

MEMORANDUM

TO: James Dias
Vice President for Research

FROM: [REDACTED] on behalf of
Institutional Animal Care and Use Committee (IACUC)

RE: Fall 2020 IACUC Semi-Annual Report

This report constitutes the semiannual evaluation of the University at Albany's laboratory animal care and use program by the Institutional Animal Care and Use Committee.

The Institutional Animal Care and use Committee (IACUC) conducted its Semi-Annual Facilities Inspection and Program Review for the University's animal care and use program as summarized below.

SUMMARY

As reported in the IACUC Spring 2020 report to the Institutional Official, the IACUC was unable to complete the spring semi-annual facilities inspections that were due for completion in April 2020. Due to the onset of the global COVID-19 pandemic, the University at Albany requested and was granted a temporary waiver, by OLAW, of this requirement. Pursuant to the waiver, the University was instructed to have its IACUC complete the inspections as soon as practicable. The delayed inspections were conducted on the following dates:

Semi-Animal Facility Inspection – MC	08/06/2020
Semi-Animal Facility Inspection -- HSC	08/04/2020

Resuming the regular schedule of inspections and program review, the university's fall facility inspections and program review were conducted by a sub-committee of the IACUC as follows:

Semi-Animal Facility Inspection – MC	10/07/2020
Semi-Animal Facility Inspection -- HSC	10/08/2020
Semi-Annual Program Review	10/09/2020

During the Fall IACUC program review, the Committee did not identify any significant deficiencies with respect to the UA animal program. Minor findings from Spring Semi-Annual Review due for correction by October, 2020 are still in progress. Delays were result of shift to remote/electronic operations and workload issues due to university's COVID-19 response. Corrections will be substantially, if not fully, completed during extended campus winter intercession. Projected completion - March 2021

With regard to the semi-annual program review of the University's animal care and use program, overall, the Committee found the program to be in a compliance.

**IACUC Semi-annual
Facility Inspection Report
August 2020**

- **Main Campus 08/06/2020**
- **Health Science Campus 08/04/2020**

MAIN CAMPUS FACILITIES INSPECTION

Date: August 06, 2020

- * **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

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

• Sheltered or Outdoor Housing: (e.g., barns, corrals, pastures, islands)						
o	weather protection and opportunity for retreat (<i>Guide, p 54</i>) [must]	X				
o	appropriate size (<i>Guide, p 54</i>)	X				
o	ventilation and sanitation of shelter (no waste/moisture build-up) (<i>Guide, p 54</i>)	X				
o	animal acclimation (<i>Guide, p 55</i>)	X				
o	social compatibility (<i>Guide, p 55</i>)	X				
o	roundup/restraint procedures (<i>Guide, p 55</i>)	X				
o	appropriate security (<i>Guide, p 55</i>)	X				
• Naturalistic Environments:						
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				
• Food:						
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				
• Water:						
o	ad libitum unless justified (<i>Guide, pp 67-68</i>)	X				
o	QC procedures (<i>Guide, pp 67-68</i>)	X				
• Bedding and Nesting Materials:						
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				
• Sanitation:						
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				
• Waste Disposal:						
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				
• Pest Control:						
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				
• Emergency, Weekend, and Holiday Animal Care:						
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				
• Identification:						
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				
• Recordkeeping:						
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				

• Breeding Genetics and Nomenclature:					
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				
• Storage:					
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				
• Personnel:					
o adequate space for locker rooms, administration and training (<i>Guide, p 135</i>)	X				

Cage wash

	A*	M	S	C	NA
• Construction and Operation:					
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				

Special Facilities:

	A*	M	S	C	NA
• General Considerations:					
o location minimizes traffic/contamination (<i>Guide, p 144</i>)	X				
o functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (<i>Guide, p 144</i>)	X				
o appropriate drug storage, control, expiration date monitoring (<i>Guide, pp 115, 122</i>)	X				
o safe sharps disposal system (<i>Guide, p 74</i>)	X				
o adequate records of anesthesia and perioperative care (<i>Guide, p 122</i>)	X				
o aseptic procedures in use for all survival surgery (<i>Guide, pp 118-119</i>)	X				
• Operating Room:					
o effective contamination control procedures (<i>Guide, p 144</i>)	X				
o effective cleaning procedures/dedicated tools (<i>Guide, p 145</i>)	X				
o interior surfaces smooth and impervious to moisture (<i>Guide, p 145</i>)	X				

o HVAC system meets <i>Guide</i> requirements (<i>Guide, p 145</i>)	X				
o lighting safe and appropriate (<i>Guide, p 145</i>)	X				
o outlets safe and appropriate (<i>Guide, p 145</i>)	X				
o scavenging of anesthetic gases implemented (<i>Guide, p 145</i>)	X				
• Surgical Support:					
o facility for washing, sterilizing, storing instruments and supplies (<i>Guide, p 145</i>)	X				
o autoclave monitoring procedures are implemented (<i>Guide, pp 119, 145</i>)	X				
o storage of autoclaved materials maintains sterility (<i>Guide, p 145</i>)	X				
o cold sterilization procedures are appropriate (<i>Guide, p 119</i>)	X				
• Animal Preparation: contains large sink to facilitate cleaning of animal and operative site (<i>Guide, p 145</i>)	X				
• Surgeon Scrub: outside operating room, non-hand-operated sink (<i>Guide, p 145</i>)	X				
• Postoperative Recovery: allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (<i>Guide, p 145</i>)	X				
• Dressing Area: place for personnel to change (<i>Guide, p 145</i>)	X				

