

Policy: Animal Care and Use Records

Category: Compliance Assurance

Subject: Requirements for animal care and use record keeping directly associated with the Animal Care and Use program within Western's Research Community

Approving Authority: University Council on Animal Care

Responsible Office: Animal Care Committee

Related Procedures:

Effective Date: May 5, 2016

Revised: April 23, 2014

Purpose

The primary objective of this policy is to ensure that maintenance of *animal care and use records* associated with Western's animal-based science program aligns with current federal and provincial regulatory policies; that access to these records is readily available at all times by the Animal Care Committee (ACC) and its designates and regulatory inspectors; and that Research and Animal Care staffs understand their record-keeping responsibilities.

Scope

This policy pertains to the maintenance of *animal care and use records* – cage cards and animal records as per definitions – associated with animals used in research, teaching or testing by Animal Care Committee (ACC) authorized researchers and designates associated with Western's Research Community.

Policy

Animal care and use records must be maintained in accordance with all regulatory and institutional requirements.

Cage Cards must be kept with the animal or cage holding the animal from arrival until experimental or early euthanasia endpoint.

Animal Records must be kept in animal holding rooms for each animal to ensure that the status of animals can be easily referenced at any time by Animal Care facility staff, ACVS Veterinarians, their designates, and regulatory inspectors.

Information required for *Animal Records* must be recorded separately from the *Cage Card*.

Individuals responsible for Animal Records must update both health observations and procedural information in real-time in accordance with the approved *Animal Use Protocol (AUP)* and this policy.

The approved AUP will dictate the requirements and frequency of animal record-keeping.

Animal Records for animals must include the following:

- Animal ID
- Dates during which any of the following are performed on the animal
- Procedures performed (including details)
- Observations (including behavioural and/or physiological changes and/or problems)
- Interventions
- Outcomes
- Drugs administered (including volume, route, dose)
- Chronic procedures involving anaesthesia – anaesthetic records
- Chronic procedures involving surgery - surgery records

Animal Records associated with sick animals must be maintained in real-time by those directly involved in animal monitoring and interventions as per the *Sick Animal Response Policy and Procedures*.

The Animal Care Committee (ACC) and/or its designates must review *Cage Cards* and *Animal Records* during its Site Visits.

Animal Records must be kept and available by the PI group at minimum 1 year post euthanasia endpoint; additionally, *Animal Records* for dogs and/or cats must be kept and available by the PI group at minimum 2 years post euthanasia endpoint.

Where *Animal Records* do not comply with this policy, the ACC, ACC Executive Team or their designate(s) will work with the PI group to develop a compliant animal record-keeping system, as per the *Concerns Identification, Project Refinement and Corrective Response Policy and Procedures*.

Definitions

- **Animal Care and Use Records** – *Cage Card* and *Animal Records* as defined within this policy
- **Animal Records** – Legibly written documentation located within the animal holding area as per facility SOPs (e.g. PI specific in-room animal binder) - in addition to and separate from *Cage Card* information - that chronologically and in real-time outlines all animal events, observations, actions and outcomes.
 - *Animal ID* – unique identifier of individual animals
 - *Events* – all animal manipulations, treatments, injections, drugs administered, behavioural experiments, surgeries
 - *Observations* – as indicated in the approved AUP and abnormalities in health and behaviour not identified in the AUP
 - *Actions* – interventions to address abnormalities
 - *Outcomes* – results of interventions, euthanasia end points
- **Animal Care Committee (ACC)** – A subcommittee of the University Council on Animal Care; the institutional working committee “responsible for overseeing all aspects of animal care and use and for working with animal users, animal care personnel and the institutional administration”; responsible to ensure animal ethics and care for animal-based science directly associated with Western’s Research Community is in accordance with all regulatory and institutional policies and guidelines

