**VA SEMIANNUAL EVALUATION**

**of the**

**INSTITUTIONAL ANIMAL CARE AND USE PROGRAM AND FACILITIES**

**Part 1 – Checklist**

**Section A. Review of the Program**

The Review of the Program is largely an administrative evaluation of all of the policies, plans, standard procedures, and systems under which the institution fulfills its responsibilities to ensure humane animal care and use. Some of the programmatic items may appear similar to items included in Section B (Inspection of the Facilities), but the focus here (Review of the Program) is on what is intended or expected, while Section B focuses on observed implementation.

*NOTE: The checklist is designed to prompt review according to regulatory requirements, and focuses on the minimum standards that must be met. The wording in the checklist is not to be interpreted as altering the regulatory requirements in any way, but represents guidance from the office of the CVMO. For specifics about the regulatory requirements and recommended best practices, the references provided in square brackets must be consulted:*

*“1200.01” refers to the “VHA Handbook 1200.01, Research and Development (R&D) Committee”,*

*“1200.07” refers to the “VHA Handbook 1200.07, Use of Animals in Research”,*

*“PHS” refers to the “PHS Policy on Humane Care and Use of Laboratory Animals”,*

*“9 CFR” refers to the “USDA Animal Welfare Act Regulations and Standards, Code of Federal Regulations, Title 9”,*

*“US Govt Principle” refers to the “US Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training”, and*

*“Guide” refers to the National Research Council’s “Guide for the Care and Use of Laboratory Animals”, 8th edition, 2011*

Instructions:

1) Enter identifying information in the header above:

Double click in the header area.

Then enter text after each “:”

(Note: Federal regulations require that a new Review of the Program be completed every 6 months *[PHS (IV.B.1); 9 CFR (2.31(c)(1))]*, and a new Inspection of the Facilities *[PHS (IV.B.2); 9 CFR (2.31(c)(2))]* be completed every 6 months. The “Date of Semiannual Evaluation” is the date on which the last of the components of the semiannual evaluation was completed.)

Double click in the document area to return to the main body of the form.

2) Enter the information requested below. The “►” symbols indicate **required** information:

►Date(s) of the most recent previous Review of the Program:

►Date(s) on which this Review of the Program was conducted:

**Names of voting IACUC members who participated in the Program Review:**

*(The Program Review team must include a minimum of two voting members of the IACUC [9 CFR (2.31(c)(3))]. Any non-members who also participate, at the discretion of the IACUC, may be listed in the second table.)*

|  |  |  |
| --- | --- | --- |
| Name | Specific Role on IACUC (if any) | Date(s) of Participation |
| ► |  |  |
| ► |  |  |
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**Non-IACUC members who participated in the Program Review**:

|  |  |  |
| --- | --- | --- |
| Name | Title | Date(s) of Participation |
|  |  |  |
|  |  |  |
|  |  |  |

3) For each item in the checklist, type “X” in the column that applies (shaded cells should not be used):

Not Applicable

Acceptable

Approved Departure (Approved by the IACUC)

Minor Deficiency

Significant Deficiency

4) For each item marked as an Approved Departure, a Minor Deficiency, or a Significant Deficiency here (Part 1, Section A), provide details in Part 2 of this form.

5) Items that reflect changes in the 8th edition of the *Guide* are flagged as follows, and may require particular attention as the 8th edition is implemented.

