



RESEARCH FACILITY INSPECTION PROCEDURES

NEW INSPECTOR VIRTUAL TRAINING
ANIMAL WELFARE OPERATIONS

Research Facilities, Part 3



RESEARCH FACILITY INSPECT PROCED

NEW INSPECTOR
ANIMAL WELFARE OPERATIONS

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Agenda

- Pre-inspection planning
- Focused inspections
- Facility inspection procedures



Pre-inspection planning

- Review eFile facility information
- Determine whether a full routine or a focused inspection is needed
- Verify whether any screening tests are needed to access facility
- Check academic calendar and major industry meeting schedules
- Print resources you would like to have on hand
- Double check access and contact instructions

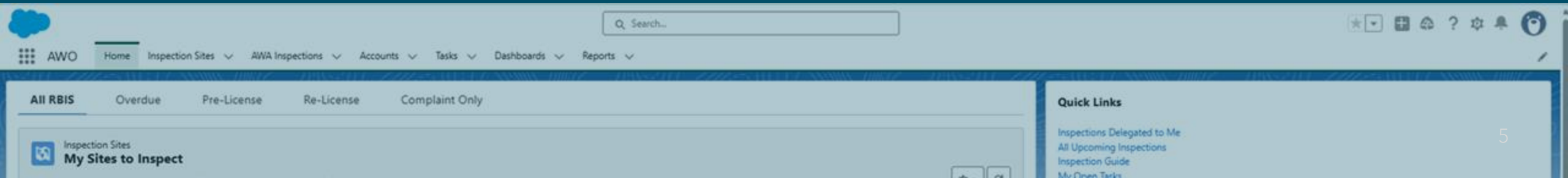
Any others?



Review eFile facility information



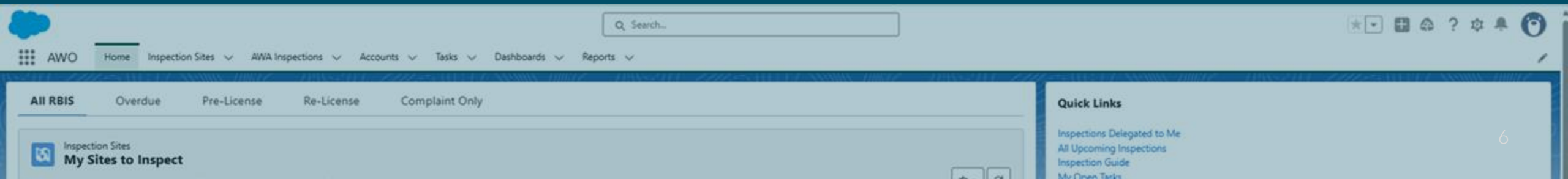
- Inspection reports
 - Compliance history
 - Past inventory information
 - Number of sites, inspectors, and days for prior inspections
- Protocol selection worksheets
- Annual reports
 - Review last AR before inspection
- “Files” tab may have additional relevant correspondence
 - Multiple major operative procedures and other exemption requests



Review eFile facility information



- Prior and current enforcement activities
- Current and past complaints
- Site notes
 - Security concerns
 - Optimal hours
- Activity notes or other inspection-related comments



Focused annual inspections

- Unannounced inspections
- Meet requirement for annual inspection of research facilities
- Must always inspect all animals at the facility
 - In addition to animals, can also look at facilities or paperwork



Eligibility for a focused inspection

1. Must be accredited by [AAALAC International](#)

AND

2. No active or recent AWA concerns

Click here to look up
facility accreditation
status

Note: Any other circumstances that would warrant a routine inspection still apply



Determine whether a routine or focused inspection is needed

- Eligible facilities must get a routine inspection every 3 years
 - If last 2 consecutive annual inspections were focused, not eligible in year 3
- If a facility meets all eligibility considerations, a focused inspection should be conducted



Determine what will be inspected if eligible for a focused inspection

- Look up the nature and type of the last few inspections in eFile
- Focus area(s) of previous inspection will be documented on the Protocol Selection Worksheet (*uploaded under the Files tab in eFile*)
- Plan to focus upcoming inspection on an area that was not covered during the most recent inspections



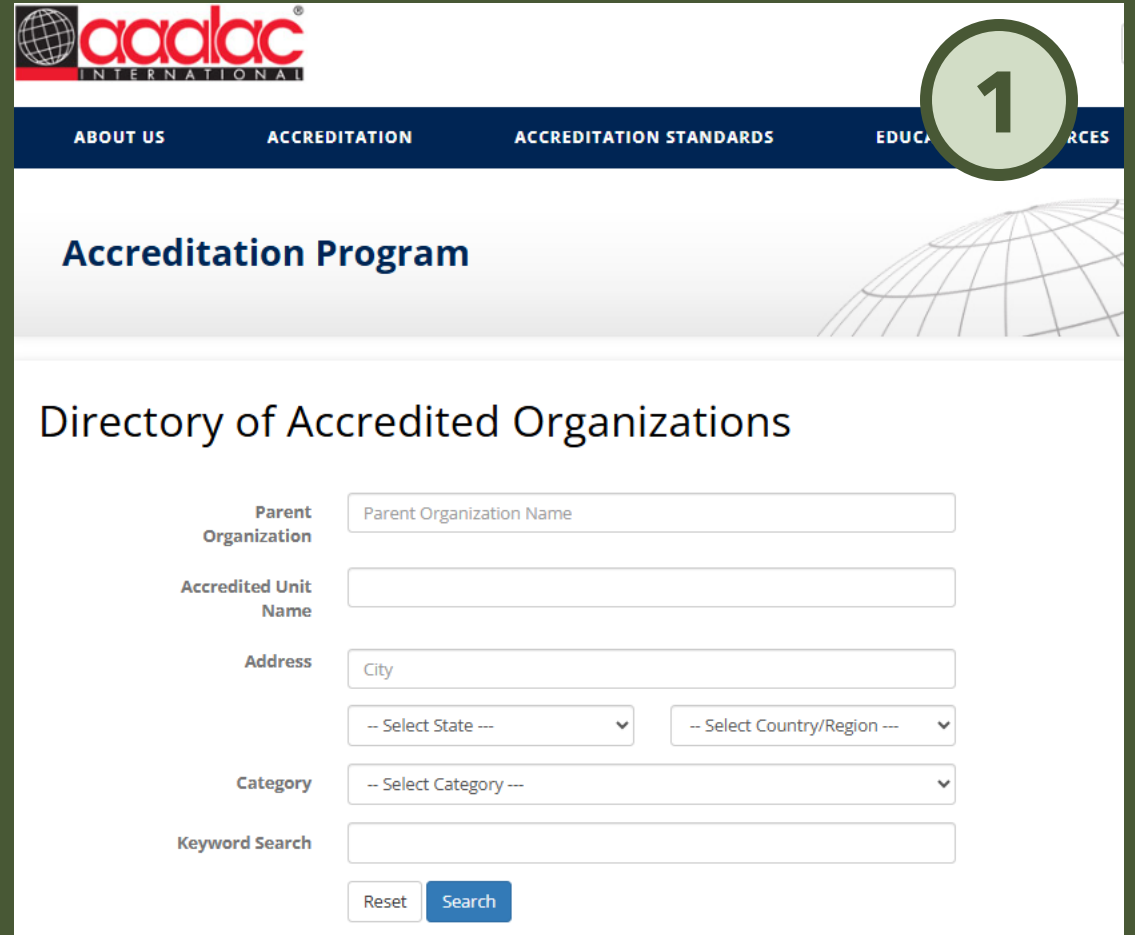
Focused Annual Inspection Process Demonstration

