

Procedure: IACUC-03  
Date: September 19, 2019  
Enabled by: PHS/USDA  
August 25, 2016

**UC Davis  
Institutional Animal Care and Use Committee (IACUC)**

***Title: IACUC Facility Inspection Program***

**I. Purpose:**

The purpose of the IACUC Facility Inspection Program is to ensure that all animal housing facilities are managed and maintained according to PHS (The Guide for the Care and Use of Laboratory Animals and The Guide for the Care and Use of Agricultural Animals in Research and Teaching, USDA, UC Davis policies and the Attending Veterinarian Standards of Care.

**II. Policy:**

All facilities housing live, vertebrate animals or cephalopods for research or teaching purposes must be inspected semi-annually by the IACUC.

Inspection teams for USDA-covered species must include two voting members of the IACUC. Alternatively, inspections may be conducted by a member of the IACUC staff and/or a member of the IACUC. No IACUC member may be excluded from an inspection in which they wish to participate, unless there is a conflict of interest.

A full copy of each inspection report will be submitted to the IACUC for review/approval and will be included in the semi-annual report to the Institutional Official (IO).

**III. Procedure:**

The Scientist in Charge (SIC) and Technician in Charge (TIC) will be notified by the IACUC office of any upcoming scheduled inspections. However, some inspections may be conducted “unannounced in which case the SIC and TIC will not be notified until the morning of the inspection..

The inspection will be conducted using the Facility Inspection Checklist (**Attachment 1**) following the standards set forth in the *Animal Welfare Act Regulations*, the *ILAR Guide for the Care and Use of Laboratory Animals*, and the *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching*. A quick reference guide for review includes the areas the IACUC will be inspecting during these semi-annual facility inspections, which may be sent to

the SIC/TIC prior to a scheduled inspection (**Attachment 2- How to Prevent a Deficiency**).

Deficiencies will be characterized as either minor or significant\* with applicable correction plans to be discussed with the SIC/TIC and documented in the report. A report describing each observation/deficiency will be sent via the online system to the SIC/TIC. The report will also include the due dates for required response(s) to any deficiency noted. The SIC/TIC must respond by the due date by listing the reasons the deficiencies occurred and providing a corrective action plan for each deficiency. It is the responsibility of the SIC/TIC to ensure that all deficiencies identified during the inspection are corrected in a timely manner.

The IACUC and the IO will be notified of any significant deficiencies and take appropriate actions, as needed. Any significant deficiency involving USDA-covered species that is not corrected by the specified date will be reported to the USDA within 15 business days following the date of proposed correction. Any minor deficiency that is not corrected by the specified date will be reviewed by the IACUC and necessary action(s) will be determined on a case-by-case basis.

The completed inspection report will be submitted for review and approval by the IACUC. The SIC/TIC will be provided access to the IACUC approved inspection report. A final copy of the report will be included in the Semi-Annual Program Evaluation and will be available to the Office of Laboratory Animal Welfare (OLAW) upon request.

\*Nearly identical definitions of a **significant deficiency** are found in the *USDA AWA Regulations and PHS Policy*. The two definitions are shown below:

1. USDA Animal Welfare Act Regulations, 9 CFR Part 2, Subpart C, Section 2.31, par. (c)(3): “A **significant deficiency** is one which, with reference to Subchapter A, and, in the judgment of the IACUC and the Institutional Official, is or may be a threat to the health or safety of the animals.”
2. Public Health Service Policy on Humane Care and Use of Laboratory Animals, IV. Implementation by Institutions, paragraph B.3: “**A significant deficiency** is one which, consistent with this Policy, and, in the judgment of the IACUC and the Institutional Official, is or may be a threat to the health or safety of the animals. If program or facility deficiencies are noted, the reports must contain a reasonable and specific plan and schedule for correcting each deficiency.”

