



## Inspection Report

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UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Customer ID: **9197**

Certificate: **93-R-0438**

Site: 001

THE UNIVERSITY OF CALIFORNIA, SANTA BARBARA

OFFICE OF RESEARCH

Type: ROUTINE INSPECTION

SANTA BARBARA, CA 93106

Date: Nov-18-2009

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No non compliant items identified this inspection.

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**Prepared By:**

ALEXANDRA ANDRICOS, D.V.M. USDA, APHIS, Animal Care

**Date:**

**Title:** VETERINARY MEDICAL OFFICER Inspector 5038

Nov-30-2009

**Received By:**

(b)(6), (b)(7)(c)

**Date:**

**Title:**

Nov-30-2009



## Inspection Report

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UNIVERSITY OF CALIFORNIA, SANTA

Customer ID: **9197**

OFFICE OF RESEARCH

Certificate: **93-R-0438**

Site: 001

THE UNIVERSITY OF CALIFORNIA,

SANTA BARBARA, CA 93106

Type: ROUTINE INSPECTION

Date: Mar-01-2009

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### **3.75** (a)

#### **HOUSING FACILITIES, GENERAL.**

(a) Structure: construction. Housing facilities for nonhuman primates must be designed and constructed so that they are structurally sound for the species of nonhuman primates housed in them. They must be kept in good repair and they must protect the animals from injury.

\*\*\*There was a small to moderate amount of paint peeling from two vents in two of the marmoset rooms. The vents were located directly above the animal enclosures. The animal enclosures should be moved to an area where there is minimal risk of coming into contact with paint debris. Animal rooms should be maintained in good repair to protect the animals from injury.\*\*\*

To be corrected immediately

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#### **Prepared By:**

ALEXANDRA ANDRICOS, V.M.O USDA, APHIS, Animal Care

#### **Date:**

**Title:** VETERINARY MEDICAL OFFICER Inspector 5038

Mar-26-2009

#### **Received By:**

(b)(6), (b)(7)(c)

#### **Date:**

**Title:**

Mar-26-2009



## Inspection Report

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UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Customer ID: **9197**

Certificate: **93-R-0438**

Site: 001

OFFICE OF RESEARCH

THE UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Type: ROUTINE INSPECTION

Date: Oct-09-2008

SANTA BARBARA, CA 93106

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No noncompliant items were identified during this inspection.

Note: The purpose of this inspection was to evaluate activities involving animals cited in the previous inspection report of August 25, 2008.

This is a transcribed copy of the original inspection report.

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**Prepared By:**

MARCY E ROSENDALE, D.V.M. USDA, APHIS, Animal Care

**Date:**

**Title:** VETERINARY MEDICAL OFFICER Inspector 5039

Apr-23-2009

**Received By:**

(b)(6), (b)(7)(c)

**Date:**

**Title:**

Apr-23-2009



## Inspection Report

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Customer ID: 9197

Certificate: 93-R-0438

Site: 001

OFFICE OF RESEARCH

THE UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Type: ROUTINE INSPECTION

Date: Aug-25-2008

SANTA BARBARA, CA 93106

### 2.31 (c) (3)

#### INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC).

Sec. 2.31 Institutional Animal Care and Use Committee (IACUC)

(c) IACUC Functions. With respect to activities involving animals, the IACUC, as an agent of the research facility, shall:

(3) Prepare reports of its evaluations conducted as required by paragraphs (c)(1) and (2) of this section, and submit the reports to the Institutional Official of the research facility. The IACUC may use subcommittees composed of at least two Committee members and may invite ad hoc consultants to assist in conducting the evaluations, however, the IACUC remains responsible for the evaluations and reports as required by the Act and regulations. The reports shall be reviewed and signed by a majority of the IACUC members and must include any minority views. The reports shall be updated at least once every six months upon completion of the required semiannual evaluations and shall be maintained by the research facility and made available to APHIS and to officials of funding Federal agencies for inspection and copying upon request. The reports must contain a description of the nature and extent of the research facility's adherence to this subchapter, must identify specifically any departures from the provisions of title 9, chapter I, subchapter A--Animal Welfare, and must state the reasons for each departure. The reports must distinguish significant deficiencies from minor deficiencies. A significant deficiency is one which, with reference to Subchapter A, and, in the judgment of the IACUC and the Institutional Official, is or may be a threat to the health or safety of the animals. If program or facility deficiencies are noted, the reports must contain a reasonable and specific plan and schedule with dates for correcting each deficiency. Any failure to adhere to the plan and schedule that results in a significant deficiency remaining uncorrected shall be reported in writing within 15 business days by the IACUC, through the Institutional Official, to APHIS and any Federal agency funding that activity.

