

VIII. Membership of the IACUC

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* This information is mandatory.

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

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

**** PHS Policy Membership Requirements:

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

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

X. Facility and Species Inventory

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

Oct 2011 / Date - annual
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ROOKLYN

Semiannual Program Review and Facility Inspection Checklist

The Semiannual Program Review and Facility Inspection Checklist is used to assist in conducting our semiannual reviews of programs and facilities for the care and use of animals. The Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (*Policy*), section IV.B.1.-2., requires the Institutional Animal Care and Use Committee (IACUC) to review the institution's program for humane care and use of animals and inspect all of the institution's animal facilities at least once every 6 months using the *Guide for the Care and Use of Laboratory Animals: Eighth Edition (Guide)* as a basis for evaluation. The checklist covers the major topics of the *Guide* and the requirements of the PHS Policy. The checklist does not replace the *Guide*, but is utilized in conjunction with the *Guide*. The *Guide* provides the standards, recommendations, and descriptions of desired outcomes necessary to evaluate and inspect an animal care and use program. Relevant references for the *Guide* and the PHS Policy are noted. Endnotes are included to reference specific U.S. Department of Agriculture (USDA) regulatory requirements that differ from the PHS Policy. Topics that are new to this version of the checklist or identified as a "must" in the *Guide* are highlighted. A column to identify changes that have occurred in the Institution's program for animal care and use (PHS Policy IV.A.1.a.-i.) since the last review is now also included.

I. Semiannual Program Review Checklist

Institutional Policies and Responsibilities

Date:

1. Animal Care and Use Program

- Responsibility for animal well-being is assumed by all members of the program (*Guide*, p 1) **[must]**
- IO has authority to allocate needed resources (*Guide*, p 13)
- Resources necessary to manage program of veterinary care are provided (*Guide*, p 14) **[must]**
- Sufficient resources are available to manage the program, including training of personnel in accord with regulations and the *Guide* (*Guide*, pp 11, 15)
- Program needs are regularly communicated to IO by AV and/or IACUC (*Guide*, p 13)
- 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]**
- Inter-Institutional collaborations are described in formal written agreements (*Guide*, p 15)
- Written agreements address responsibilities, animal ownership, and IACUC oversight (*Guide*, p 15)

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2. Disaster Planning and Emergency Preparedness

- Disaster plans for each facility to include satellite locations are in place (*Guide*, p 35, p 75) **[must]**
- Plans include provisions for euthanasia (*Guide*, p 35) **[must]**
- Plans include triage plans to meet institutional and investigators' needs (*Guide*, p 35)
- Plans define actions to prevent animal injury or death due to HVAC or other failures (*Guide*, p 35)
- Plans describe preservation of critical or irreplaceable animals (*Guide*, p 35)
- Plans include essential personnel and their training (*Guide*, p 35)
- Animal facility plans are approved by the institution and incorporated into overall response plan (*Guide*, p 35)
- Law enforcement and emergency personnel are provided a copy and integration with overall plan is in place (*Guide*, p 35)

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- Reviews and investigates concerns about animal care and use at institutionⁱⁱⁱ (PHS Policy, IV.B.)
- Procedures are in place for review, approval, and suspension of animal activities^{iv} (PHS Policy, IV.B.)
- Procedures are in place for review and approval of significant changes to approved activities (PHS Policy, IV.B.)
- Policies are in place for special procedures (e.g., genetically modified animals, restraint, multiple survival surgery, food and fluid regulation, field investigations, agricultural animals) (Guide, p 27-32)
- Requests for exemptions from major survival surgical procedure restrictions are made to USDA/APHIS^v (Guide, p 30) **[must]**

6. IACUC Training

- All IACUC members should receive:
 - Formal orientation to Institution's program (Guide, p 17)
 - Training on legislation, regulations, guidelines, and policies (Guide, p 17)
 - Training on how to inspect facilities and labs where animal use or housing occurs (Guide, p 17)
 - Training on how to review protocols as well as evaluate the program (Guide, p 17)
 - Ongoing training/education (Guide, p 17)

7. IACUC Records and Reporting Requirements^{vi}

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

8. Veterinary Care (See also next section - Veterinary Care)

- An arrangement for veterinarian(s) with training or experience in lab animal medicine is in place including backup veterinary care^{xi}
- Veterinary access to all animals is provided (Guide, p 14) **[must]**
- Direct or delegated authority is given to the veterinarian to oversee all aspects of animal care and use (Guide, p 14) **[must]**