#### **IV. References:**

1. Public Health Service Policy IV. B. 1-3
2. USDA CFR 9. 2.31(c) (1-3)

**Attachment 1:**

**I. Semiannual Facility Inspection Checklist  
Terrestrial Animal Housing and Support Areas**

**Date:**

**Location:**

	A*	M	S	C	NA
<ul style="list-style-type: none"> <li>• <b>Location:</b> <ul style="list-style-type: none"> <li>○ animal areas separate from personnel areas (<i>Guide, p 134</i>)</li> <li>○ separation of species and separation by disease status (<i>Guide, p 111</i>)</li> <li>○ security and access control (<i>Guide, p 151</i>) protocols current and posted</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Construction:</b> <ul style="list-style-type: none"> <li>○ corridors (<i>Guide, p 136</i>)</li> <li>○ animal room doors, exterior windows, floors (<i>Guide, p 137</i>)</li> <li>○ walls and ceilings, drainage (<i>Guide, p 138</i>)</li> <li>○ heating ventilation and air conditioning (<i>Guide, p 139</i>) proper air changes</li> <li>○ power and lighting (<i>Guide, p 141</i>)</li> <li>○ vibration and noise control (<i>Guide, p 142</i>)</li> <li>○ environmental monitoring (<i>Guide, p 143</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Room/Cage:</b> <ul style="list-style-type: none"> <li>○ temperature and humidity (<i>Guide, p 43</i>)</li> <li>○ ventilation and air quality (<i>Guide, p 45</i>)</li> <li>○ illumination (<i>Guide, p 47</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Primary Enclosure:</b> <ul style="list-style-type: none"> <li>○ space meets physiologic, behavioral <sup>i[xv]</sup>, and social<sup>iii[xvi]</sup> needs (<i>Guide, pp 51, 55-63</i>) secure environment provided (<i>Guide, p 51</i>)</li> <li>○ durable, nontoxic materials in good repair and no risk of injury (<i>Guide, p 51</i>)</li> <li>○ flooring is safe and appropriate for species (<i>Guide, p 51</i>)</li> <li>○ adequate bedding and structures for resting, sleeping, breeding (<i>Guide, p 52</i>)</li> <li>○ objective assessments of housing and management are made (<i>Guide, p 52</i>)</li> <li>○ procedures for routine husbandry are <b>documented</b> (<i>Guide, p 52</i>)</li> <li>○ socially housed animals can escape or hide to avoid aggression (<i>Guide, p 55</i>)</li> <li>○ cage height provides adequate clearance, animals express natural postures, can turn around, access food and water, and rest away from urine and feces (<i>Guide, p 56</i>) [must]</li> <li>○ rationale<sup>iii[xvii]</sup> for <i>Guide</i>/USDA space exceptions approved by IACUC and based on performance indices (<i>Guide, p 56</i>)</li> <li>○ dogs and cats allowed to exercise and provided human interaction (<i>Guide, p 58</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Nonhuman Primate:</b> <ul style="list-style-type: none"> <li>○ nonhuman primates are socially housed except for scientific, veterinary, or behavior reasons (<i>Guide, pp 58-59</i>)</li> <li>○ single housing of nonhuman primates is for shortest duration possible (<i>Guide, p 60</i>)</li> </ul> </li> </ul>					

○ opportunities for release into larger enclosures is considered for single caged nonhuman primates ( <i>Guide</i> , <a href="#">p 60</a> )					
● <b>Agricultural Animals:</b>					
○ agricultural animals are housed socially ( <i>Guide</i> , <a href="#">p 60</a> )					
○ food troughs and water devices for agricultural animals allow access for all animals ( <i>Guide</i> , <a href="#">p 60</a> )					
● <b>Environmental Enrichment, Behavioral and Social Management:</b>					
○ structures and resources promote species typical behavior ( <i>Guide</i> , <a href="#">pp 52-54</a> )					
○ novelty of enrichment is considered ( <i>Guide</i> , <a href="#">p 53</a> )					
○ species specific plans for housing including enrichment, behavior, and activity are developed and reviewed regularly by the IACUC, researchers, and veterinarian ( <i>Guide</i> , <a href="#">pp 53, 58, 60, 63</a> )					
○ animal care personnel receive training to identify abnormal animal behaviors ( <i>Guide</i> , <a href="#">p 53</a> )					
○ stability of pairs or groups is monitored for incompatibility ( <i>Guide</i> , <a href="#">p 64</a> )					
○ single housing is justified for social species ( <i>Guide</i> , <a href="#">p 64</a> )					
○ single housing is limited to the minimum period necessary ( <i>Guide</i> , <a href="#">p 64</a> )					
○ additional enrichment for single housed animals is provided ( <i>Guide</i> , <a href="#">p 64</a> )					
○ single housing is reviewed regularly by IACUC and veterinarian ( <i>Guide</i> , <a href="#">p 64</a> )					
○ habituation to routine procedures is part of enrichment program ( <i>Guide</i> , <a href="#">p 64</a> )					
● <b>Sheltered or Outdoor Housing:</b> (e.g., barns, corrals, pastures, islands)					
○ weather protection and opportunity for retreat ( <i>Guide</i> , <a href="#">p 54</a> ) [must]					
○ appropriate size ( <i>Guide</i> , <a href="#">p 54</a> )					
○ ventilation and sanitation of shelter (no waste/moisture build-up) ( <i>Guide</i> , <a href="#">p 54</a> )					
○ animal acclimation, social compatibility, roundup/restraint procedures ( <i>Guide</i> , <a href="#">p 55</a> )					
○ appropriate security ( <i>Guide</i> , <a href="#">p 55</a> )					
● <b>Naturalistic Environments:</b>					
○ animals added/removed with consideration of effect on group ( <i>Guide</i> , <a href="#">p 55</a> )					
○ adequate food, fresh water, and shelter ensured ( <i>Guide</i> , <a href="#">p 55</a> )					
● <b>Food:</b>					
○ feeding schedule and procedures including caloric intake management ( <i>Guide</i> , <a href="#">pp 65-67</a> )					
○ contamination prevention ( <i>Guide</i> , <a href="#">p 65</a> )					
○ storage in sealed containers, rotation of stocks, vendor quality control ( <i>Guide</i> , <a href="#">p 66</a> ), containers cleaned regularly					
○ expiration date labeling ( <i>Guide</i> , <a href="#">p 66</a> )					
○ vermin control ( <i>Guide</i> , <a href="#">p 66</a> )					
● <b>Water:</b>					
○ ad libitum unless justified ( <i>Guide</i> , <a href="#">pp 67-68</a> )					
○ QC procedures ( <i>Guide</i> , <a href="#">pp 67-68</a> )					
● <b>Bedding and Nesting Materials:</b>					
○ species appropriate ( <i>Guide</i> , <a href="#">pp 68-69</a> )					
○ keeps animals dry ( <i>Guide</i> , <a href="#">pp 68-69</a> )					
○ QC procedures ( <i>Guide</i> , <a href="#">pp 68-69</a> )					

