### Attachment 1:

#### I. Semiannual Facility Inspection Checklist

**Terrestrial Animal Housing and Support Areas**

<table>
<thead>
<tr>
<th>Date:</th>
<th>Location:</th>
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</table>

- **Location:**
  - animal areas separate from personnel areas (*Guide*, p 134)
  - separation of species and separation by disease status (*Guide*, p 111)
  - security and access control (*Guide*, p 151) protocols current and posted

- **Construction:**
  - corridors (*Guide*, p 136)
  - animal room doors, exterior windows, floors (*Guide*, p 137)
  - walls and ceilings, drainage (*Guide*, p 138)
  - heating ventilation and air conditioning (*Guide*, p 139) proper air changes
  - power and lighting (*Guide*, p 141)
  - vibration and noise control (*Guide*, p 142)
  - environmental monitoring (*Guide*, p 143)

- **Room/Cage:**
  - temperature and humidity (*Guide*, p 43)
  - ventilation and air quality (*Guide*, p 45)
  - illumination (*Guide*, p 47)

- **Primary Enclosure:**
  - durable, nontoxic materials in good repair and no risk of injury (*Guide*, p 51)
  - flooring is safe and appropriate for species (*Guide*, p 51)
  - adequate bedding and structures for resting, sleeping, breeding (*Guide*, p 52)
  - objective assessments of housing and management are made (*Guide*, p 52)
  - procedures for routine husbandry are documented (*Guide*, p 52)
  - socially housed animals can escape or hide to avoid aggression (*Guide*, p 55)
  - cage height provides adequate clearance, animals express natural postures, can turn around, access food and water, and rest away from urine and feces (*Guide*, p 56) [must]
  - rationale [*] for *Guide*/USDA space exceptions approved by IACUC and based on performance indices (*Guide*, p 56)
  - dogs and cats allowed to exercise and provided human interaction (*Guide*, p 58)

- **Nonhuman Primate:**
  - nonhuman primates are socially housed except for scientific, veterinary, or behavior reasons (*Guide*, pp 58-59)
- single housing of nonhuman primates is for shortest duration possible *(Guide, p 60)*
- opportunities for release into larger enclosures is considered for single caged nonhuman primates *(Guide, p 60)*

**Agricultural Animals:**
- agricultural animals are housed socially *(Guide, p 60)*
- food troughs and water devices for agricultural animals allow access for all animals *(Guide, p 60)*

**Environmental Enrichment, Behavioral and Social Management:**
- structures and resources promote species typical behavior *(Guide, pp 52-54)*
- novelty of enrichment is considered *(Guide, p 53)*
- species specific plans for housing including enrichment, behavior, and activity are developed and reviewed regularly by the IACUC, researchers, and veterinarian *(Guide, pp 53, 58, 60, 63)*
- animal care personnel receive training to identify abnormal animal behaviors *(Guide, p 53)*
- stability of pairs or groups is monitored for incompatibility *(Guide, p 64)*
- single housing is justified for social species *(Guide, p 64)*
- single housing is limited to the minimum period necessary *(Guide, p 64)*
- additional enrichment for single housed animals is provided *(Guide, p 64)*
- single housing is reviewed regularly by IACUC and veterinarian *(Guide, p 64)*
- habituation to routine procedures is part of enrichment program *(Guide, p 64)*

**Sheltered or Outdoor Housing:** (e.g., barns, corrals, pastures, islands)
- weather protection and opportunity for retreat *(Guide, p 54)* [must]
- appropriate size *(Guide, p 54)*
- ventilation and sanitation of shelter (no waste/moisture build-up) *(Guide, p 54)*
- animal acclimation, social compatibility, roundup/restraint procedures *(Guide, p 55)*
- appropriate security *(Guide, p 55)*

**Naturalistic Environments:**
- animals added/removed with consideration of effect on group *(Guide, p 55)*
- adequate food, fresh water, and shelter ensured *(Guide, p 55)*

