



THE UNIVERSITY OF ARIZONA

Research, Discovery
& Innovation

Institutional Animal Care and Use Committee
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rgw.arizona.edu/compliance/IACUC

Memorandum

To: [REDACTED]
From: Institutional Animal Care and Use Committee
Subject: Semi-Annual Report of the Program Review and Facility Inspection
Date: May 13, 2019

This report summarizes the IACUC's results of its most recent program review and facility inspection, as required by the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy), Section IV.B.1.-3., the *Guide for the Care and Use of Laboratory Animals (Guide)*, and the Animal Welfare Act (AWA) regulations, as applicable. Submission of semi-annual reports to the Institutional Official is a condition of this institution's Animal Welfare Assurance with the NIH Office of Laboratory Animal Welfare (OLAW).

IACUC Concerns:

While the IACUC feels the program is satisfactory, the committee is concerned about critical infrastructure needs in the animal facilities:

- The growth in personnel, both University Animal Care (UAC) and research, utilizing the [REDACTED] animal facility has exceeded the available personnel space within the barrier portion of the facility. The existing small office and lounge are inadequate to accommodate the ~30 personnel working in the facility daily. Internalizing the offices and conference room from the exterior portion of the facility would allow for adequate expansion of the existing personnel space within the barrier. It is estimated that ~\$100,000 will be needed for the remodel.

As significant resources will be required to correct these critical needs, the IACUC has set a 6-month deadline for UAC to present management plans to address this issue to the IACUC for review.

Since the last review, the following changes have occurred in the institution's program for animal care and use (PHS Policy IV.A.1.a.-i.):

The **Spring 2019 Semi Annual Review Meeting Minutes** (*attachment 1*) detail the IACUC's review of the Animal Care and Use Program. The meeting minutes were approved by the IACUC on May 13, 2019. Each aspect of the Program is summarized below.

The **University Animal Care Program Description** (*attachment 2*) describes the current UAC Program. Items of note include:

- Mouse cage census has been steady for about a year.
- Rate adjustment, based upon rate study performed in 2018, went live 4/1/2019.
- The animal suite in the [REDACTED] building, which opened in 2018, is functioning well.



- The damage to flooring in [REDACTED] which was a result of [REDACTED] construction activities and was previously documented as an inspection finding, is being addressed.
- Renovated [REDACTED] space in building [REDACTED] will be opening soon.
- 2 Cage washers to replace the units in [REDACTED] and [REDACTED] which are nearing the end of their useful life as described in the Fall 2018 semiannual report, are in the works – they will be purchased on capital equipment reserve, and the bid process is started.
- Renovation plans to address insufficient [REDACTED] personnel space are finalized, waiting for engineering drawings to determine actual costs move forward.
- Updates to autowater and environmental monitoring systems are being worked on.

The following **IACUC programmatic changes** were implemented during the review period (April-October 2018):

- New Guidance documents have been published:
 - a. **IACUC Guidance 216 Rodent Identification.** Provides investigators with guidance on the IACUC's requirements for identification of rodents and suitable non-invasive identification options.
 - b. **IACUC Guidance 217 Transporting Animals in Personal Vehicles.** Describes the IACUC's expectations and standards for the transportation of animals in vehicles not operated by UAC personnel. This document does not apply to animals used for agricultural purposes.
- General Rodent Surgery Training has transitioned from live in-person class to on-demand video training.

The **IACUC Program Statistics** document (*attachment 3*) summarizes IACUC activity for the current year to date and compares it to historical data.

- The total number of active participants and PIs have increased as compared to the same period in spring 2018.
- The total number of protocol and amendment submissions has decreased as compared to the same period in spring 2018; though the total number of approved full and abbreviated protocols has increased.
- Total review time is holding steady across all types of submissions.

The **MOU Summary** document (*attachment 4*) lists animal research performed with University funds at external institutions covered by a Memorandum of Understanding. No reports of non-compliance were reported over the past six months.

Description of the Nature and Extent of the Institution's Adherence to the PHS Policy, the Guide, and the AWA

Departures from the PHS Policy, the *Guide*, and the AWA.



There were no departures during this reporting period.



The **Departures and Exceptions Checklist** (*attachment 5*) lists both existing and new departures to the *Guide*. No departures were approved for either the PHS Policy or AWAR. Of note:

Should:

- 7 renewals and 13 new protocols were approved with a departure from the requirement to use pharmaceutical-grade compounds (*Guide*, p. 31).
- 1 renewal protocol was approved with a departure from adequate bedding use (*Guide*, p. 52).
- 1 renewal protocol was approved with a departure from housing space not based on performance indices (*Guide*, p. 56).



- 2 renewal protocols were approved with a departure from providing additional enrichment for single-housed animals (*Guide* p. 64)
- 1 renewal protocol was approved with a departure from cleaning and disinfection standards (*Guide*, pp. 70-71).

Deficiencies in the Institution's Animal Care and Use Program

Animal Care and Use Program Review Date: **November 1, 2018**

- ☐ There were no deficiencies in the program during this reporting period.
- ☒ The **Semi-annual Program Review Checklist** (*attachment 6*) identifies programmatic deficiencies for the IACUC and UAC. Of note:
- Current office/personnel space in [REDACTED] animal facility categorized as a **Minor** finding as space is available, though inadequate. 6-month deadline for plan to address inadequate personnel space to be presented to IACUC for review.
- Otherwise, the overall adherence of the Animal Care and Use Program to federal regulations is excellent.
- Interactions between the various aspects of the Animal Care and Use Program and investigators continue to be favorable. We strive to ensure compliance by emphasizing the positive, educational aspects of the Program, providing resources, standardizing procedures, and being responsive to investigator needs, all within our regulatory framework.

Deficiencies in the Institution's Animal Facility

Animal Facility Inspection Dates: **July 26 - August 2, 2018 (animal facilities); October 1-24, 2018 (PI labs)**

- ☐ There were no deficiencies in the animal facility during this reporting period.
- ☒ The **IACUC Semi-Annual Inspection Documents** outline the surgical records reviewed (2 PIs) as well as the seven UAC facilities [REDACTED] and 82 unique investigator animal laboratory or farm locations inspected in January/February or March/April 2019.
- The types of findings described on the **Inspection Metrics** document (*attachment 7*) are typical of previous inspections and generally represent personnel turn over, misinterpretation of IACUC policies and procedures, and/or normal wear and tear of facilities.
- The Inspection – No Findings document (*attachment 8*) lists locations where **no deficiencies** were noted (78% - UAC; 53% - PIs; 0% - records).
- Location and surgical records reviewed with **resolved findings or deficiencies** are described on the **Minor** (*attachment 9*) and **Significant** (*attachment 10*) documents.
- Locations with **unresolved findings or deficiencies** are described on the **Unresolved Findings** document (*attachment 11*).



Most findings were classified by the IACUC as **Minor** or suggestions for improvement (22% - UAC; 46% - PIs; 100% - records). **Significant** findings were reported at similar or lower rates than in past inspection cycles (0.4% - UAC; 1.1% - PI; 0% - records).

Minority Views

☒ No minority views were submitted or expressed.

☐ The following minority view was expressed:

Status of AAALAC Accreditation

Continuing full AAALAC accreditation was received on March 27, 2017.



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IACUC Member

Signature

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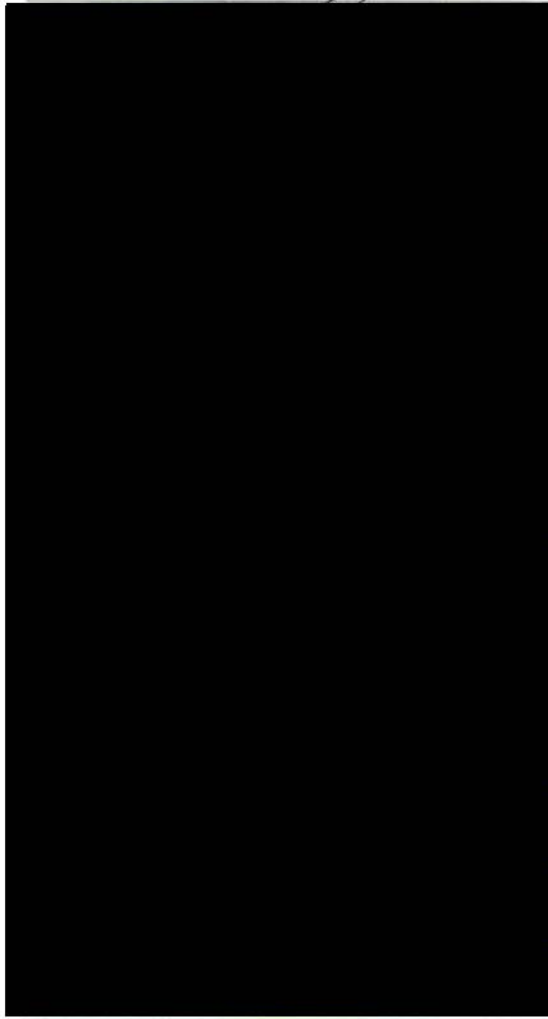
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Enclosures

1. May 2nd, 2019 Meeting Minutes
2. UAC Program Description
3. IACUC Program Statistics
4. Memoranda of Understanding Summary
5. Departures and Exceptions Checklist
6. Semi-Annual Program Review Checklist
7. IACUC Semi-Annual Inspection Metrics
8. IACUC Semi-Annual Inspection Document – No findings
9. IACUC Semi-Annual Inspection Document – Resolved findings (SFI/Minor)
10. IACUC Semi-Annual Inspection Document – Resolved findings (Significant)
11. IACUC Semi-Annual Inspection Document – Unresolved findings

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**IACUC Semi-Annual Meeting
Minutes**

8:30 am, May 2nd, 2019

[REDACTED]

Attendees

Voting Members Present: Chair; [REDACTED] (arr @ 9:11am); [REDACTED]

Voting Members Absent: [REDACTED]

Alternate Members Present [non-voting]: [REDACTED] (left @ 9:45am); [REDACTED]

Alternate Members Absent: [REDACTED]

Visitors Present [non-voting]: UA UAC Facility Manager - [REDACTED] UA IACUC Associate; UA Quality Assurance Officer; UA Interim Assistant VP for Research; UA UAC Facility Manager – [REDACTED] UA Biological Safety Officer (ad hoc)

Meeting was brought to order at 08:36 and quorum confirmed with 12 of 18 members present.

Welcome and Introductions

1. The committee and visitors were introduced
2. The committee was thanked for their work for and dedication to the IACUC program

Announcement

1. Dates of the next IACUC monthly meeting and semi-annual meeting were announced.

A. IACUC, UAC Management Team and Occupational Health

1. Review of UAC program description

- a. [REDACTED] reviewed the changes and status of the UAC program description. Of note:
 - i. The new facility manager of the Phoenix vivarium was introduced.
 - ii. Other staff changes for UAC program were presented.
 - iii. Mouse census has been steady for about a year.
 - iv. AAALACi program description due is due 8/1, with the visit happening in Sept or Oct
 - v. Rate adjustment went live 4/1
 - vi. [REDACTED] facility is functioning well. The damage to flooring in [REDACTED] is being addressed.
 - vii. Renovated [REDACTED] space in building [REDACTED] will be opening soon
 - viii. 2 Cage washers are in the works – they will be purchased on capital equipment reserve, and bid process is started
 - ix. [REDACTED] personnel space is finalized, waiting for engineering drawings to move forward
 - x. Updates to autowater and environmental systems are being worked on

2. Occupational health update

- a. Update on status of Occupational Health program was provided by [REDACTED]. Of note:
 - i. Changes to the Occupational Health program are going well. Space has been secured and equipment in place. Funding is in place.
 - ii. Occ Health will be taking over and adapting the hearing protection program
 - iii. Processes are being streamlined to reduce investigator burden, streamline the animal hazards process, and standardize the non-compliance and declination process.
 - iv. CDC inspections are upcoming, which is impacting response times.
 - v. New medical assistant coming in
- b. Statistics from the Occupational Health program:
 - i. Statistics were presented.

3. IACUC program staff activities update

- a. [REDACTED] provided an update on IACUC program staff activities. Of note:

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- i. With the rapid departure of former IACUC Officer, maintaining the business side of the IACUC office has been the focus, which has been successful.
 - ii. New IACUC office staff member [REDACTED] was introduced.
- b. The committee thanked the IACUC staff

B. IACUC Executive Session

1. Amendment review:

- a. [REDACTED] * Amendment submitted for full committee review (FCR). Of note:
 - i. Additional activity of collecting additional fluids/tissues at time of euthanasia, which would not impact animal pain and distress.
- b. Approved**

2. Review of IACUC Program statistics

- a. IACUC program statistics were presented by [REDACTED]. Of note:
 - i. There has been slight growth in number of submissions over last six months. Submissions have increased since the same time in 2018.
 - ii. Total time for DMR review is slowly decreasing, with total submission time holding steady
 - iii. Streamlining process has been a positive change overall, and it is expected that the total submission time will continue to trend downward as research staff gets used to new protocol format.

3. The Semiannual Program Review Checklist

- a. The Semiannual Program Review Checklist was reviewed and discussed. Of note:
- b. Members were reminded of categories
- c. Approved:**
 - i. Accept report as written, leaving single minor deficiency for [REDACTED] personnel space, with an update at next meeting

4. The Departures and Exceptions checklist

- a. The Departures and Exceptions checklist was reviewed and discussed.
- b. Approved:**
 - i. Accept report as written, no additional changes

5. IACUC semi-annual inspections

- a. Semi-annual inspections were reviewed with follow up and determination and review of plans of action were discussed. Findings were verified as “minor” or “significant” and non-compliance was verified by the committee. Of note:
 - i. Inspection metrics were presented and discussed.
 - 1. More UAC locations from previous inspection cycle, and fewer PI locations were inspected.
 - 2. More locations with no findings, in comparison to previous inspection cycles
 - 3. Record review. Surgical records were inspected as part of PAM process. PIs are generally following recordkeeping requirements and are implementing suggestions. Additional records will be requested for review in upcoming months.
 - 4. Main trend seemed to be that biosafety cabinets and hoods were out of date – this may have been due to lack of available certification service
 - ii. The committee discussed options for removing unused locations from inspection lists, as inspecting locations that haven’t seen animal activity and likely won’t, is not a good use of time for inspectors or research staff.
 - 1. Brief description of process for determining an inspection location was provided, including attempts to remove unused PI locations, and unwillingness on part of research staff to do so.

2. Ease in removing and adding non-UAC locations is key to ensure PIs are willing to make changes.
 - a. Suggestions were offered:
 - i. Ability to change location in [REDACTED] to “active” or “inactive” without having to do amendment process
 - ii. Removal and addition of surgical locations by office staff, with the promise that pre-use inspections can happen within 5 days of adding a location back on to protocol
 - iii. If a room isn’t used for 6 months, it will be removed from the protocol “automatically” and PI will contact office to add it back on
 - iv. Develop an SOP made widely available to research staff, with details on how and when to contact office to add and remove rooms
 - b. Office staff will develop a plan and present to the committee at a later meeting.
- iii. Winter 2019 inspections of UAC locations were reviewed.
 1. 1 location with “Unresolved Findings” was reviewed.
 - a. **Approved:**
 - i. Accept report as written with work in progress for [REDACTED] will have update at next semi-annual
 2. 2 locations with resolved findings with significant and potential noncompliance were reviewed. Neither were determined to meet the threshold of non-compliance.
 - a. **Approved:**
 - i. Accept report as written, no additional changes
 3. 64 locations with resolved minor findings and suggestions for improvement were reviewed. Actions already taken to resolve were determined to be sufficient.
 - a. **Approved:**
 - i. Accept report as written, no additional changes
 4. 181 locations had no findings
 - a. **Approved:**
 - i. Accept report as written, no additional changes
- iv. Spring 2019 inspections of PI Locations were reviewed.
 1. 2 locations with “Unresolved Findings” were reviewed.
 - a. **Approved with the following modifications:**
 - i. [REDACTED] [REDACTED] Finding is significant and reaches threshold of non-compliance. PI to respond to findings by 5/10, and reports to the appropriate officials to be submitted.
 - ii. LSN: 325: Minor finding, PI to respond by 5/10
 2. 27 locations with resolved minor findings and suggestions for improvement were reviewed.
 - a. It was noted that for guillotine maintenance, labs generally consider usage, not performance. In the future, members are asked to look at blade and note if blade is in need of service.
 - b. **Approved:**
 - i. Accept as written, no additional changes.
 3. 45 locations had no findings
 - a. **Approved:**
 - i. Accept as written, no additional changes.

6. IACUC programmatic changes

- a. Programmatic changes made in the past six months were reviewed. Of note:
 - i. Online, on-demand, video GRST will be live soon
 - ii. Guidances for rodent identification and transportation of animals were developed and approved

7. Memoranda of Understanding (MOU)

- a. MOUs for sub-awarded activities were reviewed. Of note:
 - i. Explained definition of MOU
 - ii. There are currently 26 UA MOUs and 8 non-UA MOUs active

8. Incidents, Non-Compliance, Adverse Events

- a. A summary of incident, non-compliance and adverse event reporting since last programmatic review was presented.
- b. **Approved:**
 - i. Accept as written, no additional changes

9. Items from the floor

- a. [REDACTED]: A requested amendment was discussed. Of note:
 - i. Published CBDL model reports include acute mortality post op, with a 50% mortality rate overall expected.
 - ii. Surgical procedure optimization experiments were performed on 20 SW mice by new surgeon, with 80% of mice surviving to day 21.
 - iii. Based on this success, PI would like to change initial model timeline to a 21 day model for proposed studies that involve C57BL/6 background mice.
 - iv. Discussion focused on surgical outcomes for SW mice not being predictive of outcomes for C57BL/6 mice. The SW mice were overweight/obese at the start of the pilot and lost 3 body condition scores (from 5 to 2). If normal weight C57BL +/- genetic mutations are subjected to same study, the outcomes could be more pronounced and detrimental.
- b. **Approved with the following modifications:** 40 mice approved for CBDL surgery and 21 day survival to start, with weekly reports for 3 weeks after surgery. If C57BL/6 mortality doesn't exceed expected 50% rate, cap can be lifted.

Meeting was adjourned at 10:25 and quorum was maintained for the duration.

*Asterisk indicates protocols with USDA-covered species

Minutes compiled and distributed by the IACUC Associate and IACUC Officer

This document is confidential and intended solely for the use of the individual or entity to whom it was addressed. If it is necessary to disseminate any of this information for official purposes, the non-essential information should be redacted.

University Animal Care Program Description

MISSION STATEMENT

UAC provides investigators with high quality care and management of animals in accordance with the teaching and research objectives of the University of Arizona and in compliance with animal welfare policies and regulations.

STRATEGIC OBJECTIVES

- A. Provide high quality, cost-efficient animal care and service.
- B. Comply with applicable laws, regulations, and policies.
- C. Contribute to the University's mission of research, teaching, and service.
- D. Build understanding and acceptance of the necessity of humane animal care and use.
- E. Encourage employee satisfaction and productivity.

INTRODUCTION: The animal care program of The University of Arizona is centralized under University Animal Care (UAC). [REDACTED], is the Director, UAC and University Attending Veterinarian. [REDACTED] is the Institutional Official. UAC is composed of multiple service units that include:

HUSBANDRY SERVICES

Animal Husbandry: A veterinarian and manager (Animal Care Manager Senior, Animal Care Manager, or Animal Technologist Senior) oversee each UAC animal facility. They are assisted by multiple husbandry staff assigned to each facility, who report to the manager. As needed, staff may be temporarily assigned to a different facility to ensure stable operation of all facilities. Managers meet with investigators to accommodate research-related needs and provide facility access. All veterinarians and managers meet regularly to ensure facility operations are adhering to standard operating procedures established for the campus-wide program and to ensure adequate staffing levels for each facility.

Four levels of staff are employed to work directly with the animals: Animal Technician, Animal Technician Senior, Animal Technologist, and Animal Technologist Senior. These individuals feed, water, and care for all animals as well as observe health conditions and behavior. Other duties include reporting injuries, disease or abnormal behavior, and administering medical treatment according to prescribed instructions from veterinarians or veterinary paraprofessionals. They may also assist investigators with research procedures, euthanize animals, or maintenance of rodent breeding colonies, which includes setting up breeding pairs, culling old/non-productive animals, weaning offspring, and record keeping. Animal Technician Senior and higher level husbandry staff members work with non-human primates and animals which have been exposed to biological or radiation hazards, and perform quality assurance testing.

Husbandry staff members service the animal rooms daily and rooms are disinfected between species or upon room break down. They monitor room conditions/environments such as temperature, humidity, lighting, etc. Husbandry personnel stay current with new technologies in feeding, watering, housing, and

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caring for various types of animals. All laboratory rodents are maintained specific pathogen free (SPF), except for certain [REDACTED] studies that involve multi-pathogen infected mice. In addition, mice and rats are required to be housed in micro isolator cages or individually ventilated caging systems; with some exceptions for animals on approved protocols that require different accommodations for the study. Animal Technologists and Animal Technologist Seniors are responsible for training new husbandry employees as well as newly promoted husbandry employees, and also perform advanced technical services. This section ensures that all federal, local, university, and departmental standards are being met regarding the care and housing of laboratory animals. Husbandry also maintains files and records on animals, facility environments, and animal care staff.

Cage Wash: Personnel are responsible for the cleaning, autoclaving, and set-up of cages and equipment used to house the animals. The Animal Care Manager for Cage Wash oversees the training and supervises the Animal Technician Senior, Animal Technicians, Animal Cage Wash Technicians, and students who work in these areas. The Animal Technician Senior devotes substantial time to training entry level personnel in cage wash procedures. Animal Technicians rotate between [REDACTED] [REDACTED] and [REDACTED] cage wash areas, and begin training in the performance of husbandry procedures in animal rooms. Animal Cage Wash Technicians are entry level and work only in the cage wash areas until fully trained. Student workers work primarily in cage wash areas and occasionally assist with weekend husbandry care; primarily at the [REDACTED] animal facility.

