

EUROPEAN INSTRUCTIONS FOR COMPLETING THE PROGRAMME DESCRIPTION FOR THE INSTITUTIONAL ANIMAL CARE AND USE PROGRAMME

The following instructions are to be used to assist you in completing your Programme Description for your institutional animal care and use programme for AAALAC International. The completed Programme Description is comprised of three parts: Introduction; Description; and Appendices. If more than one administrative unit is responsible for animal care, each subject noted must be addressed for each animal care programme. This may be done by describing the largest programme and noting the exceptions as they apply to other programmes. **DO NOT REFERENCE APPENDICES IN LIEU OF A BRIEF DESCRIPTION DIRECTLY IN THE REPORT, EXCEPT AS NOTED SPECIFICALLY.** For example, a copy of Standard Operating Procedures should not be used as a substitute for describing the cage and room sanitation programme.

An accurate Programme Description is necessary to provide Council with sufficient information to make an objective judgment concerning accreditation of a unit. Representatives from AAALAC International will review the Description and, at the time of the site visit, evaluate the programme and facilities for conformance with the Guide for the Care and Use of Laboratory Animals (Guide), NRC 1996; the Council of Europe ETS 123; and applicable legislation (e.g. European Directive 86/609/EEC and National legislation). Note that the outline basically follows the Guide. Therefore, if you are in doubt about certain questions, you should refer to the Guide for clarification. Please use the Programme Description Formatting and Submission Instructions in addition to the instructions provided below.

INSTRUCTIONS

I. Introduction/Description

1. The Introduction and Description should include all subject headings and subheadings highlighted in bold print and underlined in the outline. The information requested may be presented in either paragraph or outline format.
2. It is imperative to respond to all items. If items are not applicable, please indicate.
3. For each stated heading/subheading, responses should be succinct yet provide sufficient detail so AAALAC International reviewers can understand and assess the programme. Each segment of the Description should be completed.
4. Appendices and references to other sections in lieu of an accurate Programme Description are not acceptable. An accurate, concise overall Description is dependent in part on the completeness of information.
5. Programmatic oversight of all aspects of the animal care and use programme as described in the Guide has to be explained in Section I.C. of the Programme Description. Irrespective of whether the programmatic oversight is carried out by just one body or is delegated to several bodies (e.g. protocol review to an Ethics Committee, occupational health and safety to the Occupational Health Unit etc.), it must be described how the comprehensive programmatic oversight, and the responsibility and authority of the body/bodies, subsequently referred to as the Body, are ensured.

6. Please note that any **programme-wide** exception(s) to the Guide and/or applicable regulations which have to be approved in an appropriate manner must be described in detail as specified below.
 - a. State the approved programme-wide exception in the appropriate section of the Programme Description (e.g., sanitation schedule, animal housing density).
 - b. Provide the rationale for why the programme-wide exception to the Guide and/or applicable regulations is necessary.
 - c. Provide a summary of the basis for the approval of the programme-wide exception considered by the Body, including references, data and other relevant considerations. Please note that it is not necessary to supply detailed data with the Programme Description; however, the site visitors may wish to see evidence at the time of the site visit.
 - d. Summarize the procedural details of the ongoing review process of all approved programme-wide exceptions.

II. Appendices/Supplemental Information

The following information is to be appended as a supplement to the Programme Description. A summary of pertinent information contained in the appendices should be incorporated into the Programme Description under appropriate headings:

1. Organizational chart of institutional management structure and of key staff for the accreditable animal resource unit and reporting line(s) for the Body.
2. Line drawing(s) (plans) of animal facilities on A4 size paper (do not include blueprints).
3. Summary of animal housing sites, noting the number of areas in which animals are housed (buildings, floors, etc.), the total square metres for animal care and use, and the necessary support of the animal care and use programme. A blank table for completion is provided, as well as “Animal Facility Square Metres Compilation” to assist in calculating actual square metres.
4. Summary of heating, ventilation, and air conditioning (HVAC) system(s). Current (within the last 12 months), detailed (by room) HVAC system performance data are to be provided as indicated on the enclosed HVAC form. A sample and blank form denoting information desired are included.
5. Cage description, including size and materials. A sample form is provided.
6. Current daily average animal inventory and annual use by species. A link to a sample form denoting information desired is available at http://www.aaalac.org/programdesc/Average_Animal_Inventory.doc. Please duplicate

this form or provide the same information in your existing format.

7. Animal Usage Form. A blank form denoting data desired is included. Please duplicate this form or provide the same information in an existing format. A list of protocols may be incorporated into the Animal Usage Form, or provided separately.
8. Membership roster of the Body, if not provided in Part II, Description. Please indicate name and role they fulfill on the Body (e.g., scientist, nonaffiliated member, etc.). If the Body is not institutional (e.g. governmental), all the relevant information regarding its composition and functioning should also be provided.
9. Minutes of the last two meetings of the Body. The past 3 years' minutes should be available during the site visit. If the Body is not institutional, all the official communications related to its review function (e.g., submission/approval of protocols) between the institution and the Body should be available.
10. The most recent report of the review of animal care programmes and facilities by the Body and competent authorities. The past 3 years' reports should be available during the site visit.
11. Blank copy of institution's animal protocol form and, if different, the renewal/review form.

The following information for the past 3 years should be made available for review at the site visit:

1. Copies of pertinent inspection reports by the competent authorities and responses (if applicable).
2. Other information relevant to the animal care and use programme such as policies, procedures, or plans relating to e.g. environmental enrichment for the species housed.
3. Copy of Disaster Plan.