Situations involving departures from the Animal Welfare Act where there were threats to the health and/or safety of animals being used under one protocol were not included in any IACUC reports and thus were never identified as being significant or minor deficiencies. Staff members stated during the inspection that the departures were considered to be a personnel problem and were never included in IACUC reports. Had the deficiencies been identified as significant any reports should have included specific plans and schedules with dates for correcting those deficiencies. A system should be in place to ensure that future reports include any significant or minor departures from the Animal Welfare Act.

#### Prepared By:

MARCY E ROSENDALE, D.V.M. USDA, APHIS, Animal Care

Date:

Title: VETERINARY MEDICAL OFFICER Inspector 5039

Apr-23-2009

#### Received By:

(b)(6), (b)(7)(c)

Date:

Title:

Apr-23-2009



## Inspection Report

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Correct immediately.

**2.31** (c) (7)

### **INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC).**

(7) Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the care and use of animals in ongoing activities.

An IACUC approved activity involving the care and use of animals was changed to allow the use of animals that were apparently suffering from significant health issues without the knowledge or approval of the IACUC. Some of these animals died during procedures, or were euthanized shortly after procedures secondary to their health issues. In at least one case (animal GS108), a procedure was performed only because staff thought the animal might die during the night. The use of sick animals for research purposes should be considered a significant change in a protocol. It is the responsibility of the IACUC to review proposed significant changes regarding the care and use of animals in ongoing activities at the institution. Significant changes regarding the care and use of animals in ongoing activities may adversely affect the health and well being of the animals at the facility and lead to unnecessary pain and/or distress to those animals. Following the review of ongoing activities, the IACUC may approve changes, require modification of proposed changes prior to their approval, or withhold the approval of the proposed changes before they are implemented. A system should be in place to ensure that proposed significant changes to activities involving the care and use of animals are reviewed and approved by the IACUC prior to their implementation.

Correct on all active and future protocols by November 9, 2008.

**2.31** (c) (8)

### **INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC).**

(8) Be authorized to suspend an activity involving animals in accordance with the specifications set forth in paragraph (d)(6) of this section.

An IACUC approved activity involving the care and use of animals was changed to allow the use of animals that were apparently suffering from significant health issues without the knowledge or approval of the IACUC. Some of these animals died during procedures, or were euthanized shortly after procedures secondary to the health issues. Bypassing the IACUC deprives that body of the authority to suspend an activity involving animals. A system should be in place to ensure that the IACUC has the authority to suspend activities involving animals.

Correct immediately.

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**Prepared By:**

MARCY E ROSENDALE, D.V.M. USDA, APHIS, Animal Care

**Date:**

**Title:** VETERINARY MEDICAL OFFICER Inspector 5039

Apr-23-2009

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(b)(6), (b)(7)(c)

**Date:**

**Title:**

Apr-23-2009



## Inspection Report

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**2.31** (d) (1) (i)

### **INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC).**

(d) IACUC review of activities involving animals.

(1) In order to approve proposed activities or proposed significant changes in ongoing activities, the IACUC shall conduct a review of those components of the activities related to the care and use of animals and determine that the proposed activities are in accordance with this subchapter unless acceptable justification for a departure is presented in writing. Further, the IACUC shall determine that the proposed activities or significant changes in ongoing activities meet the following requirements:

(i) Procedures involving animals will avoid or minimize discomfort, distress, and pain to the animals.

Animals being used in an IACUC approved activity were apparently suffering from significant health issues. Some of these animals died during procedures, or were euthanized shortly after procedures secondary to the health issues. According to staff members and health records the animals involved in the study did not receive veterinary treatment for the health issues in between procedures, nor were they euthanized prior to procedures to end any discomfort, distress, and/or pain they may have experienced during that period of time. It is the responsibility of the IACUC to assure that issues relating to discomfort, distress, and/or pain are addressed in research animals. The IACUC should have ensured that health conditions were adequately addressed before allowing the approved activity to proceed. A system should be in place to ensure that discomfort, distress, and/or pain experienced by animals are adequately addressed.

Correct immediately.

**2.31** (d) (1) (vii)

### **INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC).**

(vii) Medical care for animals will be available and provided as necessary by a qualified veterinarian.

