Office of Research Oversight Laboratory Animal Welfare Checklist

***Please note:*** *This checklist has been modified to address recommendations for changes in guidance as a result of the COVID-19 pandemic as well as updates in Federal and VHA Policy. Complete revision of this checklist is expected following release of VHA Directive 1200.07.*

The ORO Animal Welfare Checklist is provided to assist VA facilities in remaining compliant with applicable federal regulations and VHA policies, which may be assessed by ORO staff during on-site reviews.

Please direct questions about this checklist to ORO Research Safety and Animal Welfare (RSAW) through ORORSAW@va.gov

Reminder: In consultation with the IACUC, facilities are required to report animal welfare issues to ORO and other relevant oversight entities. Please refer to VHA Directive 1058.01 for guidance on submitting reports to ORO.

# Abbreviations Used in This Document

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| AAALAC | Association for Assessment and Accreditation of Laboratory Animal Care, International | *Guide* | *The Guide for the Care and Use of Laboratory Animals, 8th Edition* | PHS | Public Health Service |
| ACOS/R | Associate Chief of Staff for R&D | HEPA | High Efficiency Particulate Air | PPE | Personal Protective Equipment |
| AO | Administrative Officer for R&D | HVAC | Heating, Ventilation, and Air Conditioning | RCO | Research Compliance Officer |
| APHIS | Animal and Plant Health Inspection Service | IACUC | Institutional Animal Care and Use Committee | R&D | Research and Development |
| ASISTS | Automated Safety Incident Surveillance and | IO | Institutional Official | R&DC | R&D Committee |
|  | Tracking System |  |  |  |  |
| AVMA | American Veterinary Medical Association | MCD | Medical Center Director | SOP(s) | Standard Operating Procedures |
| AWAR | Animal Welfare Act Regulations and Standards | MOU | Memorandum of Understanding | SRS | Subcommittee on Research Safety |
| BMBL | *Biosafety in Microbiological and Biomedical Laboratories, 6th Edition* | NIH | National Institutes of Health | USDA | United States Department of Agriculture |
| CDC | Centers for Disease Control and Prevention | NHP(s) | Nonhuman Primates | VA | Veterans Affairs |
| CFR | Code of Federal Regulations | OSHA | Occupational Safety and Health Administration | VHA | Veterans Health Administration |
| COS | Chief of Staff | OHSP | Occupational Health and Safety Program | VMC | Veterinary Medical Consultant |
| CVMO | Chief Veterinary Medical Officer | ORO | Office of Research Oversight | VMO | Veterinary Medical Officer |
| GLP | Good Laboratory Practices | OLAW | Office of Laboratory Animal Welfare | VMU | Veterinary Medical Unit |

Facility Name:

Date Completed:

Completed By:

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|  | | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| **A. INSTITUTIONAL POLICIES & RESPONSIBILITIES** | | | | | | | | |
| **1. IACUC MEMBERSHIP & FUNCTIONS** | | | | | | | | |
| a. | Facilities conducting research with live vertebrate animals have established an IACUC at their institution or secured the services of an external committee to serve as their IACUC-of-record. | |  |  |  |  |  | 9 CFR §2.37; PHS IV.A.3.a;  *Guide* pg.14;  VHA 1200.07 §8 |
| b. | An MOU has been established for use of an external IACUC as the IACUC-of- record or for an external IACUC to provide oversight of off-site VA research. | |  |  |  |  |  | *Guide* pg. 15;  VHA 1200.07 §8.b(1) |
| c. | The IACUC has at least 5 voting members that include: | |  |  |  |  |  | PHS IV.A.3.b; VHA 1200.07 §8.a(1) |
|  | 1. | Chair |  |  |  |  |  | 9 CFR §2.31(b)(2) |
|  | 2. | VMO/VMC |  |  |  |  |  | 9 CFR §2.31(b)(3)(i); PHS IV.3.b(1);  *Guide* pg. 24;  VHA 1200.07 §8.a(1) |
|  | 3. | Scientist, experienced in animal research |  |  |  |  |  | PHS IV.A.3.b(1);  *Guide* pg. 24 |
|  | 4. | Non-affiliated or Community member (who is not involved in animal research and not affiliated with the VA except as a member of the IACUC) |  |  |  |  |  | 9 CFR §2.31(b)(3)(ii);  PHS IV.A.3.b(4); OLAW FAQ |
|  | 5. | Non-Scientist or Lay Member |  |  |  |  |  | PHS IV.A.3.b(3) |
| d. | An IACUC member should be appointed to the R&DC, and the VMO/VMC or another member of the IACUC should be appointed to the SRS. | |  |  |  |  |  | VHA 1200.07 §8.a(4) & (6) |
| e. | The RCO, ACOS/R and/or the AO cannot serve as voting members of the IACUC. | |  |  |  |  |  | VHA 1200.07 §8.a(5) |
| f. | For large institutions with many administrative units, no more than 3 members from the same unit or department can be appointed. | |  |  |  |  |  | 9 CFR §2.31(b)(4);  *Guide* pg. 25 |
| g. | For VA IACUCs, members are appointed in writing by the MCD.[[1]](#footnote-1) | |  |  |  |  |  | 9 CFR §2.31(b)(1); PHS IV.A.3.a;  VHA 1200.07 §8.a(7)(a) |
| h. | When an affiliate IACUC serves as the IACUC-of-record: | |  |  |  |  |  |  |
|  | 1. | The MCD serves as the IO for the VA component of the program. |  |  |  |  |  | VHA 1200.07 §8.b(4) |
|  | 2. | The VMO/VMC and at least 1 VA-salaried scientist with animal research  experience must be appointed as voting members of the affiliate IACUC. VA representative(s) must be appointed by the MCD. |  |  |  |  |  | VHA 1200.07 §8.b(1)(f) |
| i. | VA research must be reviewed and approved by the R&DC and cannot be initiated until written approval is provided by the ACOS/R. | |  |  |  |  |  | VHA 1200.07 §8.f(2);  VHA 1200.01(1) §4 |
| j. | Appropriate training and a continuing education program exists for IACUC members. Initial and refresher training/continuing education (at a minimum of 3 year intervals) is provided for IACUC members | |  |  |  |  |  | 9 CFR §2.32(a);  *Guide* pg. 17 & 24;  VHA 1200.07 §8.m |

