

## VIII. Membership of the IACUC

[illegible]

\* This information is mandatory.

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

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

\*\*\*\* PHS Policy Membership Requirements:

<i>Veterinarian</i>	veterinarian with training or experience in laboratory animal science and medicine or in the use of the species at the institution, who has direct or delegated program authority and responsibility for activities involving animals at the institution.
<i>Scientist</i>	practicing scientist experienced in research involving animals.
<i>Nonscientist</i>	member whose primary concerns are in a nonscientific area (e.g., ethicist, lawyer, member of the clergy).
<i>Nonaffiliated</i>	individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution. This member is expected to represent general community interests in the proper care and use of animals and should not be a laboratory animal user. A consulting veterinarian may not be considered nonaffiliated.

*[Note: all members must be appointed by the CEO (or individual with specific written delegation to appoint members) and must be voting members. Non-voting members and alternate members must be so identified.]*

## X. Facility and Species Inventory

Date: 10-3-17			
Name of Institution: California Polytechnic State University, San Luis Obispo			
Assurance Number: A3517-01			
Laboratory, Unit, or Building*	Gross Square Feet [include service areas]	Species Housed [use common names, e.g., mouse, rat, rhesus, baboon, zebrafish, African clawed frog]	Approximate Average Daily Inventory
(b) (4)	1446	Mouse, rat	400, 8
	1520	Leopard tortoise	18
	293	Pacific Treefrog (2) Fire-bellied toad (1) Western toad (1) Bullfrog (5) California newt (3) Arboreal salamander (1) Ensatina salamander (1) Slender salamander (3) Southern alligator lizard (2) Western fence lizard (5) Desert spiny lizard (1) Western banded gecko (1) Chuckwalla (1) Crested gecko (2) Musk turtle (1) Red-eared slider (2) Box turtle (2) Gopher snake (4) California kingsnake (3) Ringneck snake (1) Garter snake (2)	Approx. average daily inventory beside each species
	110	Pupfish	400

\*Institutions may identify animal areas (buildings/rooms) by a number or symbol in this submission to OLAW. However, the name and location must be provided to OLAW upon request.

# SEMIANNUAL PROGRAM REVIEW CHECKLIST

## Institutional Policies and Responsibilities

DATE: 12/12/2016

\*A M S

### 1. IACUC Membership and Functions

- institution provides training and resources to assist IACUC members in understanding and evaluating issues brought before the committee	X		
- at least 5 members, appointed by CEO	X		
- members include veterinarian, scientist, non-scientist, and non-affiliated non-lab animal user	X		
- responsible for oversight and evaluation of institution's program	X		
- reports to Institutional Official (IO)	X		
- conducts semiannual evaluations of institutional animal care and use program	X		
- conducts semiannual inspections of institutional animal facilities	X		
- reviews and investigates concerns about animal care and use at institution	X		
- procedures for review, approval and suspension of animal activities	X		
- procedures for review & approval of significant changes to approved activities	X		
- policies for special procedures (e.g. restraint, multiple survival surgery, fluid restriction)	X		

### 2. IACUC Records and Reporting Requirements

#### Reports to Institutional Official (IO)

- reports of semiannual program reviews & facility inspections are submitted to IO	X		
- include minority IACUC views	X		
- describe departures from <i>Guide</i> or PHS Policy and reasons for departure	X		
- distinguish significant from minor deficiencies	X		
- include plan and schedule for correction of each deficiency identified	X		

#### Reports to Office of Laboratory Animal Welfare (OLAW)

- reports include any minority IACUC views	X		
- annual report to OLAW documents program changes & dates of IACUC semiannual review	X		
- promptly advises OLAW of serious/ongoing <i>Guide</i> deviations or <i>PHS Policy</i> noncompliance	X		
- promptly advises OLAW of any suspension of activity by the IACUC	X		

