**SEMIANNUAL FACILITY INSPECTION CHECKLIST**

|  |  |
| --- | --- |
| **LEGEND** | |
| **A** | Acceptable |
| **S** | Significant Deficiency *(PHS Policy IV.A.1.a.-i.; include in semi-annual report to IO and annual report to OLAW)* |
| **M** | Minor Deficiency *(is or may be a threat to animal health/safety)* |
| **C** | Change in Program |
| **N/A** | Not Applicable |

**TERRESTRIAL ANIMAL HOUSING AND SUPPORT AREAS**

**DATE:**

**LOCATION:**

|  |  |  |  |  |  |
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| **CRITERIA** | **A** | **S** | **M** | **C** | **N/A** |
| **Location:** |  |  |  |  |  |
| Animal areas separate from personnel areas (*Guide, p134*) |  |  |  |  |  |
| Separation of species (*Guide, p111*) |  |  |  |  |  |
| Separation by disease status (*Guide, p111*) |  |  |  |  |  |
| Security and access control (*Guide, p151*) |  |  |  |  |  |
| **Construction:** |  |  |  |  |  |
| Corridors (*Guide, p136*) |  |  |  |  |  |
| Animal room doors (*Guide, p137*) |  |  |  |  |  |
| Exterior windows (*Guide, p137*) |  |  |  |  |  |
| Floors (*Guide, p137*) |  |  |  |  |  |
| Drainage (*Guide,138*) |  |  |  |  |  |
| Walls and ceilings (*Guide, p138*) |  |  |  |  |  |
| Heating ventilation and air conditioning (*Guide, p139*) |  |  |  |  |  |
| Power and lighting (*Guide, p141*) |  |  |  |  |  |
| Noise control (*Guide, p142*) |  |  |  |  |  |
| Vibration control (*Guide, p142*) |  |  |  |  |  |
| Environmental monitoring (*Guide, p143*) |  |  |  |  |  |
| **Room/Cage:** |  |  |  |  |  |
| Temperature and humidity (*Guide, p43*) |  |  |  |  |  |
| Ventilation and air quality (*Guide, p45*) |  |  |  |  |  |
| Illumination (*Guide, p47*) |  |  |  |  |  |
| Noise and vibration (*Guide, p49*) |  |  |  |  |  |
| **Primary Enclosure:** |  |  |  |  |  |
| Space meets physiologic, behavioral xv, and social xvi needs (*Guide, p51, 55-63*) |  |  |  |  |  |
| secure environment provided (*Guide, p51*) |  |  |  |  |  |
| Durable, nontoxic materials in good repair and no risk of injury (*Guide, p51*) |  |  |  |  |  |
| Flooring is safe and appropriate for species (*Guide, p51*) |  |  |  |  |  |
| Adequate bedding and structures for resting, sleeping, breeding (*Guide, p52*) |  |  |  |  |  |
| Objective assessments of housing and management are made (*Guide, p52*) |  |  |  |  |  |
| Procedures for routine husbandry are documented (*Guide, p52*) |  |  |  |  |  |
| Socially housed animals can escape or hide to avoid aggression (*Guide, p55*) |  |  |  |  |  |
| Cage height provides adequate clearance (*Guide, p56*) |  |  |  |  |  |
| Animals express natural postures, can turn around, access food and water, and rest away from urine and feces (*Guide, p56*) [must] |  |  |  |  |  |
| Rationale for *Guide*/USDA space exceptions approved by IACUC and based on performances indices (*Guide, p56*) |  |  |  |  |  |
| Dogs and cats allowed to exercise and provided human interaction (*Guide, p58*) |  |  |  |  |  |
| Nonhuman primates are socially housed except for scientific, veterinary or behavior reasons (*Guide, pp58-59*) |  |  |  |  |  |
| Single housing of nonhuman primates is for shortest duration possible (*Guide, p60*) |  |  |  |  |  |
| Opportunities for release into larger enclosures is considered for single caged nonhuman primates (*Guide, p60*) |  |  |  |  |  |
| Agricultural animals are housed socially (*Guide, p60*) |  |  |  |  |  |
| Food troughs and water devices for agricultural animals allow for all animals (*Guide, p60*) |  |  |  |  |  |
| **Environmental Enrichment, Behavioral and Social Management:** |  |  |  |  |  |
| Structures and resources promote species typical behavior (*Guide, pp52-54*) |  |  |  |  |  |
| Novelty of enrichment is considered (*Guide, p53*) |  |  |  |  |  |
| Species specific plans for housing including enrichment, behavior and activity are developed and reviewed regularly by IACUC, researchers and veterinarian (*Guide, pp53,58, 60,63*) |  |  |  |  |  |
| Animal care personnel receive training to identify abnormal animal behaviors (*Guide, p53*) |  |  |  |  |  |
| Stability of pairs or groups is monitored for incompatibility  (*Guide, p64*) |  |  |  |  |  |
| Single housing is justified for social species (*Guide, p64*) |  |  |  |  |  |
| Single housing is limited to the minimum period necessary  (*Guide, p64*) |  |  |  |  |  |
| Additional enrichment for single housed animals is provided  (*Guide, p64*) |  |  |  |  |  |
| Single housing is reviewed regularly by IACUC and veterinarian (*Guide, p64*) |  |  |  |  |  |
