



Cornell University
Cornell Center for Animal Resources and Education

CARE542.01 Maintaining Clinical Records for Animal Research Models

The intent of this standard operating procedure (SOP) is to describe the need for medical records for animal research models and the process for maintaining them.. This SOP is intended for use by principal investigators, animal care staff, and CARE veterinary staff. This SOP is approved by the Institutional Animal Care and Use Committee (IACUC) and the Cornell Center for Animal Resources and Education (CARE). Any exemption must be approved by the IACUC prior to its application.

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1. Introduction

Maintenance of good clinical records is an essential component to the provision of adequate veterinary care to animal research models. The value of implementing a good documentation system is widespread and is described below:

- a. Maintains ongoing communication between all personnel involved in managing the research, the basic care and the health of research models.
- b. Assists the animal care staff in providing appropriate care relevant to the specifics of the research project.
- c. Supplies investigators with relevant information to which they can refer when interpreting research data.
- d. Allows an easy method for tracking clinical history and accountability.
- e. Provides legal documentation of significant events related to research study.
- f. Provides a tool to the institution in preparing the annual report to the USDA and in preparation for AAALAC accreditation site visits.
- g. It is a regulatory requirement.

2. Materials

- a. Forms
 - i. Form F002- Physical Examination
 - ii. Form F003- Medical Record Part 1 (Summary)
 - iii. Form F004- Medical Record Part 2
 - iv. Form 005 Treatment Log
 - v. Form 012- Mortality Log

3. Procedures

- a. Maintain individual records for the following animals:
 - i. all large animal species (i.e., dogs, cats, rabbits, woodchucks and non- production unit livestock).
 - ii. livestock animals housed in production units that are used as breeders, experience health concerns or if the research dictates a need.
- b. Maintain group records for all birds, fish, amphibians, reptiles and rodents (with the exception of woodchucks). Use an individual record for these species if an extensive procedure is conducted on an individual or if the research dictates a need.
- c. Place the records in an area that is readily accessible to the research personnel, veterinary staff, and animal care staff at all times.
- d. Structure the record system such that the information is easy to understand and analyze by all personnel, including those unfamiliar with the protocol.
- e. Avoid general terminology and acronyms. Enter only concise and factual information, utilizing data to back up assessments of the animal's condition.
- f. Provide all relevant records whenever animals are transferred between institutions, sites within the same institution, or protocols.
- g. Write the date, time (if pertinent), and initials of the person who documented the event, on all record entries. Write in ink only (no pencil).
- h. Include all basic animal information on all animal records:
 - i. species
 - ii. individual identification number or batch number
 - iii. sex
 - iv. date of birth or acquisition date
 - v. source
 - vi. sire and dam identification when relevant
- i. Record all significant clinical events on the clinical record:
 - i. Clinical histories including history of surgical procedures and post operative care
 - ii. Any significant changes in environment such as facility transfers, room to room transfers, change type of caging or bedding used.
 - iii. Preventative medicine measures taken including dates of vaccinations, de-worming and parasite and sentinel screen.
 - iv. Details of experimental use or events that may cause pain, distress or discomfort

- v. All drugs/test substances administered including medication names, dosages, routes of administration, name of personnel that administered medication and withdrawal times for any agents administered to livestock animals
- vi. Blood collection (volume/site)
- vii. Observations of abnormal behavior or physical problem
- viii. Physical exams and veterinary checks, clinical signs, diagnoses, laboratory results, prognosis, treatments and resolution of events
- ix. Follow up on the improvement or deterioration of animal's condition and related treatments and interventions
- x. Record of euthanasia, including the method and agent used
- xi. Necropsy observations and pathology results
- j. In addition to basic clinical records, specific records should be maintained for the following:
 - i. monitoring anesthesia
 - ii. transgenic phenotype logs
 - iii. breeding records
 - iv. mortality logs
 - v. treatment logs

4. Safety- N/A

5. Contingencies- N/A

6. Reference

- a. <http://www.research.cornell.edu/care/sops.html> link to access forms

7. Appendix- N/A

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