

STANDARD OPERATING PROCEDURES
DIVISION OF COMPARATIVE MEDICINE
UNIVERSITY OF SOUTH FLORIDA

SOP#: 012.12

Date Issued: 12/99

Date Revised: 3/22

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TITLE: **Animal Medical Records for Nonrodent Mammals**
SCOPE: All Animal Program Personnel
RESPONSIBILITY: Clinical Veterinarians, Facility Manager, all Research and Animal Personnel
PURPOSE: To Outline the Procedures for the Development and Maintenance of Medical Records

I. PURPOSE

1. Adequate animal care includes adequate medical record keeping.
2. The following outlines the proper procedures for the development and maintenance of medical records for nonrodent USDA regulated species, as defined by the Animal Welfare Act Title 9 CFR and establishes the appropriate forms used to record information, the minimal entries required, and the minimal schedule of entries to be made.

II. RESPONSIBILITY

1. It is the responsibility of the Facility Manager in conjunction with the veterinary staff to ensure that adequate animal medical records are established and kept for all USDA-regulated species received and housed at their facility.
2. The PI and associated research staff named on an IACUC-approved protocol serve as the primary attending clinicians of all animals housed on behalf of that protocol. As such, research staff is responsible for providing adequate clinical oversight, and post-operative or post-procedural care of the animals, for anticipating and alleviating animal pain or discomfort whenever possible, and for maintaining complete animal medical records, with entries made in sufficient detail and at intervals specified by this SOP, the IACUC protocol, and the IACUC Principles and Procedures.
3. It is the responsibility of the Animal Care Technician to monitor the medical records of their assigned animals to ensure that all the required entries by research and animal care staff are recorded, and to report noncompliance with this SOP, the IACUC protocol, and current IACUC Principles and Procedures as an animal health concern as described in **SOP #006** entitled "**Animal Health and Environmental Surveillance**".
4. All program staff contribute to successful compliance with this policy.

10. If a **health concern** is observed which has not been previously noted or anticipated, especially those not attributable to the research activity or for which treatment has not been initiated, Animal Care Staff must record and report the concern as described in **SOP #006** entitled "**Animal Health and Environmental Surveillance**".
11. When **clinical abnormalities** are recognized in USDA-regulated species, the PI and research staff and/or veterinary staff must make **entries in the animal's medical record**, which at least document the following:
 - a. The abnormal physical/physiological parameters observed.
 - b. Description of specimens taken for diagnosis.
 - c. The laboratory or diagnostic findings.
 - d. The treatments initiated.
12. **Log entries describing surgical procedures, or procedures involving a surgical plane of general anesthesia** of USDA nonrodent regulated species must be kept by the PI and research staff in the animal facility on a **Surgical Record/Procedure Record** form (CMDC #10) or a **Record of General Anesthesia** form (CMDC #126) developed and provided by Comparative Medicine. Log entries must at least include a pre-operative/procedural assessment, and anesthetic plan, records of the induction and monitoring of general anesthesia, a brief description of the procedures performed if applicable, an intra-operative or intra-procedural assessment of the patient animal, a record of the recovery from anesthesia (or method of euthanasia of the anesthetized animal), a post-operative or post-procedural assessment, and any complication, treatments, and/or plans, as requested on the **Surgical Record** form or the **Record of General Anesthesia** form.
13. **Post-operatively/procedurally**, following a surgical plane of anesthesia, **nonrodent mammals must be clinically evaluated** (e.g., heart or pulse rate, respiratory rate, mucous membrane color or capillary refill time, and body temperature) **and observations recorded** by research staff in the medical log form provided by Comparative Medicine at least once between post-operative/procedural days 1-3. A **daily entry** by the research staff must be made in the medical records of non-rodent USDA-regulated species until the third post-operative or post-procedural day following a surgical plane of general anesthesia, which indicates that the attending research clinicians have assessed their patient animals and have provided any necessary or required treatments. In addition, the dose and route of all post-operative analgesics, antibiotics and treatments, and the date of skin suture removal must be noted.
14. The PI and associated research staff **must maintain written records** of activities **whenever painful or stressful outcomes are manifested in any animal**. Records should be kept within the animal facility on forms provided by Comparative Medicine, with entries that describe when the painful or stressful outcome is first recognized, what treatments are instituted, and when the discomfort is resolved, or when the animal is humanely euthanized.
15. **All treatments**, post treatment follow ups, and required observations prescribed by the veterinary staff **must be recorded** on the **Progress Notes Form**, and the entry initialed.

16. Animal care staff are responsible for ensuring that all treatments, post-treatment follow-ups, and required observations prescribed by the veterinary staff are carried out as recorded on the **Progress Notes Form** until the concern is resolved.
17. Veterinary staff must routinely review the **Progress Notes Forms** to ensure that the prescribed treatments and observations are being performed and recorded as ordered.
18. Research staff **must make entries** to USDA-regulated species medical records which summarize the clinical diagnostic and necropsy findings of an **unanticipated animal morbidity or mortality** which occurs unrelated to the protocol, so that research methods can be refined.
19. The **final disposition** of USDA-regulated species must be clearly described in the animal medical record.
20. The Facility Manager, or their designee, must routinely review the **Room Log Book** to ensure all animal medical record-keeping requirements are being fulfilled by both the research and animal care staff and if record keeping is found to be inadequate contacts the responsible individual for resolution. Inadequate animal medical record keeping that cannot be satisfactorily resolved is reportable to the IACUC and can result in the suspension of animal use privileges in accordance with IACUC Principle X.
21. Upon final disposition of the animal, the complete original individual animal medical record must be delivered to the Facility Manager for **archival**.
22. USDA animal medical records are archived by federal year on the private shared drive in a Portable Document Format (PDF) See **SOP #010 Handling, Storage, and Retrieval of Records and Data**.

Approved:

Date: