

Wisconsin Institutional Animal Care and Use Program Review Worksheet

(based on Defining the Animal Care and Use Program, Lab Animal 34(10) 41-44, *Guide for the Care and Use of Laboratory Animals* and *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching*)

(I). Physical Plant: “A well-planned, well-designed, well-constructed, and properly maintained facility is an important element of good animal care and use, and it facilitates efficient, economical, and safe operation.” (*Guide*, p.71). This includes animal facilities not located on the institution’s home site (e.g., agricultural research stations).

<p>A. Methods exist to assure Veterinary, IACUC, PI, and Program staff input into animal facility planning, design, and construction to ensure that new or remodeled facilities meet Program needs.</p>
<p><i>Committee response:</i></p>
<p>B. The animal facilities adhere to performance standards in the areas of facility planning, design, and construction. All animal facilities meet relevant physical plant performance standards.</p>
<p><i>Committee response:</i></p>
<p>C. Appropriate areas are available for:</p> <ul style="list-style-type: none"> • animal housing • animal care • sanitation of cages and other materials • separation of species or isolation of individual projects when necessary • materials receiving and storage • other specialized spaces, facilities, and/or equipment required for the conduct of certain studies • performance of aseptic surgery
<p><i>Committee response:</i></p>
<p>D. Appropriate areas and procedures exist for receipt and quarantine of arriving animals, and separation and quarantine of animals if there are disease outbreaks.</p>
<p><i>Committee response:</i></p>
<p>E. Methods exist to monitor and maintain the physical condition of animal facilities to ensure that it remains adequate and appropriate.</p>
<p><i>Committee response:</i></p>
<p>F. Procedures exist to identify, communicate, and correct animal facility physical deficiencies.</p>
<p><i>Committee response:</i></p>
<p>G. <i>Other criteria that should be used to evaluate physical plant & the animal program?</i></p>

(II). Animal Environment, Housing, and Management: “Proper housing and management of animal facilities are essential to animal well-being, to the quality of research data and teaching or testing programs in which animals are used, and to the health and safety of personnel.” (*Guide*, p.21). Adequate management requires appropriate and sufficient physical, procedural, and human resources. This includes animal facilities not located on the institution’s home site (e.g., agricultural research stations).

<p>A. When providing animal housing the institution considers the appropriateness of:</p> <ul style="list-style-type: none"> • the shape, size, and construction of the animals’ primary enclosures (cage, pen, etc.) • temperature, humidity, ventilation, and illumination • behavioral management, including any needs for social housing and/or activity

<i>Committee response:</i>
<p>B. In assuring appropriate management of animals and animal facilities the institution considers:</p> <ul style="list-style-type: none"> • animal husbandry, including selection, storage, preparation, and provision of food, bedding, and water • sanitation of enclosures and physical plant • integrated pest control programs • weekend and holiday animal care • population management, including animal identification (cage cards, ear tags, tattoos, etc.) and records • facility security and biosecurity • preparation of a disaster plan that takes into account both personnel and animals as well as biosecurity
<i>Committee response:</i>
<p>C. Methods exist to monitor and maintain the physical, procedural, and human contributions to adequate animal environment, housing, and management to ensure that they meet performance standards for all animals. That is, facilities are checked to ensure animals are fed, watered, cared for, and protected in species-appropriate ways.</p>
<i>Committee response:</i>
<p>D. Facilities in which animals are housed and used are secure and provide animal and human safety. That is, access to animals in facilities is controlled, monitored, and/or documented.</p>
<i>Committee response:</i>
<p>E. Procedures exist to identify, communicate, and correct deficiencies in animal environment, housing, and management.</p>
<i>Committee response:</i>
<p>F. Other criteria that should be used to evaluate animal environment, housing, management & the animal program?</p>

(III). Personnel Qualifications and Training: “AWRs and PHS Policy require institutions to ensure that people caring for or using animals are qualified to do so.” (*Guide*, p.13). Personnel represent both a tremendous resource and a source of complexity in maintaining an effective Program. In view of the importance of training and the diversity of training needs, the training program must be comprehensive and flexible.

