



Home Office

# Animals in Science Regulation Unit Facilities Audit



May 2022

**OGL**

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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 making decisions about regulatory actions required to reduce risk.
2. An audit is primarily supportive and aims to recognise areas where systems are appropriate to maintain compliance as well as identifying areas where improvements could be made. Although non-compliance may be detected during an audit it is not primarily an enforcement activity but a monitoring and educational activity.
3. Establishments must be able to demonstrate that they are providing care that satisfies the physiological, ethological and healthcare needs of the protected animals they are responsible for. There must be an adequate number of appropriately trained and educated staff to carry out husbandry tasks and to make sure that animal wellbeing is safeguarded.
4. Establishments must be able to demonstrate a system of administration and supervision through which the use of animals is managed, the wellbeing of animals and staff is protected, and accountability is assured. The establishment will set up local systems and processes to continuously improve research quality and safeguard the animals by promoting good practice, reducing adverse incidents, ensuring lessons are learned and preventing poor performance.
5. Governance will apply to everyone in the establishment connected to the use of animals; including Named Persons, licensees, and support staff. It is the Named Person Responsible for Compliance's (NPRC) responsibility to ensure robust systems are in place to achieve effective governance in an establishment.
6. The purpose of this document is to provide an audit template for a facilities audit of an establishment to determine if the standard conditions of the establishment licence and Code of Practice for the Housing and Care of Animals Bred, Supplied or Used for Scientific Purposes are being complied with.

## 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](#)
- [Standards for PEL Standard Conditions](#)



## FACILITIES AUDIT by Animals in Science Regulation Unit (ASRU)

<b>Establishment Name</b>	MBR Acres Limited
<b>Establishment licence number</b>	REDACTED
<b>Establishment licence holder</b>	REDACTED
<b>Date of on-site audit</b>	5th July 2022
<b>Audit Inspector(s)</b>	REDACTED and REDACTED

# SUMMARY OF FINDINGS:

## Grading of audit results (**minor/major/critical**):

No critical, major or minor findings were identified during this **unannounced visit**. However, an additional finding was identified as detailed below.

**Critical Findings:** None

**Major Findings:** None

**Minor Findings:** None

**Additional finding:** The unpredictable nature of the **external noise** from the protesters and their other activities, such as poking of cameras through ventilation slots, appears to have resulted in a state of heightened alertness and chronic stress response in some dogs in the building closest to the camp. The establishment has in place mitigations to minimise the impact of this potential stressor on the dogs, which is otherwise out-with the control of the PEL holder.

## Actions required by establishment

No	Action	Date required
1	To continue with the mitigation strategies already in place and those being further developed by the establishment. The aim is to minimise any stress-related impact on the dogs caused by the protests outside the establishment.	Ongoing

## Actions recommended to the establishment

No	Action
1	None

## Interviews conducted

Name	Position/role
None	

## Approved areas inspected



<b>Approved area inspected</b>	<b>Staff accompanying inspection of area</b>	<b>Inspected by</b>
All buildings that held dogs were inspected	REDACTED	REDACTED and REDACTED
Procedure rooms where regulated procedures are authorised to take place were inspected	REDACTED	REDACTED and REDACTED

### Procedures witnessed

<b>Procedure</b>	<b>Conducted by</b>	<b>Inspected by</b>
Blood sampling	REDACTED	REDACTED and REDACTED

### Documents reviewed

<b>Document</b>	<b>Version/Date</b>
Daybooks in all animal units inspected	Current

# Facilities Audit

## Audit of Areas

### The Physical Facilities

- i. The environment takes account of the physiological and ethological (behavioural) needs of the animals kept? PEL SC4(3) & CoP (S2: 1.1)
- ii. Is access by unauthorised persons prevented? PEL SC17 & CoP (s2: 1.1)
- iii. Ingress or escape of animals is prevented? PEL SC17 & CoP (s2: 1.1)
- iv. 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)
- v. There are adequate fire precautions? PEL SC19
- vi. There are quarantine and acclimatisation facilities for newly arrived animals? PEL SC18 & CoP (s2: 1.3)
- vii. There is separate accommodation for sick or injured animals? CoP (s2: 1.3)
- viii. Suitable facilities are available to handle animals safely and without injury for both animals and those handling them? PEL SC 4(4)
- ix. There is evidence of 3Rs? PEL SC 1

