



Home Office

Animals in Science Regulation Unit (ASRU)

Facilities Audit Report

MBR Acres Ltd

Version 4.0



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Introduction

1. The purpose of a facilities audit is to record on-the-ground evidence of the effectiveness and application of the governance systems in place to maintain compliance with standard conditions of the establishment licence and Code of Practice for the Housing and Care of Animals Bred, Supplied or Used for Scientific Purposes and make decisions about regulatory actions required to reduce risk of non-compliance.
2. This document provides a template for Inspectors to record their findings during a facilities audit.
3. The facilities audit report will only include information about the approved areas, regulated procedures, documents and processes, and people seen by the Inspector(s) during the facilities audit.
4. The findings will be graded according to the following criteria:

Critical: Critical findings will always be reported to the enforcement team for further assessment

- There is evidence to suggest system failure(s) have resulted in or have the potential to result in unnecessary suffering of protected animals, and/or
- There is evidence of governance systems failure or absence of major governance systems and / or
- There are a number of major non-compliances (defined below) across different areas, indicating a systematic quality assurance failure, and/or
- Where inappropriate, insufficient, or untimely corrective action has taken place regarding previously reported major non-compliances

Major: Major findings may be reported to the enforcement team for further assessment

- Where evidence exists that a departure from ASPA has occurred that may not have developed into an issue, but may have the potential to do so unless addressed, and/or
- Where evidence exists that a number of risks exist within the governance of a single area
- Where inappropriate, insufficient, or untimely corrective action has taken place regarding previously reported minor non-compliances

Minor: Where evidence exists that a single risk exists within the governance of a single area

Related documents

- [Animals \(Scientific Procedures\) Act 1986](#)
- [Guidance on the Operation of the Animals \(Scientific Procedures\) Act](#)
- [Code of Practice for the Housing and Care of Animals Bred, Supplied or Used for Scientific Purposes](#)
- [Establishment Licence Standard Conditions](#)



Details about the Facilities Audit

Establishment Name	MBR Acres
Establishment licence number	REDACTED
Establishment licence holder	REDACTED
Date of visit	01/08/2023
Purpose of visit (tick all that apply)	<input checked="" type="checkbox"/> Facilities audit Please tick below if any element of this visit related to the below purposes <input type="checkbox"/> Enforcement investigation <input type="checkbox"/> For cause audit <input type="checkbox"/> Thematic audit <input type="checkbox"/> PEL amendment assessment
Announced or unannounced visit	<input type="checkbox"/> Announced <input checked="" type="checkbox"/> Unannounced
Audit Inspector(s)	REDACTED and REDACTED
Date draft audit report issued	14/09/2023
Date final audit report issued	01/11/2023

Report version number	Date revision issued	Reason for change
	Click or tap to enter a date.	
	Click or tap to enter a date. Click or tap to enter a date.	



Summary of Findings

Grading of audit results	
Critical Findings	
Major Findings	
Minor Findings	

<u>Identified low-level concern</u>	
No.	Concern
1	
2	
3	
4	

Actions required by establishment			
No.	Action	Date required	OFFICIAL USE ONLY Date completed
1		Click or tap to enter a date.	
2		Click or tap to enter a date.	
3		Click or tap to enter a date.	
4		Click or tap to enter a date.	



Enforcement issues

Brief summary of issue	Referred as potential non-compliance	Inspector Advice			Other comments
		Verbal advice given	Name of licensee	Category breached	
None					

**Actions recommended to the establishment**

No.	Recommendation
1	Regularly removing the dust around the air ducts in Buildings REDACTED would optimise the efficiency of the air circulation system.
2	Ramps in cages REDACTED would benefit from replacement/repair.
3	

Areas inspected (please tick the box if area is unauthorised)

Area	Staff accompanying inspection of area	Inspected by
<input type="checkbox"/> REDACTED	REDACTED REDACTED REDACTED	REDACTED REDACTED
<input type="checkbox"/> REDACTED		
<input type="checkbox"/> REDACTED		
<input type="checkbox"/> REDACTED		
<input type="checkbox"/> REDACTED		
<input type="checkbox"/> REDACTED		
<input type="checkbox"/> REDACTED		
<input type="checkbox"/> REDACTED		

