

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

Date: November 13, 2019

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

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

Significant deficiencies:

| | |
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| YES | NO |
| | X |

Departures from Guide:

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| YES | NO |
| X | |

Departures from AWARs

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| YES | NO |
| | X |

| 1. Animal Care and Use Program | | A | MI | S | C | NA |
|---|---|---|----|---|---|----|
| • Responsibility for animal well-being is assumed by all members of the program (<i>Guide</i> , p 1) [must] | X | | | | | |
| • IO has authority to allocate needed resources (<i>Guide</i> , p 13) | X | | | | | |
| • Resources necessary to manage program of veterinary care are provided (<i>Guide</i> , p 14) [must] | X | | | | | |
| • Sufficient resources are available to manage the program, including training of personnel in accord with regulations and the <i>Guide</i> (<i>Guide</i> , pp 11, 15) | X | | | | | |
| • Program needs are regularly communicated to IO by AV and/or IACUC (<i>Guide</i> , p 13) | X | | | | | |
| • Responsibilities for daily animal care and facility management are assigned to specific individual(s) when a full-time veterinarian is not available on site (<i>Guide</i> , p 14) [must] | | | | | | X |
| • Procedures are in place for Inter-institutional collaborations including ensuring IACUC approval (<i>Guide</i> , p 15) | X | | | | | |
| 2. Disaster Planning and Emergency Preparedness | | A | MI | S | C | NA |
| • Disaster plans for each facility to include satellite locations are in place (<i>Guide</i> , p 35, p 75) [must] | X | | | | | |
| • Plans include provisions for euthanasia (<i>Guide</i> , p 35) [must] | X | | | | | |
| • Plans include triage plans to meet institutional and investigators' needs (<i>Guide</i> , p 35) | X | | | | | |
| • Plans define actions to prevent animal injury or death due to HVAC or other failures (<i>Guide</i> , p 35) | X | | | | | |
| • Plans describe preservation of critical or irreplaceable animals (<i>Guide</i> , p 35) | X | | | | | |
| • Plans include essential personnel and their training (<i>Guide</i> , p 35) | X | | | | | |
| • Animal facility plans are approved by the institution and incorporated into overall response plan (<i>Guide</i> , p 35) | X | | | | | |
| • Law enforcement and emergency personnel are provided a copy and integration with overall plan is in place (<i>Guide</i> , p 35) | X | | | | | |
| 3. IACUC | | A | MI | S | C | NA |
| • Meets as necessary to fulfill responsibilities (<i>Guide</i> , p 25) [must] | X | | | | | |
| • IACUC Members named in protocols or with conflicts recuse themselves from protocol decisions (<i>Guide</i> , p 26) [must] | X | | | | | |
| • Continuing IACUC oversight after initial protocol approval is in place (<i>Guide</i> , p 33) | X | | | | | |
| • IACUC evaluates the effectiveness of training programs (<i>Guide</i> , p 15) | X | | | | | |
| 4. IACUC Protocol Review - Special Considerations | | A | MI | S | C | NA |
| • Humane endpoints are established for studies that involve tumor models, infectious diseases, vaccine challenge, pain modeling, trauma, production of monoclonal antibodies, assessment of toxicologic effects, organ or system failure, and models of cardiovascular shock (<i>Guide</i> , p 27) | X | | | | | |
| • For pilot studies, a system to communicate with the IACUC is in place (<i>Guide</i> , p 28) | X | | | | | |

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|--|----------|-----------|----------|----------|-----------|
| • For genetically modified animals, enhanced monitoring and reporting is in place (<i>Guide, p 28</i>) | X | | | | |
| • Restraint devices are justified in the animal use protocols (<i>Guide, p 29</i>) [must] | X | | | | |
| • Alternatives to physical restraint are considered (<i>Guide, p 29</i>) | X | | | | |
| • Period of restraint is the minimum to meet scientific objectives (<i>Guide, p 29</i>) | X | | | | |
| • Training of animals to adapt to restraint is provided (<i>Guide, p 29</i>) | X | | | | |
| • Animals that fail to adapt are removed from study (<i>Guide, p 29</i>) | X | | | | |
| • Appropriate observation intervals of restrained animals are provided (<i>Guide, p 29</i>) | X | | | | |
| • Veterinary care is provided if lesions or illness result from restraint (<i>Guide, p 30</i>) [must] | X | | | | |
| • Explanations of purpose and duration of restraint are provided to study personnel (<i>Guide, p 30</i>) | X | | | | |
| • Multiple surgical procedures on a single animal are justified and outcomes evaluated (<i>Guide, p 30</i>) | X | | | | |
| • Major versus minor surgical procedures are evaluated on a case-by-case basis (<i>Guide, p 30</i>) | X | | | | |
| • Multiple survival procedure justifications in non-regulated species conform to regulated species standards (<i>Guide, p 30</i>) | X | | | | |
| • Animals on food/fluid restriction are monitored to ensure nutritional needs are met (<i>Guide, p 31</i>) | X | | | | |
| • Body weights for food/fluid restricted animals are recorded at least weekly (<i>Guide, p 31</i>) | X | | | | |
| • Daily written records are maintained for food/fluid restricted animals (<i>Guide, p 31</i>) | X | | | | |
| • Pharmaceutical grade chemicals are used , when available, for animal-related procedures (<i>Guide, p 31</i>) | X | | | | |
| • Non-pharmaceutical grade chemicals are described, justified, and approved by IACUC (<i>Guide, p 31</i>) | X | | | | |
| • Investigators conducting field studies know zoonotic diseases, safety issues, laws and regulations applicable in study area (<i>Guide, p 32</i>) | X | | | | |
| • Disposition plans are considered for species removed from the wild (<i>Guide, p 32</i>) | X | | | | |
| • Toe-clipping only used when no alternative, performed aseptically and with pain relief (<i>Guide, p 75</i>) | X | | | | |
| 5. IACUC Membership and Functions | A | MI | S | C | NA |
| • IACUC is comprised of at least 5 members, appointed by IO who has delegated responsibility (PHS Policy, IV.A.3.) | X | | | | |
| • Members include a veterinarian, a scientist, a nonscientist, and a nonaffiliated non-lab animal user (<i>Guide, p 24</i>) | X | | | | |
| • IACUC authority and resources for oversight and evaluation of institution's program are provided (<i>Guide, p 14</i>) | X | | | | |
| • IACUC conducts semiannual evaluations of institutional animal care and use program (PHS Policy, IV.B.) | X | | | | |
| • IACUC conducts semiannual evaluation of the social housing and enrichment program | X | | | | |

