedding and structures for resting, sleeping, breeding ( <i>Guide, p 52</i> )	X				
o objective assessments of housing and management are made ( <i>Guide, p 52</i> )	X				
o procedures for routine husbandry are documented ( <i>Guide, p 52</i> )	X				
o socially housed animals can escape or hide to avoid aggression ( <i>Guide, p 55</i> )	X				
o cage height provides adequate clearance ( <i>Guide, p 56</i> )	X				
o animals express natural postures, can turn around, access food and water, and rest away from urine and feces ( <i>Guide, p 56</i> ) [must]	X				
o rationale <sup>vii</sup> for <i>Guide</i> /USDA space exceptions approved by IACUC and based on performance indices ( <i>Guide, p 56</i> )	X				
• <b>Environmental Enrichment, Behavioral and Social Management:</b>					
o structures and resources promote species typical behavior ( <i>Guide, pp 52-54</i> )	X				
o novelty of enrichment is considered ( <i>Guide, p 53</i> )	X				
o species specific plans for housing including enrichment, behavior and activity are developed and reviewed regularly by IACUC, researchers and veterinarian ( <i>Guide, pp 53, 58, 60, 63</i> )	X				
o animal care personnel receive training to identify abnormal animal behaviors ( <i>Guide, p 53</i> )	X				
o stability of pairs or groups is monitored for incompatibility ( <i>Guide, p 64</i> )	X				
o single housing is justified for social species ( <i>Guide, p 64</i> )	X				
o single housing is limited to the minimum period necessary ( <i>Guide, p 64</i> )	X				
o additional enrichment for single housed animals is provided ( <i>Guide, p 64</i> )	X				
o single housing is reviewed regularly by IACUC and veterinarian ( <i>Guide, p 64</i> )	X				

○ habituation to routine procedures is part of enrichment program ( <a href="#">Guide, p 64</a> )	X				
• <b>Naturalistic Environments:</b>					
○ animals added /removed with consideration of effect on group ( <a href="#">Guide, p 55</a> )	X				
○ adequate food, fresh water, and shelter ensured ( <a href="#">Guide, p 55</a> )	X				
• <b>Food:</b>					
○ feeding schedule and procedures including caloric intake management ( <a href="#">Guide, pp 65-67</a> )	X				
○ contamination prevention ( <a href="#">Guide, p 65</a> )	X				
○ vendor quality control ( <a href="#">Guide, p 66</a> )	X				
○ storage in sealed containers ( <a href="#">Guide, p 66</a> )	X				
○ expiration date labeling ( <a href="#">Guide, p 66</a> )	X				
○ vermin control ( <a href="#">Guide, p 66</a> )	X				
○ rotation of stocks ( <a href="#">Guide, p 66</a> )	x				
• <b>Water:</b>					
○ ad libitum unless justified ( <a href="#">Guide, pp 67-68</a> )		X			
○ QC procedures ( <a href="#">Guide, pp 67-68</a> )	X				
• <b>Bedding and Nesting Materials:</b>					
○ species appropriate ( <a href="#">Guide, pp 68-69</a> )	X				
○ keeps animals dry ( <a href="#">Guide, pp 68-69</a> )	X				
○ QC procedures ( <a href="#">Guide, pp 68-69</a> )	X				
○ minimizes scientific variables ( <a href="#">Guide, pp 68-69</a> )	X				
• <b>Sanitation:</b>					
○ frequency of bedding/substrate change ( <a href="#">Guide, p 70</a> )	X				
○ cleaning and disinfection of microenvironment ( <a href="#">Guide, pp 70-71</a> )	X				
○ cleaning and disinfection of macroenvironment ( <a href="#">Guide, p 72</a> )	X				
○ assessing effectiveness ( <a href="#">Guide, p 73</a> )	X				
• <b>Waste Disposal:</b>					
○ procedures for collection ( <a href="#">Guide, pp 73-74</a> )	x				
○ procedures for storage and disposal ( <a href="#">Guide, pp 73-74</a> )	X				
○ hazardous wastes are rendered safe before removal from facility ( <a href="#">Guide, pp 73-74</a> ) [must]	X				
○ animal carcasses ( <a href="#">Guide, pp 73-74</a> )	x				
• <b>Pest Control:</b>					
○ regularly scheduled ( <a href="#">Guide, p 74</a> )	X				
○ documented program including control of rodent pests and insecticide use ( <a href="#">Guide, p 74</a> )	X				
• <b>Emergency, Weekend, and Holiday Animal Care:</b>					
○ care provided by qualified personnel every day ( <a href="#">Guide, p 74</a> )	X				
○ provision for accessible contact information ( <a href="#">Guide, p 74</a> )	X				
○ monitoring of backup systems ( <a href="#">Guide, p 143</a> )	X				
○ veterinary care available after hours, weekends, and holidays ( <a href="#">Guide, pp 74, 114</a> ) [must]	X				
○ a disaster plan that takes into account both personnel and animals ( <a href="#">Guide, p 75</a> )	X				
• <b>Identification:</b>					
○ cage/rack cards contain required information ( <a href="#">Guide, p 75</a> )		X			
○ genotype information included and standardized nomenclature used when applicable ( <a href="#">Guide, p 75</a> )	x				
• <b>Recordkeeping:</b>					
○ clinical records accessible and contain appropriate information ( <a href="#">Guide, pp 75-76</a> )	X				
○ records are provided when animals are transferred between institutions ( <a href="#">Guide, p 75</a> )	X				
• <b>Breeding Genetics and Nomenclature:</b>					
○ appropriate genetic records, management and monitoring procedures ( <a href="#">Guide, p 76</a> )	x				
○ phenotypes that affect wellbeing are reported to IACUC and effectively managed ( <a href="#">Guide, p 77</a> )	x				