○ minimizes scientific variables ( <i>Guide</i> , <a href="#">pp 68-69</a> )					
● <b>Sanitation:</b>					
○ frequency of bedding/substrate change ( <i>Guide</i> , <a href="#">p 70</a> )					
○ cleaning and disinfection of microenvironment ( <i>Guide</i> , <a href="#">pp 70-71</a> )					
○ cleaning and disinfection of macroenvironment ( <i>Guide</i> , <a href="#">p 72</a> )					
○ assessing effectiveness ( <i>Guide</i> , <a href="#">p 73</a> )					
● <b>Waste Disposal:</b>					
○ procedures for collection ( <i>Guide</i> , <a href="#">pp 73-74</a> )					
○ procedures for storage and disposal ( <i>Guide</i> , <a href="#">pp 73-74</a> )					
○ hazardous wastes are rendered safe before removal from facility ( <i>Guide</i> , <a href="#">pp 73-74</a> ) [must]					
○ animal carcasses ( <i>Guide</i> , <a href="#">pp 73-74</a> )					
● <b>Pest Control:</b>					
○ regularly scheduled or Facility Plan in place ( <i>Guide</i> , <a href="#">p 74</a> )					
○ documented program including control of rodent pests and insecticide use ( <i>Guide</i> , <a href="#">p 74</a> )					
● <b>Emergency, Weekend, and Holiday Animal Care:</b>					
○ care provided by qualified personnel every day ( <i>Guide</i> , <a href="#">p 74</a> )					
○ provision for accessible contact information ( <i>Guide</i> , <a href="#">p 74</a> )					
○ monitoring of backup systems ( <i>Guide</i> , <a href="#">p 143</a> )					
○ veterinary care available after hours, weekends, and holidays ( <i>Guide</i> , <a href="#">pp 74, 114</a> ) [must]					
○ a disaster plan that takes into account both personnel and animals ( <i>Guide</i> , <a href="#">p 75</a> )					
○ program for preventative medicine, surveillance, diagnosis, treatment, and control of natural diseases or conditions					
● <b>Identification:</b>					
○ cage/rack cards contain required information ( <i>Guide</i> , <a href="#">p 75</a> )					
○ genotype information included and standardized nomenclature used when applicable ( <i>Guide</i> , <a href="#">p 75</a> )					
● <b>Recordkeeping:</b>					
○ clinical records accessible and contain appropriate information ( <i>Guide</i> , <a href="#">pp 75-76</a> ) ATS Used appropriately					
● <b>Breeding Genetics and Nomenclature:</b>					
○ appropriate genetic records, management, and monitoring procedures ( <i>Guide</i> , <a href="#">p 76</a> )					
○ phenotypes that affect wellbeing are reported to IACUC and effectively managed ( <i>Guide</i> , <a href="#">p 77</a> )					
● <b>Storage:</b>					
○ adequate space for equipment, supplies, food, bedding, and refuse ( <i>Guide</i> , <a href="#">p 141</a> )					
○ bedding in vermin-free area and protected from contamination ( <i>Guide</i> , <a href="#">p 141</a> )					
○ food in vermin-free, temperature and humidity controlled area and protected from contamination ( <i>Guide</i> , <a href="#">p 141</a> )					

○ refuse storage is separate ( <i>Guide</i> , <a href="#">p 141</a> )					
○ carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable ( <i>Guide</i> , <a href="#">p 141</a> )					
● <b>Personnel:</b>					
○ adequate space for locker rooms, administration, and training ( <i>Guide</i> , <a href="#">p 135</a> )					
○ animal care staff and researchers adequately trained, and appropriately documented					
○ enrolled in the occupational health program					
○ any required PPE available and properly enforced (signage)					
○ hand washing facilities available and break room provided					

\* **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:**

## Aquatic Animal Housing and Support Areas NEW

Date:

Location:

