

Procedure: IACUC-04
Date: September 19, 2019
Enabled by: PHS/USDA
Supersedes: July 28, 2016

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

Title: IACUC Laboratory/Study Area Inspection Program

I. Purpose:

The purpose of the IACUC Laboratory/Study Area Inspection Program is to ensure that research in the laboratories is conducted according to Public Health Service (PHS), United States Department of Agriculture (USDA), and UC Davis policies, and is consistent with the Principal Investigator's (PI's) animal care and use protocol.

II. Policy:

All laboratory/study areas where live, vertebrate animals are used for research or teaching must be visited on a routine basis. The type of research being conducted and species used will determine the frequency of the inspections, as described below.

If laboratory personnel maintain a USDA covered species longer than 12 hours the laboratory will be visited semi-annually by two voting members of the IACUC.

If a laboratory is used to conduct surgery or holds a non-USDA covered species for longer than 12 hours the laboratory will be visited semi-annually by a member of the IACUC Staff and/or a member of the IACUC.

If the laboratory does not fall under one of the above categories, but live, vertebrate animals are brought to the laboratory, a member of IACUC Staff and/or a member of the IACUC will perform a periodic inspection (e.g., annual, biennial).

III. Procedure:

The PI or designated laboratory contact will be notified by the IACUC Office regarding any upcoming inspections. The laboratory will be provided with a preparatory Checklist to prepare for the inspection. The IACUC Office will attempt to coordinate with the designated contact person to schedule a date/time for the inspection. If a response is not received in a timely manner the inspection

may be conducted unannounced. The inspection will be conducted using the Laboratory Inspection Checklist (**Attachment 1**) and periodically, the Post Approval Monitoring form (**Attachment 2**).

Minor and significant deficiencies will be noted, correction plans discussed, and a corrective time frame determined. Deficiencies must be corrected within the determined timeframe. If the deficiency is not corrected within the allotted time period the PI's IACUC protocols may be suspended by the IACUC. Multiple and/or repeated deficiencies may also lead to the suspension of the PI's IACUC protocols. AAALAC, OLAW (PHS funded activities), and USDA (covered species) will be notified of all suspensions.

The IACUC will review all inspection reports and take the necessary actions. The Institutional Official (IO) will be notified of all significant deficiencies. Other officials such as Department Chairs will be notified as necessary.

After the inspection, the laboratory will receive notification and access to the final written report via the IACUC online system. If there are questions or concerns about the report, the laboratory will be informed that they can contact the IACUC Office. The report will be placed on the IACUC agenda for review.

Definitions:

- **Significant deficiency.** A situation that is or may be a threat to animal health or safety.
- **Minor deficiency.** A problem for which an immediate solution is not essential to protect life or prevent distress to an animal.
- **Study area.** "Any building room, area, enclosure, or other containment outside of a core facility or centrally designated or managed areas in which animals are housed for less than 12 hours." per the Animal Welfare Regulations.

Attachment 1:

**Animal Study Areas Inspection Checklist
(Procedure Areas: Minor and Non-Survival Surgeries, Laboratories and Rodent Surgeries)**

Date: _____

Building/room:	Species:
Routine procedures*:	Surgical procedures**:
Terminal ?	Survival ?
Multiple Survival Surgery?	
P.I.:	Department:
Designated Contact:	Phone:
Reviewed by:	Staff in attendance:

A. PROGRAMMATIC ***	A	M	S	n/a	Fol
1. Protocol(s) available (hard copy – online system) PPM 290-30					
❖ Protocol status sheet (<i>current expiration date, amendments attached</i>)					
❖ Protocol staff roster (<i>members added prior to working with animals</i>)					
2. Occupational Health (<i>Preventative Med-risk assessment</i>) - questionnaire					
3. Occupational Health (Physical)– <i>PPE, minimum gloves and lab coats</i> PPM 290-25					
4. Training records (<i>ACU 101, individual training record</i>)					
5. SOPs (<i>Animals housed in the lab for more than 12 hours</i>)					
6. ATS – Breeding protocols (<i>updated at least on a biannual basis</i>)					
7. Fish and Wildlife Permit (<i>must be posted in labs</i>)					
8. Vaporizer Maintenance (<i>annual check</i>)					
9. Scavenging of anesthetic gases (<i>canister weight and date, fume hood, vacuum</i>)					
10. Gas cylinders immobilized (<i>double chain</i>)					

