

Semiannual Facility Inspection/Program Review  
Summary of Deficiencies and Corrective Action  
November 10, 2021

Facility	Room	Deficiency	Minor	Significant	Corrective Action	Date of Completion	Responsible Unit or Personnel
█	█	Sterilizer not flush with floor.	X		Submit work order request with service provider to raise sterilizers.	Completed	█
█	█	Need a guard to protect electric conduit to RO system.	X		Install bumper guard to protect electrical conduit to RO system.	1/15/2022	█
█	█	Quick disconnect for dry heat sterilizer is broken.	X		Replace quick disconnect handle	1/15/2022	█
█	█	Room needs cleaning and organizing.	x		Verify that room is on a weekly cleaning schedule.	1/15/2022	█
█	█	Room needs cleaning and organizing.	X		Clean and organize room. Remove shipping containers.	1/15/2022	█
█	█	Evidence of pest activity in room.	X		Consult with Pest Control Company.	1/15/2022	█
█	█	Unlabeled containers in fume hood.	X		Label and/or remove containers from hood.	1/15/2022	█
█	█	Containers with liquids in behavior chambers are not labeled. Mouse feces in behavior chambers.	X		Label containers with liquids in behavior chambers. Need to clean behavior chambers.	1/15/2022	█
█	█	Need a sign to label carcass cooler. Need to ensure traps have view windows.	X		Identify carcass cooler with a sign. Make sure that traps have a view window.	1/15/2022	█
█	█	Food should be put away after break/lunch. Tables and countertop needs cleaning	X		Put food away after breaks/lunch. Clean tables and counter tops. Review procedure with staff.	1/1/2022	█
█	█	Need a log to document cleaning of receiving dock and █ vans.	X		Make a log to document cleaning of █ receiving dock and vans. Train receiving dock clerk on cleaning responsibilities.	1/15/2022	█

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		Distilled water faucet broken.	X		Put in work order to repair distilled water faucet.	1/15/2022	
		Controlled substance box not needed.	X		Remove controlled substances box.	2/15/2022	
		Expired betadine solution	X		Remove expired betadine solution.	1/15/2022	
		No log for flushing of checking eyewash station.	X		Provide a log for flushing of the eyewash station.	1/15/2022	
		Exhaust vent grill is dirty.	X		Clean exhaust vent grill.	1/15/2022	
		Need caulking around electrical outlet in outer room.	X		Caulk around electrical outlet in outer room.	1/15/2022	
		Rotarod needs cleaning. Need to validate cleaning method.	X		Need to validate cleaning method for rotarod and clean after use. PI should contact veterinary staff to coordinate.	1/15/2022	
		Floor in front room needs scrubbing.	X		Scrub floor in front room.	1/15/2022	
		Outlet cover missing outside of room.	X		Replace outlet cover outside of room.	1/15/2022	
		Rheostat missing outside of room.	X		Replace rheostat outside of room.	1/15/2022	
		Exhaust vent grill is dirty.	X		Clean exhaust vent grill.	1/15/2022	
		Betadine and alcohol in secondary containers need an expiration date.	X		Place an expiration date on secondary containers of betadine and alcohol.	1/15/2022	
		Scale in sink.	X		Need to clean scale from sink.	1/15/2022	
		Crack in ceiling.	X		Put in work order to assess cause of crack in ceiling and for repair.	1/15/2022	