#### Reports to United States Department of Agriculture (USDA) <sup>1</sup>Not currently reviewed by USDA

- annual report contains required information			
- reporting mechanism in place for IACUC-approved exceptions to the regulations and standards			
- reports within 15 days failure to adhere to timetable for correction of deficiencies			
- reports suspension of activity by the IACUC to USDA and any Federal funding agency			

#### Records

- minutes of IACUC meetings and semiannual reports maintained for 3 years	X		
- IACUC review documentation maintained for 3 years after end of study	X		
- IACUC review of activities involving animals includes all required information	X		

### 3. Veterinary Care (See also next section - Veterinary Medical Care)

- institutional arrangement for veterinarian with training or experience in lab animal medicine	X		
- veterinary access to all animals	X		
- provision for backup veterinary care	X		
- must provide guidance on handling, immobilization, sedation, analgesia, anesthesia, euthanasia	X		
- must provide guidance/oversight on surgery programs and oversight of postsurgical care	X		
- veterinary authority to oversee all aspects of animal care and use	X		

\*A = acceptable; M = minor deficiency; S = significant deficiency (is or may be a threat to animal health or safety)

# SEMIANNUAL PROGRAM REVIEW CHECKLIST

## Institutional Policies and Responsibilities (cont.)

DATE: 12/12/2016

\*A M S

### 4. Personnel Qualifications and Training

- institution has established and implemented an effective training program	X		
- includes professional/management/supervisory personnel	X		
- includes animal care personnel	X		
- includes research investigators, instructors, technicians, trainees, students	X		
Training program content			
- humane practices of animal care (e.g., housing, husbandry, handling)	X		
- humane practices of animal use (e.g., research procedures, use of anesthesia, pre- and post-operative care)	X		
- research/testing methods that minimize numbers necessary to obtain valid results	X		
- research/testing methods that minimize animal pain or distress	X		
- use of hazardous agents, including access to OSHA chemical hazard notices where applicable	X		

### 5. Occupational Health and Safety of Personnel

Institutional program for a safe and healthy workplace			
- program is established and implemented	X		
- covers <i>all</i> personnel who work in laboratory animal facilities	X		
- based on hazard identification and risk assessment	X		
- personnel training (e.g., zoonoses, hazards, pregnancy/illness/immunosuppression precautions)	X		
- personal hygiene procedures (e.g., work clothing, eating/drinking/smoking policies)	X		
- procedures for use, storage and disposal of hazardous biologic, chemical and physical agents	X		
- specific procedures for personnel protection (e.g., shower/change facilities, injury prevention)	X		
Program for medical evaluation and preventive medicine for personnel			
- pre-employment evaluation including health history	X		
- immunizations as appropriate (e.g., rabies, tetanus) and tests	X		
- zoonosis surveillance as appropriate (e.g., Q-fever, tularemia, Hantavirus, plague)	X		
- procedures for reporting and treating injuries, including bites etc.	X		
Special precautions for personnel who work with primates <i>Not applicable—no non-human primates</i>			
- tuberculosis screening includes all exposed personnel			
- training and implementation of procedures for bites and scratches			
- education regarding <i>Cercopithecine herpesvirus 1</i> (Herpes B)			

Notes: <sup>1</sup>USDA inspections were halted due to lack of covered species/activities according to USDA

\*A = acceptable; M = minor deficiency; S = significant deficiency (is or may be a threat to animal health or safety)