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|  | | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| k. | The IACUC meets as often as needed to fulfill its responsibilities and at least semi-annually. [MUST] | |  |  |  |  |  | 9 CFR §2.31(c)(1) & (2); PHS IV.B.1 & 2;  *Guide* pg. 25;  VHA 1200.07 §8.f(1) |
| l. | A quorum (simple majority) of voting members must be present for the IACUC to conduct official business. | |  |  |  |  |  | 9 CFR §2.31(d)(2); PHS IV.C.2;  VHA 1200.07 §8.f(2) |
| m. | IACUC meetings are conducted in person or by use of telephone or videoconference, allowing live interaction. Business cannot be conducted by use of email or other remote electronic means. A mail ballot or individual telephone  polling cannot substitute for a convened meeting. | |  |  |  |  |  | NOT-OD-06-052 |
| n. | The IACUC reviews and approves, requires modifications in (to secure approval), tables or defers (postpones review), or withholds approval of animal research protocols and/or proposed significant changes to animal protocols in progress. | |  |  |  |  |  | 9 CFR §2.31(c)(6) & (7); PHS IV.B.6 & 7;  *Guide* pg. 25;  VHA 1200.07 §8.f(2);  *OLAW IACUC Guidebook* pg. 93-95 |
| o. | The IACUC reviews and approves animal protocols as authorized in writing by the ACOS: | |  |  |  |  |  | 9 CFR §2.31(d)(5); PHS IV.C.5;  *Guide* pg. 34;  VHA 1200.07 §8.g(1) & (2);  VHA 1200.01 §7.a |
|  | 1. | Annual reviews, as defined locally, on the 1st and 2nd anniversary years[[2]](#footnote-2) |  |  |  |  |
|  | 2. | *De-novo* reviews on (or before) the 3rd anniversary year |  |  |  |  |
| p. | IACUC members do not participate in the IACUC review or approval of a research project in which the member is personally involved or has a financial conflict. [MUST] | |  |  |  |  |  | 9 CFR §2.31(d)(2); PHS IV.C.2;  *Guide* pg. 26;  VHA 1200.07 §8.e(2) & (3) |
| q. | The IACUC conducts semi-annual reviews of the animal program and VMU at least once every 6 months. Note: Reviews include all procedural areas/laboratories where animals are housed more than 12 hours. | |  |  |  |  |  | 9 CFR §2.31(c)(1) & (2); PHS IV.B.1 & 2;  *Guide* pg. 25;  VHA 1200.07 §8.f(1)(a) |
| r. | Semi-annual evaluations are performed by IACUC members (including the VMO/VMC and 2 voting members).[[3]](#footnote-3) | |  |  |  |  |  | VHA 1200.07 §8.f(1)(d)5 |
| s. | During the conduct of semi-annual evaluations, the IACUC: | |  |  |  |  |  |  |
|  | 1. | Distinguishes significant program deficiencies from minor deficiencies |  |  |  |  |  | 9 CFR §2.31(c)(3); PHS IV.B.3;  VHA 1200.07 §8.f(1)(d)3 |
|  | 2. | Develops a specific plan for the correction of all program and facility-related deficiencies that includes projected dates for correction |  |  |  |  |  | 9 CFR §2.31(c)(3); PHS IV.B.3;  VHA 1200.07 §8.f(1)(d)2 |
|  | 3. | Identifies IACUC-approved departures from the AWAR, *Guide,* or PHS Policy, and provides justification for the departure(s) |  |  |  |  |  | 9 CFR §2.31(c)(3); PHS IV.B.3;  NOT-OD-12-148 |
|  | 4. | Includes minority opinions and views expressed by IACUC members |  |  |  |  |  | 9 CFR §2.31(c)(3);  *Guide* pg. 25;  VHA 1200.07 §8.f(1)(d)4 |

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|  | | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| t. | For VA research activities that involve an affiliate animal program and/or affiliate VMU, the VA IACUC either: | |  |  |  |  |  | VHA 1200.07 §8.f(1)(a) |
|  | 1. | Conducts an independent semi-annual review and inspection of areas used for VA animal research activities |  |  |  |  |
|  | 2. | Or evaluates semi-annual reports prepared by the affiliate IACUC, in lieu of an independent review, as described under a written agreement |  |  |  |  |
| u. | Procedures are in place to allow the IACUC to promptly investigate all internal or external allegations of improper animal care and use. [MUST] | |  |  |  |  |  | 9 CFR §2.31(c)(4); PHS IV.B.4;  *Guide* pg. 23;  VHA 1200.07 §8.k; AAALAC FAQ |
| v. | The “Whistleblower" policy is posted and includes: | |  |  |  |  |  | 9 CFR §2.32(c)(4);  *Guide* pg. 23-24;  VHA 1200.07 Appendix E §2.a(2)(n); AAALAC FAQ |
|  | 1. | Multiple points of contact for reporting concerns (e.g., the IO, IACUC Chair, VMO/VMC, etc.) |  |  |  |  |
|  | 2. | A process for anonymous reporting |  |  |  |  |
|  | 3. | Protection of individuals reporting concerns from discrimination or reprisals |  |  |  |  |
| w. | The facility maintains a PHS Assurance regardless of funding sources, either independently or in association with an affiliated institution. | |  |  |  |  |  | VHA 1200.07 §8.l(5)(a) & (b) |
| x. | The facility maintains accreditation by AAALAC, either independently or in association with an affiliated institution. | |  |  |  |  |  | VHA 1200.07 §7.e |
| y. | The IACUC ensures the development of a VMU disaster plan to ensure the safety of facility personnel and animals that: | |  |  |  |  |  | *Guide*, pg. 35;  VHA 1200.07 §7.a(4) |
|  | 1. | Addresses emergencies most likely to happen at the facility |  |  |  |  |
|  | 2. | Includes provisions for euthanasia of animals that cannot be relocated or otherwise protected |  |  |  |  |
|  | 3. | Includes provisions for training employees on the disaster plan |  |  |  |  |
| z. | The IACUC reviews the results of the overheat test at the next convened meeting and implements corrective actions if the response is not timely and accurate. | |  |  |  |  |  | VHA 1200.07 §7.a(2)(c) |
| **2. IACUC RECORDS & REPORTING REQUIREMENTS** | | | | | | | | |
| a. | The IACUC maintains the following research records for a minimum of 3 years and/or in accordance with the VHA document retention policy, whichever is more stringent: | |  |  |  |  |  | 9 CFR §2.35(f); PHS IV.E.2;  VHA Records Control Schedule 10-1; VHA 1200.01(1) §15 |
|  | 1. | Research protocols involving animals and related documentation, such as amendments, approval memos, etc. |  |  |  |  |  | 9 CFR §2.35(a)(2); PHS IV.E.1.c |