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		Leaky faucet	X		Place work order to have leaky faucets repaired.	1/15/2022	
		Filters on calorimetric cages are worn and need replacing.	X		Need to order replacement filters for calorimetric cages.	1/15/2022	
		Room needs cleaning and organizing.	X		Meet with user group(s) for respective rooms regarding general housekeeping responsibilities for procedure rooms.	2/15/2022	
		CO2 Guideline needed	X		Place CO2 Guideline at CO2 euthanasia station.	1/15/2022	
		Containers with corncob bedding need to be labeled with autoclave date.	X		Label containers with corn cob bedding with autoclave date	1/15/2022	
		Line sheet on wall does not have correct protocol numbers.	X		Remove sheet or update protocol numbers.	Completed	
		Rat food in secondary container needs a label including an expiration date.			Label rat food in secondary container with a proper label with expiration date.	1/15/2022	
		Dissection board is dirty. Bell jar has mouse feces and paper towel.	X		Discard and replace dirty dissection board with dissection board of sanitizable material. Clean feces and paper towel from bell jar.	1/15/2022	
		Door frame is rusty	X		Paint rusty door frame.	2/15/2022	
		Secondary food container needs a proper label.	X		Provide a proper label with an expiration date for secondary food container.	2/15/2022	
		Corridors in entryway, vivarium, back hallway and need scrubbing.	X		Schedule and coordinate scrubbing of corridors in entryway, vivariu, back hallway and .	2/15/2022	
		Down draft table needs certifying.	X		Schedule certification of down draft tables with EHSO.	2/15/2022	

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		Anesthetic chamber needs cleaning.	X		Validate cleaning method of cleaning anesthetic chamber after use.	1/15/2022	
		Need single housing sign on door.	X		Place a sign on door listing protocol that is approved for single housing of animals.	1/15/2022	
		Exhaust vent grill is dirty.	X		Need to clean exhaust vent grill.	1/15/2022	
		Cleaning method for alcohol administration tubes needs validation.	X		Need to validate cleaning method for alcohol administration tubes. PI should contact [REDACTED] veterinary staff to coordinate.	1/15/2022	
		Need to remove tape and paper from ceiling. Camera holder should be hard mounted to ceiling.	X		PI needs to remove tape and paper from ceiling. Hard-mount a camera holder from ceiling.	1/15/2022	
Program		Inconsistent usage among staff of PAPR when dumping bedding from cages in cage wash area.	X		Review proper usage of PAPRs in cage wash area with staff that work in that area.	1/15/2022	
Program		The requirement for the usage of N95 masks in BSL2 rodent rooms is not clear.	X		Clarify usage of when a N95 mask is to be used in a rodent BSL2 room through signage.	1/15/2022	
Program		Animals on protocol 19-203 are being fed rodent food on cage floor.	X		PI of protocol 19-203 needs to submit to the ACC a modification to the protocol providing a rationale for only providing feed to the animals on the cage floor. Modification should include a justification as to why food can not be provided in hopper.	1/15/2022	
Program		In surgical room [REDACTED] there is Krazy glue in supply cabinet.	X		PI should provide a rationale for the presence of Krazy glue in room (i.e. is it used for surgical procedures).	1/15/2022	
Program		There is lack of documentation for maintenance procedures and processes for lampreys.	X		The PI of protocol 20-119 should meet with the veterinary staff to discuss and refine maintenance procedures and processes for lampreys based upon recent literature.	1/15/2022	

## Departure Report

November 10, 2021

Number	Category	Description	ACC Number(s) if applicable	Date(s) of Approval/Expiration
1	Sanitation- Cleaning and Disinfection of Microenvironment	Solid bottom cages for naked mole rats are changed every two weeks instead of every week for breeding colony cages and experimental cages to limit stress and increase breeding efficiency. Of specific note- larger colonies with larger caging systems establish a waste cage and this is spot cleaned as needed and at least weekly. No health or husbandry problems with this exemption have been noted. Exemption approved for experimental reasons.	20-233 21-020 21-024 21-043 21-121	2/9/21-1/19/24 4/13/21-3/16/24 4/22/21-3/16/24 6/8/21- 5/18/24 11/5/21- 10/19/24
2*	Sanitation- Cleaning and Disinfection of Microenvironment	Solid bottom cages for mice are changed every two weeks instead of every week in enrichment cages to reduce intra-cage aggression in some group-housed males. Floor space in these cages is 5 times standard cage and cages only house maximum of 5 animals. No health or husbandry problems with this exemption have been noted. Exemption approved for experimental reasons.	20-101 20-169	7/17/20 to 6/16/23 11/19/20 to 10/20/23
3	Sanitation- Cleaning and Disinfection of Microenvironment	Sentinel mice and rats are housed with dirty bedding from mice or rat cages, respectively, from within the housing room in order to monitor the microbial status of rodents and ensure biosecurity. Exemption approved as standard practice to monitor rodent colony health status.	18-221	12/18/18-12/18/21
4	Terrestrial Housing- Temperature and Humidity	Minimum humidity levels can fall below 30% during heating season due to HVAC infrastructure limitations. HVAC humidifiers are maintained and operated at full capacity, staff monitor humidity levels daily, and animals are monitored for health and welfare concerns associated with low humidity. Exemption approved by IACUC. No health or husbandry problems with this exemption have been noted.	Program	11/19/19
5	Terrestrial Housing- Ventilation	In order to maintain naked mole rats at temperatures of 75-85 F and 40-65% humidity levels which is more consistent with their natural environment in the wild, the PI has requested to maintain the room at a static ventilation rate and/or at a rate significantly below 10 air changes/hour. Exemption approved by IACUC. No health or husbandry problems with this exemption have been noted.	20-233 21-020 21-024 21-043 21-121	2/9/21-1/19/24 4/13/21-3/16/24 4/22/21-3/16/24 6/8/21- 5/18/24 11/5/21- 10/19/24