**‡ denotes a new “must” item**

**† denotes a new “should” item**

**I. Institutional Policies and Responsibilities**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **A. Shared Responsibilities** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 100**†** | A formal written MOU, contract, or agreement is in place for any arrangement in which the VA shares responsibility for animal research with any other institution. This includes the use of an external IACUC and any collaborative arrangements for support, housing, or use of animals in research. *[1200.07 (8.b(1)); Guide, p. 15]*  ►Name(s) of other institution(s) and the date(s) on which current formal written understanding(s) took effect: |  |  |  |  |  |
| **B. General IACUC Function** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 150 | The official appointment of each member of the IACUC by the CEO *[PHS (IV.A.3a); 9 CFR (2.31(a))]* is documented and specifies the duration of the appointment and any specific role to which the member is appointed. *[1200.07 (8.a)]* |  |  |  |  |  |
| 151 | The IACUC has at least five members, including at least one member qualified for and appointed to each of the required roles. *[PHS (IV.A.3); Guide ( p. 24)]* |  |  |  |  |  |
| 152**‡** | The IACUC meets as necessary to fulfill responsibilities. *[Guide (p.25)]* |  |  |  |  |  |
| 153 | The IACUC has adequate authority, administrative support, and other resources to fulfill its responsibilities. *[ Guide (p. 14-15)]* |  |  |  |  |  |
| 154**†** | The IO has authority to allocate needed resources. *[Guide (p.13)]* |  |  |  |  |  |
| 155 | The IACUC communicates regularly with the R&D Committee, by providing the R&D Committee with a set of final, signed, IACUC minutes, and all other notifications required by the R&D Committee, and through an individual who regularly attends meetings of both the IACUC and the R&D Committee. *[1200.07 (8.h (2)); 1200.01 (11.f)]* |  |  |  |  |  |
| 156**†** | Program needs are regularly communicated to the IO by the AV and/or the IACUC. *[Guide (p. 13)]* |  |  |  |  |  |
| 157 | The IACUC communicates effectively as needed with the SRS and/or the IBC. *[1200.07 (Appendix C-.8.a)]* |  |  |  |  |  |
| 158 | All minority opinions that are submitted are included in the final document that results from any action of the IACUC (e.g., meeting minutes, report of semiannual evaluation, and reports to oversight entities). *[PHS (IV.B.); 9 CFR (2.31(c)(3)]* |  |  |  |  |  |
| 159 | The research office provides packets to IACUC members no later than 3 business days before the IACUC meeting. This packet must include an agenda with all business items listed, including reviewer assignments for all new protocols. *[1200.07(8.f(2)(d))]* |  |  |  |  |  |
| 160 | A written draft of the minutes of the latest IACUC meeting is provided to all IACUC members at least 1 week before the next meeting. |  |  |  |  |  |
| 161 | Review and approval by the IACUC is required before any work related to the use of animal subjects in VA research begins or is changed significantly. *[1200.07(8f(2));PHS (IV.B.6-7); 9CFR (2.31(c)(6-7)); Guide (p. 26)]* |  |  |  |  |  |
| 162 | All protocol forms used comply with PHS Policy and USDA AWAR. *[PHS( IV.C);9 CFR (2.31(d)]* |  |  |  |  |  |
| 163 | The current version of the VA ACORP (or an alternate form that has been approved by the CVMO) is used for any protocol involving work to be supported with VA funding. *[1200.07 (8.f(2)(e))]* |  |  |  |  |  |
| 164**‡** | Consultation with a qualified laboratory animal veterinarian is required before a protocol may be submitted for review by the IACUC. Veterinarian provides consultation when pain and distress exceeds anticipated level in protocol.*[1200.07 (Appendix D -1.k(2)); 9 CFR (2.31(d)(1)(iv)(B);, Guide (p,5)]* |  |  |  |  |  |
| 165**‡** | No IACUC member participates in the review or approval of any protocol in which that member has a real or apparent conflict of interest (financial or otherwise). *[ Guide (p. 26)]* |  |  |  |  |  |
| 166 | The IACUC does not approve any protocol that involves use of hazardous agents until the Biosafety Official and/or the Radiation Safety Official, as applicable, has signed in Item Z to confirm that the hazardous agents are properly documented in the ACORP. *[1200.07 (Appendix C-.8.c(1)); Guide (p. 21)]* |  |  |  |  |  |
| 167 | Use of any patient care area for VA-funded animal research is prohibited unless the IACUC and appropriate local clinical and administrative officials first grant approval and the IACUC has reviewed and approved a completed ACORP Appendix 7 that justifies no reasonable alternative to the use of human clinical areas or equipment exists. *[1200.07 (7.k(1))]* |  |  |  |  |  |
| 168**†** | A system of post-approval monitoring is in place to ensure that all work with research animals is performed according to IACUC approved protocols. *[Guide (p. 33)]* |  |  |  |  |  |
| 169 | The IACUC conducts continuing reviews of all protocols annually. *[9 CFR (2.31(d)(5)]* |  |  |  |  |  |
