

# Researcher's Self Assessment Tool for Compliance with Animal Care and Use Regulations

## Agricultural Animal Care and Use Program (AACUP)

### OVERVIEW

This form has been developed by the AACUP to assist researchers and study personnel in maintaining compliance with laws, regulations and guidelines applicable to research and teaching activities involving live agricultural animals. Our goal is to make it easier for you to identify any potential areas of concern and to help you avoid issues of noncompliance. You might also choose to use the *PI Checklists* located on our website. The *PI Checklists* provide quick references to the steps you should take before, during, and after conducting an agricultural animal research or teaching activity at UIUC.

Although you are not required to use either the self assessment tool or the checklists, we hope these documents will assist you. If you need any additional information, have any questions, or wish for us to discuss the assessment tool or help you conduct a self assessment, please feel free to contact us.

Agricultural Animal Care and Use Program Office  
[www.aacup.illinois.edu](http://www.aacup.illinois.edu)

Attending Veterinarian for Agricultural Animals:

Dr. Dawn Morin (217) 333-3042

[d-morin@illinois.edu](mailto:d-morin@illinois.edu)

Assistant Director for Animal Care Programs:

Dr. Vickie Jarrell (217) 265-5175

[vjarrell@illinois.edu](mailto:vjarrell@illinois.edu)

Secretary:

Cindy Pruitt (217) 265-6790

[cpruitt@illinois.edu](mailto:cpruitt@illinois.edu)

Veterinary Technician:

Linda Brown (217) 265-6771

[l-brown6@illinois.edu](mailto:l-brown6@illinois.edu)

**Principal Investigator (PI):**

**Protocol #:**

**Species:**

**Effective Dates:**

**Title:**

**Number of Animals Approved:**

**Number of Animals Used to Date:**

**Date of protocol compliance assessment:**

**Assessed by:**

### **Protocol and Personnel**

1. Y N Do the PI and all personnel have access to the most recent version of this protocol and any amendments?
2. Y N Do the PI and all personnel have accurate knowledge of the protocol, the numbers of animals being used and the procedures approved?
3. Y N Are all personnel who handle animals listed on the protocol? If the answer is No, submit a minor amendment.  
<http://research.illinois.edu/IACUC/content/Forms/FormsDefault.aspx>
4. Y N Are all personnel qualifications described appropriately? Is required training completed, and are records present to document any required training?
5. Y N Are the locations for housing and the locations for procedures being conducted with the animals consistent with those described in the protocol? If the answer is No, submit a minor amendment.  
<http://research.illinois.edu/IACUC/content/Forms/FormsDefault.aspx>
6. Y N Are daily animal husbandry and/or veterinary care being provided by the PI or study personnel?
7. Y N If study personnel are providing animal husbandry and/or veterinary care, are the approved care plans available and being followed?

### **Study Procedures**

1. Y N If there are stipulations for approval associated with the protocol, have those conditions been met?
2. Y N Are the procedures being conducted the same as those described and approved in the protocol? If the answer is No, submit a minor amendment.  
<http://www.iacuc.uiuc.edu/forms.html>.
3. Y N Are the sexes, ages, and numbers of animals consistent with those described in the approved protocol?
4. Y N Have there been submissions of amendments for any changes in procedures? Are these changes being implemented as described?

### **General Record Keeping**

1. Y N Are animals appropriately identified as individuals or groups?
2. Y N Are protocol numbers posted in the animal housing areas?

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|----|---|---|--|
| 3. | Y | N | Are treatments administered to the animals appropriately recorded (medicaments, dosages, frequency, routes, dates, withdrawal periods, and initials)?                            |
| 4. | Y | N | Are daily observations of the animals documented?  |
| 5. | Y | N | Are labels on experimental diets complete with dates of preparation, dates of expiration (if appropriate), identification of diets or treatments, PI's name and protocol number? |
| 6. | Y | N | Are diets stored appropriately and are they within expected expiration dates?  |

**Euthanasia**

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|----|---|---|---|
| 1. | Y | N | Does the method of euthanasia correspond with what is approved in the protocol? If the answer is No, submit a minor amendment.<br><a href="http://research.illinois.edu/IACUC/content/Forms/FormsDefault.aspx">http://research.illinois.edu/IACUC/content/Forms/FormsDefault.aspx</a> |
| 2. | Y | N | Are the people conducting euthanasia properly trained?  |
| 3. | Y | N | Are carcasses disposed of as described in the protocol? If the answer is No, submit a minor amendment.<br><a href="http://research.illinois.edu/IACUC/content/Forms/FormsDefault.aspx">http://research.illinois.edu/IACUC/content/Forms/FormsDefault.aspx</a>                         |
| 4. | Y | N | Is the final disposition of the animal recorded?  |
| 5. | Y | N | Are unexplained deaths reported to the AACUP office and animals submitted for necropsy?   |

**Anesthesia and Analgesia Information**

- |    |   |   |  |
|----|---|---|--|
| 1. | Y | N | Are the methods of anesthesia in agreement with what is written in the protocol? If the answer is No, submit a minor amendment.<br><a href="http://research.illinois.edu/IACUC/content/Forms/FormsDefault.aspx">http://research.illinois.edu/IACUC/content/Forms/FormsDefault.aspx</a> |
| 2. | Y | N | Are anesthetized animals being monitored as described in the written protocol?   |
| 3. | Y | N | Are records of monitoring complete?  |
| 4. | Y | N | If inhalant anesthetics are used, are they scavenged appropriately?  |
| 5. | Y | N | Are analgesics used for post surgical periods or painful procedures (or is there approved scientific justification for not using analgesics)?  |
| 6. | Y | N | Are analgesic dosages, frequencies, and routes of administration appropriate and accurately recorded?  |

## **Surgery**

1. Y N Are provisions made to maintain appropriate body temperature during and after surgical procedures?
2. Y N Are members of the surgical team properly trained in aseptic, anesthetic, surgical and post-operative monitoring techniques?
3. Y N Do the surgeons wear appropriate surgical garb during surgery?
4. Y N Are instruments and devices appropriately sterilized or disinfected before use?
5. Y N Are surgical procedures being conducted as described in the protocol?
6. Y N Are AACUP surgery record forms being used to document pre-, intra-, and post-operative procedures?
7. Y N Are copies of surgery reports and medical records submitted to the AACUP office at the conclusion of the study?
8. Y N Is there an appropriate recovery area for the animals?
9. Y N Are all drugs, fluids, suture materials, etc., within the expiration dates?
10. Y N Are scheduled drugs stored under double locks in a fixed cabinet with appropriate records?
11. Y N Is only one major survival performed on each animal? Multiple major survival surgical procedures on a single animal are discouraged, but may be permitted if scientifically justified by the user and approved by the IACUC. Major survival surgery penetrates and exposes a body cavity or produces substantial impairment of physical or physiologic functions. (Note that the lifetime of the animal is considered in this rule.)

## **Post-surgical Care**

1. Y N Is post-surgical care being conducted as described in the protocol?
2. Y N Is the frequency of monitoring of the animals adequate and being conducted as described in the protocol?
3. Y N Are the animals monitored until conscious or sternally recumbent?
4. Y N Are any post-operative health problems reported to the veterinary staff or Animal Care and Use Program office?

If the answer to any of these questions is No, you should take corrective action before continuing with your research.