## Departure Report

**November 10, 2021**

6	Sanitation- Cleaning and Disinfection of Microenvironment	Cages in isolator and water bottles in isolator are not changed weekly. Cage are changed according to the SOP established for the room. They are germ free so dirty bedding is collected weekly and cages wiped down and water is refilled.	20-016 20-043 21-111	2/27/20-2/18/23 10/29/20-9/15/23 9/19/21- 8/17/24
7	Sanitation- Cleaning and Disinfection of Microenvironment	Cages are not changed during the 10 day period animals are undergoing telemetry monitoring to not disturb recordings during this time. Only one animal is housed/cage and cages are new and clean at the start of recordings. In addition, food is made available on the floor of the cage for greater accessibility and to reduce potential of wires being disturbed by wire top of cage.	19-062	5/13/19-4/18/22
8	Terrestrial Management- Husbandry	Mole Rats highly conserve water and obtain all water via food sources only. Therefore, water bottles are not provided in cages.	20-233 21-020 21-024 21-043 21-121	2/9/21-1/19/24 4/13/21-3/16/24 4/22/21-3/16/24 6/8/21- 5/18/24 11/5/21- 10/19/24

\* The ACC noted that these departures were not used during this semi-annual period.

## Facilities Inspection Report

November 10, 2021

**Participants:** Member 6, Member 9, Member 10, Member 11, Member 42, Member 43, Member 45, and Member 48

**Guest(s):**

**E-mail correspondence:** None

Members of the UIC Animal Care Committee met to review and discuss the inspection of animal facilities conducted October 5, 6, and 7, 2021. The facilities were evaluated in terms of their compliance with the *8<sup>th</sup> Edition of the Guide for the Care and Use of Laboratory Animals (Guide)* and the Standards promulgated to implement the Animal Welfare Act. This report includes new items that have arisen since the previous semiannual facilities inspection, as well as those areas where improvements are being made in the facilities and equipment as part of the overall long-range program for maintaining and upgrading the level of animal care on the campus. The following report will consist of a facility-by-facility description of items that should be addressed to ensure compliance with the recommendations of the *Guide*. There were no significant deficiencies observed in any animal facility as determined by the *Guide* or the Animal Welfare Standards during this inspection.

General Comments Prior to the meeting [REDACTED] reminded the members that the report represented a review of issues considered to be either in addition to the routine maintenance items identified in the room-by-room inspection report or recurring maintenance or management issues that should be emphasized.

[REDACTED]

During the inspection, the air turnover and air pressure throughout the facility was appropriate. **The following items/issues were addressed since the last inspection:**

■: Floor needs scrubbing.

■: Floor needs scrubbing.

■: Floor needs scrubbing.

■: Room needs cleaning and organizing.

■: Need Gentrol pest control discs in room.

■: Replace tape at entrance to room.

■: Wooden clip board should be removed from room.

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■■■■: Remove mercury thermometer from refrigerator.

