

## Purpose / Scope

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 national 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 Facility staff understand their record-keeping responsibilities.

This policy applies to all Animal-Based Scientists who perform live animal work and Facility staff who provide husbandry support within Western's Research Community, including affiliates.

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## Policy Statements

Animal-Based Scientists and Facility staff must maintain Animal Care and Use Records in accordance with all regulatory and institutional requirements. All records must be maintained current and legible so that those responsible for overseeing animal health and welfare can readily understand the history and state of each animal.

- All records must be written with a medium that is resistant to smudging.
- Errors must be crossed out using a single line drawn through the error along with the initial of the person striking the record.

Frequency of animal record-keeping is dictated by the Animal Use Protocol (AUP) as approved by the ACC, or the Institutional Veterinarian or Designate, in accordance with the animal's health status.

Where Animal Care and Use Records do not comply with this policy, the Facility supervisor and/or animal health professional will work with the animal-based scientist towards maintaining complete records. Situations not readily resolved on-the-floor will be forwarded to the ACC Executive, as per the *Concerns Policy* (POL-004).

## Animal Care and Use Records

Animal Care and Use Records include the following: 1) the Animal Use Protocol; 2) Cage Cards; 3) Animal Husbandry/Housekeeping Records; 4) Procedural / Experimental records; 5) Medical / Health Monitoring Records; 6) Sick Animal records; and, 7) Morbidity / Mortality logs.

- 1) An up-to-date version of the AUP must be readily accessible within each area where associated live animals are held and/or used.
- 2) Cage Cards must be kept current with the animal or cage holding the animal from arrival until experimental or early euthanasia endpoint.

For non-aquatic species, cage labels must contain the following information specific to the 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 enclosure (making changes as needed)
- Name of AUP Holder and emergency contact information
- Animal Use Protocol number including expiry date
- Any special animal care instructions

For aquatic species, labels must be maintained either directly on the tank or within the immediate holding area and must include the above items as well as a record of transfer history within the facility.

- 3) Animal Husbandry/Housekeeping Records must be maintained for each room (for aquatics, for each tank) and must include the feeding schedule, daily animal health checks, room maintenance record (including housekeeping and environmental parameters), and the enclosure cleaning/changing record.
  - Standard Operating Procedure CW-FAC-001 *Citywide Animal Area Housekeeping* must be followed, including use of room-level logs.
  - For aquatics also include records of water quality parameters, as outlined within Appendix D of *CCAC's guidelines on the care and use of fish in research, teaching and testing – Water Quality Criteria for Optimum Fish Health*<sup>1</sup> and records pertaining to the preventive maintenance program for life support systems.
- 4) & 5) Medical/Health Monitoring and Procedural /Experimental Records for each animal must include the following:
  - The unique animal identifier (ID)
  - AUP number
  - Date (DD, MMM, YYYY) and Time (24 hr notation preferred)
  - A detailed description of research animal events, observations, actions and outcomes, such as:
    - Procedures performed, e.g., imaging, behavioural testing, gavage, blood draw, etc.
    - Health observations including but not limited to weight, appearance, behavioural and/or physiological changes and/or health problems
    - Medical interventions, e.g., nail trim, subcutaneous fluids, tooth trim, soft food, etc.
    - Outcomes, e.g., improved, no change, worsening, euthanasia, etc.
    - Exogenous drug/agent administration including volume, route, dose
    - Procedures involving anesthesia - name procedure, anesthetic agent and include associated anesthetic records (if applicable)
    - Procedures involving surgery - name procedure, include associated surgical records (if applicable)
    - Food and/or water restriction
  - Initials of the person involved.

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<sup>1</sup> Canadian Council on Animal Care. CCAC's guidelines on the care and use of fish in research, teaching and testing. Appendix D. Water Quality Criteria for Optimum Fish Health. Retrieved on 24SEP2020 from <https://www.ccac.ca/Documents/Standards/Guidelines/Fish.pdf>

Stand-alone Health Monitoring Records specific to an AUP or a disease model, e.g. cancer, diabetes, must be maintained in real-time by research animal users and be kept in the same room as the associated animal(s).

