

<b>GENERAL PROCEDURES</b>	Each inspector should develop a consistent method of conducting inspections to ensure that his/her inspections are thorough and accurate.
<b>Preparing for the Inspection</b>	Prior to the inspection, you (the inspector) should review the following information: <ul style="list-style-type: none"><li>• research facility's past inspections</li><li>• research facility's Annual Report</li><li>• variances or extensions that may have been granted</li><li>• applicable sections of the regulations and standards</li><li>• applicable sections of the Research Facility Inspection Guide</li><li>• applicable Animal Care Policies</li><li>• other relevant resource material</li></ul>
<b>Conducting the Inspection</b>	Upon arrival at the facility: <ul style="list-style-type: none"><li>• do not enter facilities with locked gates and/or "No Trespassing" signs unless prior approval has been obtained from the registrant or designated research facility representative</li><li>• be alert for unsafe conditions, such as loose or vicious animals</li></ul> <p>Prior to conducting the actual inspection:</p> <ul style="list-style-type: none"><li>• contact the designated research facility representative(s) or other responsible person (see Note below)</li><li>• introduce yourself in a professional manner</li><li>• state the purpose for the visit</li><li>• show your USDA badge and ID if requested</li><li>• if appropriate, provide a business card</li></ul> <p><b>NOTE:</b> Under certain circumstances, you may want to observe the facility or facility personnel prior to announcing your presence. This should be done from areas accessible to the general public. Any noncompliances noted during this observation may be cited on the inspection report.</p> <p>The inspector should be accompanied by a designated research</p>

facility representative or other responsible person (who should be at least 18 years of age), when conducting the inspection in areas not accessible to the general public.

If you do not find anyone at the research facility, follow procedure for an Attempted Inspection (see Section 8.1).

**The steps detailed below are the components of an inspection and need to be performed. However, the exact order is left to the discretion of the individual inspector.**

#### *Biosafety Measures*

Biosafety measures to follow in conducting an inspection include, but are not limited to:

- follow facility's biosafety procedures, or
- put on recommended protective clothing, gear and/or boots, such as:
  - ▶ dogs/cats:
    - sanitizable or disposable boots
    - coveralls (optional)
    - ear plugs (strongly recommended)
    - disposable gloves (if touch any animals)
  - ▶ macaques:
    - respirator (Level N95 or better)
      - required if within 5 feet of animals
      - recommended if further than 5 feet from animals
    - 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)

#### *Animal Inspection*

Basic steps to follow in conducting an inspection of the animals include, but are not limited to:

- observe and check the health and well-being of the animals
  - ▶ avoid handling the animals unless necessary, such as

- ▶ to check for dehydration or malnutrition
- ▶ wear disposable gloves if you must handle any animals
- ▶ do not engage in diagnostic procedures
- approach all animals quietly and cautiously
- review husbandry practices
- review personnel experience and training
- observe handling techniques of personnel
- ask if there are any other animals that you have not been shown, such as in quarantine, isolation, holding or off-site
- review veterinary care
- inspect animal transport cages and vehicles

#### *Facility Inspection*

Basics steps to follow in conducting an inspection of the facilities include, but are not limited to:

- inspect facility premises, building(s), and equipment
- inspect all quarantine, isolation and holding areas
- inspect all food, diets, and food preparation areas
- inspect all hospital and surgical areas
- inspect researchers' labs if appropriate
- inspect all drugs for proper storage and expiration dates
- visualize problems that may occur at other times of the year
- use the Checklist for Animal Care Inspection Report (see page 5.4.7), if desired
- ask questions concerning the operation of the facility if necessary to ascertain compliance

Examples of questions to ask include:

- ▶ Are there any other locations, rooms, barns, sheds, etc. where:
  - animals are housed, used or held
  - food and/or bedding is stored
  - medical supplies are kept
- ▶ Are there any collaborative studies being conducted here or at another research facility?
- ▶ Are there any other places where cages, food bowls, water bottles, etc. are washed?
- ▶ Where are new animals received?
- ▶ Where are controlled drugs kept?



*Records Inspection*

Basic steps to follow in conducting a records inspection include, but are not limited to:

- review available records, such as:
  - ▶ IACUC records (see Section 14.4)
  - ▶ Annual Report (APHIS Form 7023)
  - ▶ acquisition/disposition records
  - ▶ health/medical records
  - ▶ non-random source dog/cat certification statements
  - ▶ random source dog/cat certification records
  - ▶ Standard Operating Procedures (SOPs)
  - ▶ investigators' logs
  - ▶ cleaning/sanitizing logs
  - ▶ temperature records
  - ▶ maintenance logs
  - ▶ any other records relating to the animals
- collect information for animals that you, the inspector, are suspicious about the source  
For example, you should question the source of dogs which are:
  - ▶ uncommon research breeds, such as:
    - small or toy breeds
    - thick coated dogs
  - ▶ tattooed with a non-USDA tattoo code or number
  - ▶ microchipped

Note: The research facility representative may request that you traceback an animal that he/she is suspicious of the original source.

**Identification of  
Noncompliant Items**

If noncompliant items are noted during the inspection, you should:

- identify the noncompliant items
- make notes on the noncompliant items
- point out each noncompliance to the designated research facility representative or responsible person
- explain why an item is noncompliant
- discuss possible solutions if asked
- discuss any problem that is not currently a noncompliance but may become an NCI in the future

**Identification of  
Unsafe Conditions**

NOTE: If no animals are present in an area with a noncompliance, the NCI should be cited only if the area is:

- currently in use but no animals are there at the time of your inspection, or
- ready for use

Be alert for unsafe facility conditions:

- if the conditions affect the animals, note or cite on the inspection report
- if the conditions are not a violation of the AWA, report these items to the designated research facility representative or other responsible person at the facility

Examples would be:

- ▶ unlocked controlled substances
- ▶ locked emergency exits
- ▶ absence of smoke detectors
- if the conditions adversely affect you, leave the area

