

Eastern Kentucky University Institutional Animal Care and Use Committee Evaluation and Investigation of Alleged Noncompliance

Eastern Kentucky University's (EKU's) Institutional Animal Care and Use Committee (IACUC) investigates reports of alleged noncompliance or concerns regarding animal care and use at EKU in compliance with U.S. Department of Agriculture (USDA) Animal Welfare Regulations, the National Institutes of Health (NIH) *Guide for the Care and Use of Laboratory Animals*, Public Health Service (PHS) policy.

Incident Reporting

The following instructions for reporting animal welfare concerns are available on the Division of Sponsored Program's website (www.sponsoredprograms.eku.edu/animal-welfare-concern-reporting). Complaints regarding inappropriate care, misuse and/or abuse of animals at EKU may be submitted to the Chair of the IACUC. To file a complaint, individuals must submit a written report. The report should include a factual description of the inappropriate care, misuse, and/or abuse of animals, personnel involved in the misuse/abuse, the date, time and location of the alleged violation, animal species and numbers of animals involved, identification of animals, and any other relevant details. The complainant's identity will be kept confidential. Anonymous reports are also accepted if sufficient detail is provided to allow adequate investigation of the allegations.

Investigating Complaints

Upon receipt of a complaint, the Chair of the IACUC appoints an investigative subcommittee consisting of the university veterinarian and two members of the IACUC. The university veterinarian cannot chair the investigative subcommittee. No IACUC member who is a member of the department in which the person(s) listed in the complaint serve shall be selected for the investigative subcommittee. If a person selected to serve on the investigative subcommittee has a conflict of interest involving any aspect of the complaint, he/she is responsible for disclosing the conflict.

The investigative subcommittee shall notify the person(s) listed in the complaint of the allegation and solicit his/her input. The investigative subcommittee may review pertinent records, observe animals, and obtain additional information from the complainant(s), subject(s) of the complaint, or other personnel. The investigative subcommittee may conduct its reviews through face-to-face meetings or via electronic communication. Based upon the inquiry, the investigative subcommittee prepares a brief summary report including a set of recommendations for IACUC action and submits the report to the Chair of the IACUC. If an investigative subcommittee member's term on the IACUC is ending, the member will remain on the IACUC until the complaint is resolved. Once the Chair of the IACUC receives the investigative subcommittee's report, he/she shall (within 10 work days after receiving the report) call a meeting of the IACUC. There must be at least half of the IACUC members present at the meeting to conduct business. Any IACUC member with an actual or perceived conflict of interest shall disclose the conflict prior to the IACUC meeting and does not participate in the meeting. After reviewing the investigative subcommittee's report, the IACUC determines (by majority vote of the IACUC members present at the meeting) a course of action: dismiss the complaint, outline corrective actions which must be taken, suspension or termination of IACUC approval for the project,

and/or recommend sanctions to EKU's Associate Vice President for Research. The Chair of the IACUC will notify the subject(s) of the complaint, in writing, of the IACUC's decision. In addition, the IACUC makes a determination whether the incident is reportable to federal regulatory or funding agencies. If the IACUC determines that the concern is reportable as required by the PHS's Office of Laboratory Animal Welfare (OLAW) or USDA, the IACUC, through the Associate Vice President for Research, and with input from the university veterinarian, promptly reports the incident in accord with the OLAW or USDA's reporting requirements.