Special Facilities:

	A*	M	S	C	NA
• General Considerations:					
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				
• Additional Concerns for Survival Surgery: (rodent and minor procedures only)					
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				
• Imaging/Whole Body Irradiation:					
o location of resource limits contamination risk (<i>Guide, p 147</i>)	X				
o appropriate transportation methods are in place (<i>Guide, p 147</i>)	X				
o gas anesthesia provision, scavenging and monitoring are appropriate (<i>Guide, p 147</i>)	X				
o appropriate sensors and ventilation are provided for cryogen gases (<i>Guide, p 147</i>) [must]	X				
o imaging console is located away from radiation source (<i>Guide, p 147</i>)	X				
• Hazardous Agent Containment:					
o facility adheres to APHIS, USDA and CDC Select Agent Regulations and other federal, state and local regulations including security measures (<i>Guide, p 148</i>) [must]	X				
• Behavioral Studies:					
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				

• Pest Control:					
	A*	M	S	C	NA
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				
• Emergency, Weekend, and Holiday Animal Care:					
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				
• Identification:					
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				
• Recordkeeping:					
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				
• Breeding Genetics and Nomenclature:					
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				
Storage:					
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				
Personnel:					
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:

- 1- Signage in facility and in rooms should reflect updated information and contact information. Some room doors still have names of former staff, investigators. LAR and ORRC should work together to develop information and harmonize this information with what is provided in IACUC and LAR guidance and IACUC and LAR webpages.**

HEALTH SCIENCES CAMPUS FACILITIES INSPECTION

Date: August 04, 2020

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

• Sheltered or Outdoor Housing: (e.g., barns, corrals, pastures, islands)						
o	weather protection and opportunity for retreat (<i>Guide, p 54</i>) [must]	X				
o	appropriate size (<i>Guide, p 54</i>)	X				
o	ventilation and sanitation of shelter (no waste/moisture build-up) (<i>Guide, p 54</i>)	X				
o	animal acclimation (<i>Guide, p 55</i>)	X				
o	social compatibility (<i>Guide, p 55</i>)	X				
o	roundup/restraint procedures (<i>Guide, p 55</i>)	X				
o	appropriate security (<i>Guide, p 55</i>)	X				
• Naturalistic Environments:						
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				
• Food:						
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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				
• Water:						
o	ad libitum unless justified (<i>Guide, pp 67-68</i>)	X				
o	QC procedures (<i>Guide, pp 67-68</i>)	X				
• Bedding and Nesting Materials:						
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				
• Sanitation:						
o	frequency of bedding/substrate change (<i>Guide, p 70</i>)	X				
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• Pest Control:						
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• Emergency, Weekend, and Holiday Animal Care:						
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				
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o	clinical records accessible and contain appropriate information (<i>Guide, pp 75-76</i>)	X				
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• Breeding Genetics and Nomenclature:					
o appropriate genetic records, management and monitoring procedures (<i>Guide, p 76</i>)	X				
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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				
• Personnel:					
o adequate space for locker rooms, administration and training (<i>Guide, p 135</i>)	X				

Cage wash

	A*	M	S	C	NA
• Construction and Operation:					
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				
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Special Facilities:

	A*	M	S	C	NA
• General Considerations:					
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o functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (<i>Guide, p 144</i>)	X				
o appropriate drug storage, control, expiration date monitoring (<i>Guide, pp 115, 122</i>)	X				
o safe sharps disposal system (<i>Guide, p 74</i>)	X				
o adequate records of anesthesia and perioperative care (<i>Guide, p 122</i>)	X				
o aseptic procedures in use for all survival surgery (<i>Guide, pp 118-119</i>)	X				
• Operating Room:					
o effective contamination control procedures (<i>Guide, p 144</i>)	X				
o effective cleaning procedures/dedicated tools (<i>Guide, p 145</i>)	X				
o interior surfaces smooth and impervious to moisture (<i>Guide, p 145</i>)	X				

o HVAC system meets <i>Guide</i> requirements (<i>Guide, p 145</i>)	X				
o lighting safe and appropriate (<i>Guide, p 145</i>)	X				
o outlets safe and appropriate (<i>Guide, p 145</i>)	X				
o scavenging of anesthetic gases implemented (<i>Guide, p 145</i>)	X				
• Surgical Support:					
o facility for washing, sterilizing, storing instruments and supplies (<i>Guide, p 145</i>)	X				
o autoclave monitoring procedures are implemented (<i>Guide, pp 119, 145</i>)	X				
o storage of autoclaved materials maintains sterility (<i>Guide, p 145</i>)	X				
o cold sterilization procedures are appropriate (<i>Guide, p 119</i>)	X				
• Animal Preparation: contains large sink to facilitate cleaning of animal and operative site (<i>Guide, p 145</i>)	X				
• Surgeon Scrub: outside operating room, non-hand-operated sink (<i>Guide, p 145</i>)	X				
• Postoperative Recovery: allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (<i>Guide, p 145</i>)	X				
• Dressing Area: place for personnel to change (<i>Guide, p 145</i>)	X				

