Appendix A: Compliance Checklist for Post-Approval Monitoring Visits

The Protocol and Personnel

- Does the PI have the most recent version of the complete protocol, including amendments?
- Do the laboratory personnel have easy access to the most recent version of the complete protocol, including amendments?
- Have the laboratory personnel read and understood the protocol?
- Are the people performing the study approved to perform the IACUC approved procedures?
- Are the people performing the study appropriately trained to work with animals?
- Are the people involved in the study proficient in recognizing pain or distress in animals?
- In the event of a veterinary medical emergency, do laboratory personnel know how to contact the ULAR veterinary staff? If after hours, do laboratory personnel know how to contact the ULAR veterinarian on-call?

Study Procedures

- Are the animals being studied linked to a specific protocol? In other words, does the protocol number on the animal’s cage card match the protocol being used?
- Are all procedures that the laboratory is performing described in the protocol?
- Are the procedures performed consistent with those in the approved protocol?
- Are laboratory personnel appropriately trained to perform these procedures? Is there documentation of this training?
- Are laboratory personnel wearing PPE and/or other attire (e.g., masks and gloves) appropriate for the species and procedures performed (e.g., surgery, use of hazards)?

Anesthesia

- Are the methods of anesthesia consistent with the approved protocol?
- Are anesthetized animals monitored according to the approved method in the protocol and IACUC guidelines?
- Are the animals maintained at an appropriate depth of anesthesia for the procedure performed?
- If inhalant anesthetics are used, are they scavenged properly?
- Are anesthetic machines routinely serviced and calibrated?
- Are all drugs in-date?

Surgery or other painful procedures

- Is surgery or any other painful procedure performed in a location that has been approved by the IACUC?
- Is the location and method of animal preparation appropriate and in accordance with the approved protocol?
- Is survival surgery performed using sterile instruments, sterile gloves, a surgery mask, and aseptic technique?
• Is an appropriate heat source used to keep the animal warm throughout the procedure?
• Are incisions closed appropriately and in accordance with the approved protocol (sutures, staples, and/or tissue glue)?
• Is there an appropriate recovery area for the animals?
• Is terminal surgery performed in a clean, organized area?

Post-Surgical Care
• Is post-surgical care consistent with the approved protocol?
• Are the methods of analgesia (dose, frequency, duration) consistent with the approved protocol? Are they in-date and not expired?
• Is post-surgical (post-procedural) care adequately documented?

Euthanasia
• Does the method of euthanasia correspond with what is approved written in the protocol?
• Is death assured by performing an appropriate physical method of euthanasia when required?
• Are proper methods of carcass/tissue disposal in place?
• If performing CO₂ euthanasia in the laboratory, are the procedures consistent with the 2013 AVMA guidelines (e.g., flow meter and 20% fill rate per minute)?

General Record Keeping
• Is there an up-to-date and complete surgical log?
• Are animals identified by protocol number and individual numbers or cage cards?
• Are medical and post-procedure care progress notes complete and accurate, as described in the protocol?
• Is medication administration accurately documented?
• Are injections, blood collection, and fluid collection amounts dated and documented?
• Are controlled substance records maintained and accurate?

Laboratory
• Are animal procedural areas sanitized appropriately?
• If animals are housed in the laboratory for greater than 12 hours, has the laboratory been approved by the IACUC as a satellite housing area?
• Are drugs, suture material, and other items used for survival procedure within the noted package expiration dates?
• Are expired drugs/materials appropriately labeled and stored?
• Are drugs, food, or other items stored appropriately (away from detergents or other laboratory chemicals)?
• Are drugs used formulated as pharmaceutical grade? If not, is the use of non-pharmaceutical grade drugs listed and justified in the IACUC protocol?
• Are controlled substances stored appropriately? (i.e., double locked, secured, limited access).
• Are there any safety issues or other concerns that pose a threat to human or animal safety, or animal welfare?