

UW-Madison Animal Care and Use Program Review Worksheet: Fall 2018

(based on Defining the Animal Care and Use Program, Lab Animal 34(10) 41-44, *Guide for the Care and Use of Laboratory Animals 8th ed.*, and *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching 3rd ed.*)

(I). Physical Plant: “A well-planned, well-designed, well-constructed, and properly maintained and managed facility is an important element of humane animal care and use as it facilitates efficient, economical, and safe operation.” (*Guide*, p.133). This includes animal facilities not located on the main campus (e.g., Agricultural Research Stations).

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

(II). Animal Environment, Housing, and Management: “An appropriate program provides environments, housing, and management that are well-suited for the species or strains of animals maintained and takes into account their physical, physiologic, and behavioral needs, allowing them to grow, mature, and reproduce normally while providing for their health and well-being.” (*Guide*, p.41). Adequate management requires appropriate and sufficient physical, procedural, and human resources. This includes the special needs of aquatic species, and animal facilities not located on the main campus (e.g., Agricultural Research Stations).

A. When providing animal housing the institution considers the appropriateness of: <ul style="list-style-type: none"> • the shape, size, and construction of the animals’ primary enclosures (cage, pen, etc.) • temperature, humidity, ventilation, and illumination
IACUC response:
B. When providing animal housing the institution considers the appropriateness of behavioral management. That is, environmental enrichment and social housing programs are beneficial to animal well-being and are consistent with the goals of animal use (includes meeting needs for social housing and/or environmental enrichment, exercise for dogs, and promotion of the psychological well-being of nonhuman primates).
IACUC response:
C. In assuring appropriate management of animals and animal facilities the institution considers: <ul style="list-style-type: none"> • animal husbandry, including selection, storage, preparation, and provision of food, bedding, and water • population management, including animal identification (cage cards, ear tags, tattoos, etc.) and records • weekend and holiday animal care • sanitation of enclosures and physical plant • integrated pest control programs
IACUC response:
D. Furthermore, the institution considers: <ul style="list-style-type: none"> • facility security and biosecurity • preparation of a disaster plan that takes into account both personnel and animals • personnel security (pre-employment screening, etc.)
IACUC response:
E. Methods exist to monitor and maintain the physical, procedural, and human contributions to adequate animal environment, housing, and management to ensure that they meet performance standards for all animals. That is, facilities are checked to ensure animals are fed, watered, cared for, and protected in species-appropriate ways.
IACUC response:
F. Facilities in which animals are housed and used are secure and provide animal and human safety. That is, access to animals in facilities is controlled, monitored, and/or documented.
IACUC response:
G. Departures from The Guide are identified, discussed, and approved by the ACUC.
IACUC response:
H. Procedures exist to identify, communicate, and correct deficiencies in animal environment, housing, and management.
IACUC response:
<i>I. Other criteria that should be used to evaluate animal environment, housing, management & the animal program?</i>
IACUC response:

(III). Personnel Qualifications and Training: “All personnel involved with the care and use of animals must be adequately educated, trained, and/or qualified in basic principles of laboratory animal science to help ensure high-quality science and animal well-being. ...Institutions are responsible for providing appropriate resources to support personnel training and the IACUC is responsible for providing oversight and for evaluating the effectiveness of the training program.” (*Guide*, p.15). Personnel represent both a tremendous resource and a source of complexity in maintaining an effective Program. In

view of the importance of training and the diversity of training needs, the training program must be comprehensive and flexible.

A. All categories of personnel that constitute the animal research and care community receive adequate and appropriate training, including: <ul style="list-style-type: none">• animal care staff• management and supervisory personnel• research personnel (investigators, instructors, technicians, trainees, students)• IACUC members• Institutional Official• veterinarians and veterinary staff• physical plant and security staff
IACUC response:
B. As appropriate, each member of the animal research and care community (as listed above) understands: <ul style="list-style-type: none">• the components of the animal care and use Program• his or her role within that Program• how that role interacts with the roles of other members of the community
IACUC response:
C. <u>Initial</u> formal and/or on-the-job training in Program goals and the humane care and use of animals is provided.
IACUC response:
D. Personnel using or caring for animals participate regularly in <u>continuing</u> education activities relevant to their responsibilities.
IACUC response:
E. Documentation of training exists and is accessible.
IACUC response:
F. The effectiveness of the initial and continuing training of individuals working with animals is regularly evaluated.
IACUC response:
G. Procedures exist to identify, communicate, and correct deficiencies in training.
IACUC response:
<i>H. Other criteria that should be used to evaluate training & the animal program?</i>
IACUC response:

(IV). Occupational Health and Safety: “Each institution must establish and maintain an occupational health and safety program (OHSP) as an essential part of the overall animal care and use program of animal care and use.... An effective OHSP requires coordination between the research program (as represented by the investigator), the animal care and use program (as represented by the A.V., I.O. and IACUC), the environmental health and safety program, occupational health services, and administration (e.g., human resources, finance, and facility-maintenance personnel).” (*Guide*, p.17).

A. The UW-Madison Occupational Health and Safety Program performs hazard identification and risk assessment associated with: • animal care • animal experimentation • teaching using animals • outreach using animals • field studies using wild animals
IACUC response:
B. The UW-Madison Occupational Health and Safety Program provides initial and continuing medical evaluation and preventive medicine for personnel with animal contact.
IACUC response:
C. The UW-Madison Occupational Health and Safety Program identifies and provides occupational safety training to animal users including appropriate hygiene practices and instruction in appropriate PPE.
IACUC response:
D. The UW-Madison Occupational Health and Safety Program monitors animal users, facilities, and procedures.
IACUC response:
E. The ACUC and the institution monitor the effectiveness of the Occupational Health and Safety program.
IACUC response:
F. Procedures exist to identify, communicate, and correct deficiencies in the Occupational Health and Safety program.
IACUC response:
G. <i>Other criteria that should be used to evaluate the Occupational Health and Safety Program for the animal program?</i>
IACUC response:

(V). Veterinary Medical Care: “Veterinary care is an essential part of an animal care and use program. The primary focus of the veterinarian is to oversee the well-being and clinical care of animals used in research, testing, teaching, and production. This responsibility extends to monitoring and promoting animal well-being at all times during animals use and during all phases of the animal’s life. ...The veterinary care program is the responsibility of the attending veterinarian.” (*Guide*, pp.105-106). Adequate veterinary care is a Program component that closely affects all other components.

A. The Program has access to and meets appropriate performance standards for animal procurement and transportation.
IACUC response:
B. The Program has access to and meets appropriate performance standards for preventive medicine, including animal quarantine, stabilization, and separation, as well as surveillance, diagnosis, treatment, and control of disease.
IACUC response:
C. The Program has access to and meets appropriate performance standards for management of experiment-associated disease, disability, or other sequelae.
IACUC response:
D. The Program has access to and meets appropriate performance standards for assessment of animal well-being. Veterinary access to all animals is provided.
IACUC response:
E. The Program has access to and meets appropriate performance standards for establishment of adequate surgical and post-surgical care, including proper use of anesthesia and analgesia. Agents that provide anesthesia and analgesia

(1) must be used before their expiration dates and (2) should be acquired, stored, their use recorded, and disposed of legally and safely.
IACUC response:
F. The Program has access to and meets appropriate performance standards for proper selection and conduct of euthanasia.
IACUC response:
G. The Program has access to and meets appropriate performance standards for veterinary participation in protocol development and review.
IACUC response:
H. There are a sufficient number of veterinarians and veterinary technicians trained to meet Program needs.
IACUC response:
I. There is effective evaluation and mentoring of research animal veterinarians to meet Program needs.
IACUC response:
J. A mechanism exists for direct and frequent communication to ensure that timely and accurate information about problems associated with animal health, behavior, and well-being information is conveyed to the veterinary staff.
IACUC response:
K. Mechanisms exist to ensure appropriate veterinary participation in decisions regarding animal husbandry, preventive medicine, and experiment planning and conduct, including surgical and post-surgical care.
IACUC response:
L. Veterinarians are provided with sufficient authority to carry out their duties. Direct or delegated authority is given to the veterinarians to oversee all aspects of animal care and use.
IACUC response:
M. Records document provision of adequate veterinary care to all animals. Veterinarians have access to these records.
IACUC response:
N. The institution monitors the effectiveness of the Veterinary Care program.
IACUC response:
O. Procedures exist to identify, communicate, and correct deficiencies in the Veterinary Care program.
IACUC response:
P. The veterinary program offers a high quality of care and ethical standards appropriate to the species and the program.
IACUC response:
Q. <i>Other criteria that should be used to evaluate the program of veterinary care within the animal program?</i>
IACUC response:

(VI). Institutional Animal Care and Use Committee (IACUC): “The responsibility of the IACUC is to oversee and routinely evaluate the program.” (*Guide*, p.24). More than any other group, the IACUC is directly responsible for ensuring the adequacy of all aspects of the Program and can protect the institution’s privilege to use animals in research, testing, or education.

A. The ACUC is duly constituted according to the AWA and PHS Policy, and meets as necessary to fulfill its responsibilities.
IACUC response:
B. The ACUC members understand the role and responsibilities of the ACUC.