- Veterinarian provides consultation when pain and distress exceeds anticipated level in protocol (Guide, p 5) **[must]**
- Veterinarian provides consultation when interventional control is not possible (Guide, p 5) **[must]**
- If part time /consulting veterinarian, visits meet programmatic needs (Guide, p 14)
- Regular communication occurs between veterinarian and IACUC (Guide, p 14)
- Veterinarian(s) have experience and training in species used (Guide, p 15) **[must]**
- Veterinarian(s) have experience in facility administration/management (Guide, p 15)

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9. Personnel Qualifications and Training

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

10. Occupational Health and Safety of Personnel

- Program is in place and is consistent with federal, state, and local regulations (Guide, p 17) **[must]**
- Program covers all personnel who work in laboratory animal facilities (Guide, p 18)
- Changing, washing, and showering facilities are available as appropriate (Guide, p 19)
- Hazardous facilities are separated from other areas and identified as limited access (Guide, p 19)
- Personnel training is provided based on risk (e.g., zoonoses, hazards, personal hygiene, special precautions, animal allergies) (Guide, p 20)
- Personal hygiene procedures are in place (e.g., work clothing, eating/drinking/smoking policies) (Guide, p 20)
- Procedures for use, storage, and disposal of hazardous biologic, chemical, and physical agents are in place (Guide, p 21)
- Personal Protective Equipment for the work area is appropriate and available (Guide, p 21)
- Program for medical evaluation and preventive medicine for personnel includes:
 - Pre-employment evaluation including health history (Guide, p 22)
 - Immunizations as appropriate (e.g., rabies, tetanus) and tests as appropriate (Guide, p 22)
 - Zoonosis surveillance as appropriate (e.g., Q-fever, tularemia, Hantavirus, plague) (Guide, p 23)

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- Procedures for reporting and treating injuries, including accidents, bites, allergies, etc. (*Guide*, p.23)
- Promotes early diagnosis of allergies including preexisting conditions (*Guide*, p.22)
- Considers confidentiality and other legal factors as required by federal, state and local regulations (*Guide*, p.22) **[must]**
- If serum samples are collected, the purpose is consistent with federal and state laws (*Guide*, p.22) **[must]**
- Waste anesthetic gases are scavenged (*Guide*, p.21)
- Hearing protection is provided in high noise areas (*Guide*, p.22)
- Respiratory protection is available when performing airborne particulate work (*Guide*, p.22)
- Special precautions for personnel who work with nonhuman primates, their tissues or body fluids include:
 - Tuberculosis screening provided for all exposed personnel (*Guide*, p.23)
 - Training and implementation of procedures for bites, scratches, or injuries associated with macaques (*Guide*, p.23)
 - PPE is provided including gloves, arm protection, face masks, face shields, or goggles (*Guide*, p.21)
 - Injuries associated with macaques are carefully evaluated and treatment implemented (*Guide*, p.23)
- Occupational safety and health of field studies is reviewed by OSH committee or office (*Guide*, p.32)

11. Personnel Security

- Preventive measures in place include pre-employment screening, and physical and IT security (*Guide*, p.23)

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12. Investigating & Reporting Animal Welfare Concerns

- Methods for investigating and reporting animal welfare concerns are established (*Guide*, p.23) **[must]**
- Reported concerns and corrective actions are documented (*Guide*, p.24)
- Mechanisms for reporting concerns are posted in facility and at applicable website with instructions (*Guide*, p.24)
 - Includes multiple contacts (*Guide*, p.24)
 - Includes anonymity, whistle blower policy, nondiscrimination and reprisal protection (*Guide*, p.24)

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- * **A** = acceptable
M = minor deficiency
S = significant deficiency (is or may be a threat to animal health or safety)
C = change in program (PHS Policy IV.A.1.a.i.) (include in semiannual report to IO and in annual report to OLAW)
NA = not applicable

NOTES:

Date:

- Veterinary program offers high quality of care and ethical standards (*Guide*, p 105) **[must]**
- Veterinarian provides guidance to all personnel to ensure appropriate husbandry, handling, treatment, anesthesia, analgesia, and euthanasia (*Guide*, p 106)
- Veterinarian provides oversight to surgery and perioperative care (*Guide*, p.106)
- Veterinary care program is appropriate for program requirements (*Guide*, pp 113-114)
- Veterinarian(s) is familiar with species and use of animals and has access to medical and experimental treatment records (*Guide*, p 114)
- Procedures to triage and prioritize incident reports are in place (*Guide*, p 114)
- Procedures are in place to address:
 - Problems with experiments to determine course of treatment in consultation with Investigator(*Guide*, p 114)
 - Recurrent or significant health problems with the IACUC and documentation of treatments and outcomes (*Guide*, p 114)
 - Veterinary review and oversight of medical and animal use records (*Guide*, p 115)
- Procedures established for timely reporting of animal injury, illness, or disease (*Guide*, p 114) **[must]**
- Procedures established for veterinary assessment, treatment, or euthanasia (*Guide*, p 114) **[must]**
- Veterinarian is authorized to treat, relieve pain, and/or euthanize (*Guide*, p 114) **[must]**

