

## Reporting Misuse, Mistreatment, or Non-Compliance

If you observe misuse or mistreatment of animals, or you see procedures that you don't think comply with federal regulations or guidelines, report it immediately to your veterinarian or the IACUC.

Once an allegation of mistreatment, misuse, or noncompliance is received, the **USDA Animal Welfare Regulations and Standards**<sup>1</sup> and PHS Policy require the IACUC to review and if warranted, **investigate**<sup>2</sup> the allegations, whether made by the public or an employee of the institution.

The IACUC then makes recommendations to a high-ranking "Institutional Official" at the institution, which reviews the report and decides if additional action is needed.

If the IACUC decides that any animal activities need to be stopped to protect either animals or people, they are given clear regulatory **authority**<sup>3</sup> to do so. In fact, if an IACUC votes to suspend a protocol or animal activity, that decision cannot be overturned by any administrator at the institution.

If an institution accepts PHS funding, any protocol suspension must be reported by the Institutional Official to the Office of Laboratory Animal Welfare.

## Other Considerations

Some other considerations:

1. If you see that animals are in danger or in pain, take immediate steps to remove animals from the threat, and notify the animal care staff or veterinarian immediately.
2. IACUC members take their job of investigating and correcting problems very seriously. However, if you are not satisfied with the final actions taken by the local IACUC or institutional administrators, and remain concerned that animals are being misused, mistreated, or are otherwise not being used for IACUC-approved research, contact the **Office of Laboratory Animal Welfare (OLAW)**<sup>4</sup> or the **USDA Animal Care Section**<sup>5</sup>.

At the University of Kentucky, the following sign should be displayed prominently in every animal housing and usage location:

## Humane Animal Care and Use

All animals owned or used by the University of Kentucky for research or training will receive proper care, and will be used humanely in accordance with approved protocols, federal laws, and University of Kentucky regulations and guidelines. Any person who witnesses or suspects abuse of said animals is encouraged to report their concern to:

Dr. Brian Jackson, Chairperson  
UK Institutional Animal Care and Use Committee  
(859) 323-8503

Dr. Harold Stills, UK Attending Veterinarian  
(859) 323-5885

Dr. James Tracy, UK Vice President for Research  
(859)257-5294

Or contact the Office of Research Integrity anonymously at  
1-(866)-400-9428 (toll free call)

Written concerns may be sent to the  
UK Institutional Animal Care and Use Committee  
Room 222, Bosomworth Health Sciences Research Building  
Lexington, KY 40536-0305

**NO ADVERSE ACTION WILL BE TAKEN AGAINST ANYONE MAKING AREPORT.  
YOU ARE NOT REQUIRED TO GIVE YOUR NAME**

If you do not see this sign anywhere in the location in which you use or house animals, please notify the Office of Research Integrity and request one.

### **Footnotes**

<sup>1</sup> From the USDA Animal Welfare Act Regulations, Section 2.31 -

4. Review, and, if warranted, investigate concerns involving the care and use of animals at the research facility resulting from public complaints received and from reports of noncompliance received from laboratory or research facility personnel or employees;
5. Make recommendations to the Institutional Official regarding any aspect of the research facility's animal program, facilities, or personnel training;"

<sup>2</sup> From the PHS Policy, Section IV.B.-

"B. Functions of the Institutional Animal Care and Use Committee

"As an agent of the institution, the IACUC shall with respect to PHS - conducted or supported activities: ...

4. review concerns involving the care and use of animals at the institution;
5. make recommendations to the Institutional Official regarding any aspect of the institution's animal program, facilities, or personnel training;"

<sup>3</sup> From the USDA Animal Welfare Act Regulations, Section 2.31-

"(8) Be authorized to suspend an activity involving animals in accordance with the specifications set forth in paragraph (d)(6) of this section.

...

6. The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with the description of that activity provided by the principal investigator and approved by the Committee. The IACUC may suspend an activity only after review of the matter at a convened meeting of a quorum of the IACUC and with the suspension vote of a majority of the quorum present;
7. If the IACUC suspends an activity involving animals, the Institutional Official, in consultation with the IACUC, shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to APHIS and any Federal agency funding that activity; and
8. Proposed activities and proposed significant changes in ongoing activities that have been approved by the IACUC may be subject to further appropriate review and approval by officials of the research facility. However, those officials may not approve an activity involving the care and use of animals if it has not been approved by the IACUC."

and

From PHS Policy, Section IV.-

"B. Functions of the Institutional Animal Care and Use Committee

As an agent of the institution, the IACUC shall with respect to PHS - conducted or supported activities:

8. ... be authorized to suspend an activity involving animals in accordance with the specifications set forth in IV.C.6 of this Policy."

(Section IV.C.6.)

6. " The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with applicable provisions of the Animal Welfare Act, the Guide, the institution's Assurance, or IV.C.1.a.-g. of this Policy. The IACUC may suspend an activity only after review of the matter at a convened meeting of a quorum of the IACUC and with the suspension vote of a majority of the quorum present
7. If the IACUC suspends an activity involving animals, the Institutional Official in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW."

<sup>4</sup> <http://grants1.nih.gov/grants/olaw/olaw.htm>

<sup>5</sup> <http://www.aphis.usda.gov/ac/>

**I have read and understand the training document on:**

**Reporting Misuse, Mistreatment, or Non-Compliance**

**Your signature**

**Print Name**

**Date**

Please sign and make a copy for your records. Send the original to either:

Angie Croucher  
Office of Research Integrity  
Room 403 Kinkead Hall  
Lexington, KY 40506-0057  
FAX (859) 257-8995

Samantha Otte  
Office of Research Integrity  
Room 222, Bosomworth Hlth Sci Res Bldg  
Lexington, KY 40536-0305  
FAX (859) 257-9700