



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

January 28, 2020

Re: Animal Welfare Assurance  
A3085-01 [OLAW Case 1N]

Dr. Theodore F. Taraschi  
Senior Associate Provost for  
Research Conduct and Compliance  
Thomas Jefferson University  
1020 Locust Street, (b) (4)  
Philadelphia, PA 19107

Dear Dr. Taraschi,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 22, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the Thomas Jefferson University following up on an initial November 5, 2019 notification by telephone.

According to the information provided, this Office understands that the Thomas Jefferson University Animal Care and Use Committee (ACUC) determined that instances of noncompliance occurred with respect to: a cage of 5 mice found dead by animal care staff on September 10, 2019. It was determined that the O-ring holding the sipper tube in place on the bottle-top failed, allowing the sipper tube to be pushed upwards into the bottle preventing access to water. It is noted that the project was privately funded. The final report states that animal care staff was previously unaware of this defect. Corrective actions included:

- 1) Animal care staff being trained to identify this malfunction.
- 2) Water bottle inventory was inspected, and new bottle tops were purchased to replace faulty tops.

Based on its assessment of this explanation, OLAW understands that the Thomas Jefferson University has implemented appropriate measures to correct and prevent recurrences of these problems and is now compliant with provisions of the PHS Policy. We appreciate being informed of these matters and find no cause for further action by this Office.

Sincerely,

(b) (6)

Jacquelyn T. Tubbs, DVM  
Veterinary Medical Officer  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare

cc: IACUC Contact



**Jefferson**

Philadelphia University +  
Thomas Jefferson University

1020 Locust Street  
Alumni Hall, Suite M-41F  
Philadelphia, PA 19107  
T 215-955-3900  
F 215-955-4050

**January 22, 2020**

Brent Morse, DVM, DACLAM  
Director, Division of Compliance Oversight  
Office of Laboratory Animal Welfare (OLAW)  
National Institutes of Health  
6700B Rockledge Drive, Suite 2500, MSC 6910  
Bethesda, MD 20892

Dear Dr. Morse,

Thomas Jefferson University, in accordance with Animal Welfare Assurance #D16-00051 (A3085-01) and PHS Policy IV.F.3., provides this incident report regarding Animal Use Protocol #02142. This incident was first reported to OLAW via a phone call made on November 5, 2019 by (b) (6)

The animals involved in this incident were mice. On September 10, 2019, during regular room maintenance, animal care staff found one cage containing five deceased animals. During the IACUC investigation, it was determined that the O-ring holding the sipper tube in place on the bottle-top failed, allowing the sipper tube to be pushed upwards into the bottle preventing access to water. This defect was previously unknown to the animal care staff. The following corrective measures were implemented to prevent future occurrences:

- 1) Animal care staff were trained to identify this malfunction.
- 2) Water bottle inventory was inspected and new bottle tops were purchased to replace faulty tops.

This project is privately funded. As a result, this incident was not reported to the funding source.

Thomas Jefferson University is committed to protecting the welfare of animals used in research and appreciates the guidance and assistance provided by OLAW in this regard. Should you have any questions regarding this report, please contact (b) (6)

(b) (6) Thank you for your time and consideration.

Sincerely,

(b) (6)

Theodore F. Taraschi, Ph.D.  
Senior Associate Provost for Research Conduct and Compliance  
Institutional Official  
Thomas Jefferson University

## Wolff, Axel (NIH/OD) [E]

**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Friday, January 24, 2020 7:23 AM  
**To:** (b) (6)  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: [A3085-01] TJU Final Report - 190910, 190912

Thank you for these reports, (b) (6) We will send responses soon.

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

**From:** (b) (6)  
**Sent:** Thursday, January 23, 2020 9:04 AM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** Theodore Taraschi <Theodore.Taraschi@jefferson.edu>; (b) (6)  
(b) (6)  
**Subject:** [A3085-01] TJU Final Report - 190910, 190912

Dear Dr. Morse and the Office of Laboratory Animal Welfare,

On behalf of Dr. Theodore Taraschi, Institutional Official, I am writing to provide two final reports for incidents at Thomas Jefferson University. Please see attached. The preliminary reports were made on November 5 and November 8, 2019 respectively. Please don't hesitate to contact us if you have any questions, concerns, or comments.

Sincerely,  
(b) (6)



Report Compliance Concerns Anonymously: 1-833-ONE-CODE (663-2633) or [Jefferson.MyComplianceReport.com](https://jefferson.mycompliancereport.com)

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**Tubbs, Jai (NIH/OD) [E]**

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**From:** Tubbs, Jai (NIH/OD) [E]  
**Sent:** Monday, January 13, 2020 8:50 AM  
**To:** (b) (6)  
**Subject:** Follow up on preliminary reports for noncompliance

Good morning (b) (6)

I am following up on several open cases from November and one case reported in July 2019. Please provide an interim or final report or status update on the cases described below.

Preliminary report received 07/08/2019 and interim report received 11/25/2019.  
Case involved Transverse Aortic Constriction surgery using the rat as an animal model that was not protocol approved.

Preliminary reports received 11/05/2019  
Incident involved animal deaths due to dehydration due to defective water bottle/sipper tube.

Preliminary report received 11/08/2019  
Incident involved animal found dead in a cage due to lack of access to food and water.

Jacquelyn Tubbs, DVM, DACLAM  
Veterinary Medical Officer  
Office of Laboratory Animal Welfare  
National Institutes of Health

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## Initial Report of Noncompliance

By: Jai Tubbs

Date: 11/05/2019

Time: ~~12:08 PM~~ 12:33 PM

Name of Person reporting: (b) (6)

Telephone #: (b) (6)

Fax #:

Email: (b) (6)

Name of Institution: Thomas Jefferson Univ

Assurance number: A16-00051 (A3085-01)

Did incident involve PHS funded activity? Still investigation

(if yes, do they report to funding agency?)

Funding component: \_\_\_\_\_

Was funding component contacted (if necessary): \_\_\_\_\_

What happened?

Death of multiple animals due to dehydration. Because of defective water bottle, sipper tube was recessed. Institution has taken preventative measures. Water was in the bottle.

Species involved: 5 mice

Personnel involved: ~~not~~ Husbandry staff possibly (IACUC approaching as adverse event)

Dates and times: September

Animal deaths: 5

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

Plan to purchase o rings for water bottle for future prevention

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # \_\_\_\_\_