

**Policy: Research Animal Procurement**

**Category:** Compliance Assurance

**Subject:** Procurement of live animals used in animal-based science

**Approving Authority:** University Council on Animal Care

**Responsible Office:** Animal Care Committee and Animal Care and Veterinary Services

**Related Procedures:** Procedures for Research Animal Procurement

**Effective Date:** April 11, 2017

**Revised:** April 23, 2014; May 5, 2016

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**Purpose**

The objective of this policy is to:

- ensure animals are consistently procured, transported, and housed in alignment with current Regulatory Requirements for Animal Procurement, institutional policies and approved Animal Use Protocols (AUPs); and
- clarify the responsibilities of the Animal Care Committee (ACC), Principal Investigators (PIs), Animal Care and Veterinary Services (ACVS) Veterinarians, Animal Care (AC) Facility Supervisors, Animal Procurement Administrators, and their Designates.

**Scope**

This policy pertains to the procurement of animals for animal-based science by Animal Care Committee-authorized PIs and their Designates within Western's Research Community.

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**Policy**

The acquisition of animals – from requisition to arrival at a Western Research Community's Animal Care Facility – must follow all related Federal, National, Provincial and institutional policies and regulations.

Prior to requesting animal procurement, PIs must ensure that the appropriate facilities and expertise – a sufficient number of adequately skilled and experienced research staff, as outlined within their AUPs, are available to house and care for the animals.

Prior to authorizing animal procurement, AC Facility Supervisors must ensure adequate containment, housing and a sufficient number of adequately skilled and experienced Animal Care and/or animal health professional staff are available to house and care for the animals.

With the exception of wildlife used in Field Research, the Animal Care Committee (ACC) must be informed of all sources of animals used in animal-based science to ensure they meet current regulatory

requirements and provide acceptable care and welfare, including housing, health status, and transportation.

As deemed necessary by the ACC or Animal Care and Veterinary Services (ACVS) Veterinarians, Veterinarians must inspect non-commercial vendors, and/or review and approve the health status of the animals from the source prior to receipt of animals into areas associated with Western's Research Community.

Principal Investigators (PIs) and their Designates must only procure animals approved within their own Animal Use Protocol (AUP).

Animal procurement must only take place when:

- an AUP has an 'approved' status;
- the requested number of animals does not exceed the available balance of animals authorized within the AUP;
- the animal particulars, e.g. species, strains, align with the specific AUP associated with each order;
- the animal housing and use areas listed within the AUP are appropriate
  - align with institutional and animal procurement regulatory requirements; and
  - can accommodate the species, procedures, and containment requirements, as outlined within the AUP; and
- the intended animal usage, as outlined within the AUP's 'Procedures Narrative' and related flow charts and timelines, aligns with the specific AUP associated with each order.

ACVS Veterinarians are ultimately responsible for facilitating the procurement of healthy animals; therefore, they must be directly involved at the outset of animal procurement under circumstances involving any animal that:

- is a dog, cat, or non-human primate; or
- is considered livestock; or
- is a pet involved in a non-invasive behavioural study; or
- may be procured abroad; or
- requires CFIA oversight; or
- whose health status may compromise the destination's health status, e.g. barrier; or
- as directed by the ACC.

Non-human primates and any other animals (at the discretion of the ACC) must be procured directly through ACVS under the direction of an ACVS Veterinarian.

In the event that non-invasive behavioural studies are proposed on pets owned by the public,

- such public member(s) must acknowledge in writing that they have read the associated AUP and agree to the participation of their pet(s) in the study;
- as required by OMAFRA, the names and addresses of such public members must be provided to OMAFRA annually; and
- CCAC-mandated safety review, staff and veterinary health assessments must be completed prior to authorization.

Animal Care (AC) Facility Supervisors must proactively review the health status of incoming animals to ensure alignment with health standards of the receiving area.

- For animal procurement activities requiring the direct involvement of an ACVS Veterinarian, as per this policy, AC Facility Supervisors must forward health reports to the Veterinarian in advance of animal receipt.

All live animals procured for the purpose of animal-based science associated with Western's Research Community must be acquired through ACC-approved Animal Procurement Administrators who have:

- no direct reporting accountability to the related animal-based science;
  - this does not apply to Field Research involving procurement of wildlife for housing/use within an Animal Care Facility or NALM site;
- adequate understanding of
  - this policy and related procedures;
  - other associated institutional policies and procedures – regulatory and facility-specific;
  - AUP animal use registers via the ACC's AUP management system; and who have
- successfully completed the Basic Care & Use Animal Ethics Course prior to ACC approval to assume this role.