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|  | | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
|  | 2. | IACUC semi-annual reports |  |  |  |  |  | 9 CFR §2.35(a)(3); PHS IV.E.1.d |
|  | 3. | Minutes of IACUC meetings (including records of attendance, and IACUC activities, deliberations, and voting outcomes) prepared in accordance with regulatory requirements |  |  |  |  |  | 9 CFR §2.35(a)(1); PHS IV. E.1.b & e;  VHA 1200.07 §8.h(1)(a)-(j)  & Appendix E §2.b(1)(a) |
|  |  | IACUC meeting minutes contain sufficient detail of the activities and deliberations of the committee. |  |  |  |  |  | 9 CFR §2.35(a)(1).  PHS Policy §IV.E.1.b.  VHA Handbook 1200.07 §8.h(1)(h).  NIH-OLAW FAQ B.7 |
|  | 4. | IACUC documents, including all PHS, USDA, AAALAC, other reports, and correspondence related to the animal program |  |  |  |  |  | PHS IV.E.1;  VHA 1200.07 Appendix E §2.c |
|  | 5. | Records disclosing required information on each live dog and/or cat purchased/acquired by the facility |  |  |  |  |  | 9 CFR §2.35(b) |
| b. | The IACUC meets the following reporting requirements: | |  |  |  |  |  |  |
|  | 1. | The approved semi-annual review report is presented to the MCD (IO) for signature by the VMO/VMC, IACUC Chair (or designee), and 1 or more research administrators.[[4]](#footnote-4) |  |  |  |  |  | 9 CFR §2.31(c)(3); PHS IV.B.3;  *Guide* pg. 25;  VHA 1200.07 §8.f(1)(e) |
|  | 2. | The signed semi-annual review report is submitted to the CVMO within 120 days of the date on which the semi-annual report is finalized.[[5]](#footnote-5) |  |  |  |  |  | VHA 1200.07 §8.l(3) |
|  | 3. | Minutes of IACUC meetings are published within 3 weeks of the meeting. |  |  |  |  |  | VHA 1200.07 §8.h(1) |
|  | 4. | The IACUC Chair (or designee) notifies the MCD directly of any issues identified as reportable within 5 business days of the IACUC’s determination. Simultaneous notice is provided to the ACOS and R&DC. |  |  |  |  |  | VHA 1058.01 §9 |
|  | 5.. | Original IACUC documents associated with GLP studies and considered to be original data are returned to the appropriate Study Director to be archived. |  |  |  |  |  | 21 CFR §58.195 |
| c. | The following external reporting requirements are met: | |  |  |  |  |  |  |
|  | 1. | The MCD is responsible for submitting notices of reportable incidents to external oversight authorities, including ORO, within 5 business days of being notified by the IACUC that a reportable event occurred. |  |  |  |  |  | PHS IV.F.3; NOT-OD-05-034; VHA 1058.01 §9;  VHA 1200.07 §8.i(5) |
|  | 2. | The facility must submit Annual Reports to the USDA (APHIS Form 7023 by December 1), NIH OLAW (by December 1[[6]](#footnote-6)), and AAALAC each year. |  |  |  |  |  | 9 CFR §2.36; PHS IV.F.1;  OLAW/sample report VHA 1200.07 §8.l(1)  AAALAC FAQ |

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|  | | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| **3. REVIEW OF ANIMAL USE PROTOCOLS** | | | | | | | | |
| a. | Procedures are in place for review and approval of all VA-funded research involving animals, regardless of funding source or location where the research is performed, prior to initiation. | |  |  |  |  |  | VHA 1200.07 §4.a(1) |
| b. | The IACUC has authority to suspend animal activities. | |  |  |  |  |  | 9 CFR §2.31(c)(8); PHS IV.C.6;  VHA 1200.07 §8.j |
| c. | Prior to approving any protocol, the IACUC ensures that all personnel listed on the protocol have adequate qualifications and training. | |  |  |  |  |  | 9 CFR §2.31(d)(1)(viii); PHS IV.C.1.f;  *Guide* pg. 26;  VHA 1200.07 §8.m(1)  & Appendix E §2.d(1) |
| d. | The IACUC ensures the Investigator has provided written assurance that the proposed research activities do not unnecessarily duplicate previous work. | |  |  |  |  |  | 9 CFR §2.31(d)(1)(iii);  *Guide* pg. 26 |
| e. | The IACUC ensures the following conditions are met and ensures adequate scientific justification is provided, when necessary: | |  |  |  |  |  |  |
|  | 1. | Experimental and humane endpoint criteria, describing when an animal should be euthanized or removed from a study, are clearly defined. |  |  |  |  |  | 9 CFR §2.31(d)(1)(v); PHS IV C.1.c;  *Guide* pg. 27;  VHA 1200.07 §8.f(2)(a)(9) |
|  | 2. | Potential unexpected outcomes (i.e., husbandry challenges associated with new transgenic strains) are described. |  |  |  |  |  | *Guide* pg. 28;  VHA 1200.07 §8.f(2)(a) |
|  | 3. | Prolonged physical restraint is justified, with provisions for acclimation prior to restraint and veterinary care of any resulting lesions. [MUST] |  |  |  |  |  | *Guide* pg. 29;  VHA 1200.07 §8.f(2)(a) |
|  | 4. | Multiple major survival surgeries *(i.e., exposes a body cavity or produces significant physical or physiologic impairment)* are scientifically justified. |  |  |  |  |  | 9 CFR §2.31(d)(1)(x)(A)-(C);  *Guide* pg. 30;  VHA 1200.07 §8.f(2)(a) |
|  | 5. | Food or fluid restriction are described and scientifically justified. |  |  |  |  |  | *Guide* pg. 30;  VHA 1200.07 §8.f(2)(a) |
|  | 6. | Administration of non-pharmaceutical-grade chemicals or other substances are described and scientifically justified. |  |  |  |  |  | *Guide* pg. 31;  VHA 1200.07 §8.f(2)(a); AAALAC FAQ;  USDA Animal Care Policy No. 3 |
| f. | Administration of neuromuscular blocking drugs is evaluated by the VMO/VMC and IACUC. | |  |  |  |  |  | *Guide* pg. 123 |
| g. | Husbandry SOPs are established for the VMU and reviewed/approved every 3 years by the VMO/VMC and IACUC.[[7]](#footnote-7) | |  |  |  |  |  | VHA 1200.07 §7.c |
| h. | Formal procedures are in place to evaluate hazardous agents used in animal research, including appropriate practices/procedures to protect workers, animals,  and the environment. | |  |  |  |  |  | *Guide* pg. 18-22;  VHA 1200.06 §4.a |