B. GENERAL CONCERNS - 2011 ILAR Guide reference pages	A	M	S	n/a	Fol
11. Transportation of animals (<i>filter top cage, temp control vehicle, ID, covered</i>) 107-109					
12. Animal Identification (<i>PI name, protocol #</i>) 75					
13. Security (<i>lab doors, windows shut</i>) 151					
14. Animal housing, food and water provisions (<i>if more than 6 hours</i>) 63-71					
15. Sanitation of procedure area (<i>chemicals expiration date</i>) 72-73					
16. Euthanasia (<i>methods appropriate and documented?</i>) 2013 AVMA Panel/Guide 123					
17. Carcass and waste disposal (<i>water proof bags, segregate hazardous</i>) 73-74					
18. Sharps disposal (<i>no recapping</i>) UCD Safety Net #3, 62					
19. Drugs (<i>expiration dates/Pharmaceutical grade</i>) 31					
20. Vet care (<i>how to contact clinical veterinarian posted</i>) 105-114					
21. Are personnel trained on how to report an animal concern? (<i>poster</i>)					

C. SURVIVAL SURGERY (rodent or minor procedures only) 2011 ILAR Guide pg. 115-120 [if yes, complete]	A	M	S	n/a	Fol
22. Rodent survival surgery (<i>space clean and uncluttered</i>)					
23. Aseptic procedures (<i>taken rodent survival surgery course?</i>)					
24. Autoclave monitoring procedures (<i>autoclave tape or pouches</i>)					

25. Storage of autoclaved materials (<i>date</i>)					
26. Cold sterilization procedures (<i>contact time, sterilant not disinfectant</i>)					
27. Anesthetic monitoring (<i>twitch response, respiratory rate, heart rate</i>)					
28. Analgesics used according to protocol (<i>dose, route, frequency</i>)					
29. Surgical Records (<i>pre, peri, and post-operative with daily logs</i>)					

* Routine procedure - any non-surgical procedure (e.g. injections, stomach tubing, where animals are taken to the lab, etc.)
 ** Surgery - any minor, non-survival surgery or rodent surgery
 *** **A**=acceptable; **M**=minor; **S**=significant deficiency (is or may be a threat to animal health or safety); **Fol/up**=follow-up

Attachment 2:

Date:				
Protocol #:				
MSS		Exception		Condition
Protocol in Compliance:				
Follow-up required:				
Date follow up completed:				

Post-Approval Monitoring (PAM) of Animal Use Protocols

Principal Investigator:		Reviewed with:		Phone:	
Department:		Building/room (lab):			
Protocol Title:		Anniversary date:			
Surgical Protocol:	Survival?	Terminal?	Death is an Endpoint:	Prolonged restraint:	
Reviewed By:					
A. General	***	A	M	S	n/a Fol/up
51. Amendment Process					
52. Protocol Available					
30. Are personnel trained on how to report a concern?					
B. Changes To Approved Protocol		A (N/C)	M	S	n/a Fol/up
57. Animal Numbers					
58. Procedures					
59. Objective					
60. Species					
61. Anesthetics					
62. Analgesics					
63. Euthanasia Method					
64. Study Personnel Roster					
65. Appropriate Training/Documentation					
66. Report Unexpected Outcomes/Deaths					
67. Veterinary Care					
68. Work location					
69. Humane Endpoints					
70. Appropriate study records available					
71. Incidents recorded					
72. Source/Transfers					
C. Conditional Approvals		A (N/C)	M	S	n/a Fol/up
The protocol was approved with the following Condition					
76. Aware of IACUC "Condition"					
77. Is the condition being met?					
D. Multiple Major Survival Surgery		A (N/C)	M	S	n/a Fol/up
88. Number of surgeries performed/animal					
89. Surgeon Training/Documentation					

90. Pre/Peri operative records					
91. Post op monitoring/records					
92. Aseptic Technique					
E. Exceptions to The Guide	A (N/C)	M	S	n/a	Fol/up
The protocol is using the following Exception to the guide:					
103. Was the exception approved in the protocol?					
104. Is it limited to only when necessary?					
***A (N/C) =acceptable, no changes/deviations; M=minor; S=significant deviation (is or may be a threat to animal health or safety); Fol/up=follow-up					

Comments:

