



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) 402-7065

May 15, 2019

Re: Animal Welfare Assurance
A3523-01 [OLAW Case 21]

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 May 8, 2019 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* (*Guide*) at the University of Chicago, following up on an initial telephone report on April 29, 2019. According to the information provided, OLAW understands that the heating, ventilation, and air conditioning (HVAC) system failed which caused animal room temperatures to either drop or rise to levels outside of the *Guide* parameters. Impacted species included nonhuman primates, pigs, rabbits, and rodents. The failure occurred during the winter when external temperatures were extremely low.

The immediate action taken consisted of having animal care staff staying around the clock to provide monitoring, providing heat with space heaters, performing health checks, providing nesting material for the rodents, and moving rabbit cages to a room that maintained appropriate temperature. No deaths occurred and none of the animals showed signs of clinical illness. Maintenance staff repaired the HVAC system and will work with the animal care staff to identify the parts of the system supporting the animal areas to improve the emergency response.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and reduce the likelihood of a recurrence of this problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals and commends your dedicated staff whose actions appear to have averted a more serious outcome. Thank you for keeping OLAW apprised on this matter.

Sincerely,

(b) (6)

Axel Wolff, M.S., D.V.M.
Deputy Director
Office of Laboratory Animal Welfare

cc: IACUC Chair
Robert Gibbens, D.V.M., USDA-APHIS-AC



AT THE FOREFRONT

UChicago Medicine & Biological Sciences

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

May 8, 2019

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 from (b) (6) was provided by phone on April 29th.

During January 25th-31st, the Chicagoland area experienced several days of extreme temperatures resulting in outside temperatures as low as -23° for several days. During this temperature extreme, a series of unrelated HVAC malfunctions occurred and resulted in various rooms within the animal research facilities having temperatures outside of *The Guide* recommended ranges. Several rodent rooms experienced temperature lows between 55.25 - 67.89° and highs between 80.24 - 81.68°. In the case of large animals, one room each of the following species were out of temperature ranges: NHP (low of 59.2°F), pig (low of 60.93°F), and rabbits (low of 72.91°F and high of 81.25°F).

Throughout this time, Animal Resources Center (ARC) staff stayed on site and monitored animals in shifts to provide thermal support in the form of space heaters and to perform health checks. Nesting material present in rodent cages also provided thermoregulatory support. Rabbit cages were relocated to another room that maintained temperature within *The Guide* ranges. There were no animal losses nor did the animals show any signs of clinical illness during this period of time.

Physical Plant identified and resolved the HVAC malfunctions by January 31st, which resolved the temperature control issues, with additional maintenance performed February 6th and 25th. Furthermore, ARC is working with Physical Plant to identify HVAC areas critical for animal facilities in order to prevent reoccurrence and to enhance the emergency response in the future.

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 Dr. Catherine Reardon-Alulis, IACUC Chair, at (b) (6) or Dr. George Langan, Attending Veterinarian, at (b) (6)

Sincerely,
(b) (6)

Kenneth S. Polonsky, M.D.

Cc: Catherine Reardon-Alulis
George Langan
IACUC Office

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, May 15, 2019 10:10 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Langan, George [BSD] - ARC (glangan@bsd.uchicago.edu); Catherine Reardon Reardon-Alulis Ph.D.
Subject: RE: Final Report of Serious Deviation: Assurance #D16-00322 (A3523-01)

Thank you for providing this final report. We will send an official response soon.

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: Wednesday, May 15, 2019 9:55 AM
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: Assurance #D16-00322 (A3523-01)

Dear 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 been provided by phone on April 29th. Thank you.

Best regards,

(b) (6)

(b) (6)



Initial Report of Noncompliance

By: *aw*

Date:

*4/29/19*Time: *7:30*

Name of Person reporting:

(b) (6)

Telephone #:

(b) (6)

Fax #:

Email:

Name of Institution:

U of Chicago

Assurance number:

A3523

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

*HVAC malfunction, affected animals for 1 week
 Temps dropped to 67°, primate room 59°*

Species involved: *Rodents, large animals*Personnel involved: *possum*

Dates and times:

Animal deaths:

Projected plan and schedule for correction/prevention (if known): _____

*Fix HVAC, staff monitoring animals + providing
 supplemental heat, work on physical plant for*

Projected submission to OLAW of final report from Institutional Official: *better response*

OFFICE USE ONLY

Case # _____