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- Procedures for lawful animal procurement are in place (*Guide, p.106*) **[must]**
- Sufficient facilities and expertise are confirmed prior to procurement (*Guide, p.106*)
- Procurement is linked to IACUC review and approval (*Guide, p.106*)
- Random source dogs and cats are inspected for identification (*Guide, p.106*)
- Population status of wildlife species is considered prior to procurement (*Guide, p.106*)
- Appropriate records are maintained on animal acquisition (*Guide, p.106*)
- Animal vendors are evaluated to meet program needs and quality (*Guide, p.106*)
- Breeding colonies are based on need and managed to minimize numbers (*Guide, p.107*)
- Procedures for compliance with animal transportation regulations, including international requirements, are in place (*Guide, p.107*) **[must]**
- Transportation is planned to ensure safety, security and minimize risk (*Guide, p.107*)
- Movement of animals is planned to minimize transit time and deliveries are planned to ensure receiving personnel are available (*Guide, pp.107-108*)
- Appropriate loading and unloading facilities are available (*Guide, p.109*)
- Environment at receiving site is appropriate (*Guide, p.109*)
- Policies in place on separation by species, source, and health status (*Guide, pp.109, 111-112*)
- Procedures in place for quarantine to include zoonoses prevention (*Guide, p.110*)
- Quarantined animals from different shipments are handled separately or physically separated (*Guide, p.110*)
- Procedures in place for stabilization/acclimation (*Guide, pp.110-111*)
- Policies in place for isolation of sick animals (*Guide, p.112*)
- Program is in place for surveillance, diagnosis, treatment and control of disease to include daily observation (*Guide, p.112*)
- Diagnostic resources are available for preventive health program (*Guide, p.112*)

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- Surgical outcomes are assessed and corrective changes Instituted (*Guide*, p.115)
- Researchers have appropriate training to ensure good technique (*Guide*, p.115)

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- Pre-surgical plans are developed and include veterinary input (e.g., location, supplies, anesthetic and analgesic use, peri-operative care, recordkeeping) (*Guide*, p 116)
- Aseptic surgery is conducted in dedicated facilities or spaces, unless exception justified and IACUC approved (*Guide*, p 116)
- Surgical procedures including laparoscopic procedures are categorized as major or minor (*Guide*, pp 117-118)
- For nonsurvival surgery, the site is clipped, gloves are worn and instruments and area are clean (*Guide*, p 118)
- Aseptic technique is followed for survival surgical procedures (*Guide*, pp 118-119)
- Effective procedures for sterilizing instruments and monitoring expiration dates on sterile packs are in place (*Guide*, p 119)
- Procedures for monitoring surgical anesthesia and analgesia are in place (*Guide*, p 119)
- For aquatic species, skin surfaces are kept moist during surgical procedures (*Guide*, p 119)
- Post-operative monitoring and care are provided by trained personnel and documented (e.g., thermoregulation, physiologic function, analgesia, infection, removal of skin closures) (*Guide*, pp 119-120)

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4. Pain, Distress, Anesthesia and Analgesia

- Guidelines for assessment and categorization of pain, distress and animal wellbeing are provided during training (*Guide*, p 121)
- Selection of analgesics and anesthetics is based on professional veterinary judgment (*Guide*, p 121)
- Painful procedures are monitored to ensure appropriate analgesic management (*Guide*, p 122)
- Nonpharmacologic control of pain is considered as an element of postprocedural care (*Guide*, p 122)
- Procedures are in place to assure antinociception before surgery begins (*Guide*, p 122) **[must]**
- Guidelines for selection and use of analgesics and anesthetics are in place and regularly reviewed and updated (*Guide*, p 122)
- Special precautions for the use of paralytics are in place to ensure anesthesia^{xiv} (*Guide*, p 123)

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5. Euthanasia

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

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6. Drug Storage and Control

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

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NA = not applicable

NOTES:

Terrestrial Animal Housing and Support Areas

Location:

- [illegible]

