
Valdosta State University Institutional Animal Care & Use Committee (IACUC)

Standard Operating Procedure Number 005

ADDRESSING ALLEGATIONS OF ANIMAL MISTREATMENT: INJURIOUS OR NON-INJURIOUS NONCOMPLIANCE AND/OR ADMINISTRATIVE NONCOMPLIANCE

PURPOSE: As part of its mandate to ensure that all vertebrate animals are humanely cared for and used in accordance with the highest ethical standards, the Valdosta State University Institutional Animal Care and Use Committee (IACUC) reviews, approves, and monitors animal activity conducted under its auspices for conformance with all applicable laws, regulations, policies, and procedures. The IACUC is also responsible for reviewing and, if warranted, fully investigating any allegations of animal mistreatment and/or injurious or non-injurious noncompliance raised by the public, employees, or students.

The purpose of this Standard Operating Procedure (SOP) is to describe the procedures used to address allegations of animal mistreatment; to address noncompliance of an investigator/instructor with applicable laws, regulations, policies, procedures, and/or approved protocols that directly affect animals; and to address failure of the investigator/instructor to comply with administrative requirements of the IACUC.

DEFINITIONS:

Activity – An element of research, testing, or teaching procedures that involves the care and/or use of animals. IACUC approval must be obtained prior to any activity involving the use of animals. Excluded under this definition are activities involving only observation that do not interfere with or interact with the animals. For example, using feeders or sheltering animals would not be excluded.

Administrative Noncompliance – Acts that do not directly impact the physical or psychological welfare of animals, including, but not limited to, such acts as failing to complete and submit reports and other paperwork in accordance with IACUC procedures and timelines, failing to follow administrative instructions given by the IACUC, the Attending Veterinarian, and/or the IACUC Administrator; and failing to adhere to other related guidelines and practices.

Administrative infractions are most commonly identified by the IACUC Administrator and are dealt with directly by the IACUC as part of its regular business, as opposed to being addressed through a preliminary review and investigation process.

Examples of administrative noncompliance include, but are not limited to:

- Conducting any animal activity without IACUC approval
 - Failing to submit a protocol modification request before implementing the modification
 - Failing to submit an annual review form in adequate time for review before protocol expiration
 - Failing to report previously made minor modifications to the protocol as part of the annual review (for example, substitution or addition of a qualified student or technician, addition of a qualified faculty collaborator, substitution, or addition of students on an instructional protocol, or addition of another strain of the same animal species)
 - Failing to file final reports when protocols have been completed
 - Failing to follow administrative directives from the IACUC, the Attending Veterinarian, and/or the IACUC Administrator
 - Failing to follow standard laboratory practices
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- Failing to adhere to applicable environmental, health, and safety regulations and guidelines

Allegation – Any written or oral statement or other indication of animal mistreatment and/or injurious or non-injurious noncompliance made to a University official.

Animal – Any live non-human vertebrate animal used or intended for use in research, training, experimentation, testing, propagation, or related purpose, with the exclusion of embryos, tissue, and other biological samples.

- ♦ For embryos, the point in development at which oviparous, ovoviviparous, and viviparous species become regulated animals is specified by the Animal Welfare Act (AWA) and the Office of Laboratory Animal Welfare (OLAW). Viviparous and ovoviviparous species become regulated at parturition from the maternal animal. Oviparous species become regulated when they hatch from the egg. For fish, the VSU IACUC has determined a similar stage in development as the "buttoned-up" stage (when the embryo has fully absorbed the yolk sac and must forage on its own).
- ♦ For tissues and other biological samples, only those that have been collected from a live animal by a Valdosta State University investigator are regulated.

Animal Use Protocol (AUP) – The application form required by the Institutional Animal Care & Use Committee (IACUC) for approval of proposed research, testing, or instruction utilizing vertebrate animals.

Good Faith Allegation – An allegation made with the honest belief that animal mistreatment and/or injurious or non-injurious noncompliance may have occurred. An allegation is not in good faith if it is made with reckless disregard for, or willful ignorance of, facts that would disprove the allegation.

Informant – The person who makes an allegation of animal mistreatment and/or injurious or non-injurious noncompliance.