Special Facilities:

	A*	M	S	C	NA
• General Considerations:					
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				
• Additional Concerns for Survival Surgery: (rodent and minor procedures only)					
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				
• Imaging/Whole Body Irradiation:					
o location of resource limits contamination risk (<i>Guide, p 147</i>)	X				
o appropriate transportation methods are in place (<i>Guide, p 147</i>)	X				
o gas anesthesia provision, scavenging and monitoring are appropriate (<i>Guide, p 147</i>)	X				
o appropriate sensors and ventilation are provided for cryogen gases (<i>Guide, p 147</i>) [must]	X				
o imaging console is located away from radiation source (<i>Guide, p 147</i>)	X				
• Hazardous Agent Containment:					
o facility adheres to APHIS, USDA and CDC Select Agent Regulations and other federal, state and local regulations including security measures (<i>Guide, p 148</i>) [must]	X				
• Behavioral Studies:					
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				

• Pest Control:					
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				
• Emergency, Weekend, and Holiday Animal Care:					
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				
• Identification:					
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				
• Recordkeeping:					
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				
• Breeding Genetics and Nomenclature:					
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				
Storage:					
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				
Personnel:					
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:

1- Rat cages on holding protocol have been in this status for an extended period of time. This should be resolved. [REDACTED] must submit a new protocol or IACUC will need to determine resolution. [REDACTED] should be notified immediately.

2- Signage in facility and in rooms should reflect updated information and contact information. Some room doors still have names of former staff, investigators. LAR and ORRC should work together to develop information and harmonize this information with what is provided in IACUC and LAR guidance and IACUC and LAR webpages.

**IACUC Semi-annual
Facility Inspection Report
October 2020**

- **Main Campus 10/07/2020**
- **Health Science Campus 10/08/2020**

MAIN CAMPUS FACILITIES INSPECTION

Date: October 07, 2020

- * **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

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

• Sheltered or Outdoor Housing: (e.g., barns, corrals, pastures, islands)						
o	weather protection and opportunity for retreat (<i>Guide, p 54</i>) [must]	X				
o	appropriate size (<i>Guide, p 54</i>)	X				
o	ventilation and sanitation of shelter (no waste/moisture build-up) (<i>Guide, p 54</i>)	X				
o	animal acclimation (<i>Guide, p 55</i>)	X				
o	social compatibility (<i>Guide, p 55</i>)	X				
o	roundup/restraint procedures (<i>Guide, p 55</i>)	X				
o	appropriate security (<i>Guide, p 55</i>)	X				
• Naturalistic Environments:						
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				
• Food:						
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				
• Water:						
o	ad libitum unless justified (<i>Guide, pp 67-68</i>)	X				
o	QC procedures (<i>Guide, pp 67-68</i>)	X				
• Bedding and Nesting Materials:						
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				
• Sanitation:						
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				
• Waste Disposal:						
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				
• Pest Control:						
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				
• Emergency, Weekend, and Holiday Animal Care:						
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				
• Identification:						
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				
• Recordkeeping:						
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				

• Breeding Genetics and Nomenclature:					
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				
• Storage:					
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				
• Personnel:					
o adequate space for locker rooms, administration and training (<i>Guide, p 135</i>)	X				

Cage wash

	A*	M	S	C	NA
• Construction and Operation:					
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				

Special Facilities:

	A*	M	S	C	NA
• General Considerations:					
o location minimizes traffic/contamination (<i>Guide, p 144</i>)	X				
o functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (<i>Guide, p 144</i>)	X				
o appropriate drug storage, control, expiration date monitoring (<i>Guide, pp 115, 122</i>)	X				
o safe sharps disposal system (<i>Guide, p 74</i>)	X				
o adequate records of anesthesia and perioperative care (<i>Guide, p 122</i>)	X				
o aseptic procedures in use for all survival surgery (<i>Guide, pp 118-119</i>)	X				
• Operating Room:					
o effective contamination control procedures (<i>Guide, p 144</i>)	X				
o effective cleaning procedures/dedicated tools (<i>Guide, p 145</i>)	X				
o interior surfaces smooth and impervious to moisture (<i>Guide, p 145</i>)	X				

o HVAC system meets <i>Guide</i> requirements (<i>Guide, p 145</i>)	X				
o lighting safe and appropriate (<i>Guide, p 145</i>)	X				
o outlets safe and appropriate (<i>Guide, p 145</i>)	X				
o scavenging of anesthetic gases implemented (<i>Guide, p 145</i>)	X				
• Surgical Support:					
o facility for washing, sterilizing, storing instruments and supplies (<i>Guide, p 145</i>)	X				
o autoclave monitoring procedures are implemented (<i>Guide, pp 119, 145</i>)	X				
o storage of autoclaved materials maintains sterility (<i>Guide, p 145</i>)	X				
o cold sterilization procedures are appropriate (<i>Guide, p 119</i>)	X				
• Animal Preparation: contains large sink to facilitate cleaning of animal and operative site (<i>Guide, p 145</i>)	X				
• Surgeon Scrub: outside operating room, non-hand-operated sink (<i>Guide, p 145</i>)	X				
• Postoperative Recovery: allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (<i>Guide, p 145</i>)	X				
• Dressing Area: place for personnel to change (<i>Guide, p 145</i>)	X				

