



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 6, 2020

Re: Animal Welfare Assurance
A3230-01 [OLAW Case 4Y)

Ms. Pamela S. Caudill
Senior Associate Provost
for Research Administration
Yale University – New Haven
25 Science Park, (b) (4)
New Haven, CT 06520

Dear Ms. Caudill,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your December 20, 2019 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at Yale University, following up on an initial telephone report on November 20, 2019. According to the information provided, OLAW understands that a mouse died after being unable to eat because of a malocclusion. The problem was not identified during daily health checks.

The corrective actions consisted of retraining and disciplining the animal care staff responsible. The research staff was also trained on identifying malocclusion.

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, OARS

Yale Office of Research Administration

PAMBLA S. CAUDILL
Senior Associate Provost
for Research Administration

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courier
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December 20, 2019

Brent Morse, DVM, DACLAM
Office of Laboratory Animal Welfare (OLAW)
National Institute of Health
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, MD 20892

Dear Dr. Morse:

In accordance with the Public Health Service Policy and Yale University's Animal Welfare Assurance (#D16-00146), I write to report the result of the fact-finding activities regarding an incident that the Yale Animal Resource Center (YARC) identified on September 9, 2019.

On September 9, 2019, YARC found an emaciated mouse with a severe malocclusion deceased in a cage. The husbandry staff servicing the room did not detect the deteriorating condition of the animal. The husbandry staff's cage check procedures are normally very thorough, so this was clearly an oversight and a very rare occurrence. The staff members responsible for servicing the room in the days leading up to this finding received re-training and further addressed as a performance issue. This incident was used as a teachable moment for the research staff to enable them to identify malocclusions in the future.

The IACUC reviewed the details of the incident and accepted the remediation plan without modification at its regularly scheduled meeting on October 9, 2019.

This incident will be reported to the appropriate NIH Institute/Center in accordance with University procedure. Please contact Dr. Troy Hallman (troy.hallman@yale.edu), OARS Director, if you require additional information.

Sincerely,

(b) (6)

Pamela S. Caudill
Institutional Official
Senior Associate Provost for Research Administration

cc: (b) (6)

Gary Cline, IACUC Chair, Yale University
James Macy, Attending Veterinarian, Yale University
Troy Hallman, Director, Office of Animal Research Support, Yale University

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, December 23, 2019 10:18 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Macy, James; Hallman, Troy; Caudill, Pamela; Cline, Gary
Subject: RE: 3 Attached Final Reports from Pamela Caudill of Yale University dated December 20, 2019

Thank you for providing these final reports (b) (6) We will send official responses soon.

Best regards, Brent Morse

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

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From: (b) (6)
Sent: Monday, December 23, 2019 9:58 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Macy, James <james.macy@yale.edu>; Hallman, Troy <troy.hallman@yale.edu>; Caudill, Pamela <pamela.caudill@yale.edu>; accredit@AAALAC.org; Cline, Gary <gary.cline@yale.edu>
Subject: 3 Attached Final Reports from Pamela Caudill of Yale University dated December 20, 2019

Dear Dr. Morse,

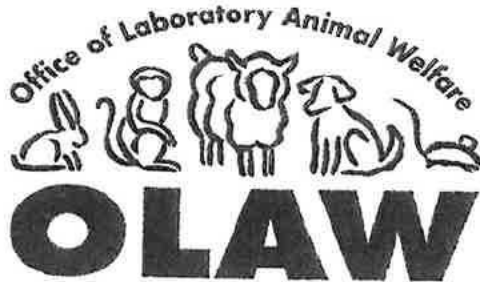
I've attached three final reports from Pamela Caudill of Yale dated December 20, 2019.

Happy Holidays!!

Regards,

(b) (6)

(b) (6)



Initial Report of Noncompliance

By: (b) (6)

Date: 11/20/19

Time: 10:45

Name of Person reporting: Troy Hallman
 Telephone #: (b) (6)
 Fax #:
 Email:

Name of Institution: Yale U
 Assurance number: A3230

Did incident involve PHS funded activity? yes
 Funding component: _____
 Was funding component contacted (if necessary): _____

What happened?

*Mouse with malocclusion not found by
 caretaker + died*

Species involved: *Mouse*

Personnel involved:

Dates and times:

Animal deaths: 1

Projected plan and schedule for correction/prevention (if known): _____

Retrain caretakers

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____