| 170 | IACUC approval of each protocol expires on or before the third anniversary of its initial approval. *De novo* review and approval of a complete updated protocol by the IACUC before the date of expiration is required for work on the protocol to continue beyond three years without interruption. *[ PHS (IV.C.5)]* |  |  |  |  |  |
| 171 | Humane endpoints are established for studies in which pain and/or distress is anticipated (i.e., tumors, infectious disease, vaccine challenges, trauma, etc.) *[Guide (p.27)]* |  |  |  |  |  |
| 172 | The IACUC has established oversight procedures for pilot and field/wildlife studies; studies involving genetically modified animals, food/fluid restriction, and the use of pharmaceutical versus non-pharmaceutical grade chemicals receive special consideration by the IACUC. *[Guide (p. 27-33)]* |  |  |  |  |  |
| 173 | Surgical procedures are determined to be major or minor, multiple surgical procedures on a single animal are justified and the outcome evaluated, and multiple survival procedures regardless of species conform to regulated species standards. *[Guide (p.30)]* |  |  |  |  |  |
| 174**‡** | Requests for exemptions from major survival procedure restrictions are made to the USDA/APHIS through the IO. *[Guide (p. 30)]* |  |  |  |  |  |
| 175 | Toe-clipping is approved by the IACUC only when no other individual identification method is feasible; the procedure is performed aseptically and with pain relief. *[Guide (p.75)]* |  |  |  |  |  |
| 176**‡** | The use of restraint devices is justified in the animal use protocols. IACUC approval is given when the purpose and duration of the restraint are justified. The justification addresses: the lack of feasible alternatives to physical restraint, provisions for the removal of maladaptive animals, training of animals, and appropriate observation of restrained animals. Veterinary care is provided if lesions or illness associated with restraint occur. *[Guide (p 29-30]* |  |  |  |  |  |
| **C. Semiannual Evaluations of the Animal Care and Use Program** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 200 | Program Review -- At least every six months, the IACUC reviews the animal care and use program. For VA animals used at an affiliate institution, this is done according to the MOU in place between the VA facility and the affiliate. *[1200.07 (8.f(1)); PHS (IV.B.1); 9CFR (2.31(c)(1))]* |  |  |  |  |  |
| 201 | Facilities Inspection -- At least every six months, the IACUC inspects all facilities in which animals in the VA animal research program are used. For VA animals used at an affiliate institution, this is done according to the MOU in place between the VA facility and the affiliate. *[1200.07 (8.f(1)); PHS (IV.B); 9CFR (2.31(c)(2)) ]* |  |  |  |  |  |
| 202 | Under no circumstances is the report of any semiannual evaluation altered after it has been signed by the IACUC. *[1200.07 (8.f (1)(f))]* |  |  |  |  |  |
| 203 | The report of each semiannual evaluation of the animal care and use program, signed by the IACUC, is discussed personally with the Director of the VA facility in a meeting with at least one representative voting member of the IACUC. *[1200.07 (8.f(1)(e)); PHS (IV.B); 9 CFR (2.31(c)(5); Guide (p. 25)]* |  |  |  |  |  |
| 204 | Within 60 days of approval by the IACUC, the report of each semiannual evaluation, signed by the facility Director, is submitted to the CVMO (ORD), or the CVMO’s office is notified of the reason for delay and the expected date of submission. *[1200.07(8.k(3))]* |  |  |  |  |  |
| **D. Standard Operating Procedures (SOPs)** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 250 | At least annually, the IACUC oversees a review of the complete set of all local SOPs by the Attending Veterinarian with the VMU supervisor and other qualified personnel. *[1200.07 (7.c)]*  ►Date of latest review: |  |  |  |  |  |
| **E. Addressing Concerns about Animal Welfare** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 300**‡** | The responsibility for animal well-being is assumed by all members of the program; therefore, procedures are in place for the IACUC to receive, review, investigate, and address internal or external concerns or allegations about animal care and use. *[PHS (IV.B); 9 CFR (2.31(c)(4)); Guide (p. 1;23-24)]* |  |  |  |  |  |
| 301 | Procedures are in place to protect “Whistle-blowers” from discrimination or reprisal for reporting potential regulatory violations within the animal care and use program. *[9CFR (2.32(c)(4)); Guide (p. 24)]* |  |  |  |  |  |
| 302 | Any animal activity may be suspended by the IACUC (by a majority vote of a quorum), or immediately and unilaterally by the facility Director or any other official designated by the facility Director. *[1200.07 (8. )j; 9 CFR (2.31(c)(8) and 2.31(d)(6))]* |  |  |  |  |  |
| 303 | The IACUC notifies local administrators (facility Director, RCO, ACOS/R&D) and external oversight entities (CVMO, ORO, OLAW, and AAALAC) immediately when an investigation is undertaken. *[1200.07 (8.i)]* |  |  |  |  |  |
| 304 | Within 5 business days of determining that a reportable deficiency has occurred, the IACUC submits an initial report to the facility Director and the IO, with copies to the ACOS/R&D and other relevant research review subcommittees. *[1058.01( 8.e); PHS (IV.F.3); 9 CFR (2.31(c)(3) and 2.31(d)(7))]* |  |  |  |  |  |
| 305 | Within 5 business days (*ORO requirement)* of receiving a report of a reportable deficiency from the IACUC, the facility Director and IO submit the report to the CVMO, ORO, OLAW, AAALAC, the Animal Care Section of USDA APHIS, and any other non-VA funding sources, as applicable, with copies to the IACUCs of any affiliate institutions with shared responsibility. *[1058.01( 8.e); PHS (IV.F.3); 9 CFR (2.31(c)(3) and 2.31(d)(7))]* |  |  |  |  |  |
| 306 | The corrective action plan, the timetable for its implementation, and interim and final reports on the correction of each reported deficiency are submitted to the facility Director and IO, and through them to the CVMO, ORO, OLAW, AAALAC, the Animal Care Section of USDA APHIS, and any other non-VA funding sources, as applicable, with copies to the IACUCs of any affiliate institutions with shared responsibility. *[1200.07 (8.i) ]* |  |  |  |  |  |
| **F. Reporting to Oversight Entities** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 350 | The USDA Annual Report of Research Facility was completed and submitted by December 1 within the past year, as required by USDA, and a copy is on file locally. *[ 9CFR (2.36)]*  ►Date of most recent submission: |  |  |  |  |  |
| 351 | The VA facility is covered by a PHS Assurance, approved by OLAW, and revised as needed to reflect any significant changes in the animal care and use program. *[ PHS (IV.A)]*  ►Name of the Institution that holds the PHS Assurance:  ►Effective date of most recent approved Assurance: |  |  |  |  |  |
| 352 | The annual report to OLAW was submitted within the past year by the end of the month immediately following the end of the last reporting period, and a copy is on file locally. *[PHS ( IV.F.1-2)]*  ►Date of most recent submission: |  |  |  |  |  |
| 353 | The VA facility is fully accredited by AAALAC, and a copy of the triennial comprehensive AAALAC Program Description is on file locally. *[1200.07 (7.e)]*  ►Name of the Institution that holds the accreditation: |  |  |  |  |  |
| 354 | The AAALAC Annual Report was submitted within the past year as required by AAALAC, and a copy is on file locally. *[1200.07 (8.l(2)(b))]*  ►Date of most recent submission: |  |  |  |  |  |
| 355 | The VA Veterinary Medical Unit (VMU) annual report, which includes mice and rats, was submitted online by the specified deadline (usually January 15) within the past year. *[1200.07 (8.l(4))]* |  |  |  |  |  |
| 356 | All other correspondence with oversight entities (USDA, OLAW, AAALAC, and ORO) relevant to the animal research program (except for routine notifications and reminders) is copied to the CVMO within 15 days of receipt or submission. *[1200.07 (9)]* |  |  |  |  |  |
| 357 | All documents relevant to the animal care and use program are maintained on file for at least three years, or according to the latest VA requirements (current VA policy requires all records to be kept indefinitely), whichever is longer. This includes acquisition/disposition records, IACUC meeting minutes, semiannual reports, and all reports to, and correspondence with, oversight entities. *[1200.07 (Appendix E-2. c); 9CFR2.35(f); PHS (IV.E)]* |  |  |  |  |  |
| 358 | All documents relevant to individual studies are maintained for at least the duration of the study and for three additional years after the completion of the study, or according to the latest VA requirements (current VA policy requires all records to be kept indefinitely), whichever is longer. *[1200.07 (8.f(1)(h));9CFR2.35(f); PHS (IV.E)]* |  |  |  |  |  |
| **G. Personnel Qualifications and Training** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 400**‡** | The IACUC does not approve any protocol until each individual listed on the protocol has documented completion of required VA training at the prescribed intervals. *[1200.07 (8.m(1)).; PHS (IV.A.1.g); 9 CFR (2.32); Guide (p. 15); US Government Principle VIII)]* |  |  |  |  |  |
| 401**‡** | The IACUC confirms that each individual is appropriately trained before approving that individual to perform the procedure without supervision. This includes non-surgical and surgical procedures, anesthesia monitoring, and euthanasia. *[PHS (IV.C.1.f); 9 CFR (2.31(d)(1)(viii); Guide (p. 15 & 115 )]* |  |  |  |  |  |
| 402**‡** | All personnel are documented as being appropriately trained for their positions, and participating in formal and/or on-the-job continuing education at the prescribed intervals. *[1200.07 (8.m); PHS (IV.A.1.g); 9 CFR (2.32); Guide (p. 16-17)]* |  |  |  |  |  |
| 403**†** | IACUC members receive training in all aspects of humane animal care and use through the documented completion of VA training at the required intervals. *[PHS (IV.A.1.g); 9 CFR (2.32); 1200.07 (8.m); Guide ( p.17)]* |  |  |  |  |  |