Special Facilities:

	A*	M	S	C	NA
• General Considerations:					
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				
• Additional Concerns for Survival Surgery: (rodent and minor procedures only)					
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				
• Imaging/Whole Body Irradiation:					
o location of resource limits contamination risk (<i>Guide, p 147</i>)	X				
o appropriate transportation methods are in place (<i>Guide, p 147</i>)	X				
o gas anesthesia provision, scavenging and monitoring are appropriate (<i>Guide, p 147</i>)	X				
o appropriate sensors and ventilation are provided for cryogen gases (<i>Guide, p 147</i>) [must]	X				
o imaging console is located away from radiation source (<i>Guide, p 147</i>)	X				
• Hazardous Agent Containment:					
o facility adheres to APHIS, USDA and CDC Select Agent Regulations and other federal, state and local regulations including security measures (<i>Guide, p 148</i>) [must]	X				
• Behavioral Studies:					
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				

• Pest Control:					
	A*	M	S	C	NA
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				
• Emergency, Weekend, and Holiday Animal Care:					
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				
• Identification:					
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				
• Recordkeeping:					
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				
• Breeding Genetics and Nomenclature:					
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				
Storage:					
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				
Personnel:					
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:

- 1- Signage in facility and in rooms should reflect updated information and contact information. Some room doors still have names of former staff, investigators. LAR and ORRC should work together to develop information and harmonize this information with what is provided in IACUC and LAR guidance and IACUC and LAR webpages.**

HEALTH SCIENCES CAMPUS FACILITIES INSPECTION

Date: October 08,2020

- * **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

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

• Sheltered or Outdoor Housing: (e.g., barns, corrals, pastures, islands)						
o	weather protection and opportunity for retreat (<i>Guide, p 54</i>) [must]	X				
o	appropriate size (<i>Guide, p 54</i>)	X				
o	ventilation and sanitation of shelter (no waste/moisture build-up) (<i>Guide, p 54</i>)	X				
o	animal acclimation (<i>Guide, p 55</i>)	X				
o	social compatibility (<i>Guide, p 55</i>)	X				
o	roundup/restraint procedures (<i>Guide, p 55</i>)	X				
o	appropriate security (<i>Guide, p 55</i>)	X				
• Naturalistic Environments:						
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				
• Food:						
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				
• Water:						
o	ad libitum unless justified (<i>Guide, pp 67-68</i>)	X				
o	QC procedures (<i>Guide, pp 67-68</i>)	X				
• Bedding and Nesting Materials:						
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				
• Sanitation:						
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				
• Waste Disposal:						
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				
• Pest Control:						
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				
• Emergency, Weekend, and Holiday Animal Care:						
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				
• Identification:						
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				
• Recordkeeping:						
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				

• Breeding Genetics and Nomenclature:					
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				
• Storage:					
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				
• Personnel:					
o adequate space for locker rooms, administration and training (<i>Guide, p 135</i>)	X				

Cage wash

	A*	M	S	C	NA
• Construction and Operation:					
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				

Special Facilities:

	A*	M	S	C	NA
• General Considerations:					
o location minimizes traffic/contamination (<i>Guide, p 144</i>)	X				
o functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (<i>Guide, p 144</i>)	X				
o appropriate drug storage, control, expiration date monitoring (<i>Guide, pp 115, 122</i>)	X				
o safe sharps disposal system (<i>Guide, p 74</i>)	X				
o adequate records of anesthesia and perioperative care (<i>Guide, p 122</i>)	X				
o aseptic procedures in use for all survival surgery (<i>Guide, pp 118-119</i>)	X				
• Operating Room:					
o effective contamination control procedures (<i>Guide, p 144</i>)	X				
o effective cleaning procedures/dedicated tools (<i>Guide, p 145</i>)	X				
o interior surfaces smooth and impervious to moisture (<i>Guide, p 145</i>)	X				

o HVAC system meets <i>Guide</i> requirements (<i>Guide, p 145</i>)	X				
o lighting safe and appropriate (<i>Guide, p 145</i>)	X				
o outlets safe and appropriate (<i>Guide, p 145</i>)	X				
o scavenging of anesthetic gases implemented (<i>Guide, p 145</i>)	X				
• Surgical Support:					
o facility for washing, sterilizing, storing instruments and supplies (<i>Guide, p 145</i>)	X				
o autoclave monitoring procedures are implemented (<i>Guide, pp 119, 145</i>)	X				
o storage of autoclaved materials maintains sterility (<i>Guide, p 145</i>)	X				
o cold sterilization procedures are appropriate (<i>Guide, p 119</i>)	X				
• Animal Preparation: contains large sink to facilitate cleaning of animal and operative site (<i>Guide, p 145</i>)	X				
• Surgeon Scrub: outside operating room, non-hand-operated sink (<i>Guide, p 145</i>)	X				
• Postoperative Recovery: allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (<i>Guide, p 145</i>)	X				
• Dressing Area: place for personnel to change (<i>Guide, p 145</i>)	X				