-
- **ACC Executive Team** - A subset of the ACC tasked with performing preliminary assessments of concerns and related evidence brought forward to the ACC; developing recommendations for Project Refinements and Action Plans; and assigning a specific PI Rep to incidents as they arise. This subset must include at least one ACC and ACVS leader, an ACVS Veterinarian, ACC Community Rep, an ACC Coordinator, and an experienced animal-based scientist on the ACC, if not represented by the ACC leader
 - **Animal Use Protocol (AUP)** – The ACC’s mandatory animal ethics form that contains details of a AUP holder’s intended live vertebrate animal care and use, which must be reviewed and approved by the ACC in advance of animal-based science or public viewing of displayed animals
 - **Cage Card** – Cage label containing the following information specific to animals housed within:
 - Date of arrival or date of birth, depending on mode of arrival
 - Species and sex
 - Supplier (where the animals originated)
 - Estimated age or weight
 - Number of animals per cage (making changes as needed)
 - Name of Principal Investigator and emergency contact information
 - *Animal Use Protocol* number including expiry date
 - Any special animal care instructions
 - **Concerns Identification, Project Refinement and Corrective Response Policy and Procedures** – A framework for Western’s Animal Care Committee to effectively and collegially assess concerns and then respond to incidents and non-compliance pertaining to animal-based science
 - **Individuals Responsible for Animal Records** – Principal Investigators responsible for the animals approved in an AUP; individuals identified within an AUP as responsible for animal monitoring; and institutional members responsible for animal care and health monitoring and/or sick animal response
 - **Principal Investigator (PI)** – A scientist responsible for undertaking animal-based science in alignment with an approved Animal Use Protocol and current veterinary standards of animal care
 - **Sick Animal** – Any animal that presents clinical signs reflecting all health concerns – physiological, psychological, and/or behavioural - related or unrelated to experimental procedures
 - **Sick Animal Response Policy and Procedures** – A framework that facilitates a consistent and appropriate response to sick animals by animal health professionals (the lab animal veterinarian) and their designates in accordance with all regulatory standards
 - **University Council on Animal Care (UCAC)** – Western’s Senate committee ultimately responsible for the Animal Ethics and Care program directly associated with Western’s Research Community
 - **Western’s Research Community** – Institutions and their departments involving animal-based scientists having Animal Use Protocols under the jurisdiction of Western’s Animal Care Committee, the ACC
-

Roles and Responsibilities

Animal Care Facility Supervisors and their Designates are responsible to:

-
- Provide *Cage Cards* for all animals received within their facilities containing information defined within this policy
 - Provide an effective medium for maintaining in-room *Animal Records*, e.g. in-room PI binders
 - Ensure in-room access to *Animal Records* by the ACC, regulatory inspectors and ACVS Veterinarians
 - Update *Animal Records* with animal-specific information in order to record their own real-time observations and actions, as defined within this policy
 - Follow-up directly with PIs and their designates regarding record-keeping that does not align with this policy
 - Forward any concerns regarding *Animal Records* that cannot be readily resolved between the AC Facility Supervisor and the PI to the ACC Executive Team

PIs and their Designates are responsible to:

- Ensure in-room access to *Animal Records* by the ACC, regulatory inspectors and ACVS Veterinarians
- Keep *Cage Cards* with their animals until they reach either their experimental or early euthanasia endpoint
- Update *Cage Card* information to reflect real-time events
- Use custom *Animal Records* appended to their Animal Use Protocols (AUPs), e.g. anesthetic monitoring sheet, animal health monitoring sheet for diabetic animals
- Update *Animal Records* with animal-specific information in order to record their own real-time observations and actions, as defined within this policy
- Maintain Animal Records at minimum 1 year (2 years for cats and dogs) post-endpoint

ACVS Veterinarians and their Designates are responsible to:

- Assist PIs with developing custom animal records / monitoring sheets to be appended to the *Animal Use Protocol*
- Update *Animal Records* with animal-specific information in order to record their own real-time observations and actions, as defined within this policy
- Review *Cage Card* and *Animal Record* information during Continuing Care Visits, as per the *Continuing Care Visits Policy*

The ACC and its Executive Team are responsible to:

- Review *Cage Cards* and *Animal Records* during ACC Site Visits
- Follow-up with individuals responsible for animal care and use records in the event that they do not comply with this policy

Related Documents / References

- Guide to the Care and Use of Experimental Animals – Vol. 1 – Canadian Council on Animal Care
- MAPP 7.12 Policy for the Use of Animals in Research, Testing and Teaching
- MAPP 7.15 Post Approval Monitoring Program
- Continuing Care Visits Policy & Procedures – UCAC/ACC

- Sick Animal Response Policy & Procedures – UCAC/ACC
- Research Animal Procurement Policy & Procedures – UCAC/ACC