- 6) Sick Animal Records must be readily identifiable within the room and easily associated with the sick animal. Associated *medical and experimental records* must be maintained in real-time by research animal users directly involved in animal monitoring and interventions as per the *Sick Animal Response Policy (POL-009)*.
- 7) Logs of Animal Morbidity (sick animals) and Mortality (animals that do not reach experimental endpoint) must be maintained by Animal-Based Scientists and Facility staff within all areas where animals are held and used, as per the *Sick Animal Response Policy (POL-009)*.

All applicable Animal Care and Use Records must be kept current and maintained with the individual animal, or enclosure, to ensure that the status of animals can be easily referenced at any time by Facility staff, Institutional Veterinarians, their designates, and regulatory inspectors.

Information required for all other records must be maintained separately from the Cage Card.

All Animal Care and Use Records must be kept and available by the AUP Holder at minimum one year post euthanasia endpoint; additionally, records for dogs and/or cats, as per the *Animals for Research Act*, must be kept and available by the AUP Holder at minimum two years post euthanasia endpoint.<sup>2</sup>

## Revision History

Version	Date	Description of Changes	Author
00	23-04-14	New Policy	LT
01	05-05-16	Ref. new policies, e.g. Concerns; Update format; Add new R&R re. access to records by vets	LT/TDL
02	10-11-20	Policy Stmt: Add detail to 'Animal Records' elements; Update Refs. to other Policies; Definitions: Add sample records, remove non-essential defs; Update Ref; Reformat	ET/LT/KB /SG

<sup>2</sup> Animals for Research Act, R.S.O. 1990, c. A.22, Reg. 24, Sect. 12(2).

**Animal-Based Scientist** – Any person directly involved in branches of scholarship where live vertebrate and cephalopod animals are used in research, teaching or testing and who use and/or care for research animals under an approved AUP, e.g., AUP Holders and individuals identified within an AUP as responsible for animal monitoring and/or animal procedures

**Cage Card** – Cage label containing information specific to animals housed within as outlined within this policy  
*Sample Cage Cards*

PI <i>Yellow, D</i>	
Protocol #	2018-999
Expiry Date	05/01/2022
Species/CI	Mouse (Z)
Strain	B6.129S4-Nx1Sz1Pn1
Speed Code	AJSCD
Received	02/26/2019
Supplier	Jackson Laboratory
Req #	V00053007.2
Quantity	3
# in Cage	3
Per Diem	MOUSE SHOEBOX
Day Phone	2966
Room	6C30
Sex M	Age 3 week DOB / /
Remarks	

BREEDERS		♂	♀
Strain	CO-1	CO-1	
Generation	F8	F8	
Parent ID#	Founder Female: ABC123	Founder Male: ABC456	
DOB/DOB	DOB: December 25 2018	DOB: January 1 2018	

Offspring Generation:

	DOB	# Sibs	# Sibs	DOW	♂	♀	Notes
1	March 27 2019	8	7	17 April 2019	2	3	High fat diet
2							
3							
4							
5							

(M) (F) male/female in cage (F) ABC124, M-ABC457, DOB (date of euthanasia)  
DOB: (date of mating) March 1 2019  
DOB: (date of separation)

WEANING CARD		CAGE SEPARATION CARD	
Original cc #	124567	Original cc #	10111
PI Name	J. Yellow	PI Name	Dr. Green
Speedcode #	ABC123	Speedcode #	ABC123
Protocol #	2019-001 Exp. 2021	Protocol #	2019-001 Exp. 2021
Arrival Date/DOB	Jan 20, 2019	Arrival Date/DOB	Feb 1, 2019
Supplier/Source	W. Mouse Breeding	Supplier/Source	Charles River Canada
Species and Sex	Mouse, F	Species and Sex	Mouse, M
Strain	0123.4	Strain	0123.4
Number in Cage	2	Number in Cage	2
Animal Care Health Concerns (see binder)		Animal Care Health Concerns (see binder)	
U Date	U Date	U Date	U Date
Name and Email #	Name: 432111	Name and Email #	Name: 432111

**Medical/Health Monitoring and Procedural /Experimental Records** – Legibly written documentation located within the animal holding area as per Facility Standard Operating Procedures (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. Includes medical and experimental records, monitoring records, and morbidity and mortality records (see [AECU Policies & Procedures POL-003](#))

Templates are available under the [Forms and Templates](#) tab on the ACC OWL Site

*Sample Procedural / Experimental Record*

ANIMAL OBSERVATION / PROCEDURE / TREATMENT RECORD				
Investigator: <u>Smith</u>		Species: <u>Rat</u>		
Protocol Number: <u>2000-001</u>		Pain Class: <u>B</u>		
Building: <u>ACF</u>		Room Number: <u>123</u>		
DATE AND TIME	CAGE CARD NUMBER/ ANIMAL ID	OBSERVATIONS/TREATMENT/PROCEDURE	ANIMAL WEIGHTS OR BODY SCORE	INITIALS
January 19, 2019 1:30 pm	"E"	Anesthetized for lateral tail vein blood draw of 1 ml. Administered 5 ml warm saline SC. No bleeding observed.	500 g	AA
January 20, 2019 8:00 am	"E"	Bright, alert. Eating and drinking well. No health concerns.	500 g	AA



Sample Stand-Alone Health Monitoring & Experimental Records –
Monitoring Record Sample

Diabetic Monitoring Record
Researcher:
Strain:
Cage I.D.:
Protocol #:
Gender:
Species:
Age:
Approved AUP Procedures:
Required frequency:
Endpoints: Complete this section as per the AUP.

Health Monitoring Expectations & Assessment Parameters
Frequency of monitoring is per the approved AUP and as listed in the section above. Multiple animals can be monitored using this sheet. Monitoring includes the following parameters described below.
For appearance/ activity/behavior monitoring, indicate on the sheet either Normal (N) or Abnormal (A or Ab). When abnormalities are noted describe them on the line below as well as list any interventions or procedures involving the animal on that date.
When health abnormalities are noted, a veterinarian should be consulted.
Weight
Body Condition Score (BCS)
Appearance
Activity/Behavior
Blood Glucose
Other

Experimental Record Sample

Rodent Survival Surgery - Record
Investigator:
Animal Use Protocol:
Surgery/Contact Person:
Phone:
Animal ID:
Species:
Pre Surgical (So) Weight:
Early Endpoint Weight\*:
Surgical Information
Surgical Procedure Name:
Date:
Time Initiated:
Anesthetic:
Dose (mg/kg):
Volume:
Time given:
Analgesic:
Dose (mg/kg):
Volume:
Time given:
Other Meds:
Dose (mg/kg):
Volume:
Time given:
Fluids (Type\*):
Total Volume:
Route:
Time given:
Intubation:
Ventilation:
Total Vol:
Resp Rate:
PPV:
Other:
TIT (Other intra operative monitoring parameters):
Temp Support Device:
Continous monitoring:
Pre So Temp:
Post So Temp:
\*Recommended warming fluids prior to use
Post Operative Information & Monitoring
Time surgery ended:
Time of recovery:
Time of return to regular caging:
Analgesic: (Type, Route, Volume, Frequency) + List all dates and times administered.
Other Meds (antibiotics, reversal agents, other meds)(Type, Route, Volume, Frequency)
Other Notes/Observations/Instructions:

Animal Morbidity / Mortality Log – A record of animals that are Sick (presenting with clinical signs reflecting health concerns – physiological, psychological and/or behavioural – related or unrelated to experimental procedures) and/or animals that did not reach the planned experimental endpoint and were euthanized or found dead. Templates are available under the Forms and Templates tab on the ACC OWL Site

Table with 10 columns: Date, Researcher, Protocol #, I.D.#, Strain, Reporting Name, Treatment, # of Animals, Observed Morbidity, Reported Endpoints, and Total Morbidity. Includes a 'Notes' section at the bottom with instructions on how to use the log.