Special Facilities:

	A*	M	S	C	NA
• General Considerations:					
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				
• Additional Concerns for Survival Surgery: (rodent and minor procedures only)					
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				
• Imaging/Whole Body Irradiation:					
o location of resource limits contamination risk (<i>Guide, p 147</i>)	X				
o appropriate transportation methods are in place (<i>Guide, p 147</i>)	X				
o gas anesthesia provision, scavenging and monitoring are appropriate (<i>Guide, p 147</i>)	X				
o appropriate sensors and ventilation are provided for cryogen gases (<i>Guide, p 147</i>) [must]	X				
o imaging console is located away from radiation source (<i>Guide, p 147</i>)	X				
• Hazardous Agent Containment:					
o facility adheres to APHIS, USDA and CDC Select Agent Regulations and other federal, state and local regulations including security measures (<i>Guide, p 148</i>) [must]	X				
• Behavioral Studies:					
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				

• Pest Control:					
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				
• Emergency, Weekend, and Holiday Animal Care:					
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				
• Identification:					
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				
• Recordkeeping:					
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				
• Breeding Genetics and Nomenclature:					
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				
Storage:					
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				
Personnel:					
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:

- 1- Signage in facility and in rooms should reflect updated information and contact information. Some room doors still have names of former staff, investigators. LAR and ORRC should work together to develop information and harmonize this information with what is provided in IACUC and LAR guidance and IACUC and LAR webpages.**

IACUC SEMIANNUAL PROGRAM REVIEW CHECKLIST

Semiannual Program Review Checklist

The Semiannual Program Review Checklist is provided to assist institutions in conducting their semiannual reviews of programs 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 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

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.

The checklist consists of the following sections:

- I. Semiannual Program Review Checklist
 - Institutional Policies and Responsibilities
 - Veterinary Care
- II. Endnotes

Review each applicable item using the criteria listed in each section below. For each item, indicate one of the following choices:

- A** Acceptable
- M** Minor deficiency
- S** Significant deficiency (is or may be a threat to animal health or safety),
- C** Suggestion For Improvement
- NA** Not Applicable

Fall 2020 IACUC Semi-Annual Program Review via Zoom meeting
Date: 10/09/2020
Time: 12:00pm- 01:00pm

Semiannual Program Review Checklist Institutional Policies and Responsibilities

1. Animal Care and Use Program	A*	M	S	C	NA
• Responsibility for animal well-being is assumed by all members of the program (<i>Guide, p 1</i>) [must]	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>) [must]	X				
• Sufficient resources are available to manage the program, including training of personnel in accord with regulations and the <i>Guide</i> (<i>Guide, pp 11, 15</i>)	X				
• Program needs are regularly communicated to IO by AV and/or IACUC (<i>Guide, p 13</i>)	X				
• 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>) [must]	X				
• Inter-institutional collaborations are described in formal written agreements (<i>Guide, p 15</i>)	X				
• Written agreements address responsibilities, animal ownership, and IACUC oversight (<i>Guide, p 15</i>)	X				
2. IACUC	A*	M	S	C	NA
• Meets as necessary to fulfill responsibilities (<i>Guide, p 25</i>) [must]	X				
• IACUC Members named in protocols or with conflicts recuse themselves from protocol decisions (<i>Guide, p 26</i>) [must]	X				
• Continuing IACUC oversight after initial protocol approval is in place (<i>Guide, p 33</i>)	X				
• IACUC evaluates the effectiveness of training programs (<i>Guide, p 15</i>)	X				
3. IACUC Training	A*	M	S	C	NA
• All IACUC members should receive:					
o Formal orientation to institution's program (<i>Guide, p 17</i>)		X			
o Training on legislation, regulations, guidelines, and policies (<i>Guide, p 17</i>)		X			
o Training on how to inspect facilities and labs where animal use or housing occurs (<i>Guide, p 17</i>)		X			
o Training on how to review protocols as well as evaluate the program (<i>Guide, p 17</i>)		X			
o Ongoing training/education (<i>Guide, p 17</i>)		X			
4. IACUC Membership and Functions	A*	M	S	C	NA
• IACUC is comprised of at least 5 members, appointed by CEO (PHS Policy, <i>IV.A.3.</i>)	X				
• Members include a veterinarian, a scientist, a nonscientist, and a nonaffiliated non-lab animal user (<i>Guide, p 24</i>)i	X				
• IACUC authority and resources for oversight and evaluation of institution's program are provided (<i>Guide, p 14</i>)	X				
• IACUC conducts semiannual evaluations of institutional animal care and use program (PHS Policy, <i>IV.B.</i>)	X				
• Conducts semiannual inspections of institutional animal facilities (PHS Policy, <i>IV.B.</i>)	X				
• IACUC organizationally reports to the Institutional Official (PHS Policy, <i>IV.A.1.b.</i>)	X				
• Methods for reporting and investigating animal welfare concerns are in place (<i>Guide, p 23</i>) [must]	X				
• Reviews and investigates concerns about animal care and use at institutionii (PHS Policy, <i>IV.B.</i>)	X				
• Procedures are in place for review, approval, and suspension of animal activitiesiii (PHS Policy, <i>IV.B.</i>)	X				
• Procedures are in place for review and approval of significant changes to approved activities (PHS Policy, <i>IV.B.</i>)	X				
• Policies are in place for special procedures (e.g., genetically modified animals, restraint, multiple survival surgery, food and fluid regulation, field investigations, agricultural animals) (<i>Guide, p 27-32</i>)	X				
• Requests for exemptions from major survival surgical procedure restrictions are made to USDA/APHISiv (<i>Guide, p 30</i>) [must]	X				