	A*	M	S	C	NA
<ul style="list-style-type: none"> <li>• <b>Location:</b> <ul style="list-style-type: none"> <li>○ animal areas separate from personnel areas (<i>Guide, p 134</i>)</li> <li>○ separation of species and separation by disease status (<i>Guide, p 111</i>)</li> <li>○ security and access control (<i>Guide, p 151</i>) protocols current and posted</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Construction:</b> <ul style="list-style-type: none"> <li>○ corridors (<i>Guide, p 136</i>)</li> <li>○ animal room doors, exterior windows, floors (<i>Guide, p 137</i>)</li> <li>○ walls and ceilings, drainage (<i>Guide, p 138</i>)</li> <li>○ heating ventilation and air conditioning (<i>Guide, p 139</i>)</li> <li>○ power and lighting (<i>Guide, p 141</i>)</li> <li>○ vibration and noise control (<i>Guide, p 142</i>)</li> <li>○ environmental monitoring (<i>Guide, p 143</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Water Quality:</b> <ul style="list-style-type: none"> <li>○ standards for acceptable quality are established and routine measurements of various characteristics are documented (<i>Guide, p 78</i>)</li> <li>○ chlorine, chloramines, chemical, and reactive bioproducts are removed or neutralized prior to use in aquatic systems (<i>Guide, pp 78, 86</i>) [must]</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Life Support System:</b> <ul style="list-style-type: none"> <li>○ water source is based on appropriate controls and research requirements (<i>Guide, p 79</i>)</li> <li>○ biofilter is of sufficient size to process bioload (<i>Guide, p 80</i>) [must]</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Temperature, Humidity and Ventilation/Illumination/Noise and Vibration:</b> <ul style="list-style-type: none"> <li>○ temperature and humidity (<i>Guide, pp 43, 80-81</i>)</li> <li>○ ventilation and air quality (<i>Guide, pp 45, 81</i>)</li> <li>○ illumination (<i>Guide, pp 47, 81</i>)</li> <li>○ noise and vibration (<i>Guide, pp 49, 81</i>)</li> <li>○ water temperature verified and documented</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Primary Enclosure:</b> <ul style="list-style-type: none"> <li>○ allows for normal physiological and behavioral needs (<i>Guide, p 82</i>)</li> <li>○ allows social interaction for social species (<i>Guide, p 82</i>)</li> <li>○ provides a balanced, stable environment (<i>Guide, p 82</i>)</li> <li>○ provides appropriate water quality and monitoring (<i>Guide, p 82</i>)</li> <li>○ allows access to food and waste removal (<i>Guide, p 82</i>)</li> <li>○ restricts escape and entrapment (<i>Guide, p 82</i>)</li> <li>○ allows undisturbed observation (<i>Guide, p 82</i>)</li> <li>○ constructed of nontoxic materials (<i>Guide, p 82</i>)</li> <li>○ prevents electrical hazards (<i>Guide, p 82</i>)</li> <li>○ space needs of species are evaluated by IACUC during program evaluations and facility inspections (<i>Guide, p 83</i>)</li> </ul> </li> </ul>					

<ul style="list-style-type: none"> <li>• <b>Environmental Enrichment, Social Housing, Behavioral and Social Management:</b> <ul style="list-style-type: none"> <li>○ enrichment elicits appropriate behaviors and is safe (<i>Guide, p 83</i>)</li> <li>○ semi-aquatic reptiles are provided terrestrial areas (<i>Guide, p 83</i>)</li> <li>○ handling is kept to a minimum and appropriate techniques are in place at facility or protocol level (<i>Guide, p 84</i>)</li> <li>○ nets are cleaned, disinfected, and managed to avoid contamination of systems (<i>Guide, p 84</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Food:</b> <ul style="list-style-type: none"> <li>○ a nutritionally complete diet is provided and storage to prevent contamination, preserve nutrients, and prevent pests (<i>Guide, p 84</i>)</li> <li>○ delivery ensures access to all, minimizing aggression and nutrient loss (<i>Guide, p 84</i>)</li> <li>○ storage times are based on manufacturer recommendations or accepted practice and is labeled accordingly (<i>Guide, p 84</i>), containers cleaned regularly</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Substrate:</b> <ul style="list-style-type: none"> <li>○ amount, type, and presentation of substrate is appropriate for the system and the species (<i>Guide, p 85</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Sanitation, Cleaning, and Disinfection</b> <ul style="list-style-type: none"> <li>○ frequency of tank/cage cleaning and disinfection is determined by water quality, permits adequate viewing and health monitoring (<i>Guide, p 86</i>) and follows Attending Veterinarian minimum standards of care</li> <li>○ cleaning and disinfection of macroenvironment (<i>Guide, p 86</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Waste Disposal:</b> <ul style="list-style-type: none"> <li>○ procedures for collection (<i>Guide, pp 73-74</i>)</li> <li>○ hazardous wastes are rendered safe before removal from facility (<i>Guide, pp 73-74</i>) [must]</li> <li>○ animal carcasses (<i>Guide, pp 73-74</i>)</li> <li>○ MS-222 Disposal</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Pest Control:</b> <ul style="list-style-type: none"> <li>○ regularly scheduled (<i>Guide, p 74</i>) or done as needed basis</li> <li>○ <u>documented</u> program including control of pests and insecticide use (<i>Guide, p 74</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Emergency, Weekend, and Holiday Animal Care:</b> <ul style="list-style-type: none"> <li>○ care provided by qualified personnel every day (<i>Guide, pp 74, 87</i>)</li> <li>○ provision for accessible contact information (<i>Guide, pp 74, 87</i>)</li> <li>○ emergency response plans in place to address major system failures (<i>Guide, 87</i>)</li> <li>○ veterinary care available after hours, weekends, and holidays (<i>Guide, pp 74, 114</i>) [must]</li> <li>○ program for preventative medicine, surveillance, diagnosis, treatment, and control of natural diseases or conditions</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Identification:</b> <ul style="list-style-type: none"> <li>○ cage/tank cards contain required information (<i>Guide, pp 75, 87</i>)</li> <li>○ genotype information included and standardized nomenclature used when applicable (<i>Guide, pp 75, 87</i>)</li> </ul> </li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Recordkeeping:</b> <ul style="list-style-type: none"> <li>○ water quality parameters and frequency of testing recorded (<i>Guide, p 88</i>)</li> </ul> </li> </ul>					