**The following items/issues need to be addressed:**

■■: Sterilizer needs to be raised.

■■: Sterilizer needs to be raised.

■■: Install bumper guard for RO electrical. Replace quick disconnect handle.

■■: Verify that room is on a weekly cleaning schedule.

■■: Room needs cleaning/organizing. Need to paint cubicles. PI needs to remove shipping containers. Rust on floor at bottom of door to back of room.

■■: Feces need to be cleaned out of novel object recognition chambers. Containers with liquids in chambers need to be labeled.

■■: Need a sign to label carcass cooler. Need to ensure traps have view windows.

■■: Cockroach activity noted. Faucet is leaking. Unlabeled bottles in fume hood.

■■: Food should be put away after break/lunch. Tables and countertop needs cleaning.

■■■■: Need a log to document cleaning of receiving dock and ■■■■ vans.

■■■■: Repair distilled water faucet. Remove controlled substance box.

■■■■: Remove expired betadine solution.

■■■■: Need a log for eyewash station.

■■: Clean exhaust grill.

■■: Caulk around electrical outlet in outer room.

■■: Rotarod needs cleaning. Need to validate cleaning method.

■■: Scrub floor in front half of room.

■■: Replace outlet cover outside of room.

■■: Replace rheostat outside of room.

■■■■ Clean exhaust grill.



The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in the facility.

[REDACTED]

During the inspection, the air turnover and air pressure throughout the facility was appropriate. **The following items/issues were addressed since the last inspection:**

There were none.

**The following items/issues need to be addressed:**

There were none.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

[REDACTED]

During the inspection, the air turnover and air pressure throughout the facility was appropriate. **The following items/issues have been addressed since the last inspection:**

[REDACTED]: Expired feed. Food bags are touching wall.

[REDACTED]: Expired betadine. Need Lexan under tanks. Rotarod has attached cardboard covered in foil (needs to be of subitizable material).

[REDACTED]: BSL2 room needs cleaning and organizing. MB-10 should be at an increased concentration for BSL2.

[REDACTED]: Need hooks for brooms.

[REDACTED]: Replace or remove cloth restraint gloves.

[REDACTED]: Plastic box with paper towel and mouse feces should be cleaned after each use. Need to clarify purpose of box.

[REDACTED]: Need to label rodent high fat diet with expiration date.

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█: Experimental diet in cooler is expired.

█: Exhaust vent outside of room needs cleaning.

█: Carcass refrigerator needs “No Food or Drink” sign.

█: Carcass refrigerator needs “No Food or Drink” sign.

**The following items/issues need to be addressed:**

█: Need expiration dates on betadine and alcohol.

█: Need to clean scale from sink.

█: Need to clean scale from sink.

█: Ceiling is cracked

█: Leaky faucet.

█: Replace filters on calorimetric cages. Room needs to be cleaned and organized.

█: Leaky faucet. Need CO2 guideline. Room needs to be cleaned and organized.

█: Need to clean and organize. Containers with corncob bedding need to be labeled with autoclave date.

█ Line sheet on wall does not have correct protocol numbers. Remove sheet or update protocol numbers.

█: Containers with corncob bedding need to be labeled with autoclave date.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department’s ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

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█

During the inspection, the air pressure in the rooms was negative to the corridor system and the air turnover appeared to be adequate within the facility for the number of animals being maintained. **The following items/issues have been addressed since the last inspection:**

█ Wipe down top of refrigerators.

**The following items/issues need to be addressed:**

█████ Rat food in secondary container needs a label including an expiration date.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

████████████████████

During the inspection, the air pressure in the rooms was negative to the corridor system and air turnover appeared to be adequate within the facility for the number of animals being maintained. **The following items/issues have been addressed since the previous inspection:**

█████ Paint inside door frame that is rusty (work order was placed).

█████: Secondary food container needs label with expiration date (label still did not have expiration date).

**The following items/issues need to be addressed:**

█████: Paint inside door frame that is rusty.

█████ Secondary food container needs label with expiration date.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

████████████████████

█████ **The following items/issues have been addressed since the previous inspection:**

The facility was inactive at the time of the inspection.