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|  | | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| **4. PERSONNEL QUALIFICATIONS & TRAINING** | | | | | | | | |
| a. | All animal research personnel are adequately trained and provided refresher training/continuing education (at a minimum of 3 year intervals) to perform their assigned duties and to minimize the level of distress and/or the number of animals used in research. | |  |  |  |  |  | 9 CFR §2.32(a) & (b);  PHS IV.A.1.g & IV.C.1.f;  *Guide* pg. 15-17;  VHA 1200.07 §6.b(7), §6.c(4),  §8.f(2)(a)4, & §8.m  ORD Guidance on ACUP Training |
| b. | Each VA facility has an established training program for: [MUST] | |  |  |  |  |  | 9 CFR §2.32(a);  PHS IV.A.1.g;  *Guide* pg. 16-17  VHA 1200.07 §8.m(3) |
|  | 1. | The VMO/VMC and other animal care staff |  |  |  |  |
|  | 2. | IACUC members |  |  |  |  |
|  | 3. | Research personnel |  |  |  |  |
| c. | The training curriculum includes: | |  |  |  |  |  | VHA1200.07 §8.m(1)–(4) |
|  | 1. | Humane practices of animal care (housing, husbandry, and handling) |  |  |  |  |  | 9 CFR §2.32(c)(1)(ii);  *Guide* pg. 16-17, 25-26, & 115;  VHA1200.07 Appendix E §2.d(3) |
|  | 2. | Humane practices of animal use (research procedures, animal  manipulations, anesthesia, analgesia, euthanasia, surgery, pre- and post- operative care) |  |  |  |  |  | 9 CFR §2.32(c)(1) & (3);  *Guide* pg. 16-17, 25-26, & 115;  VHA 1200.07 Appendix E §2.d(3) |
|  | 3. | Testing methods that minimize the number of animals used to obtain valid scientific results/data |  |  |  |  |  | 9 CFR §2.32(c)(2); PHS IV.A.1.g |
|  | 4. | Testing methods to minimize animal pain and distress |  |  |  |  |  | 9 CFR §2.32(c)(2); PHS IV.A.1.g |
|  | 5. | The safe use of hazardous agents and access to OSHA hazard notices |  |  |  |  |  | *Guide* pg. 20;  VHA 1200.07 Appendix E §2.d(3) |
|  | 6. | Methods for reporting animal care and use concerns or issues |  |  |  |  |  | 9 CFR §2.32(c)(4);  *Guide* pg. 17 |
|  | 7. | Animal care and use legislation |  |  |  |  |  | *Guide* pg. 17 |
|  | 8. | IACUC functions |  |  |  |  |  | *Guide* pg. 17 |
|  | 9. | Ethics of animal research and principles of the “Three R’s” (i.e., Reduction, Replacement, and Refinement) |  |  |  |  |  | *Guide* pg. 17 |
| d. | Training is completed prior to starting an animal activity. | |  |  |  |  |  | *Guide* pg. 17 |
| e. | Completion of training is documented. | |  |  |  |  |  | *Guide* pg. 15 |
| **5. OCCUPATIONAL HEALTH & SAFETY OF PERSONNEL** | | | | | | | | |
| a. | The institution has established a functional OHSP that includes the research program and is consistent with federal, state, and local regulations. [MUST] | |  |  |  |  |  | PHS IV.A.1.f;  *Guide* pg. 17;  VHA 1200.07 §10;  AAALAC Position Statement |

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|  | | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| b. | The OHSP is available to all personnel who enter the animal facility, including those with infrequent or random access (e.g., maintenance, housekeeping and  security staff, and non-affiliated IACUC members). | |  |  |  |  |  | PHS IV.A.1.f;  *Guide* pg. 17-18;  VHA 1200.07 §10.a & Appendix C §4.a |
| c. | The OHSP program is based on hazard identification and risk assessment and  includes an evaluation of hazards inherent to (animal) research (i.e., allergies, bites, scratches, etc.). | |  |  |  |  |  | *Guide* pg. 18-19;  VHA 1200.07 Appendix C §4.a(1) |
| d. | The OHSP includes policies related to personal hygiene (i.e., maintenance of work clothing, designated areas for eating/drinking/smoking, etc.). | |  |  |  |  |  | *Guide* pg. 20;  VHA 1200.07 §10.a, §10.d(1)-(4),  & Appendix C §6.a & §7.f.1-2 |
| e. | Noise levels are evaluated, and all workers receiving noise exposures at, or above, the action level are included in a hearing conservation program that  includes exposure monitoring, audiometric testing, hearing protection, employee training, and record keeping. | |  |  |  |  |  | *Guide* pg. 22;  29 CFR §1910.95(a) & (b)(1)  Hearing Conservation Amendment,  Final Rule  (*Federal Register* 48, pg. 9738-9784) |
| f. | A Respiratory Protection Program is established, as needed, with a Respiratory Protection Program Administrator identified in writing. | |  |  |  |  |  | *Guide* pg. 22;  29 CFR §1910.134(a)(2) |
| g. | The OHSP includes a pre-exposure evaluation and annual risk-based re-evaluations. | |  |  |  |  |  | *Guide* pg. 22;  VHA 1200.07 §10.c  & Appendix C §4.a(2) & (5) |
| h. | The preventative medicine program: | |  |  |  |  |  | *Guide* pg. 22-23;  VHA 1200.07 Appendix C §10 |
|  | 1. | Includes surveillance procedures for zoonoses and/or other laboratory acquired infections |  |  |  |  |
|  | 2. | Includes provisions for early diagnosis of conditions and illnesses related to occupational exposures (e.g., allergies) |  |  |  |  |
|  | 3. | Ensures confidentiality |  |  |  |  |
|  | 4. | Adheres to federal, state, and local regulations [MUST] |  |  |  |  |
| i. | Relevant vaccines are available at no cost, in accordance with current CDC recommendations (e.g., rabies, tetanus, hepatitis B). | |  |  |  |  |  | *Guide* pg. 22;  VHA 1200.07 §10.f(2) |
| j. | Targeted training is provided for hazards associated with the species and/or hazardous agent(s) used. | |  |  |  |  |  | *Guide* pg. 20;  VHA 1200.07 Appendix C §4.a(2)(d) |
| k. | There are provisions for workers to report work-related accidents and to receive treatment for work-related injuries. | |  |  |  |  |  | *Guide* pg. 23;  VHA 1200.07 Appendix C §4.b VHA Directive 2011-020 |
| l. | Animal housing and procedure areas are separated from non-animal areas such as offices, conference rooms, and break rooms. | |  |  |  |  |  | *Guide* pg. 134 |
| m. | The IACUC must approve the use of any areas and/or equipment primarily used for human procedures if these are used for animal research activities. | |  |  |  |  |  | VHA 1200.07 §7.k(1)-(2) |
| n. | Eating, drinking, using tobacco products, applying cosmetics, applying contact lenses, etc. is prohibited in laboratories, the VMU, and animal procedure areas. | |  |  |  |  |  | *Guide* pg. 20;  VHA 1200.07 Appendix C §4(c) |
| o. | A designated break area and access to sinks and other facilities to wash hands is provided to employees. | |  |  |  |  |  | 9 CFR §3.1(g), §3.25(e), §3.5(e),  §3.75(g), & §3.125(e);  *Guide* pg. 136 |