**Are you satisfied these standards have been fulfilled?**

Yes  No

#### Reasoning or clarification (optional if compliant)

The environment takes account of the physiological and ethological needs of the dogs held within. However, in the building closest to the protester activity, along the fence line, the dogs experience exposure to long periods of drumming, sirens, loud hailers, whistles and music on an irregularly irregular basis. The unpredictable nature of the external noise, which is out-with the control of the PEL holder, and other activities, such as poking of cameras through ventilation slots, appears to have resulted in a state of heightened alertness resulting in chronic stress response; this manifested as over excitement and pacing in some of the dogs in this building. This behaviour was not evident in the dogs in any of the other buildings.





### 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

### 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**



## 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 shall be 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

## 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**



## 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

No albino animals are held on site.

## 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

Pack animals vocalise when there is a change in circumstance, to alert their conspecifics e.g. when staff enter a building. This appeared to be no different from any other kennelled environment.

However, the unpredictable nature of the external noise close to the building nearest to the protester activity, including exposure to long periods of drumming, sirens, loud hailers, whistles and music, which are out-with the control of the PEL holder, appears to have resulted in a state of heightened alertness and extended periods of barking. This behaviour was not evident in the dogs in any of the other buildings.



## 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 will 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

### Reasoning or clarification (optional if compliant)

The alarms on site need to be audible to the security staff who are on site 24/7; this will enable a swift response when required. The audible range of the alarms was not investigated further. However, given the security workings of the site, alarms would be swiftly dealt with and turned off.

## 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

### Reasoning or clarification (optional if compliant)



## 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

### Reasoning or clarification (optional if compliant)

Groups of stock dogs are housed in an environment with a degree of complexity in the home cage. This includes access to different levels, platforms, ramps, barrels to hide or sleep in or lookout from, and a suspended chew on a chain. There is also line-of-sight to other conspecifics housed in different cages.

Groups of dogs are allowed into internal group play areas on a regular rotating basis, where they are provided with a variety of toys and substrates to explore and manipulate. The exposure to this environment is significantly more complex than that in their home cage. Free access to toys and the play area may lead to territorial and guarding behaviour that may be detrimental to the animals' welfare if this access was not carefully managed.

Breeding bitches, approaching parturition, are singly housed. Timely provision of suitable materials, including beds, during these periods of single housing enables nesting and nursing behaviours to be expressed.



### 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

Additional under floor heating was provided for brood bitches and their litters.

### 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**



## 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

## Water

- i. Uncontaminated drinking water is always available to all animals? 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)

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**



## Transport

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

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

## Cage labels

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

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**





## Audit of Regulated Procedures

### Regulated procedure observed

PIL Holder(s) (PIL Number(s))	REDACTED - REDACTED
PPL Title and Number	The Production of Laboratory Animal Bio-Products - REDACTED
PPL Holder	REDACTED
Protocol Number	2

### General Anaesthesia and Analgesia

- i. Is the anaesthetic equipment available and adequate?
- ii. Is it serviced / checked?
- iii. Is there an anaesthetist and a surgeon?
- iv. Is the anaesthetist competent?
- v. Can PILHs / care staff access anaesthetics or sedation, including in an emergency?
- vi. Cross check of individual training and competency records

PIL SCs 9,10,11&12

PPL SC17, SC23

**Are you satisfied these standards have been fulfilled?**

Yes  No

#### Reasoning or clarification (optional if compliant)

The regulated procedure observed did not require anaesthesia or analgesia. Appropriately serviced anaesthetic equipment was identified and available. Training and competency records of the PIL holder were checked and verified as appropriate.



## Procedures

### Prevention of unauthorised procedures

- i. Did the PILh(s) ensure appropriate personal and project licence authorities existed before undertaking the procedure?

PEL SC20, PIL SC19, PPL SC23

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

### Competency in the procedures

- i. Was the PILh trained in the technique?
- ii. Was the PILh assessed as competent in the technique?
- iii. What level of supervision did the PPLh provide?
- iv. Is the PILh competent?
- v. Is the level of asepsis appropriate?
- vi. Cross check of individual training and competency records

PIL SC17

PPL SC6, SC23

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

Training and competency records of the PIL holder were checked and verified as appropriate.



