

Title: **Reporting of Serious or Continuing Noncompliance**

Effective Date: **August 7, 2008**      Revision # **06**

Standard Operation Procedure Number: **IACUC-RPT-001**    Last Committee Review: **August 20, 2019**

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**Purpose/Scope**

The purpose of this Standard Operating Procedure (SOP) is to outline the IACUC’s procedure regarding reporting of serious or continuing non-compliance and/or serious deviation from the applicable regulations and policies.

**References**

PHS Policy on Humane Care and Use of Laboratory Animals (OLAW, 1986) IV.C.7 and IV.F.3.

9CFR Ch. 1, Subchapter A, Part 2, Subpart C, 2:31 (c)(3).

IACUC-RVW-011 Investigation of Possible Non Compliance

**Background**

PHS policy states, “The IACUC, through the Institutional Official, shall promptly provide OLAW with a full explanation of the circumstances and actions taken with respect to: a. any serious or continuing noncompliance with this [i.e., PHS] Policy; b. any serious deviation from the revisions of the Guide, or c. any suspension of an activity by the IACUC.”

The Animal Welfare Act Regulations further require the IACUC to report the failure to correct, during the time frame allotted, any significant deficiency discovered during an IACUC semi-annual facility inspection or a program review.

**Procedure**

1. Upon determination by the IACUC that an incident is reportable as defined above, the IACUC will issue a written report of such findings to the Vice President for Research and Economic Development (Institutional Official) within 10 working days. The report will include an explanation of the circumstances and any corrective actions.
2. The determination will also be reported in writing to the relevant principal investigator, facility manager, and appropriate supervisors (i.e. department head, dean, etc.) within 10 working days of the IACUC meeting in which the finding was made.
3. The Vice President for Research and Economic Development will report all reportable incidents in writing to OLAW, USDA, AALAC, and, if applicable funding source within 10 working days of notification by the IACUC.

**Reviewed:**

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IACUC Chairperson

Date

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Research Compliance Director

Date