What steps do you need to follow to determine what type of annual inspection to do at a given facility?



Step 1: Determine if the facility meets eligibility requirements

1. Check AAALAC website for accreditation status
2. Check account status in eFile



The image shows the AAALAC International Accreditation Program website. The header includes the AAALAC logo and navigation links: ABOUT US, ACCREDITATION, ACCREDITATION STANDARDS, EDUCATION, and RESOURCES. A large green circle with the number '1' is in the top right corner. The main content area is titled 'Accreditation Program' and 'Directory of Accredited Organizations'. Below this is a search form with the following fields: Parent Organization (text input), Accredited Unit Name (text input), Address (text input), City (text input), -- Select State --- (dropdown), -- Select Country/Region --- (dropdown), Category (dropdown), and Keyword Search (text input). There are 'Reset' and 'Search' buttons at the bottom of the form.



Step 2: Determine the nature/types of the past few inspections

eFile Inspection Sites
tab

- AWA Inspections

**All research facilities must
have a routine inspection at
least once every 3 years*

 Inspection Site
RESEARCH FACILITY CENTER

▼

RESEARCH FACILITY CENTER

Inspection Frequency
12 Months

Due Date
7/9/2026

 **AWA Inspections (6)**



Record ID	Inspection Type	Status	Inspection Date
RESEARCH FACILITY CENTER	Focused	Approved	7/14/2025
RESEARCH FACILITY CENTER	Routine	Approved	5/22/2024
RESEARCH FACILITY CENTER	Focused	Approved	8/3/2023
RESEARCH FACILITY CENTER	Focused	Approved	6/9/2022
RESEARCH FACILITY CENTER	Routine	Approved	8/5/2021
RESEARCH FACILITY CENTER	Focused	Approved	9/25/2019

2
0
2
6

Step 3: Determine what you will plan to inspect

*IF you will be doing a focused
inspection*

First determine what was done on
the last two annual inspections

- See Protocol Selection Worksheets
- eFile-Files tab

Choose a different focus area from
the ones most recently inspected

Legal Name: Great Research Facility

Customer Number: 123456

Certificate Number: 99-R-0001

Site Number: 001

Paperwork - IACUC meeting minutes, letters to the IO, semiannual reports, etc.

Focused ☒ (list areas inspected) Animals



Reasons Protocols Were Selected for Review :	How Many Protocols Were Selected
1. Protocols identified during inspection of concern (select all)	0
2. Column E protocols (select all)	1
3. Protocols with IACUC-approved exemptions/exceptions (select all)	6
4. Protocols cited as noncompliant and not corrected during the last inspection (select all)	0
5. Additional Protocols Selected: a. If <5 remaining protocols, select all remaining: b. If >5 remaining protocols, select 5 additional protocols: 1) Protocol for each regulated species and/or, 2) Protocols involving high risk procedures (see Chapter 7, Animal Welfare Inspection Guide for guidance):	5
Total Protocols Selected and Reviewed	12

*Note: Protocol selection guidance applies to protocols which have been initially approved, or have had significant changes approved, since the last inspection. For protocols reviewed by an Animal Care Veterinary Medical Officer within the last year, professional judgment should be used in determining whether another review is necessary.



What inspection findings would mean switching from a focused inspection to a routine inspection is necessary?

Plan



Pivot



Activity: Routine vs focused annual inspection

Each slide shows one scenario.

Read then discuss the scenario within the group. Answer the questions associated with your scenario(s).



Scenario #1

Southeast University

Date of planned inspection: Feb. 2026

AAALAC status: Accredited

Previous history:

July 2024-routine annual inspection (*one non-critical NCI*)

July 2025-focused annual inspection (*animals- no NCIs*)

What type of inspection (including focus topic, if applicable) should you plan to do?

Status of your current inspection:
Identified five minor facility related noncompliant items. The new and harried IACUC coordinator states she will fix all the issues you brought up by the end of the week.

Do you change your inspection type plans?

Any additional things you should do after completing this inspection report/exit briefing?

Scenario #2

Northeast University

Date of planned inspection: Oct. 9, 2024

AAALAC status: Accredited

Previous history:

Aug 2023-focused annual inspection
(*animals- no NCIs*)

Sep 2024 -routine annual inspection
(*direct citation regarding rabbit housing*)

What type of inspection (including focus topic, if applicable) should you plan to do?

Status of your current inspection:
No non-compliances identified

Do you change your inspection type plans?

Any additional things you should do after completing this inspection report/exit briefing?

Scenario #3

Midwest University and Veterinary Medical School

Date of planned inspection: Mar. 2026

AAALAC status: The biomedical portion of campus is accredited; the veterinary school portion is not

Previous history:

- No non-compliances identified over the last two years

- 2024 Focused

- 2025 Routine

What type of inspection (including focus topic, if applicable) should you plan to do?

Status of your current inspection:
Identified one noncompliant item related to IACUC records.

Do you change your inspection type plans?

Any additional things you should do after completing this inspection report/exit?

Scenario #4

Northwest University

Date of planned inspection: Feb. 2 2026

AAALAC status: Accredited

Previous history:

July 2024-routine annual inspection
(two non-critical NCIs)

July 2025-focused annual inspection
(animals- no NCIs)

What type of inspection (including focus topic, if applicable) should you plan to do?

Status of your current inspection:

While inspecting the university's facilities you walk by a cage housing a rabbit that is exhibiting signs of pain and distress. The facility representative tells you that the newly arrived rabbit (not yet on study) had gotten a leg caught in the caging two days ago. He tells you that a veterinarian has not been contacted as the rabbit is getting better and is starting to use the leg again.

