

**The University of Kansas-Lawrence  
Institutional Animal Care and Use Committee**

**Reporting Procedures and Guidelines for Handling Reports of Non-Compliance**

Concerns or complaints regarding animal use at The University of Kansas may be brought directly to the attention of the IACUC by any member of the University or general public. Reports may be made anonymously. The anonymity of individuals reporting concerns will be maintained to the degree legally possible.

No person shall be retaliated against as a result of voicing a concern. No KU employee, student, or IACUC member will be discriminated against or subjected to any reprisal for reporting suspected non-compliance.

The individuals against whom the allegations are made will be treated in a fair and professional manner throughout the investigation.

**Reporting:** Concerns should be brought to the attention of the responsible party whenever possible. If the concern cannot be handled directly or the resolution is not satisfactory, the following reporting contacts and reporting mechanisms may be used.

<b>Title</b>	<b>Name</b>	<b>Telephone</b>	<b>Email</b>
IACUC Chair	Wendy Picking	785-864-5963	<a href="mailto:wendy.picking@ku.edu">wendy.picking@ku.edu</a>
ACU Director / University Veterinarian	William Hill	785-864-8843	<a href="mailto:wahill@ku.edu">wahill@ku.edu</a>
IACUC Institutional Official	Joseph Heppert	785-864-8235	<a href="mailto:jheppert@ku.edu">jheppert@ku.edu</a>
Director of Research Integrity	Susan MacNally	785-864-4148	<a href="mailto:sumac@ku.edu">sumac@ku.edu</a>
University Ombudsman		785-864-7261	<a href="mailto:ombuds@ku.edu">ombuds@ku.edu</a>

Submit your concern electronically at the following URL: <https://animalcareunit.ku.edu/>

- A. In emergencies,** the University Attending Veterinarian (UAV) or designee should be contacted immediately. The UAV or designee shall take any necessary action to relieve animal suffering or address animal welfare issues. The concern and the actions taken by the UAV will be reported to the IACUC Chair or designee (Chair) by the end of the next regular business day. The Chair will then appoint an ad hoc subcommittee as described below.
- B. In non-emergency situations,** the concern should be submitted to the Chair, IACUC coordinator, UAV, or any other IACUC member. Within 72 hours of receipt of the concern, the Chair will appoint an ad hoc subcommittee.

**IACUC Subcommittee Inquiry:** The subcommittee will be composed of no less than three IACUC voting members. The Chair shall notify the responsible PI of the concern in writing, including a description of the allegation. The responsible PI will be invited to provide a written response to the concern within three business days of notification and will be offered an interview with the subcommittee. The subcommittee may conduct inspections of facilities and relevant records and may request interviews

of any related personnel regarding the concern. The subcommittee may solicit subject matter experts if required.

The subcommittee will report its findings of fact to the IACUC at the next scheduled or called meeting. All parties will be provided with the specific complaints and factual evidence gathered, to the extent possible, and will be provided an opportunity to address the convened IACUC.

**IACUC Determination:** The IACUC, by a simple majority vote of quorum, will determine whether non-compliance has occurred. A determination of non-compliance must be proven by a preponderance of the evidence.

The IACUC may, by a simple majority vote of quorum, suspend an activity or impose lesser corrective remedies if activities are determined to have been out of compliance with an approved AUS or applicable provisions of federal, state, and local animal care and use regulations, policies and guidelines.

A written summary of the allegation, findings, determinations, and corrective actions will be forwarded to the concerned parties, including the employee's supervisor and the IO, and external entities if applicable.