



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

February 11, 2020

Re: Animal Welfare Assurance
#A3118-01 (OLAW Case 1W)

Dr. Susan Martinis
Vice Chancellor for Research
University of Illinois at Urbana-Champaign
420 Swanlund Administration Building
601 East John Street
Champaign, IL 61820

Dear Dr. Martinis,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 10, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Illinois at Urbana-Champaign, following up on an initial telephone report on January 16, 2020. According to the information provided, OLAW understands that mice were housed in a laboratory for nine days although the area had not been approved as a satellite facility. The mice were being subjected to approved imaging procedures and showed no signs of distress.

The corrective actions consisted of counseling the Principal Investigator who agreed to improve communication with laboratory staff, moving the imaging equipment to a procedure room in the animal housing area to allow better access, regularly reviewing the protocols with staff, having an Institutional Animal Care and Use Committee office representative lecture staff on animal welfare and compliance, and posting a sign in sheet on which staff verifies that there are no animals in the laboratory.

Based on the information provided, OLAW is satisfied that appropriate actions have been taken to investigate, correct, and prevent recurrence of the noncompliance. We appreciate having been informed about this matter and find no cause for further action by this Office.

Sincerely,

(b) (6)

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

cc: IACUC Chair



**OFFICE OF THE VICE CHANCELLOR
FOR RESEARCH & INNOVATION**

Institutional Animal Care & Use Committee
114 Observatory, MC-193
901 S. Mathews Ave.
Urbana, IL 61801-3609

February 10, 2020

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

Dear Dr. Wolff:

The University of Illinois at Urbana-Champaign, in accordance with Assurance D16-00075 and PHS Policy IV.F.3., provides this report of noncompliance regarding an incident of mice that were housed in laboratory space for 9 days. This housing outside of our Division of Animal Resource (DAR)-approved colony space was not approved in the Principal Investigator's (PI's) protocol, which is titled "Development and Evaluation of Imaging Agents for Cancer". In the IACUC protocol, the PI indicates the work is funded by the PHS, and it is our understanding the grant number is R35 GM133581-01. The IACUC Chair, Dr. Joshua Gulley, first reported this incident to you via a telephone call on January 16, 2020.

On December 20, 2019, the IACUC office received information that DAR animal care staff noted two cages of mice (8 mice total) had been removed from the colony space the PI was assigned in the Institute for Genomic Biology on December 4. The mice were subsequently returned on December 13, at which time the animal care staff noted they appeared normal and were not exhibiting any signs of distress. After contacting the PI, Dr. Jefferson Chan, the staff learned the mice had been housed during the 9-day period in the PI's laboratory space, which is in a nearby building that is separate from the colony space. During this time, the mice underwent imaging experiments that were described in the PI's IACUC approved protocol; the deviation from the protocol revolved around the lab staff's failure to return the mice to the colony room after their daily imaging session. The IACUC discussed the incident at our regularly monthly meeting on January 7, 2020 and requested the IACUC Chair and the Director of the DAR (who is also the Attending Veterinarian) meet with the PI in person and request corrective actions from the PI.

The PI expressed in an email to the IACUC that this was an unfortunate incident and took responsibility for the noncompliance. The PI assured the IACUC that an incident of such nature would not occur again.

The following corrective action plan was implemented after the incident:

1. The PI submitted correspondence to the IACUC in an email dated December 23, 2019, expressing regret for the noncompliance incident. In the in-person meeting with the IACUC Chair and Director of the DAR, which occurred on January 9, 2020, the PI reiterated his regret and commitment to improving communication with his staff and preventing re-occurrence of this deviation in the future.

UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN

217.333.7789 • iacuc@illinois.edu • iacuc.research.illinois.edu

Obtained by Rise for Animals. Uploaded 08/24/2020

Retrieved from Animal Research Laboratory Overview (ARLO)

2. The main corrective action instituted through cooperation between the PI and the DAR was movement of the PI's imaging equipment from his laboratory space to a procedure room located within the animal colony in the Institute for Genomic Biology. This will facilitate easy transportation of animals from the procedure space to colony space.
3. The PI described additional corrective measures that have been implemented to prevent recurrence of an incident of this nature. The measures included planned animal research protocol reviews every 3 months, which will occur at a lab meeting when all personnel are required to attend. The PI also requested that a representative from the IACUC office give a presentation to further educate lab personnel on animal welfare and regulatory compliance issues.
4. The PI has posted a calendar sheet in the lab space and now requires the first person arriving to the lab each day to sign off verification there are no animals in the lab space. At the end of the day, the last person leaving will be required to sign off that no animals are present.

At our meeting on February 4, 2020, the IACUC also reviewed and accepted the corrective action plan as submitted by the PI.

The University of Illinois at Urbana-Champaign 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 Dr. Gulley via email (jgulley@illinois.edu) or phone

(b) (6)

Thank you for your consideration of this matter.

Sincerely,

(b) (6)

Joshua M. Gulley, Ph.D.
Chair and Director, IACUC
Associate Professor, Department of Psychology
University of Illinois, Urbana-Champaign

(b) (6)

Susan A. Martinis, Ph.D.
Vice Chancellor for Research & Innovation
Stephen G. Sligar Professor, School of Molecular
and Cellular Biology
University of Illinois @Urbana-Champaign

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, February 11, 2020 6:43 AM
To: IACUC
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Noncompliance report - University of Illinois at Urbana-Champaign (D16-00075)

Thank you for this report, (b) (6) We will send a response soon.

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

From: IACUC <iacuc@illinois.edu>
Sent: Monday, February 10, 2020 2:32 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Gulley, Joshua M <jgulley@illinois.edu>
Subject: Noncompliance report - University of Illinois at Urbana-Champaign (D16-00075)

To whom it may concern,
A noncompliance report from the University of Illinois at Urbana-Champaign (D16-00075) Institutional Official and IACUC Chair is attached to this email.

Most respectfully,

(b) (6)

(b) (6)



Initial Report of Noncompliance

By: awDate: 1/16/20Time: 11:30Name of Person reporting: Josh GullettTelephone #: (b) (6)

Fax #:

Email:

Name of Institution: U of Illinois - Urbana - ChampagneAssurance number: A3118Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Mouse kept in lab, not approved, do imaging

Species involved:

Personnel involved:

Dates and times:

Animal deaths:

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

move mice closer to imaging

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____