Is this a noncompliance? Under what section and severity?

Do you change your inspection type plans?

Any additional things you should do after completing this inspection report/exit briefing?

Required screening

Facilities set their own parameters and may deny access if unable to show that requirements are met

Common screening/precautions:

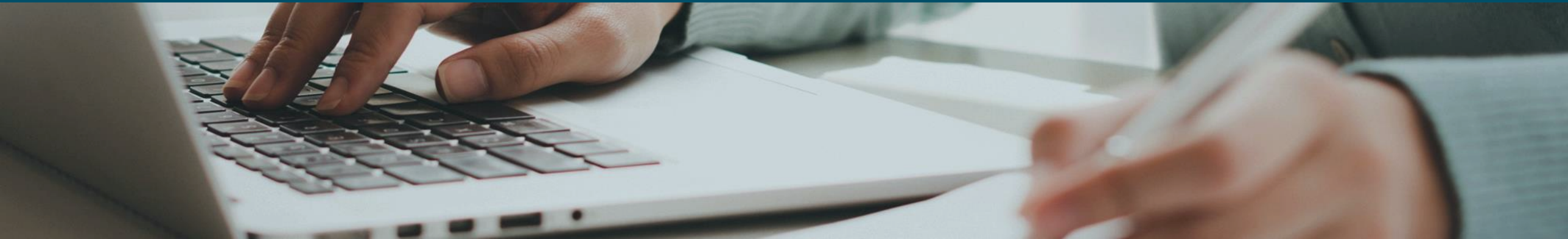
- NHPs- negative TB test, positive measles titer
- Pigs- no contact with other animals for 72 hours

Checking the calendar

There are predictable times when it will be less effective to conduct an inspection

Common conflicts:

- Academic (i.e. summer break)
- Major industry meetings (AALAS, PRIM&R, ACLAM Forum, etc.)



Key Resources

- Blue Book (*Part 2 Subpart C, Part 3 for each species*)
- Inspection Guide (*Chapter 7*)
- OLAW website
 - FAQ
- Animal Care SharePoint Site
 - Protocol Selection Worksheet
- Tech Notes and AC Aids



Review/Investigate Complaints About Animal Care: 2.31 (X)(4)
☐ Complaints may be from the public or from facility personnel (refer also to 2.32 (X)(4)).
Recommendations Concerning Animal Care Program: 2.31 (X)(5)
☐ To Institutional Official about animal care and

USDA Animal and Plant Health Inspection Service
U.S. Department of Agriculture

Animal Care Tech Note

Categorizing Animal Pain or Distress in Research Facility Annual Reports

The Animal Welfare Act (AWA) requires research facilities to submit an annual report that states the common names and numbers of animals used in research, testing, or experimentation. The report must also categorize these animals based on procedures involving pain, distress, and/or the use of painkilling drugs. Research facilities may use this tech note as a reference when assigning animals to pain and distress categories.

Animal Welfare regulations define a painful procedure as "any procedure that would reasonably be expected to



Guide for the Care and Use of Agricultural Animals in Research and Teaching



AVMA Guidelines
for the Euthanasia of Animals:
2020 Edition



FEDERAL REGISTER

The Daily Journal of the United States Government

Additional Helpful Resources

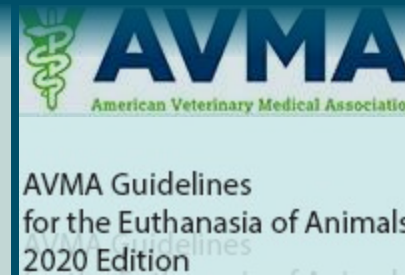
- AWIC (*Animal Welfare Information Center National Agricultural Library, USDA*)
- "Gray Book"
- Federal Register

Guides used as a reference only:

- AVMA euthanasia guidelines
- Ag Guide – used with ARS inspections
- Neuro Guide – good neurobiology reference



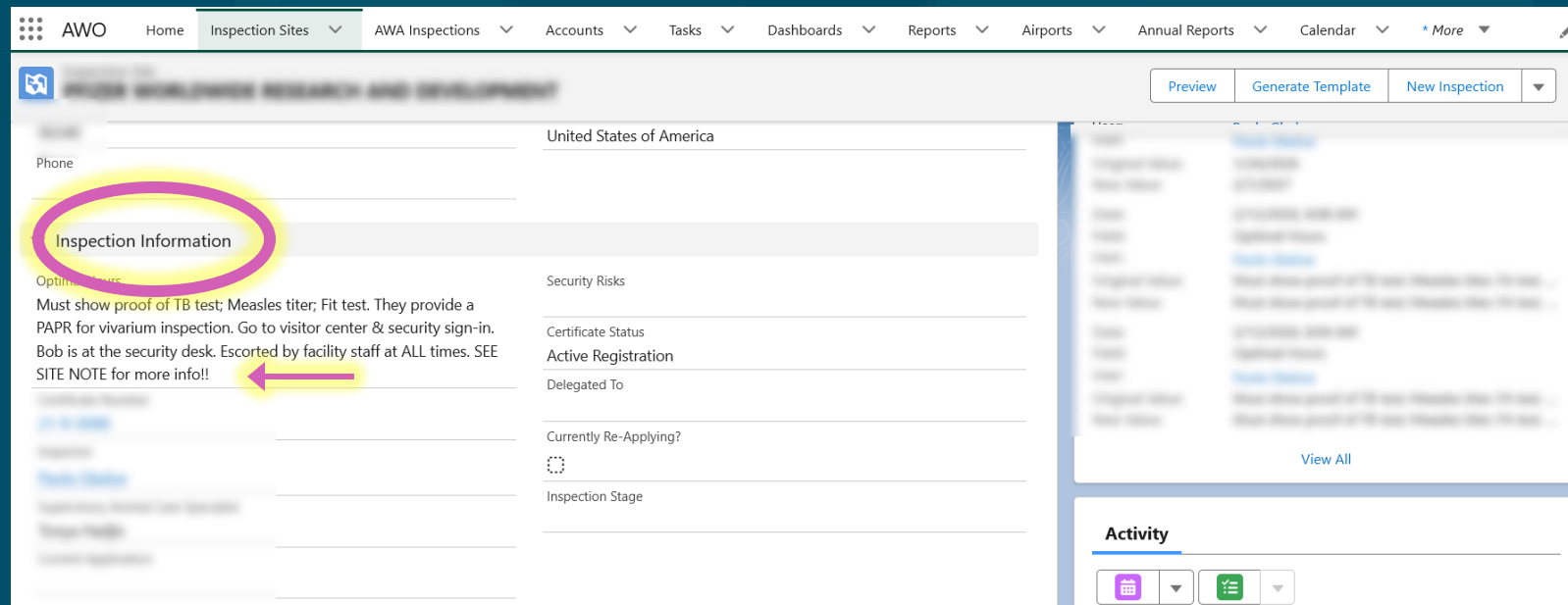
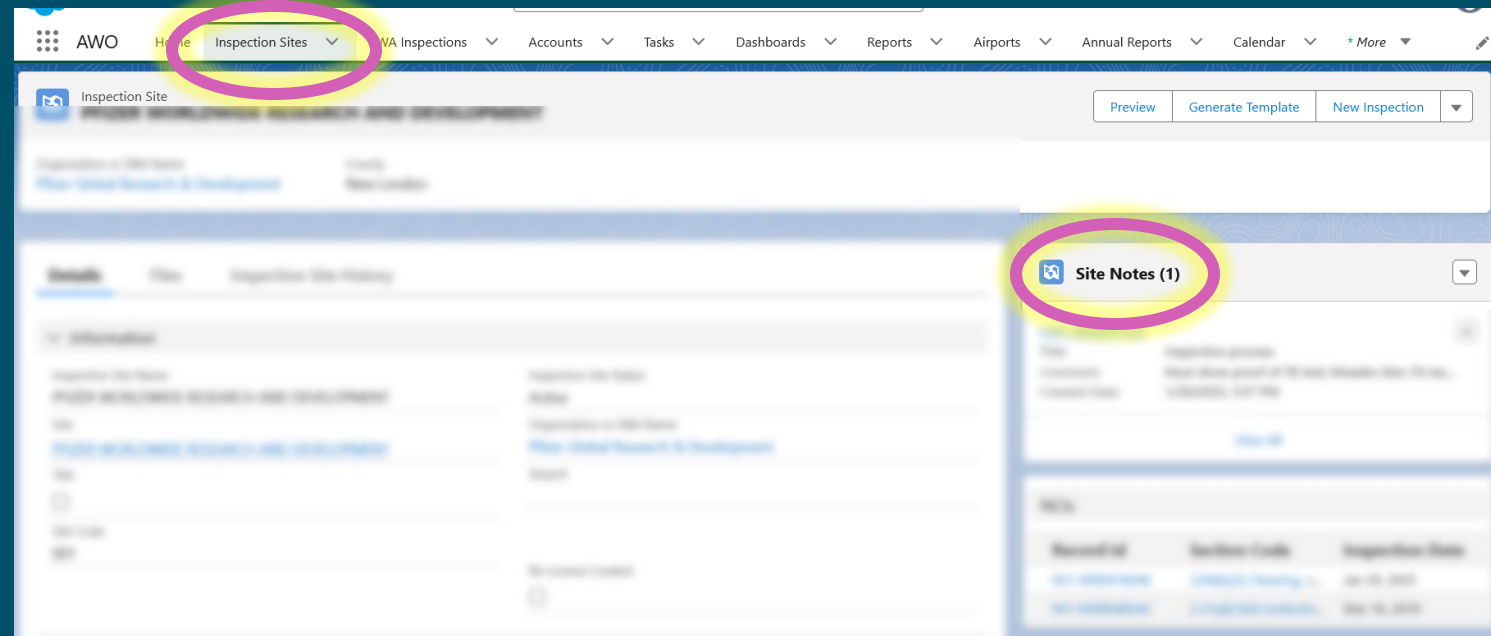
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☐ To Institutional Official about animal care and



Check facility access and contact instructions

- eFile Inspection Sites tab
- Site Notes
- Inspection information

optimal hours, parking, building locations, points of contact, etc.



First Day of Inspection

- Finding the facility (*and sometimes parking*)
- Checking in
 - Visitor paperwork
 - ID check
 - Biosecurity clearance
- Wait for representatives to arrive





Physical inspection of
facility and animals



Review of records

A person wearing a white lab coat, blue protective apron, blue helmet, face shield, light blue surgical mask, and white gloves is holding a small brown monkey. They are standing in front of a large metal cage with wire mesh. In the background, another monkey is visible in a separate cage. The scene is set in a laboratory or research facility.

Physical inspection of facility and animals



Biosafety standards

- Biosafety levels (Biosafety Committee)
 - Set by CDC (*Biosafety in Microbiological and Biomedical Laboratories*)
 - Containment control of microbes and biological agents
 - Levels 1-4
- Barrier facilities
 - Quarantine/isolation/study areas with infectious disease
 - Specific pathogen free (SPF) or gnotobiotic animals



Biosafety practices

- Facility screening requirements
- Facility personal protective equipment (PPE) requirements
- Order of areas inspected may also be dictated by biosafety concerns
- Animal Care PPE requirements
 - Species-based
 - Inspection Guide, Chapter 3
 - AC Safety & Health SharePoint site

Activity:

Biosafety Resources #1

Locate the **Herpes B** pre-exposure information in the AC Safety & Health SharePoint Site

Be prepared to discuss:

- Location of guidance document
- Page the information can be found on
 - Share what was learned

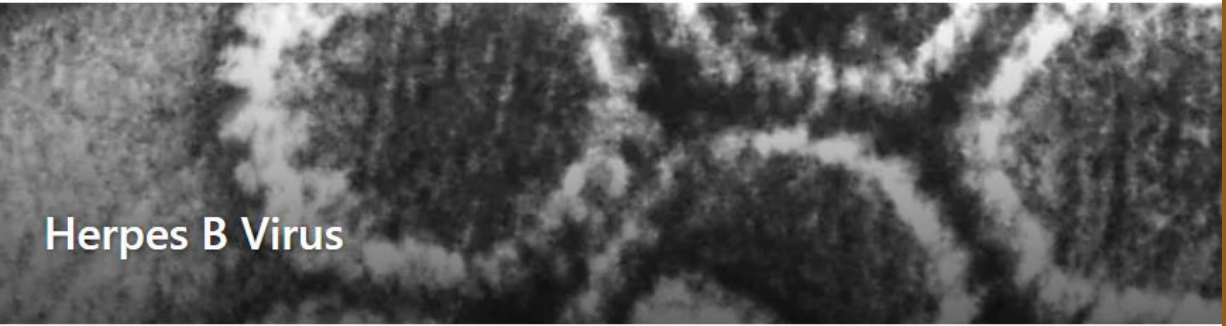


Activity: Biosafety Resources #1

Locate the Herpes B
AC Safety & Health SharePoint Site

Be prepared to discuss:

- How to find this resource
- What was learned



Herpes B Virus

Herpes B-Virus (*Herpesvirus simiae*)

Human exposure to Herpes B-virus usually results in the death of persons exposed unless appropriate post-exposure prophylaxis is initiated. Possible routes of exposure include bites, scratches, wounds, or splashing of contaminated materials onto mucous membranes.