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

6. IACUC Training

A MI S C NA

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

7. IACUC Records and Reporting Requirements

A MI S C NA

| | | | | | |
|---|---|--|--|--|--|
| ○ Submitted to IO every 6 months | X | | | | |
| ○ Compiles program review and facility inspection(s) results (includes all program and facility deficiencies) | X | | | | |
| ○ Includes minority IACUC views | X | | | | |
| ○ Describes IACUC-approved departures from the <i>Guide</i> or PHS Policy and the reasons for each departure | X | | | | |
| ○ Distinguishes significant from minor deficiencies | X | | | | |
| ○ Includes a plan and schedule for correction for each deficiency identified | X | | | | |
| ○ Annual report to OLAW documents program changes, dates of the semiannual program reviews and facility inspections and includes any minority views | X | | | | |
| ○ Promptly advises OLAW of serious/ongoing <i>Guide</i> deviations or PHS Policy noncompliance (NOT-OD-05-034) | X | | | | |
| ○ Institute must promptly advise OLAW of any suspension of an animal activity by the IACUC (NOT-OD-05-034) | X | | | | |
| ○ Annual report to USDA contains required information including all exceptions/exemptions | X | | | | |
| ○ Reporting mechanism to USDA is in place for IACUC-approved exceptions to the regulations and standards | X | | | | |

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|---|---|--|--|--|--|
| ○ Reports are filed within 15 days for failures to adhere to timetable for correction of significant deficiencies | X | | | | |
| ○ Promptly reports suspensions of activities by the IACUC to USDA and any Federal funding agency | X | | | | |
| ○ IACUC meeting minutes and semiannual reports to the IO are maintained for 3 years | X | | | | |
| ○ Records of IACUC reviews of animal activities include all required information | X | | | | |
| ○ Records of IACUC reviews are maintained for 3 years after the completion of the study | X | | | | |

8. Personnel Qualifications and Training

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

9. Occupational Health and Safety of Personnel

| | A | MI | S | C | NA |
|--|---|----|---|---|----|
| • Program is in place and is consistent with federal, state, and local regulations (<i>Guide</i> , p 17) [must] | X | | | | |
| • Program covers <i>all</i> personnel who work in laboratory animal facilities (<i>Guide</i> , p 18) | X | | | | |
| • Changing, washing, and showering facilities are available as appropriate (<i>Guide</i> , p 19) | X | | | | |
| • Hazardous facilities are separated from other areas and identified as limited access (<i>Guide</i> , p 19) | X | | | | |

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

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|---|---|--|--|--|--|
| instructions (<i>Guide</i> , p 24) | | | | | |
| o Includes multiple contacts (<i>Guide</i> , p 24) | X | | | | |
| o Includes anonymity, whistle blower policy, nondiscrimination and reprisal protection (<i>Guide</i> , p 24) | X | | | | |

| A. Veterinary Care | | | | | | |
|---|----------|-----------|----------|----------|-----------|--|
| 1. Veterinary Care | A | MI | S | C | NA | |
| • An arrangement for veterinarian(s) with training or experience in lab animal medicine is in place including backup veterinary care | X | | | | | |
| • Veterinary access to all animals is provided (<i>Guide, p 14</i>) [must] | X | | | | | |
| • Direct or delegated authority is given to the veterinarian to oversee all aspects of animal care and use (<i>Guide, p 14</i>) [must] | X | | | | | |
| • Veterinarian provides consultation when pain and distress exceeds anticipated level in protocol (<i>Guide, p 5</i>) [must] | X | | | | | |
| • Veterinarian provides consultation when interventional control is not possible (<i>Guide, p 5</i>) [must] | X | | | | | |
| • If part time /consulting veterinarian, visits meet programmatic needs (<i>Guide, p 14</i>) | | | | | X | |
| • Regular communication occurs between veterinarian and IACUC (<i>Guide, p 14</i>) | X | | | | | |
| • Veterinarian(s) have experience and training in species used (<i>Guide, p 15</i>) [must] | X | | | | | |
| • Veterinarian(s) have experience in facility administration/management (<i>Guide, p 15</i>) | X | | | | | |
| 2. Clinical Care and Management | A | MI | S | C | NA | |
| • Veterinary program offers high quality of care and ethical standards (<i>Guide, p 105</i>) [must] | X | | | | | |
| • Veterinarian provides guidance to all personnel to ensure appropriate husbandry, handling, treatment, anesthesia, analgesia, and euthanasia (<i>Guide, p 106</i>) | X | | | | | |
| • Veterinarian provides oversight to surgery and perioperative care (<i>Guide, p 106</i>) | X | | | | | |
| • Veterinary care program is appropriate for program requirements (<i>Guide, pp 113-114</i>) | X | | | | | |
| • Veterinarian(s) is familiar with species and use of animals and has access to medical and experimental treatment records (<i>Guide, p 114</i>) | X | | | | | |
| • Procedures to triage and prioritize incident reports are in place (<i>Guide, p 114</i>) | X | | | | | |
| o Problems with experiments to determine course of treatment in consultation with investigator(<i>Guide, p 114</i>) | X | | | | | |
| o Recurrent or significant health problems with the IACUC and documentation of treatments and outcomes (<i>Guide, p 114</i>) | X | | | | | |
| o Veterinary review and oversight of medical and animal use records (<i>Guide, p 115</i>) | X | | | | | |
| • Procedures established for timely reporting of animal injury, illness, or disease (<i>Guide, p 114</i>) [must] | X | | | | | |
| • Procedures established for veterinary assessment, treatment, or euthanasia (<i>Guide, p 114</i>) [must] | X | | | | | |
| • Veterinarian is authorized to treat, relieve pain, and/or euthanize (<i>Guide, p 114</i>) [must] | X | | | | | |

3. Animal Procurement and Transportation/Preventive Medicine

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

4. Surgery

| | A | MI | S | C | NA |
|--|---|----|---|---|----|
| • Surgical outcomes are assessed and corrective changes instituted (<i>Guide, p 115</i>) | X | | | | |
| • Researchers have appropriate training to ensure good technique (<i>Guide, p 115</i>) [must] | X | | | | |
| • Pre-surgical plans are developed and include veterinary input (e.g., location, supplies, anesthetic and analgesic use, peri-operative care, recordkeeping) (<i>Guide, p 116</i>) | X | | | | |
| • Aseptic surgery is conducted in dedicated facilities or spaces, unless exception justified and IACUC approved (<i>Guide, p 116</i>) | X | | | | |
| • Surgical procedures including laparoscopic procedures are categorized as major or minor (<i>Guide, pp 117-118</i>) | X | | | | |
| • For nonsurvival surgery, the site is clipped, gloves are worn and instruments and area are clean (<i>Guide, p 118</i>) | X | | | | |
| • Aseptic technique is followed for survival surgical procedures (<i>Guide, pp 118-119</i>) | X | | | | |
| • Effective procedures for sterilizing instruments and monitoring expiration dates on | X | | | | |

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| sterile packs are in place (<i>Guide, p 119</i>) | | | | | | |
| • Procedures for monitoring surgical anesthesia and analgesia are in place (<i>Guide, p 119</i>) | X | | | | | |
| • For aquatic species, skin surfaces are kept moist during surgical procedures (<i>Guide, p 119</i>) | X | | | | | |
| • Post-operative monitoring and care are provided by trained personnel and documented (e.g., thermoregulation, physiologic function, analgesia, infection, removal of skin closures) (<i>Guide, pp 119-120</i>) | X | | | | | |

