



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

January 18, 2019

Re: Animal Welfare Assurance  
#A3336-01 (OLAW Case 6H)

Dr. Lisa Cassis  
Vice President for Research  
University of Kentucky  
Main Building  
Lexington, KY 40506-0032

Dear Dr. Cassis,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 18, 2019 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Kentucky, following up on an initial telephone report on January 10, 2019. According to the information provided, OLAW understands that two mice died and one required euthanasia after not receiving food after being weaned by research staff. The problem was not noted by the animal care staff during the daily health check.

The corrective actions consisted of disciplining the caretakers and counseling the researchers on proper weaning procedures. The Principal Investigator was issued a letter describing rodent weaning requirements.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to prevent 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.

Sincerely,

(b) (6)

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

cc: IACUC Chair  
Director, Division of Laboratory Animal Resources



**Office of the Vice President  
for Research**

311 Main Building  
Lexington, KY 40506-0032  
(859) 257-5294  
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January 18, 2019

Brent C. Morse, DVM, DACLAM  
Acting Director, Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health  
RKL 1, Suite 360, MSC 7982  
6705 Rockledge Drive  
Bethesda, MD 20892-7982

Reference: Animal Welfare Assurance D16-00217 (A 3336-01)  
University of Kentucky

Dear Dr. Morse:

The University of Kentucky Institutional Animal Care and Use Committee (IACUC), through the Institutional Official, is reporting the following noncompliance and deviation from the *PHS Policy on Humane Care and Use of Laboratory Animals* as required by section IV, F, 3a of the PHS Policy.

This incident was initially reported by telephone on January 10, 2019.

On December 17, 2018, a Division of Laboratory Animal Resources (DLAR) technician found a cage of weanling mice with no food. The mice were weaned by research staff on December 3, 2018 and had not been handled by that group since. Two of 4 mice were dead, and one was euthanized for humane reasons. One mouse survived without ill effects.

The IACUC discussed the specifics of the incident at their meeting on January 16, 2019. The IACUC required the following actions in response to this noncompliance:

1. The DLAR supervisor of the two technicians involved took corrective measures as per DLAR guidelines and University of Kentucky Human Resources.

*An Equal Opportunity Employer*

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

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Friday, January 18, 2019 11:16 AM  
**To:** Tirado-Muniz, Noe  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: University of Kentucky Compliance report

Thank you for this report, Dr. Tirado-Muniz. We will respond soon.

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

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**From:** Tirado-Muniz, Noe <noe.tirado-muniz@uky.edu>  
**Sent:** Friday, January 18, 2019 8:50 AM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Subject:** University of Kentucky Compliance report

Dear Dr. Morse:

Please see attached the most recent noncompliance report from the University of Kentucky as required by section IV, F, 3a of the PHS Policy.

This incident was initially reported by telephone on January 10, 2019.

Should you have any questions on the incident or the corrective measures established by the IACUC, please don't hesitate to contact us.

Sincerely:

Noé

Noé Tirado-Muñiz DMV, DVM, MS, CPIA  
Office of the Attending Veterinarian  
University of Kentucky  
(b) (4) Bowman Hall  
151 Washington Ave.  
Lexington KY 40506-0059  
Phone: (b) (6)  
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E-mail: [noe.tirado-muniz@uky.edu](mailto:noe.tirado-muniz@uky.edu)



## Initial Report of Noncompliance

By: aw

Date: 1/10/19

Time: 11:15

Name of Person reporting: Dr. MURPHY  
 Telephone #: [REDACTED] (b) (6)  
 Fax #:  
 Email:

Name of Institution: U of Kentucky  
 Assurance number: A3336

Did incident involve PHS funded activity? Yes  
 Funding component: \_\_\_\_\_  
 Was funding component contacted (if necessary): \_\_\_\_\_

### What happened?

3 mice were found w/ no food or water. 2 died + 1 euthanized  
Not noted by caretakers

Species involved: Mice  
 Personnel involved:  
 Dates and times:  
 Animal deaths: 3

Projected plan and schedule for correction/prevention (if known): \_\_\_\_\_  
Retain both investigators + caretakers

Projected submission to OLAW of final report from Institutional Official:

### OFFICE USE ONLY

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