**The following items/issues need to be addressed:**

The facility was inactive at the time of the inspection.



There were none.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

████████████████████

██████: During the inspection, the air pressure in the room was negative to the laboratory and the air turnover appeared to be adequate for the number of animals being maintained. **The following items/issues have been addressed since the last inspection:**

There were none.

**The following items/issues should be addressed:**

There were none.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

████████████████████:

██████: During the inspection, the air pressure in the rooms was negative to the corridor system and the air turnover appeared to be adequate within the facility for the number of animals being maintained. **The following items/issues have been addressed since the last inspection**

There were none.

**The following items/issues should be addressed:**

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There were none.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

[REDACTED]

[REDACTED]: During the inspection, the air pressure in the facility was negative to the corridor and the air turnover appeared to be adequate for the number of animals being maintained. **The following items/issues have been addressed since the last inspection:**

There were none.

**The following items/issues need to be addressed:**

There were none.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

[REDACTED]:

[REDACTED]: During the inspection, the air pressure in the facility was negative to the corridor. **The following items/issues have been addressed since the last inspection:**

There were none.

**The following items/issues need to be addressed:**

There were none.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

[REDACTED]: **The following items/issues have been addressed since the previous inspection:**

There were none.

**The following items/issues should be addressed:**

There were none.

The facility is in compliance with the recommended standards set forth in the *Guide*.

The Committee recognizes the Department's ongoing efforts to comply with the spirit of the *Guide* in providing optimal care for the animals in this facility.

**Study Areas:**

**██████████** The following items/issues have been addressed since the previous inspection:

There were none.

**The following items/issues should be addressed:**

Need to validate cleaning of test bottles.

**██████████**: The following items/issues have been addressed since the previous inspection:

There were none.

**The following items/issues should be addressed:**

There were none.

**██████████**: The following items/issues have been addressed since the previous inspection:

Expired isoflurane needs to be removed. MB-10 needs an expiration date. It appears that not all personnel that are using the room are signing in.

**The following items/issues should be addressed:**

Dirty dissection board. Bell jar has mouse feces and paper towel.

**██████████** The following items/issues have been addressed since the previous inspection:

There were none.

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**The following items/issues should be addressed:**

There were none.

**██████████**: The following items/issues have been addressed since the previous inspection:

There were none.

**The following items/issues should be addressed:**

There were none.

**██████████: The following items/issues have been addressed since the previous inspection:**

There were none.

**The following items/issues need to be addressed:**

There were none.

**██████████: The following items/issues have been addressed since the previous inspection:**

There were none.

**The following items/issues need to be addressed**

Floor needs cleaning.

### **Performance Sites and Transportation Vehicles**

**██████████ The following items/issues have been addressed since the previous inspection:**

There were none.

**The following items/issues need to be addressed**

There were none.

**████████████████████: The following items/issues have been addressed since the previous inspection:**

There were none.

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**The following items/issues need to be addressed**

There were none.

**████████████████████: The following items/issues have been addressed since the previous inspection:**



There were none.

**The following items/issues need to be addressed**

There were none.

**[REDACTED]: The following items/issues were noted but not addressed since the previous inspection:**

There were none.

**The following items/issues need to be addressed**

There were none.

**[REDACTED]: The following items/issues were addressed since the previous inspection:**

There were none.

**The following items/issues need to be addressed**

There were none.

**The following PI laboratories were visited as part of the post–approval monitoring program.**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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Members of the Full Animal Care Committee reviewed the documents on November 10, 2021 and recommends that the Animal Care Committee endorse the report as submitted. There were no major deficiencies observed in any animal facility as determined by the Guide or the Animal Welfare Standards during this inspection. There are on-going maintenance and renovation items within the facilities, but they have been recognized and efforts to have them addressed are being made within the existing system for supporting the animal housing facilities on the campus

I have reviewed the attached report of the Facilities Subcommittee detailing the inspection of UIC Animal Facilities that took place October 2021 and understand that I have the right to file a minority report should I not agree with their findings.