An IACUC approved activity involving the care and use of animals allowed the use of animals that were apparently suffering from significant health issues. Some of these animals died during procedures, or were euthanized shortly after procedures secondary to the health issues. Animals involved in the study apparently did not receive veterinary treatment for the health issues in between procedures. Anesthesia records referred to animals that were known to have apparent respiratory conditions but there were no references to any diagnostic work performed or treatment rendered. Additionally, staff members stated during the inspection that the animals had not been treated. It is the responsibility of the IACUC to ensure that medical care for animals will be available and provided as necessary by a qualified veterinarian. A system should be in place to ensure that adequate veterinary care is provided to animals used for research purposes at this institution.

Correct immediately.

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**Prepared By:**

MARCY E ROSENDALE, D.V.M. USDA, APHIS, Animal Care

**Date:**

**Title:** VETERINARY MEDICAL OFFICER Inspector 5039

Apr-23-2009

**Received By:**

(b)(6), (b)(7)(c)

**Date:**

**Title:**

Apr-23-2009



## Inspection Report

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**2.31** (e) (2)

### **INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC).**

(e) A proposal to conduct an activity involving animals, or to make a significant change in an ongoing activity involving animals, must contain the following:

(2) A rationale for involving animals, and for the appropriateness of the species and numbers of animals to be used.

No rationale for the appropriateness of the numbers of animals was provided in two amendments to an IACUC approved protocol. The amendments only state the total number of animals requested. An adequate rationale for the appropriateness of the number of animals to be used is important in order to ensure that excessive numbers of animals are not used unnecessarily in that activity. An adequate rationale for the appropriateness of the number of animals must be included in each protocol in order that the IACUC may review the activity and make decisions regarding approval of the activity.

Correct on all active and future protocols by November 9, 2008.

**2.32** (c)

### **PERSONNEL QUALIFICATIONS.**

Sec. 2.32 Personnel qualifications.

(c) Training and instruction of personnel must include guidance in at least the following areas: 4) Methods whereby deficiencies in animal care and treatment are reported, including deficiencies in animal care and treatment.

The annual protocol update form signed by a PI contained a series of questions to be answered yes or no. One of the questions stated "Have any adverse effects or unanticipated problems been observed while conducting this study?" The PI answered "No" and the form was signed in December of 2007. Yet between July and October of 2007 at least three animals in that study experienced health issues significant enough to result in death or euthanasia. Additionally, there was an admitted deficiency in the veterinary treatment of those sick animals during that period of time. Personnel must be trained to report deficiencies in order to assure proper program oversight.

Correct by November 9, 2008.

**2.33** (b) (3)

### **ATTENDING VETERINARIAN AND ADEQUATE VETERINARY CARE.**

Sec. 2.33 Attending veterinarian and adequate veterinary care.

(b) Each research facility shall establish and maintain programs of adequate veterinary care that include: (3) Daily observation of all animals to assess their health and well-being.

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**Prepared By:**

MARCY E ROSENDALE, D.V.M. USDA, APHIS, Animal Care

**Date:**

**Title:** VETERINARY MEDICAL OFFICER Inspector 5039

Apr-23-2009

**Received By:**

(b)(6), (b)(7)(c)

**Date:**

**Title:**

Apr-23-2009



## Inspection Report

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Anesthesia records contained statements pertaining to prolonged illness in three animals undergoing procedures. However, there were no records of daily observation available for those animals, thus it was impossible to say how long the animals had been ill. The lack of daily observation may also have played a role in causing a deficiency of veterinary care. Daily observation of all animals to assess their well-being and appropriate documentation of those observations is necessary to ensure that the animals at the facility receive timely and adequate veterinary care. A system should be in place to ensure that all animals are observed daily, any health problems are documented, weights are obtained when appropriate, and the attending veterinarian is notified when necessary.

Corrected at the time of the inspection.

This is a transcribed copy of the original inspection report.

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**Prepared By:**

MARCY E ROSENDALE, D.V.M. USDA, APHIS, Animal Care

**Title:** VETERINARY MEDICAL OFFICER Inspector 5039

**Date:**

Apr-23-2009

**Received By:**

(b)(6), (b)(7)(c)

**Date:**

Apr-23-2009

**Title:**





## Inspection Report

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Customer ID: 9197

Certificate: 93-R-0438

Site: 001

THE UNIVERSITY OF CALIFORNIA, SANTA BARBARA

OFFICE OF RESEARCH

Type: ROUTINE INSPECTION

SANTA BARBARA, CA 93106

Date: Jun-20-2007

### 3.75 (b)

#### HOUSING FACILITIES, GENERAL.

3.75 Housing facilities, general.

(b) Condition and site. Housing facilities and areas used for storing animal food or bedding must be free of any accumulation of trash, waste material, junk, weeds, and other discarded materials. Animal areas inside of housing facilities must be kept neat and free of clutter, including equipment, furniture, or stored material, but may contain materials actually used and necessary for cleaning the area, and fixtures and equipment necessary for proper husbandry practices and research needs.

