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| 1. **Semiannual Program Review Checklist [[1]](#endnote-2)**

**Institutional Policies and Responsibilities** |
| **Date: Attendance:**  |
| 1. **Animal Care and Use Program**
 | **M** | **S** | **NA** |
| * Scientists, veterinarians, and others must assume responsibility for animal welfare and uphold the rigor and integrity of agricultural animal research and instruction (*Ag Guide,* p 1) [must]
 |  |  |  |
| * Clear lines of program authority and responsibility as established (*Ag Guide,* p 1)
 |  |  |  |
| * Procedures for self-monitoring of the IACUC through regular (e.g., semi- annual) review of programs and facility oversight by the institutional officer. (*Ag Guide,* p 1)
 |  |  |  |
| * Appropriately maintained facilities for proper housing and support of animals (*Ag Guide*, p 1)
 |  |  |  |
| * An adequate program of veterinary care (*Ag Guide,* p 1)
 |  |  |  |
| * Training and occupational health programs for individuals who work with animals. (*Ag Guide,* p1)
 |  |  |  |
| 1. **Emergency Plans**
 | **M** | **S** | **NA** |
| * A site-specific emergency plan must be developed. (*Ag Guide,* [p](http://www.nap.edu/openbook.php?record_id=12910&page=35) 22) [must]
 |  |  |  |
| * Plans should provide proper care of animals regardless of the conditions. (*Ag Guide*, p 22)
 |  |  |  |
| * Emergency plans should define proper animal management and care and parameters to ensure employee safety. (*Ag Guide, p 22)*
 |  |  |  |
| * Emergency plans must name employees or positions that are considered essential for providing proper animal management and care. (*Ag Guide,* p 22) [must]
 |  |  |  |
| * Plans focus on emergencies that that are most likely to occur (e.g., heavy snow, blizzard, ice, high wind, fire, flood, earthquake, hurricane, breach of physical security that disrupts care, or breach of biosecurity that threatens the animals). (*Ag Guide,* p 23)
 |  |  |  |
| * Emergency plans should include animal evacuation plans specific to the research or teaching facility and actions that should be taken if transportation is interrupted. (*Ag Guide*, p 23)
 |  |  |  |
| 1. **IACUC Protocol Review**
 | **M** | **S** | **NA** |
| * Objectives and significance of the research or teaching activity. (*Ag Guide,* p 2)
 |  |  |  |
| * Unnecessary duplication of previous studies. (*Ag* *Guide,* p 2)
 |  |  |  |
| * Availability or appropriateness of alternative procedures or models. (*Ag* *Guide,* p 2)
 |  |  |  |
| * Justification for the species and strain of animals uses. (*Ag* *Guide,* p 2)
 |  |  |  |
| * Justification for the numbers of animals used. (*Ag* *Guide,* p 2)
 |  |  |  |
| * Descriptions of procedures that may cause discomfort, distress or pain and methods of alleviating discomfort, distress or pain. (*Ag* *Guide,* p 2)
 |  |  |  |
| * Justification for any procedures that involve unalleviated pain, discomfort or distress

 (*Ag Guide, p*p 2-3) |  |  |  |
| * Appropriate of procedures and post-procedural care (*Ag Guide,* p 3)
 |  |  |  |
| * Criteria and process for timely intervention, removal of animals from a study, or euthanasia if painful and stressful outcomes are anticipated (endpoint criteria). (*Ag Guide*, p 3)
 |  |  |  |
| * Unusual husbandry requirements (Note: describing a procedure as a “standard farm operating practice” may be acceptable if the institution’s written operating procedure is being used or if the practice is needed to serve as an appropriate control). (*Ag Guide,* p 3)
 |  |  |  |
| * Aspects of animal husbandry not covered under written operating procedures (see section on Written Operating Procedures). (*Ag Guide,* p 3)
 |  |  |  |
| * Method of euthanasia and disposition of the animal. (*Ag Guide,* p 3)
 |  |  |  |
| * Responsibilities, training, and qualifications of the researchers, teachers, students, and animal care personnel involved in the proposed activities. (*Ag Guide,* p 3)
 |  |  |  |
| * Should perform an annual review and renewal of approved animal use protocols (AUPs) with resubmission and reapproval at least once every three years. *(Ag Guide,* p 2)
 |  |  |  |
| * The general standards and care associated with genetically modified and/or gene edited (GE or GEd) animals should be the same as those applied to all agricultural animals in research unless the genetic modification requires alternation and management and environment to maintain animal welfare. (*Ag Guide,* p 5)
 |  |  |  |
| * Species-specific methods of restraint should always be used. (*Ag Guide,* p 15)
 |  |  |  |
| * The period of restraint should be the minimum required to achieve the research or teaching objective. (*Ag Guide,* p 15).
 |  |  |  |
| * Animals should be conditioned to restraint by a gradual process such as increasing the time of restraint on each occasion. (*Ag Guide,* p 15)
 |  |  |  |
| * Extended physical restraint, including a description of the conditioning regime and monitoring of the restraint, should be reviewed and approved by the IACUC. (*Ag Guide,* p 15).
 |  |  |  |
| * Multiple surgical procedures for non-therapeutic reasons should be performed on a single animal only when justified, as reviewed and approved by the IACUC. (*Ag* *Guide,* p 11)
 |  |  |  |
| * Pharmaceuticals intended for use in food-producing animals must be managed responsibly [must] (*Ag Guide,* p 14)
 |  |  |  |
| * Description of procedures that may cause discomfort, distress, or pain and methods of alleviating discomfort, distress or pain. *(Ag Guide,* p 2)
 |  |  |  |
| 1. **IACUC Membership and Functions**
 | **M** | **S** | **NA** |
| * Should meet at regular intervals to ensure the use of agricultural animals in research and teaching is humane and appropriate in accordance with the *Ag Guide.* (*Ag* *Guide,* p 2)
 |  |  |  |
| * Should be comprised of at least 5 members, appointed by the chief executive officer, institutional official (IO), or responsible administrative official of the institution. *(Ag Guide, pp 1- 2)*
 |  |  |  |
| * Membership should include:
	+ a scientist with experience in agricultural research or teaching,
	+ a veterinarian with training and experience in agricultural animal medicine,
	+ a person whose primary concerns are in an area outside of science (e.g., a non-science faculty member),
	+ a person who is not affiliated with the institution and who is not a family member of an individual affiliated with the institution,
	+ and other members as required by institutional needs and applicable laws, regulations, policies, and granting or research funding agencies or groups. (*Ag Guide,* p 1-2)
 |  |  |  |
| * Conducts at minimum, semiannual inspection of active agricultural animal facilities and study areas, review the overall agricultural care and use program, and provide a written report to the responsible institution official regarding the institution's compliance with this guide. (*Ag Guide,* p 2)
 |  |  |  |
| * Reports to the Institutional Official or responsible administrative official. (*Ag Guide,* p 1)
 |  |  |  |
| * Authorized to review and investigate reports of noncompliance or animal care concerns involving agricultural animals at the facility. (*Ag Guide,* p 2)
 |  |  |  |
| * Reviews and approves protocols and other proposed activities or proposed significant changes to approved activities related to agricultural animal care and use in research and teaching (*Ag Guide,* p 2).
 |  |  |  |
| * Authorized to suspend activities involving agricultural animals when not in compliance with approved protocols or written operating procedures. (*Ag Guide,* p 2).