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## SEMI-ANNUAL PROGRAMMATIC REVIEW UNIVERSITY OF ILLINOIS AT CHICAGO

Date: November 10, 2021

An evaluation of the program of animal care and use at the University of Illinois at Chicago was conducted using the 8<sup>th</sup> edition of the *Guide for the Care and Use of Laboratory Animals (Guide)* and the USDA Regulations and Standards.

The following members of the ACC took part in the programmatic review:

### Significant deficiencies:

YES	NO
	X

### Departures from Guide:

YES	NO
X	

### Departures from AWARs

YES	NO
	X

1. Animal Care and Use Program		A	MI	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
• Procedures are in place for Inter-institutional collaborations including ensuring IACUC approval ( <i>Guide, p 15</i> )	X					
2. Disaster Planning and Emergency Preparedness		A	MI	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					
3. IACUC		A*	MI	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					
4. IACUC Protocol Review - Special Considerations		A*	MI	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				

## 5. IACUC Membership and Functions

	A *	MI	S	C	NA
• IACUC is comprised of at least 5 members, appointed by IO who has delegated responsibility (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> )	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				
• IACUC conducts semiannual evaluation of the social housing and enrichment program	X				



• Conducts semiannual inspections of institutional animal facilities (PHS Policy, <a href="#">IV.B.</a> )	X				
• IACUC organizationally reports to the Institutional Official (PHS Policy, <a href="#">IV.A.1.b.</a> )	X				
• Methods for reporting and investigating animal welfare concerns are in place ( <i>Guide</i> , <a href="#">p 23</a> ) [must]	X				
• Reviews and investigates concerns about animal care and use at institution <sup>i</sup> (PHS Policy, <a href="#">IV.B.</a> )	X				
• Procedures are in place for review, approval, and suspension of animal activities <sup>ii</sup> (PHS Policy, <a href="#">IV.B.</a> )	X				
• Procedures are in place for review and approval of significant changes to approved activities (PHS Policy, <a href="#">IV.B.</a> )	X				
• Policies are in place for special procedures (e.g., genetically modified animals, restraint, multiple survival surgery, food and fluid regulation, field investigations, agricultural animals) ( <i>Guide</i> , <a href="#">p 27-32</a> )	X				
• Requests for exemptions from major survival surgical procedure restrictions are made to USDA/APHIS ( <i>Guide</i> , <a href="#">p 30</a> ) [must]	X				

## 6. IACUC Training

**A\* MI S C NA**

○ Formal orientation to institution's program ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ Training on legislation, regulations, guidelines, and policies ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ Training on how to inspect facilities and labs where animal use or housing occurs ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ Training on how to review protocols as well as evaluate the program ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ Ongoing training/education ( <i>Guide</i> , <a href="#">p 17</a> )	X				

## 7. IACUC Records and Reporting Requirements

**A MI S C NA**

○ 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	X				
○ Distinguishes significant from minor deficiencies	X				
○ Includes a plan and schedule for correction for each deficiency identified	X				
○ 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 ( <a href="#">NOT-OD-05-034</a> )	X				
○ Institute must promptly advise OLAW of any suspension of an animal activity by the IACUC ( <a href="#">NOT-OD-05-034</a> )	X				
○ 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				
○ 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	X				
○ Records of IACUC reviews are maintained for 3 years after the completion of the study	X				