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|  | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| p. | Individual PPE requirements are based on associated risks and provided for all staff working with research hazards and/or animals. |  |  |  |  |  | *Guide* pg. 21-22;  VHA 1200.07 Appendix C §8.h(2)(c) & Appendix E §2.e(1)-(6) |
| q. | Laundry services are provided for non-disposable uniforms and PPE. |  |  |  |  |  | *Guide* pg. 20;  VHA 1200.07 §10.e  & Appendix E §2.e(1) |
| r. | Appropriate signs are posted at entrances to animal rooms, when hazards are likely to be present. |  |  |  |  |  | VHA 1200.07 Appendix C §8.h(1) |
| s. | Emergency egress instructions are posted in appropriate locations on rack washers. Staff are trained on these procedures, and training is documented. |  |  |  |  |  | AAALAC Position Statement |
| t. | Scavenging systems are used for collection of waste anesthetic gas, and their effectiveness monitored through the use of personal monitoring devices. |  |  |  |  |  | *Guide* pg. 21 & 145 |
| u. | If used, compressed gas cylinders must be properly secured. |  |  |  |  |  | 29 CFR §1910.101(b) & 253(b)(2) |
| v. | Use of explosive agents (e.g., ether) must be scientifically justified and approved by the IACUC and the SRS and other personnel and committees as described in VHA policy.. |  |  |  |  |  | VHA 1200.07 §7.j(1) |
| w. | Hazardous waste is rendered safe by sterilization, containment, and/or other appropriate means before removal from the facility. [MUST] Storage and disposal procedures adhere to local, state, and federal requirements. |  |  |  |  |  | 9 CFR §3.1(f), §3.25(d), §3.50(d),  §3.75(f), & §3.125(d);  *BMBL* §IV.A.15.a-b;  *Guide* pg. 72-73;  VHA 1200.07 Appendix E §3.b(24) |
| **NHP FACILITIES ONLY:** | |  |  |  |  |  |  |
| a. | Personnel who may be exposed to NHPs are routinely screened for tuberculosis, annually at minimum. |  |  |  |  |  | *Guide* pg. 23;  VHA 1200.07 Appendix C §10.b(2)(b) |
| b. | Post-exposure procedures are implemented, with training provided to personnel at risk of bites/scratches involving NHPs [particularly those capable of transmitting *Macacine herpesvirus* 1 (Herpes B virus)]. |  |  |  |  |  | *Guide* pg. 23;  VHA 1200.07 Appendix C §4.a(2)(d),  §4.b, & §10.b(1); AAALAC Position Statement |
| **B. ENVIRONMENT, HOUSING, & FACILITY MANAGEMENT** | | | | | | | |
| **1. ENVIRONMENT** | | | | | | | |
| a. | The facility has a functional HVAC system, with emergency power available or other provisions in place to ensure environmental stability during a utility and/or  equipment failure. |  |  |  |  |  | *Guide* pg.139;  VHA 1200.07 Appendix E §3.b(8) |
| b. | HVAC performance is monitored and documented. |  |  |  |  |  | *Guide* pg. 47;  VHA 1200.07 Appendix E §3.b(17) |
| c. | HVAC equipment is on a regular preventative maintenance program. |  |  |  |  |  | *Guide* pg. 47;  VHA 1200.07 Appendix E §3.b(7) |
| d. | Air flows into the animal facility from outside areas to minimize the potential for allergen and/or pathogen exposure in non-animal areas. |  |  |  |  |  | VHA 1200.07 Appendix E §3.b(12) |
| e. | If exhaust air is recycled into the facility, it must be HEPA-filtered to remove airborne particles before recycling and cannot exceed 50% of the total volume. |  |  |  |  |  | *Guide* pg. 47 & 140;  AAALAC FAQ F.6 |
| f. | Direction of air flow (in the facility) is controlled to ensure a safe working environment and to contain infectious agents and/or other hazards. |  |  |  |  |  | *Guide* pg. 21 & 139;  VHA 1200.07 Appendix E §3.b(11) |

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|  | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| g. | Air changes per hour in animal rooms meet applicable standards. |  |  |  |  |  | *Guide* pg. 46;  VHA 1200.07 Appendix E §3.b(10) |
| h. | The macro environment is sufficiently ventilated to address heat loads, particulates, odors, and waste gases released from primary enclosures. |  |  |  |  |  | 9 CFR §3.2(b), §3.3(b), §3.26(b),  §3.51(b), §3.76(b), 3.77(b), & §3.126(b);  *Guide* pg. 46 |
| i. | Temperature and humidity in animal rooms are maintained at recommended levels, and monitored to ensure prompt notification if they deviate from acceptable ranges. |  |  |  |  |  | 9 CFR §3.2(a), §3.3(a) & (b), §3.26(a)  & (b), §3.76(a) & (b), §3.77(a) & (b), & §3.126(a) & (b);  *Guide* pg.43;  VHA 1200.07 Appendix E §3.b(17) |
| j. | HVAC reheat units serving animal rooms are designed to fail in the "off" or “closed” position to prevent over-heating of animals. |  |  |  |  |  | *Guide* pg.140; VHA 1200.07 §7.a(2)(a)  & Appendix E §3.b(9) |
| k. | At least annually, a simulated overheating event is conducted in each animal facility to test the effectiveness of facilities management personnel to detect and respond to potential environmental emergencies. |  |  |  |  |  | VHA 1200.07 §7.a(2)(c) |
| l. | Light intensity, photoperiod, and quality of light are managed to ensure an optimal environment for the species that are housed. |  |  |  |  |  | 9 CFR §3.2(c), §3.3(c), §3.26(c),  §3.51(c), §3.76(c), §3.77(c), & §3.126(c);  *Guide* pg. 47-48 |
| m. | Noise and vibration are kept to minimum levels to avoid potential distress and/or physiologic disruptions to animals. |  |  |  |  |  | *Guide* pg. 49-50 & 142;  VHA 1200.07 Appendix E §3.b(19) |
| **2. HOUSING** | | | | | | | |
| a. | Primary enclosures provide space consistent with accepted standards and adequate for the species to turn and express normal postural positioning. [MUST] |  |  |  |  |  | 9 CFR 3.6(a)(2)(xi), §3.28(c)(1)(i),  §3.28(c)(2)(i), §3.53(c)(1),  §3.80(a)(2)(xi), & §3.128;  *Guide* pg. 56;  VHA 1200.07 Appendix E §3.b(20) |
| b. | Primary enclosure construction provides unsoiled resting areas to allow animals to remain clean and dry. [MUST] |  |  |  |  |  | 9 CFR §3.6(a)(2)(v), §3.28(a)(3),  §3.53(a)(2), & §3.80(a)(2)(v);  *Guide* pg. 56 |
| c. | Social animals are housed in compatible groups and have sufficient space and means of escaping aggression from other animals, unless there is a medical exemption or scientific justification to allow solitary housing. |  |  |  |  |  | 9 CFR §3.7, §3.33, §3.58, §3.81(a), & §3.133;  *Guide* pg. 51 & 55;  VHA 1200.07 Appendix E §3.a(3); AAALAC Position Statement |
| d. | Primary enclosures (e.g., cages) and accessories (e.g., feeding utensils, cage tops, etc.) are sanitized in accordance with accepted standards. |  |  |  |  |  | 9 CFR §3.11(a), §3.31(a), §3.56(a),  §3.84(a), & §3.131(a);  *Guide* pg. 70;  VHA 1200.07 Appendix E §3.b(20) |
| e. | Primary enclosures for cats have resting surfaces large enough to hold all of the occupants comfortably. |  |  |  |  |  | 9 CFR §3.6(b)4;  *Guide* pg. 56 |
| f. | Outdoor enclosures must offer protection from temperature extremes and harsh weather. [MUST] |  |  |  |  |  | 9 CFR §3.4(b), §3.52(a)-(c), §3.78(b), & §3.127(b);  *Guide* pg. 54 |

