|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1. **Semiannual Facility Inspection Checklist**   **Terrestrial Animal Housing and Support Areas** | | | | | | |
| **Date:** | | | | | | |
| **Location:** | | | | | | |
|  | | **A\*** | **M** | **S** | **C** | **NA** |
| * **Location:** | | | | | | |
| * animal areas separate from personnel areas (*Guide*, [p 134](http://www.nap.edu/openbook.php?record_id=12910&page=134)) | |  |  |  |  |  |
| * separation of species (*Guide*, [p 111](http://www.nap.edu/openbook.php?record_id=12910&page=111)) | |  |  |  |  |  |
| * separation by disease status (*Guide*, [p 111](http://www.nap.edu/openbook.php?record_id=12910&page=111)) | |  |  |  |  |  |
| * security and access control (*Guide*, [p 151](http://www.nap.edu/openbook.php?record_id=12910&page=151)) | |  |  |  |  |  |
| * **Construction:** | | | | | | |
| * corridors (*Guide*, [p 136](http://www.nap.edu/openbook.php?record_id=12910&page=136)) | |  |  |  |  |  |
| * animal room doors (*Guide*, [p 137](http://www.nap.edu/openbook.php?record_id=12910&page=137)) | |  |  |  |  |  |
| * exterior windows (*Guide*, [p 137](http://www.nap.edu/openbook.php?record_id=12910&page=137)) | |  |  |  |  |  |
| * floors (*Guide*, [p 137](http://www.nap.edu/openbook.php?record_id=12910&page=137)) | |  |  |  |  |  |
| * drainage (*Guide*, [p 138](http://www.nap.edu/openbook.php?record_id=12910&page=138)) | |  |  |  |  |  |
| * walls and ceilings (*Guide*, [p 138](http://www.nap.edu/openbook.php?record_id=12910&page=138)) | |  |  |  |  |  |
| * heating ventilation and air conditioning (*Guide*, [p 139](http://www.nap.edu/openbook.php?record_id=12910&page=139)) | |  |  |  |  |  |
| * power and lighting (*Guide*, [p 141](http://www.nap.edu/openbook.php?record_id=12910&page=141)) | |  |  |  |  |  |
| * noise control (*Guide*, [p 142](http://www.nap.edu/openbook.php?record_id=12910&page=142)) | |  |  |  |  |  |
| * vibration control (*Guide*, [p 142](http://www.nap.edu/openbook.php?record_id=12910&page=142)) | |  |  |  |  |  |
| * environmental monitoring (*Guide*, [p 143](http://www.nap.edu/openbook.php?record_id=12910&page=143)) | |  |  |  |  |  |
| * **Room/Cage:** | | | | | | |
| * temperature and humidity (*Guide*, [p 43](http://www.nap.edu/openbook.php?record_id=12910&page=43)) | |  |  |  |  |  |
| * ventilation and air quality (*Guide*, [p 45](http://www.nap.edu/openbook.php?record_id=12910&page=45)) | |  |  |  |  |  |
| * illumination (*Guide*, [p 47](http://www.nap.edu/openbook.php?record_id=12910&page=47)) | |  |  |  |  |  |
| * noise and vibration (*Guide*, [p 49](http://www.nap.edu/openbook.php?record_id=12910&page=49)) | |  |  |  |  |  |
| * **Primary Enclosure:** | | | | | | |
| * space meets physiologic, behavioral [[1]](#endnote-1), and social[[2]](#endnote-2) needs (*Guide*, [pp 51](http://www.nap.edu/openbook.php?record_id=12910&page=51), [55-63](http://www.nap.edu/openbook.php?record_id=12910&page=55)) | |  |  |  |  |  |
| * secure environment provided (*Guide*, [p 51](http://www.nap.edu/openbook.php?record_id=12910&page=51)) | |  |  |  |  |  |
| * durable, nontoxic materials in good repair and no risk of injury (*Guide*, [p 51](http://www.nap.edu/openbook.php?record_id=12910&page=51)) | |  |  |  |  |  |
| * flooring is safe and appropriate for species (*Guide*, [p 51](http://www.nap.edu/openbook.php?record_id=12910&page=51)) | |  |  |  |  |  |
| * adequate bedding and structures for resting, sleeping, breeding (*Guide*, [p 52](http://www.nap.edu/openbook.php?record_id=12910&page=52)) | |  |  |  |  |  |
| * objective assessments of housing and management are made (*Guide*, [p 52](http://www.nap.edu/openbook.php?record_id=12910&page=52)) | |  |  |  |  |  |
| * procedures for routine husbandry are documented (*Guide*, [p 52](http://www.nap.edu/openbook.php?record_id=12910&page=52)) | |  |  |  |  |  |
| * socially housed animals can escape or hide to avoid aggression (*Guide*, [p 55](http://www.nap.edu/openbook.php?record_id=12910&page=55)) | |  |  |  |  |  |
| * cage height provides adequate clearance (*Guide*, [p 56](http://www.nap.edu/openbook.php?record_id=12910&page=56)) | |  |  |  |  |  |
| * animals express natural postures, can turn around, access food and water, and rest away from urine and feces (*Guide*, [p 56](http://www.nap.edu/openbook.php?record_id=12910&page=56)) [must] | |  |  |  |  |  |
| * rationale[[3]](#endnote-3) for *Guide*/USDA space exceptions approved by IACUC and based on performance indices (*Guide*, [p 56](http://www.nap.edu/openbook.php?record_id=12910&page=56)) | |  |  |  |  |  |
| * dogs and cats allowed to exercise and provided human interaction (*Guide*, [p 58](http://www.nap.edu/openbook.php?record_id=12910&page=58)) | |  |  |  |  |  |
| * nonhuman primates are socially housed except for scientific, veterinary or behavior reasons (*Guide*, [pp 58-59](http://www.nap.edu/openbook.php?record_id=12910&page=58)) | |  |  |  |  |  |
| * single housing of nonhuman primates is for shortest duration possible (*Guide*, [p 60](http://www.nap.edu/openbook.php?record_id=12910&page=60)) | |  |  |  |  |  |
| * opportunities for release into larger enclosures is considered for single caged nonhuman primates (*Guide*, [p 60](http://www.nap.edu/openbook.php?record_id=12910&page=60)) | |  |  |  |  |  |
| * agricultural animals are housed socially (*Guide*, [p 60](http://www.nap.edu/openbook.php?record_id=12910&page=60)) | |  |  |  |  |  |
| * food troughs and water devices for agricultural animals allow access for all animals (*Guide*, [p 60](http://www.nap.edu/openbook.php?record_id=12910&page=60)) | |  |  |  |  |  |
| * **Environmental Enrichment, Behavioral and Social Management:** | | | | | | |
| * structures and resources promote species typical behavior (*Guide*, [pp 52-54](http://www.nap.edu/openbook.php?record_id=12910&page=52)) | |  |  |  |  |  |
| * novelty of enrichment is considered (*Guide*, [p 53](http://www.nap.edu/openbook.php?record_id=12910&page=53)) | |  |  |  |  |  |
| * species specific plans for housing including enrichment, behavior and activity are developed and reviewed regularly by IACUC, researchers and veterinarian (*Guide*, [pp 53](http://www.nap.edu/openbook.php?record_id=12910&page=53), [58](http://www.nap.edu/openbook.php?record_id=12910&page=58), [60](http://www.nap.edu/openbook.php?record_id=12910&page=60), [63](http://www.nap.edu/openbook.php?record_id=12910&page=63)) | |  |  |  |  |  |
| * animal care personnel receive training to identify abnormal animal behaviors (*Guide*, [p 53](http://www.nap.edu/openbook.php?record_id=12910&page=53)) | |  |  |  |  |  |
| * stability of pairs or groups is monitored for incompatibility (*Guide*, [p 64](http://www.nap.edu/openbook.php?record_id=12910&page=64)) | |  |  |  |  |  |