Injurious Noncompliance – When an investigator/instructor conducts a painful, distressful, or invasive procedure on an animal without IACUC approval or when the investigator/instructor does not follow procedures approved by the IACUC, resulting in increased risk of animal pain, distress, morbidity, or mortality. Examples of injurious noncompliance include, but are not limited to:

- Performing unauthorized surgery
- Performing surgery or other painful procedures without proper anesthesia
- Performing unapproved repeated survival surgery
- Excessive use of restraints
- Use of drugs not previously approved for the protocol
- Use of unapproved methods of euthanasia
- Permitting untrained and/or unauthorized personnel to perform invasive or potentially painful or distressing procedures
- Failing to inform the Attending Veterinarian promptly of unexpected adverse events that result in increased animal pain, distress, morbidity, or mortality
- Where husbandry is the responsibility of the investigator/instructor, failing to provide habitable living conditions and/or adequate food and water to the animals

Institutional Official – The individual at a research facility or institution who is authorized to legally commit on behalf of the research facility or institution that federal animal care and use regulations are being met and that appropriate resources are committed to the animal care and use program.

Investigation – The second step in addressing an allegation of animal mistreatment and/or injurious or non-injurious noncompliance. Undertaken when results of the preliminary review indicate that the allegation appears justified to determine if indeed such mistreatment and/or noncompliance has occurred and, if so, to recommend appropriate actions.

Mistreatment – Abusive or wrongful physical or psychological treatment of an animal. Examples include, but are not limited to, striking animals or otherwise inflicting physical pain or harm, taunting animals, not providing food for punitive reasons, and purposefully placing animals in an environment in which aggressive behavior against other animals or humans is encouraged.

Noncompliance – Failure of the investigator/instructor involved in animal activity to follow applicable laws, regulations, policies, procedures, approved protocols, and/or directives of the IACUC or the Attending Veterinarian. Acts of noncompliance may be classified as injurious, non-injurious, or administrative. The three classes of noncompliance are not mutually exclusive; for instance, animal mistreatment and injurious noncompliance often overlap. In terms of actions that the IACUC may take to ensure the well-being of animals used in research and instruction, one type of noncompliance is not necessarily more serious than another, and all may result in corrective and/or punitive actions.

Non-Injurious Noncompliance – When an investigator/instructor, without IACUC approval, utilizes animals in research or teaching but in such a way that the animals do not suffer pain or distress or experience morbidity or mortality; or when the investigator/instructor fails to follow IACUC-approved procedures and an impact on the animals or the total animal population results but without concomitant increase in risk of animal pain, distress, morbidity, or mortality. Examples of non-injurious noncompliance include, but are not limited to, the following types of activities, provided they do not increase the risk of animal pain, distress, morbidity, or mortality:

- Change in purpose or specific aim of study
- Change in principal investigator
- Change of species
- Addition of species
- Significant increase in the number of animals to be used
- Change in sex of animal to be used
- Modification to surgical procedures
- Change in type or dosage of drugs used
- Additional behavioral or noninvasive sampling

Preliminary Review – The first step in addressing an allegation of animal mistreatment and/or injurious or non-injurious noncompliance. The purpose of the preliminary review is to ensure that frivolous or uninformed accusations are dismissed and that differentiation is made between willful animal mistreatment and/or noncompliance and carelessness or incompetence.

Principal Investigator – A faculty member or student who is responsible for proposing and implementing a protocol to conduct animal research or to utilize animals in testing or instruction.

Research Misconduct (2026 New Rule) – As defined by 42 CFR § 93.103, this includes fabrication, falsification, or plagiarism in proposing, performing, or reviewing research. If an allegation of animal mistreatment suggests that records (such as surgical logs or monitoring sheets) were falsified to conceal noncompliance, the matter must be evaluated under the

Research Misconduct framework in addition to this SOP.

Respondent – The person against whom an allegation of animal mistreatment and/or injurious or non-injurious noncompliance is directed or the person whose actions are the subject of a preliminary review and/or investigation. There can be more than one respondent in any preliminary review or investigation.

