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## Research Compliance Newsletter, Spring 2024

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## Research Compliance Newsletter – Spring 2024

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# Research Compliance Newsletter

## Spring 2024

From the [Office of Research Compliance](#) (ORC),  
part of the [Office of the Vice President for Research and Dean of the Graduate School](#) (OVPRDGS)

### In this issue:

- Spotlight: Animal Care & IACUC
- Reminder: Revised Research Misconduct Policy
- New & Updated Compliance Resources
- Research Compliance in the News

## Spotlight: Animal Care & IACUC (Institutional Animal Care and Use Committee)

### The Importance of Animal Care & IACUC

Review and approval from the Institutional Animal Care and Use Committee (IACUC) is **required for all live vertebrate animal activities**, including research, research training, experimentation, biological testing, or related purposes, including teaching.

The IACUC reviews animal protocols to ensure that the animals being used for the study are appropriate and to ensure alternatives to animal research have been considered. In addition, the IACUC regularly inspects the animal facilities and will review any reports of animal concern. Please also note that some journals may request proof of



IACUC approval before publishing a paper.

In addition to IACUC approval, permits from the Maine Department of Inland Fisheries and Wildlife (MDIFW) and Maine Department of Marine Resources (MDMR) may be required for work with some animal species.

### **IACUC Policy**

As a reminder, all those involved in activities with live vertebrate animals should review the IACUC policy, [Policies and Procedures for the Humane Care and Use of Animals \(Word\)](#).

### **Are you aware of the OHSP (Occupational Health & Safety Program) requirements?**

There is an OHSP requirement for all animal users at UMaine. Anyone from UMaine (staff, student, or faculty) listed on an IACUC protocol must enroll in the [Occupational Health & Safety Program](#). This is a longstanding requirement from the Federal agencies, and in Fall 2024 we will start withholding protocol approval until the PI (and Co-PI) has obtained OHSP clearance.

Other personnel listed on the protocol cannot begin animal work until they have obtained OHSP clearance and will not be added to the protocol unless they have OHSP clearance.

### **Have your lab members read the most recent version of your approved IACUC protocol?**

Please make sure that all personnel listed on your protocol have read the most recent version of your protocol. This is to make sure that personnel are aware of the approved procedures on the protocol and are familiar with analgesic/monitoring, etc. required for the approved procedures. The protocol should be readily available for all lab personnel to access.

### **Are you keeping training records up to date in your lab?**

According to [Public Health Service Policy](#), "Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures." To ensure that personnel listed on an animal protocol are properly trained for the species and the procedures listed in the protocol, the IACUC requires that the principal investigator maintain records of training of their lab members. As the principal investigator, you are responsible for training, supervision, training documentation, and the work of staff listed on your protocol(s). The IACUC may ask to review the training records during an inspection. There are no specific requirements on how you maintain these records (some examples are: log sheets, checklist, electronic files, paper files, etc.).

### **Reminder: New Welfare Standards for Birds**

The United States Department of Agriculture's (USDA) Animal and Plant Health Inspection Service (APHIS) is reminding the public of the final rule establishing new regulations and standards governing the humane handling, care, treatment, and transportation of birds covered by the Animal Welfare Act (AWA). The final rule applies to captive birds not bred for use in research.



For more information, please see the [AWA standards for birds](#).

## Questions on Animal Care or IACUC?

Any questions regarding animal care or IACUC can be directed to Paula Portalatin, Assistant Director of Research Compliance, at [paula.portalatin@maine.edu](mailto:paula.portalatin@maine.edu), 207.581.2657.

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## Reminder: Recently Revised Research Misconduct Policy



A newly revised version of UMaine's [Policy and Procedures for Responding to Allegations of Research Misconduct \(Word\)](#) (formerly titled *Policy and Procedures on Alleged Misconduct in Research and Other Scholarly Activities*) was announced in December 2023. The policy and additional resources are available on the [Research Misconduct section of the ORC website](#).

**All members of the research community are encouraged to review this important Policy and the resources available**, and to contact UMaine's Director of Research Compliance, Amanda Ashe ([amanda.l.ashe@maine.edu](mailto:amanda.l.ashe@maine.edu)), with any questions you may have regarding these changes.

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## New & Updated Compliance Resources

The [ORC website](#) is frequently updated with resources and information to help make gaining and maintaining compliance as easy as possible. We invite you to explore some of the new and recently updated resources that have been added to our site.

### Animal Care

- [Policies and Procedures for the Humane Care and Use of Animals \(Word\)](#) (updated)

### Human Subjects

- [IRB Deadlines for Submission of Applications for Approval](#) (updated)
  - [Sample Assent Anonymous Survey for 13-17 Years Old \(Word\)](#)
  - [Sample Assent Confidential Survey for 13-17 Years Old \(Word\)](#)
  - [Sample Assent Focus Group for 13-17 Years Old \(Word\)](#)
  - [Sample Assent Interview 13-17 Years Old \(Word\)](#)
  - [Sample Consent Anonymous Survey 18+ Years Old \(Word\)](#)
  - [Sample Consent Confidential Survey 18+ Years Old \(Word\)](#)
  - [Sample Consent Focus Group 18+ Years Old \(Word\)](#)
  - [Sample Consent Interview 18+ Years Old \(Word\)](#)
  - [Sample Parental Consent Anonymous Survey \(Word\)](#)
  - [Sample Parental Consent Confidential Survey \(Word\)](#)
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- [Sample Parental Consent Focus Group \(Word\)](#)
- [Sample Parental Consent Interview \(Word\)](#)

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## Research Compliance in the News

- [Who Fakes Cancer Research? Apparently, Lots of People.](#) – Vox, March 1, 2024
- [A Valid U.S. Visa Didn't Stop these Chinese Graduate Students From Being Deported](#) – Science, March 1, 2024
- [Wanted: Scientific Errors. Cash Reward.](#) – The Chronicle of Higher Education\*\*, Feb. 21, 2024
- [New Biosecurity Group Aims to Prevent Biotech Disasters](#) – Science, Feb. 15, 2024
- [A Columbia Surgeon's Study Was Pulled. He Kept Publishing Flawed Data.](#) – New York Times\*, Feb. 15, 2024
- [Academics in U.S., U.K. and Australia Collaborated on Drone Research with Iranian University Close to Regime](#) – The Guardian, Feb. 14, 2024
- [China Conducts First Nationwide Review of Retractions and Research Misconduct](#) – Nature, Feb. 12, 2024
- [Fake Research Papers Flagged by Analyzing Authorship Trends](#) – Nature, Feb. 7, 2024
- [Two Cases Aim to Cut Off China and Iran From U.S. Technology](#) – New York Times\*, Feb. 7, 2024
- [Top Cancer Center Seeks to Retract or Correct Dozens of Studies](#) – New York Times\*, Jan. 22, 2024
- [EPA Scraps Plan to End Mammal Testing by 2035](#) – Science, Jan. 12, 2024
- [The Next Front in the U.S.-China Battle Over Chips](#) – New York Times\*, Jan. 10, 2024
- [Wife of Investor Who Pushed for Harvard President's Exit Is Accused of Plagiarism](#) – New York Times\*, Jan. 5, 2024
- [Harvard President Resigns After Mounting Plagiarism Accusations](#) – New York Times\*, Jan. 2, 2024
- [Will FDA Crackdown on Lab Tests Protect Patients—or Limit Access To Care?](#) – Science, Dec. 12, 2023

\* As of Fall 2023: A free subscription to The New York Times is available to all UMaine students, staff, and faculty at Orono and Machias. See [Fogler Library: New York Times Access Pass](#) for instructions.

\*\* Maine.edu login is required to view articles from the Chronicle of Higher Education via Fogler Library.

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**ORC Website**

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## Research Compliance Reference Sheet (PDF)

### International Research

### Joining or Leaving UMaine?

### Contact ORC

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