In order to ensure that laboratory animals receive humane care, use, and/or treatment in accordance with the highest ethical standards, laws, regulations, and policies governing animal research, the IACUC must review and if warranted appropriately address any animal-related concerns raised. Each concern will be investigated in a timely and systematic manner. Prompt appropriate actions will be implemented when necessary, including notification of governmental oversight offices.

If allegations of animal mistreatment or protocol non-compliance are verified, the IACUC can apply sanctions. If, in the opinion of the IACUC, sanctions are not appropriate, they need not be applied. A clearly minor and unintentional misinterpretation of an IACUC policy that has created no problem for an animal is an example of where a verified allegation of protocol non-compliance might lead to an explanation, not a sanction.

Failure by research personnel to follow Federal and/or University regulations, guidelines, policies and/or procedures may require reporting to the appropriate institutional, local, state and/or Federal agencies. Violations may include, but not limited to:

- Serious or continuing non-compliance with the PHS Policy;
- Serious deviations from the Guide for the Care and Use of Laboratory Animals; and
- IACUC suspensions.

6.0.1 Principal Investigator Reporting
The Principal Investigator and protocol personnel must report any serious or continuing non-compliance with an IACUC protocol, policies, procedures, decisions, or deviations from the Guide. The report should be on university/departmental letterhead, addressed to the IACUC Chairperson, and emailed (preferred) to IACUC@austin.utexas.edu or mailed to the Office of Research Support and Compliance. The self-report of non-compliance should include the following information:

- relevant grant or contract number(s);
- full explanation of the situation, including what happened, when and where, the species of animal(s) involved, and the category of individuals involved (e.g., principal or co-principal investigator, technician, animal caretaker, student, veterinarian, etc.);
- description of actions taken by PI to address the situation; and description of short- or long-term corrective plans and implementation schedule(s).