



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 21, 2020

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

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 February 20, 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 report on the same day. According to the information provided, OLAW understands that a satellite zebrafish facility was not inspected by the Institutional Animal Care and Use Committee (IACUC) during the fall 2019 semiannual inspection. An outdated facility list had been used which did not include the room.

The corrective action consisted of the IACUC inspecting the room and records and finding no deficiencies. The process for developing the lists for semiannual inspections was revised to ensure accuracy.

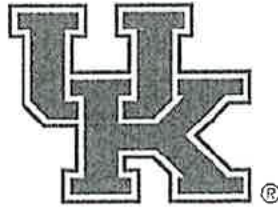
Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and prevent recurrence of this problem. While OLAW concurs with the actions taken by the IACUC to comply with the PHS Policy, we note that the preliminary report should have been submitted promptly after the issue was identified (in November 2019 or very shortly thereafter) and not on the same day as the final. Thank you for keeping OLAW apprised on this matter.

Sincerely,

(b) (6)

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

cc: IACUC Chair

**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

February 20, 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.

This incident was initially reported by email on February 20, 2020.

A satellite space for housing of zebrafish was inspected and approved in March, 2019 and included in the subsequent semi-annual facility inspection in May, 2019. However, the site was missed in the November, 2019 semi-annual inspection, because an outdated site list had been used. The IACUC inspected the site and reviewed associated records on January 30, 2020 and found no animal health or welfare concerns, nor occupational health and safety issues. The IACUC office has since revised the process to ensure that all lists used for semi-annual facility inspections are up to date and reflect all relevant sites.

In response to this noncompliance, the IACUC has approved the correction plan to prevent recurrence.

The IACUC believes that this action is an appropriate response to prevent similar future incidents. The studies using the zebrafish that are the subject of this noncompliance were funded through a grant from the NIH National Institute of General Medical Sciences (5RO1GM113087-04).

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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, February 21, 2020 6:50 AM
To: Suckow, Mark A.
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Preliminary reports

Thank you for these reports, Dr. Suckow. In this instance, if the final report is sent a few hours after the preliminary then please just send the final. The preliminary should be sent as soon as the problem is discovered. For instance, in the fish case the report should have been sent as soon as the missed inspection was discovered in November or shortly thereafter.

Thanks.

Axel Wolff

From: Suckow, Mark A. <msuckow@uky.edu>
Sent: Thursday, February 20, 2020 2:55 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: Re: Preliminary reports

Dear Dr. Morse,

Attached please find full reports for the two instances of non-compliance that I communicated to you earlier today, February 20, 2020.

Best,

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: Suckow, Mark A.
Sent: Thursday, February 20, 2020 10:05 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: Preliminary reports

Dear Dr. Morse,

I wish to submit two preliminary reports of non-compliance for the University of Kentucky (Assurance #D16-00217; A3336-01):

1. A new satellite facility housing zebrafish was not included in the most recent semi-annual facility inspection. The inspection was done once the omission was recognized.
2. Cages of mice were combined for euthanasia and the combined number resulted in crowding of mice within the chamber. This occurrence was the result of research personnel not following institutional policy.

Full reports for both instances of non-compliance 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
(b) (6)