## 8. Personnel Qualifications and Training

	A	MI	S	C	NA
○ Veterinary/other professional staff ( <i>Guide</i> , <a href="#">p 15-16</a> )	X				
○ IACUC members ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ Animal care personnel ( <i>Guide</i> , <a href="#">p 16</a> )	X				
○ Research investigators, instructors, technicians, trainees, and students ( <i>Guide</i> , <a href="#">pp 16-17</a> )	X				
• Continuing education for program and research staff provided to ensure high quality care and reinforce training ( <i>Guide</i> , <a href="#">pp 16-17</a> )	X				
• Training is available prior to starting animal activity ( <i>Guide</i> , <a href="#">p 17</a> )	X				
• Training is documented ( <i>Guide</i> , <a href="#">p 15</a> )	X				
○ Methods for reporting concerns ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ 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, aseptic surgical techniques and euthanasia ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ Research/testing methods that minimize numbers necessary to obtain valid results (PHS Policy, <a href="#">IV.A.1.g.</a> )	X				
○ Research/testing methods that minimize animal pain or distress (PHS Policy, <a href="#">IV.A.1.g.</a> )	X				
○ Use of hazardous agents, including access to OSHA chemical hazard notices where applicable ( <i>Guide</i> , <a href="#">p 20</a> )	X				
○ Animal care and use legislation ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ IACUC function ( <i>Guide</i> , <a href="#">p 17</a> )	X				
○ Ethics of animal use and Three R's ( <i>Guide</i> , <a href="#">p 17</a> )	X				

## 9. Occupational Health and Safety of Personnel

	A	MI	S	C	NA
• Program is in place and is consistent with federal, state, and local regulations ( <i>Guide</i> , <a href="#">p 17</a> ) [must]	X				
• Program covers <i>all</i> personnel who work in laboratory animal facilities ( <i>Guide</i> , <a href="#">p 18</a> )	X				
• Changing, washing, and showering facilities are available as appropriate ( <i>Guide</i> , <a href="#">p 19</a> )	X				
• Hazardous facilities are separated from other areas and identified as limited access ( <i>Guide</i> , <a href="#">p 19</a> )	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				
o Pre-employment evaluation including health history based on risk analysis ( <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				
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 UHS ( <i>Guide, p 32</i> )	X				
<b>10. Personnel Security</b>	<b>A</b>	<b>MI</b>	<b>S</b>	<b>C</b>	<b>NA</b>
• Preventive measures in place include pre-employment screening, and physical and IT security ( <i>Guide, p 23</i> )	X				
<b>11. Investigating &amp; Reporting Animal Welfare Concerns</b>	<b>A</b>	<b>MI</b>	<b>S</b>	<b>C</b>	<b>NA</b>
• 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</i> , <a href="#">p 24</a> )	<b>X</b>				
○ Includes multiple contacts ( <i>Guide</i> , <a href="#">p 24</a> )	<b>X</b>				
○ Includes anonymity, whistle blower policy, nondiscrimination and reprisal protection ( <i>Guide</i> , <a href="#">p 24</a> )	<b>X</b>				

<b>A. Veterinary Care</b>						
<b>1. Veterinary Care</b>	<b>A</b>	<b>MI</b>	<b>S</b>	<b>C</b>	<b>NA</b>	
• An arrangement for veterinarian(s) with training or experience in lab animal medicine is in place including backup veterinary care	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					
<b>2. Clinical Care and Management</b>	<b>A</b>	<b>MI</b>	<b>S</b>	<b>C</b>	<b>NA</b>	
• 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					
o Problems with experiments to determine course of treatment in consultation with investigator( <i>Guide, p 114</i> )	X					
o Recurrent or significant health problems with the IACUC and documentation of treatments and outcomes ( <i>Guide, p 114</i> )	X					
o 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					



3. Animal Procurement and Transportation/Preventive Medicine							A	MI	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										
• 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 based on risk assessment ( <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										
4. Surgery							A	MI	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										