<ul style="list-style-type: none"> <li>• <b>Storage:</b> <ul style="list-style-type: none"> <li>o adequate space for equipment, supplies, food, bedding and refuse (<i>Guide, p 141</i>)</li> <li>o bedding in vermin-free area and protected from contamination(<i>Guide, p 141</i>)</li> <li>o food in vermin-free, temperature and humidity controlled area and protected from contamination (<i>Guide, p 141</i>)</li> <li>o refuse storage is separate (<i>Guide, p 141</i>)</li> <li>o carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (<i>Guide, p 141</i>)</li> </ul> </li> <li>• <b>Personnel:</b> <ul style="list-style-type: none"> <li>o adequate space for locker rooms, administration and training (<i>Guide, p 135</i>)</li> </ul> </li> </ul>	X					
	x					
	X					
	X					
	X					
	X					
	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:

██████

**Humidity:** Noticed the humidity was a bit high in the animal housing rooms 71-75%. The rooms had dehumidifiers in them but the buckets were full and needed to be emptied. Husbandry staff were present conducting room checks and cage cleaning and emptied them during our inspection.

**Water:** Room ██████ Litter 26 was missing a water bottle. The husbandry staff had just finished changing the cages in the room and hadn't finished their final checks. We notified them and they added a water bottle right away.

A couple of cages with larger squirrel litters had water bottles about 1/3 full. Perhaps 2 water bottles should go in those larger cages with >5 pups (cages can hold 2).

**Identification:** Two cages housing single newly weaned squirrels were missing cage identification cards (room ██████). A sticky note with some information was on each cage. PI indicated that they were animals to be shipped out.