| **H. Occupational Health and Safety** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| **Occupational Health and Safety Program (OHSP)** | |  |  |  |  |  |
| 450**‡** | An OHSP has been established and is maintained by the VA facility to protect personnel involved in animal research (laboratory or field setting) from associated risks including but not limited to direct animal contact, exposure to unfixed tissues or fluids, hazardous agents used in the research, etc. *[PHS (IV.A.1.f); Guide (p.17; 32); 1200.07 (10)]* |  |  |  |  |  |
| 451 | All personnel at risk of exposure have the opportunity to participate in the OHSP. This includes personnel whose duties include work with animals (e.g., VMU staff, investigators, research technicians), regardless of whether they are paid employees, without compensation (WOC) personnel, students, or trainees, as well as , personnel that do not have contact but are exposed to animals (e.g., maintenance and engineering staff assigned to the VMU, other service personnel, etc.). *[1200.07 (10.a); Guide (p. 18)]* |  |  |  |  |  |
| 452 | **Hazard Identification and Risk Assessment –** The IACUC, the local veterinarians, the SRS, and the Safety Officer work together effectively to identify potential hazards that exist in the animal research program, to assess the consequent risks to personnel, and to determine appropriate strategies to manage the risks. *[Guide (p. 18-19)]* |  |  |  |  |  |
| 453 | **OHSP Training** – Training is provided to all personnel covered by the OHSP, with regard to personal hygiene practices, use of safety equipment, and SOPs appropriate to each individual’s duties and risks of exposure. *[ Guide (p. 20)]* |  |  |  |  |  |
| **The OHSP – Facilities and Procedures** | |  |  |  |  |  |
| 454 | **Ergonomic efficiency** – Procedures and policies are in place to reduce the risks of ergonomic injuries to personnel (e.g. facility design, SOPs, and the use of equipment such as ramps, carts, and hydraulic lifts). *[Guide (p.19- 20)]* |  |  |  |  |  |
| 455 | **Control of exposure** – Personal exposure to hazardous agents is limited through the design of the facility, establishment of SOPs (e.g. separation of animals treated with hazardous agents from untreated animals), selection/maintenance/certification of safety equipment (e.g., showers, eyewash stations, fume hoods, etc.), and careful monitoring of agents to ensure that they remain within permissible ranges. *[ Guide (p. 19-20)]* |  |  |  |  |  |
| 456 | **Policies and Procedures associated with nonhuman primates (NHPs) –** have been established and include training with regard to the risks of exposure to *Macacine herpesvirus 1* ( formerly *C. herpesvirus* orHerpes B virus); tuberculosis screening for exposed personnel; training on and the handling of bites, scratches, or other injuries; medical evaluation and treatment of injuries; and provision of appropriate PPE. *[Guide (p. 23)]* |  |  |  |  |  |
| **The OSHP – Personal Hygiene** | |  |  |  |  |  |
| 457 | The OHSP includes guidelines on appropriate personal hygiene practices, including hand washing and showering, use of protective clothing, and restricting consumption of food and beverages to designated break areas. *[ Guide (p. 20-21)]* |  |  |  |  |  |
| 458 | The VA facility provides uniforms, laundry service, and all other necessary personal protective equipment (e.g., gloves, ear protection, protective eyewear, steel-toed footwear, respirators, with appropriate fit testing and training, and other special equipment), as appropriate to the duties of the personnel. *[Guide (p. 20-22)]* |  |  |  |  |  |
| **The OHSP – Medical Evaluation and Preventive Medicine for Personnel** | |  |  |  |  |  |
| 459 | A pre-employment medical evaluation is performed on each prospective new employee. *[1200.07(Appendix C-4(2)(a))]* |  |  |  |  |  |
| 460 | A follow-up medical evaluation is performed at routine intervals (usually annually) on each OHSP participant. *[1200.07(Appendix C-.4(2)(b))]* |  |  |  |  |  |
| 461 | Enrollment in OHSP is prerequisite to approval for access to the VMU and for beginning work with animals. *[1200.07(Appendix C- 4(2)(c))]* |  |  |  |  |  |
| 462 | Personnel are not permitted to decline immunizations or tests required by the VA facility that are necessary to protect the health of the animals or personnel. *[1200.07 (10.b)]* |  |  |  |  |  |
| 463 | All vaccines (e.g., tetanus, rabies) are provided to personnel as currently recommended by CDC, free of charge. *[1200.07 (10.f(2)); Guide ( p. 23)]* |  |  |  |  |  |
| 464 | Personnel are required to report and be treated for all injuries and illnesses potentially related to working in the VMU or other animal research areas, or otherwise in connection with work with animals. *[1200.07(Appendix C-4.b; Guide (p. 23)]* |  |  |  |  |  |
| 465**‡** | The program considers confidentiality and other legal factors as required by federal, state and local regulations. *[Guide (p. 22)]* |  |  |  |  |  |
| 466**‡** | If serum samples are collected, the purpose is consistent with federal and state laws. *[Guide (p. 22)]* |  |  |  |  |  |