5. 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>)	X				
• For pilot studies, a system to communicate with the IACUC is in place (<i>Guide, p 28</i>)	X				
• For genetically modified animals, enhanced monitoring and reporting is in place (<i>Guide, p 28</i>)	X				
• Restraint devices are justified in the animal use protocols (<i>Guide, p 29</i>) [must]	X				
• Alternatives to physical restraint are considered (<i>Guide, p 29</i>)	X				
• Period of restraint is the minimum to meet scientific objectives (<i>Guide, p 29</i>)	X				
• Training of animals to adapt to restraint is provided (<i>Guide, p 29</i>)	X				
• Animals that fail to adapt are removed from study (<i>Guide, p 29</i>)	X				
• Appropriate observation intervals of restrained animals are provided (<i>Guide, p 29</i>)	X				
• Veterinary care is provided if lesions or illness result from restraint (<i>Guide, p 30</i>) [must]	X				
• Explanations of purpose and duration of restraint are provided to study personnel (<i>Guide, p 30</i>)	X				
• Multiple surgical procedures on a single animal are justified and outcomes evaluated (<i>Guide, p 30</i>)	X				
• Major versus minor surgical procedures are evaluated on a case-by-case basis (<i>Guide, p 30</i>)	X				
• Multiple survival procedure justifications in non-regulated species conform to regulated species standards (<i>Guide, p 30</i>)	X				
• Animals on food/fluid restriction are monitored to ensure nutritional needs are met (<i>Guide, p 31</i>)	X				
• Body weights for food/fluid restricted animals are recorded at least weekly (<i>Guide, p 31</i>)	X				
• Daily written records are maintained for food/fluid restricted animals (<i>Guide, p 31</i>)	X				
• Pharmaceutical grade chemicals are used , when available, for animal-related procedures (<i>Guide, p 31</i>)	X				
• Non-pharmaceutical grade chemicals are described, justified, and approved by IACUC (<i>Guide, p 31</i>)	X				
• Investigators conducting field studies know zoonotic diseases, safety issues, laws and regulations applicable in study area (<i>Guide, p 32</i>)	X				
• Disposition plans are considered for species removed from the wild (<i>Guide, p 32</i>)	X				
• Toe-clipping only used when no alternative, performed aseptically and with pain relief (<i>Guide, p 75</i>)	X				
6. Disaster Planning and Emergency Preparedness	A*	M	S	C	NA
• Disaster plans for each facility to include satellite locations are in place (<i>Guide, p 35, p 75</i>) [must]	X				
• Plans include provisions for euthanasia (<i>Guide, p 35</i>) [must]	X				
• Plans include triage plans to meet institutional and investigators' needs (<i>Guide, p 35</i>)	X				
• Plans define actions to prevent animal injury or death due to HVAC or other failures (<i>Guide, p 35</i>)	X				
• Plans describe preservation of critical or irreplaceable animals (<i>Guide, p 35</i>)	X				
• Plans include essential personnel and their training (<i>Guide, p 35</i>)	X				
• Animal facility plans are approved by the institution and incorporated into overall response plan (<i>Guide, p 35</i>)	X				
• Law enforcement and emergency personnel are provided a copy and integration with overall plan is in place (<i>Guide, p 35</i>)	X				

7. IACUC Records and Reporting Requirements ^v	A*	M	S	C	NA
• Semiannual report to the IO (PHS Policy, IV.B.)					
○ Submitted to IO every 6 months	X				
○ Compiles program review and facility inspection(s) results (includes all program and facility deficiencies)	X				
○ Includes minority IACUC views	X				
○ Describes IACUC-approved departures from the <i>Guide</i> or PHS Policy and the reasons for each departure ^{vi}	X				
○ Distinguishes significant from minor deficiencies	X				
○ Includes a plan and schedule for correction for each deficiency identified ^{vii}	X				
• Reports to OLAW (PHS Policy, IV.F.)					
○ Annual report to OLAW documents program changes, dates of the semiannual program reviews and facility inspections and includes any minority views	X				
○ Promptly advises OLAW of serious/ongoing <i>Guide</i> deviations or PHS Policy noncompliance (NOT-OD-05-034)	X				
○ Institute must promptly advise OLAW of any suspension of an animal activity by the IACUC (NOT-OD-05-034)	X				
• Reports to U.S. Department of Agriculture (USDA) or Federal funding agency ^{viii}					
○ Annual report to USDA contains required information including all exceptions/exemptions	X				
○ Reporting mechanism to USDA is in place for IACUC-approved exceptions to the regulations and standards	X				
○ Reports are filed within 15 days for failures to adhere to timetable for correction of significant deficiencies	X				
○ Promptly reports suspensions of activities by the IACUC to USDA and any Federal funding agency	X				
• Records (PHS Policy, IV.E.)					
○ IACUC meeting minutes and semiannual reports to the IO are maintained for 3 years	X				
○ Records of IACUC reviews of animal activities include all required information ^{ix}	X				
○ Records of IACUC reviews are maintained for 3 years after the completion of the study	X				