**Food:**
- feeding schedule and procedures including caloric intake management *(Guide, pp 65-67)*
- contamination prevention *(Guide, p 65)*
- storage in sealed containers, rotation of stocks, vendor quality control *(Guide, p 66)*, containers cleaned regularly
- expiration date labeling *(Guide, p 66)*
- vermin control *(Guide, p 66)*

**Water:**
- ad libitum unless justified *(Guide, pp 67-68)*
- QC procedures *(Guide, pp 67-68)*

**Bedding and Nesting Materials:**
- species appropriate *(Guide, pp 68-69)*
- Keeps animals dry (Guide, pp 68-69)
- QC procedures (Guide, pp 68-69)
- Minimizes scientific variables (Guide, pp 68-69)

**Sanitation:**
- Frequency of bedding/substrate change (Guide, p 70)
- Cleaning and disinfection of microenvironment (Guide, pp 70-71)
- Cleaning and disinfection of macroenvironment (Guide, p 72)
- Assessing effectiveness (Guide, p 73)

**Waste Disposal:**
- Procedures for collection (Guide, pp 73-74)
- Procedures for storage and disposal (Guide, pp 73-74)
- Hazardous wastes are rendered safe before removal from facility (Guide, pp 73-74) [must]
- Animal carcasses (Guide, pp 73-74)

**Pest Control:**
- Regularly scheduled or Facility Plan in place (Guide, p 74)
- Documented program including control of rodent pests and insecticide use (Guide, p 74)

**Emergency, Weekend, and Holiday Animal Care:**
- Care provided by qualified personnel every day (Guide, p 74)
- Provision for accessible contact information (Guide, p 74)
- Monitoring of backup systems (Guide, p 143)
- Veterinary care available after hours, weekends, and holidays (Guide, pp 74, 114) [must]
- A disaster plan that takes into account both personnel and animals (Guide, p 75)
- Program for preventative medicine, surveillance, diagnosis, treatment, and control of natural diseases or conditions

**Identification:**
- Cage/rack cards contain required information (Guide, p 75)
- Genotype information included and standardized nomenclature used when applicable (Guide, p 75)

**Recordkeeping:**
- Clinical records accessible and contain appropriate information (Guide, pp 75-76) ATS Used appropriately

**Breeding Genetics and Nomenclature:**
- Appropriate genetic records, management, and monitoring procedures (Guide, p 76)
- Phenotypes that affect wellbeing are reported to IACUC and effectively managed (Guide, p 77)

**Storage:**
- Adequate space for equipment, supplies, food, bedding, and refuse (Guide, p 141)
- Bedding in vermin-free area and protected from contamination (Guide, p 141)
- food in vermin-free, temperature and humidity controlled area and protected from contamination \((\textit{Guide, p.141})\)

- refuse storage is separate \((\textit{Guide, p.141})\)

- carcass and animal tissue storage is separate, refrigerated below 7ºC and cleanable \((\textit{Guide, p.141})\)

**Personnel:**

- adequate space for locker rooms, administration, and training \((\textit{Guide, p.135})\)

- animal care staff and researchers adequately trained, and appropriately documented

- enrolled in the occupational health program

- any required PPE available and properly enforced (signage)

- hand washing facilities available and break room provided

* \(A\) = acceptable  
\(M\) = minor deficiency  
\(S\) = significant deficiency (is or may be a threat to animal health or safety)  
\(C\) = change in program (PHS Policy \textit{IV.A.1.a.-i.}) (include in semiannual report to IO and in annual report to OLAW)  
\(NA\) = not applicable

