

Documentation Soup to Nuts: Forms, Minutes, and Records

PRIM&R 2016 Conference
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**PRIM&R 2016 Institutional Animal Care and Use Committee
Conference • Bellevue, WA March 30-April 2**

Recordkeeping

	PHS Policy	AWRs
IACUC Minutes	<ul style="list-style-type: none"> Records of attendance, IACUC activities and IACUC deliberations 	<ul style="list-style-type: none"> Records of attendance, IACUC activities and IACUC deliberations
Protocols	<ul style="list-style-type: none"> Records of proposed activities using animals Record of proposed significant changes Outcome of IACUC review 	<ul style="list-style-type: none"> Records of proposed activities using animals Record of proposed significant changes Outcome of IACUC review
Basic Documents	<ul style="list-style-type: none"> Semiannual IACUC reports and recommendations Assurance Document Records of accrediting body determinations Non-compliance reporting (OLAW FAQ C7) 	<ul style="list-style-type: none"> Semiannual IACUC reports and recommendations Records of acquisition and disposition for dogs and cats Exercise plan for dogs Environmental enrichment plan for NHP Written program of veterinary care only if AV is not full time
Other Requirements	<ul style="list-style-type: none"> Generally, all records must be kept for three years, records that relate to applications, proposals, and proposed significant changes must be maintained for the duration of the activity plus three years Must be accessible for inspection or copying by OLAW or other PHS officials 	<ul style="list-style-type: none"> All records must be kept for three years; records that relate to applications, proposals, and proposed significant changes must be maintained for the duration of the activity plus three years Accessible to APHIS and Federal agency officials USDA may extend the records retention requirements pending completion of an investigation
Reference	PHS Policy IV.E	9 CFR Part 2, Subpart C 2.33, 2.35, 3.8



Annual Reports


	PHS	USDA	AAALAC
Timetable	Due to OLAW on or before January 31, describing activity during the previous calendar year (January 1 – December 31)	Due on or before December 1, describing activity during fiscal year (October 1 – September 30)	No specific due date. An institution may choose its reporting period (e.g. calendar year, fiscal year, USDA reporting period, etc.) as long as the period covered is continuous with previous reports
Submitted to	OLAW	APHIS, AC Regional Director	AAALAC online, for questions, email annualreport@aaalac.org
Submitted by	IACUC, through the IO	Signed or certified by CEO or IO	AAALAC contact correspondent
Form used	Not specified, may use OLAW sample form	APHIS Form 7023	AAALAC's online annual report form
Reference	PHS Policy IV.F 1, 2 & 4	9 CFR Part 2, Subpart C 2.36	www.aaalac.org/members/annual_report.cfm



Semiannual Reports

	PHS Policy	AWRs
Timetable	Every six months, an AAALAC program status evaluation of accreditation site visit may fulfill these requirements	Every six months, an AAALAC program status evaluation of accreditation site visit may fulfill these requirements
Submitted to	IO	IO
Submitted by	IACUC, as a Committee Action	IACUC
Form used	Not specified; may use OLAW sample form	Not specified
Contents	<ul style="list-style-type: none"> Describe adherence to Guide & PHS Policy and any departures Reasons for departures; identify significant and minor deficiencies; include plan/schedule for correction Includes minority views Approved by the IACUC Maintained by the institution; available to OLAW upon request 	<ul style="list-style-type: none"> Describe adherence to AWRs and any departures Reasons for departures; identify significant and minor deficiencies; include plan/schedule for correction Includes minority views Reviewed and signed by majority of IACUC members Maintained by the Research Facility; available to APHIS and funding agency upon request Report failure to meet plan for correction through IO to APHIS and funding agency within 15 working days
Reference	PHS Policy IV.B.3.IV.E.1.d & IV.F.4	9 CFR Part 2, Subpart C.2.31(c)(3)


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Assurances, Registrations and Program Descriptions


	PHS Assurance	USDA Research Facility Registration	AAALAC Program Description (PD)
When required	<ul style="list-style-type: none"> To receive PHS or NSF support for animal activities Approved for a period of up to four years 	<ul style="list-style-type: none"> Animals covered by USDA Regulations held or used for regulated purposes Updated every three years 	<ul style="list-style-type: none"> New applicants may submit the application form at any time PD due dates are April 1, August 1, or December 1, prior to the site visit
Submitted to	OLAW	APHIS, AC Regional Director	Electronically to programdescription@aaalac.org
Submitted by	IO	Signed by person with legal authority to bind organization	AAALAC contact correspondent
Form used	Institutional letterhead; may use OLAW sample format	APHIS Form 7011	AAALAC's Program Description form; available in Word or PDF versions
Reference	PHS Policy IV.A	9 CFR Part 2, Subpart C.2.30	www.aaalac.org/programdesc/index.cfm

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Miscellaneous Documentation

- Chair Assignment of DR
- Protocol to Grant Congruency
- Follow-up on Corrective Actions
- Others ??



Questions?

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Thank you!

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