NU–IACUC POLICY

Northeastern University Institutional Animal Care and Use Committee

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| **Policy on Prompt Reporting of Noncompliance and Adverse Events (AE)** |

*Re-Approval Date: 12/13/2022*

**Background**

The Institutional Animal Care and Use Committee (IACUC) is required to ensure that all education, training, research, and any related activities involving the use of animals conducted at Northeastern is in accordance with federal rules, regulations, and university policies. As a result, the IACUC evaluates the animal care program for compliance with the United States Department of Agriculture (USDA) Animal Welfare Act and Regulations, Public Health Service (PHS) Policy, the Guide for the Care and Use of Laboratory Animals (Guide) and standards of the AAALAC International. This assurance relies on prompt reporting of any concerns involving the care and use of animals at the University.

**Policy**

Animal welfare concerns can be submitted to the IACUC Chair, Institutional Official, the DLAM Director, or anonymously through [EthicsPoint.](https://secure.ethicspoint.com/domain/media/en/gui/32115/index.html) This applies to any perceived adverse events, unanticipated problems, possible noncompliance, or other issues as they relate to the care and use of laboratory animals. More information provided in the [Policy on Reporting Deficiencies in Animal Care and Use](https://research.northeastern.edu/app/uploads/sites/5/2022/05/Reporting-Deficiencies-in-Animal-Care-Update-Final-2022.docx) which is also our whistleblower policy.

All allegations will be reviewed and evaluated as described in the Policy on Reporting Deficiencies in Animal Care and Use. If a majority vote of the quorum present at a convened meeting determines a noncompliant incident or adverse event to be *Significant*, it will be reported promptly to the applicable outside agencies, as summarized below.

**Significant Reporting Requirements:**

1. Office of Laboratory Animal Welfare (OLAW)\*:
   1. any serious or continuing non-compliance with the PHS Policy
   2. any serious deviation from the provisions of the Guide, or
   3. any suspension of an activity by the IACUC

*\*Only events involving PHS supported research are reported to OLAW.*

1. Animal and Plant Health Inspection Service (APHIS), as it relates to the use of USDA-regulated animals\*\*:
   1. Any suspension of an activity by the IACUC
   2. Nonadherence to plan of correction for significant deficiencies

*\*\*Only events involving USDA covered species are reported to the USDA.*

1. AAALAC International:
   1. Inadequate veterinary care
   2. Conditions that resulted in unexpected animal harm or deaths (i.e., accidents or errors, equipment failures, natural disasters)
   3. Significant animal rights activities (e.g., protests, break-ins, property damage, FOIA and other public records requests that include AAALAC International documents)
   4. Inappropriate euthanasia techniques and/or failure to confirm euthanasia
   5. Substantiated reports regarding animal welfare concerns (i.e., incidents voted Significant by the IACUC)
   6. Internal or external reviews/inspections that document significant AE or Noncompliance that resulted in animal harm or death; investigations by national oversight bodies; and other serious incidents or concerns that negatively impact animal well-being (i.e., failure to follow the approved protocol which resulted in compromised animal welfare; death during transport)
   7. Significant human health issue directly related to the animal care and use program