



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  
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February 4, 2019

Re: Animal Welfare Assurance  
A3612-01 [OLAW Case 1E]

Dr. Joel D. Baines  
Dean, School of Veterinary Medicine  
Louisiana State University  
Skip Bertman Drive  
Baton Rouge, LA 70803-3103

Dear Dr. Baines,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 18, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the Louisiana State University (LSU) School of Veterinary Medicine. According to the information provided, OLAW understands that 36 more mice were used than approved on a protocol.

The corrective actions consisted of the Principal Investigator (PI) stopping use of additional mice. It was determined that a departing post-doctoral fellow had not been keeping track of animal numbers. A protocol amendment to increase animal numbers was submitted by the PI and was approved by the Institutional Animal Care and Use Committee (IACUC). The laboratory staff was counseled, the PI will ensure that the research protocol can accommodate new mice transferred from the breeding protocol, and records of animals on approved protocols are now maintained electronically and are accessible by the laboratory staff.

OLAW understands that the protocol involved was not PHS-supported, but concurs that the incident was serious and supports the actions taken by the IACUC. The establishment and application of policies and practices that are consistent with the provisions of the PHS Policy at LSU School of Veterinary Medicine are commendable and avoid the perception of a double standard. Thank you for informing OLAW about this matter.

Sincerely,

(b) (6)

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

cc: IACUC Chair



**School of Veterinary Medicine**  
*Office of the Dean*

January 18, 2019

To: Axel V. Wolf, DVM, MS  
Director: Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health  
RKL1, Suite 360, MSC 7982  
6705 Rockledge Drive  
Bethesda, MD 20892-7982

From: Joel D. Baines VMD, PhD  
Institutional Official for Animal Care and Use, and  
Dean, School of Veterinary Medicine  
Through the Institutional Animal Care and Use Committee  
Louisiana State University  
Baton Rouge, LA 70803

Re: Non-compliance- Assurance number D16-00372 (A3612-01)

The Louisiana State University (LSU) IACUC, through the Institutional Official, herein report a deviation from the provisions of the *Public Health Service Policy on Humane Care and Use of Laboratory Animals* and the *Animal Welfare Act (AWA)*. Specifically, personnel performing research under the auspices of an approved animal care and use protocol utilized thirty six (36) more mice than were approved. The IACUC determined that U.S. Government Principles I and VIII were violated. While the covered research was not funded by the PHS, our Assurance Statement indicates that we will equally apply all federal laws governing the use of animals in research, teaching, and testing, regardless of PI, vertebrate animal species, experimental use, funding source or animal housing location. Hence, we make the following report.

In December, 2018, a vivarium supervisor reported to the IACUC that the number of mice used on an approved protocol had been exceeded by thirty six. The issue was investigated by the Attending Veterinarian. It was determined that only the number of mice used was non-compliant; the specific use of the mice had been as described in the protocol. The principal investigator (PI) was instructed to immediately discontinue using mice until the issue could be discussed by the IACUC and corrective actions taken. The PI acknowledged the mistake, apologized for the error, and paused her experiments. Further, the PI explained that the project for which her mice were used had been managed by a post-doctoral scientist in her laboratory. Upon departure of the post-doctoral scientist from LSU, the PI discovered that information regarding numbers of mice used were not recorded by her laboratory. In completing the covered research, she exceeded the number of mice approved. The PI immediately submitted an amendment requesting additional mice, including the overuse. That amendment has since been approved.

The issue was discussed on December 11<sup>th</sup>, 2018 at the next regularly scheduled meeting of the IACUC. The IACUC voted to require the PI to devise a plan to better track her use of animals. The PI took the following steps to prevent a reoccurrence of the overuse. 1) The PI discussed the non-compliance issue with her laboratory personnel; 2) prior to transferring mice from her breeding protocol to her experimental protocol, the PI will confirm with the vivarium supervisor that her experimental protocol can accommodate the number of mice to be transferred; and, 3) records of animals on current protocols are now maintained electronically, and are accessible by all laboratory personnel.

The IACUC was satisfied with the corrective measures taken by the PI, and consider the matter closed. The LSU-IACUC and the University regret the occurrence of this incident and will make every effort to ensure it does not occur again in the future.

Sincerely,

(b) (6)

Joel D. Baines, VMD, PhD  
Dean, LSU School of Veterinary Medicine  
Institutional Official for Animal Care  
Louisiana State University  
Baton Rouge, LA