



DEPARTMENT OF HEALTH & HUMAN SERVICES

PUBLIC HEALTH SERVICE
NATIONAL INSTITUTES OF HEALTH

FOR US POSTAL SERVICE DELIVERY:

Office of Laboratory Animal Welfare
Rockledge One, Suite 360
6705 Rockledge Drive – MSC 7982
Bethesda, Maryland 20892-7982
Home Page: <http://grants.nih.gov/grants/olaw/olaw.htm>

FOR EXPRESS MAIL:

Office of Laboratory Animal Welfare
Rockledge One, Suite 360
6705 Rockledge Drive
Bethesda, Maryland 20817
Telephone: (301) 496-7163
Facsimile: (301) 402-7065

November 27, 2017

Re: Animal Welfare Assurance
#A3124-01 (OLAW Case 1J)

Dr. Wesley Byerly
Vice President for Research Integrity and
Regulatory Affairs
University of Connecticut
263 Farmington Avenue, MC 1524
Storrs, CT 06030

Dear Dr. Byerly,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your May 2, 2017 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Connecticut- Storrs, following up on an initial telephone report on May 2, 2017. According to the information provided, OLAW understands that short-term terminal procedures on rats and mice were conducted in an area not approved by the Institutional Animal Care and Use Committee (IACUC). The IACUC inspection of the space found minor housekeeping problems.

The corrective action consisted of the IACUC adding the area to the list of approved animal spaces and the protocol was amended to include it. The Principal Investigator was counseled on ensuring that rooms are approved prior to use.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and prevent recurrence of this problem. OLAW concurs with the actions taken by the IACUC to comply with the PHS Policy.

Sincerely,

Signature

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

cc: IACUC Chair

November 20, 2017

Axel Wolff, DVM
Deputy Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
Rockledge 1, Suite 360
6705 Rockledge Drive
Bethesda, MD 20892

RE: Animal Welfare Assurance #A3124-01

Dear Dr. Wolff:

As first reported to you by telephone on May 2, 2017, by our IACUC Chair Dr. Holly Fitch, an incidence of non-compliance occurred at the University of Connecticut -Storrs, under an approved IACUC protocol.

During the semiannual inspection the PI's laboratory personnel guided our inspection team to a room in the PI's suite that was not listed on our approved roster of animal use spaces. This room was being used for short-term terminal procedures, and was contiguous with other approved spaces within the suite. The IACUC conducted the inspection and found minor infractions that required correction (mainly housekeeping issues). The failure to list the room prospectively, as well as the minor findings, were documented in our semiannual report.

The room was subsequently added to our approved list of animal use spaces and a protocol modification was submitted and approved documenting the same. The IACUC Chair followed-up on the incident with a letter of correction to the PI, documenting the infraction and the subsequent correction.

The following corrective action was immediately taken by the PI: (1) submission of a protocol modification to include the new location.

This will be our final report on this incident. Should you have any questions regarding this report, please contact me or Dr. Holly Fitch, IACUC Chair (roslyn.h.fitch@uconn.edu;

Phone Number [REDACTED].

The University of Connecticut is committed to protecting the welfare of animals used in research and appreciates the guidance and assistance provided by OLAW in this regard.

Thank you for your assistance in this matter.

Sincerely,

Wesley G. Byerly, Pharm.D.

Signature

Associate Vice President for Research
Integrity and Regulatory
Affairs/Institutional Official

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, November 21, 2017 2:02 PM
To: [REDACTED] OLAW Division of Compliance Oversight (NIH/OD)
Cc: Byerly, Wesley (byerly@uchc.edu); Fitch, Roslyn
Subject: RE: Noncompliance Report A3124-01

Thank you for this final report [REDACTED]. We will send an official response soon. We do not require a hard copy. Thank you for asking.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Acting 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: [REDACTED] [mailto:[REDACTED]@uconn.edu]
Sent: Monday, November 20, 2017 4:11 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Byerly, Wesley (byerly@uchc.edu) <byerly@uchc.edu>; Fitch, Roslyn <roslyn.h.fitch@uconn.edu>
Subject: Noncompliance Report A3124-01
Importance: High

Dear Dr. Wolff,

I have attached a written report from the UConn/Storrs Institutional Official (IO) documenting an incident first reported to you by phone (May 2, 2017) by our IACUC Chair, Dr. Holly Fitch. If your office requires a hard copy of this letter in addition to the attached scanned pdf version, please let me know.

If you have additional questions, please don't hesitate to contact us.

Sincerely,

[REDACTED]
IACUC Member

IACUC Executive Program Director
Office of the Vice President for Research
Research Compliance Services
438 WHITNEY ROAD EXTENSION, U-1246
STORRS, CT 06269-1246
PHONE: [REDACTED]
research.uconn.edu

From: Wolff, Axel (NIH/OD) [E]
Sent: Tuesday, November 21, 2017 6:38 AM
To: 'Fitch, Roslyn'
Subject: RE: OLAW report

That's great. Thank you.

