Title: Reports of Animal Care and Use Concerns

I. Purpose:

To establish the UC Davis policy for the reporting and investigation of concerns regarding animal care and use.

II. Policy:

As required by the Animal Welfare Act (AWA), the USDA Animal Welfare Act Regulations (AWR), and the Public Health Service (PHS) Policy, UC Davis will provide a method by which

a) Employees, students or members of the public may report animal-related concerns
b) Concerns will be communicated to the IACUC
c) The IACUC will review each concern in a timely manner
d) The IACUC will take prompt, appropriate, and corrective action on such concerns when necessary.

All reports of concern will be reviewed, formally investigated if warranted and documented. The IACUC Chair, Attending Veterinarian, IACUC Administrator, Institutional Official, and animal care leadership team will be notified of all reports.

III. Procedures:

A. Training

Instruction on this policy and procedure for reporting a concern is included in the Animal Care and Use 101 (ACU 101) course.

B. Guidance

Instructions on the procedure to report a concern is provided on the UC Davis Institutional Animal Care and Use Reporting Form. Additionally, animal care and use awareness posters that describe reporting procedures are posted in vivaria and laboratories where animals are located.

C. Reports of Concern

Reports of any animal care and use concerns can be submitted to the IACUC Office or the Attending Veterinarian via the campus mail, electronic mail, fax, by telephone, or in person. Individuals are encouraged to complete the on-line Concern Reporting Form and forward it to the IACUC Office for review and action. If the individual reporting the concern does not wish to complete the form, they may contact the IACUC staff and request an IACUC staff member to complete the form. Any individual reporting a
concern may remain anonymous and is not required to put their name on the report form. The UC Davis Whistleblower Policy PPM 380-17, protects employees who report improper government activities from retaliation.

Upon receipt of the report, the IACUC Office staff will review the report within one business day, make the appropriate notifications and begin the investigation. If immediate or urgent veterinary care is required, Campus Veterinary Services will be immediately contacted, and will take appropriate action.

D. IACUC Investigation

The following investigation and documentation procedure will be used for reports of animal care and use concerns:

1. The IACUC Office or Campus Veterinary Services will review the concern and present a report along with an action plan if required at the next convened IACUC meeting. As part of this assessment, the Principal Investigator or other responsible party will be notified and provided the opportunity to respond to the reported concerns.

2. At the conclusion of the review the IACUC Office or Campus Veterinary Staff will provide the IACUC with a final summary of the concern and any significant or minor deficiencies with corrective active plans.

3. Confidentiality will be maintained during all investigative procedures and documentation. Whistleblowers’ are protect from retaliation. More information can be found in the UC Davis Whistleblower Policy (http://compliance.ucdavis.edu/complaint_processes/whistleblower.cfm).

IV. References:

1. Guide for the Care and Use of Laboratory Animals, Eight Edition

2. Animal Welfare Regulations - 2.31.c.4
UC Davis Institutional Animal Care and Use Concern Reporting Form

How to Report a Concern
Procedures for Reporting an Animal Care and Use Concern

The UC Davis Institutional Animal Care and Use Committee (IACUC) provides the following instructions and procedures for reporting animal care and use concerns:

1. If you have identified an animal care and/or use concern(s), please complete the “UC Davis Institutional Animal Care and Use Concern Reporting Form.” If you prefer to describe your concerns in person or by telephone, you may go to or contact the IACUC Office. If you are reporting a concern and wish to remain anonymous, please do not enter your name on the reporting form. People reporting a concern are protected by the UC Davis Whistleblower Policy.

2. Once the reporting form is completed, forward the form to the IACUC Office for review and action. If immediate or urgent veterinary care is required, please contact Campus Veterinary Services-

Date of incident:

1. General Information:
   - Principal Investigator (PI) if known:
   - Protocol number, if known:
   - Species involved:
   - Number of animals involved:
   - Animal ID number(s), if known:
   - Location of animals (Facility, Building, Room #):

2. Please briefly describe your concern (field will expand as needed):

3. Person Reporting Concern (optional – Do not include if you wish to remain anonymous):
   - Contact information:

Submit completed forms to the IACUC Office or the Attending Veterinarian:
- Campus mail: IACUC Office
- Electronic mail: iacuc-staff@ucdavis.edu (include form as an attachment)
- Phone: 530-752-2364
- Fax: 530-752-4994
- In person: IACUC Office – 980 Old Davis Rd., Building Q3
  OR CAMPUS VETERINARY SERVICES – 980 Old Davis Rd., Building H3
(FOR IACUC INTERNAL USE ONLY)

TO BE COMPLETED BY PERSON EVALUATING THE CONCERN

NAME:________________________

1. Summary of the concern

2. Where the finding substantiated? [ ]Yes [ ]No
   a. If yes, indicate the deficiency and corrective action taken:

IACUC notification:
   Date Final Report to IACUC: ________
How to Report an Animal Concern

Animal welfare concerns may be reported as follows:

1. Mail, email or faxing the “UC Davis Institutional Animal Care and Use Concern Reporting Form” which can be found on the IACUC website, http://safetyservices.ucdavis.edu/IACUC, to the address below.
2. In person or by telephone to an IACUC Staff member, who will complete the reporting form for you.
3. By contacting Laurie Brignolo (Attending Veterinarian) at 530-752-0780.
4. By contacting the UC Whistleblower Hotline at 1-800-403-4744 or universityofcalifornia.edu/hotline

If you are reporting an animal-related concern you have the right to remain anonymous. People reporting a concern are protected by the UC Davis Whistleblower Policy http://manuals.ucdavis.edu/ppm/380/380-17.pdf.

IACUC Office:
Phone: 530-752-2364
Fax: 530-752-4994
Email: iacuc-staff@ucdavis.edu
Mail: IACUC Office-UC Davis
1 Shields Avenue
Davis, CA 95616