| * single housing is justified for social species (*Guide*, [p 64](http://www.nap.edu/openbook.php?record_id=12910&page=64)) | |  |  |  |  |  |
| * single housing is limited to the minimum period necessary (*Guide*, [p 64](http://www.nap.edu/openbook.php?record_id=12910&page=64)) | |  |  |  |  |  |
| * additional enrichment for single housed animals is provided (*Guide*, [p 64](http://www.nap.edu/openbook.php?record_id=12910&page=64)) | |  |  |  |  |  |
| * single housing is reviewed regularly by IACUC and veterinarian (*Guide*, [p 64](http://www.nap.edu/openbook.php?record_id=12910&page=64)) | |  |  |  |  |  |
| * habituation to routine procedures is part of enrichment program (*Guide*, [p 64](http://www.nap.edu/openbook.php?record_id=12910&page=64)) | |  |  |  |  |  |
| * **Sheltered or Outdoor Housing:** (e.g., barns, corrals, pastures, islands) | | | | | | |
| * weather protection and opportunity for retreat (*Guide*, [p 54](http://www.nap.edu/openbook.php?record_id=12910&page=54)) [must] | |  |  |  |  |  |
| * appropriate size (*Guide*, [p 54](http://www.nap.edu/openbook.php?record_id=12910&page=54)) | |  |  |  |  |  |
| * ventilation and sanitation of shelter (no waste/moisture build-up) (*Guide*, [p 54](http://www.nap.edu/openbook.php?record_id=12910&page=54)) | |  |  |  |  |  |
| * animal acclimation (*Guide*, [p 55](http://www.nap.edu/openbook.php?record_id=12910&page=55)) | |  |  |  |  |  |
| * social compatibility (*Guide*, [p 55](http://www.nap.edu/openbook.php?record_id=12910&page=55)) | |  |  |  |  |  |
| * roundup/restraint procedures (*Guide*, [p 55](http://www.nap.edu/openbook.php?record_id=12910&page=55)) | |  |  |  |  |  |
| * appropriate security (*Guide*, [p 55](http://www.nap.edu/openbook.php?record_id=12910&page=55)) | |  |  |  |  |  |
| * **Naturalistic Environments:** | | | | | | |
| * animals added /removed with consideration of effect on group (*Guide*, [p 55](http://www.nap.edu/openbook.php?record_id=12910&page=55)) | |  |  |  |  |  |
| * adequate food, fresh water, and shelter ensured (*Guide*, [p 55](http://www.nap.edu/openbook.php?record_id=12910&page=55)) | |  |  |  |  |  |
| * **Food:** | | | | | | |
| * feeding schedule and procedures including caloric intake management (*Guide*, [pp 65-67](http://www.nap.edu/openbook.php?record_id=12910&page=65)) | |  |  |  |  |  |
| * contamination prevention (*Guide*, [p 65](http://www.nap.edu/openbook.php?record_id=12910&page=65)) | |  |  |  |  |  |
| * vendor quality control (*Guide*, [p 66](http://www.nap.edu/openbook.php?record_id=12910&page=66)) | |  |  |  |  |  |
| * storage in sealed containers (*Guide*, [p 66](http://www.nap.edu/openbook.php?record_id=12910&page=66)) | |  |  |  |  |  |
| * expiration date labeling (*Guide*, [p 66](http://www.nap.edu/openbook.php?record_id=12910&page=66)) | |  |  |  |  |  |
| * vermin control (*Guide*, [p 66](http://www.nap.edu/openbook.php?record_id=12910&page=66)) | |  |  |  |  |  |
| * rotation of stocks (*Guide*, [p 66](http://www.nap.edu/openbook.php?record_id=12910&page=66)) | |  |  |  |  |  |
| * **Water:** | | | | | | |
| * ad libitum unless justified (*Guide*, [pp 67-68](http://www.nap.edu/openbook.php?record_id=12910&page=67)) | |  |  |  |  |  |
| * QC procedures (*Guide*, [pp 67-68](http://www.nap.edu/openbook.php?record_id=12910&page=67)) | |  |  |  |  |  |