#### IV. Inspections: Aquatic Animal Housing and Support Areas <sup>NEW</sup>

**Date: 7/1/2020**

**Location:** N/A no aquatic animals housed at this time

	A*	M	S	C	NA
<ul style="list-style-type: none"> <li><b>Location:</b> <ul style="list-style-type: none"> <li>animal areas separate from personnel areas (<i>Guide, p 134</i>)</li> <li>separation of species (<i>Guide, p 111</i>)</li> <li>separation by disease status (<i>Guide, p 111</i>)</li> <li>security and access control (<i>Guide, p 151</i>)</li> </ul> </li> </ul>					X
<ul style="list-style-type: none"> <li><b>Construction:</b> <ul style="list-style-type: none"> <li>corridors (<i>Guide, p 136</i>)</li> <li>animal room doors (<i>Guide, pp 137, 150</i>)</li> <li>exterior windows (<i>Guide, p 137</i>)</li> <li>floors (<i>Guide, pp 137, 150</i>)</li> <li>drainage (<i>Guide, pp 138, 150</i>)</li> <li>walls and ceilings (<i>Guide, pp 138, 150</i>)</li> <li>heating ventilation and air conditioning (<i>Guide, pp 139, 150-151</i>)</li> <li>power and lighting (<i>Guide, pp 141, 150</i>)</li> <li>noise control (<i>Guide, p 142</i>)</li> <li>vibration control (<i>Guide, p 142</i>)</li> <li>environmental monitoring (<i>Guide, p 143</i>)</li> </ul> </li> </ul>					X
<ul style="list-style-type: none"> <li><b>Water Quality:</b> x <ul style="list-style-type: none"> <li>standards for acceptable quality are established (<i>Guide, p 78</i>)</li> <li>chlorine, chloramines, chemical, and reactive bioproducts are removed or neutralized prior to use in aquatic systems (<i>Guide, pp 78, 86</i>) <b>[must]</b></li> </ul> </li> </ul>					X
<ul style="list-style-type: none"> <li><b>Life Support System:</b> <ul style="list-style-type: none"> <li>water source is based on appropriate controls and research requirements (<i>Guide, p 79</i>)</li> <li>biofilter is of sufficient size to process bioload (<i>Guide, p 80</i>) <b>[must]</b></li> </ul> </li> </ul>					X
<ul style="list-style-type: none"> <li><b>Temperature, Humidity and Ventilation/Illumination/Noise and Vibration:</b> <ul style="list-style-type: none"> <li>temperature and humidity (<i>Guide, pp 43, 80-81</i>)</li> <li>ventilation and air quality (<i>Guide, pp 45, 81</i>)</li> <li>illumination (<i>Guide, pp 47, 81</i>)</li> <li>noise and vibration (<i>Guide, pp 49, 81</i>)</li> </ul> </li> </ul>					X
<ul style="list-style-type: none"> <li><b>Primary Enclosure:</b> <ul style="list-style-type: none"> <li>allows for normal physiological and behavioral needs (<i>Guide, p 82</i>)</li> <li>allows social interaction for social species (<i>Guide, p 82</i>)</li> <li>provides a balanced, stable environment (<i>Guide, p 82</i>)</li> <li>provides appropriate water quality and monitoring (<i>Guide, p 82</i>)</li> <li>allows access to food and waste removal (<i>Guide, p 82</i>)</li> <li>restricts escape and entrapment (<i>Guide, p 82</i>)</li> <li>allows undisturbed observation (<i>Guide, p 82</i>)</li> <li>constructed of nontoxic materials (<i>Guide, p 82</i>)</li> <li>prevents electrical hazards (<i>Guide, p 82</i>)</li> <li>space needs of species are evaluated by IACUC during program evaluations and facility inspections (<i>Guide, p 83</i>)</li> </ul> </li> </ul>					X
<ul style="list-style-type: none"> <li><b>Environmental Enrichment, Social Housing, Behavioral and Social Management:</b> <ul style="list-style-type: none"> <li>enrichment elicits appropriate behaviors and is safe (<i>Guide, p 83</i>)</li> <li>semi-aquatic reptiles are provided terrestrial areas (<i>Guide, p 83</i>)</li> <li>handling is kept to a minimum and appropriate techniques are in place at facility or protocol level (<i>Guide, p 84</i>)</li> <li>nets are cleaned, disinfected and managed to avoid contamination of systems (<i>Guide, p 84</i>)</li> </ul> </li> </ul>					X
<ul style="list-style-type: none"> <li><b>Food:</b> <ul style="list-style-type: none"> <li>storage to prevent contamination, preserve nutrients and prevent pests (<i>Guide, p 84</i>)</li> </ul> </li> </ul>					X

