

Section I: Introduction/Rationale

Animal facilities in the ASRC are operated independently under faculty supervision. We strive to provide high quality facilities for housing research and teaching animals. In order to maintain a high quality animal care program it is essential that users follow our Standard Operational Procedures (SOP). Individuals who fail to follow the SOPs place at risk the health and well-being of workers and animals, as well as the biosecurity of the facility. Consequences for violating the SOPs may include charges for Unit support staff to provide unmet animal husbandry needs and loss of privilege to use the facility. The following guidelines will be used for handling violations of SOPs.

Section II: Definition of Violations

In an effort acknowledge that not all failures to follow SOPs are the same, we have established three levels of violations: “A, B and C” separately within the ASRC small and large animal units.

ASRC Unit B (Small Animal Facilities)

A. **Level “A” violations** are generally considered minor violations in procedure that do not significantly impact the health and well-being of animals or personnel.

Examples of such violations include:

1. Failure to sign the health check sheet on the door by 1:00 pm;
2. Failure to record the milling date on the exterior of the feed container;
3. Failure to change racks or cage lids according to the schedule required by the SOP;
4. Not filling out an Animal Health “Blue card” despite doing what is needed to assure that appropriate care has been provided to a sick animal;
5. Not recording cage changing on Daily Activity Sheet;

B. **Level “B” violations** are generally considered to have the potential to put the health and well-being of animals or personnel at some increased risk or may compromise the biosecurity of the facility.

Examples of such violation include:

1. Failure to conduct a daily health check;
2. Use of diets beyond the six months after the milling date on the bag;
3. Not changing cages or trays as scheduled;
4. Trafficking into the “clean” room after being in the dirty room; wearing gloves in the clean room;
5. Leaving dirty cages in the hallways after leaving the facility;
6. Failure to wear a lab coat or some protective outer clothing during any work that involves direct contact with animals or waste-contaminated products;
7. Failure to use the footbaths upon leaving the Dirty room area;
8. Failure to clean a joint-use space following surgery, sample collection or animal kill;
9. Propping doors open during any activity that is likely to generate aerosols of waste-contaminated products (e.g., bedding, hair, feathers);
10. Not following the SOP for sentinel animals;
11. Bringing animals into the facility without informing the Unit B manager beforehand;

C. **Level “C” violations** are the most serious and are considered those departures from SOPs or ACUC protocols that may clearly result in adverse effects on the health and well-being of animals or personnel in the facility or clearly compromise the biosecurity of the facility.

Examples of such violations include:

1. Failure to adequately monitor animals following surgery or other invasive procedure;
2. Failure to provide appropriate veterinary care for a sick animal;
3. Failure to provide animals with adequate food and water such that clinical signs of distress are noted, unless such restriction is part of the approved ACUC protocol;
4. Failure to euthanize an animal that is clearly in pain and distress, unless specific exceptions have been described in the ACUC protocol;
5. Bringing an animal into the Unit from a non-approved source without going through a standard OAR quarantine;
6. Bringing animals into the facility without an approved ACUC protocol;
7. Bringing animal into the facility from another location (i.e., animal room) on campus that has a confirmed case of any infectious pathogen;

ASRC Unit C (Environmental Chambers)

A. The following activities are required for individuals working in Unit C:

1. The health check sheet on the door must be signed daily by 1:00 pm;
2. The Animal Health “Blue card” must always be filled out for a sick animal;
3. All empty pens or cages must be cleaned in a timely fashion as determined by the Unit Supervisor.

B. **Level “B” violations** are generally considered to have the potential to put the health of animals or personnel at some increased risk or may compromise the biosecurity of the facility.

Examples of such violation include:

1. Failure to conduct a daily health check;
2. Failure to wear appropriate protective outer clothing, approved by the Unit Supervisor, during any work that involves direct contact with animals or waste-contaminated products may be considered a violation. (e.g., In certain instances, animals in Unit C are exposed to hot environmental conditions. At this time it is inappropriate for workers to wear uniforms that increase their health risk.)
3. Failure to clean a joint-use space following surgery, sample collection or animal kill as determined by the Unit Supervisor;
4. Bringing animals into the facility without informing the Unit Supervisor beforehand.
5. Failure to clean pens, stalls and cages containing animals as specified in the Unit SOP. This will be determined by the Unit Supervisor.

C. **Level “C” violations** are the most serious and are considered those departures from SOPs or ACUC protocols that may clearly result in adverse effects on the health and well-being of animals or personnel in the facility or clearly compromise the biosecurity of the facility.

Examples of such violations include:

1. Failure to adequately monitor animals following surgery or other invasive procedure, as determined by the Unit Supervisor or veterinarian;
2. Failure to provide appropriate veterinary care for a sick animal, as determined by the Unit Supervisor or veterinarian;
3. Failure to provide animals with adequate food and water such that clinical signs of distress are noted, as determined by the Unit Supervisor or veterinarian , unless such restriction is part of the approved ACUC protocol;
4. Failure to euthanize an animal that is clearly in pain and distress, as determined by the Unit Supervisor or veterinarian , unless specific exceptions have been described in the ACUC protocol,;
5. Bringing an animal into the Unit from a non-approved source without going through a standard quarantine, as determined by the Unit Supervisor;
6. Bringing animals into the facility without an approved ACUC protocol, as determined by the Unit Supervisor.

(NOTE: These lists are NOT meant to be comprehensive, but only to give PIs and workers an idea of how violations will be classified.)