**NOTES:**
Aquatic Animal Housing and Support Areas

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<td>animal areas separate from personnel areas ([Guide], p 134)</td>
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<td>separation of species and separation by disease status ([Guide], p 111)</td>
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<td>security and access control ([Guide], p 151) protocols current and posted</td>
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<td>corridors ([Guide], p 136)</td>
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<td>animal room doors, exterior windows, floors ([Guide], p 137)</td>
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<td>walls and ceilings, drainage ([Guide], p 138)</td>
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<td>heating ventilation and air conditioning ([Guide], p 139)</td>
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<td>power and lighting ([Guide], p 141)</td>
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<td>vibration and noise control ([Guide], p 142)</td>
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<td>environmental monitoring ([Guide], p 143)</td>
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<td>standards for acceptable quality are established and routine measurements of various characteristics are documented ([Guide], p 78)</td>
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<td>chlorine, chloramines, chemical, and reactive bioproducts are removed or neutralized prior to use in aquatic systems ([Guide], p 78, 86) [must]</td>
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<td>water source is based on appropriate controls and research requirements ([Guide], p 79)</td>
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<td>biofilter is of sufficient size to process bioload ([Guide], p 80) [must]</td>
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<td>temperature and humidity ([Guide], pp 43, 80-81)</td>
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<td>ventilation and air quality ([Guide], pp 45, 81)</td>
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<td>illumination ([Guide], pp 47, 81)</td>
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<td>noise and vibration ([Guide], pp 49, 81)</td>
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<td>water temperature verified and documented</td>
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<td>allows for normal physiological and behavioral needs ([Guide], p 82)</td>
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<td>allows social interaction for social species ([Guide], p 82)</td>
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<td>provides a balanced, stable environment ([Guide], p 82)</td>
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<td>provides appropriate water quality and monitoring ([Guide], p 82)</td>
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<td>allows access to food and waste removal ([Guide], p 82)</td>
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<td>restricts escape and entrapment ([Guide], p 82)</td>
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<td>allows undisturbed observation ([Guide], p 82)</td>
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<td>constructed of nontoxic materials ([Guide], p 82)</td>
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<td>prevents electrical hazards ([Guide], p 82)</td>
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<tr>
<td>space needs of species are evaluated by IACUC during program evaluations and facility inspections ([Guide], p 83)</td>
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</table>
- **Environmental Enrichment, Social Housing, Behavioral and Social Management:**
  - Enrichment elicits appropriate behaviors and is safe (Guide, p 83)
  - Semi-aquatic reptiles are provided terrestrial areas (Guide, p 83)
  - Handling is kept to a minimum and appropriate techniques are in place at facility or protocol level (Guide, p 84)
  - Nets are cleaned, disinfected, and managed to avoid contamination of systems (Guide, p 84)

- **Food:**
  - A nutritionally complete diet is provided and storage to prevent contamination, preserve nutrients, and prevent pests (Guide, p 84)
  - Delivery ensures access to all, minimizing aggression and nutrient loss (Guide, p 84)
  - Storage times are based on manufacturer recommendations or accepted practice and is labeled accordingly (Guide, p 84), containers cleaned regularly

- **Substrate:**
  - Amount, type, and presentation of substrate is appropriate for the system and the species (Guide, p 85)

- **Sanitation, Cleaning, and Disinfection**
  - Frequency of tank/cage cleaning and disinfection is determined by water quality, permits adequate viewing and health monitoring (Guide, p 86) and follows Attending Veterinarian minimum standards of care
  - Cleaning and disinfection of macroenvironment (Guide, p 86)

- **Waste Disposal:**
  - Procedures for collection (Guide, pp 73-74)
  - Hazardous wastes are rendered safe before removal from facility (Guide, pp 73-74) [must]
  - Animal carcasses (Guide, pp 73-74)
  - MS-222 Disposal

- **Pest Control:**
  - Regularly scheduled (Guide, p 74) or done as needed basis
  - Documented program including control of pests and insecticide use (Guide, p 74)

- **Emergency, Weekend, and Holiday Animal Care:**
  - Care provided by qualified personnel every day (Guide, pp 74, 87)
  - Provision for accessible contact information (Guide, pp 74, 87)
  - Emergency response plans in place to address major system failures (Guide, 87) [must]
  - Veterinary care available after hours, weekends, and holidays (Guide, pp 74, 114) [must]
  - Program for preventative medicine, surveillance, diagnosis, treatment, and control of natural diseases or conditions