Monitoring of sanitization/sterilization procedures is routinely performed. Autoclaves are monitored each cycle with autoclave tape, digital print-outs, and steam integrators, monthly by use of bacterial spore sterilization indicators, and quarterly by [REDACTED] for proper function. Vaporized hydrogen peroxide sterilization is verified by chemical indicators, computerized print outs, and monthly use of an ATP Luminometer. Cage wash temperature is monitored weekly with temperature strips and cage washers are evaluated quarterly for proper function by [REDACTED]. ATP Luminometer swabs are applied quarterly to recently sanitized caging and equipment. Samples of drinking water are taken from [REDACTED] supply sources every other week at [REDACTED] and weekly at [REDACTED] and tested for bacteria, and the [REDACTED] water supply is checked at least once per week for chlorine level. Pre-filled Innovive water bottles used at [REDACTED] are produced by the vendor using a highly regulated process with quality tests performed on each batch and strict adherence to quality standards. Room pressurization is checked weekly. Vermin monitoring/control is overseen. [REDACTED] provides oversight and maintains centralized records for these quality assurance procedures.

VETERINARY SERVICES

Clinical: Quality clinical veterinary medical care is provided by veterinarians and veterinary paraprofessionals to ensure the health and well-being of all UA research animals. This includes animal health rounds, medical surveillance, treatments, postoperative support, management of USDA records for regulated species and oversight of the UAC pharmacy and clinical areas to ensure adequate availability of drugs and medical supplies that are not expired. Animal care staff are trained by veterinarians to recognize sick or injured animals, to check all animals daily, and to report sick/injured animals to the UAC Clinical e-mail and/or contact a veterinarian or other clinical staff. Veterinarians and/or veterinary paraprofessionals perform clinical rounds at least weekly. Veterinary staff responds to the clinical cases for their facility, follow up with researchers, and establish a case plan. Animal care staff perform most

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routine treatments, under the direction of the facility veterinarian, while veterinary staff performs more complex treatments. On weekends and holidays, animal husbandry technicians assist in performing treatments and observing animals. Veterinarians are on-call weekends, evenings, and holidays and are immediately available by cell phone to manage emergency situations.

Small Animals: Veterinarians assist researchers with the preparation of their IACUC protocols and experimental design, and investigate unexpected outcomes related to experimental manipulations or new rodent phenotypes. Training is provided to enhance skill development for technicians and researchers, and includes rodent handling, technical procedures (blood draw, oral gavage, administration of experimental agents), colony and breeding management, rederivation services, and rodent surgery training and peri-operative support. Technical and scientific support services for researchers are provided for research projects on a fee-for-service basis. A germ-free/gnotobiotic service is based within the [REDACTED] barrier facility and provides germfree and flora-defined mice for experimental use. It maintains a germ-free breeding colony to facilitate rederivation of transgenic mice into the germ-free status as well as for purchase by investigators. Quality assurance to demonstrate the defined microbiological status of the animals is a core aspect of the service.

Large Animals: Veterinarians and veterinary paraprofessionals provide anesthesia, imaging, surgical, technical and other procedural support and training to help investigators accomplish their research goals with large animal models, primarily pigs, sheep and NHP. Services include investigator consultation, scheduling of surgery and radiology suites, surgical room and instrument preparation, anesthetic induction, monitoring, and recovery, maintenance of anesthesia and surgical equipment, and operation of the fluoroscopy, x-ray, and ultrasound imaging units. Training is provided to enhance skill development and ensure proficiency in the areas of anesthesia, surgery, and radiology for technicians and researchers. Technical support for research projects is available on a fee-for-service basis.

Agricultural Animals: Husbandry for animals maintained at Agricultural Centers is provided through the School of Animal and Comparative Biomedical Sciences. UAC provides oversight of the farms through inspections, visual health checks, and communication with the personnel operating the various units. A UAC veterinarian and veterinary paraprofessional are assigned to oversee the agricultural animal care program, and visit each of the Tucson Agricultural centers at least once weekly. Routine and emergency farm animal veterinary care is provided by UAC Veterinarians. Private practice veterinarians and specialists are utilized for emergency response, advanced procedures, or complex cases.

Pathology: Diagnostic pathology support is routinely provided for any research animals that become moribund or die unexpectedly. Detection of infectious disease in the animal facility allows expedient use of preventive and/or therapeutic measures to prevent disease transmission to other research animals. Identification of the cause of experimentally induced morbidity/mortality ensures animal welfare and improves research productivity. Anatomic and clinical pathology support for research projects are provided on a fee-for-service basis. Intramural testing includes hematology, blood chemistry, serology, microbiology, parasitology, urinalysis, necropsy, histopathology, and PCR. Samples are processed and submitted to outside laboratories for confirmation of test results or when intramural testing is unavailable. Quality assurance testing includes animal health monitoring and the environmental monitoring programs. All rodent rooms contain sentinel rodents which are tested three times a year for viruses, pathogenic bacteria, and endo- and ectoparasites. Finches and zebrafish are monitored for

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common zoonoses. Dependent on study length, rabbits are tested three times a year for common pathogens (ecto- and endoparasites, Encephalitozoon cuniculi, Pasteurella) and large animals may be tested by hematology, serum chemistry, parasite exams, serology, and/or culture for microbial pathogens.

BUSINESS SERVICES

Procurement: Procurement staff order all animals used for biomedical research at the University, schedule and transport animals between husbandry facilities and investigator laboratories, and procure animals from non-approved sources. IACUC-approved animal usage is monitored through the [REDACTED] animal management system. This system allows direct comparison of animal numbers, pain categories and personnel approved for IACUC protocols against animal orders. If a discrepancy is discovered, the Buyer forwards a memo to the Principal Investigator (cc: IACUC Manager) and requests the PI take appropriate action to bring the order forms into compliance with the protocol, i.e. submission of an amendment. Health reports from approved vendors and institutions are reviewed by procurement staff to ensure that the vendor and institution complies with the University's disease-free conditions. If at any time the vendor or institution does not meet University requirements, any or all of the vendor's or institution's production facilities may be changed to unapproved status. Vendors and institutions remain on the approved list until a health or legal problem arises. Husbandry staff receive animals into the main animal facilities, matching the incoming animals to the animals that were ordered and placing animals into their respective rooms. Animals requested from non-commercial vendors, such as other universities, are considered non-approved sources (NAS). Health reports from the other institution are reviewed for compliance with University standards prior to animals being shipped. If the order is accepted, the animals are maintained in UAC quarantine facilities until they are determined to be free of excluded pathogens. Embryo transfer rederivation in collaboration with the [REDACTED] is required for all non-approved source vendor mice that enter the [REDACTED] animal facility, and may be required for animal entry into other UAC facilities, depending on prior health reports and end of quarantine health assessment results.

Procurement staff purchase all general supplies (feed, bedding, and husbandry supplies) used by husbandry and cage wash staff in UAC animal facilities. Supplies are inventoried on a weekly, bi-weekly, or monthly basis as appropriate, and all discrepancies are reported to the animal care managers. Supplies are purchased according to the departmental, University, state, and federal regulations using either a Purchasing Card, a purchase order number, University bulk order mechanisms, or by requesting a University check to be issued. Food, water, and bedding are provided for all animals under the care of UAC personnel. Individual investigators who care for animals housed in satellite facilities must be recharged for animal-related supplies as they are not being inventoried. Food, water, and bedding costs are factored into per diem rates. Additionally, UAC direct bills researchers for items such as sheets to cover animals, clothing (other than special clothing required by specific animal rooms), drugs, reagents, chemicals, blood collection, etc.

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Billing: Business Services is responsible for reconciling the [REDACTED] cage card database monthly and generating associated invoices for per diem charges. They enter invoices against animal orders placed and during monthly closing activities add these charges and per diem to the invoices using iLab software. Special service charges are imported into the invoicing system as well, once received from services provided for surgery or pathology, and miscellaneous departmental charges that arise outside of animal ordering and per diem care charges. All of the above charges are reconciled against internal reports prior

Revised April 2019

to the issuing of invoices for PI and departmental review to ensure accuracy and internal billing consistency. Invoices are sent out ten days prior to the posting of charges to the University of Arizona UAccess Financials system and in the interim business office staff process account changes and updates to the accounting file when requested by investigators and their departmental staff.

Financial Management: Business Services is responsible for reviewing and approving all invoices for payment. Business Services is responsible for the monthly review of all accounting entries to post to UAC accounts for business purpose, accuracy, classification, appropriateness, and to ensure supporting documentation is available for subsequent review. Account balances, spending, and revenue trends are monitored monthly and reported to management to ensure departmental funds are being spent according to plan and within budgetary and policy restrictions. Annual budgets are prepared and submitted for all auxiliary/recharge accounts and annual state and locally allocated budgets are reviewed and spending plans are established in conjunction with management. Business Services assists in the preparation of pre- and post-award sponsored project budgets and application supplemental documents and reviews expenditures and budgets of sponsored awards according to award terms. Business Services maintains and reviews fixed asset inventory and depreciation schedules and provides periodic audits or reports to FSO Capital Management as well as prepares and submits periodic space inventory reports to Real Estate Administration. An account is maintained to cover loss of research animals due to infection or animal care equipment failure, and other circumstances not covered by institutional property insurance. The balance in this account is replenished annually to a maximum \$100,000 per the IACUC.

Rate Study & Cost Accounting: Business Services is responsible for designing and applying cost-coding fields for use in the financial system to include subaccounts and project codes for later use in analysis and compilation of per diem, animal ordering, and special service rates. RDI Business Services staff work with UAC to prepare standard costing methodologies to be used in the application of costs related to various cost centers, such as cage wash, bedding, and various labor pools. RDI Business Services prepares an annual rate study proposal for department and University review and approval in conjunction with FSO Financial Management that updates rates to reflect changes in underlying unit sales and cost structures and allocations prepare an annual rate study proposal.

Administrative Support: Assistance is provided to all UAC veterinarians and managers with presentations, word processing, reports, travel arrangements, etc. Front desk reception is provided at [REDACTED] and [REDACTED]

Human Resources: Payroll and timesheet information is reviewed on a bi-weekly basis for accuracy and to ensure proper and timely payment of employees and proper accrual of leave benefits. All new hires, terminations, benefits information, personnel files, and leave paperwork and approvals are managed through the [REDACTED] central [REDACTED] unit.

Information Technology: UAC contracts with [REDACTED] from [REDACTED] to provide full-service desktop support along with file server storage and backup services on an annual basis. UAC data is backed up on a regular schedule and the data backups are stored offsite according to good practices for disaster recovery preparedness. UITS hosts [REDACTED], which is a web-based application that allows Principal Investigators and their staff to view protocol information and order animals. PIs can access historical information that dates back to April 2009, when [REDACTED] was implemented at the University of Arizona. System security includes NetID authentication and encrypted connections (HTTPS). Individuals must be on the campus network or using a campus VPN connection to access this site.

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FACILITIES MAINTENANCE AND CONSTRUCTION

This section is in charge of maintenance of the laboratory animal facilities and assists university and outside contractors who work toward the construction or renovation of our animal facilities. Personnel perform general painting, plumbing, electrical, and carpentry repairs in all the animal facilities as well as perform preventative maintenance on most equipment. This section maintains files and records on all animal related equipment and caging. The Facilities Project Manager determines material and labor estimates, requisitions material(s), supplies, and equipment needed to perform general maintenance and repairs to all facilities. The Facilities Project Manager also acts as the UAC liaison to Facilities Management and the Planning, Design, and Construction departments.

OTHER ACTIVITIES AND PROGRAMS

Satellite Facility Oversight: IACUC Policy 300 was established to clarify oversight and responsibilities for satellite facilities (where animals are housed 24 hours or more). A Memorandum of Understanding and Agreement (MUA) is developed jointly by UAC and the satellite to establish appropriate animal care and oversight: SOPs are created; animal observations and environmental assessment sheets are completed daily; UAC veterinary (or alternate veterinary) care is determined; UAC veterinarian and manager contact information for assistance during evening/weekend/holiday hours are distributed to satellites each week; and all satellites are included in the Emergency Contingency Plan. Regular inspections are made by IACUC and UAC representatives to ensure the welfare of the animals.

Surgical Training: UAC veterinarians administer a general rodent surgical training course provided by UAC veterinarians covers the following topics: surgeon preparation, instrument handling, wound closure, anesthesia, analgesia, patient monitoring, and surgical/peri-operative record keeping. UAC veterinary care staff must be involved in surgeries performed on USDA-regulated large animal species. The level of UAC veterinary involvement (surgical assistance, monitoring anesthesia, immediate availability for emergency care, etc.) is determined during pre-procedure planning and is dependent on the surgeon's experience level and proficiency. UAC veterinarians directly observe surgical procedures performed on small animal species (as required) to ensure personnel are adequately trained to perform the IACUC approved surgical procedure(s). The latter requirement is imposed at the discretion of the IACUC and/or the Attending Veterinarian (or designee) whenever the surgical proficiency of an individual for a surgical procedure is in question.

AALAS Certification: UAC has study materials available for check out and periodically establishes study groups to help prepare technicians for the AALAS ALAT LAT, and LATG certification exams. Salary incentives are in place to encourage AALAS certification.

Seminar Series: UAC's seminar series provides continuing education and fosters improved morale among UAC staff. This monthly series is year round, except during weeks that contain a University holiday. Topics include orientation to UAC, customer service, code of conduct, research animal biology/disease, laws and regulations, research presentations from investigators, training, and other topics that are pertinent to the use of animals in research.

Employee Recognition: A department-wide appreciation event is held annually to celebrate individual and departmental accomplishments. A "UAC Feedback Form" is located on our website and provides

Revised April 2019

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employees and researchers with an avenue to acknowledge appreciation for individual employees or UAC, and also to submit suggestions, concerns, or complaints about the program.

Occupational Health and Safety: University employees who have significant research animal contact are subject to the Occupational Health and Safety component of the Animal Care and Use Program, which is called the Animal Hazards Program. Medical surveillance is administered through the Occupational Health Department of Campus Health Services. Depending upon species exposure, employees are administered appropriate vaccinations (e.g. tetanus, rabies, influenza) and tests (e.g. TST, Q-fever). Training and information on occupational health and safety is conveyed through medical surveillance, IACUC certification, UAC seminars, Risk Management and hazard (chemical, radiation and biological) training, and AALAS certification training. When human pathogens or hazardous substances are used, appropriate signage and instructions are posted. Federal and state regulations and guidelines for biologic, chemical, and radiation hazard use are administered by Research Laboratory and Safety Services.

UAC personnel wear surgical scrubs and/or lab coats purchased by UAC when working in the animal facilities. Scrubs and lab coats are laundered by UAC personnel as needed to maintain an adequate supply. Employees are provided an allowance for approved footwear (tennis shoes) that are used only in the animal facilities. Personal protective equipment (PPE) is provided and worn as prescribed by risk assessment in each area in the facilities (e.g. hazard, sterile, surgery, NHP, etc.). Disposable PPE include gowns, gloves, bonnets, masks, shoe covers, and surgical hoods. Tyvek coveralls, N-95 respirator masks, PAPR respirators, and boots are also used. Locker and shower rooms are available in all main animal facilities. Eating, drinking, smoking, and applying cosmetics are not allowed in the animal facilities. Animal care personnel are permitted to eat and drink in the employee lounges and offices of each facility. Smoking is not allowed on University property. Employees are referred to the Occupational Health Clinic or Emergency Medicine, [REDACTED] Tucson for emergency, job-related injuries.

UAC has detailed standard operating procedures and special training programs for personnel working with non-human primates to mitigate exposure to Macacine herpesvirus 1 (Herpes B). Emergency procedures are in place for potential exposures that could occur through monkey scratches or bites. Safety precautions and the plan of action for what to do following an exposure are available in all primate rooms and labs where primates are taken. All personnel, whether members of UAC or not, are required to follow posted safety guidelines for working with nonhuman primates.

Animal Environmental Enrichment: University Animal Care is committed to ensuring the humane care and use of all animals associated with its research and teaching programs. Addressing the directive of humane care involves the development and correct implementation of environmental enrichment and enhancement. Environmental enrichment is designed to positively increase and encourage time spent on species-specific behaviors, and to decrease, or eliminate, maladaptive behaviors. The following table serves as a basic set of standard operating procedures as well as a catalog of enrichment options. It is important to note that not all standard enrichment will benefit all intended individuals. Each individual primary investigator/protocol animal colony requires the clearance of both the specific PI and UAC veterinarian [REDACTED] to begin any enrichment program. Once approved, the catalog below will serve as a useful resource in planning individual programs. Table 1 shows a basic list of positive species-specific behaviors that should be encouraged through enrichment; and, maladaptive behaviors to eliminate. There are three subsets to environmental enrichment: Social, Structural, and Activity. The development

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and refinement of this program meets the requirements of the National Research Council, *Guide for the Care and Use of Laboratory Animals* and the Animal Welfare Act and Regulations, specifically The Improved Standards for Laboratory Animal Act <http://www.nal.usda.gov/awic/legislat/awa.htm>

Table 1: Natural Behavior and Habitat of Species Housed in the Animal Facility		
Species	Normal Behaviors Exhibited in Captivity	Abnormal/Maladaptive Behaviors
Cats	Investigative, social, allogrooming and allorubbing	Excessive vocalization, excessive grooming, pacing, paw shaking, staring
Chickens	Roosting, foraging, pecking	Feather pecking, aggression, cannibalism, excessive fearfulness
Dogs	Exploratory, social	Excessive aggression, excessive barking, pacing, self-biting, excessive grooming, coprophagia
Hamsters	Nocturnal, exploratory, hoarding food, foraging, burrowing, gnawing, and escape artists	Cannibalism, fighting.
Gerbils	Exploratory, gentle, burrowing, gnawing, jumping, and hind limb thumping.	Scratching at the cage corners
Guinea Pigs	Social, vocalizing, foraging, gnawing, coprophagic	Fighting, stampeding.
Mice	Nocturnal, nest building, and burrowing, thigmotaxis, foraging, gnawing	Barbering, fighting especially in males, food grinding
Non-human Primates	Social, foraging, exploratory	Pacing, back flipping, rocking, self-biting, head banging, and hair plucking
Rabbits	Crepuscular, non-aggressive, exploratory	Barbering or hair pulling, cage nosing or mouthing, digging, “frisky hopping”, chin rubbing (scent marking)
Rats	Nocturnal, nest building and burrowing, thigmotaxis, foraging, gnawing, coprophagic	Barbering
Ruminants	Social, exploratory,	Excessive aggression, fighting
Swine	Social, foraging, exploratory, investigative	Excessive aggression, fighting

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Species	Enrichment
	<ol style="list-style-type: none"> 1. UAC base enrichment 2. Additional enrichment provided as needed/requested
Cat	Toys, human and other cat play and socialization, exercise, open room environment and soft bedding
Dog	Walks, human and other dog play and socialization, chew toys, grooming, treats/canned food and music
Guinea Pig	Social housing, plastic tunnels, toys, fruits and vegetables 3x weekly
Farm animals	Stallions are signally housed in areas where there is a lot of human activity and traffic. Stalls are also situated so that animals are able to see pastures. Some enrichment material (ropes, balls) are also provided. All other animals are socially housed.
Fish	House in compatible groups Fake plants in breeding tanks
Mouse	<ol style="list-style-type: none"> 1. Social housing 2. Nestlets, diamond twists, enriched bedding (such as AlphaDri+) 3. Mouse houses
NHP	A variety of unprocessed fruits, vegetables, nuts, seeds, and other foods placed on cage tops, in puzzle feeders, or hidden in various toys and containers with and without additional foraging substrates. Whole coconuts, popcorn, and juice sprayed onto the cage or on toys, pans of water, cardboard boxes, and phone books, buckets of water and treats are hung outside the cage, videos, music, social housing and/or visual contact.
Pig	Toys, hanging chains, shavings, fence mounted brushes for rubbing/scratching, balls, enrichment bags filled with hay, fruit/vegetables and music
Rabbit	<ol style="list-style-type: none"> 1. Toys, social housing, vegetable treat tubes and bags 2. Mirrors, pool play, plastic shelves to climb on
Rat/Hamster/Gerbil	<ol style="list-style-type: none"> 1. Social housing and diamond twists 2. Plastic tunnels/tubes and chew blocks
Sheep/Calves	House in compatible groups and salt licks

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Revised April 2019

Standards

- Items used in enrichment need to be evaluated for use by taking into account the following:
 1. The species of animal (its needs, habits, and capabilities)
 2. Type of enrichment device (treat, exercise, toys)
 3. Utility of the device (its ability to stimulate the animal's interest)
 4. Safety of the device (not injurious to the animal, and its ability to be sanitized for future use)
 5. Nature of the research being done (research will not be compromised due to placement of an enrichment device)
- Specific needs and requirements should be directed to facility managers and the Clinical Veterinarian.
- Unless specifically justified by the primary investigator in their protocol, all animals will receive enrichment.
- It is recognized that animal enrichment can be a research variable.
- Enrichment is an integral part of daily husbandry and care of animals
- Positive non-husbandry interaction with humans should be offered as applicable
- For social species, housing compatible co-specifics offers a high level of enrichment and psychological well-being. Every effort should be made to socially house animals as the enrichment technique of first choice.