 |  |  |  |
| * Make recommendations regarding the development and implementation of institutional policies and procedures to facilitate support and monitor the humane and appropriate use of animals, as well as any other aspect of the agricultural animal care program. (*Ag Guide,* p 2)
 |  |  |  |

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| 1. **Written SOPs and Operating Procedures**
 | **M** | **S** | **NA** |
| * The IACUC must review and approve all operating procedures that have the potential to cause pain and distress in animal care and husbandry. (*Ag Guide,* p 3) [must]
 |  |  |  |
| * Written procedures must be filed in the appropriate administrative office and in locations accessible to individuals involved in carrying out these procedures. (*Ag Guide,* p 3) [must]
 |  |  |  |
| 1. **IACUC Records and Reporting Requirements**
 |  |  |  |
| * Semiannual report to the IO Ag Guide (*Ag Guide,* p 2)
 |
| * Submitted to IO every 6 months
 |  |  |  |
| * Compiles program review and facility inspection(s) results (including expected dates of correction for detected issues
 |  |  |  |
| * Includes minority IACUC views
 |  |  |  |
| * Records
 |  |  |  |
| * IACUC meeting minutes and semiannual reports to the IO are maintained for 3 years
 |  |  |  |
| * Records of IACUC reviews of animal activities include all required information
 |  |  |  |
| * Records of IACUC reviews are maintained for 3 years after the completion of the study
 |  |  |  |
| 1. **Veterinary Care (See also next section - Veterinary Care)**
 | **M** | **S** | **NA** |
| * A qualified veterinarian must be responsible for the agricultural animal health care program. (*Ag Guide,* p 10) [must]
 |  |  |  |
| * An arrangement for veterinarian(s) with training or experience in agricultural animal medicine is in place including backup veterinary care (*Ag Guide,* p 10)
 |  |  |  |
| * Veterinary access to all animals is provided (*Ag Guide,* p 10)
 |  |  |  |
| * Authority is given to the veterinarian to access and oversee all aspects of agricultural animal care and use for research and teaching and any health any related documents including health care records. (*Ag Guide,* p 10)
 |  |  |  |
| * If part time /consulting veterinarian, visits meet programmatic needs (*Ag Guide*, p 10)
 |  |  |  |
| 1. **Personnel Qualifications and Training**
 | **M** | **S** | **NA** |
| * All personnel are adequately educated, trained, and/or qualified in basic principles of agricultural animal science. (*Ag Guide,* p 4)
 |
| * Veterinary/other professional staff
 |  |  |  |
| * Animal care personnel (*Ag Guide,* p 4)
 |  |  |  |
| * Research investigators, instructors, technicians, trainees, and students (*Ag Guide,* p 4)
 |  |  |  |
| * Training includes: (Ag *Guide,* p 4)
 |  |  |  |
| * Humane practices of animal care (e.g., housing, husbandry, handling) (*Ag Guide,* p 4)
 |  |  |  |
| * Humane practices of animal use:
* methods to minimize the number of animals used,
* methods that minimize animal pain or distress,
* proper use of anesthesia, anesthetics, tranquilizers, and non pharmalogical methods, pre- and post-operative care, aseptic surgical techniques and euthanasia (*Ag Guide*, p 4)
 |  |  |  |
| * Methods for reporting deficiencies in animal care program. (*Ag Guide,* p 4)
 |  |  |  |
| * Use of information services such as Animal Welfare Information Center at the National Agricultural Library. (*Ag Guide,* p 4)
 |  |  |  |
| * Records of participation in training should be maintained and available for review as needed. (*Ag Guide,* p 4)
 |  |  |  |
| **M** = minor deficiency |
| **S** = significant deficiency (is or may be a threat to animal health or safety) |
| **NA** = not applicable |

1. The PHS Policy requires that Assured institutions comply with the regulations (9 CFR, Subchapter A) issued by the U.S. Department of Agriculture (USDA) under the Animal Welfare Act, as applicable. The endnotes below are specific USDA regulatory requirements that differ from or are in addition to the PHS Policy. This list is not intended to be all inclusive. For additional information please refer to 9 CFR Subchapter A - Animal Welfare. [↑](#endnote-ref-2)