

***Post Approval Monitoring Policy
Veterinary Rounds for Laboratories***

Approved: February 9, 2012

Goal

The Animal Use Subcommittee's (AUS) CCAC-mandated Post-Approval Monitoring (PAM) policy, developed in conjunction with Western's research community, provides the roadmap for ensuring appropriate animal care and use oversight at Western and its affiliates in compliance with national, provincial and institutional policies. The *Post-Approval Monitoring Policy - Veterinary Rounds for Laboratories*, one component of the AUS's PAM policy, will provide one venue for ensuring that researchers and their staff are conducting animal-related activities in accordance with their respective approved *Animal Use Protocols (AUPs)* and in compliance with applicable regulations.

The primary objectives of veterinary rounds are to seek to fully understand the work being conducted, to meet and dialogue with those working with the animals at lab level, to support research by maintaining open dialogue with animal users, to offer assistance in correcting protocol drift, to offer advice concerning procedural refinements or additional training requirements, and to learn what refinements scientists have initiated that can be shared with Western's research community.

Scope

PAM veterinary rounds visits, conducted by either by an ACVS clinical veterinarian and/or a Protocol Support Registered Lab Animal Technician (PSRLAT), will be announced. The rounds process will involve laboratory/site visits to observe animal procedures and holding areas where live animals are used or housed, to evaluate record keeping, and to discuss approved activities with the research group directly involved in and/or responsible for animal care and use.

Although this procedure will be triggered by *Annual Protocol Renewal*, for efficiency the AUS may opt to review all active AUP's associated with a Principal Investigator in a certain area at this time.

Veterinary rounds will be conducted using the appended 'Post-Approval Monitoring Checklist,' which will be emailed to the researcher in advance of visits.

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Acting as a liaison between research staff and the AUS, the veterinarian and/or PSRLAT will endeavor to provide unbiased, positive, and constructive commentary in all cases.

In the event of non-compliance or 'protocol drift,' every effort will be made to ensure the collegial development of a compliance assurance strategy. Clear timelines will be established where remediation may be identified. Follow-up monitoring and mentoring will be offered in all cases if deficiencies are identified.

For further detail regarding non-compliance processes, please refer to the AUS PAM Policy at <http://www.uwo.ca/animal/website/AUS/Content/PAM.pdf>

Veterinary Rounds Process

Criteria Used for Rounds Prioritization

Veterinary rounds will be triggered by *Annual Protocol Renewal*, and will be prioritized by a number of criteria including:

- Category of Invasiveness (potential for pain and distress)
- Cultural Sensitivity of Species
- AUP History

Pre-Visit Communications

- When an AUP is selected for veterinary rounds, AUS compliance assurance staff will contact the Principal Investigator by email in order to arrange a mutually convenient meeting time within a two-month timeframe.
- If a PI designate has been identified, this individual will be copied on all correspondence.
- If the research group does not respond within two weeks, a reminder email and phone call will be sent.
- If no response is received within two additional weeks, the Protocol Support Veterinarian will follow-up as per the AUS PAM Policy.

Veterinary Rounds Visit

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- Within two months of pre-visit communications, the clinical veterinarian and/or PS RLAT will meet with the research group directly involved in animal care and use at a pre-determined location and date/time.
- Dialogue between the research group and veterinarian/PSRLAT relating to the AUP will be undertaken.
- Accompanied by research staff, sites associated with the AUP will be toured and assessed using the *PAM Checklist*.

Post-Rounds Follow-Up

- The PI will receive a post-rounds itemized follow-up report, including a copy of the PAM Checklist assessment, via email within two weeks of visitation that will provide feedback on the visit as well as 'next steps' pertaining to any outstanding compliance concerns.
- As per the AUS PAM Policy, the Protocol Support veterinarian will update the AUS on PAM visits, including veterinary rounds.
- Append report to AUP

At all times ACVS Veterinarians and the Protocol Support RLAT will endeavor to sustain and facilitate research through a collegial and supportive approach.