ASRC Units D and F (Large Animal Facilities)

A. **Level “A” violations** are generally considered minor violations in procedure that do not significantly impact the health and well-being of animals or personnel.

Examples of such violations include:

- 1 Failure to sign the health check sheet on the door by 1:00 pm;
- 2 Not filling out an Animal Health “Blue card” despite doing what is needed to assure that appropriate care has been provided to a sick animal;
- 3 Failure to clean empty pens or cages in a timely fashion.

B. **Level “B” violations** are generally considered to have the potential to put the health and well-being of animals or personnel at some increased risk or may compromise the biosecurity of the facility.

Examples of such violation include:

1. Failure to conduct a daily health check;
2. Use of diets beyond the six months after the milling date on the bag;
3. Failure to wear a lab coat or other protective outer clothing during any work that involves direct contact with animals or waste-contaminated products;
4. Failure to wear boots or shoe covers when working with the animals;
5. Failure to clean a joint-use space following surgery, sample collection or animal kill;
6. Propping doors open during any activity that is likely to generate aerosols of waste-contaminated products (e.g., bedding, hair, feathers);
7. Bringing animals into the facility without obtaining the Unit supervisor’s approval.

C. **Level “C” violations** are the most serious and are considered those departures from SOPs or ACUC protocols that may clearly result in adverse effects on the health and well-being of animals or personnel in the facility or clearly compromise the biosecurity of the facility.

Examples of such violations include:

1. Failure to adequately monitor animals following surgery or other invasive procedure;
2. Failure to provide appropriate veterinary care for a sick animal;
3. Failure to provide animals with adequate food and water such that clinical signs of distress are noted, unless such restriction is part of the approved ACUC protocol;
4. Failure to euthanize an animal that is clearly in pain and distress, unless specific exceptions have been described in the ACUC protocol;
5. Bringing an animal into the Unit from a non-approved source without going through a standard quarantine;
6. Bringing animals into the facility without an approved ACUC protocol.

(NOTE: These lists are NOT meant to be comprehensive, but only to give PIs and workers an idea of how violations will be classified.)

Appeals.

1. If a PI wishes to appeal a specific violation, then they should do so in writing to the Unit Supervisor or the Unit Operations Committee within 7 days of the violation;
2. If the Unit Supervisor was directly involved in the incident, then the Operations Committee shall conduct the investigation and appoint an interim chair to oversee the appeals process;
3. Depending on the nature of the violation, an appeal may require nothing more than interviewing the parties involved to initiating an ACUC investigation into the incident.

Section III: Consequences of Violations

A. Violations can only be given out by the Animal Facility Manager or Attending Veterinarian in conjunction with the appropriate Unit Supervisor or ASRC Coordinator.

1. Personnel responsible for level A violations will be given a verbal warning initially, followed by a written warning for a second violation with e-mail to the PI and Unit Supervisor;
2. All level B violations will result in a written warning with PIs and the Unit supervisor receiving copies of all written warnings;
3. All level C violations must be reported to the ACQA office, the ASRC Coordinator, the Unit Supervisor and the PI as soon as possible.

B. Probation:

Anyone who receives three or more written warnings for level A violations or two or more level B violations will be placed on probation. Level C violations will be handled on a case-by-case basis by a committee consisting of the appropriate Unit Supervisor, the ASRC Coordinator and the Attending Veterinarian, unless one of those individuals has a conflict of interest, in which case that person will be replaced by the Animal Sciences Unit Leader.

1. Probation will last for no less than a month and will mean that the individual on probation will not have any privileges associated with working with animals in the Unit, unless directly supervised by someone else qualified to work with the animals.
2. After the second week of probation the employee may conduct all of their work without supervision, if it is conducted during standard working hours (e.g., 8-5 pm, M-F only).

3. The probationary period will end at the discretion of the Unit Supervisor after receiving a written request by the PI. A successful petition will clearly describe the additional training that the individual received to assure that no further violations should be expected.
4. Additional level A or B violations by someone who is on probation will extend their probation and may result in the loss of space in the Unit for the PI;

C. Service charges:

1. PI's will be charged for Unit support staff providing unmet animal husbandry needs (e.g., Health checks; feeding and watering animals).
2. Charges will be based on time and a half rate for hourly salary for Animal Facility Manager with a minimum billing increment of 30 min.
3. PI will be informed in writing (e.g., via email) of these charges within 7 days of the incident in question.
4. These service charges will be added to the regularly scheduled charges for Unit space that go out each quarter of the fiscal year.

D. Payment of Unit fees:

1. Unit users who do not pay their Unit bills, risk losing their assigned space.
2. Unit users will be given 30 days notice prior to revocation of their assigned space for non-payment. In this time, PIs should either make payment in full or make arrangements for relocating their animals.

E. Loss of Assigned Space:

PIs may lose their assigned space in the Unit for non-payment as described above or for repeated SOP violations.

1. A PI whose research program has a track record of multiple individuals being placed on probation or that has received two or more level C violations within a 12 month period will be subject to revocation of their assigned space in the Unit for the remainder of their assignment and will not be assigned space in the Unit for a period of no less than a year.
2. Decisions regarding revocation of assigned space for non-compliance to SOPs will be made by the Unit supervisor after consultation with the Unit Operations committee;
3. If a PI wishes to **appeal** a space revocation decision, then they should do so in writing to the ASRC Unit Supervisors Committee within 30 days of the revocation decision.