

**STANDARD OPERATING PROCEDURE
UTAH STATE UNIVERSITY
INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE**

IACUC SOP#: 2

Inception Date: October 26, 2006

Modification Date:

Title: Sanctions of Animal Users for Issues of Non-Compliance

- I. The purpose of Sanctions instigated by the IACUC against animal users
 - a. The use of sanctions is intended to promote compliance with federal and state laws and regulations, and with Utah State University (USU) policies.
 - b. Sanctions by the IACUC are not intended as punishment against any individual or group of animal users.
- II. Authority of the IACUC to impose sanctions
 - a. The IACUC only has authority for activities directly related to the care and use of live vertebrate animals by USU faculty, staff, and students
- III. Implementation of sanctions
 - a. Sanctions can be proposed by any member of the IACUC
 - b. Sanctions may be proposed following an investigation of alleged non-compliance
 - c. Sanctions may be proposed following semi-annual site inspections
 - d. Sanctions must be decided by a majority vote of a properly convened meeting of the IACUC
 - e. More than one sanction may be implemented against an individual at one time.
- IV. Possible sanctions
 - a. Sanctions that the IACUC may impose upon an investigator following issues of non-compliance include but are not limited to: (Sanctions are listed in approximate order of severity)
 - i. Mandatory correction of the non-compliance issue
 - ii. A letter to the individual stating the findings of non-compliance and seeking additional explanation
 - iii. A letter to the individual and his or her supervisor/department head detailing the findings of non-compliance
 - iv. Mandatory retraining of individuals in areas of non-compliance
 - v. Demonstration of competency in approved procedures to designated members of the IACUC
 - vi. Mandatory attendance at IACUC meetings
 - vii. Mandatory full committee review of any future protocols or amendments submitted by the individual
 - viii. Restriction of access to animal housing facilities and/or research animals.
 - ix. Refusal to approve or renew protocols submitted to the IACUC.
 - x. Restriction of funding

1. This requires the notification and approval of the Office of the Vice President for Research (VPR), which will give the order for restricting access by the investigator to research funds
 - xi. Suspension of IACUC protocol associated with the issue of non-compliance
 - xii. Suspension of all IACUC protocols for an individual PI found to be non-compliant
 1. Suspension of previously approved protocol requires notification of the Institutional Official, the Office of Laboratory Animal Welfare (OLAW) for work funded by the PHS, USDA/APHIS for work in species covered by the Animal Welfare Act, and any funding agency or organization.
- V. The IACUC has no authority to mandate any form of administrative sanctions against an individual
 - a. All sanctions will be conducted in accordance with University Policy #407
 - b. If appropriate, the IACUC can recommend to the VPR possible administrative sanctions.