\*\*\*The clean side of the cage wash room is used as a storage space for extra animal enclosures. The cage wash is in use almost daily and there is a moderate amount of traffic in the area by animal care personnel. At time of inspection the room was almost completely full and it was difficult to avoid bumping into clean and sanitized cages. Enclosures stored in this manner can easily become contaminated and should be moved to a less congested space. \*\*\*

To be corrected by July 15, 2007

### 3.75 (e)

#### HOUSING FACILITIES, GENERAL.

(e) Storage. Supplies of food and bedding must be stored in a manner that protects the supplies from spoilage, contamination, and vermin infestation. The supplies must be stored off the floor and away from the walls, to allow cleaning underneath and around the supplies. Food requiring refrigeration must be stored accordingly, and all food must be stored in a manner that prevents contamination and deterioration of its nutritive value. Only the food and bedding currently being used may be kept in animal areas, and when not in actual use, open food and bedding supplies must be kept in leak proof containers with tightly fitting lids to prevent spoilage and contamination.

\*\*\*There was an open box of primate acacia gum in the food storage room. Open food supplies can become easily spoiled and contaminated if not stored properly. Open food supplies must be kept in leak proof containers with tightly fitting lids to prevent spoilage and contamination.\*\*\*

Corrected during inspection

#### Prepared By:

ALEXANDRA ANDRICOS, D.V.M. USDA, APHIS, Animal Care

#### Date:

Title: VETERINARY MEDICAL OFFICER Inspector 5038

Jun-20-2007

#### Received By:

(b)(6), (b)(7)(c)

#### Date:

Title:

Jul-12-2007



## Inspection Report

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3.84 (b) (3)

### CLEANING, SANITIZATION, HOUSEKEEPING, AND PEST CONTROL.

(b) Sanitization of primary enclosures and food and water receptacles.

(3) Hard surfaces of primary enclosures and food and water receptacles must be sanitized using one of the following methods:

(ii) Washing with hot water (at least 180 °F (82.2 °C)) and soap or detergent, such as in a mechanical cage washer.

\*\*\*The facility is currently using a mechanical cage washer to sanitize the primary enclosures. Although a cage washer temperature log was available for inspection, there were gaps in the log when the temperatures were not recorded. Without this information we cannot be certain the cage washer reached at least 180 °F during each use. A method to verify cage washer temperatures have reached at least 180 °F should be maintained.\*\*\*

To be corrected by June 21, 2007

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**Prepared By:**

ALEXANDRA ANDRICOS, D.V.M. USDA, APHIS, Animal Care

**Title:** VETERINARY MEDICAL OFFICER Inspector 5038

**Date:**

Jun-20-2007

**Received By:**

(b)(6), (b)(7)(c)

**Date:**

Jul-12-2007

**Title:**



## Inspection Report

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UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Customer ID: **9197**

Certificate: **93-R-0438**

Site: 002

OFFICE OF RESEARCH

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Type: ROUTINE INSPECTION

Date: Jul-30-2009

SANTA BARBARA, CA 93106

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No non-compliant items identified this inspection.

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**Prepared By:**

MANUEL A ADVIENTO, D.V.M. USDA, APHIS, Animal Care

**Date:**

**Title:** VETERINARY MEDICAL OFFICER Inspector 5001

Jul-30-2009

**Received By:**

(b)(6), (b)(7)(c)

**Date:**

**Title:**

Jul-30-2009



## Inspection Report

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UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Customer ID: **9197**

Certificate: **93-R-0438**

Site: 002

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

OFFICE OF RESEARCH

Type: ROUTINE INSPECTION

SANTA BARBARA, CA 93106

Date: Aug-21-2008

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No non-compliant items noted this inspection.

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**Prepared By:**

MANUEL A ADVIENTO, D.V.M. USDA, APHIS, Animal Care

**Date:**

**Title:** VETERINARY MEDICAL OFFICER Inspector 5001

Aug-21-2008

**Received By:**

(b)(6), (b)(7)(c)

**Date:**

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Aug-21-2008



## Inspection Report

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UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Customer ID: **9197**

Certificate: **93-R-0438**

Site: 002

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

OFFICE OF RESEARCH

Type: ROUTINE INSPECTION

SANTA BARBARA, CA 93106

Date: Aug-07-2007

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No non-compliant items identified this inspection.

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**Prepared By:**

MANUEL A ADVIENTO, D.V.M. USDA, APHIS, Animal Care

**Title:** VETERINARY MEDICAL OFFICER Inspector 5001

**Date:**

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