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[illegible]

Country	Share of GDP
United States	1.2%
Germany	0.8%
France	0.7%
United Kingdom	0.6%
Italy	0.5%
Spain	0.4%
Japan	0.3%
China	0.2%
India	0.1%
South Korea	0.1%
Canada	0.1%
Brazil	0.1%
Russia	0.1%
South Africa	0.1%
Argentina	0.1%
Colombia	0.1%
Peru	0.1%
Chile	0.1%
Uruguay	0.1%
Venezuela	0.1%
Costa Rica	0.1%
Panama	0.1%
Dominican Republic	0.1%
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Nicaragua	0.1%
Belize	0.1%
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Revised April 2019

IACUC PROGRAM STATISTICS

As of: 04/23/2019

I. Active personnel: 1259 total individuals [↑ 36]

II. Active animal census (cages): 12,177 total cages [↑ 89]

- 5077 [↑ 178] - 4585 [↓ 199] - Psych: 8 [↑ 3]
- 1621 [↑ 29] - 886 [↑ 78]

III. Total Number of PIs [all classifications]: 221 [↑ 2]

IV. Total Number of Protocols [all classifications]: 295 [↑ 11]

V. Full Protocol Statistics:

- a. Number of PIs: 185 [↑ 3]
- b. Total number of protocols = 240 [↑ 8]
 1. Number with Approved status = 220
 2. Number on hold [administrative] = 0
 3. Number Pending = 20 [6 renewals]

Protocols submitted by year

*Figures do not include abbreviated protocol or MOUs.

Year	Renewals	New	Total	Year	Renewals	New	Total	Year	Renewals	New	Total	Ave Review [Days] IACUC / Total	
1990	81	214	295	2000	63	119	182	2010*	58	94	152	N/A	N/A
1991	62	162	224	2001	67	140	207	2011*	61	72	133	N/A	N/A
1992	142	158	300	2002	72	133	205	2012*	45	74	119	N/A	N/A
1993	89	163	252	2003	63	131	194	2013*	42	52	94	51	64
1994	87	142	226	2004	70	152	222	2014*	43	48	91	18	30
1995	89	146	235	2005	59	131	190	2015*	35	63	98	20	31
1996	65	124	189	2006	58	129	187	2016*	35	54	89	20	28
1997	73	137	210	2007	66	133	169	2017*	50	54	104	23	36
1998	60	132	192	2008	39	119	158	2018*	48	60	108	19	37
1999	63	120	183	2009	65	112	177	2019*	13	18	31	17	37

VI. Abbreviated Protocol Statistics:

- a. Number of PIs: 49
- b. Total number of abbreviated protocols = 54 [↓ 1]
 1. Number with Approved status = 51
 2. Number on hold [administrative] = 1
 3. Number Pending = 2

VII. MOU Statistics:

- a. Number of PIs: 15
- b. Total number of UA subawards = 26 [↓ 4]
 1. Number with Approved status = 26
 2. Number Pending = 0
- c. Total number of non-UA subawards = 8

VIII. Amendment Statistics: Amendments submitted by year

Year	# Submitted	Year	# Submitted	Year	# Submitted	Ave Review [Days]	Year	# Submitted	Ave Review [Days]
2007	161	2011	147	2015	218	12	2019	75	21
2008	135	2012	313	2016	183	15			
2009	135	2013	247	2017	236	19			
2010	156	2014	220	2018	230	23			

Obtained by Rise

IX. Request for Change [RFC] Statistics: RFC submitted by year

Year	#	Ave Verification [Days]	Year	#	Ave Verification [Days]	Year	#	Ave Verification [Days]
2015	72	2	2017	131	6	2019	42	3
2016	145	4	2018	134	3			

Spring 2019

No reports of non-compliance or adverse events submitted by outside institutions

Active UA Memoranda of Understanding (MOU)

MOU #	UA PI	External Institution
		Canine Companions for Independence
		Duke
		Beckman Research Institute, City of Hope National Medical Center
		UCSF
		UCSF
		UCSF
		Memorial Sloan-Kettering Cancer Center
		Fred Hutchinson Cancer Research Center
		MD Anderson Cancer Center
		Massachusetts General Hospital [Harvard Medical School]
		University of Texas - Austin.
		University of Georgia
		Northeastern University
		Colorado State University
		University of Georgia
		Texas Tech University Health Sciences Center
		UC Davis
		La Jolla Institute for Allergy and Immunology
		UCSF
		Lawrence Livermore National Laboratory
		SUNY Albany
		UC Davis
		Jackson Labs
		Eastern Virginia Medical School
		UC Davis
		UC Davis

Active Non-UA MOUs

Protocol #	UA PI	External Institution
		University of Arkansas
		University of Arkansas
		Wayne State University
		BNI
		Duke
		SAVAMC
		University of Michigan
		St. Louis University

Obtained by Rise

I. Departures and Exceptions Checklist

The Departures and Exceptions Checklist is provided to assist the IACUC in identifying IACUC-approved departures from the *Guide for the Care and Use of Laboratory Animal* as well as exceptions from specific USDA regulatory requirements that differ from or are in addition to the PHS Policy.

A. MUSTSⁱ

i. Institutional Policies and Responsibilities

E= Existing IACUC Approved Departure

N= New IACUC Approved Departure (include in semiannual report to IO)

NA= not applicable

1.	Animal Care and Use Program	E	N	NA
1a	Responsibility for animal well-being is assumed by all members of the program (<i>Guide, p 1</i>) [must]			X
Comments:				
1b	Resources necessary to manage program of veterinary care are provided (<i>Guide, p 14</i>) [must]			X
Comments:				
1c	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
Comments:				

2.	Disaster Planning and Emergency Preparedness	E	N	NA
2a	Disaster plans for each facility to include satellite locations are in place (<i>Guide, p 35, p 75</i>) [must]			X
Comments:				
2b	Plans include provisions for euthanasia (<i>Guide, p 35</i>) [must]			X
Comments:				

3.	IACUC	E	N	NA
3a	Meets as necessary to fulfill responsibilities (<i>Guide, p 25</i>) [must]			X
Comments:				
3b	IACUC Members named in protocols or with conflicts rescue themselves from protocol decisions (<i>Guide, p 26</i>) [must]			X
Comments:				

4.	IACUC Protocol Review – Special Considerations	E	N	NA
4a	Restraint devices are justified in the animal use protocols (<i>Guide, p 29</i>) [must]			X
Comments:				
4b	Veterinary care is provided if lesions or illness result from restraint (<i>Guide, p 30</i>) [must]			X
Comments:				

5.	IACUC Membership and Functions	E	N	NA
5a	Methods for reporting and investigating animal welfare concerns are in place (<i>Guide, p 23</i>) [must]			X
Comments:				

6.	Veterinary Care (see also next section – Veterinary Care)	E	N	NA
6a	Veterinary Access to all animals is provided (<i>Guide, p 14</i>) [must]			X
Comments:				
6b	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
Comments:				
6c	Veterinarian provides consultation when pain and distress exceeds anticipated level in protocol (<i>Guide, p 5</i>) [must]			X
Comments:				
6d	Veterinarian provides consultation when interventional control is not possible (<i>Guide, p 5</i>) [must]			X

Comments:				
6e	Veterinarian(s) have experience and training in species used (<i>Guide</i> , p 15) [must]			X
Comments:				
7.	Personnel Qualifications and Training	E	N	NA
7a	All laboratory personnel are adequately educated, trained, and/or qualified in basic principles of laboratory animal science. Personnel included: [must]			
7a.1	Veterinary/ other professional staff (<i>Guide</i> , p 15-16)			X
Comments:				
7a.2	IACUC members (<i>Guide</i> , p 17)			X
Comments:				
7a.3	Animal care personnel (<i>Guide</i> , p 16)			X
Comments:				
7a.4	Research investigators, instructors, technicians, trainees, and students (<i>Guide</i> , p 16-17)			X
Comments:				

8.	Occupational Health and Safety of Personnel	E	N	NA
8a	Program is in place and is consistent with federal, state, and local regulations (<i>Guide</i> , p 17) [must]			X
Comments:				
8b	Program for medical evaluation and preventative medicine for personnel includes:			
8b.1	Considers confidentiality and other legal factors as required by federal, state, and local regulations (<i>Guide</i> , p 22) [must]			X
Comments:				
8b.2	If serum samples are collected, the purpose is consistent with federal and state laws (<i>Guide</i> , p 22) [must]			X
Comments:				

9.	Investigating & Reporting Animal Welfare Concerns	E	N	NA
9a	Methods for investigating and reporting animal welfare concerns are established (<i>Guide</i> , p 23) [must]			X
Comments:				

ii. Veterinary Care

E= Existing IACUC Approved Departure

N= New IACUC Approved Departure (include in semiannual report to IO)

NA= not applicable

1.	Clinical Care and Management	E	N	NA
1a	Veterinary program offers high quality of care and ethical standards (<i>Guide</i> , p 105) [must]			X
Comments:				
1b	Procedures established for timely reporting of animal injury, illness, or disease (<i>Guide</i> , p 114) [must]			X
Comments:				
1c	Procedures established for veterinary assessment, treatment, or euthanasia (<i>Guide</i> , p 114) [must]			X
Comments:				
1d	Veterinarian is authorized to treat, relieve pain, and/or euthanize (<i>Guide</i> , p 114) [must]			X
Comments:				

2.	Animal Procurement and Transportation/ Preventative Medicine	E	N	NA
2a	Procedures for lawful animal procurement are in place (<i>Guide</i> , p 106) [must]			X
Comments:				
2b	Procedures for compliance with animal transportation regulations, including international requirements, are in place (<i>Guide</i> , p 107) [must]			X
Comments:				

3.	Surgery	E	N	NA
3a	Researchers have appropriate training to ensure good techniques (<i>Guide, p 115</i>) [must]			X
Comments:				

4.	Pain, Distress, Anesthesia and Analgesia	E	N	NA
4a	Procedures are in place to assure antinociception before surgery begins (<i>Guide, p 122</i>) [must]			X
Comments:				

5.	Euthanasia	E	N	NA
5a	Procedures and training are in place to ensure death is confirmed (<i>Guide, p 124</i>) [must]			X
Comments:				

6.	Drug Storage and Control	E	N	NA
6a	Program complies with federal regulations for human and veterinary drugs (<i>Guide, p 115</i>) [must]			X
Comments:				
6b	Procedures are in place to ensure analgesics and anesthetics are used within expiration date (<i>Guide, p 122</i>) [must]			X
Comments:				

iii. Terrestrial Animal Housing and Support Areas

E= Existing IACUC Approved Departure

N= New IACUC Approved Departure (include in semiannual report to IO)

NA= not applicable

1.	Primary Enclosure: (<i>Protocol Exception 10</i>)	E	N	NA
1a	Animals express natural postures, can turn around, access food and water, and rest away from urine and feces (<i>Guide, p 56</i>) [must]	X		
Comments:				

2.	Sheltered or Outdoor Housing: (e.g., barns corrals, pastures, islands) (<i>Protocol Methodology, Exception 10</i>)	E	N	NA
2a	Weather protection and opportunity to retreat (<i>Guide, p 54</i>) [must]			X
Comments:				

3.	Waste Disposal:	E	N	NA
3a	Hazardous wastes are rendered safe before removal from facility (<i>Guide, p 73- 74</i>) [must]			X
Comments:				

4.	Emergency, Weekend, and Holiday Animal Care:	E	N	NA
4a	Veterinary care available after hours, weekends, and holidays (<i>Guide, pp 74, 114</i>) [must]			X
Comments:				

iv. Aquatic Animal Housing and Support Areas

E= Existing IACUC Approved Departure

N= New IACUC Approved Departure (include in semiannual report to IO)

NA= not applicable

1.	Water Quality:	E	N	NA
1a	Chlorine, chloramines, chemical, and reactive bioproducts are removed or neutralized prior to use in aquatic systems (<i>Guide, pp 78, 86</i>) [must]			X
Comments:				

2.	Life Support System:	E	N	NA
2a	Biofilter is of sufficient size to process bioload (<i>Guide</i> , p 80 [must])			X
Comments:				

3.	Waste Disposal:	E	N	NA
3a	Hazardous wastes are rendered safe before removal from facility (<i>Guide</i> , p 73- 74) [must]			X
Comments:				

4.	Emergency, Weekend, and Holiday Animal Care:	E	N	NA
4a	Veterinary care available after hours, weekends, and holidays (<i>Guide</i> , pp 74, 114) [must]			X
Comments:				

v. Special Facilities: Procedure Area, Non-Survival Surgeries, Laboratories, Rodent Surgeries, Imaging, Whole Body Irradiation, Hazardous Agent Contamination, Behavioral Studies

E* = Existing IACUC Approved Departure

N = New IACUC Approved Departure (include in semiannual report to IO)

NA = not applicable

1.	Imaging/Whole Body Irradiation:	E	N	NA
1a	Appropriate sensors and ventilation are provided for cryogen gases (<i>Guide</i> , p 147) [must]			X
Comments:				

2.	Hazardous Agent Containment:	E	N	NA
2a	Facility adheres to APHIS, USDA, and CDC Select Agent Regulations and other federal, state, and local regulations including security measures (<i>Guide</i> , p 148) [must]			X
Comments:				

B. SHOULDⁱⁱ

i. Institutional Policies and Responsibilities

E = Existing IACUC Approved Departure

N = New IACUC Approved Departure (include in semiannual report to IO)

NA = not applicable

1.	IACUC Protocol Review – Special Considerations	E	N	NA
1a	Training of animals to adapt to restraint is provided (<i>Guide</i> , p 29) (AAALAC Report)	X		
Comments:				
1b	Body weight of food/fluid restricted animals are recorded at least weekly (<i>Guide</i> , p 31) (<i>Protocol Exception 3</i>)	X		
Comments:				
1c	Daily written records are maintained for food/fluid restricted animals (<i>Guide</i> , p 31) (<i>Protocol Exception 3</i>)			X
Comments:				
1d	Pharmaceutical-grade chemicals and other substances should be used, when available, for all animal-related procedures (<i>Guide</i> , p 31) (<i>Protocol Exception 1</i>)	X	X	
Comments: 7 renewals and 13 new protocols with Non-Pharma compounds				
1e	Use of expired medical materials is reviewed and approved by the IACUC. (OLAW FAQ F.5 , USDA APHIS Animal Care Policy #3) (<i>Protocol Exception 12</i>)	X		
Comments:				

2.	Personnel Qualifications and Training	E	N	NA
2a	Training is available prior to starting animal activity (<i>Guide</i> , p 17)			X

Comments:

3.	Occupational Health and Safety Personnel	E	N	NA
3a	Program covers all personnel who work in laboratory animal facilities (<i>Guide</i> , p 18)			X
Comments:				

ii. Terrestrial Animal Housing and Support Areas

E= Existing IACUC Approved Departure

N= New IACUC Approved Departure (include in semiannual report to IO)

NA= not applicable

1.	Location:	E	N	NA
1a	Animal areas separate from personnel areas (<i>Guide</i> , p 134)			X
Comments:				
1b	Separation of species (<i>Guide</i> , p 111)			X
Comments:				
1c	Separation by disease status (<i>Guide</i> , p 111)			X
Comments:				
1d	Security and access control (<i>Guide</i> , p 151)			X
Comments:				

2.	Construction:	E	N	NA
2a	Corridors (<i>Guide</i> , p 136)			X
Comments:				
2b	Animal room doors (<i>Guide</i> , p 137)			X
Comments:				
2c	Exterior windows (<i>Guide</i> , p 137)			X
Comments:				
2d	Floors (<i>Guide</i> , p 137)			X
Comments:				
2e	Drainage (<i>Guide</i> , p 138)			X
Comments:				
2f	Walls and ceilings (<i>Guide</i> , p 138)			X
Comments:				
2g	Heating ventilation and air conditioning (<i>Guide</i> , p 139)			X
Comments:				
2h	Power and lighting (<i>Guide</i> , p 141)			X
Comments:				
2i	Noise control (<i>Guide</i> , p 142)			X
Comments:				
2j	Vibration control (<i>Guide</i> , p 142)			X
Comments:				
2k	Environmental monitoring (<i>Guide</i> , p 143)			X
Comments:				

3.	Room/Cage: (<i>Protocol Exception 10</i>)	E	N	NA
3a	Temperature and humidity (<i>Guide</i> , p 43)	X		
Comments:				
3b	Ventilation and air quality (<i>Guide</i> , p 45)	X		

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Comments:			
3c	Illumination (<i>Guide</i> , p 47)	X	
Comments:			
3d	Noise and vibration (<i>Guide</i> , p 49)	X	
Comments:			

4.	Primary Enclosure: (Protocol Exceptions 5 & 10)	E	N	NA
4a	Space meets physiologic, behavioral ⁱⁱⁱ , and social ^{iv} needs (<i>Guide</i> , pp 51, 55-63)			X
Comments:				
4b	Secure environment provided (<i>Guide</i> , p 51)			X
Comments:				
4c	Durable, nontoxic materials in good repair and no risk of injury (<i>Guide</i> , p 51)			X
Comments:				
4d	Flooring is safe and appropriate for species (<i>Guide</i> , p 51)			X
Comments:				
4e	Adequate bedding and structures for resting, sleeping, and breeding (<i>Guide</i> , p 52)	X	X	
Comments: 1 renewal protocol where animals are housed without bedding [metabolic caging]				
4f	Objective assessments of housing and management are made (<i>Guide</i> , p 52)			X
Comments:				
4g	Procedures for routine husbandry are documented (<i>Guide</i> , p 52)			X
Comments:				
4h	Socially housed animals can escape or hide to avoid aggression (<i>Guide</i> , p 55)		X	
Comments: 1 renewal protocol using special caging specifically to prevent avoidance of aggression for social defeat				
4i	Cage height provides adequate clearance (<i>Guide</i> , p 56)			X
Comments:				
4j	Rationale ^v for <i>Guide</i> /USDA space exceptions approved by IACUC and based on performance indices (<i>Guide</i> , p 56) (Protocol Exceptions 2, 5, & 10)	X	X	
Comments: 1 renewal protocol with space exception not based on performance indices				
4k	Dogs and cats allowed to exercise and provided human interaction (<i>Guide</i> , p 58)			X
Comments:				
4l	Nonhuman primates are socially housed except for scientific, veterinary, or behavioral reasons (<i>Guide</i> , p 58-59)			X
Comments:				
4m	Single housing of nonhuman primates is for shortest duration possible (<i>Guide</i> , p 60)			X
Comments:				
4n	Opportunities for release in larger enclosures is considered for single caged nonhuman primates (<i>Guide</i> , p 60)			X
Comments:				
4o	Agricultural animals are housed socially (<i>Guide</i> , p 60)	X		
Comments:				
4p	Foods troughs and water devices for agricultural animals allow access for all animals (<i>Guide</i> , p 60)			X
Comments:				

5.	Environmental Enrichment, Behavioral and Social Management: (Protocol Exception 11)	E	N	NA
5a	Structures and resources promote species typical behavior (<i>Guide</i> , pp 52-54)			X
Comments:				
5b	Novelty of enrichment is considered (<i>Guide</i> , p 53)	X		
Comments:				
5c	Specific species plans for housing including enrichment, behavior, and activity are developed and reviewed regularly by IACUC, researchers, and veterinarian (<i>Guide</i> , pp 53, 58, 60, 63)			X

Comments:				
5d	Animal care personnel receive training to identify abnormal animal behaviors (<i>Guide, p 53</i>)			X
Comments:				
5e	Stability of pairs or groups is monitored for incompatibility (<i>Guide, p 64</i>)			X
Comments:				
5f	Single housing is justified, for social species (<i>Guide, p 64</i>)			X
Comments:				
5g	Single housing is limited to the minimum period necessary (<i>Guide, p 64</i>)			X
Comments:				
5h	Additional enrichment for single housed animals is provided (<i>Guide, p 64</i>)	X	X	
Comments: 2 renewal protocols without enrichment for single housed animals				
5i	Single housing is reviewed regularly by IACUC and veterinarian (<i>Guide, p 64</i>)			X
Comments:				
5j	Habituation and training of animal to routine procedures is performed (<i>Guide, p 64</i>)			X
Comments:				

6.	Sheltered or Outdoor Housing: (e.g., barns, corrals, pastures, islands)	E	N	NA
6a	Appropriate size (<i>Guide, p 54</i>)			X
Comments:				
6b	Ventilation and sanitation of shelter (no waste/moisture build-up) (<i>Guide, p 54</i>)			X
Comments:				
6c	Animal acclimation (<i>Guide, p 55</i>)			X
Comments:				
6d	Social compatibility (<i>Guide, p 55</i>)			X
Comments:				
6e	Roundup/restraint procedures (<i>Guide, p 55</i>)			X
Comments:				
6f	Appropriate security (<i>Guide, p 55</i>)			X
Comments:				

7.	Naturalistic Environments:	E	N	NA
7a	Animals added/removed with consideration of effect on group (<i>Guide, p 55</i>)			X
Comments:				
7b	Adequate food, fresh water, and shelter ensured (<i>Guide, p 55</i>)			X
Comments:				

8.	Food:	E	N	NA
8a	Feeding schedule and procedures including caloric intake management (<i>Guide, pp 65-67</i>)			X
Comments:				
8b	Contamination prevention (<i>Guide, p 65</i>)			X
Comments:				
8c	Vendor quality control (<i>Guide, p 66</i>)			X
Comments:				
8d	Storage in sealed containers (<i>Guide, p 66</i>)			X
Comments:				
8e	Expiration date labeling (<i>Guide, p 66</i>)			X
Comments:				
8f	Vermin control (<i>Guide, p 66</i>)			X

Comments:			
8g	Rotation of stocks (<i>Guide</i> , p 66)		X
Comments:			

9. Water:		E	N	NA
9a	Ad libitum (<i>Guide</i> , pp 67-68) (<i>Protocol Exception 3</i>)	X		
Comments:				
9b	QC procedures (<i>Guide</i> , pp 67-68)			X
Comments:				

10. Bedding and Nesting Materials:		E	N	NA
10a	Species appropriate (<i>Guide</i> , pp 68-69) (<i>Protocol Exception 10</i>)	X		
Comments:				
10b	Keep animals dry (<i>Guide</i> , pp 68-69) (<i>Protocol Exception 10</i>)	X		
Comments:				
10c	QC procedures (<i>Guide</i> , pp 68-69)			X
Comments:				
10d	Minimizes scientific variables (<i>Guide</i> , pp 68-69)			X
Comments:				