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Veterinary Rounds for Laboratories Checklist

Rounds Date:	PI Name:
AUP #s:	Species:
AUP Title:	
AUP Approval Date:	AUP Expiry Date:
Breeding? <input type="checkbox"/> Yes <input type="checkbox"/> No	Site Area:

Q #	Yes	No	Not Applicable	Animal Use Protocol (AUP) & Personnel
1.	Y	N	N/A	Do the PI and lab personnel have access to the most recent version of this AUP and amendments, if any?
2.	Y	N	N/A	Do the PI and personnel have accurate knowledge of the AUP?
3.	Y	N	N/A	Are all personnel who handle animals listed on the AUP?
4.	Y	N	N/A	Are all personnel's training records completed and up-to-date?
5.	Y	N	N/A	Are appropriate SOPs in place?
6.	Y	N	N/A	Is signage posted where appropriate, i.e. feeding schedule, observation schedule, endpoints etc.?
7.	Y	N	N/A	Are the records of animal husbandry maintained? Daily observations recorded, including weekends and holidays?
8.	Y	N	N/A	Is there a system for recording and notifying ACVS of sick animals and mortalities?

Comments:

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Physical Spaces Suitability for Stated Purpose					
10.	Y	N	N/A	Is there sufficient space for the stated purpose?	
11.	Y	N	N/A	Are there dedicated spaces available for certain procedures such as surgery?	
12.	Y	N	N/A	Are there appropriate areas for storage of related equipment?	
13.	Y	N	N/A	Are the necessary support equipment present (surgery prep, heat source, etc.)?	
14.	Y	N	N/A	Has someone been identified as being responsible for the area and its cleanliness and maintenance? Is this info posted in or outside the room?	
Comments:					
Site Maintenance					
15.	Y	N	N/A	Can temperature be monitored?	Temperature
16.	Y	N	N/A	Are necessary temperature monitoring devices present?	
17.	Y	N	N/A	Frequency of monitoring?	
18.	Y	N	N/A	Who monitors and maintains logs?	
19.	Y	N	N/A	Are the parameters currently adequate M (22-25) R (20-25)?	
20.	Y	N	N/A	Can the air changes be monitored?	Ventilation
21.	Y	N	N/A	Are they appropriate? M(8-12 ventilation changes/hr) R(10-20)	
22.	Y	N	N/A	Are survival surgeries conducted in a stream of filtered air?	

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23.	Y	N	N/A	Can humidity be monitored?	Humidity
24.	Y	N	N/A	Are the appropriate monitoring devices present?	
25.	Y	N	N/A	Frequency of monitoring?	
26.	Y	N	N/A	Who monitors/maintains logs?	
27.	Y	N	N/A	Are the parameters appropriate M(50-70%) R(50-55%)	
28.	Y	N	N/A	Is the noise level appropriate for the species?	Noise
29.	Y	N	N/A	Photoperiod- Is it appropriate?	Light
30.	Y	N	N/A	How do you confirm the lights are off?	
Comments:					
Husbandry					
31.	Y	N	N/A	General organization and cleanliness?	
32.	Y	N	N/A	Cage, bottle and other equipment cleaning procedures?	
33.	Y	N	N/A	Is there a bedding change station?	
34.	Y	N	N/A	Waste disposal and vermin control in place?	
35.	Y	N	N/A	Storage facilities (appropriate storage of bedding, food etc.)?	
36.	Y	N	N/A	Are the milling dates on the food?	
37.	Y	N	N/A	Are the surfaces sanitizable? (materials/finishes should be durable)	

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Comments:				
Animal & Human Safety				
38.	Y	N	N/A	<ul style="list-style-type: none"> Are there human safety concerns with the physical structure? Exposed wires (unprotected electrical fixtures), slippery floors, and leaks? Are appropriate notices and signs in place?
39.	Y	N	N/A	Are there animal health hazards associated with the physical structure?
40.	Y	N	N/A	Mechanisms for storing/limiting access to controlled substances?
41.	Y	N	N/A	Is a crisis plan in place appropriate to the purpose of the room?
42.	Y	N	N/A	<ul style="list-style-type: none"> Is any PPE required for working with the animals? Is a process in place to identify the necessary PPE? Is it clearly identified who is to provide the PPE and how to contact them if staff requires PPE?
43.	Y	N	N/A	<ul style="list-style-type: none"> Are general laboratory procedures being followed? No eating or drinking? Lab coats and gloves being worn at all times in the work area unless the protocol specifically describes the appropriate attire? Appropriate PPE being worn when needed?
Comments:				
Security				
44.	Y	N	N/A	<ul style="list-style-type: none"> How is access limited to authorized personnel? Is there protection from unauthorized personnel in place?
45.	Y	N	N/A	Who controls access?
46.	Y	N	N/A	Is the area out of direct sight from the general public?

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Comments:

Overall Comments: