

REPORTING SUSPECTED DEFICIENCIES OR CONCERNS IN ANIMAL CARE OR TREATMENT

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Background

UC Berkeley is dedicated to the humane care and use of live vertebrate animals in research and teaching as well as protecting the rights of the individuals who report animal welfare concerns. Therefore, any concern, incident, or potential non-compliance related to animal welfare should be promptly reported to the ACUC, Office for Animal Care and Use (OACU), or other designated individuals. These matters are taken very seriously and carefully reviewed. If warranted, these concerns are investigated thoroughly. Measures are always taken to ensure the incident does not recur.

Reportable Deficiencies in Animal Care or Treatment

Individuals aware of incidents, concerns, or questions regarding the potentially inappropriate care or use of live vertebrate animals must have a means to report these concerns without fear of reprisal. UC Berkeley has an ethical obligation to investigate any reported concerns. Such deficiencies may include, but are not limited to:

- Inhumane treatment of animals that jeopardizes the health and well-being of those animals (e.g., misuse, abuse, neglect)
- Performance of research or teaching procedures not approved on the Principal Investigator (PI)'s Animal Use Protocol (AUP)
- Violations of federal and state regulations, including the Public Health Services (PHS) Policy and, the Animal Welfare Act & Regulations as well as the UC System and Berkeley Policies

Unanticipated adverse events (e.g., unexpected illness or death in the course of research or teaching) must be reported to the OLAC Veterinarians. For more about adverse events, see the [Policy on Reporting Adverse or Unexpected Events Affecting Animal Welfare](#).

Procedures for Reporting Deficiencies or Concerns

If possible, concerns regarding the experimental use of animals should be discussed with the Principal Investigator (PI), laboratory staff, animal health technicians, and/or

animal resource facility managers. If the issue cannot be discussed and resolved with these individuals or if concerns persist, individuals are encouraged to report suspected deficiencies or concerns via telephone, electronic communication, or in-person to one or more of the administrators below:

- ACUC Chair (acuc@berkeley.edu or 642-8855), or;
- OACU Director (acuc@berkeley.edu or 642-8855)

Telephone reports or in-person conversations must be followed by the submission of a written summary from the person to whom the incident was reported.

Protection from Reprisal

Individuals conveying the report will not be discriminated against (9 CFR § 2.32,c,4) and will remain anonymous (to the extent possible), unless they wish to identify themselves.

If you feel that your concerns have not been addressed by one of the above means, you may report concerns through the UC Whistleblower page, which has additional information, including the Whistleblower Policy, Whistleblower Protection Policy, a hotline number, frequently asked questions, and links to other UC whistleblower websites.

References

- Animal Plant Health Inspection Service (APHIS). United States Department of Agriculture (USDA). “*Transportation, Sale, and Handling of Certain Animals*”, *Code of Federal Regulations*”, Title 7, Chapter 54, Section 2.31.c.4. 2009 ed.
- Office of the President (2022). “*Whistleblower Policy (Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities)*”. Retrieved from <http://policy.ucop.edu/doc/1100171/Whistleblower>
- Office of the President (2022). “*Whistleblower Protection Policy*”. Retrieved from <http://policy.ucop.edu/doc/1100563/WhistleblowerProtection>