<ul style="list-style-type: none"> <li>Effective procedures for sterilizing instruments and monitoring expiration dates on sterile packs are in place (<i>Guide, p 119</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Procedures for monitoring surgical anesthesia and analgesia are in place (<i>Guide, p 119</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>For aquatic species, skin surfaces are kept moist during surgical procedures (<i>Guide, p 119</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Post-operative monitoring and care are provided by trained personnel and documented (e.g., thermoregulation, physiologic function, analgesia, infection, removal of skin closures) (<i>Guide, pp 119-120</i>)</li> </ul>	X					
<b>5. Pain, Distress, Anesthesia and Analgesia</b>	<b>A</b>	<b>MI</b>	<b>S</b>	<b>C</b>	<b>NA</b>	
<ul style="list-style-type: none"> <li>Guidelines for assessment and categorization of pain, distress and animal wellbeing are provided during training (<i>Guide, p 121</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Selection of analgesics and anesthetics is based on professional veterinary judgment (<i>Guide, p 121</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Painful procedures are monitored to ensure appropriate analgesic management (<i>Guide, p 122</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Nonpharmacologic control of pain is considered as an element of postprocedural care (<i>Guide, p 122</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Procedures are in place to assure antinociception before surgery begins (<i>Guide, p 122</i>) [must]</li> </ul>	X					
<ul style="list-style-type: none"> <li>Guidelines for selection and use of analgesics and anesthetics are in place and regularly reviewed and updated (<i>Guide, p 122</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Special precautions for the use of paralytics are in place to ensure anesthesia (<i>Guide, p 123</i>)</li> </ul>	X					
<b>6. Euthanasia</b>	<b>A</b>	<b>MI</b>	<b>S</b>	<b>C</b>	<b>NA</b>	
<ul style="list-style-type: none"> <li>Methods are consistent with AVMA Guidelines on Euthanasia unless approved by the IACUC (<i>Guide, p 123</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Standardized methods are developed and approved by the veterinarian and IACUC that avoid distress and consider animal age and species (<i>Guide, pp 123-124</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Training is provided on appropriate methods for each species and considers psychological stress to personnel (<i>Guide, p 124</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Procedures and training are in place to ensure death is confirmed (<i>Guide, p 124</i>) [must]</li> </ul>	X					
<b>7. Drug Storage and Control</b>	<b>A</b>	<b>MI</b>	<b>S</b>	<b>C</b>	<b>NA</b>	
<ul style="list-style-type: none"> <li>Program complies with federal regulations for human and veterinary drugs(<i>Guide, p 115</i>) [must]</li> </ul>	X					
<ul style="list-style-type: none"> <li>Drug records and storage procedures are reviewed during facility inspections (<i>Guide, p 115</i>)</li> </ul>	X					
<ul style="list-style-type: none"> <li>Procedures are in place to ensure analgesics and anesthetics are used within expiration date (<i>Guide, p 122</i>) [must]</li> </ul>	X					
<ul style="list-style-type: none"> <li>Anesthetics and analgesics are acquired, stored, and their use and disposal are recorded legally and safely (<i>Guide, p 122</i>)</li> </ul>	X					





## B. Other

	A*	MI	S	C	NA
• <b>General Considerations:</b>					
There was inconsistent usage among staff of a PAPR when dumping bedding from cages.	X				
Clarify usage of when a N95 mask is to be used in a biohazard room through better signage.	X				
PI of protocol 19-203 needs to submit to the ACC a modification to the protocol providing a rationale for only providing feed to the animals on the cage floor, i.e. clarify why animals cannot be fed via the cage feed hopper.	X				
The PI of protocol 20-119 should meet with the veterinary staff to discuss and refine maintenance procedures and processes for lampreys based upon more recent publications and submit this as part of an SOP to the ACC.	X				

\* **A** = acceptable

**MI** = 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:

#### Primate Enrichment Social Housing Program April 1, 2021 – September 30<sup>th</sup>, 2021

Between April 1<sup>st</sup>, 2021 and September 30<sup>st</sup>, 2021 a total of 34 new non-human primates were received at the [REDACTED]. Out of the 34 animals received there were 32 cynomolgus and 2 baboons.

As of October 1<sup>st</sup>, 2021 the colony consists of 66 individual primates that are in full contact pairs. There are 9 individuals who are in protected contact pair or group.

There are 6 individuals (macaques) who are exempt from being paired. The primary reason for the animals not being pair housed is that there are no compatible partners currently available in the colony to be paired with these individual animals.

A total of 47 re-pairs or pair evaluations have been completed throughout this time period and are currently on going.

During the last 6-month period, a total of 43 pair evaluations or re-pairs have been completed and/or are currently on going.

I have reviewed the Semiannual Programmatic Review detailing the compliance of UIC Animal Care Program with the *Guide*, the USDA Standards and Regulations, and PHS Policy and understand that I have the right to file a minority report should I not agree with the findings.

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