# SEMIANNUAL PROGRAM REVIEW CHECKLIST

## Veterinary Medical Care

DATE: 12/12/2016

\*A M S

1. Preventive Medicine / Animal Procurement and Transportation			
- evaluation of animal vendors	X		
- procedures for lawful animal procurement, evaluation of animals and transport	X		
- procedures for quarantine, stabilization	X		
- policies on separation by species, source, health status	X		
- policies for isolation of sick animals	X		
- program of surveillance, diagnosis, treatment and control of disease	X		
- availability of diagnostic resources for preventive health program	X		
- provision for emergency, weekend and holiday veterinary care	X		
2. Surgery			
- procedures for monitoring surgical anesthesia and analgesia	X		
- pre-surgical plan (e.g., identify space, supplies, conduct pre-op exam, define post-op care )	X		
- appropriate training or experience of personnel in surgery and anesthesia	X		
- major procedures distinguished from minor	X		
- use of effective aseptic procedures for survival surgery	X		
- implemented procedures for use of surgical facility	X		
- implemented procedures for using/scavenging volatile anesthetics	X		
- effective procedures for sterilizing instruments & monitoring expiration dates on sterile packs	X		
- documentation of post-operative monitoring and care	X		
3. Pain, Distress, Analgesia and Anesthesia			
- guidelines for assessment and categorization of pain	X		
- IACUC guidelines for avoiding unnecessary pain and distress	X		
- appropriate anesthetics, analgesics, tranquilizers used for each species	X		
- special precautions for the use of paralytics	X		
- veterinary input in the choice of drugs	X		
4. Euthanasia			
- compliance with current AVMA Panel on Euthanasia unless approved by the IACUC	X		
- guidance provided on appropriate methods for each species	X		
- training available for personnel in humane methods of euthanasia	X		
5. Drug Storage and Control			
- safe, secure, storage arrangement	X		
- record keeping meets regulations	X		
- procedures exist for ensuring drugs are within expiration date	X		
Notes:			

\*A = acceptable; M = minor deficiency; S = significant deficiency (is or may be a threat to animal health or safety)

# SEMIANNUAL FACILITY INSPECTION CHECKLIST

## Animal Housing and Support Areas

### *BIO Reptile Vivarium*

**DATE: 12/12/2016**

**Construction:** corridors, doors, windows, floors, drainage, walls, ceilings, HVAC, power, lighting, noise

**Room/Cage:** temperature, humidity, ventilation, illumination, noise control

**Case/Run:** sanitation, cleaning tools, food/water access, security, safety, allows undisturbed observation, size, rationale for *Guide*/USDA exceptions, meets physiologic, behavioral, social needs

**Behavioral Management:** environmental enrichment, social grouping, animal activity

**Food:** feeding schedule and procedures, contamination, vendor quality control, storage in sealed containers, expiration date labeling, vermin control

**Water:** ad libitum unless justified, QC procedures

**Bedding:** species appropriate, keeps animals dry, QC procedures, minimizes scientific variables

**Sanitation:** frequency of bedding change (note *Guide* exceptions), cleaning, disinfection, monitoring

**Waste Disposal:** procedures for collection, storage and disposal; hazardous waste; animal carcasses

**Pest Control:** regularly scheduled, documented program including control of rodent pests and insecticide use

**Emergency, Weekend and Holiday Animal Care:** provision for accessible contact information, monitoring of backup systems, veterinary care, a disaster plan that takes into account both personnel and animals

**Animal Identification and Records:** cage/rack cards contain required information, clinical records accessible and appropriate

**Storage:** food and bedding, supplies, drugs and biologics, waste material, hazardous material, carcasses

**Personnel:** locker rooms, administration and training

[illegible]

\***A** = acceptable; **M** = minor deficiency; **S** = significant deficiency (is or may be a threat to animal health or safety)

# SEMIANNUAL FACILITY INSPECTION CHECKLIST

## Animal Housing and Support Areas

### *ASCI Tortoise Colony*

**DATE: 12/12/2016**

**Location:** animal areas separate from personnel areas, separation of species, separation by disease status

**Construction:** corridors, doors, windows, floors, drainage, walls, ceilings, HVAC, power, lighting, noise

**Room/Cage:** temperature, humidity, ventilation, illumination, noise control

**Cage/Run:** sanitation, cleaning tools, food/water access, security, safety, allows undisturbed observation, size, meets physiologic, behavioral, social needs, protection from weather

**Behavioral Management:** environmental enrichment, social grouping, animal activity

**Food:** feeding schedule and procedures, contamination, vendor quality control, storage in sealed containers, expiration date labeling, vermin control