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|  | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| g. | Procedural laboratories that house animals for more than 12 hours meet minimal housing standards. |  |  |  |  |  | VHA 1200.07 Appendix E §3.b(1);  *Guide* pg. 134;  FAQ About the PHS Policy |
| h. | All equipment and surfaces (i.e., walls, doors, bench tops, ceilings, etc.) within animal housing areas are constructed of impervious materials to facilitate cleaning and effective sanitation. |  |  |  |  |  | 9 CFR §3.1(c)(1), §3.26(c), §3.51(d), & §3.75(c)(1);  *Guide* pg. 134 & 138;  VHA 1200.07 Appendix E §3.b(13) |
| i. | Interior surfaces of animal holding areas are free of excessive rust and/or jagged edges that may interfere with sanitation or could cause injuries to animals. |  |  |  |  |  | 9 CFR §3.1(c)(1)(i) & (ii), §3.25(a),  §3.50(a)(1), §3.75(c)(1)(i) & (ii), & §3.125(a);  *Guide* pg. 138 |
| j. | Repairs are promptly made to ceiling tiles and/or plaster ceilings damaged by water to prevent mold development. |  |  |  |  |  | VHA 1200.07 Appendix E §3.b(15) |
| **3. MANAGEMENT** | | | | | | | |
| a. | The IACUC follows an established system for identifying animals, consistent with accepted standards and appropriate for the species. |  |  |  |  |  | *Guide* pg. 75  9 CFR §2.35(b) |
| b. | Medical and surgical records are readily accessible. |  |  |  |  |  | USDA Animal Care Policy No. 3;  *Guide* pg. 75;  VHA 1200.07 Appendix E §2.f(7) |
| c. | An environmental enrichment program to promote animal well-being for all species has been established and is reviewed and updated by the IACUC, researchers, and VMO/VMC on a regular basis. |  |  |  |  |  | *Guide* pg. 52-53; AAALAC FAQ |
| d. | A dedicated enrichment program has been developed for NHPs. |  |  |  |  |  | 9 CFR §3.81;  *Guide* pg. 53;  VHA 1200.07 Appendix E §3.a(4) |
| e. | Dogs and cats are provided with positive human interaction. |  |  |  |  |  | *Guide* pg. 63 |
| f. | Additional exercise is provided for dogs, when housed in runs that provide less than twice the required minimum space; the exercise plan for canines is developed in consultation with and approved by the attending veterinarian |  |  |  |  |  | 9 CFR §3.8;  *Guide* pg. 64  VHA 1200.07 Appendix E §3.a(5) |
| g. | Daily oversight of husbandry and other animal care duties has been assigned to  a VMU Supervisor with at least 1 year of experience working with laboratory animals. |  |  |  |  |  | VHA 1200.07 §6.c |
| h. | Room husbandry records document daily observation and care of animals, including on weekends and holidays. |  |  |  |  |  | VHA 1200.07 Appendix E §3.b(22) |
| i. | Quality drinking water is provided. Watering devices are checked frequently to  ensure water is available. If used, water bottles are not transferred between cages. |  |  |  |  |  | 9 CFR §3.10, §3.30, §3.55, §3.83, & §3.130;  *Guide* pg. 67-68 |
| j. | Automatic watering systems are flushed or disinfected regularly. |  |  |  |  |  | *Guide* pg. 68 |
| k. | Animals have access to high quality diets that are species-specific, palatable, contaminant-free, and used before the expiration date(s). |  |  |  |  |  | 9 CFR §3.9(a), §3.29(a), §3.54(a),  §3.82(a), & §3.129(a);  *Guide* pg. 65-66 |
| l. | Bagged feed is stored off the floor and away from walls to facilitate cleaning and vermin control. |  |  |  |  |  | 9 CFR §3.1(e) & §3.75(e);  *Guide* pg. 66 |

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|  | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| m. | Open food supplies are kept in leak-proof lidded containers that are kept in clean, vermin-free areas. |  |  |  |  |  | 9 CFR §3.1(b) & (e), §3.25(c),  §3.50(c), §3.75(b) & (e), & §3.125(c);  *Guide* pg. 65-66 |
| n. | Feed storage containers are sanitized regularly. |  |  |  |  |  | *Guide* pg. 67 |
| o. | Movement of feed-storage containers between areas should be avoided to minimize cross-contamination. |  |  |  |  |  | *Guide* pg. 65 |
| p. | Bedding is changed as necessary to keep animals clean and dry. |  |  |  |  |  | *Guide* pg. 70 |
| q. | Bedding materials are stored in a manner to prevent contamination and vermin infestation. |  |  |  |  |  | 9 CFR §3.1(e), §3.25(c), §3.50(c),  §3.75(e), & §3.125(c);  *Guide* pg. 69 |
| r. | Sanitation methods used for the facility (e.g., animal rooms, support space, etc.) and all equipment (e.g., caging, behavioral equipment, enrichment devices,  waste receptacles, etc.) meet accepted standards. |  |  |  |  |  | *Guide* pg. 72  VHA 1200.07 Appendix E §3.b(20) |
| s. | Sanitation verification systems (e.g., temperature tape, autoclave tape biological indicators) are used to confirm that cage wash, autoclave temperatures, and/or alternate sanitation methods meet applicable standards. |  |  |  |  |  | *Guide* pg. 72-73 |
| t. | An adequate pest control program with regularly scheduled and routine surveillance inspections has been implemented. Results are documented. |  |  |  |  |  | 9 CFR §§3.11(d); 3.56 (d); 3.84(d); 3.107(d); 3.131(d)  *Guide* pg. 74;  VHA 1200.07 Appendix E §3.b(25) |
| u. | Areas where vermin can enter the facility (e.g., unsealed doors, frames, etc.) and/or breed (e.g., unsealed light fixtures, timers, switches, outlets, etc.) are  eliminated. |  |  |  |  |  | *Guide* pg. 74, 137, & 141 |
| v. | If used, vermin control methods are scheduled in consultation with research staff  to ensure they do not compromise animal/human health or scientific studies, and their use is documented. |  |  |  |  |  | *Guide* pg. 74 |
| w. | Pest control methods are humane and if used, live traps are monitored frequently.  Alternatives to adhesive live traps are considered/minimized to avoid unnecessary animal distress as required by the Guide as part of a program of adequate veterinary care.  Lethal traps, if used, are checked daily. |  |  |  |  |  | *Guide* pg. 74  AAALAC FAQ D.8 |
| **C. VETERINARY MEDICAL CARE** | | | | | | | |
| **1. ATTENDING VETERINARIAN** | | | | | | | |
| a. | A veterinary care program must be provided regardless of the number of animals or species maintained. [MUST] |  |  |  |  |  | 9 CFR §2.33(b);  *Guide* pg. 105;  VHA 1200.07 §7.f |
| b. | The VMO/VMC has experience in lab animal medicine and the species that are used. [MUST] |  |  |  |  |  | 9 CFR §2.31(b)(3)(i);  *Guide* pg. 15 & 106; VHA 1200.07 §6.b & §7.f |
| c. | The VMO/VMC is granted authority and resources to oversee all aspects of animal care and use, including access to all animals, procedure areas, and  medical/research records. [MUST] |  |  |  |  |  | 9 CFR §2.33(a)(2);  *Guide* pg. 14 & 113-114; VHA 1200.07 Appendix E §2.f(3) |
| d. | The VMO/VMC is granted authority to treat, relieve severe pain or distress, remove from study, and/or euthanize animals. [MUST] |  |  |  |  |  | 9 CFR §2.33(a)(2);  *Guide* pg. 114 |