Procedures witnessed

Procedure (and PPL holder's name)	Conducted by	Inspected by
None		

Interviews conducted

Name	Position / Role
REDACTED	PELh
REDACTED	NACWO & NIO
REDACTED	NVS
Document(s) viewed	
Room daybooks	
Room medical records	



Cage labels
Individual dog records, including breeding and health details
Killing Register
Medicines Book
Training and competency record for REDACTED



Detailed Audit Report

For the purposes of this report, for standards to have been suitably met there should be no findings that indicate lack of compliance with ASPA or licence conditions, for that audit category (i.e., categories 1- 42, as listed below)

Audit of Areas

1. Physical Facilities
<ul style="list-style-type: none"> i. The environment takes account of the physiological and ethological (behavioural) needs of the animals kept. PEL SC4(3) & CoP (S2: 1.1) ii. The environment takes account of the health and wellbeing of protected animals, any defect discovered and any avoidable pain, suffering, distress or lasting harm discovered is eliminated as quickly as possible. PEL SC4(5) iii. Access by unauthorised persons is prevented. PEL SC17 & CoP (s2: 1.1) iv. Ingress or escape of animals is prevented. PEL SC17 & CoP (s2: 1.1) v. The facilities are well maintained and there is evidence of an active maintenance programme to prevent & remedy defects in buildings or equipment. PEL SC4(4) & CoP (S2: 1.1) vi. There are adequate fire precautions. PEL SC19 vii. There are quarantine and acclimatisation facilities for newly arrived animals. PEL SC18 & CoP (s2: 1.3) viii. There is separate accommodation for sick or injured animals. CoP (s2: 1.3) ix. Suitable facilities are available to handle animals safely and without injury for both animals and those handling them. PEL SC 4(4) x. There is evidence of 3Rs. PEL SC 1
Have these standards been suitably met?
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other
Reasoning or clarification (optional)



2. Holding rooms

- i. There is a regular and efficient cleaning schedule to maintain satisfactory hygiene standards. CoP (s2: 1.2)
- ii. Walls and floors are surfaced with a non-harmful material that is resistant to heavy wear and tear caused by the animals and the cleaning process. CoP (s2: 1.2)
- iii. Equipment & fixtures are protected to prevent damage to and by animals. CoP (s2: 1.2)
- iv. Incompatible species, for example predator and prey, or animals requiring different environmental conditions, are not held in the same room. CoP (s2: 1.2)
- v. Predator and prey species are not housed within sight, smell, or sound of each other. CoP (s2: 1.2)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

iv. & v. are not applicable as only dogs are kept on site

3. General & special purpose procedure rooms

- i. Where appropriate there are laboratory facilities to carry out simple diagnostic tests, post-mortem examinations, and/or the collection of samples. CoP (s2: 1.3) & PEL SC4(4)
- ii. Where appropriate there are procedure rooms for procedures/observations that should not be conducted in the holding room. CoP (s2: 1.3) & PEL SC4(4)
- iii. Where aseptic surgery is undertaken, there are suitably equipped room(s) for aseptic procedures and facilities for post-operative recovery. CoP (s3: 1.3) & PEL SC4(4)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)



4. Service rooms

- i. Storerooms are designed, used, and maintained to safeguard the quality of food and bedding. CoP (s2: 1.4) & PEL SC4(4)
- ii. Storerooms are vermin and insect-proof. CoP (s2: 1.4) & PEL SC4(4)
- iii. Contaminated or hazardous materials are stored separately away from animals and food and bedding storerooms. CoP (s2: 1.4) & PEL SC4(4)
- iv. Cleaning and washing areas are adequate to maintain good hygiene of cages and equipment. CoP (s2: 1.4) & PEL SC4(4)
- v. There is a separate clean and dirty flow of equipment to prevent contamination. CoP (s2: 1.4) & PEL SC4(4)
- vi. There is hygienic and safe storage and disposal of carcasses and animal waste. CoP (s2: 1.4) & PEL SC4(4)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