### Controls and limitations

- i. Is the PILh 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

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

### Humane endpoints

- i. Is the PILh 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

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

### Keeping alive at the end of procedures

- i. Are any of the animals going to be kept alive at the end of procedures?
- ii. If yes, do they understand continued use and reuse?
- iii. Do they understand of the role of the NVS under these circumstance?

PPL SC11

**Are you satisfied these standards have been fulfilled?**

Yes  No



**Reasoning or clarification (optional if compliant)**

**Severity limits**

- i. Does the PILh know 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

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

**Non-compliance**

- i. Does the PILh(s) understand non-compliance?
- ii. Does the PILh(s) know what to do if it appears there is non-compliance with ASPA or SC in licences?

PPL SC16

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

**Veterinary advice**

- i. Does the PILh(s) understand when and how to obtain veterinary advice for animals in their care?

PIL SC15

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**



## Handover

- i. Does the PILh(s) ensure suitable arrangements exist for the care and welfare of animals when they are not in attendance?

PIL SC14

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

## Record keeping

- i. Does the PILh(s) keep a record of all animals on which procedures have been carried out?
- ii. Cross check of records

PIL SC20

**Are you satisfied these standards have been fulfilled?**

Yes  No

**Reasoning or clarification (optional if compliant)**

## Miscellaneous

**Are you satisfied these standards have been fulfilled?**

Yes  No  N/A

**Reasoning or clarification (optional if compliant)**



## Audit of Documents

Staffing	Requirement	Document(s)* Y/N
i. There are always adequate staff members with the appropriate training to ensure the wellbeing of animals?	PEL SC5	N/A
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	N/A
iii. Care staff are supervised until assessed as competent and are periodically reassessed?	PEL SC5	N/A
iv. There are appropriate arrangements for ongoing care when NPs are not available?	PEL SC16	N/A
<b>Are you satisfied these standards have been fulfilled?</b>		See below
<b>Are the documents working in practice to maintain compliance?</b>		See below
<p><b>Reasoning or clarification (optional if compliant)</b></p> <p>* This was an unannounced visit. Review of documentary evidence parts (ii) and (iii) was not part of the facility audit.</p> <p>(i) Suitable staffing levels were observed in all units throughout the day.</p> <p>(iv) discussions during the day with appropriate staff confirmed these arrangements were in place</p>		



Health	Requirement	Document(s) Y/N
i. There is a strategy to ensure that an appropriate health status is maintained?	CoP PEL SC4(5)	N/A
ii. There is regular health monitoring, a microbiological surveillance programme and plans for dealing with health breakdowns?	CoP PEL SC4(5)	N/A
iii. There are defined health parameters and procedures for the introduction of new animals?	CoP PEL SC4(5)	N/A
iv. Animals are checked at least daily by a competent person. These checks must ensure that all sick or injured animals are identified, and appropriate action is taken?	CoP PEL SC4(5)	Y*
<b>Are you satisfied these standards have been fulfilled?</b>		See below
<b>Are the documents working in practice to maintain compliance?</b>		See below
<p><b>Reasoning or clarification (optional if compliant)</b></p> <p>Review of documentary evidence parts (i), (ii) and (iii) was not part of the facility audit. However, during the audit it was verified through observation and discussion with relevant staff, that parts (i) – (iii) were satisfactory.</p> <p>* (iv) Local documents were held in each unit recording daily checks on animals and environment. This included monitoring detail of any health concerns relating to dogs and onward referral to NVS where appropriate.</p>		



Killing relevant protected animals	Requirement	Document(s) Y/N
<b>Methods authorised by the establishment licence</b>		
i. Methods are at least as humane as a schedule 1 method for animals of that type.	Guidance 6.4	N/A
ii. Scientific evidence is provided to support claims for humaneness if the method has not already been accepted by ASRU for that type of animal?	Guidance 6.6.1a	N/A
<b>Killing register *</b>		
iii. All people on the register are trained (see Guidance 9.5) and competent to kill animals of that type by that method?	PEL SC2	N/A
iv. Both schedule 1 and non-schedule 1 methods of killing are included on the register?	PEL SC2	N/A
v. The register includes the description of animals and the method of killing.	PEL SC2	N/A
vi. There are enough competent people on the register to ensure any protected animal can be killed expeditiously?	PEL SC2	N/A
<b>Are you satisfied these standards have been fulfilled?</b>		See below
<b>Are the documents working in practice to maintain compliance?</b>		See below
<b>Reasoning or clarification (optional if compliant)</b> * The Killing Register was not reviewed as part of the facility audit.		