**Water:** ad libitum unless justified, QC procedures

**Bedding:** species appropriate, keeps animals dry, QC procedures, minimizes scientific variables

**Sanitation:** frequency of bedding change (note *Guide* exceptions), cleaning, disinfection, monitoring

**Waste Disposal:** procedures for collection, storage and disposal; hazardous waste; animal carcasses

**Pest Control:** regularly scheduled, documented program including control of rodent pests and insecticide use

**Emergency, Weekend and Holiday Animal Care:** provision for accessible contact information, monitoring of backup systems, veterinary care, a disaster plan that takes into account both personnel and animals

**Animal Identification and Records:** cage/rack cards contain required information, clinical records accessible and appropriate

**Storage:** food and bedding, supplies, drugs and biologics, waste material, hazardous material, carcasses

**Personnel:** locker rooms, administration and training

**Specialized space:** receiving, quarantine, isolation, necropsy, radiography, diet preparation

[illegible]

\***A** = acceptable; **M** = minor deficiency; **S** = significant deficiency (is or may be a threat to animal health or safety)



# SEMIANNUAL FACILITY INSPECTION CHECKLIST

## Animal Housing and Support Areas

### Rodent Colony

DATE: 12/12/2016

**Location:** animal areas separate from personnel areas, separation of species, separation by disease status  
**Construction:** corridors, doors, windows, floors, drainage, walls, ceilings, HVAC, power, lighting, noise  
**Room/Cage:** temperature, humidity, ventilation, illumination, noise control  
**Cage/Run:** sanitation, cleaning tools, food/water access, security, safety, allows undisturbed observation, size, meets physiologic, behavioral, social needs  
**Behavioral Management:** environmental enrichment, social grouping, animal activity  
**Food:** feeding schedule and procedures, contamination, vendor quality control, storage in sealed containers, expiration date labeling, vermin control  
**Water:** ad libitum unless justified, QC procedures  
**Bedding:** species appropriate, keeps animals dry, QC procedures, minimizes scientific variables  
**Sanitation:** frequency of bedding change (note *Guide* exceptions), cleaning, disinfection, monitoring  
**Waste Disposal:** procedures for collection, storage and disposal; hazardous waste; animal carcasses  
**Pest Control:** regularly scheduled, documented program including control of rodent pests and insecticide use  
**Emergency, Weekend and Holiday Animal Care:** provision for accessible contact information, monitoring of backup systems, veterinary care, a disaster plan that takes into account both personnel and animals  
**Animal Identification and Records:** cage/rack cards contain required information, clinical records accessible and appropriate  
**Genetics and Nomenclature:** appropriate genetic records and monitoring procedures, use of standardized nomenclature  
**Storage:** food and bedding, supplies, drugs and biologics, waste material, hazardous material, carcasses  
**Personnel:** locker rooms, administration and training  
**Specialized space:** receiving, quarantine, isolation, necropsy, radiography, diet preparation

LOCATION	*A	M	S	NOTES
(b) (4)				Colony/vivarium operating procedures clearly posted (lying on the front table)
				All contact numbers easily findable and posted multiple times
				Disaster plan posted
				Foot mats in good order
				Drug logs in locked box (confirmed by Padon S.)

\*A = acceptable; M = minor deficiency; S = significant deficiency (is or may be a threat to animal health or safety)

# SEMIANNUAL FACILITY INSPECTION CHECKLIST

## Procedure Areas, Non-Survival Surgeries, Laboratories, Rodent Surgeries

### *BIO Rodent Surgery Room*

DATE: 12/12/2016

**General Concerns:**

- drug storage, control and expiration dates
- sharps disposal
- anesthetic monitoring
- gas cylinders immobilized
- scavenging of anesthetic gases
- warning signs
- carcass disposal

**Additional Concerns for Survival Surgery (rodent or minor procedures only):**

- rodent survival surgery clean and uncluttered, not used for anything else during surgery
- records of perioperative care
- aseptic procedures
- autoclave monitoring procedures
- storage of autoclaved materials
- cold sterilization procedures are appropriate