o delivery ensures access to all , minimizing aggression and nutrient loss ( <i>Guide, p 84</i> )					X
o storage times are based on manufacturer recommendations or accepted practice ( <i>Guide, p 84</i> )					X
o a nutritionally complete diet is provided ( <i>Guide, p 84</i> )					X
• <b>Substrate:</b>					
o amount, type and presentation of substrate is appropriate for the system and the species ( <i>Guide, p 85</i> )					X
• <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> )					X
o cleaning and disinfection of macroenvironment ( <i>Guide, p 86</i> )					X
• <b>Waste Disposal:</b>					X
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> ) [must]					X
o animal carcasses ( <i>Guide, pp 73-74</i> )					X
• <b>Pest Control:</b>					
o regularly scheduled ( <i>Guide, p 74</i> )					X
o documented program including control of pests and insecticide use ( <i>Guide, p 74</i> )					X
• <b>Emergency, Weekend, and Holiday Animal Care:</b>					
o care provided by qualified personnel every day ( <i>Guide, pp 74, 87</i> )					X
o provision for accessible contact information ( <i>Guide, pp 74, 87</i> )					X
o emergency response plans in place to address major system failures ( <i>Guide, 87</i> )					X
o veterinary care available after hours, weekends, and holidays ( <i>Guide, pp 74, 114</i> ) [must]					X
• <b>Identification:</b>					
o cage/tank cards contain required information ( <i>Guide, pp 75, 87</i> )					X
o genotype information included and standardized nomenclature used when applicable ( <i>Guide, pp 75, 87</i> )					X
• <b>Recordkeeping:</b>					X
o water quality parameters and frequency of testing recorded ( <i>Guide, p 88</i> )					X
o records kept on feeding, nonexpired food supplies, live cultures ( <i>Guide, p 88</i> )					X
• <b>Storage:</b>					X
o adequate space for equipment, supplies, food, substrate and refuse ( <i>Guide, p 141</i> )					X
o substrate protected from contamination ( <i>Guide, p 141</i> )					X
o food in vermin-free, temperature and humidity controlled area and protected from contamination ( <i>Guide, p 141</i> )					X
o refuse storage is separate ( <i>Guide, p 141</i> )					X
o carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable ( <i>Guide, p 141</i> )					X
• <b>Personnel:</b>					X
o adequate space for locker rooms, administration and training ( <i>Guide, p 135</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:

## V. Inspections: Cage Wash Room

Date: 7/1/2020

Location: [REDACTED]

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

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NA = not applicable

### NOTES:

## Inspections: Cage Wash Room (Part V Continued)



Date: 7/1/2020

Location: [REDACTED]

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

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NA = not applicable

#### NOTES:

##### Cage Wash:

-Sign on door stated no clean/dirty side?

-Facilities staff were troubleshooting cage washer while we were conducting inspection

**Location:** [REDACTED] [REDACTED] [REDACTED] )

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**NA** = not applicable

2019  
Obtained by Rise for Animals.  
Uploaded to Animal Research Laboratory Overview (ARLO) on 02/11/2021

## VII. Inspections of Special Facilities: Procedure Areas, Non-survival Surgeries, Laboratories, Rodent Surgeries, Behavioral Studies