<b>Animals taken from the wild</b>	<b>Requirement</b>	<b>Document(s) Y/N</b>
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)	N/A
ii. Appropriate measures for the acclimatisation, quarantine, housing, husbandry and care of animals taken from the wild?	PEL SC18 PEL SC4	N/A
iii. There are appropriate provisions for setting wild animals free at the end of procedures (where appropriate)?	ASPA S17A PEL SC23	N/A
<b>Are you satisfied these standards have been fulfilled?</b>		Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
<b>Are the documents working in practice to maintain compliance?</b>		Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
<b>Reasoning or clarification (optional if compliant)</b> No wild animals.		

<b>Setting free or re-homing relevant protected animals *</b>	<b>Requirement</b>	<b>Document(s) Y/N</b>
i. The animal's state of health allows it to be set free or re-homed?	ASPA S17A PEL SC23	N/A
ii. Setting free or re-homing poses no danger to public health, animal health or the environment?	ASPA S17A PEL SC23	N/A



iii. An adequate scheme is in place for ensuring the socialisation of the animal on being set free or re-homed?	ASPA S17A PEL SC23	N/A
iv. All other appropriate measures are taken to safeguard the animal's wellbeing on being set free or re-homed?	ASPA S17A PEL SC23	N/A
v. Any animal taken from the wild undergoes an appropriate programme of rehabilitation?	ASPA S17A PEL SC23	N/A
<b>Are you satisfied these standards have been fulfilled?</b>		See below
<b>Are the documents working in practice to maintain compliance?</b>		See below
<b>Reasoning or clarification (optional if compliant)</b>		
<p>* Documentary evidence was not reviewed as part of the facility audit. However, parts (i) - (iv) were discussed in principle during the audit regarding processes followed at the establishment and appeared satisfactory.</p> <p>Part (v) does not apply as no wild animals.</p>		

<b>Record keeping</b>	<b>Requirement</b>	<b>Document(s) * Y/N</b>
i. Records are available to ASRU on request?	PEL SC11	Y
<b>Environmental conditions</b>		
ii. Temperature and relative humidity is appropriate for the species held in all approved areas?	PEL SC4(5)	Y
iii. Water quality - is appropriate for aquatic species?	PEL SC4(5)	N/A
<b>Animal use</b>		



iv. 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	N/A
v. Re-homing or setting free at the end of procedures – records of actions taken to meet ASPA S17A are maintained and available for at least 5 years after re-homing?	ASPA 17A PEL SC8	N/A
vi. There are records of assessment of fitness to travel between sites at the establishment and to other destinations?	PEL SC23	N/A
vii. There is an audit trail of how ASPA Section 14 requirements are met for each animal re-used?	ASPA 14	N/A
viii. 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	N/A
<b>Training</b>		
ix. There are individual training records for all staff using or caring for animals?	PEL SC5	N/A
x. There is an effective system for ensuring staff training, assessment and review of competence in animal care and husbandry?		N/A
xi. The Killing register meets the requirements of PEL SC2?	PEL SC2	N/A
<b>Health records</b>		



xii. Health records are maintained to a professional standard by the NVS and are available to key staff?	PEL SC14	N/A
<b>Are you satisfied these standards have been fulfilled?</b>		See below
<b>Are the documents working in practice to maintain compliance?</b>		See below
<b>Reasoning or clarification (optional if compliant)</b>		
<p>Records were available (i).</p> <p>During the audit it was verified through review of daybook documentation in each unit, that part (ii) was satisfactory.</p> <p>Part (iii) does not apply as no aquatic animals.</p> <p>Documentary evidence relating to parts (iv) - (viii) and (xii) were not within scope of a facility audit.</p> <p>Parts (ix) and (x) were discussed in principle during the audit regarding processes followed at the establishment and appeared satisfactory.</p> <p>The Killing Register (xi) was not reviewed as part of the facility audit.</p>		

