**Non-Compliance Incident Report Form**

A Non- Compliance Incident is a failure to comply with a law, regulation, policy or standard operating procedure outlined in the Guide for the Care and Use of Laboratory Animals, OLAW/PHS Policies, the USDA Animal Welfare Act, Creighton University Animal Use Program Description, or Creighton University IACUC approved polices. Such incidents include (but are not limited to): failure to provide feed/water to an animal (other than when approved in an IACUC protocol), failure to provide post procedural analgesia, use of expired medications/drugs/anesthetics/analgesics, deviation from an approved IACUC animal use protocol, failure to follow veterinary directives.

When a Non-Compliance Incident occurs, personnel should:

* Promptly inform the PI for the protocol if he/she is not present.
* Promptly contact the Attending Veterinarian and/or ARF personnel for advice via email and/or phone.
* Retain any animal carcasses until released by the Attending Veterinarian. Do not freeze carcasses, label appropriately with Investigator name, date, number of animals and protocol number and place in refrigerator in ARF lab.
* Conduct an initial investigation of the nature and possible causes of the Incident, in consultation with the Attending Veterinarian, ARF staff, and/or IACUC if appropriate.
* Develop a plan of action to treat ill or injured animals (if applicable) and to prevent recurrence of the Incident. Again, this should be done in consultation with the Attending Veterinarian, ARF staff, and IACUC.
* **Submit an Non-compliance Incident Report to the ARF Manager, Attending Veterinarian or email to** [**iacuc@creighton.edu**](mailto:iacuc@creighton.edu)**, or fax to 402-280-1462**
  + **The Initial Report (page 2) must be submitted within 72 hours of the Incident**, even if the investigation and/or final Plan of Action are not yet complete. The Initial Report should include whatever is known about the incident and any preliminary plans to treat animals and to prevent recurrence. This may include temporarily halting or altering procedures until the Incident has been more fully investigated. **If the Initial Report contains complete information on the Incident and Plan of Action, no further reporting is required, but the form should be submitted and signed by the PI.**
  + The Follow-Up Report (page 3) must be submitted if the Initial Report was incomplete with regard to either the nature of the Incident or the Plan of Action. **The Follow-Up Report should be submitted as soon as the investigation is completed and the Plan of Action is developed, and should be signed by the PI.** The Report should include a complete review of the Incident, actions that were taken, and outcomes for the animal(s) involved.

Questions about these procedures should be addressed to the IACUC office.

Non-Compliance incident – Initial Report

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| **Leave Blank – for IACUC Use** | |
| **Incident Number** | **Date Received** |

**Important: The Initial Report form must be submitted within 72 hours of the Incident**

**Submit via: Hand deliver or email to ARF Manager/Attending Veterinarian or email to** [**iacuc@creighton.edu**](mailto:iacuc@creighton.edu)

Date & time of Incident:       Reported by:

Principal Investigator:       Protocol no.:

Location of Incident:

Personnel present during Incident:

Animals Affected:

Total no.:       Species:       ID number(s), if applicable:

Describe the Incident, providing any information available at this time regarding the cause of the Incident and its outcome:

Describe any Plan of Action for treatment and to prevent recurrence. A finalized Plan of Action may be submitted later if needed:

Signature of Person Submitting Report: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*This space reserved for use by the IACUC*

Reviewed by: ⬜ Attending Veterinarian ⬜ IACUC Chair

Findings and recommendations:

Disposal of animal carcasses approved: ⬜ Yes ⬜ No

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| cuBLACK1_5_8 | Institutional Animal Care and Use Committee  Animal Resource Facility |

Non- Compliance Incident – Follow-Up Report

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| **Leave Blank – for IACUC Use** | |
| **Incident Number** | **Date Received** |

**The Follow-Up Report form should be submitted if information and/or the Plan of Action in the Initial Report was incomplete.**

**Submit via: Hand deliver or email to ARF Manager/Attending Veterinarian or email to** [**iacuc@creighton.edu**](mailto:iacuc@creighton.edu)

Date of Incident:

Principal Investigator:       Protocol no.:

Describe the Incident, including any additional information available regarding the cause of the Incident, and describing any special treatment or care of animals and the outcome(s).

Describe the Plan of Action for any continuing treatment and to prevent recurrence of the Incident:

Signature of Principal Investigator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*This space reserved for use by the IACUC*

Reviewed by: ⬜ Attending Veterinarian ⬜ IACUC Chair

Findings and recommendations:

Disposal of animal carcasses approved: ⬜ Yes ⬜ No

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_