5. Pain, Distress, Anesthesia and Analgesia

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

6. Euthanasia

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

7. Drug Storage and Control

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

B. Other

| | A | MI | S | C | NA |
|----------------------------------|---|----|---|---|----|
| • General Considerations: | | | | | |
| None | | | | | |
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A = acceptable

MI = minor deficiency

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

C = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)

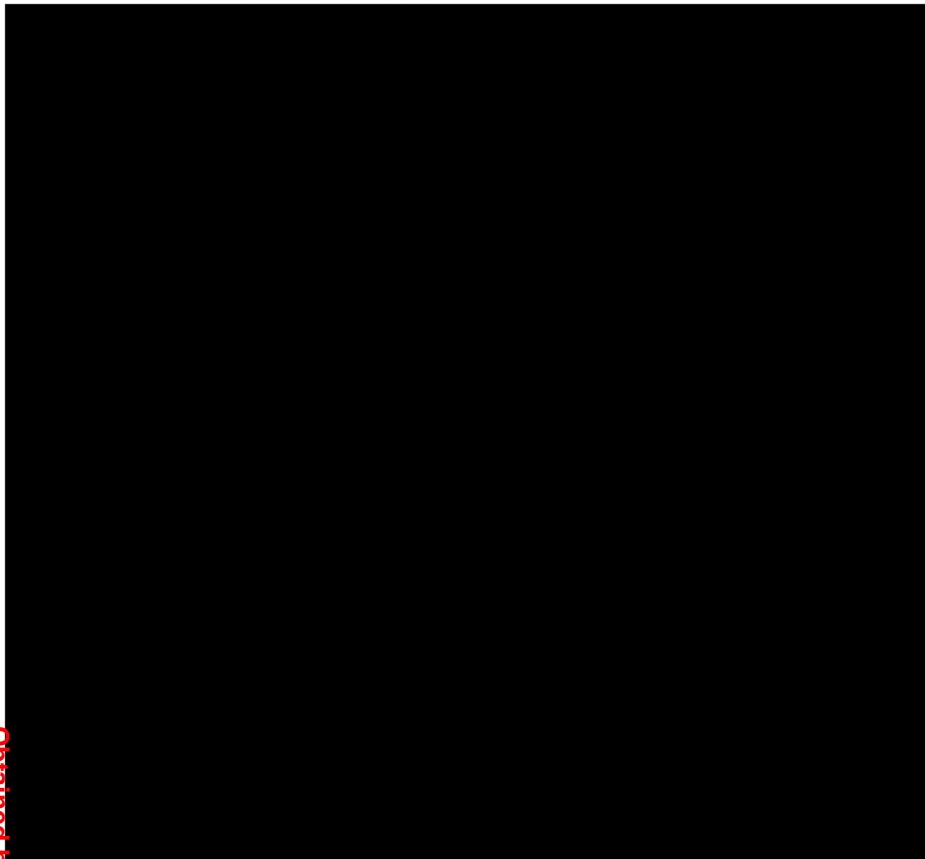
NA = not applicable

NOTES:

Primate Enrichment Social Housing Program Between April 1, 2019 and September 30, 2019

A total of 20 nonhuman primates entered the facility 12 cynomolgus macaques, 8 rhesus macaques and 0 baboons between April 1st and September 30, 2019. During this period, 21 pairings/re-pairings were attempted and where appropriate pairs were established. At the current time, there are 38 established pairs in the facility including 35 full contact pairs and 3 mesh only contact pairs. There are also 5 individual macaques being assessed for a compatible partner and there are 6 individual macaques that are exempt from pairing due to a history of being incompatible.

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



**Departure Report
November 19, 2019**

| Number | Category | Description | ACC Number(s) if applicable | Date(s) of Approval/Expiration |
|--------|--|---|--|---|
| 1 | Sanitation-Cleaning and Disinfection of Microenvironment | Cages are changed every 30 days instead of 14 days for cages supporting NHP infectious disease studies in the [REDACTED]. Pans are changed daily and cages are spot cleaned as needed. No health or husbandry problems with this exemption have been noted. Exemption approved for experimental and safety reasons. | 17-052 18-162 18-170 18-203 19-054 | 6/9/2017-4/18/20 10/16/18-9/18/21 10/26/18-10/16/21 12/13/18-11/20/21 4/30/19-4/18/22 |
| 2 | Sanitation-Cleaning and Disinfection of Microenvironment | Solid bottom cages for naked mole rats are changed every two weeks instead of every week for breeding colony cages and experimental cages to limit stress and increase breeding efficiency. Of specific note- larger colonies with larger caging systems establish a waste cage and this is spot cleaned as needed and at least weekly. No health or husbandry problems with this exemption have been noted. Exemption approved for experimental reasons. | 18-018 18-060 18-064 18-086 18-176 | 3/26/18-3/20/21 5/15/18-5/15/21 6/5/18-5/15/21 7/2/18-6/19/21 12/20/18-11/20/21 |
| 3* | Sanitation-Cleaning and Disinfection of Microenvironment | Solid bottom cages for mice are changed every two weeks instead of every week in enrichment cages to reduce intra-cage aggression in some group-housed males. Floor space in these cages is 5 times standard cage and cages only house maximum of 5 animals. No health or husbandry problems with this exemption have been noted. Exemption approved for experimental reasons. | 17-123 | 8/19/17-7/18/20 |
| 4 | Sanitation-Cleaning and Disinfection of Microenvironment | Sentinel mice and rats are housed with dirty bedding from mice or rat cages, respectively, from within the housing room in order to monitor the microbial status of rodents and ensure biosecurity. Exemption approved as standard practice to monitor rodent colony health status. | 18-221 | 12/18/18-12/18/21 |
| 5 | Terrestrial Housing-Temperature and Humidity | Minimum humidity levels can fall below 30% during heating season due to HVAC infrastructure limitations. HVAC humidifiers are maintained and operated at full capacity, staff monitor humidity levels daily, and animals are monitored for health and welfare concerns associated with low humidity. Exemption approved by IACUC. No health or husbandry problems with this exemption have been noted. | Program | 11/19/19 |