11. Sanitation: (<i>Protocol Exception 6</i>)		E	N	NA
11a	Frequency of bedding/substrate change (<i>Guide</i> , p 70)	X		
Comments:				
11b	Cleaning and disinfection of microenvironment (<i>Guide</i> , pp 70-71) (<i>Protocol Exceptions 6 & 7</i>)	X	X	
Comments: 1 renewal protocol with extended period of microenvironment cleaning				
11c	Cleaning and disinfection of macroenvironment (<i>Guide</i> , p 72)			X
Comments:				
11d	Assessing effectiveness (<i>Guide</i> , p 73)			X
Comments:				

12. Waste Disposal:		E	N	NA
12a	Procedures for collection (<i>Guide</i> , pp 73-74)			X
Comments:				
12b	Procedures for storage and disposal (<i>Guide</i> , pp 73-74)			X
Comments:				
12c	Animal carcasses (<i>Guide</i> , pp 73-74)			X
Comments:				

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13. Pest Control:		E	N	NA
13a	Regularly scheduled (<i>Guide</i> , p 74)			X
Comments:				
13b	Documented program including control of rodent pests and insecticide use (<i>Guide</i> , p 74)			X
Comments:				

14. Emergency, Weekend, and Holiday Animal Care:		E	N	NA
14a	Care provided by qualified personnel every day (<i>Guide</i> , p 74)			X
Comments:				
14b	Provision for accessible contact information (<i>Guide</i> , p 74)			X

Comments:			
14c	Monitoring of backup systems (<i>Guide</i> , p 143)		X
Comments:			
14d	A disaster plan that takes into account both personnel and animals (<i>Guide</i> , p 75)		X
Comments:			

15. Identification:		E	N	NA
15a	Cage/rack cards contain required information (<i>Guide</i> , p 75)			X
Comments:				
15b	Genotype information included, and standardized nomenclature used when applicable (<i>Guide</i> , p 75)			X
Comments:				

16. Recordkeeping:		E	N	NA
16a	Clinical records accessible and contain appropriate information (<i>Guide</i> , pp 75-76)			X
Comments:				
16b	Records are provided when animals are transferred between institutions (<i>Guide</i> , p 75)			X
Comments:				

17. Breeding Genetics and Nomenclature:		E	N	NA
17a	Appropriate genetic records, management, and monitoring procedures (<i>Guide</i> , p 76)			X
Comments:				
17b	Phenotypes that affect wellbeing are reported to IACUC and effectively managed (<i>Guide</i> , p 77)			X
Comments:				

18. Storage:		E	N	NA
18a	Adequate space for equipment, supplies, food, bedding, and refuse (<i>Guide</i> , p 141)			X
Comments:				
18b	Bedding in vermin-free area and protected from contamination (<i>Guide</i> , p 141)			X
Comments:				
18c	Food in vermin-free, temperature, and humidity controlled area and protected from contamination (<i>Guide</i> , p 141)			X
Comments:				
18d	Refuse storage is separate (<i>Guide</i> , p 141)			X
Comments:				
18e	Carcass and animal tissue storage is separate, refrigerated below 7° C and cleanable (<i>Guide</i> , p 142)			X
Comments:				

19. Personnel:		E	N	NA
19a	Adequate space for locker rooms, administration, and training (<i>Guide</i> , p 135)			X
Comments:				

iii. Aquatic Animal Housing and Support Areas

E= Existing IACUC approved departure

N= New IACUC approved departure (include in semiannual report to IO)

NA= not applicable

1. Location:		E	N	NA
1a	Animal areas separate from personnel areas (<i>Guide</i> , p 134)			X
Comments:				

1b	Separation of species (<i>Guide</i> , p 111)			X
Comments:				
1c	Separation by disease state (<i>Guide</i> , p 111)			X
Comments:				
1d	Security and access control (<i>Guide</i> , p 111)			X
Comments:				

2.	Construction:	E	N	NA
2a	Corridors (<i>Guide</i> , p 136)			X
Comments:				
2b	Animal room doors (<i>Guide</i> , pp 137, 150)			X
Comments:				
2c	Exterior windows (<i>Guide</i> , p 137)			X
Comments:				
2d	Floors (<i>Guide</i> , pp 137, 150)			X
Comments:				
2e	Drainage (<i>Guide</i> , pp 138, 150)			X
Comments:				
2f	Walls and ceilings (<i>Guide</i> , pp 138, 150)			X
Comments:				
2g	Heating ventilation and air conditioning (<i>Guide</i> , pp 139, 150-151)			X
Comments:				
2h	Power and lighting (<i>Guide</i> , pp 141, 150)			X
Comments:				
2i	Noise control (<i>Guide</i> , p 142)			X
Comments:				
2j	Vibration control (<i>Guide</i> , p 142)			X
Comments:				
2k	Environmental monitoring (<i>Guide</i> , p 143)			X
Comments:				

3.	Water Quality:	E	N	NA
3a	Standards for acceptable quality are established (<i>Guide</i> , p 78)			X
Comments:				

4.	Life Support System:	E	N	NA
4a	Water source is based on appropriate controls and research requirements (<i>Guide</i> , p 79)			X
Comments:				

5.	Temperature, Humidity, and Ventilation/Illumination/Noise and Vibration:	E	N	NA
5a	Temperature and humidity (<i>Guide</i> , pp 43, 80-81)			X
Comments:				
5b	Ventilation and air quality (<i>Guide</i> , pp 45, 81)			X
Comments:				
5c	Illumination (<i>Guide</i> , pp 47, 81)			X
Comments:				
5d	Noise and vibration (<i>Guide</i> , pp 49, 81)			X
Comments:				

6.	Primary Enclosure:	E	N	NA
6a	Allows for normal physiological and behavioral needs (<i>Guide, p 82</i>)			X
Comments:				
6b	Allows social interaction for social species (<i>Guide, p 82</i>)			X
Comments:				
6c	Provides a balanced, stable environment (<i>Guide, p 82</i>)			X
Comments:				
6d	Provides appropriate water quality and monitoring (<i>Guide, p 82</i>)			X
Comments:				
6e	Allows access to food and waste removal (<i>Guide, p 82</i>)			X
Comments:				
6f	Restricts escape and entrapment (<i>Guide, p 82</i>)			X
Comments:				
6g	Allows undisturbed observation (<i>Guide, p 82</i>)			X
Comments:				
6h	Constructed of nontoxic materials (<i>Guide, p 82</i>)			X
Comments:				
6i	Prevents electrical hazards (<i>Guide, p 82</i>)			X
Comments:				
6j	Space needs of species are evaluated by IACUC during program evaluations and facility inspections (<i>Guide, p 83</i>)			X
Comments:				

7.	Environmental Enrichment, Social Housing, Behavioral and Social Management:	E	N	NA
7a	Enrichment elicits appropriate behaviors and is safe (<i>Guide, p 83</i>)			X
Comments:				
7b	Semi-aquatic reptiles are provided terrestrial terrain (<i>Guide, p 83</i>)			X
Comments:				
7c	Handling is kept to a minimum and appropriate techniques are in place at facility or protocol level (<i>Guide, p 84</i>)			X
Comments:				
7d	Nets are cleaned, disinfected, and managed to avoid contamination of systems (<i>Guide, p 84</i>)			X
Comments:				

8.	Food:	E	N	NA
8a	Storage to prevent contamination, preserve nutrients, and prevent pests (<i>Guide, p 84</i>)			X
Comments:				
8b	Delivery ensures access to all, minimizing aggression and nutrient loss (<i>Guide, p 84</i>)			X
Comments:				
8c	Storage times are based on manufacturer recommendations or accepted practice (<i>Guide, p 84</i>)			X
Comments:				
8d	A nutritionally complete diet is provided (<i>Guide, p 84</i>)			X
Comments:				

9.	Substrate:	E	N	NA
9a	Amount, type, and presentation of substrate is appropriate for the system and the species (<i>Guide, p 85</i>)			X
Comments:				

10.	Sanitation, Cleaning, and Disinfection:	E	N	NA
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10a	Frequency of tank/cage cleaning and disinfection is determined by water quality, permits adequate viewing and health monitoring (<i>Guide, p 86</i>)			X
Comments:				
10b	Cleaning and disinfection of macroenvironment (<i>Guide, p 86</i>)			X
Comments:				

11. Waste Disposal:		E	N	NA
11a	Procedures for collection: (<i>Guide, pp 73-74</i>)			X
Comments:				
11b	Animal carcasses (<i>Guide, pp 73-74</i>)			X
Comments:				

12. Pest Control:		E	N	NA
12a	Regularly scheduled (<i>Guide, p 74</i>)			X
Comments:				
12b	Documented program including control of pests and insecticide use (<i>Guide, p 74</i>)			X
Comments:				

13. Emergency, Weekend, and Holiday Animal Care:		E	N	NA
13a	Care provided by qualified personnel every day (<i>Guide, pp 74, 87</i>)			X
Comments:				
13b	Provision for accessible contact information (<i>Guide, pp 74, 87</i>)			X
Comments:				
13c	Emergency response plans in place to address major system failures (<i>Guide, p 87</i>)			X
Comments:				

14. Identification:		E	N	NA
14a	Cage/tank cards contain required information (<i>Guide, pp 75, 87</i>)			X
Comments:				
14b	Genotype information included and standardized nomenclature used when applicable (<i>Guide, pp 75, 87</i>)			X
Comments:				

15. Recordkeeping:		E	N	NA
15a	Water quality parameters and frequency of testing recorded (<i>Guide, p 88</i>)			X
Comments:				
15b	Records kept on feeding, nonexpired food supplies, substrate, and refuse (<i>Guide, p 88</i>)			X
Comments:				

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16. Storage:		E	N	NA
16a	Adequate space for equipment, supplies, food, substrate, and refuse (<i>Guide, p 141</i>)			X
Comments:				
16b	Substrate protected from contamination (<i>Guide, p 141</i>)			X
Comments:				
16c	Food in vermin-free, temperature, and humidity-controlled area protected from contamination (<i>Guide, p 141</i>)			X
Comments:				
16d	Refuse storage is separate (<i>Guide, p 141</i>)			X
Comments:				
16e	Carcass and animal tissue storage is separate, refrigerated below 7° C and cleanable (<i>Guide, p 141</i>)			X

Comments:

17. Personnel:	E	N	NA
17a Adequate space for locker rooms, administration, and training (<i>Guide</i> , p 135)			X
Comments:			

iv. Cagewash

E= Existing IACUC approved departure

N= New IACUC approved departure (include in semiannual report to IO)

NA= not applicable

1. Construction and Operation:	E	N	NA
1a Dedicated central area for sanitizing cages and equipment is provided (<i>Guide</i> , p 143)			X
Comments:			
1b Cage-washing equipment meets need (<i>Guide</i> , p 143)			X
Comments:			
1c Doors, windows, floors, drainage, walls, and ceilings (<i>Guide</i> , pp 136-138)			X
Comments:			
1d Convenient to animal area areas/ waste disposal (<i>Guide</i> , p 143)			X
Comments:			
1e Ease of access (including door size) facilitates use (<i>Guide</i> , p 143)			X
Comments:			
1f Sufficient space for staging and maneuvering (<i>Guide</i> , p 143)			X
Comments:			
1g Safety precautions/clothing/equipment used for waste disposal/prewash/acid wash (<i>Guide</i> , p 143)			X
Comments:			
1h Traffic flow clean to dirty with no contamination of clean equipment by dirty equipment and appropriate air pressurization (<i>Guide</i> , p 143)			X
Comments:			
1i Insulation and/or sound attenuation present as needed (<i>Guide</i> , p 143)			X
Comments:			
1j Utilities are appropriate (<i>Guide</i> , p 143)			X
Comments:			
1k Ventilation meets heat and humidity load (<i>Guide</i> , p 143)			X
Comments:			
1l Safety features (e.g., SOPs, warning signs, eyewash stations) are in use (<i>Guide</i> , p 143)			X
Comments:			
1m Functioning safety devices to prevent entrapment in washer/sterilizers (<i>Guide</i> , p 143)			X
Comments:			
1n Cage wash temperatures are monitored and records are available (<i>Guide</i> , p 73)			X
Comments:			
1o Appropriate clean cage storage (<i>Guide</i> , p 141)			X
Comments:			

v. Special Facilities: Aseptic Surgery

E= Existing IACUC approved departure

N= New IACUC approved departure (include in semiannual report to IO)

NA= not applicable

1. General Considerations:	E	N	NA
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1a	Location minimizes traffic/contamination (<i>Guide</i> , p 144)			X
Comments:				
1b	Functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (<i>Guide</i> , p 144)			X
Comments:				
1c	Appropriate drug storage, control, expiration date monitoring (<i>Guide</i> , pp 115, 122)			X
Comments:				
1d	Safe sharps disposal system (<i>Guide</i> , p 74)			X
Comments:				
1e	Adequate records of anesthesia and perioperative care (<i>Guide</i> , p 122)			X
Comments:				
1f	Aseptic procedures in use for all survival surgery (<i>Guide</i> , pp 118-119)			X
Comments:				

2.	Operating Room:	E	N	NA
2a	Effective contamination control procedures (<i>Guide</i> , p 144)			X
Comments:				
2b	Effective cleaning procedures/dedicated tools (<i>Guide</i> , p 145)			X
Comments:				
2c	Interior surfaces smooth and impervious to moisture (<i>Guide</i> , p 145)			X
Comments:				
2d	HVAC system meets <i>Guide</i> requirements (<i>Guide</i> , p 145)			X
Comments:				
2e	Lighting safe and appropriate (<i>Guide</i> , p 145)			X
Comments:				
2f	Outlets safe and appropriate (<i>Guide</i> , p 145)			X
Comments:				
2g	Scavenging of anesthetic gases implemented (<i>Guide</i> , p 145)			X
Comments:				

3.	Surgical Support:	E	N	NA
3a	Facility for washing, sterilizing, storing instruments, and supplies (<i>Guide</i> , p 145)			X
Comments:				
3b	Autoclave monitoring procedures are implemented (<i>Guide</i> , pp 119, 145)			X
Comments:				
3c	Storage of autoclaved materials maintains sterility (<i>Guide</i> , p 145)			X
Comments:				
3d	Cold sterilization procedures are appropriate (<i>Guide</i> , p 119)			X
Comments:				

4.	Animal Preparation:	E	N	NA
4a	Contains large sink to facilitate cleaning of animal and operative site (<i>Guide</i> , p 145)			X
Comments:				

5.	Surgeon Scrub:	E	N	NA
5a	Outside operating room, non-hand-operated sink (<i>Guide</i> , p 145)			X
Comments:				

6.	Postoperative Recovery:	E	N	NA
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6a	Allows adequate observation, easily cleaned, supports physiologic functions, and minimizes risk of injury (Guide, p 145)			X
Comments:				

7. Dressing Area:		E	N	NA
7a	Place for personnel to change (Guide, p 145)			X
Comments:				

vi. Special Facilities: Procedure Areas, Non-survival Surgeries, Laboratories, Rodent Surgeries, Imaging, Whole Body Irradiation, Hazardous Agent Containment, Behavioral Studies

E= Existing IACUC approved departure

N= New IACUC approved departure (include in semiannual report to IO)

NA= not applicable

1. General Considerations:		E	N	NA
1a	Labs used to house animals only when scientifically required and limited to minimum period necessary (Guide, p 134) (Access Satellite Housing)	X		
Comments:				
1b	Drug storage, control, and expiration dates (Guide, pp 115, 122)			X
Comments:				
1c	Sharps disposal (Guide, p 74)			X
Comments:				
1d	Anesthetic monitoring (Guide, p 120)			X
Comments:				
1e	Scavenging of anesthetic gases (Guide, p 21)			X
Comments:				
1f	Safety features (e.g., SOPs, safety signs, eyewash stations, secure gas cylinders) are in place (Guide, p 19)			X
Comments:				
1g	Carcass disposal (Guide, pp 73-74)			X
Comments:				

2. Additional Concerns for Survival Strategy: (rodent and minor procedures only)		E	N	NA
2a	Rodent survival surgery clean and uncluttered, not used for anything else during surgery (Guide, p 144)			X
Comments:				
2b	Records of peri-operative care (Guide, p 120)			X
Comments:				
2c	Aseptic procedures (Guide, pp 118-119)			X
Comments:				
2d	Autoclave monitoring procedures (Guide, pp 119, 145)			X
Comments:				
2e	Storage of autoclaved materials (Guide, p 145)			X
Comments:				
2f	Cold sterilization procedures are appropriate (Guide, p 119)			X
Comments:				

3. Imaging/Whole Body Irradiation:		E	N	NA
3a	Location of resource limits contamination risk (Guide, p 147)			X
Comments:				
3b	Appropriate transportation methods are in place (Guide, p 147)			X
Comments:				

3c	Gas anesthesia provision, scavenging, and monitoring are appropriate (<i>Guide</i> , p 147)			X
Comments:				
3d	Imaging console is located away from radiation source (<i>Guide</i> , p 147)			X
Comments:				

4.	Behavioral Studies:	E	N	NA
4a	Facility minimizes airborne transmission of noise and ground-borne transmission of vibration (<i>Guide</i> , p 149)			X
Comments:				
4b	Floor covering reduce sound transmission (<i>Guide</i> , p 149)			X
Comments:				
4c	Testing equipment allows for surface disinfection (<i>Guide</i> , p 150)			X
Comments:				
4d	Components that cannot be cleaned are not in ready contact with animals and kept covered when not in use (<i>Guide</i> , p 150)			X
Comments:				
4e	Housing areas are contiguous with testing areas when appropriate (<i>Guide</i> , p 150)			X
Comments:				

II. Endnotes

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

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

^{iv} Part 3 Subpart D 3.81 – “...research facilities must develop, document, and follow an appropriate plan for environment enhancement adequate to promote the psychological well-being of nonhuman primates.”

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

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

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

Obtained by Rise

I. Semiannual Program Review Checklistⁱ

Institutional Policies and Responsibilities

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)

R = Repeat

NA = not applicable

1.	Animal Care and Use Program	A	M	S	C	R	NA
1a	Responsibility for animal well-being is assumed by all members of the program (Guide, p 1) [must]	x					
Comments:							
1b	IO has authority to allocate needed resources (Guide, p 13)	x					
Comments:							
1c	Resources necessary to manage program of veterinary care are provided (Guide, p 14) [must]	x					
Comments:							
1d	Sufficient resources are available to manage the program, including training of personnel in accord with regulations and the <i>Guide</i> (Guide, pp 11, 15)		x			x	
<p>-Current office/personnel space in [REDACTED] animal facility categorized as a minor finding as space is available, though inadequate.</p> <p>UAC Response for Spring 2019:</p> <p>These projects/needs were conveyed to VPR/IO in December 2018 with rough cost estimates. She asked UAC to devise a plan that utilized capital depreciation and other funds available to UAC.</p> <p>[REDACTED] UAC is awaiting engineering plans and final renovation estimate from FM. Informed today that we should expect these in 3 weeks. Can fund from UAC auxiliary (recharge) account if project cost <\$100,000.</p>							
1e	Program needs are regularly communicated to IO by AV and/or IACUC (Guide, p 13)	x					
Comments:							
1f	Responsibilities for daily animal care and facility management are assigned to specific individual(s) when a full-time veterinarian is not available on site (Guide, p 14) [must]	x					
Comments:							
1g	Inter-institutional collaborations are described in formal written agreements (Guide, p 15)	x					
Comments:							
1h	Written agreements address responsibilities, animal ownership, and IACUC oversight (Guide, p 15)	x					
Comments:							

2.	Disaster Planning and Emergency Preparedness	A	M	S	C	R	NA
2a	Disaster plans for each facility to include satellite locations are in place (Guide, p 35, p 75) [must]	x					
Comments:							
2b	Plans include provisions for euthanasia (Guide, p 35) [must]	x					
Comments:							
2c	Plans include triage plans to meet institutional and investigators' needs (Guide, p 35)	x					
Comments:							
2d	Plans define actions to prevent animal injury or death due to HVAC or other failures (Guide, p 35)	x					
Comments:							
2e	Plans describe preservation of critical or irreplaceable animals (Guide, p 35)	x					
Comments:							
2f	Plans include essential personnel and their training (Guide, p 35)	x					
Comments:							
2g	Animal facility plans are approved by the institution and incorporated into overall response plan (Guide, p 35)	x					
Comments:							
2h	Law enforcement and emergency personnel are provided a copy and integration with overall plan is in place (Guide, p 35)	x					
Comments:							

Obtained by Rise

3.	IACUC	A	M	S	C	R	NA
3a	Meets as necessary to fulfill responsibilities (Guide, p 25) [must]	x					
Comments:							

3b	IACUC Members named in protocols or with conflicts recuse themselves from protocol decisions (<i>Guide, p 26</i>) [must]	x					
Comments:							
3c	Continuing IACUC oversight after initial protocol approval is in place (<i>Guide, p 33</i>)	x					
Comments:							
3d	IACUC evaluates the effectiveness of training programs (<i>Guide, p 15</i>)	x					
Comments:							