| * **Bedding and Nesting Materials:** | | | | | | |
| * species appropriate (*Guide*, [pp 68-69](http://www.nap.edu/openbook.php?record_id=12910&page=68)) | |  |  |  |  |  |
| * keeps animals dry (*Guide*, [pp 68-69](http://www.nap.edu/openbook.php?record_id=12910&page=68)) | |  |  |  |  |  |
| * QC procedures (*Guide*, [pp 68-69](http://www.nap.edu/openbook.php?record_id=12910&page=68)) | |  |  |  |  |  |
| * minimizes scientific variables (*Guide*, [pp 68-69](http://www.nap.edu/openbook.php?record_id=12910&page=68)) | |  |  |  |  |  |
| * **Sanitation:** | | | | | | |
| * frequency of bedding/substrate change (*Guide*, [p 70](http://www.nap.edu/openbook.php?record_id=12910&page=70)) | |  |  |  |  |  |
| * cleaning and disinfection of microenvironment (*Guide*, [pp 70-71](http://www.nap.edu/openbook.php?record_id=12910&page=70)) | |  |  |  |  |  |
| * cleaning and disinfection of macroenvironment (*Guide*, [p 72](http://www.nap.edu/openbook.php?record_id=12910&page=72)) | |  |  |  |  |  |
| * assessing effectiveness (*Guide*, [p 73](http://www.nap.edu/openbook.php?record_id=12910&page=73)) | |  |  |  |  |  |
| * **Waste Disposal:** | | | | | | |
| * procedures for collection (*Guide*, [pp 73-74](http://www.nap.edu/openbook.php?record_id=12910&page=73)) | |  |  |  |  |  |
| * procedures for storage and disposal (*Guide*, [pp 73-74](http://www.nap.edu/openbook.php?record_id=12910&page=73)) | |  |  |  |  |  |
| * hazardous wastes are rendered safe before removal from facility (*Guide*, [pp 73-74](http://www.nap.edu/openbook.php?record_id=12910&page=73)) [must] | |  |  |  |  |  |
| * animal carcasses (*Guide*, [pp 73-74](http://www.nap.edu/openbook.php?record_id=12910&page=73)) | |  |  |  |  |  |
| * **Pest Control:** | | | | | | |
| * regularly scheduled (*Guide*, [p 74](http://www.nap.edu/openbook.php?record_id=12910&page=74)) | |  |  |  |  |  |
| * documented program including control of rodent pests and insecticide use (*Guide*, [p 74](http://www.nap.edu/openbook.php?record_id=12910&page=74)) | |  |  |  |  |  |
| * **Emergency, Weekend, and Holiday Animal Care:** | | | | | | |
| * care provided by qualified personnel every day (*Guide*, [p 74](http://www.nap.edu/openbook.php?record_id=12910&page=74)) | |  |  |  |  |  |
| * provision for accessible contact information (*Guide*, [p 74](http://www.nap.edu/openbook.php?record_id=12910&page=74)) | |  |  |  |  |  |
| * monitoring of backup systems (*Guide*, [p 143](http://www.nap.edu/openbook.php?record_id=12910&page=143)) | |  |  |  |  |  |
| * veterinary care available after hours, weekends, and holidays (*Guide*, [pp 74](http://www.nap.edu/openbook.php?record_id=12910&page=74), [114](http://www.nap.edu/openbook.php?record_id=12910&page=114)) [must] | |  |  |  |  |  |
| * a disaster plan that takes into account both personnel and animals (*Guide*, [p 75](http://www.nap.edu/openbook.php?record_id=12910&page=75)) | |  |  |  |  |  |
| * **Identification:** | | | | | | |
| * cage/rack cards contain required information (*Guide*, [p 75](http://www.nap.edu/openbook.php?record_id=12910&page=75)) | |  |  |  |  |  |
| * genotype information included and standardized nomenclature used when applicable (*Guide*, [p 75](http://www.nap.edu/openbook.php?record_id=12910&page=75)) | |  |  |  |  |  |
| * **Recordkeeping:** | |  |  |  |  |  |