Retaliation – Any action taken by the institution or an employee of the institution that adversely affects the employment or other institutional status of the informant who has, in good faith, made an allegation of mistreatment and/or noncompliance or of any other person who has cooperated in good faith in the review and/or investigation of such allegation.

Sanction – Any penalty or coercive action taken by the IACUC to help ensure compliance with applicable regulations, policies, and procedures for the care and use of animals in research and instruction.

University Official – For purposes of this SOP, the person receiving the allegation of animal mistreatment and/or injurious or non-injurious noncompliance. He/she may be a faculty member, department head, academic dean, the Attending Veterinarian, any IACUC member, or the IACUC Administrator.

RIGHTS AND RESPONSIBILITIES:

1. The Institutional Animal Care and Use Committee (IACUC)

The Institutional Animal Care and Use Committee has primary responsibility for implementation of the procedures outlined in this document, including conducting preliminary reviews and investigations, specifying remedial measures to be undertaken by investigators/instructors when appropriate, and imposing sanctions when investigators/instructors have been found to have mistreated animals or to have failed to comply with applicable laws, regulations, policies, procedures, and directives related to animal care and use.

Procedures for addressing allegations of animal mistreatment and/or injurious or non-injurious noncompliance have been designed with recognition that determination of why, or even if, mistreatment and/or noncompliance has occurred may be difficult and that the process of review and/or investigation must be sufficiently flexible to be terminated when it becomes clear that charges are unjustified or that the issue can be resolved appropriately by other means. It is understood that persons conducting the preliminary review and/or investigation must possess the special knowledge necessary to judge the situation, but have no immediate personal interest in the case. The IACUC's actions in response to review and/or investigation of allegations of animal mistreatment and/or injurious or non-injurious non-compliance cannot be grieved, as the IACUC has statutory and institutional authority in these matters. The IACUC is administratively assisted in its work by the IACUC Administrator in the Office of Grants & Contracts.

2. The Informant

Any individual, internal or external to the institution, who observes or suspects animal mistreatment and/or injurious or non-injurious non-compliance at Valdosta State University has a legal and ethical obligation to report the suspected activity. The informant will be allowed to testify during preliminary review and/or investigation.

He/she will be informed of the findings of the preliminary review and/or investigation. He/she will be allowed to comment on portions of reports of findings pertinent to his/her allegation or testimony.

The institution will protect the privacy of the informant who reports animal mistreatment and/or noncompliance in good faith to the maximum extent possible. For example, if the informant requests anonymity, the institution will make every effort to honor the request during the preliminary review, subject to applicable policies and regulations and state and local laws. The informant will be advised that, if the matter is referred for investigation and his/her testimony is required, anonymity may no longer be guaranteed.

In all cases, the institution, through the Office of the Vice President for Academic Affairs, will undertake diligent efforts to protect the position and reputation of the informant making a good faith allegation, including assuring that he/she will not be retaliated against in the terms and conditions of employment or other status at the institution.

The informant is responsible for immediately reporting any alleged or apparent retaliation to the Vice President for Academic Affairs directly or through the IACUC Administrator.

3. University Officials

Any faculty member, department head, dean, or staff member who receives an allegation of animal mistreatment and/or injurious or non-injurious noncompliance has a legal and ethical obligation to report such allegations in accordance with the procedures herein.

4. The IACUC Chair and the Attending Veterinarian

The IACUC Chair and the Attending Veterinarian individually have the authority to immediately and indefinitely suspend an animal activity, in full or in part, upon receipt of an allegation of mistreatment or injurious or noncompliance to provide adequate veterinary care and/or husbandry until the welfare of the animals can be assured. The IACUC Chair has the authority to suspend, immediately and indefinitely, an animal activity, in full or in part, for administrative noncompliance.

If the allegation of mistreatment and/or injurious or non-injurious noncompliance is received and found to warrant preliminary review, the IACUC Chair and the Attending Veterinarian, providing they have no conflict of interest, will serve as the two-member preliminary review team. If the preliminary review findings warrant a full investigation, the Attending Veterinarian, providing he/she has no conflict of interest, will chair the Investigative Subcommittee.

