

**Colorado State University**  
**Institutional Animal Care and Use Committee**  
**(IACUC)**

***Policy on Reporting and Evaluation of Animal Welfare Concerns***

To help ensure that animals used in research, teaching, and testing activities receive humane care, use and treatment in accordance with applicable federal regulations and institutional policies, Colorado State University (CSU) IACUC must review and, if warranted, address any animal-related concerns raised by the public or institutional employees. This policy outlines the established procedures for reporting and review of concerns regarding the care and use of animals at CSU. The IACUC will review each concern in a timely manner and, when necessary, take appropriate action.

**Imperative for Reporting Concerns**

It is imperative that any CSU employee or member of the public with concerns regarding the welfare of animals used in CSU's research, teaching, or testing report those concerns to the appropriate institutional representatives. The IACUC is ethically bound to investigate all reports.

**Methods for Reporting**

To facilitate communication, CSU provides multiple methods of reporting concerns about animal care and use, or to report instances of suspected noncompliance with applicable regulations and policies. The names and phone numbers of individuals to whom concerns can be reported are posted in all animal housing and use facilities and are listed on the [IACUC Reporting Animal Welfare Concerns](#) webpage. The individuals who can be contacted include the IACUC Chair<sup>1</sup>, Attending Veterinarian<sup>2</sup> (AV), IACUC Staff, and the Vice President for Research, i.e. the Institutional Official (IO). In addition, individuals may utilize the Colorado State University System's [Compliance Reporting Hotline](#) (online reporting or phone reporting).

**Confidentiality and Prohibition against Retaliation**

The confidentiality of individuals reporting concerns will be honored to the extent possible. Additionally, the identity of anyone against whom allegations are directed will be protected to the extent possible while the matter is under investigation. University policy prohibits retaliation against employees because of good faith actions in the reporting of, or the participation in, an investigation pertaining to allegations of wrongdoing.

**Investigation of Reports**

When an animal welfare concern is reported, the party receiving the report will immediately inform the IACUC Chair, AV, and IACUC Staff. The IACUC Chair, AV, and IACUC Staff will coordinate to promptly begin an investigation, gathering information to determine the nature and extent of

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<sup>1</sup> IACUC Chair = includes the Chair or his delegate, including but not limited to the IACUC Associate Chair, Attending Veterinarian (AV), or Associate Attending Veterinarians, depending on availability.

<sup>2</sup> Attending Veterinarian (AV) = includes his delegates, Associate Attending Veterinarians.

the animal welfare concern, whether any animals are in immediate risk, and whether there is probable noncompliance with federal regulations or CSU policy.

Where applicable, the IACUC Chair will inform the Principal Investigator (PI) of the investigation, as well as the appropriate facility director<sup>3</sup>, and/or the PI's Department Chair, as needed. In cases of probable noncompliance, the procedures outlined in the [Policy on Instances of Noncompliance](#) will be followed. If the investigation reveals that animals were harmed or are at continued risk, or there was an instance of serious or continuing noncompliance with animal welfare regulations, the IACUC will receive a report of the investigation in order to review the matter and make a determination of findings.

### **Reporting of Findings**

Following IACUC review and determination of findings, the IACUC will forward its findings and recommendations regarding any corrective action to the IO for consultation. Once the final determination is reached and the matter is resolved, the IACUC or IACUC's designee will notify the PI and the person(s) making allegations of this determination, as possible depending on requests for anonymity. As outlined in the [Policy on Instances of Noncompliance](#), any serious or continuing noncompliance with regulations will be reported to the appropriate regulatory entities, potentially including USDA, OLAW, any federal agency funding the animal work, and AAALAC. Additional notifications may be made to the following personnel, including but not limited to the PI, the PI's Department Chair, College Dean, facility director, and the Office of Sponsored Programs, as deemed appropriate to the situation.

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### **Institutional Endorsement**

The "Policy on Reporting and Evaluation of Concerns Regarding Animal Care and Use" approved by the IACUC on November 15, 2022 for recommendation to the Institutional Official supports the research, teaching, and service mission of Colorado State University, and ensures that the welfare of animal subjects used therein will be protected. Therefore, as the Institutional Official, I declare the IACUC-recommended policy to be the policy of the Colorado State University Animal Care and Use Program.



11/15/2022

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Institutional Official

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Date

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<sup>3</sup> Facility Directors: Including but not limited to VTH, IDRC, ERL, EPAF, AES, etc.