LOCATION	*A	M	S	NOTES
				Not inspected-investigator (b) (6) hasn't used the room since last inspection

\* **A** = acceptable; **M** = minor deficiency; **S** = significant deficiency (is or may be a threat to animal health or safety)

**DATE: 12/12/2016**

- drug storage, control and expiration dates
- sharps disposal
- anesthetic monitoring
- gas cylinders immobilized
- scavenging of anesthetic gases
- warning signs
- carcass disposal

- rodent survival surgery clean and uncluttered, not used for anything else during surgery
- records of perioperative care
- aseptic procedures
- autoclave monitoring procedures
- storage of autoclaved materials
- cold sterilization procedures are appropriate

[illegible]

8



**SEMIANNUAL FACILITY INSPECTION CHECKLIST**  
**Procedure Areas, Non-Survival Surgeries, Laboratories, Rodent Surgeries**  
***BMED Rodent Surgery Classroom***

**DATE: 12/12/2016**

### General Concerns:

- drug storage, control and expiration dates
- sharps disposal
- anesthetic monitoring
- gas cylinders immobilized
- scavenging of anesthetic gases
- warning signs
- carcass disposal

**Additional Concerns for Survival Surgery (rodent or minor procedures only):**

- rodent survival surgery clean and uncluttered, not used for anything else during surgery
- records of perioperative care
- aseptic procedures
- autoclave monitoring procedures
- storage of autoclaved materials
- cold sterilization procedures are appropriate

[illegible]

\* **A** = acceptable; **M** = minor deficiency; **S** = significant deficiency (is or may be a threat to animal health or safety)

**Animal Housing and Support Areas**  
***BIO Aquatic Housing and Support Areas***

**Construction:** corridors, doors, windows, floors, ceilings, drainage, walls, HVAC, power, lighting, noise

**Room/Cage/Tank:** temperature, humidity, ventilation, illumination, noise control

**Life Support System:** water source is based on appropriate controls and research requirements

**Water Quality:** established acceptable quality standards, chlorine, chloramines, chemical, reactive bioproducts neutralized prior to use in aquatic system

**Behavioral Management:** environmental enrichment, social grouping, animal activity

**Food:** feeding schedule and procedures, contamination, vendor quality control, storage in sealed containers, expiration date labeling, vermin control

**Primary Enclosure:** normal physiological and behavioral needs, allows social interaction for social species, balanced stable environment, provides appropriate water quality and monitoring, restricts escape and allows undisturbed observation, nontoxic materials, prevents electrical hazards

**Sanitation:** frequency of tank/cage change (note *Guide* exceptions), cleaning, disinfection, monitoring, detergents, quality

**Waste Disposal:** procedures for collection, storage and disposal; hazardous waste; animal carcasses

**Pest Control:** regularly scheduled, documented program including control of rodent pests and insecticide use

**Emergency, Weekend and Holiday Animal Care:** provision for accessible contact information, monitoring of backup systems, veterinary care, a disaster plan that takes into account both personnel and animals

**Animal Identification and Records:** cage/rack cards contain required information, clinical records accessible and appropriate, genotype info and standardized nomenclature included when applicable

**Storage:** food and bedding, supplies, drugs and biologics, waste material, hazardous material, carcasses

**Personnel:** locker rooms, administration and training

[illegible]

11  
Obtained by Rise for Animals.  
Uploaded to Animal Research Laboratory Overview (ARLO) on 06/09/2021



## SEMIANNUAL PROGRAM AND FACILITY REVIEW REPORT

**Date of Inspection:**

**Attendee(s):** (b) (6)

Deficiency Category (M or S)	*	Facility	Deficiency, Plan for Correction, Responsible Party	Correction Deadline and Interim Action	Date Complete, Verified by
M		(b) (4)	Please post a laminated disaster protocol and contact list	Next inspection No interim action	

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

\* Check if repeat deficiency