**Departure Report
November 19, 2019**

| | | | | |
|----|--|--|--|---|
| 6 | Terrestrial Housing-Ventilation | In order to maintain naked mole rats at temperatures of 75-85 F and 40-65% humidity levels which is more consistent with their natural environment in the wild, the PI has requested to maintain the room at a static ventilation rate and/or at a rate significantly below 10 air changes/hour. Exemption approved by IACUC. No health or husbandry problems with this exemption have been noted. | 18-018 18-060 18-064 18-086 18-176 | 3/26/18-3/20/21 5/15/18-5/15/21 6/5/18-5/15/21 7/2/18-6/19/21 12/20/18-11/20/21 |
| 7 | Sanitation-Cleaning and Disinfection of Microenvironment | Cages in isolator and water bottles in isolator are not changed weekly. Cage are changed according to the SOP established for the room. They are germ free so dirty bedding is collected weekly and cages wiped down and water is refilled. | 17-045 | 3/28/17-3/21/20 |
| 8 | Sanitation-Cleaning and Disinfection of Microenvironment | Cages in isolator and water bottles in isolator are not changed weekly. Cage are changed according to the SOP established for the room. They are germ free so dirty bedding is collected weekly and cages wiped down and water is refilled. | 18-166 | 12/6/18-9/18/21 |
| 9 | Sanitation-Cleaning and Disinfection of Microenvironment | Cages are not changed during the 10 day period animals are undergoing telemetry monitoring to not disturb recordings during this time. Only one animal is housed/cage and cages are new and clean at the start of recordings. In addition, food is made available on the floor of the cage for greater accessibility and to reduce potential of wires being disturbed by wire top of cage. | 19-062 | 5/13/19-4/18/22 |
| 10 | Terrestrial Management-Husbandry | Mole Rats highly conserve water and obtain all water via food sources only. Therefore, water bottles are not provided in cages. | 18-018 18-060 18-064 18-086 18-176 | 3/26/18-3/20/21 5/15/18-5/15/21 6/5/18-5/15/21 7/2/18-6/19/21 12/20/18-11/20/21 |

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

Facilities Inspection Report
November 13, 2019

Present: [REDACTED]

Guest(s): [REDACTED]

E-mail correspondence: None

Members of the UIC Animal Care Committee met to review and discuss the inspection of animal facilities conducted October 7, 8 and 10, 2019. The facilities were evaluated in terms of their compliance with the 8th Edition of the *Guide for the Care and Use of Laboratory Animals (Guide)* and the Standards promulgated to implement the Animal Welfare Act. This report includes new items that have arisen since the semiannual inspection, April 2-5, 2019, as well as those areas where improvements are being made in the facilities and equipment as part of the overall long-range program for maintaining and upgrading the level of animal care on the campus. The following report will consist of a facility by facility description of items that should be addressed to ensure compliance with the recommendations of the *Guide*. There were no significant deficiencies observed in any animal facility as determined by the *Guide* or the Animal Welfare Standards during this inspection.

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

Special Recognition - [REDACTED] recognized the efforts of the following ACC members who participated in the October 2019 facility inspection: [REDACTED]

[REDACTED]

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

- : Unsecured controlled substances (ketamine out on cart).
- : Knives should be in drawer/bin.
- : Light fixtures need cleaning. Light out. Need to hang cleaning utensils. PPE staging area: remove wooden items. Need to clean and organize PPE bins. Make hearing protection available.

- : Hay stored on floor.
- : Extension cord on floor. Room is cluttered and needs cleaning.
- : Need vermin trap. Thermostat coming off west wall.
- : Need vermin trap. Need to sweep floor (feces in corner).
- : Outlet cover needed. Room needs cleaning. Remove chair (from conference room).
- : Outlet cover needed.
- : Outlet cover needed.
- : Remove expired ■ protocols.
- : Need a vermin trap. Need to secure hanging light cover.
- : Need to clean carcass refrigerator (blood in bottom). Paint is bubbling off of wall and ceiling in SW corner of back room.
- : Vermin trap has a solid top.
- : Expired Acucheck chlorine strips. Medaka fish need a cage card.
- : Need to hang broom.
- : Tubes in refrigerator are not clearly labeled. Lab supplies in back of room should be stored in plastic boxes or clear plastic bags (not red biohazard bags).
- : Remove old surgical records.

The following items/issues need to be addressed:

- : Need BSL2 sticker on lab refrigerator.
- : Expired baby food needs to be removed.
- : Electrical outlet cover is missing.
- : Need a light diffuser.
- : Several containers of PBS and water have been opened with no date or PI name. Empty styrofoam containers for tubes should be removed. ■ should remove excess clutter in cabinets.

█: Fume hood must be cleaned out and clutter removed. Fruit loops must be labeled "Not for Human Consumption."

█: Surgical files for BSL2 surgery should not be in this room and should be in BSL2 room █.

█: Replace trap by condensate pump.

█: SW wall in back is damaged. Need to repair and paint.

█: Exhaust vents dirty. Same issue in █.

█: Floor needs cleaning. Remove garbage from sink.

█: Knife stored between guard rail and wall outside of █. Wall and floor outside of █ needs painting/cleaning.

█: Paper towels around cages need to be eliminated. PI needs to use sanitizable wrapping material or replace with opaque containers. Brown storage cabinet needs to be removed. Mouse feces in behavior chambers. Glass bottles with liquid are unlabeled.

█: Need to hang broom.

█: Tubes in refrigerator are not clearly labeled (request pre-printed labels). Hood should not be used for storage. Need to remove excess items. Personal clothing should not be left in the room.

█: Need logs for charcoal canisters.

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

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

█:

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

█ are cluttered and need cleaning.

The following items/issues need to be addressed:

█: Need a "No Food or Drink" sign for refrigerator. Need to review pest control program (no vermin traps in room). Cardboard boxes should be stored off of floor.

█: Update █ personnel on signage.

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

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

█:

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

█: Rehang exhaust duct cover.

█: Need to clean and organize PI storage items (box has paper towels and mouse feces).

█: Unsecured and expired controlled substances. Two unlabeled conical tubes with liquids.

█: Morris water maze appears to need cleaning.

█: Grip strength or latency to fall test grate is rusty and needs to be replaced. Storage box is dirty and needs to be cleaned/organized.

█: Dirty airlock is needs cleaning/mopping. Solid top vermin trap.

█: Replace broken Pyrex container with plastic.

█: Need to remove old surgical records.

█: Albino mice on top shelf. Mice on 17-135 should not be housed in █.

█: Need to review changing/cleaning schedule for chambers. Signage posted in room needs to reflect current █ staff. Need baskets on the back of door for PPE station.

█: Single housing cards on rat cages not completed (need reason for single housing).

█: Door lock broken.

The following items/issues need to be addressed:

█: Not completing post-op monitoring section of the surgical record.

█: Unlabeled disinfectant.

█: Floor needs cleaning/scrubbing.

█: Need to scrape and paint. Need to sanitize, review sanitation schedule, and post it on door.

█: Lab is not updating protocol transfer sheet on door.

█: Cages need to be labeled correctly for treatments.

█: Need to determine cleaning schedule for behavior equipment. Need to update instructions for changing bedding to indicate current █ staff. Need baskets on the back of door for PPE.

█: Need "Single Housing" cards for singly housed guinea pigs.

█: Single housing cards on rat cages not completed (need reason for single housing).

█: Need a husbandry/cleaning log in the room for animals housed in tent.

█: Dead animal freezer had a bag of zebrafish without PI name/date.

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

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

████████████████████

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

General: Fume hoods in the facility need accurate and current certification documentation.

█: Powder food needs expiration date.

█: Need to remove expired betadine.

█: Need to provide documentation for when guillotine was sharpened.

█: Room is cluttered. Charcoal canister not weighed.

The following items/issues need to be addressed:

█: Need to paint.

█: Need to paint.

█: Unlabeled vials and bottles in the room. Powdered food improperly labeled.

█: Need to repair peeling paint in trough.

█: Need new slip resistant strips on ramp in cage wash. Door needs adjusting to decrease resistance. Safety shower outside of cage wash needs testing by █.

█ needs to remove surgical records >1yr.

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

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

█

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

█: Need to secure light fixture cover.

█: Unlabeled spray bottle.

█: Mold by and on taped vent/access panel cover.

The following items/issues need to be addressed:

█: Need to plug holes in east wall.

█: Need to paint floor.

█: Need to paint floor.

█: Need mop hanger.

█: Paint inside door frame that is rusty.

█ Mold by and on taped vent/access panel cover. Paint floor.

█: Need to replace sucrose bottle or label with the appropriate date.

alcove/exit: Need to install an alarm on emergency exit door. Water damage to west wall in alcove.

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

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

█:

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

There were none.

The following items/issues need to be addressed:

The facility was inactive at the time of the inspection.

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

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

█

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

█: PPE stored in lockers.

█: Room temp >70 degrees F.

█: Light cover needs to be cleaned.

█: Need to caulk around outlet.

█: Hole in ceiling near northwest corner.

210C: Fabric cover for transporting rat cages (need to determine cleaning method and schedule).

█: Cleaning method for behavioral testing equipment needs to be laminated.

█: Carcass freezer needs cleaning.

The following items/issues should be addressed:

█: Room should be positive to corridor. Light fixture needs cleaning.

█: Light cover needs to be cleaned.

█: Paint on wall behind autoclave and on south wall near SE corner is cracked and lifting away from wall.

█: Need to caulk around outlet.

█: Hole in ceiling near northwest corner.

█: Need to place a screw in push panel outside door.

█: Need to implement a laundering schedule for fabric cover for transporting rat cages. Need a log for water-restricted rats.

█: Computers on floor need to be removed.

█: Remove computer. Clean out startled box.

█: Plug holes at bottom of west wall.

█: Replace cardboard on the window of both doors with contact paper. Eyewash needs to be checked weekly.

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

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

The following items/issues should be addressed:

There were none.

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

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

██████████:

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

There were none.

The following items/issues should be addressed:

Animal holding room paint delaminating. Electric outlet near hood needs repair.

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

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

████████████████████

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

There were none.

The following items/issues need to be addressed:

██████: Need a door sweep. Hay should be stored in a covered container.

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

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

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

The facility was not active at the time of the previous inspection.

The following items/issues need to be addressed:

There were none.

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

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

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

There were none.

The following items/issues should be addressed:

There were none.

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

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

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

There were none.

The following items/issues should be addressed:

There were none

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

There were none.

The following items/issues should be addressed:

There were none

██████████

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

There were none.

The following items/issues should be addressed:

There were none.

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

Need to confirm/verify individual(s) serving as point of contact for the study area. Need to sweep and mop floors. Wipe down counters and sink. Remove broken glass from counter. Hood needs to be certified. Need to restock PPE. Remove cages that are on floor. Styrofoam dissection boards and needles need to be removed (██████████ and ██████████). Unlabeled bottles in drawer (██████████). Controlled substances (ketamine) stored in unsecured drawer (██████████). Laser device is present in room and it is not clear if room is authorized for this purpose as ██████████ required signage is not present.

The following items/issues should be addressed:

Need to sanitize lab. Hood labeled "cage area". It is not clear how the fume hood is being used. A variety of unlabeled vials and bottles. Unlabeled bag of food. Ketamine vial empty with date 1/7/19. ██████████: Unlabeled flask with liquid. ██████████: plastic box with paper towel and mouse feces appears to be for administration of anesthetic. ██████████: Unsecured controlled substances. Expired heparin.

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

Wooden stick and board should be sealed or removed. Remove wooden clipboard.

The following items/issues should be addressed:

There were none.

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

There were none.

The following items/issues should be addressed:

There were none.

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

There were none.

The following items/issues need to be addressed:

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

Need to certify hood. Piglet holder needs to be sealed.

The following items/issues need to be addressed

Need to maintain an animal usage log for MRI facility to be available at ACC semiannual inspections. Include: PI name, Individual name using facility, ACC protocol number, species.

[REDACTED]

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

Remove expired eye ointment and betadine. Discard full sharps container. Remove soiled aluminum-covered dissection pad in the lab fume hood. Recommend that PI consider using dissection board of sanitizable material and tape (as opposed to needles/pins).

The following items/issues need to be addressed

There were none.

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

Need to remove expired controlled substances (Nembutal and Fentanyl).

The following items/issues need to be addressed

There were none.

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

There were none.

The following items/issues need to be addressed

There were none.

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

There were none.

The following items/issues need to be addressed

There were none.

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

There were none.

The following items/issues need to be addressed

There were none.

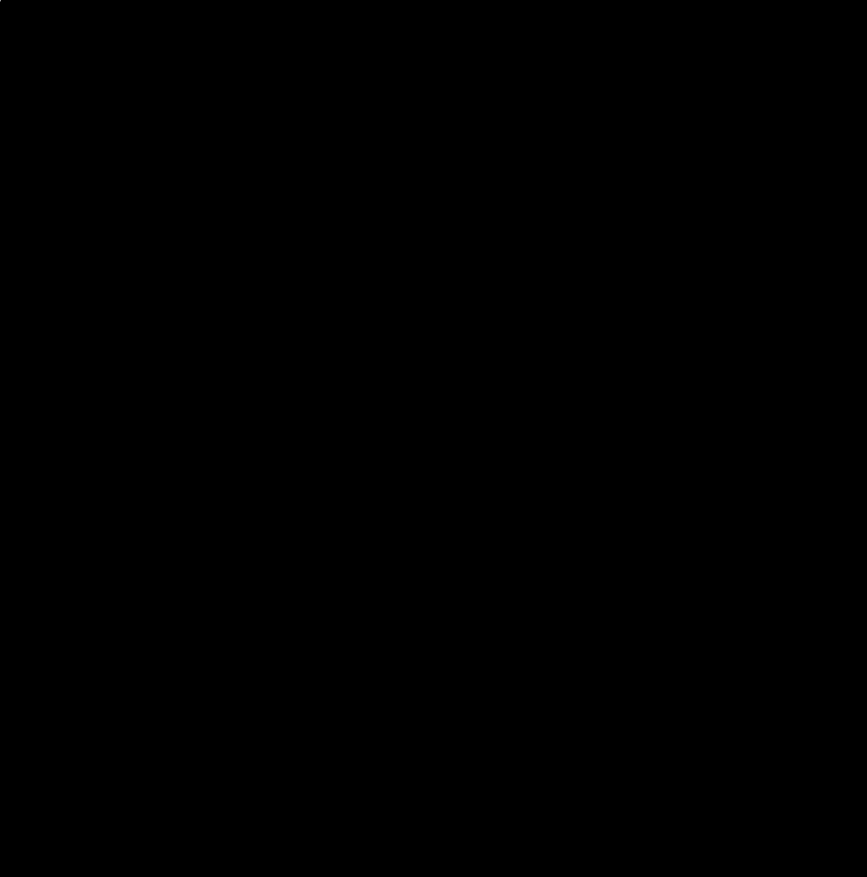
The following PI laboratories were visited as part of the post-approval monitoring program.

