

Title: Semiannual Program Review and Facility Inspections	Policy No. IACUC - 017
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1. Semiannual Reviews

The IACUC reviews the program for humane care and use of animals at least once every six months, using the *Guide for the Care and Use of Laboratory Animals* (8th Edition; *Guide*) and/or the *Guide for the Care and Use of Agricultural Animals in Research and Teaching* (4th Edition; *Ag Guide*) as the basis for evaluation, in accordance with the Public Health Service (PHS) Policy and Animal Welfare Act (AWA) and Regulations (AWRs). Federal regulations also require that the IACUC must inspect all institutional animal facilities at least once every six months.

2. Semiannual Program Review

The animal care and use program review includes an evaluation of institutional responsibilities (lines of authority and reporting channels), IACUC membership and functions, IACUC record keeping and reporting procedures. It also includes a review of the adequacy and appropriateness of the veterinary medical care program, the training program for personnel, and the occupational health and safety program.

The IACUC will review at least once every six months the University's program for humane care and use of animals, using the *Guide* and/or the *Ag Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual program reviews are as follows:

- During regular convened committee meetings, the IACUC reviews the University's animal care and use program using the Office of Laboratory Animal Welfare (OLAW) Semiannual Program Review Checklist. The checklist is designed to evaluate occupational health and safety; training for IACUC members, research staff, and husbandry staff; the institutional disaster plan; compliance with approved protocols; procedures for reporting allegations of inappropriate animal care or use; and adequacy of veterinary care and management. Each area is evaluated, and any deficiencies are categorized as minor or significant. No member is involuntarily excluded from participating in any portion of the program review.

3. Semiannual Facility Inspections

The facility inspections are physical inspections of all buildings, rooms, area, enclosures, and university vehicles (including satellite/remote facilities) that are used for animal housing, transport, or experimental and instructional activities. Through the IACUC, the University is responsible for all animal-related activities regardless of where animals are maintained for the duration of the housing. The IACUC must have reasonable access to these areas for the purpose of verifying that activities involving animals are being conducted in accordance with the proposal approved by the IACUC.

The IACUC inspects, at least once every six months, all the University's *active* animal facilities, including satellite and remote facilities, using the *Guide* and/or the *Ag Guide* as a basis for evaluation. Only active sites will be inspected as some facilities are used infrequently and thus do not require inspections during the regular six-month inspection schedule (i.e., OKC clinic). The IACUC procedures for conducting semiannual facility inspections are as follows:

- Every six months, in the spring and fall, the IACUC Manager organizes the inspection schedule of all active animal facilities. These inspections are conducted using the *Guide* and/or the *Ag Guide*, the PHS Policy on Humane Care and Use of Laboratory Animals, and, as applicable, 9 CFR Chapter I, subchapter A, as a basis for evaluation. Deficiencies are categorized as minor or significant. All IACUC members are invited, and encouraged, to attend the facility inspections. A minimum of two members are required for inspection of areas where USDA-covered species are used. No member is involuntarily excluded from participating in any portion of the facility inspections.
- A responsible party (e.g., Principal Investigator, facility manager) is notified in writing of any minor or significant deficiency identified in their laboratory, facility, or designated space. Responsible parties are required to promptly provide a response to the deficiency notification with a description of how the deficiency has been corrected or to submit a written plan with a timeline outlining how the deficiency will be corrected.
- If corrections are not completed or not communicated to the IACUC office by the assigned deadline, the situation may be escalated, including and up to the protocol associated with the deficiencies identified being put on hold.
- Findings from the Facility Inspections, including a Deficiency Correction Schedule, are compiled by the IACUC Manager, and prepared for IACUC review and discussion at the regular convened IACUC meeting following the inspections. The IACUC Manager requests additional comments and minority views from all members present.

3.3 Staffing and Scheduling Facility Inspections

The inspections may be accomplished by assigning specific facilities to subcommittees, which must consist of at least two IACUC committee members for areas where USDA-covered species are used or as few as one qualified individual or ad hoc consultant for those areas where non-covered species are used. Some unique sites or situations may employ the use of alternative methods such as videos, photographs or remote methods to facilitate inspections of non-AWA regulated species housing; however, only live feed will be utilized for inspections utilizing video of AWA-regulated species. No IACUC member should be excluded if they wish to participate in an inspection. The inspection team, qualified individual, and/or ad hoc consultant should have a working knowledge of the *Guide* and/or the *Ag Guide*, PHS Policy, and AWA/AWRs in order to fully evaluate the facilities that are being inspected.

Advance notification may be sent to the supervisory personnel of animal facilities to allow individuals to be available to answer questions; an unexpected visit may show the facility during usual operations but also may result in a visit having to be rescheduled if key individuals are not available. Although advance notification is not required, the IACUC usually provides reasonable notice to investigators of the dates, times, and locations of inspections.

3.1 Performing Inspections

Adherence to the following recommendations will assist the IACUC in performing inspections:

- A Principal Investigator (PI) or representative must be present at inspections.
- An updated list of all facilities to be inspected is maintained by IACUC staff.
- All proposals submitted to the IACUC should specify locations where animal procedures will be performed.
- Apparent findings should be discussed in detail enough to ensure that the team's perception of the situation is accurate.
- The IACUC inspection findings should be objective and described sufficiently so that other IACUC members can understand the observation.

3.2 Categories to be Inspected

- Sanitation
- Food and water provisions
- Animal identification
- Waste disposal
- Animal health records
- Controlled and/or expired drugs

- Environmental control
- Occupational health and safety concerns
- Staff training
- Knowledge of applicable rules and regulations, and
- Security
- Transportation

4. Deficiency Correction Schedule

All deficiencies identified during the Facility Inspection and/or Program Review are designated by the IACUC as minor or significant. A significant deficiency is defined as a situation that is or may be a threat to animal health or safety. In addition, the inspection team may note items which are not findings (i.e., not regulatory requirements) but which are not consistent with internal standard operating procedures. Noted items are brought to the attention of the responsible party, and no response is required.

For both categories of deficiencies, a schedule with dates for correction is included in the final report. The date for correction should be as soon as possible considering a variety of topics such as potential impact on animal welfare given the current finding, impact on research, degree of construction/renovation, etc. The IACUC will review the proposed plan and may require revisions prior to acceptance.

5. Documentation

A written report of the semiannual program review and facility inspection is prepared by the IACUC Manager. The report is discussed at a convened IACUC meeting and signed by a majority of the IACUC. The report will indicate whether any minority views were filed, and minority views will be included in the final report. A copy of the report is sent to the IO, reviewed with the IO in person by the IACUC Chair, IACUC Manager, and Attending Veterinarian, and is then kept on file for a minimum of three years in the IACUC office.