

TITLE: Inspections: Semiannual and Random

PURPOSE: To evaluate the institution's animal program, including all animal facilities.

REVIEW/REVISIONS: Permanent amendment/revisions to this policy must be presented to the IACUC for review before implementation and should be developed by the IACUC Office and/or IACUC membership.

EFFECTIVE DATE: June, 30, 2002; **Revise/Re-Approved:** 11/2/06, 5/7/07, November 1, 2007

PERSON(S) RESPONSIBLE: Inspections will be coordinated through the IACUC Office with IACUC members, UAC personnel, and investigators.

POLICY/PROCEDURES:

1. Semiannual Inspections -

The Animal Welfare Act (AWA) and Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals both require for research institutions to:

- 1) Review the research facilities program for humane care and use of animals *at least once every six months*
- 2) Inspect all of the animal research facilities, including animal study areas (where animals are housed for more than 12 hours), for compliance with the AWA *at least once every six months*
- 3) Prepare reports of the evaluations above and submit them to the Institutional Official.

Provisos:

- * The IACUC may determine the best means of conducting the above evaluations
- * No IACUC member wishing to participate in the evaluation may be excluded
- * The IACUC may use subcommittees composed of at least two IACUC members to conduct the above evaluations and may invite ad hoc consultants to assist them if desired
- * The IACUC is responsible for the required evaluations and reports even though it may have been done by a subcommittee
- * The reports must be reviewed and signed by a majority of the IACUC members and must include any minority views.
- * The reports must be updated at least once every six months after the semiannual evaluation
- * The reports are to be maintained by the research facility and made available to APHIS and any Federal funding agencies for inspection and copying
- * The reports must contain the following:
 - A description of the nature and extent of the research facilities compliance with regulations
 - Must specifically identify any departure from compliance with regulations and must state the reasons for each departure
 - Must distinguish significant deficiencies from minor deficiencies. A significant deficiency is one which affects the health, safety, or well being of the animal(s).
- * Failure to correct any significant deficiency within the established deadlines must be reported by the IACUC, in writing, within fifteen days and through the Institutional Official, to APHIS, OLAW and any other funding federal agency.

All inspection findings will be documented on the **IACUC Facility Inspection Form** (*Attachment 1*).

All original semiannual inspection forms will be filed in the IACUC office. Inspection forms will be available for review by IACUC members, regulatory agencies, and FOIA requests.

2. Random Inspections –

Random inspections may be done *at any time* between scheduled semiannual inspections to:

- correct previously noted minor deficiencies,
- ensure that no significant deficiencies have developed,
- ensure continued adherence to AWA and PHS regulations and local policies,
- investigate reports of noncompliance with AWA or PHS regulations.

At least two IACUC members will conduct a random inspection.

Random inspections may be unannounced.

Inspection findings will be documented on the *IACUC Facility Inspection Form*.

The Primary Investigator(s) may be contacted by the IACUC (phone, visit) following a random inspection.

If deficiencies are found during a random inspection, they will be written on the inspection form. Recommendations/timing will be provided in writing as to how the deficiencies should be corrected (same procedure as for semiannual inspections).

The Primary Investigator(s) will be provided with a copy of the written random inspection report. The Primary Investigator may be asked to respond to the written inspection report in writing and/or correct deficiencies and be available for re-inspection. **The IACUC will provide a reasonable and specific plan (including schedule of dates) to correct deficiencies.**

If significant deficiencies remain uncorrected by the Primary Investigator beyond the scheduled dates identified, the IACUC must report these outstanding deficiencies to APHIS and PHS officials **within 15 working days**.

All original random inspection forms will be filed in the IACUC office. Inspection forms will be available for review by IACUC members, regulatory agencies, and FOIA requests.

JUSTIFICATION:

The **National Institutes of Health** (*Public Health Service Policy on Humane Care and Use of Laboratory Animals*; Health Research Extension Act of 1985, Public Law 99-158) and **United States Department of Agriculture** (*Animal Welfare Act: Title 9, Chapter I, Subchapter A*) provide operating standards for Institutional Animal Care and Use Committees, including evaluation of the institution's animal program **at least once every six months**, including all animal facilities.

The University of Arizona is registered as an animal research facility with NIH and USDA. In addition, the University of Arizona is accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC).

IACUC FACILITY INSPECTION FORM

Date: _____

Facility/Room Number: _____

Contact (Name/Phone): _____

Lab Manager: _____ PI: _____ Present? YES NO

Research Members Present: _____

Inspection Team: _____

* IACUC Inspector: (print) _____ (Signature) _____

Rate the Items to be evaluated during inspection as follows:

1 = Satisfactory 2 = Needs Improvement 3 = Unsatisfactory 4 = Not Observed 5 = Not Applicable

Items to be evaluated during inspection	Rate 1 to 5
Physical Facilities and Equipment:	
Housing	
Animal Environment	
Food	
Water	
Sanitation	
Functional or working area	
Surgical Facilities	
Construction guidelines	
Facilities for animal research with hazardous agents	
General Procedures:	
Preventive Medicine and Surveillance, diagnosis, treatment and control of disease	
Use of Aseptic Techniques as applicable	

Items to be evaluated during inspection	Rate 1 to 5
Documentation and Records: (* required for all)	
*Protocols *	
*Animal Hazards Checklist *	
*Emergency, weekend and holiday care numbers posted *	
Husbandry SOP's (>24hrs housing)	
Permits for Wildlife Protocols	
Post-Op Analgesia Records	
Drug Storage:	
Controlled Drug Inventory Logbook	
Locked Cabinet	
Drugs are Clearly Identified	
Expiration Dates Noted	
Other:	

INSPECTION KEY:

Housing:

Cages - Space - Activity
Bedding
(Quality, Amount, Storage)

Animal Environment:

Temperature
Humidity Levels
Ventilation - Lighting
Noise

Food:

Access - Amount - Quality
Storage

Water:

Access - Amount - Quality

Sanitation:

Cleanliness
Waste Disposal
Vermin Control

Functional/Working Area:

Cleanliness - Organization

Surgical Facilities:

Dedicated Area
Maintenance and Certification of Equipment
Cleanliness - Organization

Construction Guidelines:

Corridors - Doors -
Windows - Floors - Drains
Walls - Ceilings
Electrical outlets

Facilities w/ Hazardous Agents:

Hoods - Storage - Disposal
Signage
Personal Protective Gear (PPG) (equipment and signage/SOPs)
Preventive Medicine:
Procurement
Quarantine
Separation

Documentation:

Husbandry SOPs -
Monitoring schedule
Food/Water changing
Cage changing
Post-Op Analgesia Records-
Time/Date
administration
Specific drug information
Monitoring Schedule