[REDACTED]

16

Members of the Full Animal Care Committee reviewed the documents on November 13, 2019 and recommends that the Animal Care Committee endorse the report as submitted. There were no major deficiencies observed in any animal facility as determined by the Guide or the Animal Welfare Standards during this inspection. There are on-going maintenance and renovation items within the facilities, but they have been recognized and efforts to have them addressed are being made within the existing system for supporting the animal housing facilities on the campus

I have reviewed the attached report of the Facilities Subcommittee detailing the inspection of UIC Animal Facilities that took place October 7, 8 and 10, 2019 and understand that I have the right to file a minority report should I not agree with their findings.



Semiannual Facility Inspection/Program Review
Summary of Deficiencies and Corrective Action
October, 2019

| Facility | Room | Deficiency | Minor | Significant | Corrective Action | Date of Completion | Responsible Unit or Personnel |
|----------|------|---|-------|-------------|---|---|-------------------------------|
| | | Hearing protection is not readily available to all personnel | X | | Need to stock ear plugs at PPE station to make available for all personnel | 1/15/2020 | |
| | | Baby food is expired | X | | Discard expired baby food | Completed prior to preparation of action plan | |
| | | Need BSL2 sticker on refrigerator in lab | X | | Place BSL2 sticker on refrigerator in lab | 1/15/2020 | |
| | | Light diffuser missing | X | | Replace light diffuser | 2/15/2020 | |
| | | Electrical outlet cover is missing | X | | Replace electrical outlet cover | 1/15/2020 | |
| | | Several containers of PBS and water have been opened with no date. Empty styrofoam containers should be removed | X | | Discard unlabeled containers of liquids and styrofoam materials | Completed prior to preparation of action plan | |
| | | PI supply areas are cluttered | X | | PI should remove excess clutter in storage areas | 1/15/2020 | |
| | | Fume hood cluttered removed. Fruit loops not labeled | X | | Clean out and remove clutter from fume hood. Label fruit loops "Not for Human Consumption." | 1/15/2020 | |
| | | BSL2 surgical records in room | X | | Remove BSL2 surgical records from the room and put in [REDACTED] | 1/15/2020 | |
| | | Vermin trap is very dirty | X | | Replace vermin trap with new | 1/15/2020 | |

Semiannual Facility Inspection/Program Review
Summary of Deficiencies and Corrective Action
October, 2019

| | | | | |
|---|---|--|---|------------|
| SW wall in back is damaged. | X | | Repair and paint wall | 3/15/2020 |
| Paint peeling with minor damage to east wall in back of room | X | | Patch and paint east wall in back of room | 3/15/2020 |
| Exhaust vent covers dirty | X | | Clean exhaust vents and review room sanitation SOP | 2/15/2020 |
| Floor is dirty. Garbage in sink | X | | Clean/scrub floors and remove garbage from sink | 1/15/2020. |
| Knife stored between guard rail and wall | X | | Need to store knives in drawer or use magnetic strip | 1/15/2020 |
| Paper towels around cages need to be eliminated. Brown storage cabinet needs to be removed. Mouse feces in behavior chambers. Glass bottle with liquid is unlabeled | X | | PI needs to obtain opaque behavior chambers or cover chambers with sanitizable material. Remove brown storage cabinet. Clean behavior chambers and review cleaning schedule/method with vet staff. Remove or label glass bottle with liquid | 1/15/2020 |
| Broom on floor. | X | | Need to install hooks so cleaning utensils can be hung. | 1/15/2020 |
| Biosafety cabinet should not be used for storage. Personal clothing should not be left in room | X | | Remove personal clothing from room. ACC is requesting that [REDACTED] complete the [REDACTED] training module [REDACTED] | 1/15/2020 |
| Labeling on tubes in refrigerator is illegible | X | | Due to ongoing issue of illegible writing on tubes in refrigerator, ACC is requesting that PI use pre-printed labels for tubes | 2/15/2020 |
| Need log for weighing charcoal canister | X | | Provide and complete log for checking charcoal canister | 1/15/2020 |

Semiannual Facility Inspection/Program Review
Summary of Deficiencies and Corrective Action
October, 2019

| | | | | |
|---|---|--|---|-----------|
| Need a "No Food or Drink" sign for refrigerator. No vermin traps in room. Cardboard boxes are stored on floor | X | | Place a "No Food or Drink" sign on lab supply refrigerator. Review pest control program for Annex. Remove boxes from floor | 2/15/2020 |
| Signage lists [REDACTED] personnel that have left UIC | X | | Update [REDACTED] personnel on signage | 1/15/2020 |
| Lab is not completing post-op monitoring section of surgical record | X | | [REDACTED] personnel need to meet with veterinary staff to review rodent surgery program | 1/15/2020 |
| Spray bottle with disinfectant not labeled | X | | Need to label disinfectant | 1/15/2020 |
| Floor needs cleaning. Need to clean floor | X | | Clean/scrub floors and slop sink | 1/15/2020 |
| Room needs to be sanitized | X | | Need to sanitize, review sanitation schedule and post on door | 1/15/2020 |
| Lab is not completing animal usage record on animal room door | X | | [REDACTED] needs instruct lab staff to complete required animal usage records on animal room door | 1/15/2020 |
| Cages need to be labeled correctly (Do Not Feed) for treatments | X | | Need to ensure that instructional labels (stickers) for cages adhere to cage cards | 1/15/2020 |
| Schedule for cleaning behavior equipment/bedding change is not clear. Instructional sheet for changing bedding lists [REDACTED] staff that are no longer here. Need baskets on the back of door for PPE | X | | [REDACTED] staff to meet with veterinary staff regarding behavior testing schedule and sanitation procedures. Signage on wall should be updated to include current [REDACTED] Staff | 1/15/2020 |
| Need baskets for stocking PPE in room | X | | Install baskets on back of door for stocking PPE | 1/15/2020 |

Semiannual Facility Inspection/Program Review
Summary of Deficiencies and Corrective Action
October, 2019

| | | | | |
|---|---|--|---|-----------|
| Single Housing cards not completed | X | | Need to complete Single Housing cards (Need to indicate reason why animals are singly housed) | 1/15/2020 |
| Guinea pigs are singly housed | X | | Need to provide the rationale for single housing guinea pigs. This would then need to be included on a single housing | 1/15/2020 |
| No husbandry/cleaning log for rats in tent | X | | Need a husbandry/cleaning log at the level of the room for animals maintained in the tent. | 1/15/2020 |
| Bag of dead zebrafish in freezer without PI name/date. | X | | Need to label bags of dead zebrafish with PI name/date. | 1/15/2020 |
| Room needs to be painted. | X | | Paint room. | 2/15/2020 |
| Unlabeled vials and bottles in the room. Powdered food improperly labeled. | X | | Need to label vials and bottles in room. Need to label powdered food with Diet # and expiration date. | 1/15/2020 |
| Need to repair peeling paint in trough. | X | | Repair peeling paint in trough. | 3/15/2020 |
| Need slip resistant strips on ramp on cage washer. Door needs adjusting to decrease resistance. | X | | Place new slip resistant strips on ramp on cage washer. Adjust cage washer door to decrease resistance. | 1/15/2020 |
| Safety shower outside of cage wash needs testing. | X | | Contact [REDACTED] to test safety shower. | 1/15/2020 |
| Surgical records in room are >1 year. | X | | [REDACTED] needs to instruct lab staff to remove surgical records from animal room. | 1/15/2020 |
| Holes in east wall | X | | Need to plug holes in east wall of cage wash room. | 1/15/2020 |
| Floor needs painting | X | | Paint floor. | 3/15/2020 |
| Mop is on floor | X | | Need to hang mop | 1/15/2020 |