IACUC response:
C. The ACUC members receive suitable orientation, background materials, and specific training in understanding and evaluating issues brought before the committee. Training consists of a formal orientation to the institution's program; an overview of legislation, regulations, guidelines, and policies; and instruction on how to conduct protocol review, inspect facilities and labs, and evaluate the program. Committee member training includes both initial and ongoing training/education.
IACUC response:
D. The ACUCs review and evaluate the Animal Program semiannually.
IACUC response:
E. The ACUCs inspect and evaluate animal activity areas semiannually, including identified animal barrier vivaria and labs where animals go for procedures, surgery areas, transport vehicles, "temporary" housing, etc.
IACUC response:
F. The ACUCs evaluate drug storage and control programs in animal areas.
IACUC response:
G. The ACUCs review proposed uses of animals in research, teaching and outreach (i.e., protocols), including special review requirements regarding physical restraint, multiple major surgical procedures, food or fluid restriction, and the use of pharmaceutical grade chemicals. ACUC members named in protocols or with other conflicts recuse themselves from protocol decisions. ACUC oversight of approved use continues post-approval.
IACUC response:
H. Departures from The Guide are identified, discussed, and approved by the ACUC.
IACUC response:
I. A mechanism is established for receipt and review of concerns involving the care and use of animals at the institution, including the establishment of a "Whistleblower Policy."
IACUC response:
J. All minority reports submitted by appointed ACUC members with voting privileges were handled in according with applicable OLAW and USDA regulations.
IACUC response:
K. The ACUCs have the authority to suspend animal activities that do not comply with regulations and policies.
IACUC response:
L. The ACUCs submit reports to institutional officials.
IACUC response:
M. The ACUCs advise and make recommendations to the Institutional Official on any aspect of the Program.
IACUC response:
N. The institution backs the authority of the ACUCs.
IACUC response:
O. An effective mechanism exists for direct and frequent communication to ensure that timely and accurate information is conveyed to the ACUC regarding problems in any Program component.
IACUC response:
P. The ACUCs have adequate administrative support.
IACUC response:
Q. Methods exist to monitor and maintain committee activities and effectiveness in support of the Program.
IACUC response:

R. Procedures exist to identify, communicate, and correct deficiencies.
IACUC response:
S. <i>Other criteria that should be used to evaluate the ACUCs' role in the animal program?</i>
IACUC response:

(VII). Institutional Official (IO): Each institution must appoint an institutional official, who legally commits the institution to meet all requirements embodied in the AWA, AWRs, and PHS Policy by ensuring that the Program satisfies all performance criteria described in the Guide. The IO has the authority to allocate the resources needed to ensure the program's overall effectiveness (*Guide*, p.13). The Institutional Official must have a working understanding of his/her role in the animal program.

A. The ACUC has not identified any deficiencies in the I.O.'s understanding of Program structure.
IACUC response:
B. The ACUC believes the IO monitors Program functions, including IACUC activities and membership.
IACUC response:
C. The ACUC has not identified any deficiencies in the administrative, financial, and legal support for the Program of Animal Care.
IACUC response:
D. The ACUC believes the IO receives appropriate and timely communications from the ACUC and other members of the Program, and carries out appropriate follow-ups and responses.
IACUC response:
E. The IO has demonstrated authority to enforce Program policies to the ACUC's satisfaction.
IACUC response:
F. Annual and other reports are submitted to federal agencies in a timely manner by the IO.
IACUC response:
G. Methods exist to monitor and evaluate the effectiveness of the IO.
IACUC response:
H. <i>Other criteria that should be used to evaluate the IOs' role in the animal program?</i>
IACUC response:

Sections VIII and IX of this Worksheet are designed for internal self-evaluation purposes only. The institution is not obligated to communicate the findings of these sections to USDA, OLAW, or AAALAC unless those findings identify a program deficiency considered reportable by those agencies.

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

A. There is a cadre of individuals with expertise and understanding regarding Program components who can evaluate Program adequacy.
IACUC response:
B. There is strong and well-informed administrative coordination of efforts to support the Program.
IACUC response:
C. The ACUC believes that within its school/college Program there is effective and timely communication among veterinarians, principal investigators, the Committee, and the school/college administration so that each of these groups can carry out its designated responsibilities.

IACUC response:
D. The ACUC believes that campus-wide there is effective and timely communication among Program administration, veterinarians, principal investigators, the Committee, and the Institutional Official (IO) so that each of these groups can carry out its designated responsibilities.
IACUC response:
E. There are sufficient financial, physical, procedural, and human resources to meet Program requirements.
IACUC response:
F. There is school/college-wide recognition of the need for and practice of compliance; that is, all Program personnel and participants accept that they must follow the rules.
IACUC response:
G. Methods exist to monitor program integration to ensure that all Program elements function well together.
IACUC response:
H. Procedures exist to identify, communicate, and correct deficiencies in program integration.
IACUC response:
I. Other criteria that should be used to evaluate integration of the animal program?
IACUC response:

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

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