In advance of the housing or use of wildlife within an Animal Care Facility or NALM site, Principal Investigators involved with Field Research must:

- receive advance approval from the related AC Facility/NALM Supervisor; and
- notify the appropriate Animal Procurement Administrator.

An ACVS Veterinarian is responsible for decision-making regarding quarantine requirements such as:

- determining when quarantine is required;
- assessing and approving quarantine areas;
- ensuring quarantine duration is appropriate to the related risk to the health of both quarantined and general animal populations; and
- liaising with regulators or agencies as required to receive related approvals and/or permits.

Those overseeing animal transport throughout the procurement process must be knowledgeable about institutional and external regulatory requirements associated with:

- specific container requirements;
- temperature and ventilation of both the container and the environment during transportation;
- care of the animals prior to and during transport;
- the requirements for labeling and documentation; and
- emergency procedures.

Following their arrival, animals must be acclimatized to the experimental conditions as per *SOP 310 – Holding Period Post Admission*, unless an exemption has been pre-approved by the ACC and disclosed within the AUP.

In the event that a newly arrived animal may be sick, the AC Facility Supervisor and PI must follow the *Sick Animal Response Policy* and related *Procedures*.

Animal Procurement Records must be kept by the AC Facility Supervisor, or Designate, and be readily retrievable a minimum of one year post-euthanasia, and two years for dogs, cats and non-human primates as per the *Animal Care and Use Records Policy*.

Any Concerns associated with research animal procurement that cannot be readily and appropriately resolved between the concerned individual and the PI must be forwarded to the ACC Executive, as per the *Concerns Identification, Project Refinement and Corrective Response Policy* and *Procedures*.

## Definitions

- **Animal-Based Science** – Branches of science where animals are used in research, teaching or testing
- **Animal Care & Veterinary Services** – A department directly accountable to Western’s Senior Administrator for providing specialized veterinary and other administrative services that support the animal care and use program within Western’s Research Community, in consultation with the University Council on Animal Care, the Animal Care Committee, institutional senior administrators and officers and animal-based scientists
- **ACVS Veterinarian** – A veterinarian within the Department of Animal Care and Veterinary Services that provides veterinary support to Western’s Animal Care program in alignment with the CALAM Standards of Animal Care and institutional and external regulators and their policies, regulations and guidelines
- **Animal Care Committee (ACC)** – A subcommittee of the University Council on Animal Care; the institutional animal care 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 and animal displays directly associated with Western’s Research Community is in accordance with all regulatory and institutional policies and guidelines
- **ACC Coordinator** – An administrative role and ACC member dedicated to providing the ACC and PIs and their staff with support for ACC and AUP-related activities, as outlined by CCAC
- **ACC Executive** – An ACC working group that consists of at least two and no more than four representatives from Category 1, one representative from each of Categories 2 and 3 of the full ACC, and to include the ACC Chair, Vice Chairs, ACVS Director, ACC Coordinator, and the ACVS Assistant Director-Compliance Assurance. The ACC Executive meet at minimum 10 times per year. The ACC Executive is responsible to:
  - provide real-time feedback and support to institutional stakeholders accountable for the animal care and use program;
  - provide leadership for animal ethics reviews;
  - act as front-line responders to Concerns brought to its attention, as outlined within UCAC’s Concerns Identification, Project Refinement and Corrective Response Policy;
  - receive updates from ACC designates regarding their mandated PAM activities;
  - provide direction and support to ACC working groups; and
  - forward all decisions of the Executive to the full ACC in a timely fashion.

- **Animal Care (AC) Facility** – An ACC-approved space that has been purpose-built and allocated for the housing and/or use of animals and overseen by an individual having no direct reporting accountability to the related animal-based science
- **Animal Care (AC) Facility Supervisor** – A trained, competent individual responsible for the oversight of an area or facility that houses research animals who is accountable to the ACVS Director with regards to animal health-and-welfare-related matters
- **Animal Use Protocol (AUP)** – The ACC’s mandatory animal ethics form that contains details of an 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
- **Animal Procurement** – The acquisition of live animals from either commercial or non-commercial sources, including breeding sources, for use in animal-based science associated with ACC-approved AUPs
- **Animal Procurement Administrator** - ACC-approved arms-length individuals having no direct reporting accountability to the related research, including arms-length facility supervisors or designates of Victoria Research Laboratories, St. Joseph’s Animal Facility and Animal Care and Veterinary Services, and others who have received ACC pre-approval to procure animals involved in animal-based science activities in accordance with the Research Animal Procurement Policy and Procedures
- **Animal Procurement Records** – Documents directly associated with the procurement of animals including but not limited to animal health reports, requisition forms, vendor invoices, related permits and transport records
- **Animal Procurement Sources** – ACC-approved commercial and non-commercial suppliers of animals used in animal-based science
- **Basic Care & Use Animal Ethics Course** – A CCAC-mandated online/lecture-based course provided by ACVS Animal User Trainers on the ethics of animal use within animal-based science activities
- **Canadian Council on Animal Care (CCAC)** – The CCAC is a not-for-profit organization created in 1968 to oversee the ethical use and care of animals in science (research, teaching and testing) throughout Canada
- **Concerns** – Anything communicated to any member regarding animal health and/or welfare, human safety, and AUP-related issues. Concerns that cannot be readily resolved will be reviewed by an ACC Executive, as appropriate. Concerns will be communicated to the PI before they are classified as either Incidents or Non-Compliance
- **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
- **Designate** – An individual who is adequately trained and appropriately experienced with the animals under his/her care/oversight and who is authorized to act on behalf of his/her direct supervisor or the ACC
- **Field Research** – Animal-based science involving animal subjects considered wildlife that are studied and retained in their natural or semi-natural habitat or whose animal subjects are wild-caught and subsequently housed outside of their natural habitat within an Animal Care Facility or a NALM site
- **NALM Site** – A macro environment where animals are housed beyond 72 hours that is not daily overseen by a facility supervisor or designate considered to be at arm’s-length from the research group and where animals may live out their experimental life at that site. Animals may or may not be procured directly into the site. NALM sites are primarily assessed for animal procurement, housing suitability, and appropriate husbandry practices. NALM sites do not normally include

procedure areas or < 72 hour holding locations. Based upon potential risk to animal health and welfare, other areas not conforming to this definition may be identified by the ACC as NALM sites

- **Non-Commercial Vendor** – Animal source other than a recognized vendor, e.g. academic institution, a PI animal colony
  - **Non-Field Research** – Research involving animal subjects animals studied outside of their natural or semi-natural habitat (e.g. laboratory)
  - **OMAFRA** – Ontario Ministry of Agriculture, Food and Rural Affairs. Provincial regulators of animal-based science. Enforcers of the Animals for Research Act
  - **Regulatory Requirements for Animal Procurement** – Rules relating to procurement of animals used in animal-based science arising from national, federal, provincial and institutional regulations, e.g. the Animals for Research Act (R.S.O. 1990, Chapter A.22; R.R.O. 1990, Reg.22); Fish and Wildlife Conservation Act, 1997 (S.O. 1997, Chapter 41); Canadian Council on Animal Care.
  - **Sick Animal** – Any animal that presents clinical signs reflecting a health and welfare concern – physiological, psychological, and/or behavioural - related or unrelated to experimental design
  - **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
  - **SOP** – Standard Operating Procedures associated with animal-based science within Western’s Research Community; developed by subject experts; reviewed by ACVS Veterinarians and approved by the Animal Care Committee, as per ADM-500
  - **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
  - **Wildlife** – Animals sourced from their natural habitat
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## **Roles and Responsibilities**

### **The ACC, or its Executive, is responsible to:**

- With the exception of wildlife used in Field Research,
  - Review all sources of animals to be procured for animal-based science
  - Maintain a log of all approved animal sources
- Review and approve all Animal Procurement Administrators in accordance with this policy;
- Review and approve all requests for animal procurement directly into NALM sites;
- Review and approve any AUP requests for exemption from SOP 310 – Animal Holding Post Admission;
- Follow up on any Concerns identified by any parties involved in research animal procurement; and
- Ensure compliance with this policy in accordance with national, federal, provincial and institutional regulations.

### **Principal Investigators – Not including PIs involved in Field Research – are responsible to:**

- Include all animal sources in the related AUP;

- Ensure that the appropriate facilities and expertise – a sufficient number of adequately skilled and experienced research staff, as outlined within their AUPs, are available to house and care for the animals;
- Acquire all commercial and non-commercial animals from sources pre-approved by the ACC;
- Ensure procured animals - species/strains/numbers - are in alignment with the approved AUP;
  - If desired, submit a request for exemption from SOP 310 – Holding Period Post Admission within his/her AUP in advance of animal receipt;
- Acquire all approved animals via an Animal Procurement Administrator;
- As identified within this policy, directly involve an ACVS Veterinarian at the outset of procuring:
  - dogs, cats, and non-human primates; or
  - any animal(s) considered livestock; or
  - any animal(s) considered a pet involved in a non-invasive behavioural study; or
  - any animal(s) procured abroad; or
  - any animal(s) requiring CFIA oversight; or
  - any animal(s) whose health status may compromise the destination’s health status, e.g. barrier; or
  - as directed by the ACC;
- For NHP users, at the outset of any procurement activity, immediately direct all procurement requests to an ACVS Veterinarian;
- As appropriate and in alignment with this policy, request ACC approval ([auspc@uwo.ca](mailto:auspc@uwo.ca)) of an Animal Procurement Administrator;
- Work directly with the AC Facility Supervisor and ACVS Veterinarian regarding animal health, quarantine, housing or husbandry requirements for incoming animals; and
- Follow up on any newly arrived sick animal cases in conjunction with the AC Facility Supervisor and ACVS Veterinarian as per the *Sick Animal Response Policy and Procedures*.

**Principal Investigators involved in Field Research are responsible to:**

- In the event that wildlife is to be housed/used within an Animal Care Facility or NALM site,
  - Receive pre-approval from the related AC Facility Supervisor/NALM site Supervisor,
  - Inform the associated Animal Procurement Administrator
- Ensure animals are procured in compliance with national, federal, provincial and institutional policies and regulations;
- Ensure procured animals are identified within the approved AUP;
- Ensure that the appropriate areas and expertise – a sufficient number of adequately skilled and experienced research staff, as outlined within their AUPs, are available to house and care for the animals;
- Work directly with the AC Facility Supervisor and ACVS Veterinarian regarding animal health, quarantine, housing or husbandry requirements for incoming wildlife;
- Follow up on any newly arrived sick animal cases in conjunction with the AC Facility Supervisor and ACVS Veterinarian as per the *Sick Animal Response Policy and Procedures*; and
- Accurately record and report animal procurement detail annually by December 31 to the ACC via [auspc@uwo.ca](mailto:auspc@uwo.ca) for all animals involved in his/her field research (i.e. animals caught and retained in their natural habitat) over the past calendar year.

**AC Facility Supervisors are responsible to:**

- Ensure adequate containment, quarantine and housing space as well as species-appropriate caging and feed are available in advance of approving animal procurement requests;
- Work directly with PIs and ACVS Veterinarians when attempting to accommodate novel research procurement and housing needs;
- As requested by an ACVS Veterinarian and/or as appropriate, forward animal health reports to ACVS Veterinarians seeking veterinary review and approval of incoming animals prior to their arrival;
- Ensure sources of animals have
  - been pre-approved by the ACC
  - animal health statuses that are appropriate to the intended housing/holding space
- Ensure adequate containment, housing and a sufficient number of adequately skilled and experienced Animal Care and/or animal health professional staff are available to house and care for the animals;
- Ensure ACVS Veterinarians are involved directly in the procurement of animals, as identified within this policy;
- Procure only those animals associated with an AUP having
  - an 'approved' status;
  - an adequate number of remaining 'unused' authorized animals, as per the AUP animal use register;
  - matching animal particulars – species, strains, age;
- Submit a form to the ACC regarding delegating an Animal Procurement Administrator to procure animals associated with his/her Animal Care facility; receive ACC approval in advance of delegating this responsibility to an Animal Procurement Administrator;
- Review and approve animal procurement requests in advance of order by an Animal Procurement Administrator;
- Review and pre-approve PI requests to have wildlife housed/held within the Animal Care Facility; and
- Immediately inform the PI and ACVS Veterinarian of any sick animals received, as per the *Sick Animal Response Policy* and related *Procedures*.
- Maintain all animal procurement records as per this and the *Animal Care and Use Record Keeping Policy*.

**Animal Procurement Administrators are responsible to:**

- Read, understand and follow this policy and related procedures;
- Be familiar with related institutional policies (see last section)
- Successfully complete *Western's Basic Care & Use Animal Ethics Course*;
- Ensure animals are procured in alignment with federal, provincial and institutional policies and regulations;
- Ensure animal sources have been pre-approved by the ACC and have been included in the AUP
  - If not, inform the researcher and seek direction from the AC Facility Supervisor



- Ensure ACVS Veterinarians are involved directly in the procurement of animals, as identified within this policy;
- Ensure procured animals are in alignment with the approved AUP having an ‘approved’ status;
- Ensure related AC Facility Supervisor and ACVS Veterinarian, as requested, have approved:
  - the health status of all incoming animals in advance of animal deliveries;
  - animal housing requirements – containment level, caging; and
  - any other specialized animal housing or husbandry requests.
- Accurately record and report animal procurement at minimum monthly, including animals sourced through breeding programs and wild-caught animals subsequently housed and/or used within a facility associated with Western’s Research Community, to ACC Coordinator or Designate;
- Notify researchers of any discrepancy between their requests and the approved AUP;
- Notify the related AC Facility Supervisor of all requests from PIs involved in Field Research for housing wildlife within an Animal Care Facility;
- Notify the AC Facility Supervisor/PI/ACVS Veterinarian of any newly arrived sick animals, as per the *Sick Animal Response Policy and Procedures*.
- Notify the ACC Executive (ausexec@uwo.ca) of any concerns regarding animal procurement that cannot be readily and appropriately resolved between the procurement administrator and PI.

**ACVS Veterinarians, or their designates, are responsible to:**

- Provide the ACC with veterinary opinion regarding the alignment of an animal source with regulatory requirements;
- Inspect non-commercial vendors prior to procurement, as deemed necessary by either the ACC, an AC Facility Supervisor, or an ACVS Veterinarian;
- On behalf of the ACC, assess all areas where animals may be held or used, including but not limited to NALM Sites and other short-term animal holding sites, prior to permitting animal procurement directly into these areas;
- Review health reports associated with research animal procurement in advance of animal receipt, as appropriate;
- As identified within this policy, take the lead on procuring the following types of animals:
  - dogs, cats and non-human primates; or
  - livestock; or
  - pets involved in a non-invasive behavioural study; or
  - animals to be procured abroad; or
  - animal procurement requiring CFIA oversight; or
  - animals whose bacteriologic status may compromise the destination’s health status, e.g. barrier; or
  - animals, as directed by the ACC.
- Work directly with PIs and AC Facility Supervisors regarding animal health and/or specialized housing/husbandry requirements prior to animal procurement;
  - Direct AC Facility Supervisors and PIs regarding quarantine requirements, as appropriate

- Follow up on any newly arrived sick animal cases in conjunction with the AC Facility Supervisor and PI as per the *Sick Animal Response Policy & Procedures*.

**Institutional Occupational Health & Safety Officers and Employee Health Professionals are responsible to:**

- Perform safety/health assessments of all staff to be directly involved in hands-on use of pets in animal-based science
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#### **Related Documents/References**

- CCAC Guidelines on Procurement of Animals Used in Science (2007)
- Animals for Research Act, Ontario
- Fish and Wildlife Conservation Act, 1997
- Research Facilities and Supply Facilities  
[http://www.e-laws.gov.on.ca/html/regs/english/elaws\\_regs\\_900024\\_e.htm](http://www.e-laws.gov.on.ca/html/regs/english/elaws_regs_900024_e.htm)
- Transportation  
[http://www.e-laws.gov.on.ca/html/regs/english/elaws\\_regs\\_900025\\_e.htm](http://www.e-laws.gov.on.ca/html/regs/english/elaws_regs_900025_e.htm)
- MAPP 7.10 – Standardized Training in Animal Care and Use
- MAPP 7.15 - Post Approval Monitoring Program
- Sick Animal Response Policy and Procedures – UCAC/ACC
- Concerns Identification, Project Refinement and Corrective Response Policy & Procedures – UCAC/ACC
- SOP #310 Holding Period Post-Admission
- SOP #443 Transporting Rodents – Level 1 Containment
- SOP #432 Transporting Rabbits – Level 1 Containment