From: Fitch, Roslyn [mailto:roslyn.h.fitch@uconn.edu]
Sent: Monday, November 20, 2017 3:33 PM
To: Wolff, Axel (NIH/OD) [E] <wolffa@od.nih.gov>
Subject: Re: OLAW report

Dr. Wolff,

We can put together a brief final report detailing the incident and corrective actions, I will however leave out the grant info since this is not relevant. We should be able to have our IO sign off and get it to you within a few days!

Best, Dr. Fitch

On Nov 20, 2017, at 2:12 PM, Wolff, Axel (NIH/OD) [E] <Wolffa@OD.NIH.GOV> wrote:

Hi Dr. Fitch,

The report I have was given to me by [Secondary Individual] and indicated use of an area not approved by the IACUC. As such, a final report does need to be submitted. However, if this incident was not supported by NIH or NSF, then it is up to your IACUC as to whether you wish to report (you are not obligated to do so). If you do not wish to send a final, let me know and I will delete the preliminary report.

Axel Wolff

From: Fitch, Roslyn [mailto:roslyn.h.fitch@uconn.edu]
Sent: Monday, November 20, 2017 1:43 PM
To: Wolff, Axel (NIH/OD) [E] <wolffa@od.nih.gov>
Subject: Re: OLAW report

Hello Dr. Wolff,

I had indeed contacted you on May 2 of this year regarding the use of an unlisted room for procedures (not housing) of rodents at UConn Storrs, CT. Corrective actions (the room had been inspected and added to the protocol, a letter was sent to the PI) were already complete at the time I called you.

I called because our IACUC was not actually sure the matter was reportable to OLAW. The associated NSF grant supports a summer internship, and the incident occurred during fall semi-annual inspection (so not during the active funding period). The question I posed to you in the phone message was whether a formal report was required. Please clarify.

Sincerely,
Dr. Holly Fitch

On Nov 20, 2017, at 9:47 AM, Wolff, Axel (NIH/OD) [E]
<WolffA@OD.NIH.GOV> wrote:

Hi Ms. Fitch,

I am following up on a preliminary report you submitted by telephone on May 2 2017 regarding a room used for animal housing but not listed on the protocol. Please send me an interim or final report by the end of the week and include the NSF protocol number if applicable.

Thank you.

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

R. Holly Fitch, Ph.D.
Professor, Behavioral Neuroscience
Dept. of Psychological Sciences
Director, Murine Behavioral Neurogenetics Facility
Inst. for Systems Genomics
CT Inst. for Brain & Cognitive Sci
University of Connecticut
Storrs, CT, 06269

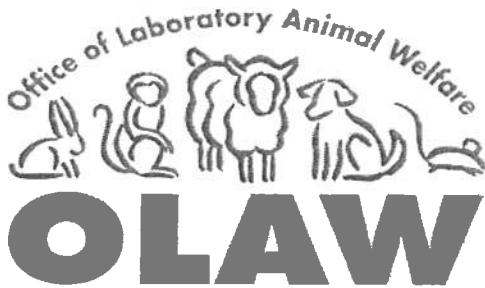
Phone Number

roslyn.h.fitch@uconn.edu
www.fitchlab.com

R. Holly Fitch, Ph.D.
Professor, Behavioral Neuroscience
Dept. of Psychological Sciences
Director, Murine Behavioral Neurogenetics Facility
Inst. for Systems Genomics
CT Inst. for Brain & Cognitive Sci
University of Connecticut
Storrs, CT, 06269

Phone Number

roslyn.h.fitch@uconn.edu
www.fitchlab.com



Initial Report of Noncompliance

By: VBO

Date: 5/2/17

Time: 3:50pm

Name of Person reporting: Holly Fitch

Telephone #:

Fax #:

* Email: roslyn.h.fitch@uconn.edu

Name of Institution: Univ. of Connecticut Storrs Campus

Assurance number: A3124-01

Did incident involve PHS funded activity?

Funding component:

Was funding component contacted (if necessary):

What happened?

UConn requires PIs to list all rooms involved on the protocol, and approval by IACUC before use. upon semiannual spec. inspection, discovered that room was being used, but PI did not list on protocol. →

Species involved:

Personnel involved:

Dates and times:

Animal deaths:

→ Rats +/a mice

April 3, 2017 during SA spec. inspection

none

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

PI was notified in writing & reminded that rooms must be approved prior to usage. Modification of PI's protocol to add room is pending DMR review/approval. IACUC inspected & okayed room during inspection.

OFFICE USE ONLY

Case # _____

(con't)

PI verbally acknowledged use of this room to IACUC inspectors. Room was inspected and found to be clean/orderly and therefore approved immediately.