- **Identification:**
  - Cage/tank cards contain required information (Guide, pp 75, 87)
  - Genotype information included and standardized nomenclature used when applicable (Guide, pp 75, 87)

- **Recordkeeping:**
  - Water quality parameters and frequency of testing recorded (Guide, p 88)
- **Storage:**
  - adequate space for equipment, supplies, food, substrate, and refuse (*Guide, p 141*)
  - substrate protected from contamination (*Guide, p 141*)
  - food in vermin-free, temperature and humidity controlled area and protected from contamination (*Guide, p 141*), and labeled properly
  - refuse storage is separate (*Guide, p 141*)
  - carcass and animal tissue storage is separate, refrigerated below 7°C and cleanable (*Guide, p 141*)

- **Personnel:**
  - adequate space for locker rooms, administration, and training (*Guide, p 135*)
  - animal care staff and researchers adequately trained, and appropriately documented
  - enrolled in the occupational health program
  - any required PPE available and properly enforced (signage)
  - hand washing facilities available and break room provided

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**NOTES:**
Cagewash

Date: 
Location: 

<table>
<thead>
<tr>
<th>Construction and Operation:</th>
<th>A*</th>
<th>M</th>
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<tbody>
<tr>
<td>o dedicated central area for sanitizing cages and equipment is provided (Guide, p 143)</td>
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<td>o cage-washing equipment meets need (Guide, p 143)</td>
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<td>o doors, windows, floors, drainage, walls, ceilings (Guide, pp 136-138)</td>
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<td>o convenient to animal areas/waste disposal (Guide, p 143)</td>
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<td>o ease of access (including door size) facilitates use (Guide, p 143)</td>
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<td>o sufficient space for staging and maneuvering (Guide, p 143)</td>
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<td>o safety precautions/clothing/equipment used for waste disposal/prewash/acid wash ((Guide, p 143)</td>
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<td>o traffic flow clean to dirty with no contamination of clean equipment by dirty equipment and appropriate air pressurization (Guide, p 143)</td>
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<td>o insulation and/or sound attenuation present as needed (Guide, p 143)</td>
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<td>o utilities are appropriate (Guide, p 143)</td>
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<td>o ventilation meets heat and humidity load (Guide, p 143)</td>
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<td>o safety features (e.g., SOPs, warning signs, eyewash stations) are in use (Guide, p 143)</td>
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<td>o functioning safety devices to prevent entrapment in washer/sterilizers (Guide, p 143)</td>
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<td>o cage wash temperatures are monitored and records are available (Guide, p 73)</td>
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<td>o appropriate clean cage storage (Guide, p 141)</td>
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  NA = not applicable

NOTES:
## Special Facilities: Aseptic Surgery

**Date:**

**Location:**

### General Considerations:
- Location minimizes traffic/contamination (*Guide, p.144*) and is a dedicated space strictly for major surgical procedures
- Functional components (surgical support, animal preparation, surgeon scrub, operating room, postoperative recovery) are designed and separated (physically or otherwise) (*Guide, p.144*)
- Appropriate drug storage, control, expiration date monitoring (*Guide, pp.115, 122*)
- Safe sharps disposal system (*Guide, p.74*)
- Adequate records of anesthesia and perioperative care (*Guide, p.122*)
- Aseptic procedures in use for all survival surgery (*Guide, pp.118-119*)

### Operating Room:
- Effective contamination control procedures (*Guide, p.144*)
- Effective cleaning procedures/dedicated tools (*Guide, p.145*)
- Interior surfaces smooth and impervious to moisture (*Guide, p.145*)
- HVAC system meets *Guide* requirements (*Guide, p.145*)
- Lighting safe and appropriate (*Guide, p.145*)
- Outlets safe and appropriate (*Guide, p.145*)
- Scavenging of anesthetic gases implemented (*Guide, p.145*)

### Surgical Support:
- Facility for washing, sterilizing, storing instruments and supplies (*Guide, p.145*)
- Autoclave monitoring procedures are implemented (*Guide, pp.119, 145*)
- Storage of autoclaved materials maintains sterility (*Guide, p.145*)
- Cold sterilization procedures are appropriate (*Guide, p.119*)