<p>A. All categories of personnel that constitute the animal research and care community receive adequate and appropriate training, including:</p> <ul style="list-style-type: none"> • physical plant and security staff • animal care staff • management and supervisory personnel • veterinarians and veterinary staff • research personnel, including investigators, instructors, technicians, trainees, and students • IACUC members • Institutional Officials
<i>Committee Response:</i>
<p>B. As appropriate, each member of the animal research and care community (as listed above) understands:</p> <ul style="list-style-type: none"> • the components of the animal care and use Program • his or her role within that Program • how that role interacts with the roles of other members of the community
<i>Committee Response:</i>

C. The institution provides <u>initial</u> formal and/or on-the-job training in Program goals and the humane care and use of animals.
<i>Committee Response:</i>
D. Personnel using or caring for animals participate regularly in <u>continuing</u> education activities relevant to their responsibilities.
<i>Committee Response:</i>
E. There are methods to evaluate the effectiveness of the initial and continuing training of individuals working with animals.
<i>Committee Response:</i>
F. Procedures exist to identify, communicate, and correct deficiencies in training.
<i>Committee Response:</i>
G. <i>Other criteria that should be used to evaluate training & the animal program?</i>

(IV). Occupational Health and Safety: "An occupational health and safety program must be part of the overall animal care and use program.... An effective program relies on strong administrative support and interactions among several institutional functions or activities, including the research program (as represented by the investigator), the animal care and use program (as represented by the veterinarian and the IACUC), the environmental health and safety program, occupational-health services, and administration (e.g., human resources, finance, and facility-maintenance personnel)." (Guide, p14).

A. The institution's Occupational Health and Safety Program meets the following performance criteria.
A1. Hazard identification and risk assessment associated with: <ul style="list-style-type: none"> • animal care • animal experimentation • teaching using animals • outreach using animals
<i>Committee Response:</i>
A2. Personnel training
<i>Committee Response:</i>
A3. Personal hygiene
<i>Committee Response:</i>
A4. Facilities, procedures, and monitoring
<i>Committee Response:</i>
A5. Personal protection
<i>Committee Response:</i>
A6. Medical evaluation and preventive medicine for personnel
<i>Committee Response:</i>

B. The institution monitors the effectiveness of the Occupational Health and Safety program.
<i>Committee Response:</i>
C. Procedures exist to identify, communicate, and correct deficiencies in the Occupational Health and Safety program.
<i>Committee Response:</i>
D. Other criteria that should be used to evaluate the Occupational Health and Safety Program for the animal program?

(V). Veterinary Medical Care: "Adequate veterinary care must be provided, including access to all animals for evaluation of their health and well-being." (*Guide*, p.12). Adequate veterinary care is a Program component that closely affects all other components.

A. The Program defines and meets appropriate performance standards for animal procurement and transportation.
<i>Committee Response:</i>
B. The Program defines and meets appropriate performance standards for preventive medicine, including animal quarantine, stabilization, and separation, as well as surveillance, diagnosis, treatment, and control of disease.
<i>Committee Response:</i>
C. The Program defines and meets appropriate performance standards for management of experiment-associated disease, disability, or other sequelae.
<i>Committee Response:</i>
D. The Program defines and meets appropriate performance standards for assessment of animal well-being.
<i>Committee Response:</i>
E. The Program defines and meets appropriate performance standards for establishment of adequate surgical and post-surgical care, including proper use of anesthesia and analgesia.
<i>Committee Response:</i>
F. The Program defines and meets appropriate performance standards for proper selection and conduct of euthanasia.
<i>Committee Response:</i>
G. The Program defines and meets appropriate performance standards for veterinary participation in protocol development and review.
<i>Committee Response:</i>
H. The institution employs a sufficient number of veterinarians trained to meet Program needs.
<i>Committee Response:</i>
I. There is effective evaluation and mentoring of research animal veterinarians to meet Program and individual's needs.
<i>Committee Response:</i>

J. A mechanism exists for direct and frequent communication to ensure that timely and accurate information is conveyed to the veterinarian on problems associated with animal health, behavior, and well-being.
<i>Committee Response:</i>
K. Mechanisms exist to ensure appropriate veterinary participation in decisions regarding animal husbandry, preventive medicine, and experiment planning and conduct, including surgical and post-surgical care.
<i>Committee Response:</i>
L. Veterinarians are provided with sufficient authority to carry out their duties.
<i>Committee Response:</i>
M. Records document provision of adequate veterinary care to all animals.
<i>Committee Response:</i>
N. The institution monitors the effectiveness of the Veterinary Care program.
<i>Committee Response:</i>
O. Procedures exist to identify, communicate, and correct deficiencies in the Veterinary Care program.
<i>Committee Response:</i>
P. Other criteria that should be used to evaluate the program of veterinary care within the animal program?

(VI). Institutional Animal Care and Use Committee (IACUC): “The responsible administrative official at each institution must appoint an IACUC...to oversee and evaluate the institution’s animal program, procedures, and facilities to ensure that they are consistent with the recommendations in this *Guide*, the AWRs, and the PHS Policy.” (*Guide*, p.9). More than any other group, the IACUC is directly responsible for ensuring the adequacy of all aspects of the Program and can protect the institution’s privilege to use animals in research, testing, or education.

