



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 22, 2020

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

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 January 15, 2020 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 January 13, 2020. According to the information provided, OLAW understands that four mice died due to lack of food as a result of human error by the animal caretakers.

The corrective actions consisted of retraining the husbandry staff on ensuring that all animals have adequate food and water and that thorough daily health checks are conducted.

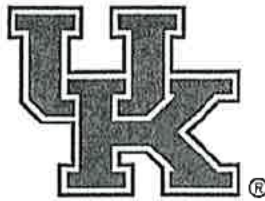
Based on its assessment of this explanation, OLAW understands that measures have been implemented to prevent recurrence of this problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: IACUC Chair



A3336

**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](http://www.research.uky.edu)

January 15, 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 January 13, 2020.

An investigator is approved to conduct studies using mice for research into imaging of biomarkers of brain integrity as a function of aging. A cage of four dead mice was discovered by husbandry staff on a Monday, though the investigator or his team had not recently handled the mice. A review by the IACUC and the leadership of the animal care facility determined that this circumstance was the result of error on the part of husbandry staff.

In response to this noncompliance, the IACUC has required that the husbandry technicians responsible for this area undergo retraining regarding the need for ensuring adequate food and water for all animals and that the health of animals is confirmed daily.

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 (K01AG040164-02).

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

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Tuesday, January 21, 2020 1:26 PM  
**To:** Suckow, Mark A.  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Noncompliance

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

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

**From:** Suckow, Mark A. <msuckow@uky.edu>  
**Sent:** Tuesday, January 21, 2020 12:32 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Subject:** Re: Noncompliance

Please find attached a formal letter describing an instance of non-compliance. This report follows the preliminary report submitted on January 13, 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)

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**From:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Sent:** Monday, January 13, 2020 4:26 PM  
**To:** Suckow, Mark A. <msuckow@uky.edu>; OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Subject:** RE: Noncompliance

Thank you for providing this preliminary report Dr. Suckow. We will open a case file and await further information.

Best regards, Brent Morse

Brent C. Morse, DVM, DACLAM  
Director  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health

Please note that this message and any of its attachments are intended for the named recipient(s) only and may contain confidential, protected or privileged information that should not be distributed to unauthorized individuals. If you have received this message in error, please contact the sender.

**From:** Suckow, Mark A. [mailto:[msuckow@uky.edu](mailto:msuckow@uky.edu)]  
**Sent:** Monday, January 13, 2020 2:15 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <[olawdco@od.nih.gov](mailto:olawdco@od.nih.gov)>  
**Subject:** Noncompliance

Dear Dr. Morse,

I wish to submit a preliminary report of noncompliance for the University of Kentucky (Assurance #D16-00217; A3336-01). Specifically, a cage of four mice without food was discovered on Monday December 9, 2019. Unfortunately, all four mice were dead. This occurrence was due directly to an error by husbandry staff.

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  
(b) (6)