Herpes B-virus is a naturally occurring infection of macaque species. Rhesus and cynomolgus monkeys have been identified as the only species with naturally occurring infections. There are no known natural reservoirs of B-virus in other Old World monkeys.

Herpes B-virus usually produces mild clinical disease in macaque species. Ulcers or sores similar to those of cold sores may develop on the mouth or lips of infected macaques. As with herpes infections in people, infected macaques do not continuously manifest outward signs of their infection. The virus may become latent only to resume replication upon exposure to psychological or physical stresses. B-virus infection is considered to be a lifelong condition in which the animal is considered to be infected.

All employees should have and carry a copy of the Animal Care Herpes B Exposure Card ([Found Here](#))

For more information visit CDC's website: [Herpes B Virus](#)

Activity:

Biosafety Resources #2

Locate the table on **PPE** requirements based on species inspected in the Inspection Guide

Be prepared to discuss:

- Location of guidance document
- Page the information can be found on
 - Share what was learned



Activity:

Biosafety Resources #2

Locate the table on **PPE** requirements based on species inspected in the Inspection Guide

Be prepared to discuss:

- Location of guidance document
- Page the information can be found on
- Share what was learned

Table 3-1. Biosafety Measures When Conducting an Inspection

If you are inspecting:	Then wear:
Dogs or cats	Disposable shoe covers (required) Disposable gloves (required if touching any animal, change gloves between each animal or cage) Ear plugs (optional but highly recommended for dog kennels) Coveralls (optional)
Elephants (TB positive or TB suspect)	Respirator (level N95 or better)
Macaques	Surgical or face mask if within 5 feet or less Disposable shoe covers Coveralls, preferably disposable Full face shield and eye protection, such as safety glasses or goggles Disposable gloves
Other nonhuman primates	Respirator (level N95 or better when nonhuman primates and other animals are suspected to be infected with TB indoors, or within 5 feet or less outdoors)

Birds

General Recommendations for all facilities:

- Always conduct an inspection outside of an avian enclosure if possible
- Wash car frequently
- Park as far away from the entrance that is safe and reasonable
- Limit exposure with personally owned birds before and after inspections that day
- Wear gloves if you will need to be touching or holding objects from the facility
- Wear additional PPE (such as, respirator (N-95 or higher), coveralls or disposable gowns, disposable caps, or protective eyewear) if you are more vulnerable to infections or the aviary is significantly dirty
- Minimize equipment brought into the facility if not necessary
- Refrain from inspecting in areas where active cleaning & sanitizing is going on
- Conduct the inspection starting from the most vulnerable birds first. This is commonly the nursery first, next the feed storage/kitchen, then the general aviary, and lastly the quarantine and hospital area.

Not open to the public avian facilities:

- Follow the facility's biosecurity protocols
- Wear a new disposable shoe covers or sanitized boots
- Wash hands with soap or hand-sanitizer before and after entering the facility
- Wipe down all hard surfaces of equipment brought into the facility with a sanitizing agent (such as camera, pens, outside of notebook) before and after entering the facility
- Have not visited an avian facility on that day beforehand
- Biosecurity precautions may increase based on outbreak risk in the area

Special Note: Immediately notify your SACS if you see or the facility reports a sudden and significant illness or death loss in their aviary.

Good questions to ask up front

- Are there any exemptions/ exceptions to the Regulations or Standards?
 - Review protocol to verify that the exemption/ exception was approved
- How does the facility keep track of the number of animals approved by the IACUC and the number actually used by the researcher?
 - How does the facility verify the accuracy of its methods for tracking animals?
 - How are animals tracked to ensure they aren't used in another survival surgery?



Components of the Facility Inspection

- Determine if animal care staff is familiar with procedure protocols-especially pre- and post-painful/distressful procedure care
- Watch animal care staff, principal investigator, or laboratory personnel handle animals
- Observe animals for signs of pain or distress
- Ask about weekend staffing, animal observation, and medical care
- Observe surgeries to determine that they are using aseptic technique and in dedicated surgical facilities
 - Alternatively, inspect dedicated surgical facilities



NOTE!

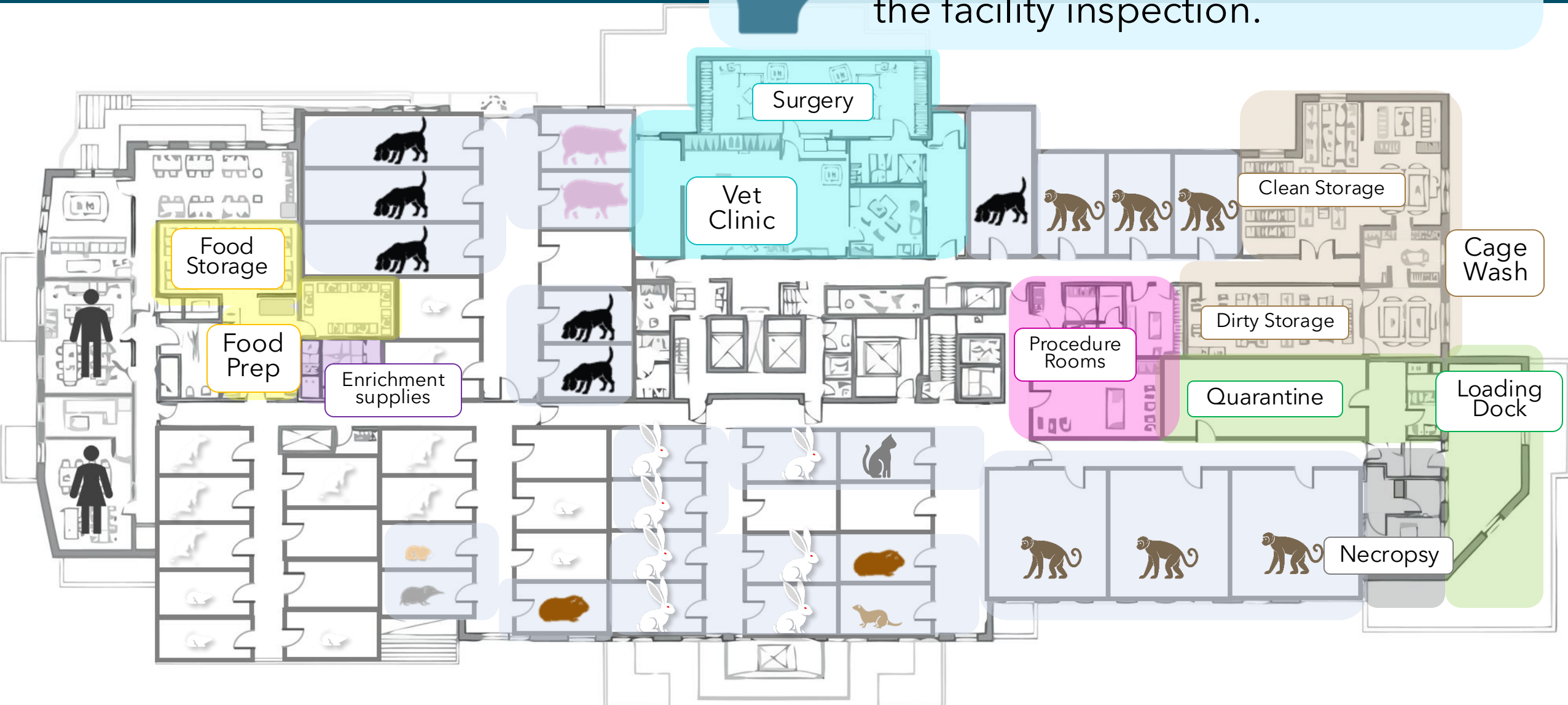
The AWA specifically prohibits Animal Care from stopping research at any research facility (registered or unregistered but requiring registration). Therefore, the inspector may **NOT** instruct a research facility to stop conducting research under any circumstances. [AWA 2143(A)(6)(A)(iii)]