○ records kept on feeding, nonexpired food supplies, live cultures ( <i>Guide</i> , <a href="#">p 88</a> )					
● <b>Storage:</b>					
○ adequate space for equipment, supplies, food, substrate, and refuse ( <i>Guide</i> , <a href="#">p 141</a> )					
○ substrate protected from contamination ( <i>Guide</i> , <a href="#">p 141</a> )					
○ food in vermin-free, temperature and humidity controlled area and protected from contamination ( <i>Guide</i> , <a href="#">p 141</a> ), and labeled properly					
○ refuse storage is separate ( <i>Guide</i> , <a href="#">p 141</a> )					
○ carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable ( <i>Guide</i> , <a href="#">p 141</a> )					
● <b>Personnel:</b>					
○ adequate space for locker rooms, administration, and training ( <i>Guide</i> , <a href="#">p 135</a> )					
○ animal care staff and researchers adequately trained, and appropriately documented					
○ enrolled in the occupational health program					
○ any required PPE available and properly enforced (signage)					
○ hand washing facilities available and break room provided					

\* **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:**

## Cagewash

Date:

Location:

	A*	M	S	C	NA
<ul style="list-style-type: none"> <li>• <b>Construction and Operation:</b> <ul style="list-style-type: none"> <li>○ dedicated central area for sanitizing cages and equipment is provided (<i>Guide, p 143</i>)</li> <li>○ cage-washing equipment meets need (<i>Guide, p 143</i>)</li> <li>○ doors, windows, floors, drainage, walls, ceilings (<i>Guide, pp 136-138</i>)</li> <li>○ convenient to animal areas/waste disposal (<i>Guide, p 143</i>)</li> <li>○ ease of access (including door size) facilitates use (<i>Guide, p 143</i>)</li> <li>○ sufficient space for staging and maneuvering (<i>Guide, p 143</i>)</li> <li>○ safety precautions/clothing/equipment used for waste disposal/prewash/acid wash (<i>Guide, p 143</i>)</li> <li>○ traffic flow clean to dirty with no contamination of clean equipment by dirty equipment and appropriate air pressurization (<i>Guide, p 143</i>)</li> <li>○ insulation and/or sound attenuation present as needed (<i>Guide, p 143</i>)</li> <li>○ utilities are appropriate (<i>Guide, p 143</i>)</li> <li>○ ventilation meets heat and humidity load (<i>Guide, p 143</i>)</li> <li>○ safety features (e.g., SOPs, warning signs, eyewash stations) are in use (<i>Guide, p 143</i>)</li> <li>○ functioning safety devices to prevent entrapment in washer/sterilizers (<i>Guide, p 143</i>)</li> <li>○ cage wash temperatures are monitored and records are available (<i>Guide, p 73</i>)</li> <li>○ appropriate clean cage storage (<i>Guide, p 141</i>)</li> </ul> </li> </ul>					

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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:

## Special Facilities: Aseptic Surgery

Date:

Location:

	A*	M	S	C	NA
<ul style="list-style-type: none"> <li><b>General Considerations:</b> <ul style="list-style-type: none"> <li>location minimizes traffic/contamination (<i>Guide, p 144</i>) and is a dedicated space strictly for major surgical procedures</li> <li>functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (<i>Guide, p 144</i>)</li> <li>appropriate drug storage, control, expiration date monitoring (<i>Guide, pp 115, 122</i>)</li> <li>safe sharps disposal system (<i>Guide, p 74</i>)</li> <li>adequate records of anesthesia and perioperative care (<i>Guide, p 122</i>)</li> <li>aseptic procedures in use for all survival surgery (<i>Guide, pp 118-119</i>)</li> </ul> </li> <li><b>Operating Room:</b> <ul style="list-style-type: none"> <li>effective contamination control procedures (<i>Guide, p 144</i>)</li> <li>effective cleaning procedures/dedicated tools (<i>Guide, p 145</i>)</li> <li>interior surfaces smooth and impervious to moisture (<i>Guide, p 145</i>)</li> <li>HVAC system meets <i>Guide</i> requirements (<i>Guide, p 145</i>)</li> <li>lighting safe and appropriate (<i>Guide, p 145</i>)</li> <li>outlets safe and appropriate (<i>Guide, p 145</i>)</li> <li>scavenging of anesthetic gases implemented (<i>Guide, p 145</i>)</li> </ul> </li> <li><b>Surgical Support:</b> <ul style="list-style-type: none"> <li>facility for washing, sterilizing, storing instruments and supplies (<i>Guide, p 145</i>)</li> <li>autoclave monitoring procedures are implemented (<i>Guide, pp 119, 145</i>)</li> <li>storage of autoclaved materials maintains sterility (<i>Guide, p 145</i>)</li> <li>cold sterilization procedures are appropriate (<i>Guide, p 119</i>)</li> </ul> </li> <li><b>Animal Preparation:</b> contains large sink to facilitate cleaning of animal and operative site (<i>Guide, p 145</i>)</li> <li><b>Surgeon Scrub:</b> outside operating room, non-hand-operated sink (<i>Guide, p 145</i>)</li> <li><b>Postoperative Recovery:</b> allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (<i>Guide, p 145</i>)</li> <li><b>Dressing Area:</b> place for personnel to change (<i>Guide, p 145</i>)</li> </ul>					

\* 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:

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

**Date:**

**Location:**

	A*	M	S	C	NA
<ul style="list-style-type: none"> <li> <b>General Considerations:</b> </li> </ul>					
○ Appropriate signage/logs posted and maintained (daily checks, sheets, temp)					
○ labs used to house animals only when scientifically required and limited to minimum period necessary ( <i>Guide</i> , <a href="#">p 134</a> ) and permits posted if needed					
○ drug storage, control, and expiration dates ( <i>Guide</i> , <a href="#">pp 115, 122</a> )					
○ sharps disposal ( <i>Guide</i> , <a href="#">p 74</a> )					
○ anesthetic monitoring ( <i>Guide</i> , <a href="#">p 120</a> )					
○ scavenging of anesthetic gases ( <i>Guide</i> , <a href="#">p 21</a> ), antibiotics, and analgesics used accordingly					
○ safety features (e.g., SOPs, safety signs, eyewash stations, secure gas cylinders) are in place ( <i>Guide</i> , <a href="#">p 19</a> ). Facility SOPs reviewed regularly.					
○ carcass disposal ( <i>Guide</i> , <a href="#">pp 73-74</a> )					
○ appropriate quarantine and acclimation procedures					
○ appropriate animal procurement and transportation					
○ euthanasia methods consistent with protocols and AVMA recommendations					
○ humane endpoints followed					
<ul style="list-style-type: none"> <li> <b>Additional Concerns for Survival Surgery:</b> (rodent and minor procedures only)                 </li> </ul>					
○ rodent survival surgery clean and uncluttered, not used for anything else during surgery ( <i>Guide</i> , <a href="#">p 144</a> )					
○ records of peri-operative care ( <i>Guide</i> , <a href="#">p 120</a> )					
○ aseptic procedures ( <i>Guide</i> , <a href="#">pp 118-119</a> )					
○ autoclave monitoring procedures ( <i>Guide</i> , <a href="#">pp 119, 145</a> )					
○ storage of autoclaved materials ( <i>Guide</i> , <a href="#">p 145</a> )					
○ cold sterilization procedures are appropriate ( <i>Guide</i> , <a href="#">p 119</a> )					
<ul style="list-style-type: none"> <li> <b>Imaging/Total Body Irradiation:</b> <b>NEW</b> </li> </ul>					
○ location of resource limits contamination risk ( <i>Guide</i> , <a href="#">p 147</a> )					
○ appropriate transportation methods are in place ( <i>Guide</i> , <a href="#">p 147</a> )					
○ gas anesthesia provision, scavenging and monitoring are appropriate ( <i>Guide</i> , <a href="#">p 147</a> )					
○ appropriate sensors and ventilation are provided for cryogen gases ( <i>Guide</i> , <a href="#">p 147</a> ) [must]					
○ imaging console is located away from radiation source ( <i>Guide</i> , <a href="#">p 147</a> )					
<ul style="list-style-type: none"> <li> <b>Hazardous Agent Containment:</b> <b>NEW</b> </li> </ul>					
○ facility adheres to APHIS, USDA, and CDC Select Agent Regulations and other federal, state and local regulations including security measures ( <i>Guide</i> , <a href="#">p 148</a> ) [must]					
<ul style="list-style-type: none"> <li> <b>Behavioral Studies:</b> <b>NEW</b> </li> </ul>					
○ facility minimizes airborne transmission of noise and ground-borne transmission of vibration ( <i>Guide</i> , <a href="#">p 149</a> )					