**Date:** 7/1/2020

**Location:** [REDACTED]

	A*	M	S	C	NA
<b>• General Considerations:</b>					
o labs used to house animals only when scientifically required and limited to minimum period necessary ( <i>Guide, p 134</i> )	x				
o drug storage, control, and expiration dates ( <i>Guide, pp 115, 122</i> )	x				
o sharps disposal ( <i>Guide, p 74</i> )	x				
o anesthetic monitoring ( <i>Guide, p 120</i> )					x
o scavenging of anesthetic gases ( <i>Guide, p 21</i> )					x
o safety features (e.g., SOPs, safety signs, eyewash stations, secure gas cylinders) are in place ( <i>Guide, p 19</i> )	x				
o carcass disposal ( <i>Guide, pp 73-74</i> )					x
<b>• Additional Concerns for Survival Surgery:</b> (rodent and minor procedures only)- All surgery conducted in Surgery Room 19 G					
o rodent survival surgery clean and uncluttered, not used for anything else during surgery ( <i>Guide, p 144</i> )					x
o records of peri-operative care ( <i>Guide, p 120</i> )					x
o aseptic procedures ( <i>Guide, pp 118-119</i> )					x
o autoclave monitoring procedures ( <i>Guide, pp 119, 145</i> )					x
o storage of autoclaved materials ( <i>Guide, p 145</i> )					x
o cold sterilization procedures are appropriate ( <i>Guide, p 119</i> )					x
<b>• Behavioral Studies:</b> <span style="background-color: yellow;">NEW</span>					
o facility minimizes airborne transmission of noise and ground-borne transmission of vibration ( <i>Guide, p 149</i> )					x
o floor coverings reduce sound transmission ( <i>Guide, p 149</i> )					x
o testing equipment allows for surface disinfection ( <i>Guide, p 150</i> )					x
o components that cannot be cleaned are not in ready contact with animals and kept covered when not in use ( <i>Guide, p 150</i> )					x
o housing areas are contiguous with testing areas when appropriate ( <i>Guide, p 150</i> )					x

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**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:



# **Inspections of Special Facilities: Procedure Areas, Non-survival Surgeries, Laboratories, Rodent Surgeries, Behavioral Studies (Continued)**

**Date:** 7/1/2020

**Location:** [REDACTED]

	A*	M	S	C	NA
<b>• General Considerations:</b>					
o labs used to house animals only when scientifically required and limited to minimum period necessary ( <i>Guide</i> , <a href="#">p 134</a> )					X
o drug storage, control, and expiration dates ( <i>Guide</i> , <a href="#">pp 115, 122</a> )		X			
o sharps disposal ( <i>Guide</i> , <a href="#">p 74</a> )		X			
o safety features (e.g., SOPs, safety signs, eyewash stations, secure gas cylinders) are in place ( <i>Guide</i> , <a href="#">p 19</a> )	X				
o carcass disposal ( <i>Guide</i> , <a href="#">pp 73-74</a> )	X				
<b>• Behavioral Studies:</b> <span style="background-color: yellow;">NEW</span>					
o facility minimizes airborne transmission of noise and ground-borne transmission of vibration ( <i>Guide</i> , <a href="#">p 149</a> )					X
o floor coverings reduce sound transmission ( <i>Guide</i> , <a href="#">p 149</a> )					X
o testing equipment allows for surface disinfection ( <i>Guide</i> , <a href="#">p 150</a> )					X
o components that cannot be cleaned are not in ready contact with animals and kept covered when not in use ( <i>Guide</i> , <a href="#">p 150</a> )					X
o housing areas are contiguous with testing areas when appropriate ( <i>Guide</i> , <a href="#">p 150</a> )					x

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**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:**

**Expiration Dates: Dermavet ointment to expire 7/2020, eye lubricant to expire 7/2020—replace if needed or dispose of by 7/31/20, some of the mediums in refrigerator expired (unsure if they are used in animals?)**