8. 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: [must]					
○ Veterinary/other professional staff (<i>Guide</i> , p 15-16)		X			
○ IACUC members (<i>Guide</i> , p 17)		X			
○ Animal care personnel (<i>Guide</i> , p 16)		X			
○ Research investigators, instructors, technicians, trainees, and students (<i>Guide</i> , pp 16-17)		X			
• Continuing education for program and research staff provided to ensure high quality care and reinforce training (<i>Guide</i> , pp 16-17)		X			
• Training is available prior to starting animal activity (<i>Guide</i> , p 17)		X			
• Training is documented (<i>Guide</i> , p 15)		X			
• Training program content includes: (<i>Guide</i> , p 17)					
○ Methods for reporting concerns (<i>Guide</i> , p 17)		X			
○ Humane practices of animal care (e.g., housing, husbandry, handling) ^x		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) ^{xi}		X			
○ Research/testing methods that minimize numbers necessary to obtain valid results (PHS Policy, IV.A.1.g.)		X			
○ Research/testing methods that minimize animal pain or distress (PHS Policy, IV.A.1.g.)		X			
○ Use of hazardous agents, including access to OSHA chemical hazard notices where applicable (<i>Guide</i> , p 20)		X			
○ Animal care and use legislation (<i>Guide</i> , p 17)		X			
○ IACUC function (<i>Guide</i> , p 17)		X			
○ Ethics of animal use and Three R's (<i>Guide</i> , p 17)		X			

Obtained by Rise for Animals

9. 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, p 17</i>) [must]		X				
• Program covers all personnel who work in laboratory animal facilities (<i>Guide, p 18</i>)		X				
• Changing, washing, and showering facilities are available as appropriate (<i>Guide, p 19</i>)		X				
• Hazardous facilities are separated from other areas and identified as limited access (<i>Guide, p 19</i>)		X				
• Personnel training is provided based on risk (e.g., zoonoses, hazards, personal hygiene, special precautions, animal allergies) (<i>Guide, p 20</i>)		X				
• Personal hygiene procedures are in place (e.g., work clothing, eating/drinking/smoking policies) (<i>Guide, p 20</i>)		X				
• Procedures for use, storage, and disposal of hazardous biologic, chemical, and physical agents are in place (<i>Guide, p 21</i>)		X				
• Personal Protective Equipment for the work area is appropriate and available (<i>Guide, p 21</i>)		X				
• Program for medical evaluation and preventative medicine for personnel includes:						
o Pre-employment evaluation including health history (<i>Guide, p 22</i>)		X				
o Immunizations as appropriate (e.g., rabies, tetanus) and tests as appropriate (<i>Guide, p 22</i>)		X				
o Zoonosis surveillance as appropriate (e.g., Q-fever, tularemia, Hantavirus, plague) (<i>Guide, p 23</i>)		X				
o Procedures for reporting and treating injuries, including accidents, bites, allergies, etc. (<i>Guide, p 23</i>)		X				
o Promotes early diagnosis of allergies including preexisting conditions (<i>Guide, p 22</i>)		X				
o Considers confidentiality and other legal factors as required by federal, state and local regulations (<i>Guide, p 22</i>) [must]		X				
o If serum samples are collected, the purpose is consistent with federal and state laws (<i>Guide, p 22</i>) [must]		X				
• Waste anesthetic gases are scavenged (<i>Guide, p 21</i>)		X				
• Hearing protection is provided in high noise areas (<i>Guide, p 22</i>)		X				
• Respiratory protection is available when performing airborne particulate work (<i>Guide, p 22</i>)		X				
• 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, p 23</i>)						X
o Training and implementation of procedures for bites, scratches, or injuries associated with macaques (<i>Guide, p 23</i>)						X
o PPE is provided including gloves, arm protection, face masks, face shields, or goggles (<i>Guide, p 21</i>)						X
o Injuries associated with macaques are carefully evaluated and treatment implemented (<i>Guide, p 23</i>)						X
• Occupational safety and health of field studies is reviewed by OSH committee or office (<i>Guide, p 32</i>)			X			
10. Personnel Security		A*	M	S	C	NA
• Preventive measures in place include pre-employment screening, and physical and IT security (<i>Guide, p 23</i>)		X				
11. Investigating & Reporting Animal Welfare Concerns		A*	M	S	C	NA
• Methods for investigating and reporting animal welfare concerns are established (<i>Guide, p 23</i>) [must]		X				
• Reported concerns and corrective actions are documented (<i>Guide, p 24</i>)		X				
• Mechanisms for reporting concerns are posted in facility and at applicable website with instructions (<i>Guide, p 24</i>)		X				
o Includes multiple contacts (<i>Guide, p 24</i>)		X				
o Includes anonymity, whistle blower policy, nondiscrimination and reprisal protection (<i>Guide, p 24</i>)		X				