| * clinical records accessible and contain appropriate information (*Guide*, [pp 75-76](http://www.nap.edu/openbook.php?record_id=12910&page=75)) | |  |  |  |  |  |
| * records are provided when animals are transferred between institutions (*Guide*, [p 75](http://www.nap.edu/openbook.php?record_id=12910&page=75)) | |  |  |  |  |  |
| * **Breeding Genetics and Nomenclature:** | | | | | | |
| * appropriate genetic records, management and monitoring procedures (*Guide*, [p 76](http://www.nap.edu/openbook.php?record_id=12910&page=76)) | |  |  |  |  |  |
| * phenotypes that affect wellbeing are reported to IACUC and effectively managed (*Guide*, [p 77](http://www.nap.edu/openbook.php?record_id=12910&page=77)) | |  |  |  |  |  |
| * **Storage:** | |  |  |  |  |  |
| * adequate space for equipment, supplies, food, bedding and refuse (*Guide*, [p 141](http://www.nap.edu/openbook.php?record_id=12910&page=141)) | |  |  |  |  |  |
| * bedding in vermin-free area and protected from contamination(*Guide*, [p 141](http://www.nap.edu/openbook.php?record_id=12910&page=141)) | |  |  |  |  |  |
| * food in vermin-free, temperature and humidity controlled area and protected from contamination (*Guide*, [p 141](http://www.nap.edu/openbook.php?record_id=12910&page=141)) | |  |  |  |  |  |
| * refuse storage is separate (*Guide*, [p 141](http://www.nap.edu/openbook.php?record_id=12910&page=141)) | |  |  |  |  |  |
| * carcass and animal tissue storage is separate, refrigerated below 7ºC and cleanable (*Guide*, [p 141](http://www.nap.edu/openbook.php?record_id=12910&page=141)) | |  |  |  |  |  |
| * **Personnel:** | |  |  |  |  |  |
| * adequate space for locker rooms, administration and training (*Guide*, [p 135](http://www.nap.edu/openbook.php?record_id=12910&page=135)) | |  |  |  |  |  |
| \* | **A** = acceptable | | | | | |
|  | **M** = minor deficiency | | | | | |
|  | **S** = significant deficiency (is or may be a threat to animal health or safety) | | | | | |
|  | **C** = change in program (PHS Policy [IV.A.1.a.-i.](http://grants.nih.gov/grants/olaw/references/phspol.htm#AnimalWelfareAssurance)) (include in semiannual report to IO and in annual report to OLAW) | | | | | |
|  | **NA** = not applicable | | | | | |
|  | | | | | | |
| **NOTES:** | | | | | | |

1. Part 3 Subpart A 3.8 - “...research facilities must develop, document, and follow an appropriate plan to provide dogs with the opportunity for exercise. In addition the plan must be approved by the attending veterinarian. The plan must provide written standard procedures...” [↑](#endnote-ref-1)
2. Part 3 Subpart D 3.81 - “...research facilities must develop, document, and follow an appropriate plan for environment enhancement adequate to promote the psychological well-being of nonhuman primates.” [↑](#endnote-ref-2)
3. Part 3 Subpart A 3.6(c)(1) - “Each dog housed in a primary enclosure must be provided with a minimum amount of floor space, calculated as follows:

   (length of dog in inches + 6)2 /144 = required floor space in square feet).”

   - Part 3 Subpart D 3.80 (b) - “Primary enclosures [for nonhuman primates] must meet the minimum space requirements provided in this subpart.”

   - In situations where the USDA regulations and the *Guide* differ with respect to space requirements, the larger of the two must be followed. [↑](#endnote-ref-3)