III. General Information

Board and Council members, ad hoc Consultants/Specialists, and staff representing AAALAC International are required to execute a "Confidentiality Agreement." Conflict of Interest statements are also declared by each site visitor. AAALAC International representatives agree to treat all materials as privileged and safeguard material in their possession. Copies of these agreements are available on request.

PROGRAMME DESCRIPTION OUTLINE

I. Introduction

- A. State the name of the programme unit and its parent organization where applicable. List all organizations (faculties, schools, centres, etc.) included within the programme unit.
- B. Give a brief overview of the institution, its purpose and how the animal care and use programme relates to the mission of the institution.
- C. Describe the organization and include an organizational chart or charts outlining the lines of authority from the Institutional Official/License Holder to the named veterinarian, the Body and the personnel providing animal care. Please include the title and name of each individual at the level of supervisor or above. Names of animal care staff below the title of supervisor need not be included, but the titles and number of animal care personnel under each supervisor should be included. If animal care responsibility is administratively decentralized, the organizational chart or charts must include all animal care programmes, indicating the relationship of the administrative units and personnel involved with the Institutional Official/License Holder..
- D. Identify the key institutional representatives (including but not limited to the chairperson of the Body, named veterinarian, animal programme manager, public relations contact, etc.) and individuals anticipated to participate in the site visit. Please provide mailing addresses if different from the unit's contact person.
- E. Accreditation History: If this is a new application for AAALAC International accreditation, so note. If already accredited, note the original date of accreditation and describe major changes in the programme and facilities since the last site visit, including those that may have been noted on the annual reports. Also describe responses to provisional/probationary deficiencies and/or suggestions for improvement that were noted in the letter from AAALAC International following the last site visit.
- F. Briefly describe the major types of research, testing, and teaching programmes involving animals and note the approximate number of principal investigators and protocols involving the use of animals. As mentioned in the instructions, please complete the animal use form included with this outline or provide the information requested in a similar format as an appendix.
- G. Note the source(s) of annual research funding (grants, contracts, etc.) involving the use of animals.
- H. Briefly summarize the animal facility or facilities, noting the number of areas in which animals are housed (buildings, floors, etc.), the total square metres for animal care and use, and the total square metres for necessary support of the animal care and use programme covered by this Description (HVAC, service corridors, etc. and additional areas to be considered are enumerated in the Guide). If more than one facility, note the approximate distance (metres/kilometres) each facility is from a reference point such as from the largest animal facility. Provide floor plans of each area as an Appendix. Describe the general types of animal housing facilities available (e.g., conventional, hazard containment, gnotobiotic, barrier, barns, etc.). Note: a detailed description

of the facilities is requested under the Physical Plant section (II.D) in the Description.

- I. List other on-site units of your organization that house and use animals which are not included in this Description. If any of these are contiguous, physically or operationally, with the applicant unit, describe the association.
- J. Contract Facilities: According to the AAALAC International Rules of Accreditation, if the care of animals owned by an AAALAC International accredited institution or an institution applying for accreditation is contracted for, then AAALAC International considers the contractor's animal care programmes and facilities to be an integral part of the institution's animal care and use programme. If the contract facility is not accredited separately, the animal care programmes and facilities of the contractor must be included and identified as contractor-provided in the following requested Description. The facilities will be site visited and all elements of the animal care programme (personnel training; programmatic oversight; programmes and facilities; occupational health programme; veterinary care; etc.) will be evaluated as a part of the institution's site visit to determine compliance with AAALAC International standards. The institution must make arrangements for the site visit of the contractor's facilities and for review of all elements of the animal care programme provided by contract. In those cases where a contractor provides personnel for the animal care and use programme within the accredited institution's facility, the occupational health programme and employee training programme will be evaluated to determine compliance with AAALAC International standards. If the contractor's facilities are fully accredited by AAALAC International, a description of the contractor's programmes and facilities is not required; and the contractor's facilities may be exempt from the site visit process at the discretion of AAALAC International.

Therefore, if the institution contracts for animal care facilities for services for animals owned by the institution, identify the contractor and its AAALAC International accreditation status. If a contractor's animal care and use programme is not accredited by AAALAC International, a description, following the same outline, of the contractor's programmes and facilities must be provided. In addition, note the species and approximate average number of animals housed in the contract facilities and the approximate distance between the institution's animal facility and the contract facility. If the institution does not contract for animal care services, so note.

If, based on the AAALAC International Rules of Accreditation, a review of contract programmes and facilities is going to be required, please inform the AAALAC International office as soon as possible so a decision may be made regarding the length of the site visit.

- K. Note other relevant background that will assist reviewers of this report.

II. **Description** (outline based on the Guide for the Care and Use of Laboratory Animals, NRC 1996).

If more than one administrative unit is responsible for animal care, each subject noted below must be addressed for each animal care programme. This may be done by describing the largest programme and noting the exceptions as they apply to other programmes. **DO NOT REFERENCE APPENDICES IN LIEU OF A BRIEF DESCRIPTION DIRECTLY IN THE REPORT, EXCEPT AS NOTED SPECIFICALLY.** For example, a copy of Standard Operating Procedures should not be used as a substitute for describing the cage and room sanitation programme.

A. **Institutional Policies and Responsibilities**

1. **Monitoring the Care and Use of Animals**

a. **Body/bodies for programmatic oversight**

- 1) State who appoints the Body and who is the institutional official/license holder for animal care and use. If the programmatic oversight is not performed at the institutional level, describe the system in place.
- 2) Describe composition (names, degrees, affiliation), frequency of meetings, and training and responsibilities of the Body. If the programmatic oversight is performed by an external body, provide all the available information on its composition.
- 3) Describe the frequency with which the Body reviews the animal care and use programmes and facilities and provide a copy of the last report of this review. If contract facilities, or contractor-provided personnel, are used, describe procedures used by the Body to review such programmes and facilities and provide a copy of the last report of this review.
- 4) If the institution is inspected by competent authorities, comment on the institutional responses to deficiencies noted on the inspection reports. Copies of all Inspection Reports for the past three years should be available for review by the site visitors.
- 5) Describe other procedures for monitoring care and use of animals.

b. **Animal Care and Use Protocols** (A blank copy of your institution's protocol review form should be provided as an attachment)

Describe the process for **reviewing and approving animal study protocols** including the review of research and teaching proposals and ongoing studies and periodic reviews. This applies to all protocols that involve the use of animals (including pilot studies), irrespective of the funding source. Describe how protocols that have a potential to cause pain or distress to animals are reviewed and controlled or overseen.

c. **Physical Restraint**

Note: This section is to include only those protocols that require prolonged restraint. Brief restraint for the purpose of performing routine clinical or experimental procedures need not be described unless the procedure will cause pain or distress.

Describe **special animal restraint devices** that are used or have been used within the last three years. Provide the duration of confinement, the policies for approving the use of the restraint procedures, acclimation procedures, and procedures for monitoring use of the devices.

d. **Multiple Major Survival Surgical Procedures**

Note: One survival surgical procedure followed by a nonsurvival procedure is not included in this category.

- 1) Describe the institution's policy regarding multiple major survival surgery on a single animal.
- 2) Describe the procedure for approving multiple major survival surgery and the criteria used for making a determination.
- 3) Describe the protocols currently approved that require multiple major survival surgical procedures and the time allowed between procedures on the same animal. Give the rationale for approving multiple procedures and the method of institutional monitoring.

e. **Food or Fluid Restriction**

- 1) Describe experimental situations that require food and/or fluid restriction.
- 2) Indicate **justification, extent of restriction, how animal health is monitored, and steps taken to ensure consumption** of a balanced diet.

2. **Veterinary Care**

- a. Describe the **institutional arrangement** for providing adequate veterinary care. Give the veterinarian's name(s), list responsibilities, and how the veterinarian(s) is (are) involved in monitoring the care and use of laboratory animals. If employed full-time by the institution, note the percentage of time devoted to supporting the animal care and use programme of the institution. If employed part-time or as a consultant, note the frequency and duration of visits.
- b. Describe **others'** roles in providing veterinary care.

3. **Personnel Qualifications and Training** (Describe contractor-provided personnel

separately)

- a. **Animal Resource Professional/Management/Supervisory Personnel** (including the veterinary personnel named above).

List name(s), credentials, qualifications, training, experience, and continuing education. Please do **not** provide curriculum vitae of personnel.

- b. **Animal Care Personnel**

Note the number of animal care personnel (a list of names need not be included) and summarize their training, certification level and type, experience, and continuing education opportunities provided.

- c. **Research Staff**

Describe training/educational programme(s) regarding the humane and scientifically acceptable use of animals in research for investigators, instructors, technical personnel, trainees and students, and visiting personnel.

4. **Occupational Health and Safety of Personnel** (Describe contractor-provided programme separately)

- a. **Hazard Identification and Risk Assessment**

Describe institutional policies and procedures used to assess the dangers of procedures that use hazardous biologic, chemical or physical agents and how safeguards against these agents are selected so as to properly enroll personnel in the occupational health and safety programme.

- b. **Personnel Training**

- 1) Describe **special qualifications and training** of staff involved with the use of hazardous agents in animals.
- 2) Describe **educational programme(s)** to inform personnel about zoonoses, personal hygiene, and other considerations regarding occupational health and safety.

- c. **Personal Hygiene and Protection** (Describe contractor-provided programme separately)

- 1) Describe **personal protective equipment and work clothing provided** for animal care personnel, when work assignment involves hazardous agents. Describe arrangements for laundering work clothing.
- 2) Describe provisions for washing hands, changing clothes, and wearing work

clothes outside the facility.

- 3) Describe **policies regarding eating, drinking, and smoking in animal facilities**. Describe eating, drinking, and smoking areas provided for animal care personnel. Note room location(s) and number(s).

d. **Medical Evaluation and Preventive Medicine for Personnel**

- 1) Describe the **occupational health and safety programme** and identify categories of personnel included in the programme and the individual and/or office responsible for monitoring the programme.
- 2) Describe aspects of the health and safety programme that especially **apply to personnel potentially exposed to hazardous agents**. **Describe procedures for reporting** exposure and potential hazards.
- 3) Describe special precautions taken for **personnel who work with nonhuman primates**.

e. **Animal Experimentation Involving Hazards**

- 1) Describe briefly **institutional policies** governing experimentation with hazardous biologic, chemical, and physical agents.
- 2) Describe the **oversight process and husbandry practices** in place to ensure personnel safety.
- 3) Describe **how hazardous agents are contained** within the study environment.
- 4) Describe **how anaesthetic gases are scavenged**.
- 5) List, according to each of the categories listed below, all hazardous or potentially **hazardous agents currently approved** to be used in animals that are or will be maintained for more than a few hours following exposure.
 - a) Biologic agents
 - b) Chemical agents
 - c) Physical agents

Note the hazard level, if applicable, concentration, route of administration, duration of exposure, and how long the animal is maintained following exposure. If the hazardous agents cannot be listed by name for security/proprietary reasons, identify it by the general category of agent and level of hazard.

f. **Facilities, Procedures, and Monitoring**

- 1) Describe **requirements for showers and change facilities** for animal care personnel. Note room number(s) and location(s).
- 2) Describe **procedures** (equipment and instructional) that reduce potential for physical injury.
- 3) If **special facilities** are provided for use with hazardous agents, describe each. Note square metres, number of animal rooms, and support spaces. In addition, describe design features, construction features, and special equipment, especially as they relate to hazard containment. Note if exhaust air is treated.

If special facilities are not available and animals exposed to hazardous agents are housed within conventional animal rooms, so note.

- 4) Describe the **programme for housing and caring** for animals exposed experimentally to the hazardous agents noted above, with emphasis on management and safety practices for containment of each class of agent. Indicate how levels of personnel exposure are assessed.

B. **Animal Environment, Housing, and Management**

1. **Physical Environment**

a. **Housing**

1) **Primary Enclosures**

- a) Describe the cage and pen environments. Include general descriptions of composition, condition, flooring, special ventilation or barrier aspects, access to food and water.
- b) Describe allowance for social interaction, and allowance for normal physiologic and behavioural needs.

2) **Sheltered or Outdoor Housing**

- a) Describe environments in areas such as barns, yards, pastures, and islands.
- b) Describe methods used to protect animals from weather extremes, from predators, and from escape.
- c) Describe protective or escape mechanisms for submissive animals, provisions for enrichment, and efforts to group compatible animals.

- d) Describe the floors or ground surfaces.
- e) Describe how food and water are provided.
- f) Describe how animals are captured.

3) **Naturalistic Environments**

- a) Describe types (forests, pastures, islands) of naturalistic environments and how animals are monitored for animal well-being.
- b) Describe how food, water, and shelter are provided.
- c) Describe how animals are captured.

b. **Animal Space Provisions**

- 1) Describe **references and considerations** used to determine adequate cage or pen size or housing densities.
- 2) Describe space **exceptions** to European Recommendations (Appendix A to ETS 123) and applicable legislation (e.g. Directive 86/609/EEC and national legislation)

c. **Temperature and Humidity**

Describe briefly the heating and air-conditioning system performance. Provide method and frequency for assessing, monitoring, and documenting animal room or housing area temperature and humidity. Note, current detailed (by room) performance data are to be provided as indicated on the enclosed HVAC form. If outdoor housing areas are used, so note.

d. **Ventilation**

- 1) **Briefly describe the performance aspects of the ventilation system.** Provide method and frequency for assessing, monitoring, and documenting the animal room ventilation rates and pressure gradients (with adjacent areas). Note: current (**within the last 12 months**) detailed (by room) information is to be provided as indicated on the enclosed HVAC form.
- 2) Describe ventilation aspects of any special primary enclosures using forced ventilation.
- 3) If any air used in a room or primary enclosure is recycled, describe the source of the air and how gaseous and particulate contaminants are removed.

e. **Illumination**

Describe lighting system, intensity, photoperiod, waterproof light fixtures (yes/no), automatic control (yes/no), windows (yes/no).

f. **Noise**

1) **Describe design features and methods used to control/reduce/prevent excessive noise** in the animal facility.

2) Describe any regularly used **background noise** (e.g., tapes, radio) system in the animal rooms.

2. **Behavioural Management**

a. **Structural environment**

Describe the **structural environment of primary enclosures** that may enhance the well-being of animals housed in cages, pens, or shelters.

b. **Social environment**

1) Describe **efforts made to provide or enhance physical contact** and communication among members of the same species.

2) Describe **steps taken with isolated or individually housed animals** to compensate for the absence of other animals (e.g., interactions with humans, environmental enrichment).

c. **Activity**

1) Describe **provisions to allow animals to exhibit species-typical activity** patterns (e.g., walking dogs, access to pens, opportunity for exploration, foraging, and exercise).

2) Describe **instances of forced activities** for reasons other than to meet therapeutic or approved protocol objectives.

3. **Husbandry**

a. **Food**

1) Describe **type and source** of food stuffs.

2) Describe **storage facilities of vendors**, noting temperature and vermin control measures. If more than one source, describe each.

- 3) Describe storage **facilities in the animal facility** noting temperature and vermin control measures. If more than one facility, describe each.
- 4) Describe **food storage in animal rooms**.
- 5) Describe **food preparation areas**.
- 6) Describe **how food is provided** to various species (*ad libitum*, limited amounts, types of feeders).
- 7) Describe **special food quality control procedures** including procedures for rotating stock, monitoring milling dates, nutritional quality, bio-load, chemical contaminants, etc.

b. Water

- 1) Describe **source, treatment or purification process, and how provided** to the animals (pans, bottles with sipper tubes, automatic watering, etc.).
- 2) Methods of **quality control** including monitoring for contaminants.

c. Bedding

- 1) Describe **type(s), how used, and how selected** for various species (direct or indirect).
- 2) Describe **storage facilities** including vermin control measures (if more than one, describe for each area).
- 3) Describe **bedding quality control procedures** including monitoring for contaminants.

d. Miscellaneous Animal Care and Use Equipment

This section need not be repeated for each animal facility.

- 1) Describe **motorized vehicles** used for transporting animals noting the type and how the cargo compartment is climatically controlled.
- 2) Describe **other animal care related equipment** used in the animal care programme (specialized equipment for exercise or enrichment, high pressure sprayers, vacuum cleaners, etc.).

e. Sanitation

- 1) **Bedding change**

- a) Describe **frequency of contact and non-contact bedding changes** for each species and cage type (solid bottom or suspended) or pen, and if other than recommended in the Guide, the criteria used to determine that frequency.
- b) Describe any **exceptions** approved by the Body to frequencies recommended in the Guide or in applicable regulations.
- c) Note the location **where soiled bedding is removed** from the cages and where clean bedding is placed into the cages.

2) **Cleaning and disinfection of primary enclosures**

- a) Note the **washing/sanitizing frequency** for each of the following:
 - I. Solid bottom cages
 - ii. Suspended wire bottom or slotted floor cages
 - iii. Cage tops (wire and, if applicable, filtered)
 - iv. Cage racks and shelves
 - v. Cage pans under suspended cages
 - vi. Play pens, floor pens, stalls, etc.
 - vii. Corrals for primates or outdoor paddocks for livestock
- b) Describe the **cage and equipment washing/sanitizing procedures** (mechanical washers, hand washing, high pressure sprayers, etc.)
- c) List the **cleaning/sanitizing agents** (specify generic or broad category) used.
- d) Describe any **exceptions approved by the Body** to Guide (or other applicable regulations) recommended sanitation intervals.

3) **Cleaning and disinfection of secondary enclosures**

- a) **Describe animal room cleaning frequency**, procedures (floors, walls, ceilings, ducts, exposed pipes, and fixtures), methods (hose, high pressure washer, vacuum cleaner, hand brushing, mopping, etc.), and cleaning/sanitizing agent(s) (generic name) used.
- b) Describe the **corridor and support area cleaning** frequency and

procedures and cleaning/sanitizing agents (generic name) used.

- c) Describe the **procedures for sanitizing cleaning implements** such as mops and mop buckets.
- d) Note those **cleaning implements that are shared among animal rooms** and those that are provided for each room and not moved between animal rooms.

4) **Sanitation of Cage Equipment**

- a) Describe **sanitation procedures and frequency for feeders** including those used with animal enhancement/exercise programmes and portable cages as well as pens, runs, stalls, etc.
- b) Describe **sanitation procedures and frequency for watering devices** such as bottles, sipper tubes, bowls, automatic watering systems (distribution lines, connection coils, rack manifolds, valves), etc.
- c) Describe **sanitation procedures and frequency for exercise devices, manipulanda used in environmental enrichment programme, etc.**

5) **Sanitation of Transport Cages, Equipment, and Vehicles**

Describe **frequency and procedures for sanitizing transport cages, equipment, and vehicles** used for transporting animals, clean cages, feed and bedding, etc.

6) **Assessing the effectiveness of sanitation**

Describe how the **effectiveness of sanitization procedures** is monitored (water temperature monitoring, microbiologic monitoring, visual inspections, etc.).

f. **Waste Disposal**

Describe the **handling, storage, method and frequency of disposal, and final disposal location** for each of the following:

- 1) Soiled bedding and refuse
- 2) Animal carcasses
- 3) Hazardous wastes - infectious, toxic, radioactive

g. **Pest Control**

- 1) Describe the **programme for controlling pests** (insects, rodents, etc.) noting the control agent(s) used, where applied, and who oversees the programme and applies the agent(s).
- 2) Note **how animal users are informed** of pesticide use and how animal users may elect not to have their animals exposed to pesticides.

h. **Emergency, Weekend, and Holiday Care**

- 1) Describe **procedures for providing weekend and holiday care**. Indicate who (e.g. regular animal care staff, students, part-time staff, etc.) provides and oversees care and what procedures are performed. Indicate qualifications of weekend/holiday staff if not regular staff.
- 2) Describe **procedures for contacting responsible animal care and/or veterinary personnel** in case of an emergency.
- 3) Describe **procedures for monitoring animal facility mechanical systems** and notifying appropriate personnel in the event of a significant failure that occurs outside regular work hours.
- 4) Briefly describe **the plan for responding to a disaster** and identify those institutional components which would participate in the response.

4. **Population Management**

a. **Identification and Records**

- 1) Describe **animal identification methods** for each species (e.g., cage cards, tattoo, neck chains, etc.). Indicate information contained on cage cards.
- 2) Describe **procedure(s) for maintaining individual records** on animals. Identify the species for which individual records are maintained, individuals (titles, not necessarily names) responsible for maintaining the records, and

where they are maintained and how access is assured for veterinarian(s) and the Body.

b. Genetics and Nomenclature

- 1) **Describe programme for advising investigators** on selection of animals based on genetic characteristics.
- 2) Describe programme for advising investigators on **using standardized nomenclature** to ensure proper reporting of the identification of the research animals with regard to both the strain and substrain or the genetic background of all animals used in a study.
- 3) If **breeding colonies** are maintained:
 - a) Note the species, stock or strain, and the number of generations they have been separated from parent line.
 - b) Describe the breeding schemes used to ensure homozygosity of inbred strains or heterogeneity of outbred stocks and to minimize genetic drift.
 - c) Describe the genetic monitoring programme to ensure homozygosity and genetic uniformity and continuity of inbred animals.
 - d) Note if a substrain designation identifying the genetic background of the animals is used routinely when reporting the results of experiments involving animals from in-house breeding colonies.

C. Veterinary Medical Care

1. Animal Procurement and Transport

- a. Describe **method for evaluating the quality of animals** supplied by a potential source of animals.
- b. Describe **how animals are transported** between dealers and the institution and how they are transported within the institution.

2. Preventive Medicine

a. Quarantine, Stabilization, and Separation

- 1) Describe the **initial animal receipt and evaluation** procedures for each species.
- 2) Describe **quarantine facilities and procedures** for each species that are purpose bred (rodents, rabbits, dogs, etc.).