○ floor coverings reduce sound transmission ( <i>Guide</i> , <a href="#">p 149</a> )					
○ testing equipment allows for surface disinfection ( <i>Guide</i> , <a href="#">p 150</a> )					
○ components that cannot be cleaned are not in ready contact with animals and kept covered when not in use ( <i>Guide</i> , <a href="#">p 150</a> )					
○ housing areas are contiguous with testing areas when appropriate ( <i>Guide</i> , <a href="#">p 150</a> )					

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- NA** = not applicable

**Attachment 2:**

<p><b>What is the IACUC looking for?</b></p>	<p><b>How to prevent a deficiency? You should ensure your facility is meeting these expectations:</b></p>
<p>Training Records</p>	<p>All persons listed on a protocol or working with live, vertebrate animals must be adequately trained on the specific species-related procedures described in the protocol that they will be performing and have documentation of the training. See this link for help: <a href="http://safetyservices.ucdavis.edu/article/training-requirements-personnel-working-live-vertebrate-animals-used-research-andor-training">http://safetyservices.ucdavis.edu/article/training-requirements-personnel-working-live-vertebrate-animals-used-research-andor-training</a></p> <p><b>Facility Managers must store hard copies (binder) of training records of staff working in the animal facility.</b></p>
<p>Occupational Health <b>PPM 290-25</b></p>	<p>All persons working with live, vertebrate animals must be an active participant in the Occupational Health Program. Risk assessment forms must be updated whenever a change has occurred to a person's risk. This must be documented on the training record log. All persons working with animals must wear PPE as required by campus policy. Minimum requirements for most species require a lab coat and gloves. Any PPE requirements should be posted and available to all persons entering your facility. <a href="http://manuals.ucdavis.edu/ppm/290/290-25.pdf">http://manuals.ucdavis.edu/ppm/290/290-25.pdf</a> <a href="http://safetyservices.ucdavis.edu/article/animal-care-and-use-occupational-health-program">http://safetyservices.ucdavis.edu/article/animal-care-and-use-occupational-health-program</a></p>
<p>Protocols should be posted and available <b><u>PPM 290-30</u></b></p>	<p>All active protocols should be properly displayed (with current expiration date) on the animal room door or area. Staff members must have access to active protocols either by providing a hard copy in the lab or by training staff to use the IACUC online system: <a href="http://safetyservices.ucdavis.edu/article/information-about-protocols-admendments">http://safetyservices.ucdavis.edu/article/information-about-protocols-admendments</a></p>
<p>General Physical Environment</p>	<p>Animal holding facilities must be properly maintained and managed. Walls and ceilings should be smooth, moisture-resistant, nonabsorbent, and resistant to damage from impact. Work orders for helping maintain facilities must be in place. HVAC systems must be reliable and able to meet ILAR Guide requirements. (See chapter 3 of the <a href="#">Guide for Care and Use of Laboratory Animals, 8th Edition.</a>) Temperature alarms must be in place when housing USDA-covered species.</p>

	<p><a href="http://safetyservices.ucdavis.edu/article/environmental-alarms-animal-facilities">http://safetyservices.ucdavis.edu/article/environmental-alarms-animal-facilities</a></p>
<p>Animal housing, Animal Care SOPs <b>Facility SOPs</b> <b>AV Minimum Standard of Care Policies</b></p>	<p>Animals must be identified by at least the PI name and protocol number in housing locations and when being transported. Animal housing must meet the Minimum Standards of Care following the UC Davis AV policies. <b>See this link for the species-specific standards of those species you are housing:</b></p> <p><a href="http://safetyservices.ucdavis.edu/article/standards-care-program-policies">http://safetyservices.ucdavis.edu/article/standards-care-program-policies</a></p>
<p>Daily/Weekly/Monthly Animal Care and Facility Logs</p>	<p>You <b>must</b> document that procedures outlined in the husbandry SOPs are performed and that the animals are <b>checked daily</b>. Daily census of animals must be maintained. Husbandry records must be maintained for at least three years.</p> <p><b>(Make sure to DOCUMENT your animal care duties! EVERYDAY)</b></p>
<p>Sanitation of animal rooms, cages, and support areas</p>	<p>Facilities must be clean, organized, and free of clutter. Specifically, lab and support space (cage/tank washing areas) used for animal work. These areas must be easily cleanable and free of materials that cannot be readily sanitized (i.e. cardboard boxes). <b>AVOID CLUTTER!</b></p>
<p>Pest Control</p>	<p>All units housing laboratory/research or teaching animals must have SOPs for pest control. Refer to the UC Davis Policy and Procedures Manual for Pest control guidance:</p> <p><a href="http://manuals.ucdavis.edu/ppm/290/290-45.pdf">http://manuals.ucdavis.edu/ppm/290/290-45.pdf</a></p>
<p>Drugs/Expiration dates/Pharmaceutical grade</p>	<p>Drugs must be pharmaceutical grade unless chemical grade drugs and preparation procedures have been approved in IACUC protocols. Drugs used in animals may not be expired. Expired drugs must be properly disposed of.</p> <p><a href="http://safetyservices.ucdavis.edu/article/use-non-pharmaceutical-grade-compounds-animals">http://safetyservices.ucdavis.edu/article/use-non-pharmaceutical-grade-compounds-animals</a></p> <p><a href="http://safetyservices.ucdavis.edu/article/expired-drugs-and-medical-materials">http://safetyservices.ucdavis.edu/article/expired-drugs-and-medical-materials</a></p>
<p>Euthanasia</p>	<p>Euthanasia methods used in the facility must be appropriate for the species and approved in the IACUC protocol. Training for euthanasia methods must be documented.</p> <p><a href="http://safetyservices.ucdavis.edu/article/guidelines-euthanasia-research-and-teaching-animals">http://safetyservices.ucdavis.edu/article/guidelines-euthanasia-research-and-teaching-animals</a></p> <p><a href="https://www.avma.org/KB/Policies/Pages/Euthanasia-Guidelines.aspx">https://www.avma.org/KB/Policies/Pages/Euthanasia-Guidelines.aspx</a></p>