**II. Physical Plant**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1. **General** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 500 | The physical plant infrastructure (includes HVAC, plumbing, lighting, power, control systems, etc.) is adequate to support the needs and performance standards of the animal care and use program, and is compliant with and meets all applicable building codes.*[Guide (p. 133-136)]* |  |  |  |  |  |
| 501 | Policies and procedures are in place to ensure that facilities and equipment are properly maintained and functional. *[Guide (p. 133-136)]* |  |  |  |  |  |

**III. Operations Related to Animal Environment, Housing, and Management**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1. **Physical Environment** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| **Temperature, Humidity, and Ventilation** | |  |  |  |  |  |
| 550 | The response of facilities management (FM) personnel to elevations in temperature in animal rooms is tested and reported to the IACUC at least annually, and the response by FM personnel is satisfactory. *[1200.07 (7.a(2)(c))].*►Date of latest test: |  |  |  |  |  |
| 551 | HVAC reheat units serving animal rooms are designed so as to fail in the “off” position, preventing over-heating of animals. *[1200.07 (7.a(2)(a))]* |  |  |  |  |  |
| **Noise** | |  |  |  |  |  |
| 522 | Policies are in place to minimize exposure of the animals and personnel to excessive vibration, unnecessary sounds, and any sounds louder than 85dB. *[Guide (p.49-50)]* |  |  |  |  |  |
| **B. Husbandry** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| **General** | |  |  |  |  |  |
| 600**‡** | Oversight of daily husbandry and other animal care duties has been assigned to a single individual (usually, the VMU Supervisor) when a full-time veterinarian is not available on site. *[Guide (p. 14)]* |  |  |  |  |  |
| **Population Management** | |  |  |  |  |  |
| 601 | Methods of animal identification have been established, which provide the protocol number and other pertinent information.  Where applicable, genotype information is provided using accurate, consistent, and unambiguous genotype nomenclature. *[Guide (p. 75-77)]* |  |  |  |  |  |
| **Behavioral Management** | |  |  |  |  |  |
| 602 | **Activity –** Each animal must have opportunities to engage in activity (motor, cognitive, and social) appropriate to its species. *[Guide (p. 60;63)]* |  |  |  |  |  |
| 603 | **Social Environment –** Animals must be housed in appropriate compatible social groups or when single housing of social species is required (by an approved protocol or because of veterinary concerns) have contact with compatible conspecifics and/or enrichment. *[Guide (p.51, 63-65)]* |  |  |  |  |  |
| 604 | **Environmental Enrichment** – The program to enrich the structural environment of each animal (structural additions, exercise, manipulative activities, and cognitive challenges) to accommodate the expression of species-typical postures and behavior is reviewed regularly by the IACUC, researchers, and veterinarians. *[Guide (p. 52-54)]* |  |  |  |  |  |
| **C. Animal Procurement and Transportation** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 650**‡** | Only animals that are obtained lawfully may be used in VA research. *[1200.07(7.b(1)); Guide (p.106)]* |  |  |  |  |  |
| 651 | Animal procurement is approved and initiated only after confirmation that: (1) the source of animals is appropriate; (2) appropriate housing and care for the animals upon arrival is coordinated with animal care staff; and (3) the animals are designated for use on an IACUC approved protocol. *[Guide (p. 106-109)]* |  |  |  |  |  |
| 652**‡** | Transportation (including intra-institutional, inter-institutional, interstate, international, and from commercial or non-commercial sources) complies with federal and international regulations, as applicable, and is arranged to protect the health and safety of the animals and humans (passersby as well as personnel involved in the work with the animals), to minimize stress on the animals, and to ensure animal biosecurity. *[Guide (p. 107); 9 CFR (Part 3, Standards)]* |  |  |  |  |  |
| **D. Preventive Medicine** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 700 | The institutional animal care and use program strives to maintain research animal populations that are as free of infectious agents as possible. *[1200.07 (7.d(1))]* |  |  |  |  |  |
| 701 | A program of veterinary care, overseen by a VMO or VMC, is in place for the surveillance, diagnosis, treatment, and control of non-protocol diseases or conditions (especially those with zoonotic potential, such as Q-fever, LCMV, parasites, etc.), and for the management of diseases or conditions induced by experimental requirements. *[Guide (p. 112-114)]* |  |  |  |  |  |
| 702 | Quarantine and stabilization of newly received animals, as well as, separation of animals by species, source, health status, and intended use, as appropriate, are used to prevent spread of pathogens. *[Guide (p. 109-112)]* |  |  |  |  |  |
| **E. Waste Disposal** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 750 | Procedures are in place for sanitation of waste containers, as well as procedures for safe removal and disposal of conventional, biological, and hazardous wastes (including soiled bedding). All waste disposal procedures comply with facility, municipal and federal policies and regulations. *[Guide (p. 73-74)]* |  |  |  |  |  |
| **F. Pest Control** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 800 | A regularly scheduled and documented program of monitoring for and controlling pests has been implemented, which includes measures to prevent vermin entry and harborage. *[Guide (p. 74)]* |  |  |  |  |  |
| 801 | Animal and human health concerns encourage the use of non-toxic methods of pest control instead of chemical pesticides whenever possible. If chemical pesticides are to be used, the investigators whose animals may be exposed are consulted to ensure that scientific objectives are not unnecessarily compromised. *[Guide (p.74)]* |  |  |  |  |  |
| **G. Medical Supplies** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 850 | All controlled substances needed for animal research on VA property are ordered and received by the local VA pharmacy, and dispensed to research personnel as needed. *[1200. 07 (7.m)]* |  |  |  |  |  |
| 851 | Use of non-pharmaceutical grade compounds, expired drugs or medical supplies (e.g., sutures, antiseptics, etc.) in animals is limited to protocols in which such use has been documented not to jeopardize animal welfare or compromise the validity of the study. *[PHS (FAQ F.4); Guide (p.31)]* |  |  |  |  |  |
| **H. Emergency, After Hours, Weekend, and Holiday Animal Care** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 900 | Qualified personnel are assigned to provide routine care for the animals on weekends and holidays. *[Guide ((p. 74);* 9 CFR (2.33(b*))]* |  |  |  |  |  |
| 901 | Veterinary care is available as needed after regular work hours on weekends, and on holidays; procedures are in place for timely notification of a veterinarian in case emergency care is needed. *[Guide (p, 74);* 9 CFR (2.33(b*))]* |  |  |  |  |  |
| 902**‡** | A disaster plan that addresses the needs of both personnel and animals is in place including animal euthanasia if necessary; the plan is approved by the IACUC. *[Guide (p. 35;75)]* |  |  |  |  |  |
| 903† | The disaster plan addresses triage procedures, emergency/life support services; preservation of irreplaceable animals, essential personnel, and disaster response training. The animal facility plan is approved by institution, is a component of the overall disaster plan, and is provided to first responders. *[Guide (p. 35; 75)]* |  |  |  |  |  |
| 904 | Key animal facility personnel (e.g., the Attending Veterinarian and the VMU supervisor) are included among the official responders to be contacted in emergencies that involve animals. *[Guide (p.75)]* |  |  |  |  |  |