Semiannual Facility Inspection/Program Review
Summary of Deficiencies and Corrective Action
October, 2019

| | | | | |
|--|---|--|--|-----------|
| Door frame is rusty | X | | Need to paint inside door frame that is rusty | 3/15/2020 |
| Mold by and on taped vent/access panel cover. | X | | Clean vent/access panel. | 1/15/2020 |
| Sucrose bottle is expired. | X | | Replace/discard expired sucrose bottle. | 1/15/2020 |
| Exhaust vent is covered with tape as a means to make the room positive to corridor. | X | | Need to maintain room pressure positive to hallway by covering vent with a magnetic cover. | 1/15/2020 |
| Light fixtures needs to be cleaned or replaced | X | | Submit a work order for lampers to clean or replace light cover. | 1/15/2020 |
| Paint on wall behind autoclave and on south wall near SE corner is cracked and lifting away from wall. | X | | Need to paint wall behind autoclave. | 3/15/2020 |
| Gap around outlet | X | | Need to caulk around outlet | 1/15/2020 |
| Screw in push panel on door is missing. | X | | Need to place a screw in push panel on door. | 1/15/2020 |
| Cloth covers for rat cages have not been laundered. Log for water restricted rats is not in room. | X | | Need to implement a laundering schedule for cloth covers for rat cages. Need to make log for water restricted rats available at the level of the room. | 1/15/2020 |
| Appears that computers in room are unused. | X | | Investigators should remove unused computers that are not in use from the facility. | 1/15/2020 |
| Startle box needs cleaning. | X | | Clean startle box. | 1/15/2020 |
| Holes in bottom of west wall. | X | | Submit a work order for holes in wall to be repaired. | 1/15/2020 |

Semiannual Facility Inspection/Program Review
Summary of Deficiencies and Corrective Action
October, 2019

| | | | | |
|--|---|--|--|-----------|
| Windows on both doors to room are covered in cardboard. Need documentation for flushing eyewash. | X | | Need to replace cardboard on windows of both doors with contact paper. Need a log to document flushing of eyewash station. | 1/15/2020 |
| Ventilated duct work used to scavenge isoflurane | X | | Plan to have [REDACTED] assess the ventilated duct work at [REDACTED] | 3/15/2020 |
| Light switch cover outside room missing. | X | | Replace light switch cover. | 1/15/2020 |
| Room placard missing | X | | Replace missing room placard | 3/15/2020 |
| Table is rusty. Tubes are unlabeled. Cloth towel on computer. Unusual behavior chambers in room. | X | | Clean rust off of metal table. Remove unlabeled tubes. Remove cloth towel on computer. PI needs to contact [REDACTED] to discuss behavior equipment and condition of the room. | 1/15/2020 |
| Holes in wall near light switch | X | | Repair holes in wall near light switch | 1/15/2020 |
| Unlabeled flask | X | | Label flask or remove | 1/15/2020 |
| Sink needs cleaning | X | | Need to clean sink. | 1/15/2020 |
| Animal holding room paint delaminating. | X | | Animal holding room floor needs repainting. | 6/15/2020 |
| Electrical outlet near hood needs repair. | X | | Submit work order to repair electric outlet near hood. | 1/15/2020 |
| Need door sweep. | X | | Install commercially available door sweep | 2/15/2020 |
| Hay improperly stored | X | | Hay should be stored in covered container or removed from room | 1/15/2020 |
| Lab needs to be sanitized | X | | Schedule room sanitation with [REDACTED] Staff | 1/15/2020 |
| Hood labeled "Cage Area". Not clear how hood is being used | X | | PI should inform ACC how hood in [REDACTED] is being used as it relates to cage storage | 1/15/2020 |

Semiannual Facility Inspection/Program Review
Summary of Deficiencies and Corrective Action
October, 2019

| | | | | | | |
|---|---|--|---|-----------|--|--|
| Unsecured controlled substances in room [REDACTED] | X | | Controlled substances should be properly secured | 1/15/2020 | | |
| A variety of tubes/vials improperly labeled. Unlabeled bag of mouse food. Expired materials | X | | Need to label vials, tubes and other materials with clear identification and expiration date. Expired materials (heparin) should be discarded. Unlabeled flask with liquid. PI needs to ensure that mice are not maintained in the room beyond 24 hours (food in bag) | 1/15/2020 | | |
| Plastic box with paper towel and mouse feces. Appears to be used for anesthetic induction | X | | Need to review proper procedure for anesthetic induction using isoflurane | 1/15/2020 | | |
| A log of animal users of MRI is not being maintained | X | | A log should be maintained in the MRI facility to be available at ACC semiannual inspections to include: PI name, name of person performing the procedure, species, and ACC protocol number | 2/15/2020 | | |

| ROOM # | DEFICIENCY |
|--------|---|
| | Need BSL2 sticker on refrigerator |
| | OK |
| | OK |
| | OK |
| | OK |
| | OK |
| | OK |
| | OK |
| | OK |
| | OK |
| | OK |
| | Expired baby food needs to be removed. |
| | OK |
| | Watch floors. |
| | Watch floor. Light out. Diffuser needs to be cleaned. |
| | OK |

| | |
|--|--|
| | Peeling paint on ceiling by light. Light is out. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | Need to make hearing protection available. |
| | |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |

| | |
|--|---------------------------------|
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Need a light diffuser. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Electrical outlet cover missing |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |

| | |
|--|--|
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | |
| | |
| | OK |
| | |
| | Room under construction at the time of the inspection. |
| | |
| | Paint back of room (peeling on east wall) |
| | |
| | OK |
| | |
| | OK |
| | |
| | Several containers of PBS and water have been opened with no date or PI name. Empty styrofoam containers for tubes should be removed. [REDACTED] should remove excess clutter from cabinets. |
| | |
| | OK |
| | |
| | OK |
| | |
| | Fume hood must be cleaned out and clutter removed. Fruit loops must be labeled "Not For Human Consumption". |
| | |
| | OK |

| | |
|--|--|
| | OK |
| | |
| | Surgical files for BSL2 surgery should not be in this room and should be in [REDACTED] Spot paint. |
| | |
| | OK |
| | |
| | Replace trap by condensate pump. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Paint chips around floor/wall junction. |
| | |
| | OK |
| | |
| | Paint peeling in SW corner in back room. Need to paint. This is in bad shape. |
| | |
| | Paint around ceiling panel. |
| | |
| | Exhaust vents dirty. |
| | |
| | Paint peeling. Crack in SW corner. Air filters need cleaning. |
| | |
| | Floors need cleaning. Junk thrown in sink needs removal. |