4.	IACUC Protocol Review – Special Considerations	A	M	S	C	R	NA
4a	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					
Comments:							
4b	For pilot studies, a system to communicate with the IACUC is in place (<i>Guide, p 28</i>)	x					
Comments:							
4c	For genetically modified animals, enhanced monitoring and reporting is in place (<i>Guide, p 28</i>)	x					
Comments:							
4d	Restraint devices are justified in the animal use protocols (<i>Guide, p 29</i>) [must]	x					
Comments:							
4e	Alternatives to physical restraint are considered (<i>Guide, p 29</i>)	x					
Comments:							
4f	Period of restraint is the minimum to meet scientific objectives (<i>Guide, p 29</i>)	x					
Comments:							
4g	Training of animals to adapt to restraint is provided (<i>Guide, p 29</i>)	x					
Comments:							
4h	Animals that fail to adapt are removed from study (<i>Guide, p 29</i>)	x					
Comments:							
4i	Appropriate observation intervals of restrained animals are provided (<i>Guide, p 29</i>)	x					
Comments:							
4j	Veterinary care is provided if lesions or illness result from restraint (<i>Guide, p 30</i>) [must]	x					
Comments:							
4k	Explanations of purpose and duration of restraint are provided to study personnel (<i>Guide, p 30</i>)	x					
Comments:							
4l	Multiple surgical procedures on a single animal are justified and outcomes evaluated (<i>Guide, p 30</i>)	x					
Comments:							
4m	Major versus minor surgical procedures are evaluated on a case-by-case basis (<i>Guide, p 30</i>)	x					
Comments:							
4n	Multiple survival procedure justifications in non-regulated species conform to regulated species standards (<i>Guide, p 30</i>)	x					
Comments:							
4o	Animals on food/fluid restriction are monitored to ensure nutritional needs are met (<i>Guide, p 31</i>)	x					
Comments:							
4p	Body weights for food/fluid restricted animals are recorded at least weekly (<i>Guide, p 31</i>)	x					
Comments:							
4q	Daily written records are maintained for food/fluid restricted animals (<i>Guide, p 31</i>)	x					
Comments:							
4r	Pharmaceutical grade chemicals are used , when available, for animal-related procedures (<i>Guide, p 31</i>)	x					
Comments:							
4s	Non-pharmaceutical grade chemicals are described, justified, and approved by IACUC (<i>Guide, p 31</i>)	x					
Comments:							
4t	Investigators conducting field studies know zoonotic diseases, safety issues, laws and regulations applicable in study area (<i>Guide, p 32</i>)	x					
Comments:							
4u	Disposition plans are considered for species removed from the wild (<i>Guide, p 32</i>)	x					
Comments:							

4v	Toe-clipping only used when no alternative, performed aseptically and with pain relief (<i>Guide</i> , p 75)	x						
Comments:								

5.	IACUC Membership and Functions	A	M	S	C	R	NA
5a	IACUC is comprised of at least 5 members, appointed by CEO (PHS Policy, IV.A.3.)	x					
Comments:							
5b	Members include a veterinarian, a scientist, a nonscientist, and a nonaffiliated non-lab animal user (<i>Guide</i> , p 24) ⁱⁱ	x					
Comments:							
5c	IACUC authority and resources for oversight and evaluation of institution's program are provided (<i>Guide</i> , p 14)	x					
Comments:							
5d	IACUC conducts semiannual evaluations of institutional animal care and use program (PHS Policy, IV.B.)	x					
Comments:							
5e	Conducts semiannual inspections of institutional animal facilities (PHS Policy, IV.B.)	x					
Comments:							
5f	IACUC organizationally reports to the Institutional Official (PHS Policy, IV.A.1.b.)	x					
Comments:							
5g	Methods for reporting and investigating animal welfare concerns are in place (<i>Guide</i> , p 23) [must]	x					
Comments:							
5h	Reviews and investigates concerns about animal care and use at institution ⁱⁱⁱ (PHS Policy, IV.B.)	x					
Comments:							
5i	Procedures are in place for review, approval, and suspension of animal activities ^{iv} (PHS Policy, IV.B.)	x					
Comments:							
5j	Procedures are in place for review and approval of significant changes to approved activities (PHS Policy, IV.B.)	x					
Comments:							
5k	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> , p 27-32)	x					
Comments:							
5l	Requests for exemptions from major survival surgical procedure restrictions are made to USDA/APHIS ^v (<i>Guide</i> , p 30) [must]	x					
Comments:							

6.	IACUC Training	A	M	S	C	R	NA
6a	All IACUC members should receive:						
6a1	Formal orientation to institution's program (Guide, p 17)	x					
Comments:							
6a2	Training on legislation, regulations, guidelines, and policies (Guide, p 17)	x					
Comments:							
6a3	Training on how to inspect facilities and labs where animal use or housing occurs (Guide, p 17)	x					
Comments:							
6a4	Training on how to review protocols as well as evaluate the program (Guide, p 17)	x					
Comments:							
6a5	Ongoing training/education (Guide, p 17)	x					
Comments:							

7.	IACUC Records and Reporting Requirements ^{vi}	A	M	S	C	R	NA
7a	Semiannual report to the IO (PHS Policy, IV.B.):						
7a.1	Submitted to IO every 6 months	x					
Comments:							

7a.2	Promptly advises OLAW of serious/ongoing <i>Guide</i> deviations or PHS Policy noncompliance (NOT-OD-05-034)	x					
Comments:							
7a.3	Institute must promptly advise OLAW of any suspension of an animal activity by the IACUC (NOT-OD-05-034)	x					
Comments:							
7a.4	Describes IACUC-approved departures from the <i>Guide</i> or PHS Policy and the reasons for each departure ^{vii}	x					
Comments:							
7a.5	Distinguishes significant from minor deficiencies	x					
Comments:							
7a.6	Includes a plan and schedule for correction for each deficiency identified ^{viii}	x					
Comments:							
7b	Reports to OLAW (PHS Policy, IV.F.):						
7b.1	Annual report to OLAW documents program changes, dates of the semiannual program reviews and facility inspections and includes any minority views	x					
Comments:							
7b.2	Promptly advises OLAW of serious/ongoing <i>Guide</i> deviations or PHS Policy noncompliance (NOT-OD-05-034)	x					
Comments:							
7b.3	Institute must promptly advise OLAW of any suspension of an animal activity by the IACUC (NOT-OD-05-034)	x					
Comments:							
7c	Reports to U.S. Department of Agriculture (USDA) or Federal funding agency^{ix}:						
7c.1	Annual report to USDA contains required information including all exceptions/exemptions	x					
Comments:							
7c.2	Reporting mechanism to USDA is in place for IACUC-approved exceptions to the regulations and standards	x					
Comments:							
7c.3	Reports are filed within 15 days for failures to adhere to timetable for correction of significant deficiencies	x					
Comments:							
7c.4	Promptly reports suspensions of activities by the IACUC to USDA and any Federal funding agency	x					
Comments:							
7d	Records:						
7d.1	IACUC meeting minutes and semiannual reports to the IO are maintained for 3 years	x					
Comments:							
7d.2	Records of IACUC reviews of animal activities include all required information ^x	x					
Comments:							
7d.3	Records of IACUC reviews are maintained for 3 years after the completion of the study	x					
Comments:							

8.	Veterinary Care (See also next section – Veterinary Care)	A	M	S	C	R	NA
8a	An arrangement for veterinarian(s) with training or experience in lab animal medicine is in place including backup veterinary care ^{xi}	x					
Comments:							
8b	Veterinary access to all animals is provided (<i>Guide</i> , p 14) [must]	x					
Comments:							
8c	Direct or delegated authority is given to the veterinarian to oversee all aspects of animal care and use (<i>Guide</i> , p 14) [must]	x					
Comments:							
8d	Veterinarian provides consultation when pain and distress exceeds anticipated level in protocol (<i>Guide</i> , p 5) [must]	x					
Comments:							
8e	Veterinarian provides consultation when interventional control is not possible (<i>Guide</i> , p 5) [must]	x					
Comments:							
8f	If part time /consulting veterinarian, visits meet programmatic needs (<i>Guide</i> , p 14)						x

Comments:							
8g	Regular communication occurs between veterinarian and IACUC (<i>Guide, p 14</i>)	x					
Comments:							
8h	Veterinarian(s) have experience and training in species used (<i>Guide, p 15</i>) [must]	x					
Comments:							
8i	Veterinarian(s) have experience in facility administration/management (<i>Guide, p 15</i>)	x					
Comments:							

9.	Personnel Qualifications and Training	A	M	S	C	R	NA
9a	All personnel are adequately educated, trained, and/or qualified in basic principles of laboratory animal science. Personnel included: [must]						
9a.1	Veterinary/other professional staff (<i>Guide, p 15-16</i>)	x					
Comments:							
9a.2	IACUC members (<i>Guide, p 17</i>)	x					
Comments:							
9a.3	Animal care personnel (<i>Guide, p 16</i>)	x					
Comments:							
9a.4	Research investigators, instructors, technicians, trainees, and students (<i>Guide, pp 16-17</i>)	x					
Comments:							
9b	Continuing education for program and research staff provided to ensure high quality care and reinforce training (<i>Guide, pp 16-17</i>)	x					
Comments:							
9c	Training is available prior to starting animal activity (<i>Guide, p 17</i>)	x					
Comments:							
9d	Training is documented (<i>Guide, p 15</i>)	x					
Comments:							
9e	Training program content includes: (<i>Guide, p 17</i>)						
9e.1	Methods for reporting concerns (<i>Guide, p 17</i>)	x					
Comments:							
9e.2	Humane practices of animal care (e.g., housing, husbandry, handling) ^{xii}	x					
Comments:							
9e.3	Humane practices of animal use (e.g., research procedures, use of anesthesia, pre- and post-operative care, aseptic surgical techniques and euthanasia (<i>Guide, p 17</i>) ^{xiii}	x					
Comments:							
9e.4	Research/testing methods that minimize numbers necessary to obtain valid results (PHS Policy, IV.A.1.g.)	x					
Comments:							
9e.5	Research/testing methods that minimize animal pain or distress (PHS Policy, IV.A.1.g.)	x					
Comments:							
9e.6	Use of hazardous agents, including access to OSHA chemical hazard notices where applicable (<i>Guide, p 20</i>)	x					
Comments:							
9e.7	Animal care and use legislation (<i>Guide, p 17</i>)	x					
Comments:							
9e.8	IACUC function (<i>Guide, p 17</i>)	x					
Comments:							
9e.9	Ethics of animal use and Three R's (<i>Guide, p 17</i>)	x					
Comments:							

10.	Occupational Health and Safety of Personnel	A	M	S	C	R	NA
10a	Program is in place and is consistent with federal, state, and local regulations (<i>Guide, p 17</i>) [must]	x					
Comments:							
10b	Program covers <i>all</i> personnel who work in laboratory animal facilities (<i>Guide, p 18</i>)	x					
Comments:							
10c	Changing, washing, and showering facilities are available as appropriate (<i>Guide, p 19</i>)	x					
Comments:							
10d	Hazardous facilities are separated from other areas and identified as limited access (<i>Guide, p 19</i>)	x					

Comments:						
10e	Personnel training is provided based on risk (e.g., zoonoses, hazards, personal hygiene, special precautions, animal allergies) (<i>Guide, p 20</i>)	x				
Comments:						
10f	Procedures for use, storage, and disposal of hazardous biologic, chemical, and physical agents are in place (<i>Guide, p 21</i>)	x				
Comments:						
10g	Personal Protective Equipment for the work area is appropriate and available (<i>Guide, p 21</i>)	x				
Comments:						
10h	Program for medical evaluation and preventive medicine for personnel includes:					
10h.1	Pre-employment evaluation including health history (<i>Guide, p 22</i>)					x
Comments:						
10h.2	Immunizations as appropriate (e.g., rabies, tetanus) and tests as appropriate (<i>Guide, p 22</i>)	x				
Comments:						
10h.3	Zoonosis surveillance as appropriate (e.g., Q-fever, tularemia, Hantavirus, plague) (<i>Guide, p 23</i>)	x				
Comments:						
10h.4	Procedures for reporting and treating injuries, including accidents, bites, allergies, etc. (<i>Guide, p 23</i>)	x				
Comments:						
10h.5	Promotes early diagnosis of allergies including preexisting conditions (<i>Guide, p 22</i>)	x				
Comments:						
10h.6	Considers confidentiality and other legal factors as required by federal, state and local regulations (<i>Guide, p 22</i>) [must]	x				
Comments:						
10h.7	If serum samples are collected, the purpose is consistent with federal and state laws (<i>Guide, p 22</i>) [must]	x				
Comments:						
10i	Waste anesthetic gases are scavenged (<i>Guide, p 21</i>)	x				
Comments:						
10j	Hearing protection is provided in high noise areas (<i>Guide, p 22</i>)	x				
Comments:						
10k	Respiratory protection is available when performing airborne particulate work (<i>Guide, p 22</i>)	x				
Comments:						
10l	Special precautions for personnel who work with nonhuman primates, their tissues or body fluids include:					
10l.1	Tuberculosis screening provided for all exposed personnel (<i>Guide, p 23</i>)	x				
Comments:						
10l.2	Training and implementation of procedures for bites, scratches, or injuries associated with macaques (<i>Guide, p 23</i>)	x				
Comments:						
10l.3	PPE is provided including gloves, arm protection, face masks, face shields, or goggles (<i>Guide, p 21</i>)	x				
Comments:						
10l.4	Injuries associated with macaques are carefully evaluated and treatment implemented (<i>Guide, p 23</i>)	x				
Comments:						
10m	Occupational safety and health of field studies is reviewed by OSH committee or office (<i>Guide, p 32</i>)	x				
Comments:						

Obtained by Rise

11.	Personnel Security	A	M	S	C	R	NA
11a	Preventive measures in place include pre-employment screening, and physical, and IT security (<i>Guide, p 23</i>)	x					
Comments:							

12.	Investigating & Reporting Animal Welfare Concerns	A	M	S	C	R	NA
12a	Preventive measures in place include pre-employment screening, and physical and IT security (<i>Guide, p 23</i>)	x					

Comments:									
12b	Reported concerns and corrective actions are documented (<i>Guide, p 24</i>)	x							
Comments:									
12c	Mechanisms for reporting concerns are posted in facility and at applicable website with instructions (<i>Guide, p 24</i>)	x							
Comments:									
12c.1	Includes multiple contacts (<i>Guide, p 24</i>)	x							
Comments:									
12c.2	Includes anonymity, whistle blower policy, nondiscrimination and reprisal protection (<i>Guide, p 24</i>)	x							
Comments:									

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)

R = Repeat

NA = not applicable

Obtained by Rise

Veterinary Care

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)

R = Repeat

NA = not applicable

1.	Clinical Care and Management	A	M	S	C	R	NA
1a	Veterinary program offers high quality of care and ethical standards (Guide, p 105) [must]	x					
Comments:							
1b	Veterinarian provides guidance to all personnel to ensure appropriate husbandry, handling, treatment, anesthesia, analgesia, and euthanasia (Guide, p 106)	x					
Comments:							
1c	Veterinarian provides oversight to surgery and perioperative care (Guide, p 106)	x					
Comments:							
1d	Veterinary care program is appropriate for program requirements (Guide, pp 113-114)	x					
Comments:							
1e	Veterinarian(s) is familiar with species and use of animals and has access to medical and experimental treatment records (Guide, p 114)	x					
Comments:							
1f	Procedures to triage and prioritize incident reports are in place (Guide, p 114)	x					
Comments:							
1g	Procedures are in place to address:						
1g.1	Problems with experiments to determine course of treatment in consultation with investigator(Guide, p 114)	x					
Comments:							
1g.2	Recurrent or significant health problems with the IACUC and documentation of treatments and outcomes (Guide, p 114)	x					
Comments:							
1g.3	Veterinary review and oversight of medical and animal use records (Guide, p 115)	x					
Comments:							
1h	Procedures established for timely reporting of animal injury, illness, or disease (Guide, p 114) [must]	x					
Comments:							
1i	Procedures established for veterinary assessment, treatment, or euthanasia (Guide, p 114) [must]	x					
Comments:							
1j	Veterinarian is authorized to treat, relieve pain, and/or euthanize (Guide, p 114) [must]	x					
Comments:							

2.	Animal Procurement and Transportation/Preventive Medicine	A	M	S	C	R	NA
2a	Procedures for lawful animal procurement are in place (Guide, p 106) [must]	x					
Comments:							
2b	Sufficient facilities and expertise are confirmed prior to procurement (Guide, p 106)	x					
Comments:							
2c	Procurement is linked to IACUC review and approval (Guide, p 106)	x					
Comments:							
2d	Random source dogs and cats are inspected for identification (Guide, p 106)						x
Comments:							
2e	Population status of wildlife species is considered prior to procurement (Guide, p 106)	x					
Comments:							
2f	Appropriate records are maintained on animal acquisition (Guide, p 106)	x					
Comments:							
2g	Animal vendors are evaluated to meet program needs and quality (Guide, p 106)	x					
Comments:							
2h	Breeding colonies are based on need and managed to minimize numbers (Guide, p 107)	x					
Comments:							

Obtained by Rise

2i	Procedures for compliance with animal transportation regulations, including international requirements, are in place (Guide, p 107) [must]	x						
Comments:								
2j	Transportation is planned to ensure safety, security and minimize risk (Guide, p 107)	x						
Comments:								
2k	Movement of animals is planned to minimize transit time and deliveries are planned to ensure receiving personnel are available (Guide, pp 107- 108)	x						
Comments:								
2l	Appropriate loading and unloading facilities are available (Guide, p 109)	x						
Comments:								
2m	Environment at receiving site is appropriate (Guide, p 109)	x						
Comments:								
2n	Policies in place on separation by species, source, and health status (Guide, pp 109, 111-112)	x						
Comments:								
2o	Procedures in place for quarantine to include zoonoses prevention (Guide, p 110)	x						
Comments:								
2p	Quarantined animals from different shipments are handled separately or physically separated (Guide, p 110)	x						
Comments:								
2q	Procedures in place for stabilization/acclimation (Guide, pp 110-111)	x						
Comments:								
2r	Policies in place for isolation of sick animals (Guide, p 112)	x						
Comments:								
2s	Program is in place for surveillance, diagnosis, treatment and control of disease to include daily observation (Guide, p 112)	x						
Comments:								
2t	Diagnostic resources are available for preventive health program (Guide, p 112)	x						
Comments:								

3.	Surgery	A	M	S	C	R	NA
3a	Surgical outcomes are assessed and corrective changes instituted (Guide, p 115)	x					
Comments:							
3b	Researchers have appropriate training to ensure good technique (Guide, p 115) [must]	x					
Comments:							
3c	Pre-surgical plans are developed and include veterinary input (e.g., location, supplies, anesthetic and analgesic use, peri-operative care, recordkeeping) (Guide, p 116)	x					
Comments:							
3d	Aseptic surgery is conducted in dedicated facilities or spaces, unless exception justified and IACUC approved (Guide, p 116)	x					
Comments:							
3e	Surgical procedures including laparoscopic procedures are categorized as major or minor (Guide, pp 117-118)	x					
Comments:							
3f	For nonsurvival surgery, the site is clipped, gloves are worn and instruments and area are clean (Guide, p 118)	x					
Comments:							
3g	Aseptic technique is followed for survival surgical procedures (Guide, pp 118-119)	x					
Comments:							
3h	Effective procedures for sterilizing instruments and monitoring expiration dates on sterile packs are in place (Guide, p 119)	x					
Comments:							
3i	Procedures for monitoring surgical anesthesia and analgesia are in place (Guide, p 119)	x					
Comments:							
3j	For aquatic species, skin surfaces are kept moist during surgical procedures (Guide, p 119)	x					
Comments:							

Obtained by Rise

3k	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</i> , pp 119-120)	x					
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Comments:

4.	Pain, Distress, Anesthesia, and Analgesia	A	M	S	C	R	NA
4a	Guidelines for assessment and categorization of pain, distress and animal wellbeing are provided during training (<i>Guide</i> , p 121)	x					

Comments:

4b	Selection of analgesics and anesthetics is based on professional veterinary judgment (<i>Guide</i> , p 121)	x					
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Comments:

4c	Painful procedures are monitored to ensure appropriate analgesic management (<i>Guide</i> , p 122)	x					
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Comments:

4d	Nonpharmacologic control of pain is considered as an element of postprocedural care (<i>Guide</i> , p 122)	x					
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Comments:

4e	Procedures are in place to assure antinoception before surgery begins (<i>Guide</i> , p 122) [must]	x					
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Comments:

4f	Guidelines for selection and use of analgesics and anesthetics are in place and regularly reviewed and updated (<i>Guide</i> , p 122)	x					
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Comments:

4g	Special precautions for the use of paralytics are in place to ensure anesthesia ^{xiv} (<i>Guide</i> , p 123)	x					
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Comments:

5.	Euthanasia	A	M	S	C	R	NA
5a	Methods are consistent with AVMA Guidelines on Euthanasia unless approved by the IACUC (<i>Guide</i> , p 123)	x					

Comments:

5b	Standardized methods are developed and approved by the veterinarian and IACUC that avoid distress and consider animal age and species (<i>Guide</i> , pp 123-124)	x					
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Comments:

5c	Training is provided on appropriate methods for each species and considers psychological stress to personnel (<i>Guide</i> , p 124)	x					
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Comments:

5d	Procedures and training are in place to ensure death is confirmed (<i>Guide</i> , p 124) [must]	x					
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Comments:

6.	Drug Storage and Control	A	M	S	C	R	NA
6a	Program complies with federal regulations for human and veterinary drugs(<i>Guide</i> , p 115) [must]	x					

Comments:

6b	Drug records and storage procedures are reviewed during facility inspections (<i>Guide</i> , p 115)	x					
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Comments:

6c	Procedures are in place to ensure analgesics and anesthetics are used within expiration date (<i>Guide</i> , p 122) [must]	x					
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Comments:

6d	Anesthetics and analgesics are acquired, stored, and their use and disposal are recorded legally and safely (<i>Guide</i> , p 122)	x					
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Comments:

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)

R = Repeat

NA = not applicable

II. Endnotes

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

ⁱⁱ 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]

ⁱⁱⁱ 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]

^{iv} 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]

^v 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]

^{vi} 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]

^{vii} 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]

^{viii} 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*]

^{ix} 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]

^x 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..."

^{xi} 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]

^{xii} 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."

