

 <b>Policies &amp; Procedures Manual</b>	<b># Pages:</b> <b>12</b>	<b>Policy Number:</b> <b>AN-02-06</b>
	<b>Approved by:</b> <b>UCN Animal Care Committee</b>	
<b>Section:</b> <b>Standard Operating Procedure (SOP)</b>	<b>Effective Date:</b> <b>August 27, 2021</b>	
	<b>Title:</b> <b>Animal Incident Reporting</b>	
	<b>Replaces:</b> <b>New</b>	

## 1 PURPOSE

The purpose of this SOP is to provide those involved in animal use a mechanism for reporting animal incidents that is in line with the Canadian Council on Animal Care (CCAC) policy regarding certification of animal ethics and care programs.

## 2 RELATED DOCUMENTS

- CCAC policy: Certification of animal ethics and care programs (CCAC, 2020)
- SOP AN-02-04 Euthanasia
- SOP AN-02-05 End Point Selection
- UCN Animal Incident – Initial Report
- UCN Animal Incident – Follow-up Report
- CCAC Major Animal Welfare Incident Reporting Form

## 3 RESPONSIBILITY

### 3.1 Principle Investigator (PI)/Technician

The PI must initiate, complete, sign and submit Animal Incident Reports to the ACC.

### 3.2 Participants

Participants are required to notify the PI or technician of any animal incident occurrences while in the field.

### 3.3 Veterinarian

The designated Veterinarian provides consultation to the PI to review the circumstances under which the incident occurred, explore potential reasons for the incident, develop plans to mitigate future occurrences, and to assess, develop and implement an action plan to ensure the most humane and efficient treatment of the animal.

### 3.4 UCN's Animal Care Committee (ACC)

The Chair of UCN's ACC is responsible for preparing, completing and submitting Animal Welfare Incident Reports to the CCAC.

## 4 PROCEDURE

By definition an Animal Incident is considered any unexpected or atypical events involving animals not covered/anticipated by an approved Animal Use Protocol (AUP).

Such events include, but not limited to, behaviour not normally observed in healthy animals (e.g. erratic behaviour, loss of desire to forage, grooming etc.), animal illness and injury that have not been anticipated.

Individuals must follow the described procedure when an animal incident occurs.

### 4.1 Notification of animal incident

When encountering an incident with an animal, immediately notify the PI or technician of the incident.

The PI or technician **is required to**:

- a) Take all appropriate mitigation steps as needed, including Euthanasia (SOP AN-02-04) if deemed necessary (SOP AN-02-05).
- b) Notify the designated Veterinarian and ACC Chair in a timely manner using available technology (e.g. email or text message)

The PI **MUST**:

- a) Initiate an Animal Incident Report (Appendix I) for submission to the ACC
- b) Provide a written report to the ACC upon return to UCN Campus.
- c) Provide a copy of the written report to the CCAC.

### 4.2 Handling of animals/animal carcasses

Following encountering an incident with an animal, individuals handling the animal or its carcass **MUST** follow the procedures described below.

Incidents can include but are not limited to erratic behaviour, illness, unexpected injury and death.

#### 4.2.1 Ill or injured animal

In the event of an ill or unexpected injured animal:

(Policy AN-02-06)

- a) Assess the animals behavioural, physiological and physical condition according to SOP AN-02-05.
- b) Should end-point selection determine that the ill or injured animal be euthanized, follow the procedure described in SOP AN-02-04.
- c) Should end-point selection determine that the ill or injured animal be monitored and reassessed, consult with the Veterinarian for types of monitoring and/or treatment that might be appropriate.

#### **4.2.2 Animal mortality**

In the event of unexpected animal mortality (death), retain any animal carcasses until released by the designated Veterinarian.

- a) Place animal carcasses in sealable plastic bag
- b) Label plastic bag with the date (DD-MM-YYYY) and time (am or pm) of incident, location and incident number if available.
- c) If associated with the specific Animal Use Protocol (AUP), indicate protocol.

#### **4.3 Investigation, Assessment and Plan of Action**

In consultation with the designated Veterinarian and ACC Chair, the PI **MUST**:

- a) Conduct an initial investigation to determine the:
  - nature of the incident
  - circumstances that led to the incident
  - nature and possible causes of the Incident.
- b) Develop and document the best possible plan of action based on the results of the investigation to:
  - Ensure the humane and ethical treatment of the animal.
  - Prevent/mitigate future occurrences.

Note: In the event that a complete action plan is not fully developed at the time of the initial report, an update must be submitted within two (2) weeks of the initial report.

- c) Implement the Action Plan, including all necessary training.

#### **4.4 Animal Incident Reports**

There are a total of three (3) reports that must be completed:

- a) UCN Animal Incident – Initial Report (see section 4.4.1; Appendix I)
- b) UCN Animal Incident – Follow-up Report (see section 4.4.2; Appendix II)
- c) CCAC Major Animal Welfare Incident Self-Reporting Form (Section 4.4.3; Appendix III)

Two (2) of the reports must be completed by the PI: Animal Incident Initial and Follow-up Reports.

The ACC completes and submits the CCAC Animal Welfare Incident Report (Appendix III) based on information provided in the UCN Animal Incident initial report once received.

#### **4.4.1 UCN Animal Incident – Initial Report:**

The PI **MUST** initiate an animal incident report as follows:

- a) Complete UCN's Animal Incident – Initial Report Form (Appendix I) with all available information at the time including:
  - whatever is known about the incident
  - any preliminary plans to treat animals and to prevent recurrence.
  - temporarily halting or altering procedures until the incident has been more fully investigated.

Note: that not all information will be available and can be included in a Follow-up Report.

- b) Sign and submit the form to the ACC Chair within 72 hours.
- c) If the Initial Report contains complete information on the incident and subsequent plan of action, no further reporting is required.
- d) In the event that the initial report is incomplete, complete a follow-up report according to section 4.4.2.

#### **4.4.2 UCN Animal Incident – Follow-up Report**

In the event that the initial report was incomplete, the PI **MUST** create a follow-up animal incident report as follows:

- a) Complete UCN's Animal Incident – Follow-up Report Form (Appendix II) with additional information including:
  - a complete review of the Incident
  - actions that were taken, and
  - outcomes for the animal(s) involved.
- b) Sign and submit the follow-up report to the ACC Chair within 6 days of the animal incident report.

#### **4.4.3 CCAC Major Animal Welfare Incident Reporting Form**

The CCAC's policy: Certification of animal ethics and care programs requires certified institutions to self-report major animal welfare incidents.

Once an initial UCN incident report is submitted by the PI and received by the ACC, the committee chair **must**:

- a) Complete the CCAC's Major Animal Welfare Incident Reporting Form (Appendix III) based on information submitted in the initial incident report.
- b) If the initial report contains incomplete information, complete the CCAC form once all additional information is received.

(Policy AN-02-06)

c) Submit the completed form to the CCAC within 10 days of incident occurrence.

APPENDIX I UCN ANIMAL INCIDENT - INITIAL REPORT



ANIMAL INCIDENT – INITIAL REPORT

Important: The Initial Report form must be submitted within 72 hours of the Incident

Submit via: Email to ACC Chair: [gmelko@ucn.ca](mailto:gmelko@ucn.ca)

Leave Blank – for ACC use	
INCIDENT NUMBER	DATE RECEIVED

Date & time of Incident: Reported by:

Principal Investigator: Reported to:

Location of Incident:

Personnel present during Incident:

Animals Affected:

Total no.: Species: ID number(s), if applicable:

Problem Source:  Mechanical  Nutrition  Disease/parasite

Human error  Unknown  Other – specify

Describe the Incident, providing any information available at this time regarding the cause of the Incident and its outcome:

Describe any Plan of Action for treatment and to prevent recurrence. A finalized Plan of Action may be submitted later if needed:

Signature of Person Submitting Report:

Date:

\_\_\_\_\_

*This space reserved for use by the ACC*

Reviewed by:  Attending Veterinarian  ACC Chair

Findings and recommendations:

Disposal of animal carcasses approved:  Yes  No

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

APPENDIX II UCN ANIMAL INCIDENT – FOLLOW-UP REPORT



ANIMAL INCIDENT – FOLLOW-UP REPORT

The Follow-Up Report form should be submitted if information and/or the Plan of Action in the Initial Report was incomplete.

Leave Blank – for ACC use	
INCIDENT NUMBER	DATE RECEIVED

Submit via: Email to ACC Chair: [gmelko@ucn.ca](mailto:gmelko@ucn.ca)

Date of Incident:

Principal Investigator:

Protocol no.:

Describe the Incident, including any additional information available regarding the cause of the Incident, and describing any special treatment or care of animals and the outcome(s).

Describe the Plan of Action for any continuing treatment and to prevent recurrence of the Incident:

Signature of Person Submitting Report:

Date:

\_\_\_\_\_

*This space reserved for use by the ACC*

Reviewed by:  Attending Veterinarian  ACC Chair

Findings and recommendations:

Disposal of animal carcasses approved:  Yes  No

Signature: \_\_\_\_\_

Date: \_\_\_\_\_



**APPENDIX III CCAC MAJOR ANIMAL WELFARE INCIDENT SELF-REPORTING FORM**

## 5 MAJOR ANIMAL WELFARE INCIDENT SELF-REPORTING FORM

**DATE OF PUBLICATION:** December 2020

The Canadian Council on Animal Care (CCAC) requires certified institutions to self-report major animal welfare incidents within 10 days of their occurrence as outlined in the [CCAC policy: Certification of animal ethics and care programs](#) (CCAC, 2020).

A major animal welfare incident refers to an event that leads to the unanticipated death of research, teaching or testing animals, or poses an immediate and significant threat to animal health or welfare.

If you are unsure of whether an event should be reported, please [contact the CCAC](#).

Examples of major incidents include:

- a catastrophic failure of critical life-support system(s);
- disregard of, or unintended failure to follow approved practices or procedures;
- significant and unanticipated morbidity or mortality unrelated to the above; and
- serious or repeated noncompliance with CCAC standards that leads to the suspension by the animal care committee or the institution of an animal-based activity that threatens animal health or welfare.

This form should be completed and signed by the animal care committee chair and sent to the CCAC. A copy should also be forwarded to the senior administrator responsible for the animal ethics and care program at the institution.

Please forward this form to the Director of Assessment and Certification:

Dr. Michael Baar  
Canadian Council on Animal Care  
190 O'Connor Street, Suite 800  
Ottawa, ON, K2P 2R3  
613-238-4031 ext. 226  
mbaar@ccac.ca

## 5.1 MAJOR ANIMAL WELFARE INCIDENT SELF-REPORTING FORM

### Contact Information

Name of institution

Name of senior administrator responsible for the animal ethics and care program

Email

Date(s) of event

Protocol numbers (if applicable)

### Incident Description

Describe chronologically what happened in detail. Include information about: nature/cause of the event, number and/or percentage of animals and species affected, location, outcomes of the incident, impacts on animals.

**Notification**

Please indicate the key individual(s) within your animal ethics and care program who were notified, and when.

Name	Role	Date
Name	Role	Date
Name	Role	Date
Name	Role	Date

**Resolution and Mitigation Steps Taken to Date**

Describe the steps that were taken following the incident, and what actions are being implemented to prevent similar occurrences, if known at the time of notification.

I certify that the information provided above is correct to the best of my knowledge.

Animal care committee chair name: .....

Signature: .....

Date of report: .....