**IV. Veterinary Medical Care**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **A. Role of the Veterinarians** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 950**‡** | A high quality veterinary care program consistent with ethical standards has been established. *[Guide (p. 105)]* |  |  |  |  |  |
| 951**‡** | Each VMO and VMC has training and/or experience in lab animal medicine and with the species used. *[Guide (p. 15); 9 CFR (2.33)]* |  |  |  |  |  |
| 952† | The VMOs and VMCs provide guidance to research personnel with regard to the humane care and use of the animals in the context of the scientific and regulatory requirements (including appropriate handling of animals, sedation, anesthesia, surgery and peri-operative care, analgesia, and euthanasia). *[Guide pg. 105-106, 113-114; 9 CFR (2.31(d)(1)(iv)(B) and 2.33(b)(4-5))]* |  |  |  |  |  |
| 953 | When veterinary care services are provided by a part-time or consulting veterinarian, the veterinarian’s visits are of sufficient frequency to meet programmatic needs. A written program of veterinary care for USDA regulated species is in place if a full-time attending veterinarian is not on-site. *[Guide (p. 14);USDA-APHIS Policy #3]* |  |  |  |  |  |
| 954**‡** | Veterinary care is available as needed and effective procedures are established for timely reporting of animal injury, illness, or disease and for veterinary assessment, treatment, or euthanasia. The veterinarian is authorized to treat, relieve pain, and/or euthanize. *[Guide ((p. 106, 113, 114, 120, and 122-123);* 9 CFR (2.33(b*))]* |  |  |  |  |  |
| 955**‡** | The Attending Veterinarian has the authority and resources needed, and uses them appropriately to manage all aspects of animal care and use in the animal research program. *[Guide (p. 14); 9 CFR 2.33(a)(2)]* |  |  |  |  |  |
| 956**‡** | Veterinary access to all animals is provided. *[Guide (p. 14)]* |  |  |  |  |  |
| **B. Surgery** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 1000 | Aseptic technique is required for all survival surgery; is appropriate to the species; and includes preparation of the patient, surgeon, sterile materials, and supplies, as well as appropriate operative technique to reduce the risk of infection. *[9CFR (2.31(d)(1)(ix); Guide (p.118-119) ]* |  |  |  |  |  |
| 1001 | Procedures are in place to ensure that appropriate surgical anesthesia and analgesia are provided. Postoperative monitoring and care are provided by trained personnel and documented. *[Guide (p. 119-120)* |  |  |  |  |  |
| 1002 | Major surgical procedures in non-rodents may be performed only in dedicated surgical facilities. *[9CFR (2.31(d)(1)(ix))]* |  |  |  |  |  |
| 1003 | A system of ongoing and thorough assessment of surgical outcomes is in place to ensure that appropriate procedures are followed and appropriate corrective changes are implemented in a timely manner. *[Guide (p. 115)]* |  |  |  |  |  |
| 1004 | Presurgical planning includes veterinary input and addresses location, supplies, anesthetic and analgesic use, peri-operative care, recordkeeping, etc. *[Guide (p.116)]* |  |  |  |  |  |
| 1005 | For nonsurvival surgery, the surgical site is clipped, gloves are worn, and the surgical area and instruments are clean. *[Guide*  *( p.118)]* |  |  |  |  |  |
| **C. Pain, Analgesia, and Anesthesia** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 1050 | Guidelines for the assessment and management of pain, distress, and animal wellbeing have been established, and include monitoring for effectiveness of pain control, consideration of non-pharmacologic pain control methods, and guidance regarding the selection and use of anesthetics and analgesics. *[Guide (p. 121-122)]* |  |  |  |  |  |
| 1051  **‡** | Procedures are in place to assure anti-nociception before surgery begins. *[Guide, p 122)]* |  |  |  |  |  |
| 1052 | Special precautions for the use of paralytics are in place to ensure adequate anesthesia. *[Guide (p 123)]* |  |  |  |  |  |
| 1053  **‡** | The drug storage and control program complies with federal regulations for human and veterinary drugs; procedures have been established to ensure that analgesics and anesthetics are used prior to their expiration date. *[Guide (p.115)]* |  |  |  |  |  |
| 1054  † | Anesthetics and analgesics are acquired, stored, and disposed of in a legal and safe manner; drug records and storage procedures are reviewed during facility inspections. *[Guide, p. 115 & 122)]* |  |  |  |  |  |
| **D. Euthanasia** | | | | | | |
|  | | **Not Applicable** | **Acceptable** | **Approved Departure** | **Minor Deficiency** | **Significant Deficiency** |
| 1100 | The methods of euthanasia approved by the IACUC are consistent with the AVMA recommendations for the species involved. *[Guide (p. 123); PHS ( IV.C.1.g); 9 CFR (2.31(d)(1)(xi))]* |  |  |  |  |  |
| 1101 | Personnel receive training on euthanasia methods appropriate for the species and age of the animal to minimize the potential for pain and distress. *[Guide (p. 123-124)]* |  |  |  |  |  |
| 1102  **‡** | Procedures and training are in place to ensure that death is confirmed. *[Guide ( p. 124])* |  |  |  |  |  |