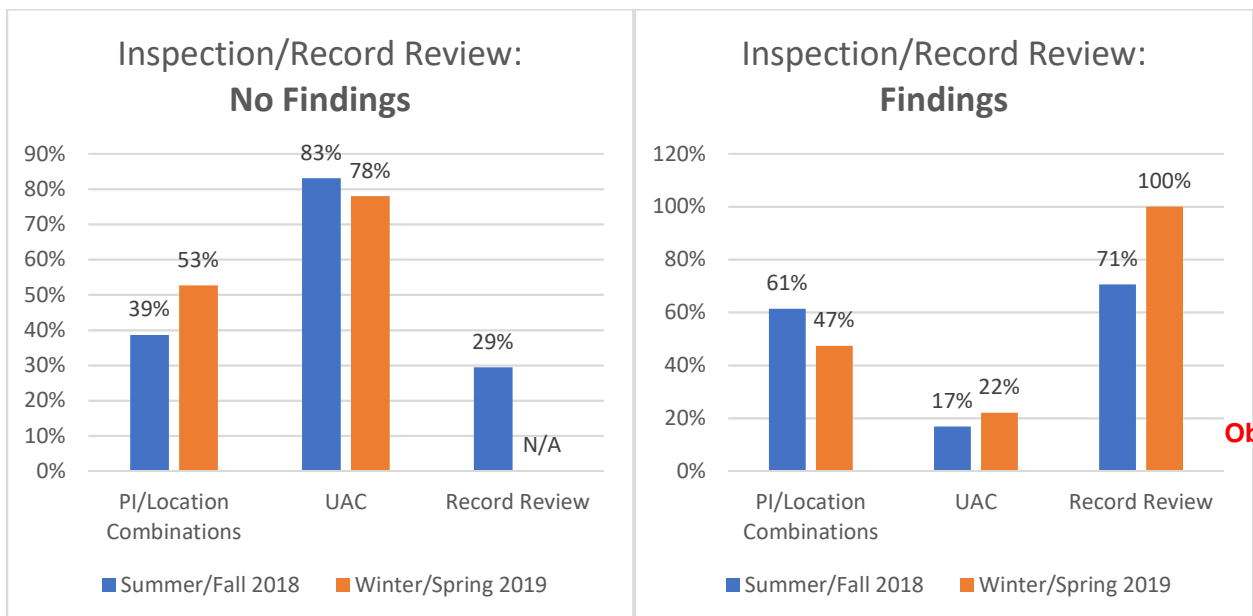
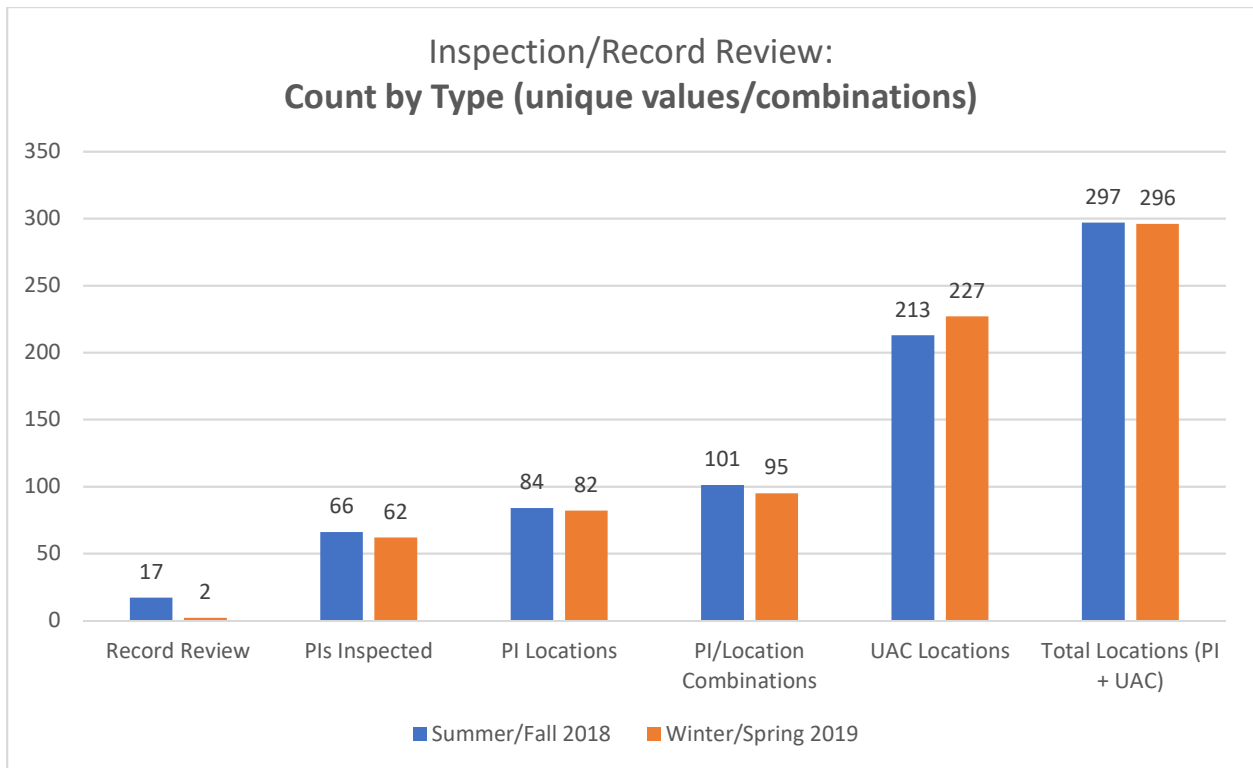
^{xiii} 2.32(c) - additional specifications include:

- "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].

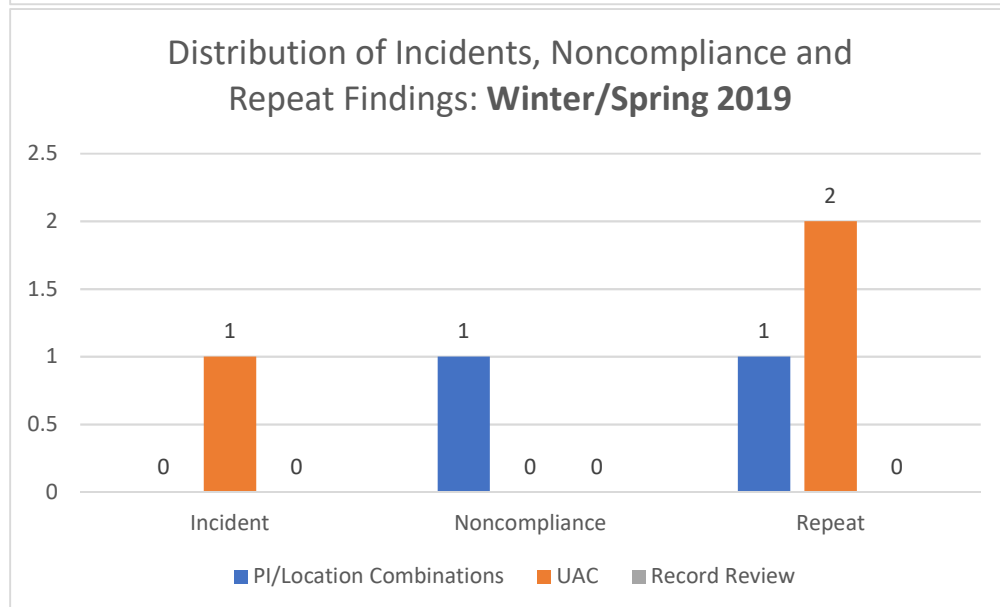
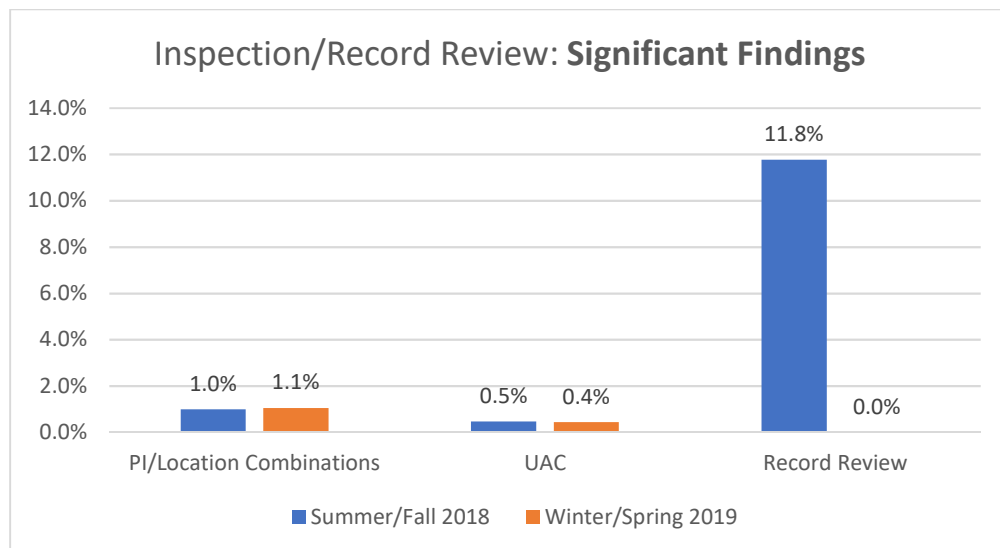
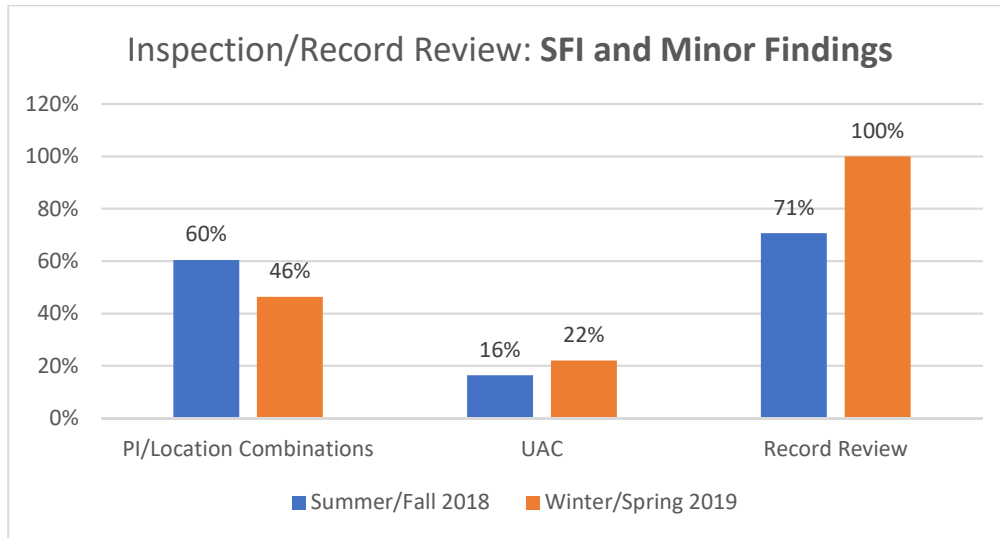
^{xiv} 2.31(d)(iv)(C) - "Procedures that may cause more than momentary or slight pain or distress to the animals will...not include the use of paralytics without anesthesia."

Inspection Metrics

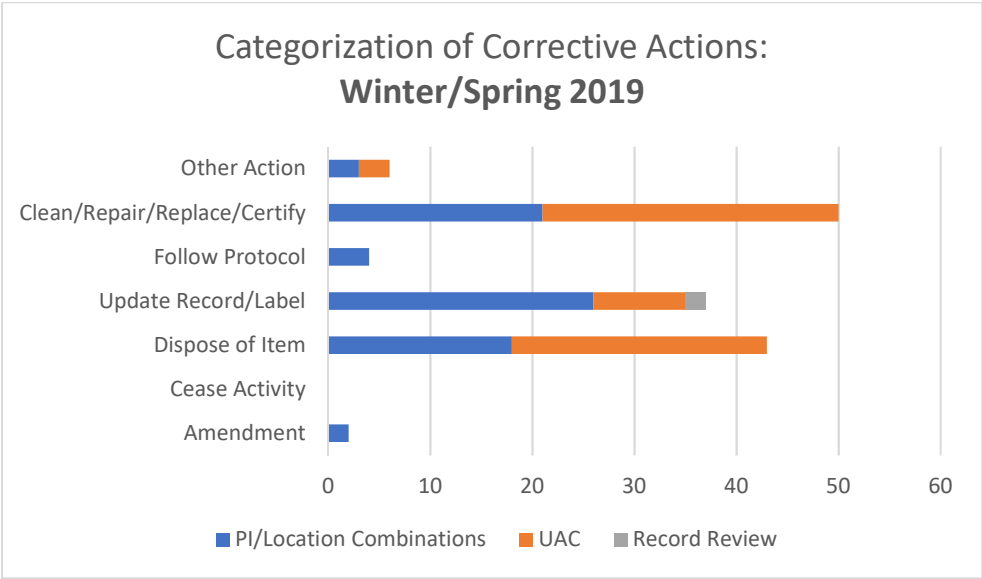
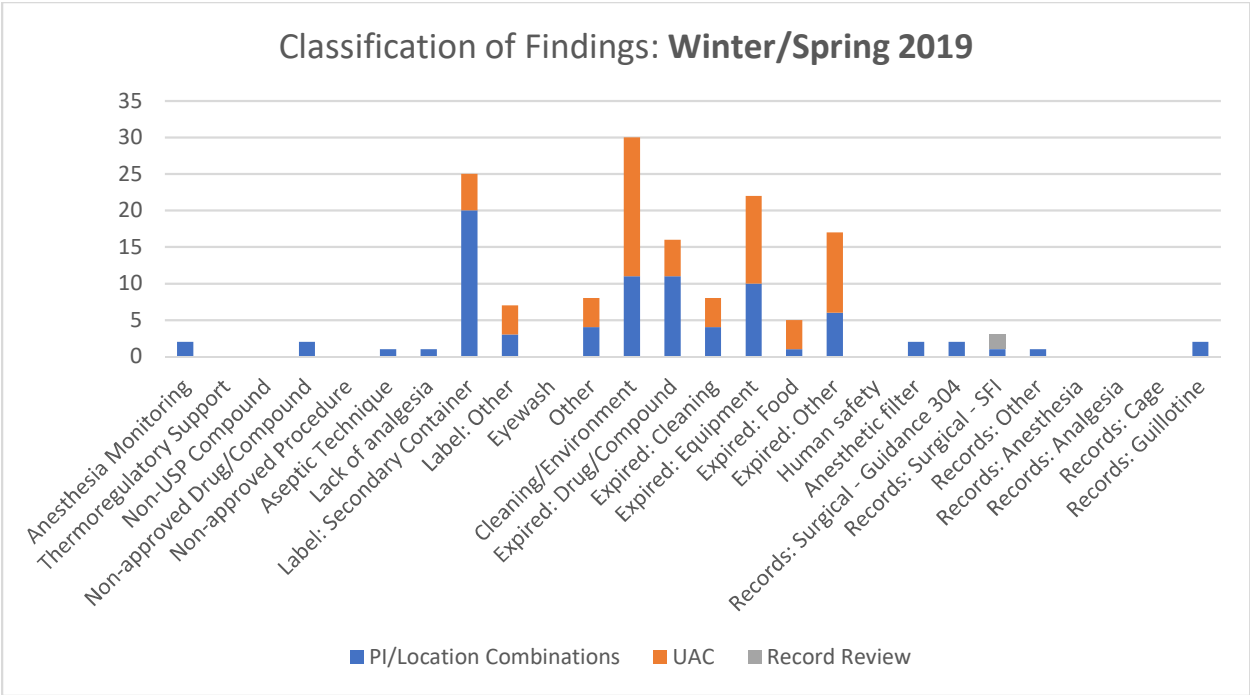
Winter/Spring 2019



Obtained by Rise



Obtained by Rise



Semi-Annual Inspection - Locations with No Findings

Total: 226

[illegible]

Semi-Annual Inspection - Locations with No Findings

Total:	226
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[illegible]

Semi-Annual Inspection - Locations with No Findings

Total: 226

[illegible]

Obtained by Rise

Semi-Annual Inspection - Locations with Resolved Findings [SFI/Minor]

Total: 92

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat
 Funding Source* [REDACTED] USDA? UAC

Observations Date Inspected**: 1/22/2019

PI Response Date Corrected: 2/5/2019

One water tops (taps?) out of date - removed on request [REDACTED]

From [REDACTED] 2/5/2019: This was a pan of empty water bottles and sipper tubes. I removed the pan from the room that day.

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat
 Funding Source* [REDACTED] USDA? UAC

Observations Date Inspected**: 1/22/2019

PI Response Date Corrected: 2/5/19

Washer is leaking (58)

From [REDACTED] 2/5/19: Per [REDACTED] [REDACTED] it is normal for the cage wash machine to have water come out the seal and down the panel.

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat
 Funding Source* [REDACTED] USDA? No

Observations Date Inspected**: 1/22/2019

PI Response Date Corrected: 3/21/2019

1] Several solutions were expired, removed during inspection; 2] Label for Tamoxifen not appropriate

From PI 1/31/19: I am sorry for these mistakes. I will make sure my lab members throw away expired agents and properly label Tamoxifen. I will announce this in the lab meeting after expiration.
 3/20/2019 Items disposed of
 3/21/2019 Items were not used in live animals.

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat
 Funding Source* [REDACTED] USDA? No

Observations Date Inspected**: 1/22/2019

PI Response Date Corrected: 2/1/2019

Gloves out of date by years. One labeled expired, but whole drawer

from [REDACTED] 2/1/2019: These gloves were not being used and have been discarded. I am surprised that this was even a valid finding since gloves being expired is a biosafety or chemical concern (at best) and not an animal welfare issue.

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☒ Repeat
 Funding Source* [REDACTED] USDA? UAC

Observations Date Inspected**: 1/22/2019

PI Response Date Corrected:

Crack in floor - scheduled for repair

Slated for repair

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat
 Funding Source* [REDACTED] USDA? UAC

Observations Date Inspected**: 1/23/2019

PI Response Date Corrected: 2/5/2019

CO2 chamber needs flow meter - not used yet

From [REDACTED] 2/5/2019: CO2 chamber replaced on 1/29/19 with one that has a proper flow meter

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* [REDACTED] USDA? [No]
Observations Date Inspected**: 1/23/2019		PI Response Date Corrected: 2/5/19	
Ethanol in secondary container not labeled with exp date (located on supply rack labeled for [REDACTED] lab)		From [REDACTED] 2/1/19: We think the spray bottle that was found was not ours but rather just near our container. Can you let me know how this bottle was concluded to be ours? We do use etoh but only on post-euthanasia corpses (never on live animals). The last person from the [REDACTED] Lab who was in Room [REDACTED] prior to the inspection made sure to removed our bottle of etoh. Of note, our bottle has a label that says "[REDACTED] Lab". Today, when one of the lab members went to investigate what might have been found in Room [REDACTED] and assigned to us, she found an etoh bottle that looks different than our bottles and has no identify information on it. Thus, we suspect we have been incorrectly identified as the lab to whom this bottle belongs. So, if you can provide some clarifying information, then we will be happy to proceed. If the bottle in question is the one we found today which does not have a label on it that says "[REDACTED] Lab", then this is NOT our bottle and so we will assume that you will identify the correct lab and work with them on the issues below. From [REDACTED] Not sure who it belongs to 2/5/2019; bottle has been removed	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* [REDACTED] USDA? [UAC]
Observations Date Inspected**: 1/23/2019		PI Response Date Corrected: 2/5/2019	
No date on trash can		From [REDACTED] 2/5/2019: Trash can properly labeled 1/31/19	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* [REDACTED] USDA? [UAC]
Observations Date Inspected**: 1/23/2019		PI Response Date Corrected: 2/5/2019	
Trashcan delta dated 9/29/16		From [REDACTED] 2/5/2019: Trash can changed on 1/31/19 and card updated to reflect correct change date	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* [REDACTED] USDA? [UAC]
Observations Date Inspected**: 1/23/2019		PI Response Date Corrected: 2/5/2019	
1] Rack 3 filter delta date missing, added while inspectors were present; 2] Expired food (7913) 7/17/18 mill date (expired 1/17/19)		1] added while inspectors present; 2] Food removed at time of inspection	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
1] Battery in temp control needs to be changed; 2] Fluid resistant face masked exp 01/2018		Date Corrected: 2/13/2019 From [REDACTED] 2/13/2019: •Battery in Hygrometer has been changed. Facilities management has been notified of low humidity reading. 2] •Item was discarded during inspection. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
BSC certification out of date (exp date not noted)		Date Corrected: 2/13/2019 From [REDACTED]: •The Laminar Flow hood has been recertified as of 2/12/19. Paperwork issue with the hood certification department has been resolved.

PI: [REDACTED]	Location: [REDACTED] (clean and dirty) and necropsy	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
Clean side: peeling paint on ceiling. [REDACTED] indicates it's already been noted, currently working on repairs to equipment		Date Corrected: 2/13/2019 From [REDACTED] 2/13/2019: •Cause already identified and being addressed. Facilities will be working on this. We notify IACUC when done. Update 3/12/2019 from [REDACTED] Will verify target completion date 3/12/2019: Has been repainted. 3/14/2019: The access panels have been scraped, sanded and primed, which is in actuality a sealed coat and should meet the requirement of IACUC. [REDACTED] will do final coats this weekend to make up time lost during the week.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
Some expired sutures & other items. Removed during inspection		Date Corrected: 2/13/2019 Removed during inspection From [REDACTED] 2/13/2019: •Some expired sutures & other items. Removed during inspection. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	
		Funding Source* 	USDA? UAC
Observations	Date Inspected**: 1/29/2019	PI Response	Date Corrected: 2/13/2019
grate & under grate need cleaning		From [REDACTED] 2/13/2019: •Animal Technician has cleaned the grate and catch pan as of 2/12/19 and has been retrained to attend this per established cleaning SOP's, going forward.	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	
		Funding Source* 	USDA? UAC
Observations	Date Inspected**: 1/29/2019	PI Response	Date Corrected: 2/13/2019
1] Anteroom: face mask expired 1/2018 (discarded by [REDACTED] 2] Expired caudril (exp 2018, discarded during inspection); 3] unmarked/unlabeled conical tube containing liquid		1] Discarded during inspection by [REDACTED] 2] Discarded during inspection by [REDACTED] From [REDACTED] 2/13/2019: 1] •Item was discarded during inspection. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals. 2] •Item was discarded during inspection. Item not used on animals since expiration. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals. 3] •This Investigator item has been disposed of. Item not used on animal per investigator. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals.	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	
		Funding Source* 	USDA? UAC
Observations	Date Inspected**: 1/29/2019	PI Response	Date Corrected: 2/13/2019
1] Battery needs replaced in temp/humidity control; 2] expired insta-test hardness strips (exp 9/18, 3 packages)		2] Discarded by [REDACTED] not known if they were in use From [REDACTED] 2/13/2019: 1]•Battery in Hygrometer has been changed. Facilities management has been notified of low humidity reading.2] •Item was discarded during inspection. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals.	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	
		Funding Source* 	USDA? UAC
Observations	Date Inspected**: 1/29/2019	PI Response	Date Corrected: 2/13/2019
Trash can needs to be changed out		From [REDACTED] 2/13/2019: •Trash can has been changed out with clean one as of 2/12/19 and Student Worker has been retrained to maintain clean per established cleaning SOP's, going forward.	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
Grate is dirty		From [REDACTED] 2/13/2019: •Animal Technician has cleaned the grate as of 2/12/19 and has been retrained to attend to this per established cleaning SOP's, going forward.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
[REDACTED] has a great deal of debris below grate & grate is quite dirty		From [REDACTED] 2/13/2019: •Animal Technician has cleaned the catch pan as of 2/12/19 and has been retrained to attend to this per established cleaning SOP's, going forward.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
[REDACTED] cabinet certification out of date (exp date not noted)		From [REDACTED] 2/13/2019: •The Laminar Flow hood has been recertified as of 2/12/19. Paperwork issue with the hood certification department has been resolved.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
Pan to weigh rabbits a bit dirty		From [REDACTED] 2/13/2019: •Pan has been changed out with clean one as of 2/12/19 and Animal Technician has been retrained to maintain clean per established cleaning SOP's, going forward.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 3/12/2019
Sign indicates O2 chambers last cleaned in 2016		From [REDACTED] 2/13/2019: •We will contact Investigator who own this equipment to follow any established cleaning procedures on their protocol. From CJ 3/12/2019: Label has been removed as it was not necessary for service or by SOP. Further: "As [REDACTED] mentioned yesterday, lab staff is trained to disinfect the chamber prior to initiation of each study. See attached "Hypoxia Chamber Instrument Maintenance Record". I have confirmed that the checklist in the room indicates this task was completed before the start of the most recent study – see documentation attached as well as the updated chamber tag. As there were no animals in the chamber at time of inspection, and we do not require a label on the chamber (just documentation on the checklist), no further action is needed at this time. There is every indication that PI labs are following the instructions provided by UAC. "

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
Battery in humidity control needs to be changed		From [REDACTED] 2/13/2019: •Battery in Hygrometer has been changed. Facilities management has been notified of low humidity reading.
Date Corrected: 2/13/2019		
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
[REDACTED] certification out of date (exp date not noted)		From [REDACTED] •The Laminar Flow hood has been recertified as of 2/12/19. Paperwork issue with the hood certification department has been resolved.
Date Corrected: 2/13/2019		
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
Conical tube (orange cap) containing liquid, not labeled/marked		From [REDACTED] 2/13/2019: •This Investigator item has been disposed of. Item not used on animal per investigator. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals.
Date Corrected: 2/13/2019		
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
1] Syringes exp 2008; 2] handwash exp 2010 - both disposed of by [REDACTED]		1, 2] disposed of by [REDACTED] during inspection From [REDACTED] 2/13/2019: •Items was discarded during inspection. Syringes not used on animal per investigator.
Date Corrected: 2/13/2019		
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response
Outside room: 1] Plastic case with spill at bottom; 2] Drawer with expired cough drops [exp 2014] - disposed of during inspection		2] disposed of during inspection From [REDACTED] 2/13/2019: •PPE bin bottom drawer had some Quatracide disinfectant spilled in it. It has been cleaned as of 2/12/19. 2] •Item was discarded during inspection. Item not used on animal per investigator. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals.
Date Corrected: 2/13/2019		

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
Expired materials & compounds: Exidine bottle (exp 9/17); syringes (exp 9/18); EXT set (exp 11/18) - all disposed of by inspectors		All items disposed of by inspectors From [REDACTED] 2/13/2019: •All disposed of by inspectors. Two phase approach –1) all areas inspected monthly for expired materials; and 2) all materials checked at time of use to ensure in date in case items are missed during monthly inspection. Step 2 ensures not used in live animals.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
Suite is dirty & has shavings in it.		From [REDACTED] 2/13/2019: •Animal Technician has cleaned the room and sink as of 2/12/19 and has been retrained to attend to this per established cleaning SOP's, going forward.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
NIST Tracable Conductivity Standard Sol. exp Apr 2009		From [REDACTED] 2/13/2019: •Facility Maintenance Manager has disposed of the solution. Other items will be tracked in the [REDACTED] Water Room going forward.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
Bench cert exp Sept 18		From [REDACTED] 2/13/2019: The Laminar Flow hood has been recertified as of 2/12/19. Paperwork issue with the hood certification department has been resolved.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/29/2019	PI Response Date Corrected: 2/13/2019
Ventilated bench cert expired (date of expiration not given)		From [REDACTED] 2/13/2019: •The Laminar Flow hood has been recertified as of 2/12/19. Paperwork issue with the hood certification department has been resolved.

PI: [REDACTED]	Location: [REDACTED]	<input checked="" type="checkbox"/> SFI <input type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? No
Observations	Date Inspected**: 1/31/2019	PI Response
Syringes exp 10/2018; thrown away during inspection		Date Corrected: 2/7/2019 From [REDACTED] 2/7/2019: I have checked room [REDACTED] and asked my staff. I did not find any syringe expire on 10/2018, and my staff was unaware of it. The room is shared between multiple investigators, and we keep ALL our materials and supply in these three plasticity containers (see below). I did not find any single use syringe that has expired or has an expiration date in these containers. We have one glass syringe in one of the drawers which is used to generate pressure during injection. We will make sure in the future there is expired syringe in the drawers. (thrown away during inspection)
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? No
Observations	Date Inspected**: 1/31/2019	PI Response
Ophthalmic gel expired 7/18, discarded during inspection		Date Corrected: 2/6/2019 Discarded during inspection From [REDACTED] 2/6/2019: This item was used/supplied by the vet staff to treat a scratched eye of one finch. As it was not ours, it was overlooked. In the future, I will check all drawers for any such items and dispose of it. We did not use it for another bird or treatment later in the year, so it was not used after it expired.
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? UAC
Observations	Date Inspected**: 1/31/2019	PI Response
PBS expired 4/2017		Date Corrected: 2/6/2019 From [REDACTED] 2/6/2019: Disposed of during inspection; overlooked during UAC inspection. Was not used in live animals since inspection
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? UAC
Observations	Date Inspected**: 1/31/2019	PI Response
Peroxide exp 12/23/18		Date Corrected: 2/6/2019 From [REDACTED] 2/6/2019: Disposed of during inspection; overlooked during UAC inspection; the disinfectant was correctly labeled as Preempt.
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? UAC
Observations	Date Inspected**: 1/31/2019	PI Response
[REDACTED]/chelator in fridge - exp 1/17/19		Date Corrected: 2/6/2019 From [REDACTED] 2/6/2019: Disposed of during inspection; item was not located in the fridge when UAC inspected the fridge; spoke with lab. Was not used in live animals after exp

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED]
Observations	Date Inspected**: 1/31/2019	PI Response
1] Etoh secondary container no exp date; 2] Ophthalmic ointment exp 12/18		Date Corrected: 2/13/19 1) 70% ethanol in the bottle is used to wipe down the surface area and other general use, not for live animals. We removed the bottle and will label it correctly with a date in the future. 2) We could not locate the eye ointment in question in the [REDACTED] lab bin located in [REDACTED] . We looked in the room but did not find it. It could have been an old tube but we could not confirm. However, we do confirm this eye ointment was not used in procedures in 2019. We have a tube that we carry along with our surgical materials, which has an expiration date 11/2020. Nevertheless, we will continue to be mindful of expiration dates.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED]
Observations	Date Inspected**: 1/31/2019	PI Response
[REDACTED] not pushed in - room already serviced		Date Corrected: 2/15/19 From [REDACTED] 2/15/19: •Cage re-docked into IVC rack at time noted. All animals in cage examined and appeared within normal limits, adequately hydrated, etc. Room tech notified and retrained on proper docking procedures at time of inspection.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED]
Observations	Date Inspected**: 1/31/2019	PI Response
Dirty side dump station hood exp Sept 2018		Date Corrected: 2/6/2019 From [REDACTED] 2/6/2019: Hood was certified 2/5/19; this was a result of staffing and document procedure changes with the group responsible with certifications.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Observations Date Inspected**: 1/31/2019		PI Response Date Corrected: 4/1/2019
1] Ketoprofen exp date listed as 1 year from compounding date.; 2] 1] Iso vaporizer calibrated 4/21/15; - Owned by [REDACTED] Surgical Record review: records are not up to new standards of Guidance 304.		From [REDACTED] lab: I have taken pictures of the bottle of ketoprofen that was labeled as a year from compounding date. This was actually just a minor mistake as the true expiration date of the drug is 8/29/19 not 9/29/19 (as shown in the photo of the original container). I have included pictures of all the bottles to help clarify. We have corrected the month "9" to "8" to reflect the correct expiration date. From [REDACTED] 2/21/19: 2] The calibration/service lasts for (3) years and came due at the end of 2018. I have been in contact with [REDACTED] who services these machines and we will be getting a loner vaporizer very soon and sending this unit in for service. 4/1/2019 from [REDACTED] made a mistake and was under the impression that as the drug from the original vial had not expired (drug from which [REDACTED] made the dilution), that [REDACTED] was okay in using the drug. The drug has been discarded and was not used past the last cohort of animals for which the drug was originally diluted (11/25/18). This will not happen in the future and to correct for the problem, [REDACTED] have updated the surgery record to include the expiration of the drug (which will be documented) - (ketoprofen and bupivacaine). [REDACTED] have forwarded the surgical records. [REDACTED] have also added lidocaine to the surgery record sheet as [REDACTED] have been trouble-shooting to hit a very specific coordinate (we have lidocaine in the animal protocol).

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Observations Date Inspected**: 1/31/2019		PI Response Date Corrected: 2/11/2019
PI transport cart with heavily soiled paper towels		From [REDACTED] 2/8/2019: This cart is in [REDACTED] which is being used by investigators doing sleep studies. The animals housed in this room are associated with the PI "[REDACTED]". We are not using this room at all. I have attached a picture of the Designation sheet for this room to this email. 2/8/2019 Sent to [REDACTED] is the study owner) 2/11/2019 From [REDACTED]: Thank you for bringing this to our attention. This cart and these paper towels are used to dry and store caging components after they have been washed. The towels in question are not so much soiled as they are wrinkled because of the water. However, in response to your concerns we will change out the paper towels after each use.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? [REDACTED]		No	
Observations		Date Inspected**: 1/31/2019		PI Response		Date Corrected: 2/19/2019	
Pads, paper towels, glove boxes on floor		From [REDACTED] 2/19/2019: Room [REDACTED] only had the table we use for [REDACTED] testing [REDACTED] I have informed staff of keeping pads, paper towels and gloves off of the floor. We have ordered a plastic drawer system for that room that will go through decontamination and then be used to store supplies.					

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? [REDACTED]		No	
Observations		Date Inspected**: 1/31/2019		PI Response		Date Corrected: 3/12/2019	
Ethanol container no exp date		UAC has corrected - expiration date listed on bottle					

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? [REDACTED]		No	
Observations		Date Inspected**: 1/31/2019		PI Response		Date Corrected: 2/19/2019	
1] Scalpel blades (on cart) exp 10-2012; 2] loose razor blades (on cart) not marked "not for animal use"		From Anderson 2/19/2019: Razor blades were not properly stored or marked "not for animal use". These razor blades were not used on animals but to open boxes and cut "blue pads". They have now been removed off the cart and have spoken to my staff to ensure any future use they are labelled "not for animal use". During our post-notification inspection we found no scalpel blades on the cart so cannot speak to how they were disposed of and intended use was same as with the razor blades. Again, staff have been informed to ensure proper labeling of items "not for animal use" and about proper storage and disposal of sharp.					

PI: [REDACTED]	Location: [REDACTED]	<input checked="" type="checkbox"/> SFI	<input type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? [REDACTED]		No	
Observations		Date Inspected**: 1/31/2019		PI Response		Date Corrected: 3/1/19	
Surgery room - cardboard wrapped in tape on surgery platform		The surgical platform at the time of inspection was a combination of heating pad (with thermal controller, black wire), clear secondary platform to correct surgical height for surgeon, and mouse head platform for cranial access (gap needed for doppler probe) and anesthesia nose cone attachment. The three individual components have now been reconfigured to remove non-sanitizable materials (tape/cardboard) while still allowing for mouse thermal support and proper ergonomics for the surgeon. All materials are plastic joined with stainless steel screws. Individual components can be sanitized easily and disassembled as needed. As always, the platform will be covered throughout surgery with either surgical drape or Press'N Seal.					

PI: [REDACTED]	Location: [REDACTED]	<input checked="" type="checkbox"/> SFI	<input type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? No			
Observations		Date Inspected**: 1/31/2019		PI Response		Date Corrected: 2/6/19	
Qiu surgery - 1] (SFI)replace soiled foam block pinboard; 2] label drawers with razor blades & tools "not for use in live animals"				From [REDACTED] 2/6/19: 1]The soiled foam block in replaced with the clean one. Please note the pinblock is only used for intracardial perfusion of PFA, it have never been used on live animal surgery. 2] Response: We have now labeled the drawer with razor blades & tools for this sign. These 'dirty' tools have always been used to dissect the PFA-perfused mouse carcasses.			

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? UAC			
Observations		Date Inspected**: 1/31/2019		PI Response		Date Corrected: 3/5/2019	
1] Alcohol secondary container no exp date; 2] Betadine label rubbed off				From CJ 3/5/2019: We have applied the proper expiration date on the alcohol and properly labeled the betadine.			

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? UAC			
Observations		Date Inspected**: 1/31/2019		PI Response		Date Corrected: 2/6/2019	
Corn oil exp 1/10/19 - discarded by inspector				Discarded by inspector From PI 2/6/2019: Our corn oil aliquots are good for one year. On January 10th, [REDACTED] , a [REDACTED] in the [REDACTED] laboratory, prepared the referenced aliquot of corn oil but mislabeled the tube with the wrong years. Because [REDACTED] added the one year expiration date as 2019 rather than 2020, the aliquot appeared as being expired when it was not. This mistake is not anticipated to occur again as this is something that happens at the beginning of the year. [REDACTED] will remind [REDACTED] research team to double check their dates in all their tubes specially at the beginning of the year when everyone is getting used to writing the new year number on everything.			

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? No			
Observations		Date Inspected**: 1/31/2019		PI Response		Date Corrected: 2/6/2019	
Sterile alcohol pads expired - discarded during inspection				Discarded during inspection From [REDACTED] [REDACTED] The [REDACTED] lab does not use [REDACTED] . So this must be an error From [REDACTED] : Not sure who owner is, has been disposed of, was not used on live animals			

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? <input type="checkbox"/> UAC <input type="checkbox"/>
Observations	Date Inspected**: 1/31/2019	PI Response Date Corrected: 2/15/19
Small trashcan by hood - no date		From [REDACTED] 2/15/19: •Small trash cans in [REDACTED] rooms do not require dating (not per UAC SOP).

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? <input type="checkbox"/> UAC <input type="checkbox"/>
Observations	Date Inspected**: 1/31/2019	PI Response Date Corrected: 2/15/19
Rescue [REDACTED] exp 11/2018		From [REDACTED] 2/15/19: •Product disposed at time of inspection. All UAC husbandry staff instructed to check expiration dates monthly as per our room servicing SOP which is reinforced by our recently updated work aid that includes a laminated duty checklist organized by task and frequency. Techs retrained to this new aid on 2/15/19.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? <input type="checkbox"/> UAC <input type="checkbox"/>
Observations	Date Inspected**: 1/31/2019	PI Response Date Corrected: 2/15/19
Etoh no exp date on secondary container;		From [REDACTED] 2/15/19: - Updated with expiration date from original bottle.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? <input type="checkbox"/> UAC <input type="checkbox"/>
Observations	Date Inspected**: 1/31/2019	PI Response Date Corrected: 3/1/19
1] Isoflurane vaporizer service date exp or not clear to see;		From [REDACTED] 2/21/19: We checked on the expiration date label and it looks that the label has been smeared. We are sorry for not noticing it earlier. We decided to have it re-serviced ASAP and make sure the new expiration date will be clearly seen at all times. We have contacted the service provider to come out and perform the service. I will let you know when it is done Serviced 3/1/19

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? <input type="checkbox"/> UAC <input type="checkbox"/>
Observations	Date Inspected**: 1/31/2019	PI Response Date Corrected: 2/15/19
1] Leaking dawn bottle under sink; 2] 2918 exp - mill date 4/9/18		From [REDACTED] 2/15/19: 1] Removed and replaced with non-leaky bottle. 2] This is a surgical suite so there is no feed in room. Unable to respond to finding.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* USDA? UAC
Observations		Date Inspected**: 1/31/2019	
1] Exp 60mL syringes, indicated not for animal use - need to label as such; 2] Betadine jug under sink leaking		PI Response	
		Date Corrected: 2/15/19	
From [REDACTED] 2/15/19: 1] Exp 60mL syringes, indicated not for animal use - need to label as such; - [REDACTED] . Do we need to notify the lab or will the IACUC? 2] Betadine jug under sink leaking – Container was inspected and there was no leak noted. Staining from pervious leak possible.			

PI: [REDACTED]	Location: UAC: [REDACTED]	<input checked="" type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* USDA? UAC
Observations		Date Inspected**: 1/31/2019	
1] Two isoflurane dispensers last calibrated 4/2015; 2] (SFI) Master key to drug cabinet does not work - need key; 3] Etoh no exp date on secondary container; 4] [REDACTED] - not clear of ownership or maintenance; 5] [REDACTED] lab? Plastic cabinet needs to be organized so drawers close		PI Response	
		Date Corrected: 2/18/2019	
		From [REDACTED] 2/18/2019: 1] Service for isoflurane vaporizer is arranged. 2] We have the log of guillotine use in our binder; we will update the maintenance log ASAP. 3] Plastic cabinet drawer is difficult to open because of heavy perfusion pumps on the top of plastic cabinet, which should be in the close proximity to the hood for making a perfusion. We will find the sturdy item to support the heavy perfusion pumps. 4] We don't have the drug cabinet in the [REDACTED] we have wall cabinet with drugs. We got ours keys from UAC, so the master key should work. From [REDACTED] 2/28/2019:] Two isoflurane dispensers were serviced on February 18, 2019. 2] [REDACTED] was sharpened on February 25, 2019. We have the log of [REDACTED] use in our binder in the wall cabinet of [REDACTED] 3] We have two heavy perfusion pumps on the top of plastic cabinet. Now the top of plastic cabinet is supported by sturdy plastic cutting board.	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* USDA? UAC
Observations		Date Inspected**: 1/31/2019	
Expired triple antibiotics (no exp date given) - discarded during inspection ([REDACTED])		PI Response	
		Date Corrected: 2/15/19	
		Discarded during inspection From [REDACTED] 2/15/19: •Product disposed at time of inspection. All UAC husbandry staff instructed to check expiration dates monthly as per our room servicing SOP which is reinforced by our recently updated work aid that includes a laminated duty checklist organized by task and frequency. Techs retrained to this new aid on 2/15/19.	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* USDA? UAC
Observations		Date Inspected**: 1/31/2019	
2] In drawer: IV catheter exp 2013, 20mL syringe exp - both discarded during inspection; 3] secondary containers of isopropyl no exp date;		PI Response	
		Date Corrected: 2/15/19	
		2] discarded during inspection From [REDACTED] 2/15/19: 1] Belongs to [REDACTED] lab? •2], 3] - Product disposed at time of inspection. All UAC husbandry staff instructed to check expiration dates monthly as per our room servicing SOP which is reinforced by our recently updated work aid that includes a laminated duty checklist organized by task and frequency. Techs retrained to this new aid on 2/15/19	

*Noncompliance only

**Physical location inspections only - does not apply to surgical record review

Obtained by Rise for Animals, Updated 07/06/2020

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/31/2019	PI Response
7918 mill date 7-9-18 - removed during inspection ([REDACTED])		Removed during inspection From [REDACTED] 2/15/19: •Removed and replaced at time of inspection. All UAC husbandry staff instructed to check expiration dates monthly as per our room servicing SOP which is reinforced by our recently updated work aid that includes a laminated duty checklist organized by task and frequency. Techs retrained to this new aid on 2/15/19.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/31/2019	PI Response
Rescue disinfectant exp 11/2018 (room not in use?)		From [REDACTED] 2/15/19: •Product disposed at time of inspection. All UAC husbandry staff instructed to check expiration dates monthly as per our room servicing SOP which is reinforced by our recently updated work aid that includes a laminated duty checklist organized by task and frequency. Techs retrained to this new aid on 2/15/19.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/31/2019	PI Response
Sterile vial exp 8/18; 1mL syringes exp 4/18		From [REDACTED] 2/15/19: •Necropsy room so items not used in live animals. •Product disposed at time of inspection. All UAC husbandry staff instructed to check expiration dates monthly as per our room servicing SOP which is reinforced by our recently updated work aid that includes a laminated duty checklist organized by task and frequency. Techs retrained to this new aid on 2/15/19.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? [REDACTED] UAC [REDACTED]
Observations	Date Inspected**: 1/31/2019	PI Response
1] PreEmpt [REDACTED] exp 6-20-18; 2] alcohol secondary container no exp date; 3] Trash can sanitized date 4-7-18		From [REDACTED] 2/15/19: •Product disposed at time of inspection. All UAC husbandry staff instructed to check expiration dates monthly as per our room servicing SOP which is reinforced by our recently updated work aid that includes a laminated duty checklist organized by task and frequency. Techs retrained to this new aid on 2/15/19. •Trash can sanitized and tag updated to match UAC SOPs. Dedicated surgery room for [REDACTED] lab.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* USDA? No
Observations Date Inspected**: 3/28/2019		PI Response Date Corrected: 5/6/2019	
1] Citrace expired; 2] Cheerios expired [no exp dates given by inspectors]		1, 2] discarded at time of inspection From [REDACTED] 5/6/2019: How occurred: Although we had ordered Citrace we had not used it and therefore did not notice the expiration date. The Cheerios do not have an expiration date (only a best used by date). Plan for correcting the finding: Both the Citrace and the Cheerios were disposed of. Plan to prevent in the future: For cleaning materials like Citrace, we will put a large marking on the bottle indicating the expiration date. For Cheerios (and other treats given to animals), we will mark the date of opening of the packaging. We will then dispose after a period of 6 months.	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* USDA? No
Observations Date Inspected**: 4/3/2019		PI Response Date Corrected: 4/16/2019	
Cannulae for perfusion are expired and marked as for use in terminal procedures - expired materials not on protocol.		Amendment submitted to add expired materials.	

