



DEPARTMENT OF HEALTH & HUMAN SERVICES

PUBLIC HEALTH SERVICE
NATIONAL INSTITUTES OF HEALTH

FOR US POSTAL SERVICE DELIVERY:

Office of Laboratory Animal Welfare
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, Maryland 20892-6910
Home Page: <http://grants.nih.gov/grants/olaw/olaw.htm>

FOR EXPRESS MAIL:

Office of Laboratory Animal Welfare
6700B Rockledge Drive, Suite 2500
Bethesda, Maryland 20817
Telephone: (301) 496-7163
Facsimile: (301) 480-3387

March 24, 2020

Re: Animal Welfare Assurance
A3523-01 [OLAW Case 2L]

Kenneth S. Polonsky, M.D.
Dean Division of Biological Sciences
and the Pritzker School of Medicine
Executive Vice President for Medical Affairs
University of Chicago
5841 S. Maryland Ave., MC 1000
Chicago, IL 60637

Dear Dr. Polonsky,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your March 9, 2020 letter reporting a noncompliance with the PHS Policy on the Humane Care and Use of Laboratory Animals at the University of Chicago. Your letter supplements the information provided in the initial email report on January 14, 2020. According to the information provided it is understood that on December 24, 2019 two bags containing live neonatal mouse pups were found in the facility morgue. The bags were labeled with the investigator's name and the animals had not been subject to a secondary method of euthanasia. The animals were then properly euthanized by animal care staff. The related protocol was supported by PHS funds.

The investigator and all individuals in the laboratory were required to undergo re-training and pass a quiz on Rodent Euthanasia. They also were required to attend in-person training on rodent euthanasia with a veterinarian.

OLAW appreciates the consideration of this matter by the University of Chicago, which was consistent with the philosophy of institutional self-regulation. Based on the information provided, OLAW is satisfied that appropriate actions have been taken to investigate the incident, correct the non-compliance, and prevent recurrence. OLAW concurs that the incident warranted reporting. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely

(b) (6)

Brent C. Morse, DVM
Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Chair



AT THE FOREFRONT
UChicago
**Medicine &
Biological
Sciences**

A3523-2L

Kenneth S. Polonsky, MD
*Richard T. Crane Distinguished Service Professor
Dean of the Division of the Biological Sciences
and the Pritzker School of Medicine
Executive Vice President for Medical Affairs*

March 9, 2020

Brent Morse, D.V.M.
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, MD 20892

Re: Report of Serious Non-Compliance; Assurance Number D16-00322 (A-3523-01)

Dear Dr. Morse:

I write to provide the final report of an incident the University of Chicago IACUC determined represented a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals*. A preliminary report was provided by email on January 14th from (b) (6)

On December 24th two plastic bags containing live neonatal pups labeled with the investigator's name was discovered in a facility morgue. A secondary method of euthanasia had not been performed. The animal care technicians proceeded to appropriately euthanize the pups.

Upon being notified, the investigator promptly discussed the incident with all laboratory staff and suggested lab members update their euthanasia training. However, to ensure full understanding of the need to humanely and appropriately euthanize the animals used in research, the IACUC required the investigator and staff to re-review the *Rodent Euthanasia* training module and complete the associated quiz available at the AALAS Learning Library. In addition, the investigator and staff were required to attend an in-person training session on rodent euthanasia with a veterinarian.

All the requested training requirements were completed by the investigator and staff. As a result, the IACUC was satisfied with the response and considers this matter resolved. The protocol under which these animals were assigned is supported by NIH Grant #2R01DK063158-16A-1.

We trust that the corrective measures taken for this non-compliance incident by the IACUC are appropriate. If you require further information, please feel free to contact Dr. Catherine Reardon-Alulis, IACUC Chair, at (b) (6) or Dr. George Langan, Attending Veterinarian, at (b) (6)

Sincerely,

(b) (6)
Kenneth S. Polonsky, MD

cc: Catherine Reardon-Alulis
George Langan
IACUC Office

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, March 16, 2020 7:28 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Final Report of Serious Deviation: University of Chicago Assurance # D16-00322 (A3523-01)

Thank you for this report. We will send a response soon.

Axel Wolff, M.S., D.V.M.
Deputy Director, OLAW

From: (b) (6)
Sent: Friday, March 13, 2020 1:09 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Langan, George [BSD] - ARC (glangan@bsd.uchicago.edu) <glangan@bsd.uchicago.edu>; Catherine Reardon Reardon-Alulis Ph.D. <reardon@uchicago.edu>
Subject: Final Report of Serious Deviation: University of Chicago Assurance # D16-00322 (A3523-01)

Dear Dr. Wolff and Dr. Morse,

Attached please find the final report from our Institutional Official of an incident that the University of Chicago IACUC had determined to represent a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals*. A preliminary report had previously been provided by email (below). Thank you.

Best regards,

(b) (6)

(b) (6)

From: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Sent: Tuesday, January 14, 2020 3:06 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Catherine Reardon Reardon-Alulis Ph.D. <reardon@uchicago.edu>; Langan, George [BSD] - ARC (glangan@bsd.uchicago.edu) <glangan@bsd.uchicago.edu>
Subject: RE: Preliminary Report of Serious Deviation: University of Chicago Assurance # D16-00322 (A3523-01)

Thank you for this preliminary report (b) (6) We'll open a compliance case file and await further information.

best regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

Please note that this message and any of its attachments are intended for the named recipient(s) only and may contain confidential, protected or privileged information that should not be distributed to unauthorized individuals. If you have received this message in error, please contact the sender.

From: (b) (6)
Sent: Tuesday, January 14, 2020 3:32 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Catherine Reardon Reardon-Alulis Ph.D. <reardon@uchicago.edu>; Langan, George [BSD] - ARC
<glangan@bsd.uchicago.edu> <glangan@bsd.uchicago.edu>
Subject: Preliminary Report of Serious Deviation: University of Chicago Assurance # D16-00322 (A3523-01)

Dear OLAW,

This email is to provide a preliminary report on a recent incident that the University of Chicago IACUC has determined to represent a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals*. The incident involved the incomplete euthanasia of neonatal mouse pups. A final written report will be submitted upon resolution of the incident. If you need further information please feel free to call me at (b) (6) or email at (b) (6) Thank you.

Best regards,
(b) (6)

(b) (6)

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, January 14, 2020 4:06 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Catherine Reardon Reardon-Alulis Ph.D.; Langan, George [BSD] - ARC
 (glangan@bsd.uchicago.edu)
Subject: RE: Preliminary Report of Serious Deviation: University of Chicago Assurance # D16-00322 (A3523-01)

Thank you for this preliminary report (b) (6) We'll open a compliance case file and await further information.

Best regards, Brent Morse

Brent C. Morse, DVM, DACLAM
 Director
 Division of Compliance Oversight
 Office of Laboratory Animal Welfare
 National Institutes of Health

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Best regards,
 (b) (6)

(b) (6)