- 3) Describe **quarantine/conditioning facilities and procedures** for each random source (not bred and raised specifically for research) species used (sheep, pigs, etc.).
- 4) Describe **isolation facilities and procedures** for ill animals.
- 5) Describe **periods for physiologic, psychologic, and nutritional stabilization** used.
- 6) Describe **programme for separation of animals** by species, source, and health status. If not maintained separately, describe circumstances where mixing occurs and rationale for mixing.

b. Surveillance, Diagnosis, Treatment, and Control of Disease

1) **Programme**

- a) Describe **procedure and identify person(s) responsible** for daily observation of animals for illness or abnormal behaviour, their training for this responsibility, and procedure for reporting observations (written or verbal).
- b) Describe **procedure for providing veterinary medical care** to ill animals and note the chain of command for and mode of communicating (written or verbal) information to the veterinarian regarding sick animals.
- c) Describe **procedure for maintaining medical records**, documenting treatment of ill animals including: clinical laboratory findings, diagnosis, treatments, medical progress, etc. Identify individual(s) (titles, not necessarily names) responsible for maintaining such records and where the records are maintained.
- d) Describe **preventive medicine programmes** (TB testing, vaccination, vendor surveillance, etc.) for each species.
- e) Describe **programme for monitoring the health status** of in-house breeding colonies and other animals housed in facilities (e.g., sentinel animals, etc.).

2) **Diagnostic Resources**

Describe **available diagnostic capabilities** including:

- a) Diagnostic laboratory facilities and equipment. Note the clinical laboratory capabilities and summarize annual activity.

- b) Necropsy facilities and histopathology capabilities. Summarize annual activity.
- c) If diagnostic services are provided routinely by laboratories outside the animal care unit, identify the laboratories (if commercial, simply state "commercial" - a company name is not required), the types of laboratory services provided routinely, and the arrangement for the services. Summarize annual usage.
- d) Radiology facilities and equipment. Summarize annual activity.

3. **Surgery**

a. **Surgical Monitoring**

Name and describe the person or persons responsible for overseeing the surgical programme.

b. **Presurgical Planning**

Describe the process(es) used to assure adequate pre-surgical planning: identifying personnel; locating equipment, supplies, and facilities; planning pre- and postoperative care.

c. **Training Programme**

Describe the **content of the training programme or sessions** and the credentials of persons providing the instruction.

d. **Major and Minor Procedures**

- 1) Describe **criteria used to differentiate major from minor and survival from nonsurvival procedures.**
- 2) Describe **practices employed during nonsurvival procedures.**

e. **Aseptic Procedures**

- 1) Describe **procedures and equipment used to assure aseptic surgical technique.** Include patient and surgeon preparation.
- 2) Describe **methods used to sterilize instruments and protective clothing.** Indicate how effectiveness of sterilization is monitored.

f. **Surgical Facility Use**

Note the approximate number of surgical procedures performed per year in each facility. If the surgery room is used for activities other than performing aseptic procedures, note what nonsurgical function it serves, the relative time used for surgery versus nonsurgery functions and how the room is prepared for aseptic surgery.

g. Postsurgical Actions

Describe the **postsurgical care programme at each location** including who is responsible for overseeing and providing the care; types of records maintained; where maintained, etc.

h. Mammalian Survival Procedures (non-rodent, non-production farm environment)

- 1) List the location(s) (include room numbers) **where survival surgical procedures are performed** on nonrodent, non-production farm animal, mammalian species and name the professional responsible for the management of each surgery facility. Describe the qualifications of the surgical technicians providing surgical support services in each area. (Note: a description of the surgery facilities is requested later in the outline.)
- 2) Describe the **surgical programme for each location** (species used, types of procedures, frequency, prevention of infection of operative sites, etc.).
- 3) List the **major surgical support equipment available at each location** (gas anaesthesia machines, respirators, etc.).
- 4) Describe the **training and experience of personnel performing the surgery** at each location.

I. Rodent Survival Procedures

List the locations (room numbers) where **survival surgical procedures are performed on rodents**, the type of procedure, and describe briefly the techniques used to prevent infection of surgical sites.

j. Farm Animal Procedures

- 1) List the location(s) (include room numbers) where **survival surgical procedures are performed on farm animal species** and name the professional responsible for the management of each surgery facility. Describe the **qualifications of the surgical technicians** providing surgical support services in each area. (Note: a description of the surgery facilities is requested later in the outline.)

- 2) Describe the **surgical programme** (species used, types of procedures, frequency, prevention of infection of operative sites, etc.).
- 3) List the **major surgical support equipment available** at each location (gas anaesthesia machines, respirators, etc.).
- 4) Describe the **qualifications of personnel performing the surgery** at each location.

k. Survival, Non-Mammalian Procedures

List the locations (room numbers) **where survival surgical procedures are performed on non-mammals**, the type of procedure, and describe briefly the techniques used to prevent infection of operative sites.

l. Nonsurvival Procedures

- 1) List the **location(s) (include room numbers) where nonsurvival procedures are performed on nonrodent mammalian** species and name the professional responsible for the management of each surgery facility. Describe the qualifications of the surgical technicians providing surgical support services in each area. (Note: a description of the surgery facilities is requested later in the outline.)
- 2) Describe the **surgical programme for each location** (species used, types of procedures, frequency, length of study, etc.).
- 3) List the **major surgical support equipment available** at each location (gas anaesthesia machines, respirators, etc.).
- 4) Describe the **training and experience of personnel performing the surgery** at each location.

4. Pain, Distress, Analgesia, and Anaesthesia

- a. Describe **how and by whom levels of pain and distress are assessed** and categorized.
- b. Identify **guidelines by the Body for ensuring unnecessary pain or distress is avoided** (e.g., criteria for euthanasia if tumor gets too large).
- c. List the **agents used for each species**. Dosages, routes of administration and drug combination should be included in SOPs and available at the time of the site visit. Describe also any nonpharmacologic means used to moderate pain.
- d. Describe **how the veterinarian provides guidelines and advice concerning**

choice and use of drugs.

- e. Describe **how the use of anaesthetics and analgesics is monitored** and by whom.
- f. Note **training and experience** required to perform anaesthesia.
- g. Describe **safety procedures for using volatile anaesthetics** and provisions for waste anaesthetic gas scavenging.