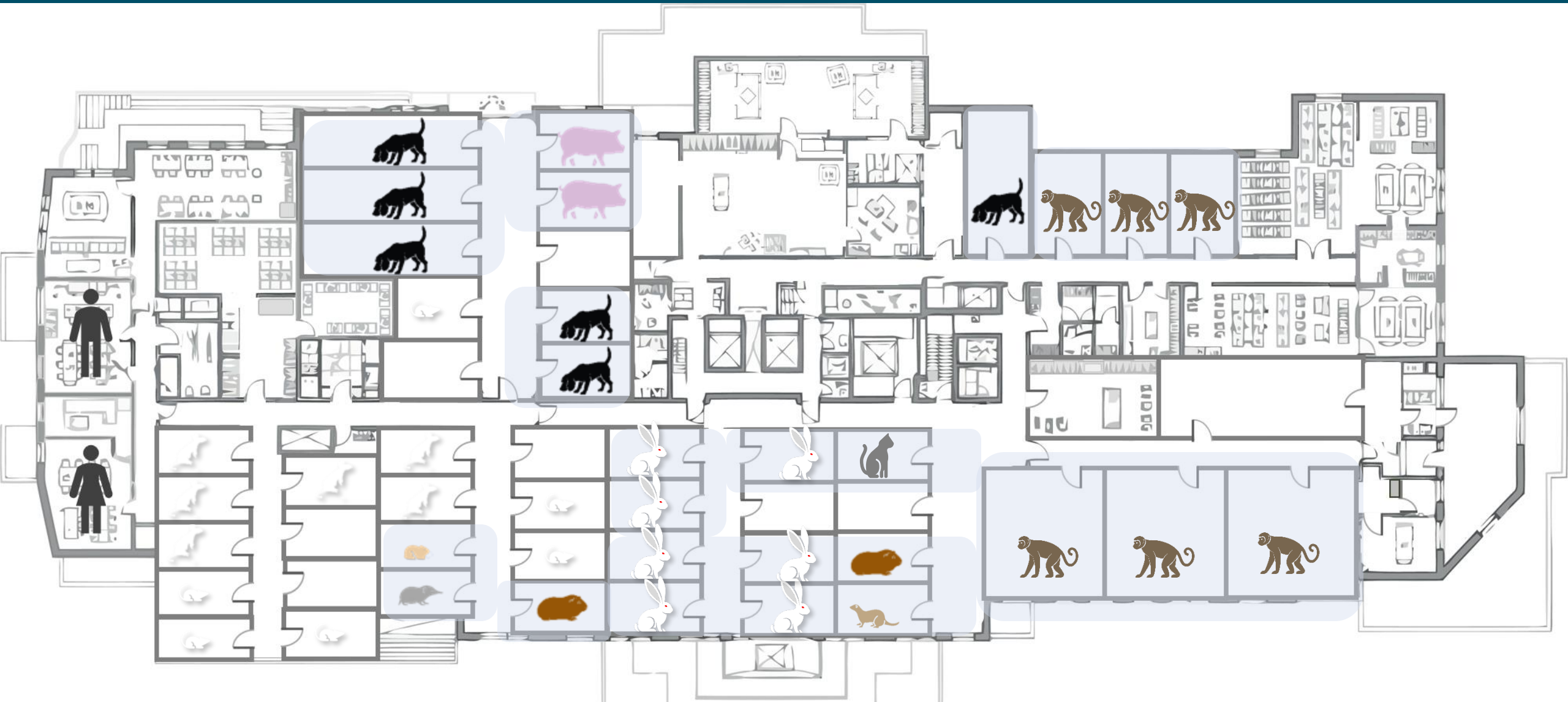
Facility / Animal Inspection



It can be very helpful to have the facility provide you with a map of the facility before you head out on the facility inspection.



Animal housing rooms



Animal housing rooms

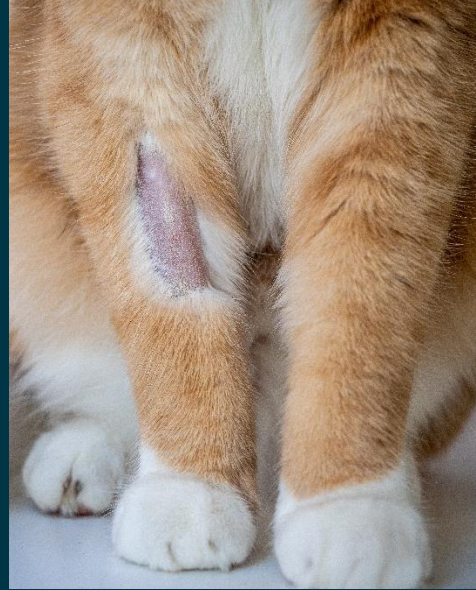
- Animal health
- Enclosure space
- Enclosure cleanliness
- Enclosure structures
- Lighting
- Ventilation
- Temperature
- Food/water
- Clutter/sanitation
- Pests



KEEP IN MIND medical records may be kept in the animal housing areas and might be more convenient to review during the facility inspection than during records review