5. The Respondent

The respondent has the right to due process. Preliminary review and/or investigation of an allegation of animal mistreatment and/or injurious or non-injurious noncompliance will be managed promptly and expeditiously, and with full attention to the rights of all individuals involved. The preliminary review and/or investigation will be conducted in a manner that will ensure fair treatment and confidentiality to the extent possible without compromising the welfare of the animals or the ability of the IACUC to conduct its tasks.

The respondent will be informed in writing of the allegation of mistreatment and/or injurious or non-injurious noncompliance when a preliminary review is initiated.

He/she will have the opportunity to be interviewed, present evidence, and review and comment on draft reports during the preliminary review. He/she will be notified in writing of the final determinations and resulting actions.

If the matter is referred for investigation, the respondent will be informed of this action in writing. At that time, his/her administrators (his/her department head and dean) will be informed of the impending investigation and reminded of the need for confidentiality. The respondent will have the opportunity to be interviewed, present evidence, and review and comment on draft reports. He/she may also consult with legal counsel or a non-lawyer personal adviser (who may not be a principal or witness in the case) and bring the counselor or adviser to interviews or meetings on the case. However, the counselor or adviser may attend as an advisor to the respondent only and may not actively participate in the investigative process.

The respondent will be informed in writing of the final determination of the investigation and resulting actions. A copy of the final report, indicating the results of the investigation and the sanctions imposed, if any, will be sent to the respondent, the respondent's administrators, and any sponsoring or regulatory agency previously alerted to the problem in accordance with such agencies' rules and regulations. The respondent will receive a copy of the report, and the person making the allegation will be informed of the Investigative Subcommittee's findings.

In the case of administrative noncompliance, the respondent will be informed of the violation by the IACUC Administrator, and the respondent's administrators will be copied on the correspondence. The respondent may request to meet with the IACUC during a regularly scheduled meeting to present information that he/she thinks may affect the IACUC's decisions and actions related to the administrative noncompliance.

Persons found to have participated in animal mistreatment, injurious or non-injurious noncompliance, and/or administrative noncompliance cannot grieve the IACUC's decision, as the IACUC is given statutory authority that cannot be reversed or modified by the institution.

6. Other Knowledgeable Persons

All employees and students of Valdosta State University have an obligation to cooperate with the IACUC and other institutional officials in the preliminary review and/or the conduct of investigations of allegations of animal mistreatment and/or injurious or non-injurious non-compliance and to provide relevant evidence about such allegations upon request.

7. Associate Provost for Graduate Studies and Research

The Associate Provost for Graduate Studies and Research, who is the designated Institutional Official (IO) for VSU's animal care and use program, is responsible for reviewing all reports of alleged retaliation and taking appropriate action to protect the position and reputation of the informant making the good faith allegation. Such protections will also be extended to witnesses who testify or otherwise offer evidence during the preliminary review and/or investigation. If a non-student employee is found to have made a malicious allegation, the Associate Provost for Graduate Studies and Research will take appropriate disciplinary action. Finally, the Associate Provost for Graduate Studies and Research may be called upon to impose sanctions that are recommended by, but outside the authority of, the IACUC.

PROCEDURES FOR ADDRESSING ALLEGATIONS OF ANIMAL MISTREATMENT AND/OR INJURIOUS OR NON-INJURIOUS NONCOMPLIANCE:

1. Initial Receipt and Assessment

Upon determination that an allegation is credible, the following 2026 federal requirements apply:

Sequestration of Records

The Office of Sponsored Programs & Research Administration (OSPRA) must immediately take custody of all relevant research records, animal health logs, and electronic data to prevent alteration or loss.

Notification

The respondent must be notified in writing of the allegations before, or at the time, the inquiry begins.

2. The Inquiry Phase (90-Day Limit)

The inquiry must determine if there is sufficient evidence to warrant an investigation.

Timeline

The inquiry must be completed within 90 calendar days.

Reporting

A written Inquiry Report must be shared with the respondent, who has 10 days to provide written comments for the final record.

3. The Investigation Phase (120-Day Limit)

If an investigation is warranted, an Investigative Subcommittee is formed.

Timeline: The investigation, including the final report and Institutional Official (IO) review, must be completed within 120 calendar days.

Interviews: All interviews must be recorded and transcribed. Transcripts must be provided to the interviewee for correction and included in the final file.

4. Reporting Possible Animal Mistreatment and/or Injurious or Non-Injurious Noncompliance

Suspected activity may be reported confidentially by any employee, student, or member of the public to any University official.

5. Receiving the Allegation

Although written allegations are encouraged, they are not required. If an allegation is made verbally or if the informant opts not to make a written allegation, the University official initially receiving the report of suspected mistreatment or noncompliance should document it in writing, with as much detail as possible, to fully ensure that the issues are clear and to prevent misunderstandings. Details may be elicited from the informant by asking such questions as: "Did you see this yourself?" "When did this happen?" "Where did this happen?" "Did anyone else see the same thing?" etc. The University official receiving the allegation and/or the person making the allegation is encouraged to consult informally with the IACUC Chair, the Attending Veterinarian, and/or the IACUC Administrator to clarify what constitutes animal mistreatment, injurious noncompliance,

and non-injurious noncompliance. If, after such consultation, the informant and/or the VSU official is assured that animal mistreatment and/or noncompliance has not occurred, no further action is necessary. If the University official determines that the allegation is made in good faith and that animal mistreatment and/or injurious or non-injurious noncompliance is a possibility, he/she must immediately (within the same day) report the allegation to the Chair of the IACUC, the Attending Veterinarian, and/or the IACUC Administrator.

Allegations found substantive by the IACUC Chair, the Attending Veterinarian, and/or IACUC Administrator will be considered formal allegations and will be referred for preliminary review.

6. Immediate Action

Upon receipt of an allegation, depending on the seriousness of that allegation and the potential for harm to the animals, the IACUC Chair or the Attending Veterinarian may immediately and indefinitely suspend the animal activity, either in full or in part, pending preliminary review and/or investigation, to provide adequate veterinary care and/or husbandry until the welfare of the animals can be assured. If either the IACUC Chair or the Attending Veterinarian is the subject of the allegation, the IACUC Vice-Chair will substitute in determining any immediate action that may be needed. If both the IACUC Chair and the Attending Veterinarian are subjects of the allegation, the IACUC Vice-Chair and another IACUC member selected by the IACUC Vice-Chair will substitute in determining any immediate action that may need to be taken. Consideration of allegations will begin and be conducted in two separate and consecutive phases.

7. Preliminary Review

When an allegation of animal mistreatment and/or injurious or non-injurious noncompliance is received, the IACUC Chair and the Attending Veterinarian will together initiate a preliminary review. The purpose of the preliminary review is to ensure that frivolous or uninformed accusations are dismissed and that differentiation is made between willful animal mistreatment and/or injurious or non-injurious noncompliance and carelessness or incompetence. The time between receipt of an allegation and completion of the preliminary review will be as short as practicable but will not exceed fifteen (15) days. (At the request of the respondent, with documentation of extreme extenuating circumstances and with approval of the IACUC Chair, the period for the preliminary review may be extended to give the respondent reasonable time to respond to the allegation.)

If either the IACUC Chair or the Attending Veterinarian has a conflict of interest, he/she will be replaced by the Vice-Chair of the IACUC. If both the IACUC Chair and the Attending Veterinarian have a conflict of interest, the Vice-Chair of the IACUC and another IACUC member of the Vice-Chair's choosing will conduct the preliminary review. The two-member preliminary review team may consult with the informant, the respondent, potential witnesses, other IACUC members, animal care staff, and/or the IACUC Administrator during the preliminary review to the extent necessary to determine the merits of the allegation, always keeping in mind the need for confidentiality. The review team will immediately (within one business day) notify the respondent in writing of the allegation when preliminary review is initiated. If the respondent is not the investigator/instructor, his/her immediate supervisor will also be notified. The respondent will have five (5) working days to answer the charge.

If no evidence or grounds for a charge of animal mistreatment and/or injurious or non-

injurious noncompliance are found during the preliminary review, no further investigation is required. However, if evidence of carelessness or incompetence is noted, the review team will recommend corrective action. This may include a requirement for procedural changes and/or protocol modification before the animal activity can resume, referral of the investigator to printed and web resources, consultation and/or instruction from the IACUC Chair and/or Attending Veterinarian, requirement for additional hands-on animal care and use training, ongoing monitoring of procedures and/or conditions of the animals by the IACUC Chair and/or the Attending Veterinarian, and/or other appropriate interventions.

The preliminary review team will prepare a confidential written report to be forwarded to the IACUC Administrator and retained in the IACUC records for a minimum of seven (7) years. Copies of the report on the preliminary review will also be given to the respondent and their immediate supervisor as appropriate. The informant will also be notified of the outcome of the preliminary investigation. The case is then closed.

8. Investigation

If the preliminary review indicates sufficient evidence and justification for additional study of the matter, an investigation will be conducted. The purpose of the investigation is to determine if animal mistreatment and/or injurious or non-injurious noncompliance, as defined herein, has occurred and, if so, to recommend appropriate actions. The investigation will begin immediately and will be completed as soon as practicable, but will not exceed thirty (30) days. (At the request of the respondent, with documentation of extreme extenuating circumstances and with approval of the IACUC Chair, the period of time for the investigation may be extended to give the respondent reasonable time to respond.)

The IACUC Chair will promptly notify the respondent in writing, his/her administrators (the department head and the dean), and, as appropriate, the respondent's immediate supervisor of the investigation. At that time, all additional necessary administrative actions will be taken by the IACUC, on behalf of VSU, to ensure the welfare of the animals, the integrity of the research or instruction, the observance of legal requirements and responsibilities, and the continued protection of the rights and confidentiality of the informant and the respondent.

Consideration will be given to a review of all research and/or instruction conducted by the respondent in which animals are used. If the alleged animal mistreatment and/or noncompliance involve externally sponsored research or other activities, the IACUC Chair will first inform the Institutional Official (IO). If required by any regulatory or sponsoring agency, the IO will report the impending investigation to the agency according to its rules and regulations. (The regulatory and/or sponsoring agencies may reserve the right to initiate an investigation of their own.) If required, the IACUC and/or the IO may also consult with the University Attorney to develop and initiate any other procedures appropriate to the circumstances.

The formal investigation will be conducted by an IACUC Investigative Subcommittee comprised of not less than three (3) and not more than five (5) members appointed by the IACUC Chair, including the Attending Veterinarian, who will serve as Chair of the Investigative Subcommittee. Any individual who has personal involvement in the issue at hand may not participate on the subcommittee. If the Attending Veterinarian has a conflict of interest, the IACUC Chair will appoint an alternate Subcommittee Chair. The IACUC Investigative Subcommittee will seek all relevant materials and documents, including, but not limited to, relevant research data, instructional information,

proposals, publications, electronic and paper correspondence, and memoranda of telephone calls. If, during the investigation, the Subcommittee finds the roles of any of the respondent's co-workers or supervisors suspect, those individuals will be advised of the concerns and, if appropriate, the Subcommittee will initiate a separate preliminary review for each person involved according to the procedures outlined herein.

Whenever possible, interviews will be conducted by the IACUC Investigative Subcommittee with all individuals involved either in making the allegation or against whom the allegation is made, as well as with other individuals who might have information regarding key aspects of the allegation. A complete summary of each interview will be prepared by the Investigative Subcommittee and provided to the interviewed party for comment or revision before it is included in the confidential investigation file.

Throughout the investigation, the respondent will be advised of the progress of the investigation and will be allowed to respond and to provide additional information. At all times, diligent effort will be made to maintain the confidentiality of deliberations.

If the IACUC Investigative Subcommittee fails to confirm that animal mistreatment and/or injurious or non-injurious noncompliance has occurred, the case against the respondent is closed. As necessary, however, the IACUC Investigative Subcommittee may recommend to IACUC actions to be taken to protect the welfare of the animals. Such actions may include a requirement for procedural changes and/or protocol modification before the animal activity can continue or resume, referral of the investigator to printed and web resources, consultation and/or instruction from the IACUC Chair and/or Attending Veterinarian, requirement for additional animal care and use hands-on training, ongoing monitoring of procedures and/or conditions of the animals by the IACUC Chair and/or the Attending Veterinarian, and/or other appropriate interventions. A final case report will be filed and distributed as specified below.