Carcass Waste and Disposal	<p>All waste must be disposed of via proper waste stream. Facility personnel must be trained to bag animals in waterproof bags and disposed of in the red barrels in the designated cold rooms, or areas where approved for storage. Hazardous waste must be disposed of following the UC Davis EH&amp;S approved methods.</p> <p><a href="http://safetyservices.ucdavis.edu/article/hazardous-waste-management">http://safetyservices.ucdavis.edu/article/hazardous-waste-management</a></p>
Disaster Planning	<p><b>All</b> animal units are required to have a disaster plan. The disaster plan will include safety procedures for personnel and animals during emergencies. This is required by all the Federal and State regulatory agencies that UC Davis works in conjunction with (i.e. NIH/OLAW, USDA and the Animal Welfare Act, the Public Health Service Policy, etc.). Contact the <a href="#">IACUC Office</a> for assistance.</p>

**OTHER as it applies:**

Fish and Wildlife Permit	<p>A current <i>Department of Fish and Wildlife Restricted Species Users</i> permit must be posted in facilities housing and working with state detrimental species (i.e. Ferrets, Xenopus, transgenic fish). Ensure that you have an EMERGENCY ACTION PLAN (contact the <a href="#">IACUC Office</a> for assistance).</p>
Security	<p>Facilities must have a secured building or area for holding animals. Key card access is recommended. Please ensure hard copies of keys are returned when user does not require entrance to the vivarium.</p>
Transportation of animals	<p>Animal transport must minimize the spread of allergens and reduce the spread of pathogens. Animals transported in a car must be kept in an appropriate cage or carrier in the passenger, temperature-controlled portion of the vehicle.</p> <p><a href="http://safetyservices.ucdavis.edu/article/transporting-rodents-and-research-laboratories">http://safetyservices.ucdavis.edu/article/transporting-rodents-and-research-laboratories</a></p>
Veterinary Care	<p>Staff must be trained to contact the designated clinical veterinarian for sick animals. Phone numbers must be readily available.</p> <p><a href="http://safetyservices.ucdavis.edu/article/campus-attending-veterinarian">http://safetyservices.ucdavis.edu/article/campus-attending-veterinarian</a></p> <p>Methods for reporting Animal Care and Use Concerns must be posted. <a href="http://safetyservices.ucdavis.edu/article/reports-animal-care-and-use-concerns">http://safetyservices.ucdavis.edu/article/reports-animal-care-and-use-concerns</a></p>
Behavioral Management	<p>Animals should be provided with Environmental Enrichment. Social animals must be given the opportunity to interact, unless exemptions listed in approved IACUC protocols.</p> <p><a href="http://safetyservices.ucdavis.edu/article/social-housing-social-species">http://safetyservices.ucdavis.edu/article/social-housing-social-species</a></p>



<p>Sharps disposal <b>UCD Safety Net #3, 62</b></p>	<p>Please ensure staff is not recapping needles. Used needles and syringes must be disposed of in the sharps container without being recapped. If a sharps container is not readily available for proper disposal, only the one handed technique may be used to recap the needle.</p> <p>SN #3: <a href="http://safetyservices.ucdavis.edu/safetynet/guidelines-disposal-sharps-biological-and-medical-waste">http://safetyservices.ucdavis.edu/safetynet/guidelines-disposal-sharps-biological-and-medical-waste</a></p> <p>SN #62: <a href="http://safetyservices.ucdavis.edu/safetynet/needle-and-syringe-safety">http://safetyservices.ucdavis.edu/safetynet/needle-and-syringe-safety</a></p>
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