| | |
|--|--|
| | Exhaust vent needs cleaning. Need to paint around door frames. |
| | |
| | Exhaust vent needs cleaning. |
| | |
| | Floors need cleaning. |
| | |
| | OK |
| | |
| | |
| | Knife left between guard rail and wall [REDACTED] Wall and floors outside of [REDACTED] in hallway are in bad shape. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |

| | |
|--|---|
| | Paper towels around cages need to be eliminated and only sanitizable wrapping materials should be used for cages. Alternatively, PI should consider different chamber type for NOR testing. Brown storage cabinet on floor needs to be removed. Behavior chambers have mouse feces in it. Unlabeled glass bottles with liquid left in room. |
| | |
| | OK |
| | |
| | Need to hang broom. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Need to keep room locked (NMR) |

| | |
|--|--|
| | Tubes in refrigerator are not clearly labeled. Hood should not be used for storage; need to remove. Personal clothing should not left in the room. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Front room north wall (west side) and around doors peeling paint. No logs for isoflurane canister weights. |
| | |
| | OK |
| | |
| | Inner door frame needs paint. |
| | |
| | Rust on cabinet and painting needed in back room. |
| | |
| | Painting needed on ceiling and near back door frame. |
| | |
| | Peeling paint, back of room. |

| | |
|--|--------------------------|
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Painting needed on wall. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | 1 light out. |
| | |
| | OK |

| | |
|--|------------------------|
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | OK |
| | |
| | |
| | OK |
| | |
| | OK. Note: equipment |
| | |
| | OK |
| | |
| | Loose paint west wall. |
| | |
| | OK |

| | |
|--|---|
| | |
| | OK |
| | |
| | OK |
| | |
| | 1 light out. |
| | |
| | Not completing post-op monitoring section of surgical record. |
| | |
| | OK |
| | |
| | Unlabeled disinfectant. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |

| | |
|--|---|
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Need to scrape and paint. |
| | |
| | OK |
| | |
| | Floor needs cleaning/scrubbing. |
| | |
| | OK |
| | |
| | Need to scrape and paint. Need to sanitize, review sanitation schedule and post it on door. |
| | |
| | OK |
| | |
| | OK |

| | |
|--|--|
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Not updating protocol transfer sheet on door. |
| | |
| | OK |
| | |
| | Loose paint left side of door. |
| | |
| | OK |
| | |
| | OK |
| | |
| | Cages need to be labeled correctly for treatments. Paint peeling around ceiling panel. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |

| | |
|--|--|
| | |
| | OK |
| | |
| | OK |
| | |
| | Peeling paint |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Need to review changing/cleaning schedule for chambers. Signage posted in room needs to reflect current staff. Need baskets on the back of door for PPE station. |
| | |
| | OK |
| | |
| | Some cages appeared to have excess algae growth (fish are visible). |
| | |
| | No "Single Housing" card for singly housed guinea pigs. |
| | |
| | Single housing cards on cages not completed (need reason for single housing). |
| | |
| | OK |
| | |
| | No husbandry log for animals housed in tent. |
| | |
| | OK |

| | |
|--|--|
| | |
| | OK |
| | |
| | Dead animal freezer had a bag of zebrafish not labeled with PI name or date. |
| | |
| | OK |
| | |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | Fume hood certification document needs the current date. |
| | |
| | OK |
| | |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |

| | |
|--|--|
| | OK |
| | OK |
| | OK |
| | OK |
| | needs to remove surgical records >1yr. |
| | OK |
| | Need new slip resistant strips on ramp in cagewash. Door needs adjusting to decrease resistance. Safety shower outside cagewash needs testing by |
| | OK |
| | Need to paint. |
| | Need to paint. |
| | OK |
| | Unlabeled vials and bottles in room. Powdered food improperly labeled. |
| | OK |
| | OK |
| | OK |
| | OK |
| | OK |
| | Need to repair peeling paint in trough. |

| | |
|--|--------------------------|
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Plug holes in east wall. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Need to paint floor. |
| | |
| | OK |
| | |
| | Need to paint floor. |

[illegible]

[illegible]

| | |
|--|---|
| | OK |
| | |
| | OK |
| | |
| | Need to clean rust off metal table. Remove cloth towel on computer and unlabeled tubes. [REDACTED] needs to contact [REDACTED] to discuss behavior equipment and condition of the room. |
| | |
| | OK |
| | |
| | Need to replace room placard |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | Need to plug holes by light switch. |
| | |
| | Need to replace room placard. |
| | |
| | Need to clean sink. |
| | |
| | Unlabeled flask. |
| | |
| | OK |

| | |
|--|---|
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | Wall in corridor outside of animal facility damaged. and needs to be repaired/painted. Need to consider bumper guards to prevent further damage from bulk trucks. |
| | |
| | Room should be positive to corridor. Light fixture needs cleaning. |
| | |
| | Light cover needs to be cleaned by lampers. |
| | |
| | Paint on wall behind autoclave and on south wall near SE corner is cracked and lifting away from wall. |
| | |
| | small amounts of cracks in seams of paint around door frame. |
| | |
| | Need to caulk around outlet. |
| | |
| | Hole in ceiling near northwest corner. North side floor where floor and wall meet the floor is cracking and starting to peel. |
| | |
| | Need a screw in push panel outside door. |
| | |
| | OK |
| | |
| | OK |

| | |
|--|---|
| | Spot paint room. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Need to verify that cage shrouds are being cleaned according to schedule. Need a log for water restricted rats. |
| | |
| | Crack in paint in SE corner. Need to spot paint. |
| | |
| | 2 small chips in paint from racks |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | Computers on floor need to be removed. |
| | |
| | OK |
| | |
| | OK |

| | |
|--|--|
| | |
| | OK |
| | |
| | Peeling paint on ceiling. Need to remove computer. Clean out startle box. |
| | |
| | OK |
| | |
| | OK |
| | |
| | Plug holes bottom of west wall. |
| | |
| | OK |
| | |
| | OK |
| | |
| | Replace cardboard on the window of both doors. Eyewash should be checked weekly. |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | OK |
| | |
| | OK |
| | |
| | Need a sign for refrigerator. No traps in room. Excess cardboard boxes on floor. |
| | |
| | OK |

| | |
|--|---|
| | |
| | Update [REDACTED] personnel on signage. |
| | |
| | OK |
| | |
| | 1 set of lights out. |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | OK |
| | |
| | |
| | |
| | Animal holding room floor paint delaminating. Electrical outlet near hood needs repair. |
| | |
| | |
| | |
| | |
| | OK |
| | |
| | |
| | |
| | OK |
| | |
| | |
| | |
| | Need door sweep. Hay should be in covered container. |
| | |
| | |
| | |
| | OK |
| | |
| | |
| | |
| | OK |

OK