Veterinary Care

1. Clinical Care and Management

	A*	M	S	C	NA
• Veterinary program offers high quality of care and ethical standards (<i>Guide, p 105</i>) [must]	X				
• Veterinarian provides guidance to all personnel to ensure appropriate husbandry, handling, treatment, anesthesia, analgesia, and euthanasia (<i>Guide, p 106</i>)	X				
• Veterinarian provides oversight to surgery and perioperative care (<i>Guide, p 106</i>)	X				
• Veterinary care program is appropriate for program requirements (<i>Guide, pp 113-114</i>)	X				
• Veterinarian(s) is familiar with species and use of animals and has access to medical and experimental treatment records (<i>Guide, p 114</i>)	X				
• Procedures to triage and prioritize incident reports are in place (<i>Guide, p 114</i>)	X				
• Procedures are in place to address <ul style="list-style-type: none"> ○ Problems with experiments to determine course of treatment in consultation with investigator (<i>Guide, p 114</i>) ○ Recurrent or significant health problems with the IACUC and documentation of treatments and outcomes (<i>Guide, p 114</i>) ○ Veterinary review and oversight of medical and animal use records (<i>Guide, p 115</i>) 	X				
• Procedures established for timely reporting of animal injury, illness, or disease (<i>Guide, p 114</i>) [must]	X				
• Procedures established for veterinary assessment, treatment, or euthanasia (<i>Guide, p 114</i>) [must]	X				
• Veterinarian is authorized to treat, relieve pain, and/or euthanize (<i>Guide, p 114</i>) [must]	X				
• An arrangement for veterinarian(s) with training or experience in lab animal medicine is in place including backup veterinary care	X				
• Veterinary access to all animals is provided (<i>Guide, p 14</i>) [must]	X				
• Direct or delegated authority is given to the veterinarian to oversee all aspects of animal care and use (<i>Guide, p 14</i>) [must]	X				
• Veterinarian provides consultation when pain and distress exceeds anticipated level in protocol (<i>Guide, p 5</i>) [must]	X				
• Veterinarian provides consultation when interventional control is not possible (<i>Guide, p 5</i>) [must]	X				
• If part time /consulting veterinarian, visits meet programmatic needs (<i>Guide, p 14</i>)	X				
• Regular communication occurs between veterinarian and IACUC (<i>Guide, p 14</i>)	X				
• Veterinarian(s) have experience and training in species used (<i>Guide, p 15</i>) [must]	X				
• Veterinarian(s) have experience in facility administration/management (<i>Guide, p 15</i>)	X				

2. Drug Storage and Control

	A*	M	S	C	NA
• Program complies with federal regulations for human and veterinary drugs (<i>Guide, p 115</i>) [must]	X				
• Drug records and storage procedures are reviewed during facility inspections (<i>Guide, p 115</i>)	X				
• Procedures are in place to ensure analgesics and anesthetics are used within expiration date (<i>Guide, p 122</i>) [must]	X				
• Anesthetics and analgesics are acquired, stored, and their use and disposal are recorded legally and safely (<i>Guide, p 122</i>)	X				

3. Pain, Distress, Anesthesia and Analgesia

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

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

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

6. Euthanasia	A*	M	S	C	NA
• Methods are consistent with AVMA Guidelines on Euthanasia unless approved by the IACUC (<i>Guide, p 123</i>)	X				
• Standardized methods are developed and approved by the veterinarian and IACUC that avoid distress and consider animal age and species (<i>Guide, pp 123-124</i>)	X				
• Training is provided on appropriate methods for each species and considers psychological stress to personnel (<i>Guide, p 124</i>)	X				
• Procedures and training are in place to ensure death is confirmed (<i>Guide, p 124</i>) [must]	X				

Deficiency Category* <input checked="" type="checkbox"/>	Deficiency and Plan for Correction	Responsible Party	Correction Schedule and Interim Status	Date Complete
Minor	The IACUC does not have clear procedures/process for evaluation of the effectiveness of trainings programs for animal users. In addition to the currently used online training programs (CITI, AALAS), the ORRC/IACUC should create a mechanism to evaluate training programs.	IACUC/ORRC	These findings are from Spring Semi-Annual Review. Corrections were scheduled for October completion.	
Minor	Office of Regulatory and Research Compliance (ORRC) will provide updated list of personnel trainings including CIT/AALAS training certificate date, the facility training document, and surgery/hand on training records to ensure all animal users, staff, IACUC members are up to date of required trainings.	IACUC/ORRC	Items are in progress but not completed as of date of this review. Delays were result of altered remote/electronic operations and workload issues due to university's COVID-19 response.	
Minor	Current program is lacking adequate coordination with the University Office of Environmental Health & Safety office (EH&S). The ORRC and IACUC will work with EH&S to update current procedures.	IACUC/ORRC	Items will be substantially, if not fully, complete during extended campus winter intercession. Projected completion - March 2021	

I. Endnotes

ⁱ 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]

ⁱⁱ 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]

ⁱⁱⁱ 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]

^{iv} 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]

^v 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]

^{vi} 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]

^{vii} 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*]

^{viii} 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]

^{ix} 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...”

^x 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.”

^{xi} 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].

^{xii} 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]

^{xiii} 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.”