PI: [REDACTED]	Location: [REDACTED]	<input checked="" type="checkbox"/> SFI <input type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* USDA? No
Observations Date Inspected**: 4/3/2019		PI Response Date Corrected: 4/24/2019	
Hood expires April 2019 - recommend schedule certification asap		Hood recertified 4/24/19, hood hadn't been used in April 2019.	

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat	Funding Source* USDA? No
Observations Date Inspected**: 4/3/2019		PI Response Date Corrected: 4/16/2019	
1] Using ethanol for disinfection of surfaces; 2] Ethanol not dated - primary container has no expiration date. Inspector suggested putting mfg date on secondary container.		Thank you very much for sending us comments from inspector. I will answer to the following suggestions: 1] Using ethanol for disinfection of surfaces --> We prepared 10% bleach solution for a disinfectant. 2] Ethanol not dated - primary container has no expiration date. Inspector suggested putting mfg date on secondary container. --> We put the manufacturing date on the secondary bottle.	

PI: [REDACTED]	Location: [REDACTED]	<input checked="" type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? [REDACTED]			
Observations		Date Inspected**: 4/3/2019		PI Response		Date Corrected: 4/16/2019	
1] Expired sutures - discarded by inspector; 2] Hood expired April 2019 (SFI) - schedule certification asap; 3] Update controlled substance logs (SFI); 4] Anesthesia monitoring occurs every 20 minutes - should be every 15.		1] Two expired individually packaged sutures were found inside of a drawer that had not been cleaned out yet by a lab member. Expired items were discarded during the inspection; they were still sealed and had not been used on any animals. The lab area has been checked again after the inspection to ensure there are no additional expired items. In the future, expired items will be discarded as soon as the expiration date is reached; 2] Hood expiration dates had not yet been checked by the new lab manager. Facilities Management has been contacted and inspection dates are being arranged; 3] Surgery logs and substance logs were not previously kept with sufficient detail; because of personnel change some details could not be added at the time of inspection. Going forward logs will be filled diligently with extreme detail to prevent a lapse in records from occurring again; 4] Current protocol 15-588 instructs for anesthesia monitoring at least every 15 minutes; 20 minutes was an incorrect response given by a person who utilizes live (constant) EKG readings for anesthesia monitoring instead of toe-pinching every 15 minutes. Going forward all staff will be reminded of the correct anesthesia monitoring protocol to ensure compliance.					

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? [REDACTED]			
Observations		Date Inspected**: 4/3/2019		PI Response		Date Corrected: 4/16/2019	
1] Cracked ceiling tile; 2] Crack in floor		1] 4/16/2019 from [REDACTED] The cracked ceiling tiles have been fixed. 2] Facilities claims nothing can be done about the crack in the floor.					

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? [REDACTED]			
Observations		Date Inspected**: 4/3/2019		PI Response		Date Corrected: 4/26/2019	
SFI: F/Air canister marked with checks but no weights.		Inspector educated on recording weight and following manufacturer recommendations for disposal 4/26/2019 Regarding the inspection finding listed above, we acknowledged that a log for the weight of the F/Air canister was not maintained in our lab records. We also acknowledge the importance of this log to the safety of the personnel and to the efficiency of our anesthesia machine. We procured our new anesthesia machine only few month ago, which explain how the finding occurred. Since the inspection date, we have taken the following measures: 1) We replaced the F/Air canister with a new canister. Its weight was determined, dated and recorded. 2) Weight of the canister is determined, recorded, and dated after each animal use. Consistent with the concept of Refinement, we continued to keep dated logs for materials, compounds and drugs and no expired material, compound or drug has been used in a live animal.					

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]		USDA? <input type="checkbox"/> No
Observations	Date Inspected**: 4/4/2019	PI Response
1] Cloth upholstered chairs - need to be replaced with cleanable material; 2] TRIS pH 7.4 TG dated 9/18/18 - What is this? Is it used on live animals?		4/16/2019 From [REDACTED] 1.The chairs we have are made made of cloth. We will replace the cloth seats with cleanable seats. 2.This was found by the computer for [REDACTED]. Is used to calibrate the electrodes for [REDACTED] studies, it is not used on animals.
Date Inspected**: 4/4/2019		Date Corrected: 4/16/2019
Ophthalmic ointment expired - disposed of during inspection		From [REDACTED] 4/26/2019: In terms of the ophthalmic ointment, it unfortunately was an old vial that should have been disposed of. The material was not used in a live animal since the expiration date. New (unexpired) vials were present in the room and [REDACTED] at time of inspection. The material has been disposed of and a reminder sent to the lab regarding expiration dates and disposal. For future, I am asking my technician ([REDACTED] CC'd here) to double check the animal supplies every 6 months as backup to the students and post-docs.
Date Inspected**: 4/4/2019		Date Corrected: 4/26/2019
Urethane (reconstituted) - bottle without label, labeled as expired in 1 year (this is not correct - 30 days is expiration for compound). Lab will inquire about disposal		From [REDACTED] 4/16/2019: No expired compounds were used in live animals. Fresh compounds are made up monthly to ensure compliance. Expired compounds have been disposed of
Date Inspected**: 4/4/2019		Date Corrected: 4/16/2019

PI: [REDACTED] Location: [REDACTED] ☒ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat

Funding Source* [REDACTED] USDA? No

Observations

Date Inspected**: 4/4/2019

1] Versaclean - no exp date on secondary or primary container [Note from IACUC Office: recommend labeling secondary container with manufacture date]; 2] Etoh bottle not dated; 3] [REDACTED] is dirty and blade is rough (also [REDACTED])

PI Response

Date Corrected: 4/18/19

1] Versaclean - no exp date on secondary or primary container [Note from IACUC Office: recommend labeling secondary container with manufacture date];
(1) Primary Versaclean container also does not list a manufacture date. Assigned 30-day expiration from date of dilution IAW guidance #608. Modified labeling template for cleaning/disinfectant secondary containers.
2] Etoh bottle not dated;
(2) Primary Ethanol container does not list an expiration date; manufacture date has been included as recommended above. Assigned 30-day expiration from date of dilution IAW guidance #608. Modified labeling template for cleaning/disinfectant secondary containers.
3] [REDACTED] is dirty and blade is rough
(3) Maintenance records indicated sharpening was not due until after 38 more uses. [REDACTED] has since been thoroughly cleaned and submitted for sharpening. Instituted most recent Use/Maintenance Log found on IACUC links page.

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat

Funding Source* [REDACTED] USDA? No

Observations

Date Inspected**: 4/4/2019

1] 2% & 4% lidocaine in secondary container, no exp date or mix date; 2] "Training dye" in reused UAC betadine vial - no mix date, no exp date, no "not for use in live animals" label; 3] Dirty dye stained syringe; 4] Expired prolene suture, exp 1/2019; 5] Undated dilute bleach -needs to be marked even if not used w/animals or animal surfaces (also [REDACTED])

PI Response

Date Corrected: 4/22/2019

1, 4, 5. Follow the IACUC Guidance 608, Check expiration date more often, clearly mark the labelling for expired items
2. labelling " Not for use live animal" if the stuff are not using on animal experiment.
3. Discarded

PI: [REDACTED] Location: [REDACTED] ☒ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat
Funding Source* [REDACTED] USDA? No

Observations

Date Inspected**: 4/4/2019

1] Versaclean - no exp date on secondary or primary container [Note from IACUC Office: recommend labeling secondary container with manufacture date]; 2] Etoh bottle not dated; 3] [REDACTED] is dirty and blade is rough (also Ibrahim)

PI Response

Date Corrected: 4/18/19

1] Versaclean - no exp date on secondary or primary container [Note from IACUC Office: recommend labeling secondary container with manufacture date];
(1) Primary Versaclean container also does not list a manufacture date. Assigned 30-day expiration from date of dilution IAW guidance #608. Modified labeling template for cleaning/disinfectant secondary containers.
2] Etoh bottle not dated;
(2) Primary Ethanol container does not list an expiration date; manufacture date has been included as recommended above. Assigned 30-day expiration from date of dilution IAW guidance #608. Modified labeling template for cleaning/disinfectant secondary containers.
3] [REDACTED] is dirty and blade is rough
(3) Maintenance records indicated sharpening was not due until after 38 more uses. [REDACTED] has since been thoroughly cleaned and submitted for sharpening. Instituted most recent Use/Maintenance Log found on IACUC links page.

PI: [REDACTED] Location: [REDACTED] ☒ SFI ☒ Minor ☐ Significant ☐ Incident ☐ Non-compliance ☐ Repeat
Funding Source* [REDACTED] USDA? No

Observations

Date Inspected**: 4/4/2019

1] Hair on stereotactic platform; 2] Exp silk suture (exp date not provided by inspector); 3] Exp ket/xyl mix - labeled exp during inspection; 4] Overall this lab is messy and disorganized; 5] Large syringes exp, not labeled not for use in live animals; (also [REDACTED])

PI Response

Date Corrected: 4/15/19

For 616:
1. This particular steriotaxic platform has not been used for about 4 months and was in the back of the bench. It was sprayed and wiped down with versaclean to remove the hairs. We will make sure that unused equipment is cleaned and put away.
2. Suture was found unopened in the very back of the drawer. It was discarded during inspection. I will go through the drawers more frequently and check the dates.
3. Ketamine was found laying in the secondary safe, expired March 31th. It has been properly discarded and was not used in live animals since expiration. I will also check ketamine bottles more frequently.
4. I am disappointed to hear that they thought our lab was messy and unorganized. Our drawers/cabinets that have surgical supplies are labeled with yellow labels, all other drawers have lab personnel items. We will go through and make it more organized.
5. Large syringes were found on the bottom of a cabinet. They are not used on live animals and are only used during tissue collection. We now have the proper stickers to label "not for live animal use" and will continue to use these stickers for these particular syringes.

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? No			
Observations		Date Inspected**: 4/9/2019		PI Response		Date Corrected: 4/24/19	
Chem hood exp 1/2019				From [REDACTED] 4/16/2019: For the expired hood finding, we have contacted the facilities office that handles hood inspections and asked them to service our hood ASAP. Hood recertified 4/24/19			

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? No			
Observations		Date Inspected**: 4/9/2019		PI Response		Date Corrected: 4/17/19	
1] Last survival surgery record dated 11/2017 - verify no survival surgeries done since; 2] Ket/xyl not given as cocktail, each drug given individually; 3] Hood cert exp Jan 2019		In response to the comments on our IACUC inspection: We have not done any survival surgeries since 11-17 And we have submitted a request for getting our hood recertified.					

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input checked="" type="checkbox"/> Repeat
		Funding Source* 		USDA? No			
Observations		Date Inspected**: 4/9/2019		PI Response		Date Corrected: 4/17/19	
1] Sodium chloride exp 7/17; 2] Has surgical glue - not listed in vet drugs		The findings occurred as follows: 1.The vial of expired sodium chloride was pushed to the back of a drawer and we were unaware that it was still in there. 2.We overlooked the inclusion of surgical glue on our protocol. We have addressed the results of the animal inspection as follows: 1.The unopened Sodium chloride exp 7/17 was discarded. 2.We are amending our animal protocol to include surgical glue. We plan to prevent the findings from occurring in the future by being more diligent about product expiration dates and in making sure that all products used on animals are listed in the protocol.					

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? No			
Observations		Date Inspected**: 4/9/2019		PI Response		Date Corrected: 4/17/19	
Chem hood exp 1/2019		The finding of the hood certification exp 1/2019 was addressed. UofA facilities was called and the hood was certified. The expiration is now 4/20. In the future I will notify UofA facilities if the hood certification is out of date.					

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? No			
Observations		Date Inspected**: 4/9/2019		PI Response		Date Corrected: 4/16/2019	
Chem hood exp 1/2019		From [REDACTED] 4/16/2019: Completed 4/16/19					

*Noncompliance only

**Physical location inspections only - does not apply to surgical record review

Obtained by Rise for Animals, Updated 07/06/2020

PI: [REDACTED]	Location: [REDACTED]	<input checked="" type="checkbox"/> SFI	<input type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? No			
Observations		Date Inspected**: 4/9/2019		PI Response		Date Corrected: 4/17/19	
1] Surgical log does not contain BID buprenorphine dose (as approved in protocol) - update surgical log and/or secondary container label		1)a) How the finding occurred: during inspection and inspector evaluated the anesthetic logs and found that post-operative injections were only recorded in the DEA log properly and only in SID form on the anesthetic log. b) Your plan for correction the finding: this shall and has been corrected by correlating the BID buprenorphine post-operative injections from the DEA log onto the proper anesthetic logs for each animal that had a surgical procedure as was approved by the IACUC protocol. c) How to prevent this from happening in the future: we shall be changing our anesthetic surgical monitoring sheet to the ones provided by the U of A IACUC that includes multiple animals and a section already delegated for post-operative injections as needed.					
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? Yes			
Observations		Date Inspected**: 4/9/2019		PI Response		Date Corrected: 4/26/2019	
1] Hood certification exp 1/2019; 2] Check iso canister before and after use		This is a core facility under the Translational Bioimaging Resource and is managed by [REDACTED] and [REDACTED] . They have been alerted to both issues. From our end, we always verify the isoflurane canisters are in proper condition (based on canister weight) before and after our use. We will be sure to verify the hood is properly certified as well before use and will notify the facility managers if not.					
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? No			
Observations		Date Inspected**: 4/11/2019		PI Response		Date Corrected: 4/23/19	
1] Exp betadine - Nov 2015; 2] Expired alcohol wipes - discarded during inspection; 3] Alcohol, detergent in secondary container with no labeling		From [REDACTED] 4/23/19: 1. Expired betadine - the expired betadine scrub has been discarded. The betadine scrub was an old unused bottle near the sink that was not used on any live animals. 2. Expired alcohol wipes - 5-10 expired alcohol wipes were found in a drawer and discarded during the inspection. Alcohol wipes are never used on the animals or during the surgery. 3. Alcohol, detergent in secondary container with no labeling - As explained during the inspection, the room is shared between 2 investigators. Those items belong to the other investigator and therefore are not used for our surgeries.					
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* [REDACTED]		USDA? Yes			
Observations		Date Inspected**: 4/11/2019		PI Response		Date Corrected: 4/23/2019	
Tape on floor		Tape removed					

PI: [REDACTED]	Location: [REDACTED]	<input checked="" type="checkbox"/> SFI	<input type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? Yes			
Observations		Date Inspected**: 4/11/2019		PI Response		Date Corrected: 4/23/2019	
Novalsan secondary container - no exp date (provided by UAC) - verify exp date		New novalsan ordered with exp date of 2/2020					
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? No			
Observations		Date Inspected**: 4/11/2019		PI Response		Date Corrected: 4/16/2019	
1] Expired betadine surgical scrub exp May 2018; 2] No mix date on chlorhexidine; 3] No exp date on secondary containers (alcohol, other supplies next to sink)		From [REDACTED] 4/16/2019: 1) We will dispose of all expired betadine and place a order for a new bottle 2) We will place mix dates on all solutions made 3)Expiration dates will be indicated on all supplies next to the sink					
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? No			
Observations		Date Inspected**: 4/11/2019		PI Response		Date Corrected: 4/22/19	
1] Expired betadine surgial scrub exp May 2018; 2] No mix date on chlorhexidine; 3] No exp date on secondary containers (alcohol, other supplies next to sink)		1. The old betadiene was replaced with new. We have also written the expiration date on the side so that it is more easily visible thus preventing this from happening again. 2. We have added mix/fill dates to chlorohexadine labels. 3. We have added expiration dates to all necessary secondary containers.					
PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? No			
Observations		Date Inspected**: 4/11/2019		PI Response		Date Corrected: 4/22/19	
1] Expired betadine surgial scrub exp May 2018; 2] No mix date on chlorhexidine; 3] No exp date on secondary containers (alcohol, other supplies next to sink)		1. The old betadiene was replaced with new. We have also written the expiration date on the side so that it is more easily visible thus preventing this from happening again. 2. We have added mix/fill dates to chlorohexadine labels. 3. We have added expiration dates to all necessary secondary containers.					
PI: [REDACTED]	Location: [REDACTED]	<input checked="" type="checkbox"/> SFI	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> Significant	<input type="checkbox"/> Incident	<input type="checkbox"/> Non-compliance	<input type="checkbox"/> Repeat
		Funding Source* 		USDA? Yes			
Observations		Date Inspected**: 4/23/2019		PI Response		Date Corrected: 4/26/2019	
1] No emergency contact info is posted; 2] Squeeze bottle with clear liquid, not labeled. Staff indicated is filled with water.		Bottles labeled and emergency contact info posted. Photos on file					

Semi-Annual Inspection - Locations with Resolved Findings [Significant/Potential Noncompliance]

Total: 3

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☒ Minor ☒ Significant ☐ Incident ☒ Non-compliance ☐ Repeat
 Funding Source* DoD USDA? No Case Number [Incident/Non-compliance] [REDACTED]

Observations Date Inspected**: 4/3/2019

1] Hood certification exp 1/2019; 2] Ophthalmic ointment exp 3/2019, discarded during inspection; 3] Survival surgery record dated 8/25 (no year) by [REDACTED] ([REDACTED] per PI): buprenorphine administered once every 24 hours for 3 days. Protocol indicates every 12 hours for 48 hours.

PI Response Date Corrected: 05/08/2019

1) We notified facility management right after the inspection. The hood is now certified through 5/2020.
 2) The ophthalmic ointment expired two days before the inspection. It had not been used during the two days. We have replaced it with new ointment.
 3) The surgery was performed on 8/25/2018. I talked with the student about this incident. He could not remember the details of the experiment, or why his procedure deviated from the protocol. He attributed it to a temporary lapse of judgement. I read the protocol together with him, and emphasized to him that he would be removed from the protocol if he fails to follow the protocol again.

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☐ Minor ☒ Significant ☒ Incident ☐ Non-compliance ☒ Repeat
 Funding Source* [REDACTED] USDA? UAC Case Number [Incident/Non-compliance] [REDACTED]

Observations Date Inspected**: 1/29/2019

Found empty water bottle, replaced with full. Animal was not distressed or thirsty.

PI Response Date Corrected: 2/13/2019

From [REDACTED] 2/13/2019: • I have talked to the Animal Tech that day and have retrained her on making sure all animals have a water source before leaving the room. Lab staff take cages to the lab frequently and often leave the water bottles in the room as they are not gone too long. They also weigh the rats frequently, leaving the bottles on the rack. I will also remind them to make sure the water bottles go back on their cages.

PI: [REDACTED] Location: [REDACTED] ☐ SFI ☐ Minor ☒ Significant ☐ Incident ☐ Non-compliance ☐ Repeat
 Funding Source* [REDACTED] USDA? No Case Number [Incident/Non-compliance] [REDACTED]

Observations Date Inspected**: 1/29/2019

1] intra cranial cannulae need to be labeled; 2] Distilled water needs to be labeled; 3] Toe pinch done every 30 minutes - approved for and should be done at least every 15 minutes. Inspector reiterated need for toe pinch 15 min; 4] Not using Press n Seal wrap - this is the only kind & brand approved for rodent surgery. Inspector suggested to purchase correct wrap

PI Response Date Corrected: 2/15/19

From [REDACTED] 2/15/19:
 -Cannulae are no longer in use and were move out of the room
 -Distilled water was labeled
 -Toe pinch will be done every 15 minutes
 -Press and Seal wrap will replace the existing wrap.

Semi-Annual Inspection - Locations with Unresolved Findings

Total: 1

PI: [REDACTED]	Location: [REDACTED]	<input type="checkbox"/> SFI <input checked="" type="checkbox"/> Minor <input type="checkbox"/> Significant <input type="checkbox"/> Incident <input type="checkbox"/> Non-compliance <input type="checkbox"/> Repeat
Funding Source* [REDACTED]	USDA? UAC	Case Number [inspection/non-compliance] [REDACTED]
Observations	Date Inspected**: 1/22/2019	PI Response
EtOH bottle no expiration date ([REDACTED] [REDACTED] [REDACTED] [REDACTED]) Crack in floor, behind 1st rack on right as you walk in		From [REDACTED] 2/5/2019: ETOH bottle removed on 2/1/19 by [REDACTED] floor cracks are slated for repair

IACUC Deadline for Correction/Action 9/11/2019

*Noncompliance only

**Physical location inspections only - does not apply to surgical record review

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