A. The IACUC is duly constituted according to the AWA and PHS Policy.
<i>Committee Response:</i>
B. The IACUC reviews and evaluates the Animal Program semiannually.
<i>Committee Response:</i>
C. The IACUC inspects facilities semiannually.
<i>Committee Response:</i>
D. The IACUC evaluates “animal activity areas” (e.g. labs where animals go for procedures, surgery areas, transport vehicles, “temporary” housing, etc.).
<i>Committee Response:</i>
E. The IACUC submits reports to institutional officials.
<i>Committee Response:</i>
F. The IACUC reviews proposed uses of animals in research, teaching and outreach (i.e., protocols), including special review requirements regarding physical restraint, multiple major surgical procedures, and food or fluid restriction.

<i>Committee Response:</i>
G. A mechanism is established for receipt and review of concerns involving the care and use of animals at the institution, including the establishment of a "Whistleblower Policy."
<i>Committee Response:</i>
H. The IACUC advises and makes recommendations to the Institutional Official on any aspect of the Program.
<i>Committee Response:</i>
I. The IACUC has the authority to suspend any animal activity that does not comply with applicable regulations and policies.
<i>Committee Response:</i>
J. The institution backs the authority of the IACUC.
<i>Committee Response:</i>
K. The IACUC has adequate administrative support.
<i>Committee Response:</i>
L. The IACUC members understand the role and responsibilities of the IACUC.
<i>Committee Response:</i>
M. The IACUC members receive suitable orientation, background materials, and specific training in understanding and evaluating issues brought before the committee.
<i>Committee Response:</i>
N. An effective mechanism exists for direct and frequent communication to ensure that timely and accurate information is conveyed to the IACUC regarding problems in any Program component.
<i>Committee Response:</i>
O. Methods exist to monitor and maintain IACUC activities and effectiveness in support of the Program.
<i>Committee Response:</i>
P. Procedures exist to identify, communicate, and correct deficiencies.
<i>Committee Response:</i>
Q. <i>Other criteria that should be used to evaluate the IACUC's role in the animal program?</i>

(VII). Institutional Official (IO): Each institution must appoint an institutional official, who legally commits the institution to meet all requirements embodied in the AWA, AWRs, and PHS Policy by ensuring that the Program satisfies all performance criteria described in the Guide. The Institutional Official must have a working understanding of his/her role in the animal program.

A. The IO understands Program structure.
<i>Committee Response:</i>

B. The IO monitors Program functions, including IACUC activities and membership.
<i>Committee Response:</i>
C. The IO receives appropriate and timely communications from the IACUC and other members of the Program.
<i>Committee Response:</i>
D. The IO has authority to enforce Program policies.
<i>Committee Response:</i>
E. The IO has access to necessary financial resources.
<i>Committee Response:</i>
F. Annual and other reports are submitted to federal agencies in a timely manner by the IO.
<i>Committee Response:</i>
G. The institution ensures that the IO receives appropriate administrative, financial, and legal support to develop and maintain the Program of Animal Care.
<i>Committee Response:</i>
H. Methods exist to monitor and evaluate the effectiveness of the IO.
<i>Committee Response:</i>
<i>I. Other criteria that should be used to evaluate the IOs' role in the animal program?</i>

(VIII). Program Integration. For the Program to be effective, all Program components must function well together.

A. There is a cadre of individuals with expertise and understanding regarding Program components who can evaluate Program adequacy.
<i>Committee response:</i>
B. There is strong and well-informed administrative coordination of efforts to support the Program.
<i>Committee response:</i>
C. Institution-wide there is effective and timely communication among Program administration, veterinarians, principal investigators, IACUC, and the Institutional Official (IO) so that each of these groups can carry out its designated responsibilities.
<i>Committee response:</i>
D. There are sufficient financial, physical, procedural, and human resources to meet Program objectives.
<i>Committee response:</i>
E. There is institution-wide recognition of the need for and practice of compliance; that is, all Program personnel and participants accept that they must follow the rules.
<i>Committee response:</i>

F. Methods exist to monitor program integration to ensure that all Program elements function well together.
<i>Committee response:</i>
G. Procedures exist to identify, communicate, and correct deficiencies in program integration.
<i>Committee response:</i>
H. Other criteria that should be used to evaluate integration of the animal program?

(IX). Support of the Institutional Mission: The Program must effectively and efficiently support and enhance the institution's mission in the areas of research, teaching, and outreach that involve living vertebrate animals. Evaluation of the Program must consider whether and how well it fulfills its reason for existence.

A. The animal care program supports and enhances research activities that involve animals.
<i>Committee Response:</i>
B. The animal care program supports and enhances teaching activities that involve animals.
<i>Committee Response:</i>
C. The animal care program supports and enhances outreach activities that involve animals.
<i>Committee Response:</i>
D. Methods exist to monitor and maintain the effectiveness of the program.
<i>Committee Response:</i>
E. Other criteria that should be used to evaluate the efficiency and efficacy of animal program in fulfilling its mission?

Notes: