IACUC Policy # 430: Tracking Animal Use Including Animal Transfers Between Protocols

The intent of this document is to describe the requirements for tracking animals that are used for research, teaching and testing, including transfers between protocols.

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1. Policy
   - An animal that has had one or more major survival surgeries on one protocol may not be transferred to another protocol for another major survival surgery (see definition of major surgery in Section 4).
     Exception: Surgeries that are clinically indicated (e.g., emergency C-section) or part of routine husbandry (i.e., included in approved SOPs) do not apply.
   - If an animal has undergone clinical surgery or is in poor health, it may not be transferred to another protocol until it has fully recovered.
   - If a USDA Pain Category D or E procedure or surgery has been performed on an animal under a protocol, a CARE veterinarian must be consulted before transferring the animal to another protocol that involves category D or E procedures.
   - Transfer of animals between protocols must be approved by the IACUC.
   - Facility managers control the transfer of animals between protocols. No animals may be transferred without the knowledge and approval of the facility managers.
   - The Principal Investigator (PI) is responsible for ensuring that the total number of animals used in each USDA pain category on their protocol does not exceed the number approved by the IACUC.
   - Facility managers are responsible for tracking the use of all animals on IACUC protocols, informing PIs when the total number of animals used on a protocol approaches the approved number of animals, and reporting accurate data to the IACUC office for the annual census and when requested.

2. Procedures

A. Use of Animals on Multiple Protocols
   - Facility Managers will review medical records for all animals being transferred to another protocol.
- If an animal has a compromising health condition, or is recovering from a surgery, or has undergone USDA category D or E procedures, the facility manager will consult with a CARE veterinarian and request a clinical evaluation before transferring the animal to another protocol. Based on this clinical evaluation and the proposed protocol use, the veterinarian will determine if the animal can be transferred and if any restrictions may apply to its use.

**B. Approving Animal Transfers To or From Protocols**

**IACUC Approval:**
- If the PI seeks to transfer animals from another protocol, the specific protocol number(s) from which the animals originate will be cited in the receiving protocol.
- If the originating protocol involves a USDA category D or E procedure, the IACUC staff and CARE/IACUC reviewers will review originating and destination protocols and may consult with the PI or facility manager to assure that the transfer is appropriate.

**Facility Manager Approval:**
- Once IACUC approval for the animal transfer has been granted, PIs will obtain specific approval from facility managers prior to animal transfer(s).
- Rodent, bird and aquatic animal transfers: the PI should complete and submit the *Animal Transfer Agreement* form ([http://www.research.cornell.edu/care/acups.html](http://www.research.cornell.edu/care/acups.html)) to the facility managers.
- Non-rodent mammal transfers: PIs should contact the facility managers for site-specific procedures.

**C. Tracking D & E Procedures for Animals**
- Rodents, birds and aquatic animals: For any D or E procedures conducted on an animal, the PI or his/her designee will record these procedures on cage cards (e.g. color coded stickers and documentation of procedure(s) and date(s)). If cage card identification is not practical (e.g., for large flocks of birds), the manager should develop an alternative means of tracking animals with D and E procedures and document the process in a SOP. PIs should contact their facility managers for procedures specific to their facilities.
- Non-rodent mammals: For any D and E procedures conducted on an animal, the PI or his/her designee will record these procedures on *Form F003, Animal Health and Procedure Record Summary* ([http://www.research.cornell.edu/care/acups.html](http://www.research.cornell.edu/care/acups.html)) or another similar form.

**D. Reporting Animals Used on Animal Protocols**
- For facilities that are not bar coded in e-Sirius, facility managers are responsible for tracking the numbers of animals used and remaining in each pain category on a protocol. They may use the *Monthly Usage Report* ([http://www.iacuc.cornell.edu/census/](http://www.iacuc.cornell.edu/census/)) or a similar form (e.g. *Form F010 Animal Inventory Sheet*) ([http://www.research.cornell.edu/care/acups.html](http://www.research.cornell.edu/care/acups.html)) as an aid in tracking animal numbers.
- For facilities that are bar coded in e-Sirius, facility managers will use the census features in eSirius to maintain and update animal usage records.
- The facility manager will notify a PI when the number of animals used on a protocol approaches 90% of the approved number of animals in each pain category. The PI must submit a protocol amendment to the IACUC to obtain approval to increase animal numbers, if necessary.
- If the total number of animals used on a protocol exceeds the approved number of animals, the facility manager or the PI must notify the IACUC office and take definitive steps to prevent recurrence. The IACUC will also be informed and further corrective actions may be required.

3. References
A. Form F010 Animal Inventory Sheet (http://www.research.cornell.edu/care/acups.html)
B. Form F008 Animal Tracking Sheet (http://www.research.cornell.edu/care/acups.html)
C. Form F003 Animal Health and Procedure Record Summary (http://www.research.cornell.edu/care/acups.html)
E. Monthly Usage Report (http://www.iacuc.cornell.edu/census/)
   “...No animal assigned to a proposal is to be used in more than one major survival operative procedure unless the multiple procedures are required to meet the objective of a single animal study activity, justified for scientific reasons by the Principal Investigator, and approved by the Institutional Animal Care and Use Committee (IACUC).
   ...A 2nd major survival operative procedure must not be performed on an animal in a separate animal study activity. In order to comply with the intent of the Animal Welfare Act (AWA), animals surviving major operative procedures in one animal study activity must be identified in a manner that effectively precludes their use in additional animal study activities involving major survival operative procedures.”

4. Definitions
A. Major Surgery on Animal Use Protocols:
   - Animal Welfare Act definition: any surgical intervention that penetrates and exposes a body cavity or any procedure which produces permanent impairment of physical or physiological functions.
   - The IACUC will determine whether a surgery is "major" or "minor" on a case-by-case basis, particularly in regard to laparoscopic surgery, based on the potential for pain and post-operative complications.
   - Examples:
<table>
<thead>
<tr>
<th>Type(s) of surgery</th>
<th>Major vs. Minor</th>
<th>Rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Laparotomy, Craniotomy, Thoracotomy</td>
<td>Major</td>
<td>Penetrates and exposes body cavity</td>
</tr>
<tr>
<td>Laparoscopic biopsy, natural orifice translumenal endoscopic biopsy</td>
<td>Minor</td>
<td>While penetrating a body cavity, the cavity is not exposed to the environment.</td>
</tr>
<tr>
<td>Ovariohysterectomy as a research procedures</td>
<td>Major</td>
<td>Opens and exposed a body cavity for research purposes.</td>
</tr>
<tr>
<td>Ovariohysterectomy as a clinical procedure</td>
<td>NA</td>
<td>Clinically indicated surgeries, or surgeries performed as routine husbandry are not counted as an animal use procedure.</td>
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</tbody>
</table>

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