

Checklist for ACUC Incident Investigation

1. ACUC Chair receives notification of issue/incident.
2. Chair initiates appropriate steps to validate the real or potential seriousness of the issue/allegation and documents for the record the time and date of notification, who notified the Chair, and who else was notified. Any action or 'incident' that causes an animal to unintentionally become ill, injured, or dead must be brought to the ACUC's attention. If a PI, co-investigator, or research technician performs an animal activity that is not described in the approved ASP associated with that animal(s), that activity should be reported to the ACUC. Also, when a failure to perform activities described in an ASP negatively impacts the animals, that failure to perform is also reportable to the ACUC.
3. If the issue/incident was initiated by the NIH ARAC Ombudsman, the guidance provided in the following ARAC Guideline should be followed: <http://oacu.od.nih.gov/ARAC/ombdsmn.pdf>
4. If appropriate, Chair appoints investigative agent/subcommittee from the ACUC membership to investigate the issue/allegation. The Office of Animal Care and Use (OACU) should be notified at this time; OACU may render an opinion at that time whether the issue/allegation appears to be an incident that should be reported to the Office of Laboratory Animal Welfare (OLAW).
5. If the issue/incident occurred in a shared or central facility, the guidance provided in the following ARAC Guideline should be followed: <http://oacu.od.nih.gov/ARAC/FinalACUCComm1102.pdf>
6. Investigative agent/subcommittee conducts investigation, formulates recommendations, and reports back to the ACUC.
7. At a convened meeting with a quorum present, the ACUC then deliberates the investigate report & associated recommendations, formulates any additional conditions and/or corrective actions, and either: (1) awaits further information from the subject of the investigation; (2) awaits further information from the investigative body; or (3) closes out the investigation and renders a final report.
8. Final reports (destined for reporting to OLAW) should be in memorandum format, be signed by the ACUC Chair, addressed to Michael M. Gottesman, M.D., Deputy Director for Intramural Research, BUT delivered to the Office of Animal Care and Use (OACU). Those reports should include (as attachments) relevant background/supporting documentation, including interim reports, subcommittee reports, as appropriate, if their

inclusion is integral to informing OLAW of key aspects of the background surrounding the incident and portraying the ACUC's conviction that the corrective actions taken should preclude such an incident from occurring in the future.

9. As appropriate, the OACU will prepare correspondence transmitting the IC ACUC report to OLAW.
10. Close-out reports of incidents not destined for reporting to OLAW should be forwarded to OACU, either in memorandum or email format.
11. ACUCs should heed the guidance provided in the policy memorandum from the NIH Institutional Official on August 22, 2001:
<http://oacu.od.nih.gov/ARAC/dirr82201.pdf>

Reference/Background:

OLAW Guidance on Reporting of Noncompliance

<http://grants.nih.gov/grants/olaw/references/pubartindex.htm#r1>

<http://grants.nih.gov/grants/olaw/references/pubartindex.htm#c>