- species specific plans for housing including enrichment, behavior and activity are developed and reviewed regularly by IACUC, researchers and veterinarian (Guide, pp 53, 58, 60, 63)
- animal care personnel receive training to identify abnormal animal behaviors (Guide, p 53)
- stability of pairs or groups is monitored for incompatibility (Guide, p 64)
- single housing is justified for social species (Guide, p 64)
- single housing is limited to the minimum period necessary (Guide, p 64)
- additional enrichment for single housed animals is provided (Guide, p 64)
- single housing is reviewed regularly by IACUC and veterinarian (Guide, p 64)
- habituation to routine procedures is part of enrichment program (Guide, p 64)
- **Sheltered or Outdoor Housing:** (e.g., barns, corrals, pastures, islands)
 - weather protection and opportunity for retreat (Guide, p 54) **[must]**
 - appropriate size (Guide, p 54)
 - ventilation and sanitation of shelter (no waste/moisture build-up) (Guide, p 54)
 - animal acclimation (Guide, p 55)
 - social compatibility (Guide, p 55)
 - roundup/restraint procedures (Guide, p 55)
 - appropriate security (Guide, p 55)
- **Naturalistic Environments:**
 - animals added /removed with consideration of effect on group (Guide, p 55)
 - adequate food, fresh water, and shelter ensured (Guide, p 55)
- **Food:**
 - feeding schedule and procedures including caloric intake management (Guide, pp 65-67)
 - contamination prevention (Guide, p 65)
 - vendor quality control (Guide, p 66)
 - storage in sealed containers (Guide, p 66)
 - expiration date labeling (Guide, p 66)
 - vermin control (Guide, p 66)
 - rotation of stocks (Guide, p 66)
- **Water:**
 - ad libitum unless justified (Guide, pp 67-68)
 - QC procedures (Guide, pp 67-68)
- **Bedding and Nesting Materials:**
 - species appropriate (Guide, pp 68-69)
 - keeps animals dry (Guide, pp 68-69)
 - QC procedures (Guide, pp 68-69)
 - minimizes scientific variables (Guide, pp 68-69)
- **Sanitation:**
 - frequency of bedding/substrate change (Guide, p 70)
 - cleaning and disinfection of microenvironment (Guide, pp 70-71)
 - cleaning and disinfection of macroenvironment (Guide, p 72)
 - assessing effectiveness (Guide, p 72)
- **Waste Disposal:**
 - procedures for collection (Guide, pp 73-74)
 - procedures for storage and disposal (Guide, pp 73-74)
 - hazardous wastes are rendered safe before removal from facility (Guide, pp 73-74) **[must]**
 - animal carcasses (Guide, pp 73-74)
- **Pest Control:**
 - regularly scheduled (Guide, p 74)
 - documented program including control of rodent pests and insecticide use (Guide, p 74)
- **Emergency, Weekend, and Holiday Animal Care:**
 - care provided by qualified personnel every day (Guide, p 74)
 - provision for accessible contact information (Guide, p 74)
 - monitoring of backup systems (Guide, p 143)

- veterinary care available after hours, weekends, and holidays (*Guide*, pp 74, 114) **must**
- a disaster plan that takes into account both personnel and animals (*Guide*, p 75)
- **Identification:**
 - cage/rack cards contain required information (*Guide*, p 75)
 - genotype information included and standardized nomenclature used when applicable (*Guide*, p 75)
- **Recordkeeping:**
 - clinical records accessible and contain appropriate information (*Guide*, pp 75-76)
 - records are provided when animals are transferred between institutions (*Guide*, p 75)
- **Breeding Genetics and Nomenclature:**
 - appropriate genetic records, management and monitoring procedures (*Guide*, p 76)
 - phenotypes that affect wellbeing are reported to IACUC and effectively managed (*Guide*, p 77)
- **Storage:**
 - adequate space for equipment, supplies, food, bedding and refuse (*Guide*, p 141)
 - bedding in vermin-free area and protected from contamination (*Guide*, p 141)
 - food in vermin-free, temperature and humidity controlled area and protected from contamination (*Guide*, p 141)
 - refuse storage is separate (*Guide*, p 141)
 - carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (*Guide*, p 141)
- **Personnel:**
 - adequate space for locker rooms, administration and training (*Guide*, p 135)

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NOTES:

Aquatic Animal Housing and Support Areas

Date:

Location:

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

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

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NOTES:

Date:
Location:

Date:

Location:

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

* **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.-j.) (Include in semiannual report to IO and in annual report to OLAW)

NA = not applicable

NOTES:

Special Facilities: Aseptic Surgery

Date:

Location:

A* M S C NA

- General Considerations:**

- o location minimizes traffic/contamination (*Guide, p 144*)
- o functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (*Guide, p 144*)
- o appropriate drug storage, control, expiration date monitoring (*Guide, pp 115, 122*)
- o safe sharps disposal system (*Guide, p 74*)
- o adequate records of anesthesia and perioperative care (*Guide, p 122*)
- o aseptic procedures in use for all survival surgery (*Guide, pp 118-119*)

- Operating Room:**

- o effective contamination control procedures (*Guide, p 144*)
- o effective cleaning procedures/dedicated tools (*Guide, p 145*)
- o interior surfaces smooth and impervious to moisture (*Guide, p 145*)
- o HVAC system meets *Guide* requirements (*Guide, p 145*)
- o lighting safe and appropriate (*Guide, p 145*)
- o outlets safe and appropriate (*Guide, p 145*)
- o scavenging of anesthetic gases implemented (*Guide, p 145*)

- Surgical Support:**

- o facility for washing, sterilizing, storing instruments and supplies (*Guide, p 145*)
- o autoclave monitoring procedures are implemented (*Guide, pp 119, 145*)
- o storage of autoclaved materials maintains sterility (*Guide, p 145*)
- o cold sterilization procedures are appropriate (*Guide, p 119*)

- Animal Preparation:** contains large sink to facilitate cleaning of animal and operative site (*Guide, p 145*)

- Surgeon Scrub:** outside operating room, non-hand-operated sink (*Guide, p 145*)

- Postoperative Recovery:** allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (*Guide, p 145*)

- Dressing Area:** place for personnel to change (*Guide, p 145*)

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NA = not applicable

NOTES:

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

Date:

Location:

A* M S C NA

• **General Considerations:**

- labs used to house animals only when scientifically required and limited to minimum period necessary (*Guide*, p. 134)
- drug storage, control, and expiration dates (*Guide*, pp. 115, 122)
- sharps disposal (*Guide*, p. 74)
- anesthetic monitoring (*Guide*, p. 120)
- scavenging of anesthetic gases (*Guide*, p. 21)
- safety features (e.g., SOPs, safety signs, eyewash stations, secure gas cylinders) are in place (*Guide*, p. 19)
- carcass disposal (*Guide*, pp. 73-74)

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

- rodent survival surgery clean and uncluttered, not used for anything else during surgery (*Guide*, p. 144)
- records of peri-operative care (*Guide*, p. 120)
- aseptic procedures (*Guide*, pp. 118-119)
- autoclave monitoring procedures (*Guide*, pp. 119, 145)
- storage of autoclaved materials (*Guide*, p. 145)
- cold sterilization procedures are appropriate (*Guide*, p. 119)

• **Imaging/Whole Body Irradiation:**

- location of resource limits contamination risk (*Guide*, p. 147)
- appropriate transportation methods are in place (*Guide*, p. 147)
- gas anesthesia provision, scavenging and monitoring are appropriate (*Guide*, p. 147)
- appropriate sensors and ventilation are provided for cryogen gases (*Guide*, p. 147) **must**
- imaging console is located away from radiation source (*Guide*, p. 147)

• **Hazardous Agent Containment:**

- facility adheres to APHIS, USDA and CDC Select Agent Regulations and other federal, state and local regulations including security measures (*Guide*, p. 148) **must**

• **Behavioral Studies:**

- facility minimizes airborne transmission of noise and ground-borne transmission of vibration (*Guide*, p. 149)
- floor coverings reduce sound transmission (*Guide*, p. 149)
- testing equipment allows for surface disinfection (*Guide*, p. 150)
- components that cannot be cleaned are not in ready contact with animals and kept covered when not in use (*Guide*, p. 150)
- housing areas are contiguous with testing areas when appropriate (*Guide*, p. 150)

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NA = not applicable

NOTES:

October 4, 2017

Long Island University, College of Pharmacy and Health Sciences
Semi-Annual Facilities Inspection

(b) (4) Rodent Room:

Dr. Scharf remarked that the cages are state of the art, and that the temperature and humidity was fine and in range.

The ceiling vents need to be cleaned.

Feed room:

Mouse droppings were noted on the table where the emergency water supply is kept, as well as in the corner on the floor.

Cage wash:

There is a strip of ceiling material hanging down that should be removed.

The sign on the wall to the left of the cage wash machine is moldy and should be removed or replaced.

(b) (4) Rabbit Room:

Ceiling vents should be cleaned.

All deficiencies noted were minor, with none posing an immediate threat to the animals.