



Guidelines for Correction of Violations and Deviations by the Institutional Animal Care and Use Committee (IACUC)

These guidelines for corrections are based on advice from the Association for the Assessment and Accreditation of Laboratory Animal Care (AAALAC) and the U.S. Public Health Service's Office of Laboratory Animal Welfare (OLAW). Principal Investigators (PI) are responsible for compliant animal care and use in their research, teaching and outreach programs. Self-monitoring and self-reporting are expected. Therefore, the correction process begins with the PI. The correction process generally entails a three-stage response by the IACUC to protocol deviations, dependent upon intent, severity, and repetition.

1. When the violation is unintentional and is not programmatic;
 - The Chair of the IACUC sends a letter to the PI notifying him/her of the violation and the expectations for corrective action.
 - The PI is required to respond to the Chair of the IACUC indicating what procedures that have been established to help prevent future violations.
 - The IACUC membership is informed and may provide advice on corrective action.

2. When the violation is more serious in nature or is repeated;
 - The matter is discussed at a convened meeting of the IACUC and a decision is made by the full committee regarding the appropriate action. The committee consults *The Guide for the Care and Use of Laboratory Animals (The Guide)*, and determines institutional responsibilities for reporting the violation to OLAW, the USDA, or any other agency or funding source.
 - The committee reports the violation to the Institutional Official (IO; the Vice Chancellor for Research) along with suggestions for additional actions to be taken by that office.
 - Retraining of the PI and staff is likely to be required, along with additional requirements established by the IO.

3. When a violation is repeated a third time, if it is intentional, or if it is programmatic;
 - The IO is contacted by the Chair of the IACUC.
 - The matter is discussed at a convened meeting of the IACUC and recommendations are submitted to the IO. The recommendations may include suspension of a protocol or suspension of all activities using animals.
 - OLAW, the USDA, or other agencies are notified as appropriate.

The goal for all corrections is to ensure appropriate and compliant animal care and use at the University of Illinois. The IACUC uses its collective judgment to achieve this goal and circumstances may warrant a response that differs from these guidelines.

Approved: November 3rd, 2009