5. Ventilation & temperature

- i. Air circulation, dust levels and gas concentrations are kept within limits that are harmless to the animals. CoP (s2: 2.1) & PEL SC4(4)
- ii. Temperature and relative humidity in the holding rooms are adapted to the species and age groups housed. CoP (s2: 2.1) & PEL SC4(4)
- iii. Temperature is measured and logged daily. CoP (s2: 2.1)
- iv. Animals are not restricted outdoors in weather conditions which may cause them distress. CoP (s2: 2.1)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

i. the air ducts with small holes (REDACTED) were becoming clogged with dust. Although air venting was adequate, it is recommended that these should be cleared regularly to optimise performance.



6. Lighting

- i. Any controlled lighting satisfies the biological requirements of the animals and provides a satisfactory working environment. CoP (s2: 2.2) & PEL SC4(3)
- ii. Light levels are adequate for husbandry procedures and inspection of the animals. CoP (s2: 2.2) & PEL SC4(4)
- iii. Regular photoperiods and appropriate light intensity are provided. CoP (s2: 2.2) & PEL SC4(4)
- iv. The lighting is adjusted for any albino animals. CoP (s2: 2.2) & PEL SC4(4)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

iv. no albino animals kept.

7. Noise

- i. Noise levels, including ultrasound, do not adversely affect animal welfare. CoP (s2: 2.3) & PEL SC4(4)
- ii. Holding rooms have appropriate noise insulation and absorption. CoP (s2: 2.3) & PEL SC4(4)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)



8. Alarms

- i. Alarm systems sound outside the sensitive hearing range of the animals. CoP (s2: 2.4) & PEL SC4(5)
- ii. Where establishments intend to rely on electrical or mechanical equipment for environmental control/ protection they have a stand-by system to maintain essential services and emergency lighting systems as well as to ensure that alarm systems themselves do not fail to operate. CoP (s2: 2.4) & PEL SC4(5)
- iii. Heating and ventilation systems have monitoring devices and alarms. CoP (s2: 2.4) & PEL SC4(5)
- iv. Clear instructions on emergency procedures are prominently displayed. CoP (s2: 2.4) & PEL SC4(5)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

9. Housing and enclosures

- i. Social animals are housed in stable groups of compatible individuals. CoP (s2:3.3.1)
- ii. Single housing is for the minimum time necessary and visual, auditory, olfactory and/or tactile contact is maintained as appropriate to the species, strain, and sex. CoP (s2:3.3.1)
- iii. The introduction or re-introduction of animals to established groups is carefully monitored to avoid any problems of incompatibility / disrupted social relationships. CoP (s2:3.3.3)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)



10. Enrichment

- i. All animals have a sufficiently complex environment to allow expression of a wide range of normal behaviour. CoP (s2:3.3.2)
- ii. Animals have a degree of control and choice over their environment to reduce stress-induced behaviour CoP (s2:3.3.2)
- iii. Establishments provide an appropriate enrichment including physical exercise, foraging, manipulative, and cognitive activities. CoP (s2:3.3.2)
- iv. Environmental enrichment in enclosures is adapted to the species and individual needs of the animals. CoP (s2:3.3.2)
- v. Enrichment strategies are regularly reviewed and updated. CoP (s2:3.3.2)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

11. Animal enclosures

- i. Enclosures are made of materials that do not pose a risk to health or of injury. CoP (s2:3.3.3)
- ii. Unless disposable, enclosures are made from materials that withstand cleaning and decontamination. CoP (s2:3.3.3)
- iii. Floors are adapted to the species and age of the animals and are designed to facilitate the removal of excreta. CoP (s2:3.3.3)
- iv. Enclosures/cages meet the minimum space requirements set out in the CoP. CoP (s2:3.3.3) & CoP (s2: 2.2 – 2.12)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

- i. Ramps in cages REDACTED have been chewed and would benefit from replacement/repair.



12. Resting and sleeping

- i. Appropriate bedding materials or sleeping structures adapted to the species are always provided, including nesting materials or structures for breeding animals. CoP (s2:3.3.6)
- ii. As appropriate to the species, a solid, comfortable resting area for all animals is provided. CoP (s2:3.3.6)
- iii. All sleeping areas are kept clean and dry. CoP (s2:3.3.6)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

- i. additional underfloor heating is provided for brood bitches and their pups.

13. Food

- i. The form, content and presentation of the diet meets the nutritional and behavioural needs of the animal. PEL SC4(3)
- ii. The diet provided is palatable and is not contaminated. PEL SC4(3)
- iii. Measures are taken to minimise chemical, physical, or microbiological contamination when producing, preparing, and presenting food. PEL SC4(3)
- iv. Feed is packaged, transported, and stored to avoid contamination, deterioration, or destruction. PEL SC4(3)
- v. All feed hoppers, troughs or other utensils used for feeding are regularly cleaned and, if necessary, sterilised. PEL SC4(3)
- vi. Each animal has access to the food, with sufficient feeding space provided to limit competition. PEL SC4(3)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)



14. Water

- i. Uncontaminated drinking water is always available to all animals. Except when authorised in the licence. PEL SC4(3)
- ii. When automatic watering systems are used, they are regularly checked, serviced, and flushed to avoid accidents. PEL SC4(3)
- iii. If solid-bottomed cages are used, measures are taken to minimise the risk of flooding. PEL SC4(3)
- iv. The water supply is adapted for aquaria / tanks to meet the needs and tolerance limits of the individual fish, amphibian, and reptile species. PEL SC4(3)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

iv. aquatic species are not kept.

15. Transport

- i. Transport conditions for protected animals are appropriate to safeguard their welfare. PEL SC4(6)

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

i. Suitable transport cages were available for moving dogs around the site and when transported to user establishments. Loading of two routine shipments of dogs was completed on the day of the audit.



16. Cage labels

- i. All cages, pens or other enclosures are clearly labelled. PIL SC16
- ii. The labelling enables Inspectors, named veterinary surgeons and named animal care and welfare officers to identify:
 - a. The number of the project licence authorising the procedures.
 - b. The project licence protocol in which the animals are being used.
 - c. The date the protocol was started, and the responsible personal licence holder. PIL SC16

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

ii. labelling uses codes rather than names for the responsible individuals.



Audit of Regulated Procedures

Regulated procedure(s) observed (complete as appropriate if multiple procedures observed)

PIL Holder(s) (PIL Number(s))			
PPL Title and Number			
PPL Holder			
Protocol Number			

17. General Anaesthesia and Analgesia

- i. The anaesthetic equipment available is adequate.
- ii. It is serviced / checked.
- iii. There is an anaesthetist and a surgeon.
- iv. The anaesthetist is competent.
- v. PILh(s) / care staff know how to access anaesthetics or sedation, including in an emergency.
- vi. There is a process in place to cross-check individual training and competency records.

PIL SCs 9,10,11&12

PPL SC17, SC23

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

ii. anaesthetic equipment is serviced annually, with label stating next service due October 2023.

iii. & iv. the NVS is both the anaesthetist and surgeon.

v. this was confirmed by discussion of the local processes and controls with both the NVS and NACWO, both of whom are also PIL holders.



18. Prevention of unauthorised procedures

- i. PILh(s) ensures appropriate personal and project licence authorities exist before undertaking the procedure?

PEL SC20

PIL SC19

PPL SC23

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

i. Discussion with the NVS and NACWO provides assurance that the internal processes and licence authorities are aligned and only staff who are authorised and competent are allowed to undertake the procedure, which is overseen by the NVS.

19. Competency in the procedures

- i. PILh(s) is trained in the technique?
- ii. PILh(s) has been assessed as competent in the technique?
- iii. PPLh(s) provides an appropriate level of supervision?
- iv. PILh(s) is competent?
- v. The level of asepsis is appropriate?
- vi. There is a process for cross-checking individual training and competency records?

PIL SC17

PPL SC6, SC23

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

i.-v. All training and competence assessments for regulated procedures are undertaken in the presence of the NVS and staff who are competent to train/assess.

vi. The recording of training requirements and competency are available and are in the process of being transferred into an in-house electronic system. Additionally, a DOPs system has been implemented.



20. Controls and limitations

- i. PILh(s) is aware of the controls and limitations regarding the technique they are undertaking as authorised in the protocol in the project licence they are working under.

PIL SC4, SC6

PPL SC7, SC23

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

- i. The NVS and NACWO, who are both PIL holders, described the controls and limitations in the licence and how the internal processes prevent them being exceeded.

21. Humane endpoints

- i. PILh(s) is aware of the humane end points regarding the technique they are undertaking as authorised in the protocol in the project licence they are working under.

PIL SC3, SC5, SC7, SC8

PPL SC5, SC8, SC9, SC23

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

22. Keeping alive at the end of procedures

- i. If animals are going to be kept alive at the end of procedures:
- a) All staff involved understand continued use and reuse.
 - b) There is an understanding of the role of the NVS under these circumstances.

PPL SC11

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)



23. Severity limits

- i. PILh(s) knows what to do if it appears that either the severity limits or the controls and limitations are about to be exceeded.

PIL SC13
PPL SC18

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

24. Non-compliance

- i. The PILh(s) understands what non-compliance is.
- ii. The PILh(s) knows what to do if it appears there is non-compliance with ASPA or SC in licences.

PPL SC16

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

The NVS and NACWO, who are both PIL holders, demonstrated an understanding of i. and ii. above.

25. Veterinary advice

- i. The PILh(s) understands when and how to obtain veterinary advice for animals in their care.

PIL SC15

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

- i. The NACWO, as PIL holder, described that the NVS is usually available on site, for the provision of veterinary advice, and is accessible via telephone, if not.



26. Handover

- i. There are processes in place to ensure that suitable arrangements exist for the care and welfare of animals when the PILh(s) is not in attendance.

PIL SC14

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

27. Record keeping

- i. Records are kept by the PILh(s) of all animals on which procedures have been carried out.

- ii. There is a process in place to cross-check records.

PIL SC20

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)

28. Miscellaneous

Strategies to minimise any potential stress-related impact on the dogs from the protests outside the establishment are in place and continue. [Requirement of 5th July 2022 audit]

Have these standards been suitably met?

Yes No Not inspected Not applicable Other

Reasoning or clarification (optional)



Audit of Documents / Processes

29. Staffing	Requirement
i. There are always adequate staff members with the appropriate training to ensure the wellbeing of animals.	PEL SC5
ii. Staff taking care of animals have successfully completed training in module L, E1, PILA (theory & skills for relevant species) and K (theory).	Guidance 9.4 (recommended but not mandatory)
iii. Care staff are supervised until assessed as competent and are periodically reassessed.	PEL SC5
iv. There are appropriate arrangements for ongoing care when NPs are not available.	PEL SC16
Have these standards been suitably met?	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	

30. Health	Requirement
i. There is a strategy to ensure that an appropriate health status is maintained	CoP PEL SC4(5)
ii. There is regular health monitoring, a microbiological surveillance programme and plans for dealing with health breakdowns.	CoP PEL SC4(5)
iii. There are defined health parameters and procedures for the introduction of new animals.	CoP PEL SC4(5)
iv. There are processes in place to ensure animals are checked at least daily by a competent person to ensure that all sick or injured animals are identified, and appropriate action is taken.	CoP PEL SC4(5)
Have these standards been suitably met?	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	

31. Killing relevant protected animals	Requirement
a) Methods authorised by the establishment licence	
i. Methods used are at least as humane as a schedule 1 method for animals of that type.	Guidance 6.4



ii. Scientific evidence is available to support claims for humaneness if the method has not already been accepted by ASRU for that type of animal.	Guidance 6.6.1a
b) Killing register	
i. All people on the register are trained (see Guidance 9.5) and competent to kill animals of that type by that method.	PEL SC2
ii. Both schedule 1 and non-schedule 1 methods of killing are included on the register.	PEL SC2
iii. The register includes the description of animals and the method of killing.	PEL SC2
iv. There are sufficient numbers of competent people on the register to ensure any protected animal can be killed expeditiously.	PEL SC2
Have these standards been suitably met? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	

32. Animals taken from the wild	Requirement
i. Transport containers and means of transport are adapted to the species concerned are available at capture sites in case animals need to be moved for examination or treatment.	PEL SC4(6)
ii. There are appropriate measures for the acclimatisation, quarantine, housing, husbandry and care of animals taken from the wild.	PEL SC18 PEL SC4
iii. There are appropriate provisions for setting wild animals free at the end of procedures (where appropriate).	ASP A S17A PEL SC23
Have these standards been suitably met? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input checked="" type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional) No animals are taken from the wild.	

33. Setting free or re-homing relevant protected animals	Requirement
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i. Processes are in place to ensure the animal's state of health allows it to be set free or re-homed.	ASP A S17A PEL SC23
ii. Processes are in place to ensure setting free or re-homing poses no danger to public health, animal health or the environment.	ASP A S17A PEL SC23
iii. An adequate scheme is in place for ensuring the socialisation of the animal on being set free or re-homed.	ASP A S17A PEL SC23
iv. Processes are in place to ensure all other appropriate measures are taken to safeguard the animal's wellbeing on being set free or re-homed.	ASP A S17A PEL SC23
v. Processes are in place to ensure any animal taken from the wild undergoes an appropriate programme of rehabilitation.	ASP A S17A PEL SC23
Have these standards been suitably met?	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	
v. animals are not taken from the wild.	

34. Record keeping	Requirement
i. Records are available to ASRU on request.	PEL SC11
a) Environmental conditions	
i. Temperature and relative humidity are appropriate for the species held in all approved areas.	PEL SC4(5)
ii. Water quality is appropriate for aquatic species.	PEL SC4(5)
b) Animal use	
i. Source, use & disposal records for animals meet the requirements of PEL SC8 and are kept for a minimum of 5 years after the date of disposal of the animal.	PEL SC8
ii. For re-homing or setting free at the end of procedures, records of actions taken to meet ASP A S17A are maintained and available for at least 5 years after re-homing.	ASP A 17A PEL SC8
iii. There are records of assessment of fitness to travel between sites at the establishment and to other destinations.	PEL SC23
iv. There is an audit trail of how ASP A Section 14 requirements are met for each animal re-used.	ASP A 14



v. Individual history files for each dog, cat and NHP meet the requirements of PEL SC9 and are kept for a minimum of 3 years following disposal of the animal.	PEL SC9
c) Training	
i. There are individual training records for all staff using or caring for animals.	PEL SC5
ii. There is an effective system for ensuring staff training, assessment, and review of competence in animal care and husbandry.	
iii. The Killing register meets the requirements of PEL SC2.	PEL SC2
d) Health records	
i. Health records are maintained to a professional standard by the NVS and are available to key staff.	PEL SC14
Have these standards been suitably met?	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	
a) ii. No aquatic species are kept.	

35. Breeding and colony management	Requirement
a) Colony management	
i. Colonies are managed to minimise the numbers of surplus animals.	PEL SC1 Guidance 2.4
ii. Suitable actions are taken to assure the quality of animals, including GAAs.	
iii. If NHPs are bred at the establishment there is a documented breeding strategy for the animals.	PEL SC7
b) Marking	
i. Animals requiring identification are marked using the least painful, suitable method.	PEL SC1
ii. Dogs, cats and NHPs are permanently and individually marked before weaning or as soon as possible on arrival.	PEL SC10
Have these standards been suitably met?	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	



- a) i & ii. the numbers of animals bred and any issues relating to their suitability for future breeding and quality are centrally planned and monitored
- a) iii. NHPs and cats are not kept

36. Communication and Working relationships	Requirement
i. There are good working relationships between all those concerned with the care or use of animals, in particular care staff, scientists and Named Persons.	PEL SC21
ii. There are regular communications between Named Persons, including the NPRC.	PEL SC21
iii. There is an effective system for raising concerns relating to animal welfare or regulated work.	PEL SC21
Have these standards been suitably met?	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	

37. Accessibility of information	Requirement
i. Project and personal licence details are easily accessible to relevant staff.	PEL SC24
ii. Contact details for key people, including out of hours, are available.	PEL SC16
Have these standards been suitably met?	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	

38. Prevention of unauthorised procedures	Requirement
i. There are reasonable systems and processes in place to prevent unauthorised procedures at the establishment.	PEL SC20
Have these standards been suitably met?	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not inspected <input type="checkbox"/> Not applicable <input type="checkbox"/> Other	
Reasoning or clarification (optional)	



Interviews with Named People

39. NVS Name: REDACTED

- i. Has a good understanding of ASPA, the Guidance, standard conditions on licences, relevant CoP requirements and the 3Rs.
- ii. Has a good understanding of ethical issues relating to the scientific use of animals.
- iii. Is familiar with the requirements for husbandry and health of the species to be accommodated.
- iv. Has a good understanding of their role in promoting compliance.
- v. Proactively provides relevant advice on methods of euthanasia, 3Rs, anaesthesia, aseptic surgery and post-mortems.
- vi. Is familiar with the governance systems at the establishment and their role within them.
- vii. Has adequate resource to undertake their role, including a regular visiting regimen.
- viii. There are cover arrangements when not available.
- ix. Ensures suitable health screening, quarantine, and biosecurity.
- x. Clinical records meet RCVS standards and are easily accessible to animal technicians.

PEL SC15, SC16
Guidance 8.6.2 & 8.7

Have these standards been suitably met?

Yes No Not interviewed Not applicable Other

Reasoning or clarification (optional)

The NVS was fully engaged in the activities undertaken at the establishment and in their roles and responsibilities under the Act. They were actively working within the organisation to evaluate breeding and health records to optimise the 3Rs when identifying animals suitable for breeding.



40. NACWO Name: REDACTED

- i. Has a good understanding of ASPA, the Guidance, standard conditions on licences, relevant CoP requirements, relevant husbandry, and care practices and the 3Rs.
- ii. Has a good understanding of ethical issues relating to the scientific use of animals.
- iii. Has a good understanding of their role in promoting compliance.
- iv. Proactively provides relevant advice on methods of euthanasia, 3Rs, hygiene.
- v. Recognises indicators of poor welfare, pain and other forms of suffering and ensures this is addressed.
- vi. Is familiar with the governance systems at the establishment and their role within them.

PEL SC15

Guidance 8.8.2

Have these standards been suitably met?

Yes No Not interviewed Not applicable Other

Reasoning or clarification (optional)

Discussion throughout the audit provided assurance that the NACWO was suitably knowledgeable and competent to fulfil the responsibilities of the role.

41. NTCO Name: REDACTED (in person) and REDACTED (Remotely)

- i. Has a thorough understanding of the formal training requirements for licence applicants and of the normally accepted exemptions from formal training and how to apply for them.
- ii. Is familiar with the regulated procedures and species being used at their establishment.
- iii. Is familiar with the Home Office licensing system, including how to submit licence applications, amendments, and reviews.
- iv. Oversees a process for ensuring continuing education and training and the maintenance of appropriate records.
- v. Liaises with NTCOs at other establishments when licensees and care staff move between establishments to ensure appropriate training, supervision, and assessment of competence.

PEL SC15



Guidance 8.9.2

Have these standards been suitably met?

Yes **No** **Not interviewed** **Not applicable** **Other**

Reasoning or clarification (optional)

v. any incoming staff are fully trained, supervised and assessed for competence by the establishment.

42. NIO Name: REDACTED

- i. Has a good understanding of legal and ethical aspects of use of animals for scientific purposes and the concept, principles, and potential applications of the 3Rs.
- ii. Is proactive in finding and disseminating relevant information relating to the 3Rs.
- iii. Has a good network of contacts within the establishment to facilitate effective and focused distribution of information.

PEL SC15

Guidance 8.10.2

Have these standards been suitably met?

Yes **No** **Not interviewed** **Not applicable** **Other**

Reasoning or clarification (optional)