Upon receipt of a concern, the IACUC Chair should convene a meeting of the Complaint Assessment Subcommittee (CAS) comprised of IACUC members designated by the Chair. The CAS can either meet in person, or via email discussion. After initial review of the complaint, the CAS will determine whether it requires further investigation and immediate action, further investigation but no immediate action, or no action. Once this decision has been made, the CAS should determine which individuals or other institutional or non-institutional offices may require notification at this time.

If immediate action appears warranted because animal or human welfare may be compromised, the IACUC should notify the IO and proceed accordingly. Veterinary medical intervention, suspension of a research activity, and/or notification of appropriate safety, occupational health, or other officials, are examples of actions that may be taken immediately to protect animal or human welfare. In accordance with the AWRs, if an activity is suspended, the IO shall report that action to APHIS and any federal agency funding that activity. If the PHS supports the activity in any way, the IACUC, through the IO, must promptly notify OLAW.

**6.2.1 Investigation**

Should the IACUC determine that further investigation is required, the CAS should conduct the investigation and report back to the IACUC. It is important to avoid actual or perceived conflicts of interest in this process.

The IACUC should charge the designated person or group with its requirements for information gathering and impose a completion date. The assigned completion date will depend on the IACUC’s determination of whether immediate remedial action may be required. The nature of the information required will vary depending on the circumstances, but often involves:

- Interviewing complainants (if known), any persons against whom allegations were directed, and pertinent program officials;
- Observing the animals and their environment; and
- Reviewing any pertinent records, (e.g., animal health records, protocol, and other documents).

The CAS should provide a report to the IACUC, which summarizes:

- The concern(s),
- The results of interview(s),
- The condition of animals and their environment, and
- The results of records and other document reviews.
The report should also contain:

- Any supporting documentation such as correspondence, reports, and animal records,
- Conclusions regarding the substance of the concerns vis-à-vis requirements of the AWRs, the PHS Policy, the Guide, and institutional policies and procedures, and
- Recommended actions, if appropriate

6.2.2 Outcomes and Final Actions

Upon receipt and evaluation of the report, the IACUC may request further information or find that:

- There was no evidence to support the concern or complaint,
- The concern or complaint was not sustained, but
  - related aspects of the animal care and use program requires further review or
  - other institutional programs may require review, or
- The concern or complaint was valid.