5. Euthanasia

- a. Describe **methods used for each species.**
- b. Describe **training and experience of personnel carrying out euthanasia procedures.**

6. Drug Storage and Control

- a. Describe **general storage arrangements for both controlled and noncontrolled drugs.**
- b. Describe **record keeping procedures for controlled substances.**
- c. Describe **procedures used to ensure drugs and supplies are within date of expiration.**

D. Physical Plant

1. Functional Areas

Repeat this section for each animal housing area and attach floor plans of each on A4 size paper.

- a. **Overview of General Arrangement and Condition of Facility** - Location and General Arrangements.
 - 1) Note the **location of the animal facility** (building, floor, wing, etc.).
 - 2) Describe the **physical relationship of the animal facilities to the research laboratories.**
 - 3) Describe the **general arrangement of the animal facilities** (conventional, clean/dirty corridor, etc.).
 - 4) Note **specialized types of available animal housing** spaces such as barrier or hazard containment (infectious, radioactive, chemical), or

facilities designed specially for housing certain species of animals such as pens for dogs, pigs, sheep, nonhuman primates, etc.

- 5) If "**animal cubicles**" (also known as "Illinois Cubicles, "Horsfal Cubicles," and "animal modules") are available.

b. Functional Space (for animal care and use)

- 1) For traditional biomedical facilities, note the number of animal housing rooms and total square metres of animal housing space allocated as follows:

- a) Indoor space fully air-conditioned and heated.
- b) Indoor space heated but not air-conditioned.
- c) Indoor space not environmentally controlled such as barns.
- d) Outdoor facilities such as kennels and large animal pens/pasture.

- 2) For "farm" facilities, note the number of animal housing rooms/spaces and total square metres or hectares of animal housing space allocated as below:

- a) Indoor space fully air-conditioned.
- b) Indoor space heated but not air-conditioned.
- c) Indoor space not environmentally controlled such as barns.
- d) Outdoor facilities such as kennels and large animal pens.
- e) Number of hectares (pasture) and location relative to main facility(ies).

c. Support Areas

- 1) Note the following necessary support areas of the animal care programme, including the number of rooms and total square metres available for each activity.

- a) Receiving
- b) Quarantine for rodents and rabbits
- c) Quarantine for random source animals such as pigs, sheep, etc.

- d) Isolation for sick animals
- e) Aseptic surgery
- f) Necropsy
- g) Radiography/fluoroscopy/whole body radiation
- h) Diet kitchen
- I) Food storage
- j) Bedding storage
- k) Cage washing and sanitizing
- l) Clean cage storage
- m) Incinerator and other waste disposal facilities
- n) Laboratory for diagnosis and control of laboratory animal diseases
- o) Animal procedure laboratories

- p) Showers, sinks, lockers, toilets for animal care personnel
- q) Service corridors
- r) Lounge area for animal care personnel
- s) Administrative space devoted to support of the animal care programme
- t) Mechanical

2. **Construction Guidelines**

a. **Corridors in Animal Facility**

- 1) Describe **composition** of surfaces, dimensions, and devices for protecting walls, corners.
- 2) Describe **circumstances in which animals or caging equipment are transported** in common use corridors or elevators.

b. **Animal Room Doors**

Describe the doors (height, width, material, view panel).

c. **Exterior Windows**

Describe **presence of exterior windows** in animal rooms that allow natural photo periods or public observation into the room.

d. **Floors**

Describe **composition and present condition** of floors in animal facilities.

e. **Drainage and Plumbing**

Describe **drains (size, design) and plumbing arrangements** in animal rooms, pens, and pastures and in cagewash areas.

f. **Walls**

Describe **composition and present condition of walls** in animal housing and use areas and in sanitization areas.

g. **Ceilings**

Describe **composition and present condition** of ceilings in animal housing and use areas and in sanitization areas.

h. Heating, Ventilation, and Air Conditioning (HVAC)

Describe the **performance aspects** of the HVAC system. Use the form enclosed.

I. Power and Lighting

- 1) Describe the **physical aspects** (location, type) of electrical power arrangements and components. Note if the electrical receptacles and switches are moisture-proof.
- 2) Note if **emergency power is provided** for the animal facility and if so, what electrical services it maintains in the event the primary power source fails.
- 3) Give **history of power failures** to the animal facility. Note frequency and duration. If emergency power was not available during a power failure, describe steps taken to assure the comfort and well-being of the animals and the temperature extremes reached in the animal rooms during the failure.
- 4) Describe **animal losses or health problems resulting from power failures (if any)**.

j. Storage Areas

Describe storage facilities for cages, equipment, supplies, and flammable or hazardous agents and materials.

k. Noise Control

Describe physical methods for controlling excessive noise (e.g., materials used, location,, however do not duplicate II.B.1.f.1).

l. Facilities for Sanitizing Materials

1) **Location**

Describe the **location of the cage sanitation facilities** relative to the animal rooms serviced. If the animal facility being described does not have a cage sanitation facility, describe the means of transporting the cages and the route traveled between the animal rooms and the cage sanitation facility.

2) **General Features**

Describe the **traffic flow pattern** within the cage sanitation facility (soiled to clean side, or in and out) and construction features (room surfaces, ventilation rates, temperature control).

3) **Equipment**

Describe **built-in cage sanitation equipment** (chest washers, cage and rack washer, tunnel washer, bottle washer, etc.) **and other related equipment** such as disposal units and bedding dispensing units.

3. **Nonrodent Mammalian Aseptic Surgery**

a. **Facilities for Aseptic Surgery**

Repeat this section for each surgery facility used for performing surgery on nonrodent mammalian species.