| Habituation to routine procedures is part of enrichment program (*Guide, p64*) |  |  |  |  |  |
| **Sheltered or Outdoor Housing (***e.g., barns, corrals, pastures, islands)*: |  |  |  |  |  |
| Weather protection and opportunity for retreat (*Guide, p54*) must] |  |  |  |  |  |
| Appropriate size(*Guide, p54*) |  |  |  |  |  |
| Ventilation and sanitation of shelter (no waste/moisture build-up) (*Guide, p 54*) |  |  |  |  |  |
| Animal acclimation (*Guide, p 55*) |  |  |  |  |  |
| Social compatibility (*Guide, p 55*) |  |  |  |  |  |
| Roundup/restraint procedures (*Guide, p 55*) |  |  |  |  |  |
| Appropriate security (*Guide, p 55*) |  |  |  |  |  |
| **Naturalistic Environments:** |  |  |  |  |  |
| Animals added/removed with consideration of effects on group ***(****Guide, p55****)*** |  |  |  |  |  |
| Adequate food, fresh water, and shelter ensured (*Guide, p55*) |  |  |  |  |  |
| **Food:** |  |  |  |  |  |
| Feeding schedule and procedures including caloric intake management (*Guide, pp65-67*) |  |  |  |  |  |
| Contamination prevention (*Guide, p65*) |  |  |  |  |  |
| Vendor quality control (*Guide, p66*) |  |  |  |  |  |
| Storage in sealed containers (*Guide, p66*) |  |  |  |  |  |
| Expiration date labeling (*Guide, p66*) |  |  |  |  |  |
| Vermin control (*Guide, p66*) |  |  |  |  |  |
| Rotation of stocks (*Guide, p66*) |  |  |  |  |  |
| **Water:** |  |  |  |  |  |
| Ad libitum unless justified (*Guide, pp67-68*) |  |  |  |  |  |
| QC procedures (*Guide, pp67-68*) |  |  |  |  |  |
| **Bedding and Nesting Materials:** |  |  |  |  |  |
| Species appropriate (*Guide, pp68-69*) |  |  |  |  |  |
| Keeps animals dry (*Guide, pp68-69*) |  |  |  |  |  |
| QC procedures (*Guide, pp68-69*) |  |  |  |  |  |
| Minimize scientific variables (*Guide, pp68-69*) |  |  |  |  |  |
| **Sanitation:** |  |  |  |  |  |
| Frequency of bedding/substrate change (*Guide, p70*) |  |  |  |  |  |
| Cleaning and disinfection of microenvironment (*Guide, pp70-71*) |  |  |  |  |  |
| Cleaning and disinfection of macroenvironment (*Guide, p72*) |  |  |  |  |  |
| Assessing effectiveness (*Guide, p73*) |  |  |  |  |  |
| **Waste Disposal:** |  |  |  |  |  |
| Procedures for collection (*Guide, pp73-74*) |  |  |  |  |  |
| Procedures for storage and disposal (*Guide, pp73-74*) |  |  |  |  |  |
| Hazardous wastes are rendered safe before removal from facility (*Guide, pp73-74*) [must] |  |  |  |  |  |
| Animal carcasses (*Guide, pp73-74*) |  |  |  |  |  |
| **Pest Control:** |  |  |  |  |  |
| Regularly schedules (*Guide, p74*) |  |  |  |  |  |
| Documented program including control of rodent pests and insecticide use (*Guide, p74*) |  |  |  |  |  |
| **Emergency, Weekend, and Holiday Animal Care:** |  |  |  |  |  |
| Care provided by qualified personnel every day (*Guide, p74*) |  |  |  |  |  |
| Provision for accessible contact information (*Guide, p74*) |  |  |  |  |  |
| Monitoring of backup systems (*Guide, p143*) |  |  |  |  |  |
| Veterinary care available after hours, weekends, and holidays (*Guide, pp74, 114*) [must] |  |  |  |  |  |
| A disaster plan that takes into account both personnel and animals (*Guide, p75*) |  |  |  |  |  |
| **Identification:** |  |  |  |  |  |
| Cage/rack cards contain required information (*Guide, p75*) |  |  |  |  |  |
| Genotype information included and standardized nomenclature used when applicable (*Guide, p75*) |  |  |  |  |  |
| **Recordkeeping:** |  |  |  |  |  |
| Clinical records accessible and contain appropriate information (*Guide, pp75-76*) |  |  |  |  |  |
| Records are accessible and contain appropriate information (*Guide, p75*) |  |  |  |  |  |
| **Breeding and Genetics:** |  |  |  |  |  |
| Appropriate genetic records, management and monitoring procedures (*Guide, p76*) |  |  |  |  |  |
| Phenotypes that affect wellbeing are reported to IACUC and effectively managed (*Guide, p77*) |  |  |  |  |  |
| **Storage:** |  |  |  |  |  |
| Adequate space for equipment, supplies, food, bedding and refuse (*Guide, p141*) |  |  |  |  |  |
| Bedding in vermin-free, temperature and humidity controlled area protected from contamination (*Guide, p141*) |  |  |  |  |  |
| Refuse storage is separate (*Guide, p141*) |  |  |  |  |  |
| Carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (*Guide, p141*) |  |  |  |  |  |
| **Personnel:** |  |  |  |  |  |
| Adequate space for locker rooms, administration and training (*Guide, p135*) |  |  |  |  |  |