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|  | | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| e. | The VMO/VMC provides guidance on handling, sedation, analgesia, anesthesia, surgery, pre/post-surgical care, and euthanasia of animals. | |  |  |  |  |  | 9 CFR §2.33(b)(4);  *Guide* pg. 106 & 114; VHA 1200.07 §6.b(5)(b) &  Appendix E §2.f(6)(c) & (d) |
| f. | The VMO/VMC monitors disease surveillance, diagnosis, treatment, prevention, and control/quarantine programs. | |  |  |  |  |  | 9 CFR §2.33(b)(2);  *Guide* pg. 105;  VHA 1200.07 §6.b(5)(b) |
| g. | A timely method for communicating animal health concerns to the VMO/VMC is in place. | |  |  |  |  |  | 9 CFR §2.33(b)(3);  *Guide* pg. 114 |
| h. | The VMO/VMC consults with investigators prior to the submission of animal protocol forms to the IACUC. | |  |  |  |  |  | 9 CFR §2.31(d)(1)(iv)(B);  VHA 1200.07 §6.b(5)(f) |
| i. | Continuous veterinary medical care is available after hours and on weekends/holidays, including provisions for back-up care. [MUST] | |  |  |  |  |  | 9 CFR §2.33(b)(2);  *Guide* pg. 74 & 114;  VHA 1200.07 Appendix E §2.f(4) |
| j. | For veterinary care provided on a part-time/contractual basis, a written plan of veterinary care (PVC) is developed and approved by the VMC and ACOS/R maintained locally and available upon request.. The plan includes:   * the frequency of visits, * provisions for after hours, weekend, and holiday veterinary coverage, and * the VMC’s role in VMU operations, as well as IACUC participation. | |  |  |  |  |  | VHA 1200.07 §6.b(8)(b) |
| k. | The frequency of visits is at least monthly. | |  |  |  |  |  | VHA 1200.07 §6.b(8)(a) |
| l. | Visits by part-time veterinarians are documented in writing. | |  |  |  |  |  | VHA 1200.07 §6.b(8)(c) |
| **2. ANIMAL PROCUREMENT & TRANSPORTATION** | | | | | | | | |
| a. | Animals must be obtained lawfully [MUST] and can only be ordered after the following conditions have been verified: | |  |  |  |  |  | Guide pg. 106 & 108;  VHA 1200.07 §7.b(1)–(3) |
|  | 1. | The vendor/source is appropriate and meets quality standards |  |  |  |  |
|  | 2. | An approved protocol is in place |  |  |  |  |
|  | 3. | Adequate and appropriate housing is available upon arrival |  |  |  |  |
|  | 4. | Animal delivery is coordinated with VMU staff |  |  |  |  |
| b. | Animal transportation must be planned to ensure that the health and well-being of animals is not compromised during transit, animal stress is minimized, and all  relevant regulatory requirements, including international standards, are met. [MUST] | |  |  |  |  |  | 9 CFR §3.15, §3.37, §3.62, §3.88,  §3.138, & §2143(a)(4);  *Guide* pg. 107 |
| c. | Animals are transported in accordance with institutional policies and in climate-controlled vehicles when necessary. | |  |  |  |  |  | 9 CFR §3.15(e), §3.37(g),  §3.62(g), & §3.88(e);  *Guide* pg. 109;  VHA 1200.07 Appendix E §3.a(16) |
| d. | Transportation of animals inside the facility is discreet and complies with local policies. | |  |  |  |  |  | VHA 1200.07 Appendix E §3.a(15) |
| **3. PREVENTIVE MEDICINE** | | | | | | | | |
| a. | A preventive medicine program has been established for the quarantine, stabilization and separation of animals by species, source, and health status. | |  |  |  |  |  | *Guide* pg. 109-113;  VHA 1200.07 Appendix E §2.f |
| b. | An animal health monitoring program has been established for the surveillance, diagnosis, treatment, and control of sub-clinical and natural disease conditions. | |  |  |  |  |  | 9 CFR §2.33(b)(2);  *Guide* pg. 112-113; VHA 1200.07 §7.d(2) & §7.f |
| **4. SURGERY** | | | | | | | | |
| a. | Researchers conducting surgical procedures must have appropriate training. [MUST] | |  |  |  |  |  | 9 CFR §2.31(d)(1)(viii); PHS IV.C.1.f;  *Guide* pg. 115 |

