



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

April 21, 2020

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

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 April 16, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Kentucky following up on an initial March 25, 2020 notification by email.

According to the information provided, this Office understands that the University of Kentucky Animal Care and Use Committee (ACUC) determined that instances of noncompliance occurred with respect to: a cage containing dead weanling mice. The final report states that on March 24, 2020 animal husbandry personnel found the cage of dead weanlings during regular room check. It is stated that the cage did not have a weaning card, food on the floor or a water bottle. It was determined the mice were recently weaned, but too small to reach food in the feed hopper or use the automatic watering device. Usually, a card indicating that a cage contains newly weaned mice is placed on such cages so that animal husbandry personnel can provide increased attention. In this case, no such card was placed on the cage by the PI's staff. The IACUC determined this event was a noncompliance due to incorrect weaning practices of the PI's staff resulting in the death of several mice. The IACUC is requiring the following corrective actions:

- The PI must submit for the Attending Veterinarian's approval a plan of action establishing how recurrence of weaning errors will be prevented.
- The research staff listed on the protocol must sign the remedial plan (as required in# 1) as indication they understand its content and expectations.
- The PI is advised that further events of this nature will lead to transfer of all breeding colony management to the Division of Laboratory Animal Resources, at the investigators' expense.

It is noted that this project is supported by PHS funds. Based on its assessment of this explanation, OLAW understands that the University of Kentucky 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



Office of the Vice President for Research

311 Main Building
Lexington, KY 40506-0032
(859) 257-5294
Fax: (859) 323-2800
www.research.uky.edu

April 16, 2020

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.

A preliminary report of this incident was made via email to OLAW on March 25, 2020.

On March 24, 2020, animal husbandry personnel found a cage of dead weanling mice during a regular room check. The cage did not have a weaning card, food on the floor, or a water bottle. The IACUC determined that this event was a noncompliance due to incorrect weaning practices of the PI's staff resulting in the death of several mice. Briefly, the mice were newly weaned, but too small to reach food in the feed hopper or use the automatic watering device. Typically, a card indicating that a cage contains newly weaned mice is placed on such cages so that animal husbandry personnel can provide increased attention; however, no such card was placed on the cage by the PI's staff.

The IACUC determined that this event was a significant noncompliance due to incorrect weaning practices resulting in the death of several mice. In response, the IACUC is requiring the following corrective actions: 1) The PI shall submit for the AV's approval a plan of action establishing how recurrence of weaning errors will be prevented; 2) The research staff listed on the protocol shall sign the remedial plan (as required in # 1 above) as indication they understand its content and expectations; and 3) The PI is advised that further events of this nature will lead to transfer of all breeding colony management to the Division of Laboratory Animal Resources,

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at the investigators' expense.

The IACUC believes that this action is an appropriate response to prevent similar future incidents. These studies were funded through grants from the NIH National Cancer Institute (R01CA192894; R01CA196835)).

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
Committee
Institutional Official

(b) (6)

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

(b) (6)

Mark A. Suckow, DVM, DACLAM
Attending Veterinarian

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, April 20, 2020 7:44 AM
To: Suckow, Mark A.
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Preliminary Report of Noncompliance

Thank you. We will respond soon.
Axel Wolff

From: Suckow, Mark A. <msuckow@uky.edu>
Sent: Friday, April 17, 2020 2:17 PM
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 from the University of Kentucky (Assurance #D16-00217; A3336-01) regarding a noncompliance that was reported to OLAW initially on **March 25, 2020**.

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
(b) (6)

From: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Sent: Wednesday, March 25, 2020 1:52 PM
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 report, Dr. Suckow. I will open a new case file.

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

From: Suckow, Mark A. <msuckow@uky.edu>
Sent: Wednesday, March 25, 2020 1:42 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: Preliminary Report of Noncompliance

Dear Dr. Wolff,

I wish to submit a preliminary report of noncompliance for the University of Kentucky (Assurance #D16-00217; A3336-01). Specifically, a cage of weanling mice was found dead and without food or water. The IACUC is investigating this matter to determine an appropriate course of action.

Regards,

Mark A. Suckow, DVM, DACLAM
Associate Vice President for Research
Attending Veterinarian
University of Kentucky
(b) (4) Bowman Hall
Lexington, KY 40506
(b) (6)

Wolff, Axel (NIH/OD) [E]

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

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Regards,

Mark A. Suckow, DVM, DACLAM
Associate Vice President for Research
Attending Veterinarian
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Lexington, KY 40506
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