**NOTES:**

**CAGEWASH**

**DATE:**

**LOCATION:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **CRITERIA** | **A** | **S** | **M** | **C** | **N/A** |
| **Construction and Operation:** |  |  |  |  |  |
| Dedicated central area for sanitizing cages and equipment is provided (*Guide, p143*) |  |  |  |  |  |
| Cage-washing equipment meets need (*Guide, p143*) |  |  |  |  |  |
| Doors, windows, drainage, walls, ceilings (*Guide, pp136-138*) |  |  |  |  |  |
| Convenient to animal areas/waste disposal (*Guide, p143*) |  |  |  |  |  |
| Ease of access (including door size) facilities use (*Guide, p143*) |  |  |  |  |  |
| Sufficient space for staging and maneuvering (*Guide, p143*) |  |  |  |  |  |
| Safety precautions/clothing/equipment used for waste disposal/prewash/acid wash (*Guide, p143*) |  |  |  |  |  |
| Traffic flow clean to dirty with no contamination of clean equipment by dirty equipment and appropriate air pressurization (*Guide, p143*) |  |  |  |  |  |
| Insulation and/or sound attenuation present as needed (*Guide, p143*) |  |  |  |  |  |
| Utilities are appropriate (*Guide, p143*) |  |  |  |  |  |
| Ventilation meets heat and humidity load (*Guide, p143*) |  |  |  |  |  |
| Safety features (e.g., SOPs, warning signs, eyewash stations)  are in use (*Guide, p143*) |  |  |  |  |  |
| Functioning safety devices to prevent entrapment in  washer/sterilizers (G*uide, p143*) |  |  |  |  |  |
| Cage wash temperatures are monitored and records are available (*Guide, p73*) |  |  |  |  |  |
| Appropriate clean cage storage (*Guide, p141*) |  |  |  |  |  |

