



HELPFUL INFORMATION SHEET:

Policy on Investigating Noncompliance & Animal Welfare Concerns

When incidents of noncompliance are confirmed, the Institutional Animal Care & Use Committee (IACUC) employs a variety of mitigation measures – **including but NOT limited to those outlined below** – to identify and correct the concerns.

Mitigation measures (e.g., sanctions) are developed to best address the nature and cause(s) of the noncompliance. As such, the IACUC may choose to implement **any** of the measures outlined in the three tiers depending on the unique circumstances of each incident.

Below are common sanctions used by the IACUC according to escalation status.

Please refer to the full policy at animalcare.umich.edu/noncompliance for more information.

1st

INCIDENT OF SERIOUS NONCOMPLIANCE

If the PI has **NO** additional noncompliances in the past three years:

- ↳ They will receive a formal notice from the IACUC describing the importance of a compliant program

If the incident had a **direct, negative impact on animal welfare**, the PI may be required to:

- ↳ Provide an action plan to prevent recurrences
- ↳ Complete the [Self-Guided Evaluation of Animal Activities & Protocol Content Form](#) and discuss the form at a lab meeting within 30 days of the IACUC notice

2nd

INCIDENT OF SERIOUS NONCOMPLIANCE

All individuals listed as animal handlers on the protocol may be required to re-take an online training module on animal care and use, **plus at least one or more of the following**:

- ↳ The PI must complete the [Self-Guided Evaluation of Animal Activities & Protocol Content Form](#) and discuss the form at a lab meeting within 30 days of the IACUC notice
- ↳ Prepare a training module for the Animal Care & Use Program
- ↳ Select individual(s), specific procedures, and/or protocol activities must be supervised by an IACUC-identified individual
- ↳ The PI's research program will be placed on probation with additional oversight
- ↳ The PI must be physically present for select animal activities and/or to conduct post-procedure observations and sign-off on all relevant animal records
- ↳ The PI must submit routine reports to the IACUC on the status of their research program

3rd

INCIDENT OF SERIOUS NONCOMPLIANCE

OR failure to satisfy previously imposed corrective actions may result in all individuals listed as animal handlers on the protocol being required to re-take an online training module on animal care and use, **plus at least one or more of the following**.*

- ↳ An individual's access to the animal facilities will be restricted (e.g., loss of access or supervised access only)
- ↳ Suspension of an individual's privilege to conduct animal activities
- ↳ Suspension of a procedure within a protocol
- ↳ Suspension of an approved protocol

*Time periods for individual sanctions are determined by the IACUC on a case-by-case basis.