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| **INSTRUCTIONS**:   * Complete and submit this form to [iacuc@une.edu](mailto:iacuc@une.edu) as soon as possible, but no later than 48 hours after discovering any unexpected or adverse event involving animals used in research, teaching, or testing activities.   ***Note 1****: See* [*Appendix A*](#AppendixA) *for examples of situations not normally required to be reported to the IACUC.*  ***Note 2****: If there is an immediate animal welfare concern, contact Dr. Arthur Lage (the UNE attending veterinarian) at* [*artlage123@gmail.com*](mailto:artlage123@gmail.com) *or via phone/text message at (617) 699-2256.*   * E-mail [iacuc@une.edu](mailto:iacuc@une.edu) for any questions you may have with regard to this form. |

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| Version Date: | Enter date when form is first completed or date when form is last updated |
| IACUC #: | Enter text |
| Project Title: | Enter text |

| 1. **ADMINISTRATIVE INFORMATION** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Principal Investigator Name¥**:  Enter text | | | **You are**:  Faculty  Staff | **UNE Center or College**: | Enter text |
| **E-Mail**: | | Enter text | **UNE Department**: | Enter text |
| **Phone #**: | | Enter text |
| ¥ | *Per the federal regulations, only one individual can be named as the principal investigator of the project. UNE students are NOT permitted to serve in the role of principal investigator.* | | | | |

| 1. **EVENT INFORMATION** |
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| 1. **Specify the date and time of the event**:   Enter text |
| 1. **Specify the location of the event**:   Enter text |
| 1. **Type of Event**:*(select all that apply)*  |  |  | | --- | --- | | Unexpected morbidity or mortality | Adverse drug or treatment reaction | | Unanticipated pain or distress | Protocol deviation | | Animal escape | Personnel error | | Equipment or facility failure | Other *(specify below)* | | Dosing or procedural error |   Enter text |
| 1. **Specify the number of animals affected**:   Enter text |
| 1. **Specify the species/strain(s) affected**:   Enter text |
| 1. **Were the Attending Veterinarian and the IACUC Office notified within 48 hours of the event?**   No *(provide an explanation below)*  Yes *(specify the date and time below)*  Enter text |

| 1. **DESCRIPTION OF EVENT & OUTCOME FOR ANIMALS** |
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| 1. **Provide a clear, factual description of the event, including what occurred and who was involved**:   Enter text |
| 1. **Indicate the outcome of the event**: *(select all that apply)*   Animals were treated and fully recovered  Animals were treated but subsequently euthanized  Animals were euthanized without treatment  The event resulted in the unanticipated death of one or more animals  No clinical signs were observed, and no treatment was required  The event had no impact on the animals  Other *(specify below)*  Enter text |
| 1. **Were any animals euthanized as a result of the event?**   No  Yes *(describe the method used and the rationale below)*  Enter text |

| 1. **ROOT CAUSE ANALYSIS & CORRECTIVE ACTIONS** |
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| 1. **Identify and explain the root cause(s) or contributing factors that resulted in the event**:   ***Instructions****: A Root Cause Analysis is used to identify the underlying factors that contributed to the unexpected or adverse event* — *beyond the obvious or most apparent causes. When completing this section, consider the following areas:*   * *Human Factors: Were personnel properly trained? Was there fatigue, distraction, or misunderstanding?* * *Communication Issues: Was there a failure to communicate changes, procedures, or responsibilities?* * *Procedural or Protocol Factors: Were SOPs or the approved protocol unclear, incomplete, or not followed?* * *Equipment/Facility Factors: Did equipment fail or malfunction? Were environmental controls adequate?* * *Management/Systems Issues: Were workloads, resources, or oversight insufficient?*   Enter text |
| 1. **Describe all immediate actions taken in response to the event, including steps to manage the situation, minimize animal suffering, and notify appropriate personnel. Include any temporary or permanent corrective measures implemented.**   Enter text |
| 1. **Summarize any additional planned follow-up actions, including a timeline for completion**:   ***Note****:* *Describe any additional actions intended to prevent recurrence of the event. Examples include staff retraining, SOP or protocol revisions, change in study team responsibilities, ongoing monitoring or audits, equipment updates, process or system improvements. For each planned action, indicate the anticipated timeline for completion.*  Enter text |

**Appendix A**

**Situations that usually do not require reporting as unexpected/adverse events**:

***Note****: The following examples assume the actions and outcomes are consistent with the approved protocol and/or standard operating procedures. If there is any significant deviation, unexpected pain/distress, or animal death, it should be reported to the IACUC.*

* Death of animals that have reached the end of their natural life spans.
* Expected mortality rates in early life stages (e.g., larval or juvenile zebrafish).
* Deaths during shipping, acclimation, or field capture that fall within expected and approved mortality thresholds.
* Planned euthanasia performed according to an approved protocol or veterinary recommendation.
* Expected outcomes or clinical signs that are clearly described and anticipated in the approved protocol or project design.
* Animal death or illness from spontaneous disease when appropriate quarantine, preventive medical, surveillance, diagnostic, and therapeutic procedures were in place and followed.
* Minor, transient health changes that resolve quickly without intervention and do no cause pain or distress beyond what is approved.
* Normal animal behavior or life stage changes, such as weaning, estrus cycling, or seasonal shedding.
* Routine procedural complications that are well documented, anticipated, and managed as per standard operating procedures (e.g., minor bleeding during blood collection).
* Non-animal-related incidents such as minor administrative errors, paperwork issues, or delays in project timelines that do not impact animal welfare.
* Equipment failures or environmental control issues that are promptly fixed and did not adversely affect the animals (though these may require notification to animal care staff and/or facilities management).
* Observations of isolated, self-limiting behaviors (e.g., brief scratching, mild grooming changes) that do not indicate pain, distress, or health problems.
* Non-target species briefly captured and released unharmed during approved field work or wildlife studies.
* Minor handling injuries (e.g., superficial abrasions or scale loss in fish or amphibians) that occur infrequently and are addressed in the approved protocol.
* Temporary stress behaviors during routine capture, restraint, or sampling (e.g., elevated breathing, increased swimming, escape attempts), if recovery is prompt.
* Short-term environmental disturbances (e.g., brief turbidity, noise, or human presence) that are part of routine field procedures.