

**Report and Follow up  
of Animal Care and  
Use Concerns  
IACUP Policy  
Effective Date: May 2019**



**I. Purpose**

UCSF recognizes that it is a privilege to use animals in research and instruction, and is committed to protecting the welfare of these animals. Any individual who has a concern with respect to the care and use of research animals at UCSF is encouraged to report the situation immediately. This policy ensures that UCSF has a system in place that complies with the concerns reporting requirements of the Animal Welfare Act and Regulations and the Guide for the Care and Use of Animals, Eighth Edition.

**II. Regulatory or Accreditation Authority**

*9. C.F.R. §2.31, Institutional Animal Care and Use Committee - (c) IACUC functions.* With respect to activities involving animals, the IACUC, as an agent of the research facility, shall: (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;

*9 C.F.R. §2.32, Personnel Qualifications – (c) Training and instruction of personnel must include guidance in at least the following areas: . . . Methods whereby deficiencies in animal care and treatment are reported, including deficiencies in animal care and treatment reported by any employee of the facility.* No facility employee, Committee member, or laboratory personnel shall be discriminated against or be subject to any reprisal for reporting violations of any regulation or standards under the Act;

*Guide for the Care and Use of Laboratory Animals, Eighth Edition, November, 2013, p. 57. – Investigating and Reporting Animal Welfare concerns.* “The institution must develop methods for reporting and investigating animal welfare concerns, and employees should be aware of the importance of and mechanisms for reporting animal welfare concerns.”

**III. Scope**

This policy applies to all individuals at UCSF.

**IV. Policy**

The IACUC and the Laboratory Animal Resource Center (LARC) have established a formal process and set of procedures for reporting and following up on concerns regarding any aspect of animal care and use at UCSF.

Individuals may report their concerns in person, or by phone, in writing, e-mail or fax. ***Concerns may be reported anonymously, or the reporting individual may request confidentiality.***

A delegate of the IACUC will investigate the report, contact a LARC veterinarian or other individuals if necessary, and report the concern and any findings in a timely manner to the Committee.

Concerned individuals can also use UCSF's whistleblower program, and can anonymously contact the University-wide confidential reporting hotline at **1-800-403-4744** or through [the University-wide confidential website](#) (independently operated by EthicsPoint).

## IACUC Appendices for Reporting and Follow Up of Animal Care and Use Concerns

Appendices are provided as IACUC suggestions or recommendations. Deviation from the attached appendices may require IACUC approval.

### Appendix A: Reporting

IACUC Approved: May 2019

Any individual who identifies an animal care and use concern(s) or possible protocol violations should do *either* of the following:

1. Contact any member of the IACUC office, or any other individual designated on the Animal Care and Use Concerns Posting. **If there are immediate animal welfare concerns, contact a LARC veterinarian immediately using the on-call LARC number below. Also communicate with the nearest LARC supervisor, and/or call the IACUC office.**

#### LARC On-Call Veterinarian

Phone: 415 502-8687; Box 0564

#### Institutional Animal Care and Use Committee (IACUC) Office

Phone: 476-2197; Fax: 502-7991; Box 0547; Email: [iacuc@ucsf.edu](mailto:iacuc@ucsf.edu)

In addition, individuals may also report concerns to:

**UCSF's whistleblower program** (you may contact anonymously)

**University-wide confidential Reporting hotline:** 1-800-403-4744

Online: the University-wide confidential website (independently operated by EthicsPoint) <https://secure.ethicspoint.com/domain/media/en/gui/23531/index.html>

2. Alternatively, if there are no immediate animal welfare concerns, the individual may submit the [Animal Care and Use Concerns Reporting Form](#). The form is available on the IACUC website, <https://iacuc.ucsf.edu/report-animal-welfare-concern>

The reporting individual should complete Part A of the form then either email a copy of the completed form to IACUC or forward a copy to one of the fax or box numbers listed above.

*Note:* If a concerned individual calls instead of completing the form, the person who takes the call will fill out Section A of the Report Form.

### Appendix B: Investigation and Follow Up

IACUC Approved: May 2019

An IACUC delegate will investigate the concern and report any animal health issues to a LARC veterinarian who may take further action, up to and including immediate termination of the experiment on the animal(s), if needed.

The IACUC delegate will then complete Part B of the form. Part B documents the situation, any discussions with personnel on site and/or with the PI, any actions taken with respect to the health of the animals and an initial assessment of whether there were any possible protocol violations.

The IACUC delegate will then make the following determination:

- a) If there are no immediate animal health concerns or protocol violations identified, the information on this form will be provided to the IACUC at one of its regularly scheduled meetings.
- b) If any health concerns or potential protocol violations were found, the IACUC delegate will contact the IACUC director or IACUC Chair and the Attending Veterinarian (or designee) as needed. A subcommittee may be convened to address any immediate concerns prior to discussion at a regularly convened IACUC meeting.

The IACUC delegate will notify the PI, and based on the outcome of the investigation, will be given an opportunity to provide a response regarding the concern and any other findings. The IACUC will then review the response and take appropriate action in accordance with the IACUC Compliance Policy.

If the situation is such that a responsible PI cannot be identified, the IACUC will nonetheless review the concern and determine the most appropriate course of action.

**Note:** The Federal Animal Welfare Act prohibits discrimination or reprisal against any person reporting a violation of animal welfare regulations or standards. The Animal Welfare Act Regulations provide that “No facility employee, Committee member, or laboratory personnel shall be discriminated against or be subject to any reprisal for reporting violations of any regulations or standards under the Act.”