IACUC: Anesthesia, Surgery and Post-Procedural Records

Policy number: 513D
Date: September 22, 2008

References:
- Guide for the Care and Use of Laboratory Animals
  http://www.nap.edu/readingroom/books/labrats
- Animal Welfare Regulations (9 CFR, chapter I, subchapter A)
  http://www.aclam.org/print/position_medrecords.pdf

Cross Reference:

Purpose of Policy:
All animals that experience anesthesia or surgical procedures must have a concurrently recorded and readily available record detailing anesthesia data, intra-operative monitoring, and post-procedural care.

Procedure:
Records of anesthesia, surgery and/or post-procedural care must minimally include:

1. Animal or group identification and the date of the procedure
2. The dose, route, and time of any drugs administered, and the identification of the person administering the drug
3. A description of the surgical procedure and the identification of the surgeon
4. Ongoing findings during anesthetic/surgical manipulations:
   a. At a minimum, monitoring must include a periodic assessment of anesthetic depth
   b. Monitoring of non-rodents must also include at least heart and respiration rate, and should include other physiological parameters as appropriate, such as blood pressure, body temperature, etc.
   c. When procedures are conducted on more than one mouse or rat, notations may be made immediately at the end of the surgery session.
5. Notation of any variations from the normal and expected events during the anesthetic and recovery periods, including the actions taken and the time performed, the animal’s response to these actions, and the identity of the person performing these actions
6. Assessment for pain and distress
7. Actions taken to alleviate pain and distress, including non-pharmacologic interventions, and the response to these actions
8. A notation defining the end of the monitoring period (euthanasia or functional recovery from
the sedation or anesthesia), including the time, date, and the ability to identify the person
performing this observation

This record must be readily available to the Institutional Animal Care and Use Committee or
their designated proxies, veterinary staff, and representatives of regulatory and accrediting
organizations. Records must be maintained for the life of the animal or the duration of the
approved protocol, whichever is longer.

Role of the Investigator
The investigator must make written notations as described above, or ensure that the required notations
are made by any contractual service provider. The investigator must maintain the records and make
them available as required.

Role of the Veterinary Staff
The veterinary clinical staff will be available to advise during pre-procedural planning, and provide
clinical treatment for any unexpected complications. The clinical staff will make written notations of
any veterinary clinical procedure performed, drugs administered, results of laboratory tests, and
pertinent observations of the animals' condition.

IACUC Oversight
The IACUC is responsible for reviewing proposed activities to ensure that they meet all policy
standards, and shall periodically review records and procedures for compliance to this policy.