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|  | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| b. | Animals must be adequately anesthetized prior to painful procedures, including surgery. [MUST] |  |  |  |  |  | *Guide* pg. 122 |
| c. | Scientific justification must be provided when multiple survival surgeries are performed on a single animal. |  |  |  |  |  | 9 CFR §2.31(d)(1)(x)(A)-(C);  *Guide* pg. 30;  VHA 1200.07 §8.f(2)(a) |
| d. | Aseptic surgical technique is used for all survival surgeries. |  |  |  |  |  | 9 CFR §2.31(d)(1)(ix);  *Guide* pg. 118 |
| e. | Pre-surgical planning includes provisions for post-surgical care, recordkeeping, and staff responsible for performing each duty. |  |  |  |  |  | 9 CFR §2.33(b)(5);  *Guide* pg. 116 |
| f. | A clean, dry, comfortable area is used to recover animals post-operatively. |  |  |  |  |  | *Guide* pg. 119 |
| g. | Instruments used in survival surgeries are sterilized by appropriate means (e.g., steam, gas, approved chemicals, etc.).  *(Note: Alcohol is not an effective disinfectant unless adequate contact time is allowed.)* |  |  |  |  |  | *Guide* pg. 119;  AAALAC FAQ |
| **5. PAIN AND DISTRESS, ANESTHESIA & ANALGESIA** | | | | | | | |
| a. | The VMO/VMC is consulted on all procedures that will cause more than momentary/slight pain and/or distress. |  |  |  |  |  | 9 CFR §2.31(d)(1)(iv)(B);  *Guide* pg. 121;  VHA 1200.07 §7.f(4) |
| b. | Pain management is provided for procedures that are anticipated to cause pain  and/or distress to animals. Scientific justification is provided in the animal protocol to withhold pain relief. |  |  |  |  |  | 9 CFR §2.31(d)(1)(iv)(A)  *Guide* pg. 26 & 120-121 |
| c. | Personnel caring for and using animals are trained in assessing pain and distress in the animals. |  |  |  |  |  | *Guide* pg. 121 |
| d. | All research activities involving controlled substances comply with relevant  federal regulations. Use of controlled substances in VA facilities is coordinated with the VA pharmacy. [MUST] |  |  |  |  |  | *Guide* pg. 115  VHA 1200.07 §7.m(1) |
| e. | Anesthetics and analgesics are used before expiration, including those used for terminal procedures. [MUST] |  |  |  |  |  | *Guide* pg. 122; |
| **6. EUTHANASIA** | | | | | | | |
| a. | Euthanasia methods are consistent with the current *AVMA Guidelines for the Euthanasia of Animals* or appropriately justified and approved by the IACUC. |  |  |  |  |  | PHS IV.C.1.g;  9 CFR §2.31(d)(1)(xi);  *Guide* pg. 123;  VHA 1200.07 §7.g |
| b. | Standardized methods of euthanasia are developed and approved by the VMO/VMC and IACUC, as appropriate. |  |  |  |  |  | *Guide* pg. 123 |
| c. | Individuals performing euthanasia are appropriately trained and experienced in the methods used. |  |  |  |  |  | PHS IV.C.1.f;  *Guide* pg. 124;  VHA 1200.07 Appendix D §1.t(3) |
| d. | There are provisions to ensure animal death after euthanasia has been performed. [MUST] |  |  |  |  |  | *Guide* pg. 124 |

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|  | | **Y** | **N** | **P** | **N/A** | **Comments** | Regulations & Policies |
| **D. FACILITY SECURITY AND ACCESS CONTROL** | | | | | | | |
| a. | Personnel and physical security requirements for individuals with access to the animal facility are consistent with the local research security plan. |  |  |  |  |  | VHA 1200.06 §7.b |
| b. | Measures have been implemented to prevent the entry of unauthorized personnel into the animal research facility. |  |  |  |  |  | *Guide* pg. 151;  VHA 1200.07 §7.i |

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| **E. REQUIREMENTS FOR VA SENSITIVE SPECIES RESEARCH (NHPS, CANINES, FELINES)** | | | | | | | |
| 1. **CANINES** | | | | | | | |
| a. | All dogs have continuous access to potable drinking water (including evenings, weekends, and holidays) unless restricted by the attending veterinarian or otherwise approved under a research protocol by the IACUC. |  |  |  |  |  | 9 CFR §3.10(a)-(c) |
| b. | A complete physical examination from head to tail of each dog by the attending veterinarian not less than once every 12 months |  |  |  |  |  | 9 CFR §3.13(a)(2) |
| c. | Medical records for dogs must include vaccinations, and sampling and treatment for parasites/pests in accordance with a schedule approved by the AV, unless otherwise approved under a research protocol by the IACUC. |  |  |  |  |  | 9 CFR §3.13(a)(3) |
| d. | Preventative care and treatment to ensure healthy and unmatted hair coats, properly trimmed nails, and clean and healthy eyes, ears, skin, and teeth, unless otherwise required by a research protocol approved by the Committee at research facilities |  |  |  |  |  | 9 CFR §3.13(a)(4) |
| e. | Copies of medical records for dogs must be comprehensive, maintained and made available for inspection. |  |  |  |  |  | 9 CFR §3.13(b)(1)-(4)  9 CFR §3.13(c) |
| 1. **APPROVALS FOR VA ANIMAL RESEARCH INVOLVING SENSTIVIE SPECIES (NHPs, canines, felines)** | | | | | | | |
| a. | VA Research involving NHPs, canines and felines commencing on or after October 1, 2019, have been approved by the Secretary of Veterans Affairs specifically and in writing. |  |  |  |  |  | PL 116-260 §247 (December 21, 2020)  ORD Guidance Document AR2017-00 |

# ADDITIONAL COMMENTS:

1. Term limits for IACUC members rescinded in ORD COVID-19 Guidance – Frequently Asked Questions (FAQs) COVID-19 and VA Animal Care and Use Programs (dated April 13, 2020). [↑](#footnote-ref-1)
2. The requirement for annual reviews of protocols involving **non-USDA** species is rescinded in ORD COVID-19 Guidance – Frequently Asked Questions (FAQs) COVID-19 and VA Animal Care and Use Programs (dated April 13, 2020). [↑](#footnote-ref-2)
3. Per ORD COVID-19 Guidance – Frequently Asked Questions (FAQs) COVID-19 and VA Animal Care and Use Programs (dated April 13, 2020), VA considers the current circumstances to be “exceptional”, and it is acceptable to limit the number of participants in the semiannual evaluation to the minimum allowed by USDA and OLAW. [↑](#footnote-ref-3)
4. ORD COVID-19 Guidance – Frequently Asked Questions (FAQs) COVID-19 and VA Animal Care and Use Programs (dated April 13, 2020) clarifies that the requirement for a face to face meeting with the Medical Facility Director to discuss the results of the IACUC semi-annual self-review may include meetings conducted by teleconference or videoconference. [↑](#footnote-ref-4)
5. A signed copy of the completed IACUC semi-annual self-assessment must now be sent through the ACOS for R&D and the Medical Facility Director to the CVMO within 120 days of the date on which the report is finalized, as indicated by the signatures of a majority of the total voting membership of the IACUC, instead of within 60 days per ORD COVID-19 Guidance – Frequently Asked Questions (FAQs) COVID-19 and VA Animal Care and Use Programs (dated April 13, 2020). [↑](#footnote-ref-5)
6. The NIH-OLAW reporting period was updated in 2020 to harmonize with that of the USDA, as recommended in the 21st Century Cures Act [report](https://olaw.nih.gov/sites/default/files/21CCA_final_report.pdf). [↑](#footnote-ref-6)
7. Per ORD COVID-19 Guidance – Frequently Asked Questions (FAQs) COVID-19 and VA Animal Care and Use Programs (dated April 13, 2020), the requirement for annual review of animal facility SOPs is waived and replaced with a requirement for review at least every three years. [↑](#footnote-ref-7)