



SOP Title	Reporting Concerns Involving the Care and Use of Animals				
Date Last Revised	10/24/2017	Date Created	04/04/2011	Revision #	
SOP Number	13	Required by:	<input type="checkbox"/> OHRP <input type="checkbox"/> Funding Agency <input type="checkbox"/> OLAW		
Applicability	<input type="checkbox"/> RGC Internal		<input checked="" type="checkbox"/> Researcher	<input checked="" type="checkbox"/> Institutional	
Subgroup	<input type="checkbox"/> NKU Compliance	<input type="checkbox"/> IRB	<input checked="" type="checkbox"/> IACUC	<input type="checkbox"/> IBC	

1.0 PURPOSE

The purpose of this regulations is to establish standards and processes for reporting concerns involving the care and use of animals.

2.0 GENERAL INFORMATION AND SCOPE

Northern Kentucky University (NKU) is committed to ensuring that animals used by NKU faculty, staff and students are treated in a humane, ethical manner, with the highest standard of care according to applied Federal, State, and local regulations. Any person may make a report concerning the care and misuse of animals at NKU and may do so without the fear of discrimination or reprisal. This policy establishes a mechanism of reporting concerns regarding the care and misuse of animals in research, teaching, and training. The IACUC will review and/or investigate all concerns related to animal care and use brought to the attention of the committee.

3.0 PROCEDURES

A. COMPLAINT REQUIREMENTS

- 1) Any complaint regarding possible inappropriate care or handling of animals should be:
 - a. Made directly to the individual(s) involved if retaliation is not an issue, or
 - b. Made to a member of the IACUC, the Vice Provost for Graduate Education, Research and Outreach, Director of Research, Grants, and Contracts, or the Manager of Research Compliance.
- 2) A verbal or written complaint is acceptable. Whatever the mode of communication employed, the complaint should include, to the extent this information is known:
 - a. a factual description
 - b. time
 - c. location
 - d. animal species
 - e. numbers and identification of animals
 - f. specific care or handling concerns
 - g. names of witnesses
 - h. any other relevant details
 - i. signature of complainant

- 3) Anonymous complaints are acceptable if sufficient detail is provided to allow investigation of the charges.
- 4) The identity of a complainant will be kept confidential, when requested by the complainant, to the extent allowed by law or court order.

B. INTERNAL ROUTING OF COMPLAINT AND INVESTIGATION

- 1) The person specified in A.1 who initially received the complaint shall forward it to the IACUC Chair as soon as possible and not more than 1 business day after receiving the complaint.
- 2) When a verbal complaint is received by a person specified in A.1, that person is responsible for providing a written, summary report to the IACUC Chair.
- 3) The IACUC Chair shall review the complaint, notify the Institutional Official (IO) that a complaint was made, and schedule a meeting of a subcommittee of the IACUC to review the complaint within ten (10) business days.
- 4) The IACUC Chair will notify the alleged involved individual(s) and the person(s)' supervisor(s) that a complaint was received, and allow them 24 hours to respond.
- 5) If the preliminary investigation by the subcommittee indicates that the complaint is unsupported, the complaint and all relevant information will be presented at the next meeting of the IACUC and recorded in the minutes. The IACUC Chair will notify the IO, all involved individuals and associated administrators of the IACUC's determination.
- 6) If the preliminary investigation reveals that further investigation of the incident is warranted, the relevant information will be presented for discussion at the next convened meeting of the IACUC. Involved individuals will be invited to the meeting to respond to the complaint and questions from the IACUC in person. Once the investigation is concluded, the IACUC will make recommendations for any corrective action. The IACUC Chair will notify the IO of the findings of the IACUC and recommended actions. The IO will notify the involved individuals and appropriate institutional administrators or departmental leaders in writing of corrective action to be taken as recommended by the IACUC.
- 7) In cases where significant problems are identified which are not satisfactorily resolved between the IACUC and the involved individuals, the IACUC may make recommendations to the IO for immediate action.
- 8) The IACUC will be responsible for maintaining a file documenting complaints, committee reviews and actions taken or recommended to rectify the problems identified, including any minority views expressed by any committee member.
- 9) Significant violations will be reported in writing to the appropriate Federal Agencies by the IO and will include a summary of the IACUC's investigation and information about corrective actions taken.

C. FILING OF FALSE COMPLAINTS

Any person who knowingly files a false complaint with the intention of harm or malice to the researcher, departments or NKU, will be subject to disciplinary action.

4.0 REFERENCES

5.0 FORMS OR ATTACHMENTS

6.0 DEFINITIONS

Approvals

Title	Approved	Date Approved	Not Applicable
Manager of Research Compliance	<input checked="" type="checkbox"/>	11/01/2017	<input type="checkbox"/>
IACUC Chair	<input checked="" type="checkbox"/>	11/01/2017	<input type="checkbox"/>
Institutional Official	<input type="checkbox"/>		<input checked="" type="checkbox"/>

Revisions

Title	Approved	Date Approved	N/A	Summary
Manager of Research Compliance	<input type="checkbox"/>		<input type="checkbox"/>	
IACUC Chair	<input type="checkbox"/>		<input type="checkbox"/>	
Institutional Official	<input type="checkbox"/>		<input type="checkbox"/>	