

IACUC policy for Semi-Annual Inspections

The intent of this policy is to define the requirements and process for the conduct, reporting and follow up of the IACUC inspections of animal facilities. This policy is intended for use by the members of the IACUC, the IACUC administrative office, and the facility managers or Principal investigators responsible for the management and operation of the facilities.

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1. Policy

- a. All facilities housing live, vertebrate animals for research or teaching purposes must be inspected semi-annually by the IACUC.
- b. Inspection teams for semi-annual inspections must ordinarily include two voting members of the IACUC and a CARE Veterinarian. Exceptions, if any, where only one voting member and one CARE Veterinarian perform the inspection, must be noted in the report to the Institutional Official (IO). Every IACUC member is expected to participate in these inspections. No IACUC member may be excluded from an inspection in which they wish to participate.
- c. The IACUC requires access to all approved Greenwood Genetic Center animal facilities without justification 24 hours/day, 7 days a week. Access is defined as the ability to enter an approved animal facility immediately for a pre-scheduled inspection and within 2 hours of an unannounced inspection. Any exceptions must be mutually agreed upon by the responsible individual and the inspection team.
- d. Any deficiencies identified in the report must be categorized as “minor” or “significant” and an appropriate time frame and a specific date for correction must be included.
- e. In any instance, the inspectors may ask for immediate corrective actions to be implemented either during the inspection or immediately following the inspection-for example, deficiencies that may have a substantial impact on animal health or human safety.
- f. A full copy of each inspection report must be submitted to the IACUC for review/approval and a summary of all findings must be included in the semi-annual report to the Institutional Official (IO).
- g. It is the responsibility of the facility manager to ensure that all deficiencies identified during the inspection are corrected within the time frame required by the IACUC.
- h. Inspection of facilities used only for a short duration will be done at the time that the animals are housed there.

2. Procedures

- a. **Access:** To access facilities during unannounced inspections, contact a CARE veterinarian, CARE technologist, facility manager or Principal Investigator. . Members of the inspection team, upon request, must be prepared to present identification that establishes that they are current members of the Cornell IACUC.
- b. **Scope of inspections:** The procedures for inspecting animal facilities are followed for all sites used to conduct animal activities and include satellite facilities and field-study sites (with the exception of studies at sites that involve free-living, wild animals in their natural habitat). The inspection includes the evaluation of:
 - housing
 - environmental conditions
 - feed
 - bedding water
 - cleaning/sanitation
 - specialized space
 - animal care
 - personnel
 - occupational health and safety
 - infrastructure/construction
 - Cornell owned vehicles used to transport animals
- c. **Inspection team:** Inspections are conducted by a subcommittee of the IACUC which is optimally composed of two IACUC members and a CARE veterinarian.
- d. **Scheduling of Inspections:** Semi- annual Inspections are scheduled several weeks in advance, on a rolling basis. Although not required, the facility manager or investigator (for procedure rooms) is usually notified of the date and time of the inspections as well as the rooms to be inspected. . The manager/investigator or a designated alternate serves as a point-of-contact during the inspection of that facility. Random, unannounced inspections may also occur.
- e. **Conduct of inspections:** Subcommittee members are provided with either paper or electronic inspection forms. One member of the team is assigned to be the “recorder”, and is responsible for documenting the group findings of the inspection. During the visit, the subcommittee assesses the different aspects of the animal care and use program, as recommended for evaluation by the Office of Laboratory Animal Welfare (OLAW) and the USDA and listed in the form. Minor or significant deficiencies and any other comments related to the inspected areas, are documented. A timeline for the correction of each minor or significant deficiency is indicated on the inspection form by choosing one of the predefined periods of time (e.g. corrected on site, two weeks, four weeks) or “other” if

the appropriate one is not an available choice. A free text area is available on the form for the subcommittee's remarks. At the end of the inspection, each member of the subcommittee signs the report and the report is returned to the Compliance Office (Dr. Rich Steet or Anna Crockett).

- f. **Follow up:** The semi-annual inspection reports are provided to the IACUC for their review and approval at a subsequent committee meeting. Any edits requested by the committee are made by the IACUC staff and documented in the meeting minutes. The IACUC staff provides the final version of the inspection report within two weeks of being accepted by the IACUC, to the manager of the facility/PI, the CARE veterinarian and CARE tech responsible for the facility.
- g. **Corrective actions:** Unless specified otherwise, the timeline for corrective actions begins when the facility manager or the PI responsible for the space receives formal notification from the IACUC office, following discussion of the inspection reports at an IACUC meeting. It is the responsibility of the facility manager/investigator to correct the deficiencies identified in the report by the date required by the IACUC and to inform the IACUC staff of the corrective actions taken. The IACUC staff documents these corrections. Any significant deficiency that is not corrected by the specified date is reported to the IO immediately and to the appropriate regulatory agencies within 15 business days following the specified date. Any minor deficiency that is not corrected by the specified date is reviewed by the IACUC, and necessary action is determined on a case-by-case basis.
- h. **Reporting of inspections to the IO:** The Semi Annual program report to the IO includes a complete list of all facilities where inspections were conducted during the reporting period, dates of inspections, the members of the inspection team, any exceptions where fewer than 2 voting members of the IACUC were on the inspection team, any deficiencies identified, corrective actions and timeline for completion of the corrective actions. Any delays or other issues related to the inspections are documented in the report.

3. Regulatory guidelines

- a. PHS policy, the Animal Welfare Act Regulations (AWAR) and university policy designate the IACUC as the committee responsible to conduct inspections of the institution's animal facilities. PHS policy IV.B.1-8 requires that the *Guide for the Care and Use of Research Animals ("Guide")* be used as the basis for evaluation of all of the institution's biomedical facilities, including satellite facilities and areas in which surgical manipulations are performed. Agricultural animal facilities are inspected using the *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching ("Ag Guide")*. University Policy 1.4, *Care and Use of Animals in Research and Teaching*, indicates that the IACUC must inspect at least once every 6 months all of the institution's animal facilities, including animal study (procedure) areas, satellite facilities, and field-study sites (except studies that contain free-living, wild animals in their natural habitat).