Animals impacted by research activity



- Individuals may appear to have a clinical or welfare concern
 - Sedation
 - Shaved areas
 - Instrumentation
- Note the study number and animal ID number to check protocol and vet records later
- Ask facility rep or staff working in the room about the animal's status

Food prep & feed storage

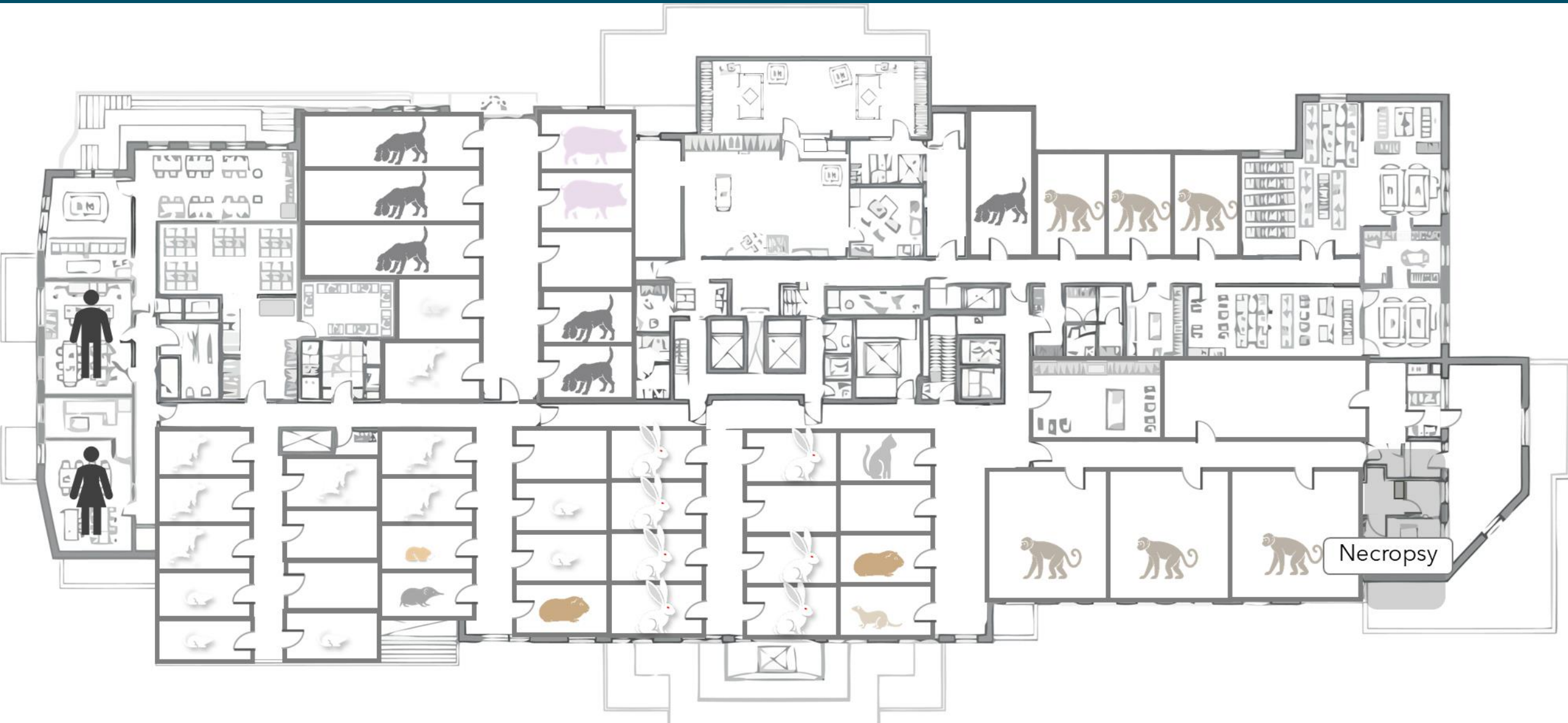


Food prep & feed storage

- Clutter/sanitation
- Pests
- Off the floor
- Away from walls
- Lids / sealed containers
- Wholesome
- Expiration date



Necropsy/carcass storage



Necropsy/carcass storage

- Cleanliness
- Are all animals deceased?
- Are animals brought in alive and euthanized in room?
- Medications
- Appropriateness of any other materials stored with carcasses



Surgery suite



Surgery suite

- Aseptic?
- Sterile instruments?
- Anesthesia methods?
- Pain control?
- Crash cart – check dates on meds
- Anesthesia machine maintenance
- Dedicated room for major operative procedures on covered animals



Medical and surgical materials

Expired medical materials, other than anesthetics, analgesics, sedatives/tranquilizers, and euthanasia drugs, may be used for terminal procedures when their use would not adversely impact the scientific outcome of the study.

The use of these materials should be reviewed and approved by the IACUC, and they must be appropriately identified and/or separated from “regular” medical materials to prevent their use in non-terminal procedures.



Surgical space requirements

2.31(d)(1)(ix)

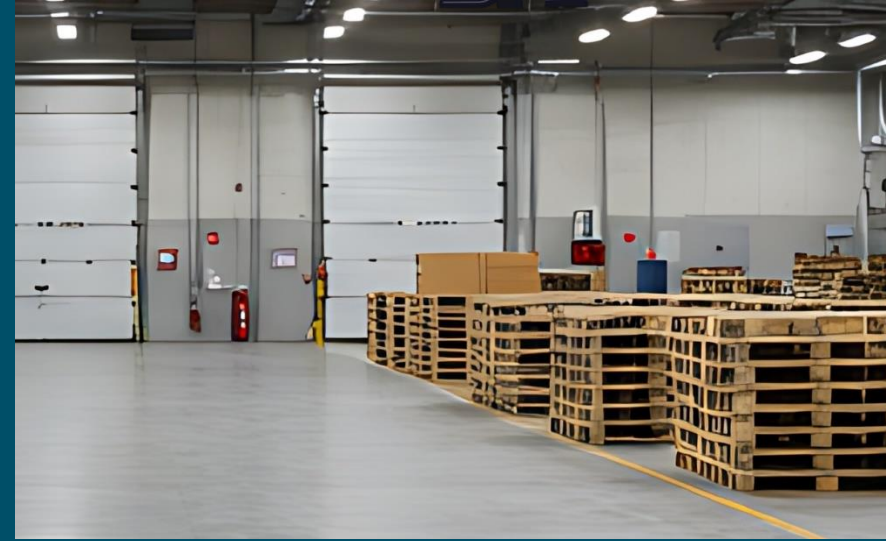
- All survival surgeries are performed using aseptic procedures & techniques
- Major operative procedures on species other than rodents and birds are performed in a dedicated, aseptic space
- Non-major operative procedures and all surgery on rodents and birds do not require a dedicated facility, but must be performed using aseptic procedures.
- Operative procedures conducted at field sites need not be performed in dedicated facilities, but must be performed using aseptic procedures
- No animal is being used in more than one major operative procedure unless appropriately approved

Animal loading dock



Animal loading dock

- Cleanliness
- Temperature
- Ventilation
- Transport enclosures
- Transport vehicles
- Pests
- Handling
- Paperwork?