**Sharps container at fill line in surgery room- replace.**

**First Aid Kit a bit hard to access in [REDACTED]. Consider placing it in a more readily available location.**

## Part VIII. Semiannual Program Review and Facility Inspection Report Findings

Meeting Date: **Insert Date**

Members in Attendance: **Insert IACUC Members**

Subcommittee Rooms/Areas Inspected: **[REDACTED]**

**Department Van; [REDACTED]**

Program Review Basis: **AAALAC Program Review**

Deficiency Category*	✓	Location	Deficiency and Plan for Correction	Responsible Party	Correction Schedule and Interim Status	Date Complete
Minor		[REDACTED]	<u>Humidity</u> : Noticed the room humidity was a bit high in the animal housing rooms ranging from 70-75%. The rooms had dehumidifiers in them but the buckets were full and needed to be emptied. Husbandry staff were present conducting room checks and cage cleaning and emptied them while we were finishing our inspections.	[REDACTED] / carestaff	[REDACTED] will contact facilities to see if they can adjust humidity. [REDACTED] will remind caretakers	Done. July 9 <sup>th</sup> .
Minor		[REDACTED]	<u>Water</u> : Room [REDACTED] Litter 26 was missing a water bottle. The husbandry staff had just finished changing the cages in the room. We notified the carestaff and they added a water bottle right away.  A couple of cages with larger squirrel litters had water bottles about 1/3 full. Recommend 2 water bottles should go in those larger cages with >5 pups (cages are large and can hold 2 water bottles).	[REDACTED] / carestaff	[REDACTED] will contact caretakers.	Done. July 9 <sup>th</sup> .
Minor		[REDACTED]	<u>Identification</u> : Two cages housing single newly-weaned squirrels were missing cage identification cards (room [REDACTED]). A sticky note with some information was on each cage. PI was present and indicated that animals were going to be shipped out soon.	[REDACTED] / PI of animals	Discussion to be had between Kelly, [REDACTED], and [REDACTED]. Identification	Done 7/16/20. USDA does not have
Minor		[REDACTED] Cagewash	<u>CACF Cage Wash</u> : -Sign on door stated no clean/dirty side?	[REDACTED]	[REDACTED] will remove sign and put back	Done. July 9 <sup>th</sup> .
Minor		[REDACTED] Surgery/ Procedure Room	<u>Expiration Dates</u> : Dermavet ointment to expire 7/2020, eye lubricant to expire 7/2020—replace if needed or dispose of by 7/31/20, some of the mediums in refrigerator expired (unsure if they are used in animals?)	[REDACTED] / PI	[REDACTED] will toss medium	Done. July 9 <sup>th</sup> .

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**NA** = not applicable

✓ Check if repeat deficiency

## Part VIII. Semiannual Program Review and Facility Inspection Report Findings (Continued)

Deficiency Category*	✓	Location	Deficiency and Plan for Correction	Responsible Party	Correction Schedule and Interim Status	Date Complete
Minor		█████ Surgery/ Procedure Room	Sharps container at fill line in surgery room- replace.	█████	█████ will dispose of.	Done. 7/9/2020
Minor		█████ Dry Storage Room	First Aid Kit would be a little hard to access in room █████ in an emergency due to the room arrangements and racks. Consider placing the first aid kit in a more readily available location.	█████	█████ will rearrange room and move First Aid Kit.	Done. 7/9/2020
Minor		█████	Eyewash stations have not been serviced since last IACUC meeting	Biology Professors/Department Chairs	IACUC will remind professors to do this and/or put in a WO to have it done by Custodial.	Done. 7/9/2020
Minor		█████	Temperature not in range (~66F)	Biology Department Chairs/Sara Hagedorn	█████ will put in a work order.	Done. 7/9/2020
Minor		█████ Cage Wash Room	Expired Nolvasan	█████	█████ will toss.	Done 7.1.2020

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NA = not applicable

✓ Check if repeat deficiency



## Part VIII. Semiannual Program Review and Facility Inspection Report (Continued)

Date:

Members in Attendance:

Deficiency Category*	✓	Location	Deficiency and Plan for Correction	Responsible Party	Correction Schedule and Interim Status	Date Complete
Minor			Expired neomycin/triple antibiotic in first aid kit		will toss.	Done 7.1.2020

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**NA** = not applicable

✓ Check if repeat deficiency

# 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: [olawdpe@mail.nih.gov](mailto:olawdpe@mail.nih.gov).

### III. 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 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>iii</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>iv</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.

<sup>v</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>vi</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."

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