



## 2. *Confidentiality*

The IACUC will ensure that confidentiality is maintained throughout an investigation. Under the Animal Welfare Act, any person(s), who submits the complaint, will *not* receive reprisals for submitting the complaint to the IACUC (AWRs section 9 CFR Part 2, Subpart C, Section 2.32(c)(4)). Details regarding the progress of the investigation, including the complaint and the complainant, are considered confidential. The IACUC acknowledges that false allegations can jeopardize the integrity of the institution, employees, and research.

## 3. *Reporting Timeline*

In general, the complaint should be submitted to the IACUC Chair but a person, who wishes to report an allegation of noncompliance, should notify any appropriate individual (see “Reporting Allegations of Noncompliance”) promptly. If the complaint rises to the level of possible noncompliance, the IACUC Chair will convene an emergency meeting of the UAA IACUC as soon as possible. The IACUC will work to ensure a timely response to an allegation. The researcher against whom the allegation is made will be contacted. If the researcher does not respond in a timely manner or does not acknowledge the IACUC’s concerns, the appointed subcommittee may contact the researcher’s superiors (e.g., Department Chair, Director, or Dean about the allegation and may request their assistance to resolve the matter).

### **Reporting Allegations of Noncompliance - Whistleblowing**

The general public, institutional employees or students should report allegations of noncompliance to any of the following individuals: the Attending Veterinarian, IACUC Chair, Institutional Official, or IACUC member (see the IACUC web site: <http://www.uaa.alaska.edu/research/ric/iacuc/index.cfm>). Allegations can be issued verbally or as a written document. Whistleblowers are not required to be identified for an allegation to be submitted; however, it is the responsibility of the person(s) receiving the complaint to fully document all communication regarding the allegation in order to prevent miscommunication. Documentation should include the time and date of the complaint, description of the complaint (including time and date of any observations that raise concern), and why the complaint is being made.

### **Investigation Procedures**

#### 1. Initial Evaluation and Action

- A. Once the IACUC is notified of alleged noncompliance, the IACUC will hold a meeting to determine one of the following actions:
  - a) further investigation with immediate action (e.g. suspension),
  - b) further investigation but no immediate action (e.g. inquiry),
  - c) or no action.



- C. PHS Policy requires that the Institutional Official report any serious or continuing noncompliance to NIH.
- D. The Institutional Official will inform the whistleblower about the outcome of the investigation.
  - a) If the allegation is found to be malicious, or have ill intent, the outcome will be shared with appropriate institutional authorities.