**NOTES:**

**SPECIAL FACILITIES—ASEPTIC SURGERY**

**DATE:**

**LOCATION:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **CRITERIA** | **A** | **S** | **M** | **C** | **N/A** |
| **General Considerations:** |  |  |  |  |  |
| Location minimizes traffic/contamination (*Guide, p144*) |  |  |  |  |  |
| Functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (*Guide, p144*) |  |  |  |  |  |
| Appropriate drug storage, control, expiration date monitoring (*Guide, pp 115, 122*) |  |  |  |  |  |
| Safe sharps disposal system (*Guide, p74*) |  |  |  |  |  |
| Adequate records of anesthesia and perioperative care  (*Guide, p122*) |  |  |  |  |  |
| Aseptic procedures in use for all survival surgery  (*Guide, pp118-119*) |  |  |  |  |  |
| **Operating Room:** |  |  |  |  |  |
| Effective contamination control procedures (*Guide, p144*) |  |  |  |  |  |
| Effective cleaning procedures/dedicated tools (*Guide, p145*) |  |  |  |  |  |
| Surfaces smooth and impervious to moisture (*Guide, p145*) |  |  |  |  |  |
| HVAC system meets *Guide* requirements (*Guide, p145*) |  |  |  |  |  |
| Lighting safe and appropriate (*Guide, p145*) |  |  |  |  |  |
| Outlets safe and appropriate (G*uide, p145*) |  |  |  |  |  |
| Scavenging of anesthetic gases implemented (*Guide, p145*) |  |  |  |  |  |
| **Surgical Support:** |  |  |  |  |  |
| Facility for washing, sterilizing, storing instruments and supplies (*Guide, p145*) |  |  |  |  |  |
| Autoclave monitoring procedures are implemented  *(Guide, p119,145*) |  |  |  |  |  |
| Storage of materials maintains sterility (*Guide, p145*) |  |  |  |  |  |
| Cold sterilization procedures are appropriate (*Guide, p119*) |  |  |  |  |  |
| **Animal Preparation:** |  |  |  |  |  |
| Contains large sink to facilitate cleaning of animal and operative site (*Guide, p145*) |  |  |  |  |  |
| **Surgeon Scrub:** |  |  |  |  |  |
| Outside operating room, non-hand-operated sink (*Guide, p145*) |  |  |  |  |  |
| **Postoperative Recovery:** |  |  |  |  |  |
| Adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (*Guide, p145*) |  |  |  |  |  |
| **Dressing Area:** |  |  |  |  |  |
| Place for personnel to change (*Guide, p145*) |  |  |  |  |  |

**NOTES:**

**SPECIAL FACILITIES—PROCEDURE AREAS, NON-SURVIVAL SURGERIES, LABORATORIES, RODENT SURGERIES, IMAGING, WHOLE BODY IRRADIATION, HAZARDOUS AGENT CONTAMINATION, BEHAVIORAL STUDIES**

**DATE:**

**LOCATION:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **CRITERIA** | **A** | **S** | **M** | **C** | **N/A** |
| **General Considerations:** |  |  |  |  |  |
| Labs used to house animals only when scientifically required and limited to minimum period necessary (*Guide, p134*) |  |  |  |  |  |
| Drug storage, control, and expiration dates (*Guide, p115,122*) |  |  |  |  |  |
| Sharps disposal (*Guide, p74*) |  |  |  |  |  |
| Anesthetic monitoring (*Guide, p120*) |  |  |  |  |  |
| Scavenging of anesthetic gases (*Guide, p21*) |  |  |  |  |  |
| Safety features (e.g., SOPs, warning signs, eyewash stations, secure gas cylinders) are in place (*Guide, p19)* |  |  |  |  |  |
| Carcass disposal (*Guide, pp73-74*) |  |  |  |  |  |
| **Additional Concerns for Survival Surgery:** |  |  |  |  |  |
| Rodent survival surgery clean and uncluttered, not used for anything else during surgery (*Guide, p144*) |  |  |  |  |  |
| Records of perioperative care (*Guide, p120*) |  |  |  |  |  |
| Aseptic procedures (*Guide, pp118-119*) |  |  |  |  |  |
| Autoclave monitoring procedures (*Guide, pp119, 145*) |  |  |  |  |  |
| Storage of autoclave materials (G*uide, p145*) |  |  |  |  |  |
| Cold sterilization procedures are appropriate (*Guide, p119*) |  |  |  |  |  |
| **Imaging/Whole Body Irradiation:** |  |  |  |  |  |
| Location of resource limits contamination risk (*Guide, p147*) |  |  |  |  |  |
| Appropriate transportation methods are in place (*Guide, p147*) |  |  |  |  |  |
| Gas anesthesia provision, scavenging and monitoring are appropriate (*Guide, p147*) |  |  |  |  |  |
| Appropriate sensors and ventilation are provided for cryogen gases (*Guide, p147*) [must] |  |  |  |  |  |
| Imaging consul is located away from radiation source (*Guide, p147*) |  |  |  |  |  |
| **Hazardous Agent Containment:** |  |  |  |  |  |
| Facility adheres to APHIS, USDA and CDC Select Agent  Regulations and other federal, state, and local regulations including security measures (*Guide, p148*) [must] |  |  |  |  |  |
| **Behavioral Studies:** |  |  |  |  |  |
| Facility minimizes airborne transmission of noise and ground-borne transmission of vibration (*Guide, p149*) |  |  |  |  |  |
| Floor coverings reduce sound transmission *(Guide, p149)* |  |  |  |  |  |
| Testing equipment allows for surface disinfection *(Guide, p150)* |  |  |  |  |  |
| Components that cannot be cleaned are not in ready contact  with animals and kept covered when not in use *(Guide, p150)* |  |  |  |  |  |
| Housing areas are contiguous with testing areas when appropriate *(Guide, p 150)* |  |  |  |  |  |

**NOTES:**