**V. Animal Care and Use Program Work Orders**

**Instructions:** Enter work order data as prompted for Tables 1 and 2. All work orders related to the animal care and use program should be entered, whether or not they resulted from a semiannual evaluation. Use Table 3 to summarize the work orders in Tables 1 and 2.

**Table 1: Work Orders Completed - include all work orders completed since the previous semiannual program evaluation (**►Date(s) of previous evaluation: ).

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| # | Enter **M**, **S**, or **No**, for **M**inor or **S**ignificant deficiency noted in semiannual evaluation, or **No**t related to semiannual evaluation | Work order (local reference) number | Summarize work requested | Date work order was submitted | Date work order was completed | Elapsed days from submission to completion |
| 1 |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |
| 4 |  |  |  |  |  |  |
| 5 |  |  |  |  |  |  |

**Table 2: Work Orders Not Yet Completed - include all open work orders generated by previous semi-annual evaluations and other sources. Work orders placed as a result of the current semi-annual review are also entered below.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # | Enter **M**, **S**, or **No**, for **M**inor or **S**ignificant deficiency noted in semiannual evaluation, or **No**t related to semiannual evaluation | Work order (reference) number | Summarize work requested | Date work order was submitted | Elapsed days from submission until  \_\_\_\_\_\_\_\_\_\_\_\_\_\_  (enter date used to calculate elapsed days) |
| 1 |  |  |  |  |  |
| 2 |  |  |  |  |  |
| 3 |  |  |  |  |  |
| 4 |  |  |  |  |  |
| 5 |  |  |  |  |  |

**Table 3: Summary**

|  |  |  |
| --- | --- | --- |
| Table # | Number of work orders entered | Average days elapsed |
| 1 |  |  |
| 2 |  |  |

Comments (provide any additional information relevant to the numbers of days required for completion of the work orders submitted):