If the IACUC Investigative Subcommittee finds that animal mistreatment and/or injurious or non-injurious noncompliance has occurred, the Subcommittee will recommend appropriate sanctions to the full IACUC for consideration, modification, and/or approval. Sanctions approved by the IACUC will be communicated in writing to the respondent. Suspension of a previously approved protocol, in whole or in part, will be reported by the Institutional Official and described in detail to the Office of Laboratory Animal Welfare, US Public Health Service, and/or to the US Department of Agriculture for research or instructional activity that involves species covered under the Animal Welfare Act.

9. Imposition of Sanctions

Sanctions to be imposed by the IACUC will be determined on a case-by-case basis. Factors to be considered include the seriousness of the offense, the investigator/instructor's record, and the level of cooperation exhibited during the preliminary review and investigation.

Sanctions which may be imposed by the IACUC include, but are not limited to, the following:

- a. Written warning (may or may not be entered into official personnel file)
- b. Written reprimand (may or may not be entered into official personnel file)
- c. Technical abilities subject to monitoring and approval of Attending Veterinarian

- d. Training requirements before animal use can continue
- e. Requirement to add research staff
- f. Suspension of any or all of the investigator's/instructor's protocols
- g. Termination of any or all of the investigator's/instructor's protocols
- h. Reassignment of animals to the IACUC for disposition
- i. Denied access to the animal facility
- j. Permanent suspension of animal use privileges at the institution
- k. Charge to the respondent's department for extra work done by veterinary or animal care staff or consultants
- l. Filing of a complaint under the institutional scientific misconduct policy for faculty or staff
- m. Filing of a complaint with the Provost and Vice President for Academic Affairs for an undergraduate student or the Associate Provost for Graduate Studies and Research for a graduate student

The IACUC may also make recommendations for sanctions that are outside its authority to the Provost and Vice President for Academic Affairs for implementation (for example, suspension or termination of employment). If the Provost and Vice President for Academic Affairs determines that more complete documentation is necessary before the recommended sanction can be imposed, the matter may be returned to the IACUC Investigative Subcommittee.

The case will be considered closed after all IACUC-approved sanctions and actions specified by the Provost & Vice President for Academic Affairs, the Student Honor Board, and/or the Associate Provost for Graduate Studies and Research have been implemented.

10. Case Closure and Final Reporting

Upon closure, the case file will be forwarded to the IACUC Administrator and retained in the IACUC records for a minimum of seven (7) years. A copy of the final report, indicating the results of the investigation and the sanctions imposed, will be sent to the respondent, the respondent's administrators, any regulatory or sponsoring agency previously alerted to the problem in accordance with the agency's rules and regulations, and, as appropriate, the respondent's supervisor. The informant will be advised of the Investigative Subcommittee's findings and the IACUC's actions.

11. Malicious Allegations

If the informant is a college employee and is determined during preliminary review or investigation to have made the allegation maliciously or with intentional dishonesty, the IACUC Investigative Subcommittee will refer the matter to the Provost & Vice President for Academic Affairs for disciplinary action. If the informant making a malicious or dishonest allegation is an undergraduate student, the matter will be referred to the Vice President for Student Affairs for resolution; for graduate students, the matter will be referred to the Dean of the Graduate School.

RECORD RETENTION

RECORD RETENTION (7-YEAR MANDATE) In accordance with 42 CFR 93.317, OSPRA shall maintain the "Official File" of the proceedings for seven (7) years after the completion of the case. This file must include all sequestered evidence, interview recordings/transcripts, inquiry and investigation reports, and documentation of the final determination by the Institutional Official (IO).

PROCEDURES FOR ADDRESSING ADMINISTRATIVE NON-COMPLIANCE:

Administrative infractions are most commonly identified by the Office of Sponsored Programs & Research Administration (OSPRA) and dealt with directly by the IACUC as part of its regular business. The IACUC Chair and the Attending Veterinarian each have the authority to suspend animal activities at any time until the investigator or instructor addresses the administrative noncompliance.

The IACUC's action in response to review and/or investigation of allegations of animal mistreatment cannot be grieved. This authority is derived from statutory requirements and is reinforced by the 2024 HHS Final Rule regarding institutional responsibility for research integrity.