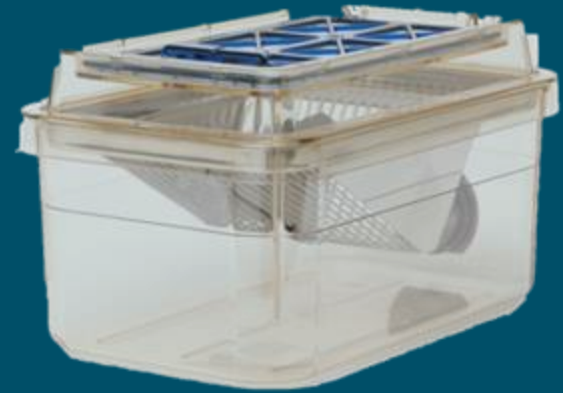
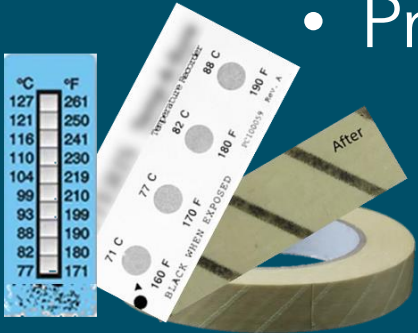


Cagewash & clean cage/equipment storage



Cagewash & clean cage/equipment storage

- Water temperature
- Sanitation procedures
- Process to ensure no live animals present prior to cage wash
- Housekeeping
- Trash
- Pest control



NIH Public Domain



NIH Public Domain

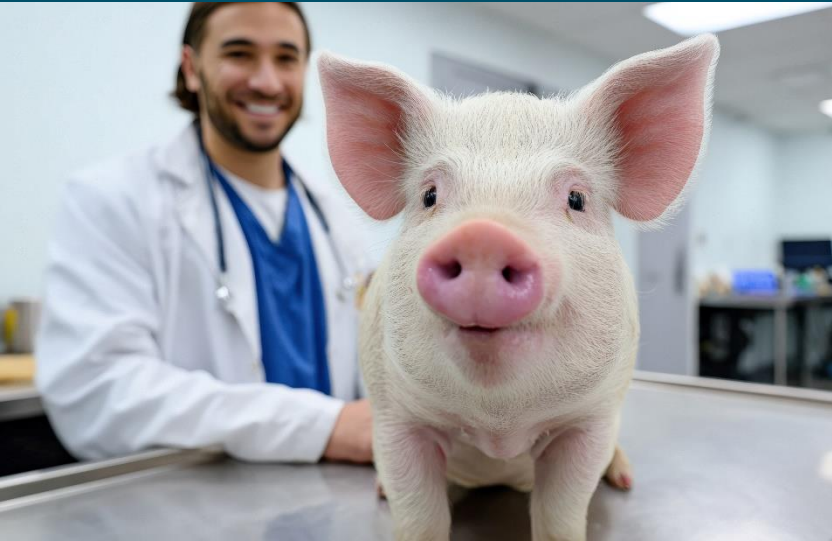


Procedure rooms/labs



Procedure rooms/labs

- Cleanliness
- Housekeeping
- Sanitation
- Maintained equipment
- Animal handling
- Records
- Drugs and expirations
(cross check with protocols)



Veterinary clinic & drug storage



Veterinary clinic & drug storage

- Expirations
- Drugs being used
- Temperatures/proper storage
- Controlled drug log

Expired drugs may be used in terminal procedures.

If they are retained by the facility, they must be:

- Clearly labeled as EXPIRED
- Kept separate from current, useable drugs



Activity: 'Similar but DIFFERENT'

Look at the photo on the slide. It will show a concern/possible noncompliance.

Your tasks:

1. Identify the concern and the relevant regulation.
2. Decide whether you would cite it as an NCI at a licensed facility (breeder/dealer/exhibitor)
3. Determine if your answer is the same if this facility is a research facility rather than a licensee. Why? Why not? What additional information might you need to make your decision?



Similar but **DIFFERENT**



Sign on cage housing
one hamster.

Additional info:

Not fed for 30 hours.
No medical issues
requiring fasting exist.

Concern/regulation?
Licensed facility-cite?
Research facility-cite?



Similar but DIFFERENT

You are inspecting on the morning of Friday June 6 and see this log on the door to the cat room. The husbandry staff has not yet been in this room today. You observe that some food and water remains in the bowls.

Concern/regulation?
Licensed facility-cite?
Research facility-cite?



WEEKLY ANIMAL AND ROOM CARE						
TASKS:	MON	TUE	WED	THU	FRI	SAT
Health/Behavior Check	/	✓	✓			
Complete Special Service Request						
Check Feed	/	✓	✓			
Check Water/Lixits	/	✓	✓			
Change Water						
Change Flooded Cages/Pans						
Change Cages		✓				
Change Cage Accessories						
Dust/Disinfect Rack Shelves	/	✓	✓			
Change Racks						
Sweep Floor	/	✓	✓			
Mop/Disinfect Floor						
House Animals						
Per Diem (Census Count)						
#Dead Animals	0	0	0			
Check Environmental Controls						
Light Timer	/	✓	✓			
Record Temperatures						
High	72.4	71.8	71.8			
Low	71.1	70.7	71.1			
Current	71.8	71.8	71.8			
Humidity	31	30	29			
Ventilation: Air balance (+/-) and air flow	+	+	+			

Similar but **DIFFERENT**

Cat in primary enclosure.

Floor space, height, and lighting all within regulation.



Concern/regulation?
Licensed facility-cite?
Research facility-cite?



Similar but **DIFFERENT**

Condition has been observed but veterinary care has not been provided.



Concern/regulation?
Licensed facility-cite?
Research facility-cite?



Homework



1. Complete your checklist for research facility inspections

2. Complete Inspection Guide Chapter 7 Assessment

3. Complete Day 3 Exercise *We will go over the answers in our next session*

4. Self study

- Review 3.13 in the Blue Book
- Read *the Guide*, Ch. 1 & 2
- Read PHS Policy