### Animal Preparation:
- Contains large sink to facilitate cleaning of animal and operative site (*Guide, p.145*)

### Surgeon Scrub:
- Outside operating room, non-hand-operated sink (*Guide, p.145*)

### Postoperative Recovery:
- Allows adequate observation, easily cleaned, supports physiologic functions, minimizes risk of injury (*Guide, p.145*)

### Dressing Area:
- Place for personnel to change (*Guide, p.145*)

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  NA = not applicable

### NOTES:
Special Facilities: Procedure Areas, Non-survival Surgeries, Laboratories, Rodent Surgeries, Imaging, Total Body Irradiation, Hazardous Agent Containment, Behavioral Studies

Date:
Location:

<table>
<thead>
<tr>
<th>• General Considerations:</th>
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<tr>
<td>o Appropriate signage/logs posted and maintained (daily checks, sheets, temp)</td>
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<td>o labs used to house animals only when scientifically required and limited to minimum period necessary (Guide, p 134) and permits posted if needed</td>
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<td>o drug storage, control, and expiration dates (Guide, pp 115, 122)</td>
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<td>o sharps disposal (Guide, p 74)</td>
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<td>o anesthetic monitoring (Guide, p 120)</td>
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<td>o scavenging of anesthetic gases (Guide, p 21), antibiotics, and analgesics used accordingly</td>
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<td>o safety features (e.g., SOPs, safety signs, eyewash stations, secure gas cylinders) are in place (Guide, p 19). Facility SOPs reviewed regularly.</td>
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<td>o carcass disposal (Guide, pp 73-74)</td>
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<td>o appropriate quarantine and acclimation procedures</td>
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<td>o appropriate animal procurement and transportation</td>
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<td>o euthanasia methods consistent with protocols and AVMA recommendations</td>
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<td>o humane endpoints followed</td>
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<td>• Additional Concerns for Survival Surgery: (rodent and minor procedures only)</td>
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<tr>
<td>o rodent survival surgery clean and uncluttered, not used for anything else during surgery (Guide, p 144)</td>
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<td>o records of peri-operative care (Guide, p 120)</td>
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<td>o aseptic procedures (Guide, pp 118-119)</td>
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<td>o autoclave monitoring procedures (Guide, pp 119, 145)</td>
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<td>o storage of autoclaved materials (Guide, p 145)</td>
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<td>o cold sterilization procedures are appropriate (Guide, p 119)</td>
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<td>• Imaging/Total Body Irradiation:</td>
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<td>o location of resource limits contamination risk (Guide, p 147)</td>
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<td>o appropriate transportation methods are in place (Guide, p 147)</td>
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<td>o gas anesthesia provision, scavenging and monitoring are appropriate (Guide, p 147)</td>
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<td>o appropriate sensors and ventilation are provided for cryogen gases (Guide, p 147) [must]</td>
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<td>o imaging console is located away from radiation source (Guide, p 147)</td>
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<td>• Hazardous Agent Containment:</td>
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<td>o facility adheres to APHIS, USDA, and CDC Select Agent Regulations and other federal, state and local regulations including security measures (Guide, p 148) [must]</td>
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<td>• Behavioral Studies:</td>
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<td>o facility minimizes airborne transmission of noise and ground-borne transmission of vibration (Guide, p 149)</td>
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- floor coverings reduce sound transmission (*Guide, p 149*)
- testing equipment allows for surface disinfection (*Guide, p 150*)
- components that cannot be cleaned are not in ready contact with animals and kept covered when not in use (*Guide, p 150*)
- housing areas are contiguous with testing areas when appropriate (*Guide, p 150*)

* A = acceptable
  M = minor deficiency
  S = significant deficiency (is or may be a threat to animal health or safety)
  C = change in program (PHS Policy IV.A.1.a.-i.) (include in semiannual report to IO and in annual report to OLAW)
  NA = not applicable