<b>Breeding and colony management</b>	<b>Requirement</b>	<b>Document(s) Y/N</b>
<b>Colony management</b>		
i. Colonies are managed to minimise the numbers of surplus animals?	PEL SC1 Guidance 2.4	Y
ii. Suitable actions are taken to assure the quality of animals, including GAAs?		Y
iii. If NHPs are bred at the establishment there should be a documented breeding strategy for the animals?	PEL SC7	N/A



<b>Marking</b>		
iv. Animals requiring identification are marked using the least painful, suitable method?	PEL SC1	Y
v. Dogs, cats and NHPs are permanently and individually marked before weaning or as soon as possible on arrival?	PEL SC10	Y
<b>Are you satisfied these standards have been fulfilled?</b>		See below
<b>Are the documents working in practice to maintain compliance?</b>		See below
<b>Reasoning or clarification (optional if compliant)</b>		
<p>Review of documentary evidence parts (i) and (ii), and (iv) and (v) was not part of the facility audit. However, during the audit it was verified through observation and discussion with relevant staff, these were satisfactory.</p> <p>Part (iii) does not apply as no NHPs.</p>		

<b>Communication and Working relationships</b>	<b>Requirement</b>	<b>Document(s) Y/N</b>
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	Y*
ii. There is regular communications between Named Persons, including the NPRC?	PEL SC21	Y*
iii. There is an effective system for raising concerns relating to animal welfare or regulated work?	PEL SC21	Y*^
<b>Are you satisfied these standards have been fulfilled?</b>		See below



<b>Are the documents working in practice to maintain compliance?</b>	See below
<b>Reasoning or clarification (optional if compliant)</b>	
* Evidence was seen throughout the day of good working relationships between different groups of staff, for example between staff and NACWO, and NACWO and Unit Manager, PILHs and other animal technicians. Documentary evidence was not reviewed.	
^ A box for staff to use to anonymously raise concerns was available and details of how to contact the Home Office were displayed.	

<b>Accessibility of information</b>	<b>Requirement</b>	<b>Document(s) Y/N</b>
i. Project and personal licence details are easily accessible to relevant staff?	PEL SC24	Y
ii. Contact details for key people, including out of hours, are available?	PEL SC16	Y
<b>Are you satisfied these standards have been fulfilled?</b>		Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<b>Are the documents working in practice to maintain compliance?</b>		Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<b>Reasoning or clarification (optional if compliant)</b>		
Contact details for key people and how to contact the Home Office were displayed.		

<b>Prevention of unauthorised procedures</b>	<b>Requirement</b>	<b>Document(s) Y/N</b>
i. There are reasonable systems and processes in place to prevent unauthorised procedures at the establishment?	PEL SC20	Y



<b>Are you satisfied these standards have been fulfilled?</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<b>Are the documents working in practice to maintain compliance?</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<b>Reasoning or clarification (optional if compliant)</b>	



## Interviews with Named People

### NVS Name:

- 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. Ensures suitable health screening, quarantine, and biosecurity?
- ix. Clinical records meet RCVS standards and are easily accessible to animal technicians?

PEL SC15 and SC 16

Guidance 8.6.2 and 8.7

**Are you satisfied these standards have been fulfilled?**

Yes  No  N/A

### Reasoning or clarification (optional if compliant)

The NVS was not present and therefore not interviewed on the day. However, it was verified that appropriate arrangements were in place to ensure that animals are provided adequate care at all times.





**NACWO Name:**

- 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

**Are you satisfied these standards have been fulfilled?**

Yes  No  N/A

**Reasoning or clarification (optional if compliant)**

We spoke with NACWOs during the audit, and attest to the points above.

**NTCO Name:**

- 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

**Are you satisfied these standards have been fulfilled?**

Yes  No  N/A

**Reasoning or clarification (optional if compliant)**

\* NTCO was not interviewed as part of the facility audit.

**NIO Name:**

- 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

**Are you satisfied these standards have been fulfilled?**

Yes  No  N/A

**Reasoning or clarification (optional if compliant)**