

## Policy: Research Animal Procurement

**Policy Number:** POL-008

**Version:** 03

**Category:** Operations

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

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

**Responsible Office:** Animal Care Committee and Institutional Veterinarians

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

**Approval Date:** May 30, 2018

**Effective Date:** June 30, 2018

**Revised:** April 23, 2014; May 5, 2016, April 11, 2017

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### Purpose

The objective of this policy is to highlight key regulatory and institutional obligations regarding the acquisition of research animals specific to animal suppliers, animal transport, and acclimatization; and to outline the responsibilities of key institutional stakeholders associated with the procurement of research animals, including the Institutional Veterinarian and Animal Procurement Administrator.

### Rationale

As holders of CCAC's Certificate of Good Animal Practice (GAP), we are bound by CCAC's 'Guidelines on: procurement of animals used in science' (2007), which outlines 25 general considerations regarding the acquisition of research animals based upon "sound scientific evidence and expert opinion."<sup>1</sup>

As registered research facilities in Ontario, Western's Research Community is bound by Regulations 24 and 25 of Ontario's Animals for Research Act (R.R.O. 1990), which specify requirements for research and supply facilities as well as animal transportation that impact animal procurement.

### Scope

This policy pertains to the procurement of live animals into Animal Holding Areas associated with animal-based science activities within Western's Research Community.

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### Policy

#### **General Considerations**

The acquisition of animals – from requisition to arrival at an Animal Care Facility or Animal Holding Area – must follow all related federal, national, provincial and institutional laws, policies and regulations,

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<sup>1</sup> CCAC's Guidelines on: procurement of animals used in science (2007) P.1

including but not limited to:

- CCAC's Guidelines on: Procurement of Animals Used in Science (2007)
- Animals for Research Act (1990) – Regulations 24 and 25
- Fish and Wildlife Conservation Act (1997)
- Canadian Food Inspection Agency's 'Criteria for Quarantine Facilities' and 'Requirements for Non-Human Primates Imported into Canada' (2009)

### **Resource Requirements**

Prior to requesting animal procurement, Principal Investigators (PIs) – in conjunction with the Institutional Veterinarian and the AC Facility Supervisor – must ensure that the appropriate facilities, housing, and expertise, including a sufficient number of adequately skilled and experienced staff are available to house and care for the animals.

### **Animal Sources**

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 standards.

- PIs may provide preferred identified animal sources; however, the Institutional Veterinarian in conjunction with each institution's Procurement Services department are ultimately responsible to finalize the procurement process.

As deemed necessary by the ACC or the Institutional Veterinarian, 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.

### **AUP Alignment**

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.

### ***Institutional Veterinarian Involvement***

Institutional 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; and/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 Institutional Veterinarian.

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

- determining when quarantine is required;
- assessing and approving quarantine areas;
  - the approval on some occasions must be provided by the CFIA inspector;
- 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.

### ***Health Reports***

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

Animal Care (AC) Facility Supervisors must proactively review the health status of incoming animals to ensure alignment with health standards of the receiving area. However, only the Institutional Veterinarian has the authority to determine acceptance of the animals procured into the facility.

### ***Animal Procurement Administrators***

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 other associated institutional policies ;
  - 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.

Only ACC-approved Animal Procurement Administrators, AC Facility Supervisors and/or the Institutional Veterinarian must act as liaisons between the vendor and the requestor.

### ***Transport and Arrival***

Animal transport and arrival must comply with federal, provincial and institutional regulations.

Those overseeing animal transport throughout the procurement process must be knowledgeable about institutional standard operating procedures 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.

In the case of sensitive species being transported by land, the driver and accompanying staff must provide identification as well as vehicle license plate number to the Institutional Veterinarian and/or AC Facility Supervisor.

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 immediately notify the Institutional Veterinarian.

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 (POL-003)*.

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 (POL-004) and Procedures (PROC-004)*.

### ***Procurement Special Cases***

In advance of the housing or use of wildlife within an AC 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.

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

- a consent form that includes description of all procedures and consequences to the animal must be read and signed by the public pet owner
- as required by OMAFRA, the names and addresses of such public members must be provided to OMAFRA annually; and
- as required by CCAC- re. safety review, staff and veterinary health assessments must be completed prior to authorization.

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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.
- Ensure compliance with this policy in accordance with national, federal, provincial and institutional regulations.

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

- Include all animal sources in the related AUP.
- Work with the Institutional Veterinarian and AC Facility Supervisor to ensure that the appropriate facilities and expertise 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 Institutional Veterinarian at the outset of procurement process.
- For NHP users, at the outset of any procurement activity, immediately direct all procurement requests to an ACVS Animal Procurement Administrator.
- Work directly with the AC Facility Supervisor and Institutional Veterinarian regarding animal health, quarantine, housing or husbandry requirements for incoming animals.

- Follow up on any newly arrived sick animal cases in conjunction with the AC Facility Supervisor and Institutional Veterinarian as per the *Sick Animal Response Policy (POL-009) and Procedures (PROC-009)*.

**Principal Investigators (PIs) 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 are available to house and care for the animals.
- Work directly with the AC Facility Supervisor and Institutional 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 Institutional Veterinarian as per the *Sick Animal Response Policy (POL-009) and Procedures (PROC-009)*;
- 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:**

- Procure only those animals associated with an AUP having an 'approved' status; an adequate number of remaining 'unused' authorized animals; and matching animal particulars – species, strains, age;
- Work directly with PIs and Institutional Veterinarians when attempting to accommodate novel research procurement and housing needs.
- Ensure adequate containment, quarantine and housing space as well as species-appropriate caging and feed, and a sufficient number of adequately skilled and experienced Animal Care staff are available to house and care for the animals in advance of approving animal procurement requests.
- As requested by an Institutional Veterinarian and/or as appropriate, forward animal health reports to Institutional Veterinarians seeking veterinary review and approval of incoming animals prior to their arrival.
- Ensure sources of animals have been pre-approved by the ACC and animal health statuses are appropriate to the intended housing/holding space.
- Ensure Institutional Veterinarians are involved directly in the procurement of animals, as identified within this policy.
- For species and situations identified within the above policy, when receiving the animal ensure that the Institutional Veterinarian is present to access arrival health status of the

animal.

- Review and pre-approve PI requests to have wildlife housed/held within the Animal Care Facility.
- Immediately inform the PI and Institutional Veterinarian of any sick animals received, as per the *Sick Animal Response Policy (POL-009)* and related *Procedures (PROC-009)*.
- Maintain all animal procurement records as per this and the *Animal Care and Use Records Policy (POL-003)*.
- At minimum monthly, ensure that animal procurement details - including animals sourced through breeding programs and wild-caught animals subsequently housed and/or used within a facility associated with Western's Research Community - are recorded via the ACC's online AUP Management or Procurement module, or via OWL (External Animal Numbers Excel Record).

**Animal Procurement Administrators are responsible to:**

- Read, understand and follow this policy and related procedures.
- Successfully complete Western's *Basic Care & Use Animal Ethics Course*.
- 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 Institutional Veterinarian.
- Ensure Institutional 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 Institutional 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.
- 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/Institutional Veterinarian of any newly arrived sick animals, as per the *Sick Animal Response Policy (POL-009)* and *Procedures (PROC-009)*.
- Notify the ACC Executive (ausexec@uwo.ca) of any Concerns regarding animal procurement that cannot be readily and appropriately resolved.

**Institutional 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, or an Institutional Veterinarian.
- Prior to permitting animal procurement, assess areas where animals may be held or used, including but not limited to NALM Sites and other short-term animal holding sites.

- Review health reports associated with research animal procurement in advance of animal receipt, as appropriate.
- As identified within this policy, take the lead on research animal procurement
- 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 (POL-009) and Procedures (PROC-009)*.

**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, non-human primates and other species carrying potential zoonotic hazards.

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**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
- University Council on Animal Care (UCAC)
  - Sick Animal Response Policy and Procedures
  - Concerns Identification, Project Refinement and Corrective Response Policy & Procedures
- SOP #310 Holding Period Post-Admission
- SOP #443 Transporting Rodents – Level 1 Containment
- SOP #432 Transporting Rabbits – Level 1 Containment
- Canadian Food Inspection Agency – Criteria for Quarantine Facilities  
<http://www.inspection.gc.ca/animals/terrestrial-animals/imports/policies/live-animals/quarantine-facilities/eng/1321087852529/1321087977360>
- Canadian Food Inspection Agency - Requirements for Non-Human Primates Imported into Canada - <http://www.inspection.gc.ca/animals/terrestrial-animals/imports/policies/live-animals/2009-1/eng/1320891194183/1320892143537>



**Revision History**

<b>Version</b>	<b>Date</b>	<b>Description of Changes</b>	<b>Author</b>
00	04-23-14	New Policy	LT
01	05-05-16	Policy statement updates: 1. ACC accountability to ensure all areas and sources are appropriate; 2. Field PIs responsibilities re. field animals into facilities; 3. ACVS Vet and AC Facility Supervisor accountabilities to review animal health statuses; 4. Add ref. to SOP 310 re. acclimatization, SAR and Concerns policies.	LT
02	04-11-17	Policy statement updates: 1. Alignment with AUP content, 2. ACVS Vet direct involvement in procurement re specific species/sources; 3. Re. Pets – Add OMAFRA requirement; 4. Updated accountabilities for Animal Procurement Admins; 5. NHP procurement through ACVS Vet; 6. New Definitions: ‘animal procurement records’, ‘non-commercial vendor’	LT
03	05-30-18	Add ‘Rationale’; Policy statement updates: 1. Add specific list of external regulators; 2. Ids roles to liaise with vendors; 3. ‘sensitive species transport’ driver reqmts	AEW / LT