Note: The performance of major surgical procedures in nonrodent mammalian species requires facilities for the following functions: animal preparation, instrument and sterile supply preparation and storage, dressing areas for changing into surgical attire, surgeons scrub, operating, and animal recovery. In accordance with the Guide, a separate room is not required for each activity. However, functions that must be separated physically are: the operating room, which should ordinarily be dedicated to aseptic procedures; the animal preparation room; instrument and sterile supply preparation and storage. In addition, an area equipped with surgical scrub sinks should be close to, but apart from, the operating room.

1) Describe **where the above noted surgical support functions are provided**, the relative location and size (square metres) of each room or area.

2) Describe **construction features of the operating room(s)** to include interior surfaces, ventilation (room air exchange rate and if the room air is recirculated or discarded), lighting, moisture-proof outlets, provision for scavenging or exhausting waste anaesthetic gases, fixed equipment (i.e., surgical lights, cabinets, sinks, benches, etc.).

b. **Contamination Control**

Describe **measures to control spread of potential contaminants** in the surgical areas. Note traffic and airflow control, physical barriers, and sanitization procedures.

c. **Surgical Support Areas**

Describe **composition of surfaces, general contents, and arrangements** and location of surgical support areas.

d. **Post-Operative Recovery Area**

Describe **composition of surfaces and general contents, and location** of post-operative recovery area.

4. **Farm Animals or Field Studies**

Describe **facilities, care and use practices** for farm animals if maintained in animal units not addressed previously.

5. **Describe procedures for maintaining security in animal housing area.**

Describe, such features as perimeter fences, gates, entry ways, cameras, night patrols.

EXAMPLE

ANIMAL USAGE

In order to assist the site visitors in their evaluation of the animal care and use programme, please provide the information requested below. Information, organized by species should be given on all animals used in research, teaching or testing, including those which may be used or housed in laboratories outside the animal care facility. Of particular interest is information on those animals which are used in research projects involving recovery surgical procedures, behavioural or other testing requiring chairing or other forms of restraint, or exposure to potentially hazardous materials.

TYPE OF PROCEDURES	# OF PROTOCOLS	SPECIES	APPROX #/YEAR	PRINCIPAL INVESTIGATOR	LOCATION OF USE
Liver macrophage-harvest euthanized	15	mice	1500	J. A. Smith M. J. Tyson A. M. Knight	Rm. 047 Rm. 078 Rm. 098
Embryo transfer	5	mice	2500		
Stapling devices-survival surgery	1	dogs	15	K. C. Day	Rm. 718
Thoracotomy/vascular implant-survival surgery	6	dogs	10		
Bone grafting	2	dogs	12		
Teaching demonstration	1	dogs	02		
Catherization (chaired)	2	NH primates	04		
Infectious disease	2	NH primates	45		
Neurosurgery	4	grey squirrel	15		
Motor nerve stimulator implantation	1	pigs	16		
Pyrogen testing	2	rabbits	35		
Antibody production-Freunds Adj	1	rabbits	09		
Corneal laser surgery	4	rabbits	24		

Use additional pages for presentation of animal usage if necessary

EXAMPLE

BLANK FORM ON REVERSE

ANIMAL USAGE

TYPE OF PROCEDURES	# OF PROTOCOLS	SPECIES	APPROX #/YEAR	PRINCIPAL INVESTIGATOR	LOCATION OF USE
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Use additional pages for presentation of animal usage if necessary

EXAMPLE

BLANK FORM ON REVERSE

HEATING, VENTILATING & AIR CONDITIONING (HVAC) SYSTEM

Summarize the heating, ventilation and air conditioning (HVAC) information for each animal room/support facility indicating: a) source(s) of air, b) air recirculation rates if other than fresh air, c) air exchange rates, d) relative pressure differentials, e) humidity control, and f) date of most recent measurement/evaluation. Information may be provided in another format, providing all requested data is included. HVAC information should be provided from assessments obtained within the past 12 months.

Room No.	Use	Air Source % Fresh/Recirculated	Treatment Filtered/Absorbers, etc.	Air Changes	Pressure €	Humidity Control	Date Assessed
10	Surgery	100% Fresh	HEPA	15	+	Y	8/92
125	Holding Room	100% Fresh	HEPA	12	-	Y	8/92
135	Holding Room	100% Fresh	Coarse filter/charcoal	10	-	Y	8/92
150	Treatment Room	100% Fresh	None	10	-	Y	7/92
175	Necropsy	100% Fresh	HEPA	15	-	Y	7/92
200	Cage Wash	30% Recirculated	Coarse filter	15	-	Y	7/92
210	Feed Storage	50% Recirculated	Coarse filter	10	-	Y	7/92
215	Storage	70% Recirculated	Coarse filter	08	-	Y	4/92
300	SPF Room	100% Fresh	HEPA	15	+	Y	4/92
A100	Swine Facility	100% Fresh	N/A	variable fan	N/A	N	
A-12	Pole Barn	100% Fresh	N/A	climate dependent	N/A	N	

HEATING, VENTILATING & AIR CONDITIONING (HVAC) SYSTEM

Summarize the heating, ventilation and air conditioning (HVAC) information for each animal room/facility indicating: a) source(s) of air, b) air recirculation rates if other than fresh air, c) air exchange rates, d) relative pressure differentials, e) humidity control, and f) date of most recent measurement/evaluation. Information may be provided in another format, providing all requested data is included. HVAC information should be provided from assessments obtained within the past 12 months.

Room No.	Use	Air Source % Fresh/Recirculated	Treatment Filtered/Absorbers, etc.	Air Changes	Pressure €	Humidity Control	Date Assessed
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Use additional pages for presentation of HVAC if necessary