



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

November 21, 2019

Re: Animal Welfare Assurance
#A3336-01 (OLAW Case 6M]

Dr. Lisa Cassis
Vice President for Research
University of Kentucky
(b) (4) Main Building
Lexington, KY 40506-0032

Dear Dr. Cassis,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your November 14, 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 report on November 13, 2019. According to the information provided, OLAW understands that two mice died due to lack of food. An investigator had manipulated three cages and forgot to return the lids and feeders.

The immediate action taken upon discovery consisted of providing food for the surviving mice. The corrective action consisted of counseling the laboratory staff on replacing cage lids following manipulation and ensuring that all animals have food and water.

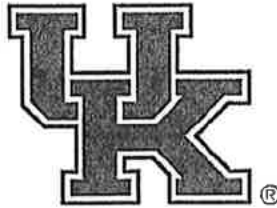
Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and prevent recurrence of this problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

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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November 14, 2019

Axel Wolff, M.S., D.V.M.
Deputy Directory
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, 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. Wolff:

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 the Humane Care and Use of Laboratory Animals* as required by section IV, F, 3a of the PHS Policy.

This incident was initially reported by email on November 13, 2019.

An investigator who is approved to conduct studies using mice for research into Alzheimer's disease was determined to have left three cages without food following behavioral testing. Briefly, the wire bar lids for the cages had been removed, but not replaced, during manipulation for testing. Subsequently, a Division of Laboratory Animal Resources (DLAR) employee noted these cages and immediately provided food to the two cages in which mice were still alive and active; however, two mice in the third cage had already died.

In response to this noncompliance, the IACUC has required that the Principal Investigator restate to members of his laboratory the need to replace wire bar lids to cages when manipulating the mice and to ensure that mice have access to food once testing is completed and mice are returned to the cage. The Principal Investigator has confirmed that this action has been completed.

The IACUC believes that this action is an appropriate response to prevent similar future incidents. These studies were funded through a grant from the NIH National Institute on Aging (5R01AG027297-07).

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If you have questions concerning this incident, please contact Dr. Mark A. Suckow, Attending Veterinarian (msuckow@uky.edu; (b) (6)), Dr. M. Paul Murphy, IACUC Chair (mpmurp3@uky.edu; (b) (6)), or Dr. Lisa A. Cassis, Institutional Official (lcassis@uky.edu; (b) (6)).

Sincerely,

(b) (6)

Lisa A. Cassis, Ph.D.
Vice President for Research
Institutional Official

(b) (6)

M. Paul Murphy, Ph.D.
Chair, Institutional Animal Care and Use Committee

(b) (6)

Mark A. Suckow, DVM, DACLAM
Attending Veterinarian

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, November 22, 2019 7:28 AM
To: Suckow, Mark A.
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Preliminary report of noncompliance

Thank you for this report, Dr. Suckow. We will send a response shortly.
Axel Wolff

From: Suckow, Mark A. <msuckow@uky.edu>
Sent: Friday, November 22, 2019 6:59 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: Re: Preliminary report of noncompliance

Dear Dr. Wolff,

Attached please find a final report regarding the noncompliance occurrence reported initially to OLAW on 11/13/19

Regards,

Mark Suckow, DVM, DACLAM
Associate Vice President for Research
Attending Veterinarian
Professor, Department of Biomedical Engineering
University of Kentucky
(b) (4) Bowman Hall
Lexington, KY
(b) (6)

From: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Sent: Thursday, November 14, 2019 7:29 AM
To: Suckow, Mark A. <msuckow@uky.edu>
Cc: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: RE: Preliminary report of noncompliance

Thank you for this preliminary report, Dr. Suckow. We will start a new case file and look forward to receiving the final report from the IO after the IACUC has completed its investigation.

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

From: Suckow, Mark A. <msuckow@uky.edu>
Sent: Wednesday, November 13, 2019 4:21 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: Preliminary report of noncompliance

Dear Dr. Morse,

I wish to submit a preliminary report of noncompliance for the University of Kentucky (Assurance #D16-00217; A3336-01). Specifically, staff in the laboratory of (b) (6) inadvertently did not replace food to three cages of mice after handling them for experimental manipulation. Though most of the mice quickly recovered following, presumably, a weekend without food, two mice died.

A full report on this occurrence will be submitted.

Regards,

Mark A. Suckow, DVM, DACLAM
Associate Vice President for Research
Attending Veterinarian
Professor, Department of Biomedical Engineering
University of Kentucky
(b) (4) Bowman Hall
Lexington, KY 40506
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