



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

October 14, 2020

Re: Animal Welfare Assurance  
A3397-01 [OLAW Case W]

Dr. Yusheng Liu  
Vice Chancellor for Research  
and Economic Development  
University of Missouri – Kansas City  
5211 Rockhill Road  
Kansas City, Missouri 64110

Dear Dr. Liu,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 13, 2020 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Missouri- Kansas City, following up on an initial report on September 18, 2020. According to the information provided, OLAW understands that a mouse dam and three pups died due to dehydration. A week later another mouse died of dehydration and five cages were identified with empty water bottles.

The corrective actions consisted of the Institutional Animal Care and Use Committee (IACUC) Vice Chair and the Attending Veterinarian counseling the investigator who reported the issue. The Principal Investigator was directed to promptly report any animal concerns to the director of the animal resources division, providing a labeled rack on which to place leaking water bottles, providing a source of pre-filled water bottles for investigators to obtain replacements, establishing a standardized method for recording cage checks/changes, providing photographs of cage cards when reporting animal concerns to investigators, and counseling husbandry staff on cage and water bottle checks.

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 IACUC 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

**UMKC**  
Office of Research Services

October 13, 2020

Director, Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health  
Rockledge 1, Suite 360, MSC 7982  
6705 Rockledge Drive  
Bethesda, MD 20892-7982  
Phone: 301-594-2061  
FAX: 301-402-2803  
E-mail: [olawdco@mail.nih.gov](mailto:olawdco@mail.nih.gov)

The University of Missouri at Kansas City (UMKC), in accordance with Assurance A3397-01 and PHS Policy IV.F.3., provides this final report regarding a reportable event with the PHS Policy pertaining to the conduct of animal-related activities. This incident was first reported by Chris Winders, UMKC Director of Research Compliance, to the Division of Compliance Oversight, Office of Laboratory Animal Welfare, on September 18, 2020 via an email to [olawdco@od.nih.gov](mailto:olawdco@od.nih.gov).

On September 3, 2020 the UMKC Office of Research Compliance and UMKC IACUC Chair received information that one mouse dam and three of six mouse pups were found dead in a cage with an empty water bottle. As the cage was dry the assumption was that animal deaths were caused by dehydration. On September 10, 2020, the IACUC was notified of 5 mouse cages with empty water bottles and one dead mouse.

On September 10, 2020 the issue was brought to the attention of the convened IACUC. At that time, the Vice Chair (VC) of the IACUC along with the Attending Veterinarian (AV) were identified as members of the IACUC charged with investigating the incidents.

On September 15, 2020, the VC and AV met with the researcher having reported the issue and on September 16, 2020, the VC and AV met with the Director of the LARC to address the issue and discuss an action plan.

The findings of the sub-committee of the VC and AV were presented to the convened IACUC on October 08, 2020. Due to the reported events, the convened IACUC voted and approved the following corrective actions:

- Actions to be taken by the PI
  - Provide quick and direct email correspondence to the LARC Director about any animal concerns.
- Actions to be taken by the LARC through direct action by the LARC Director
  - Provide a rack in the LARC for the return of leaky cage bottles. This rack should be accompanied by identifying signage.

**UNIVERSITY OF MISSOURI-KANSAS CITY**

Office of Research Services • 5211 Rockhill Road • Kansas City, MO 64110  
[www.umkc.edu/research](http://www.umkc.edu/research)  
an equal opportunity/affirmative action institution

- Provide a clearly identified source of pre-filled water bottles investigators can use to replace any empty cage bottles during off-peak hours.
- Standardize a method to more clearly record cage checks/changes to help ensure that cages and water bottles are being checked and changed as described in our husbandry standards. Provide photocopies or photos of the cage cards when notifying Investigators of an animal concern.
- Cage monitoring procedures, with emphasis on water bottles, were reviewed with LARC staff to ensure understanding and necessity

UMKC is committed to the protection of animals used in research and the prevention of Investigator violations. Should you have any questions regarding this report, please contact Chris Winders, Director of Research Compliance at [windersc@umkc.edu](mailto:windersc@umkc.edu) or (b) (6). Please accept this letter as a final report of incidents and corrective action plan.

Thank you for your consideration of this matter.

Sincerely,

(b) (6)

Yusheng (Chris) Liu, PhD  
Vice Chancellor for Research and Economic Development  
Institutional Official  
University of Missouri-Kansas City

## Wolff, Axel (NIH/OD) [E]

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Wednesday, October 14, 2020 8:22 AM  
**To:** Winders, Christopher  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Reportable Event - Final Report

Thank you for this report. We will send a response soon.

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

**From:** Winders, Christopher <windersc@umkc.edu>  
**Sent:** Tuesday, October 13, 2020 7:40 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** Liu, Chris <y.liu@umkc.edu>; (b) (6)  
(b) (6)  
**Subject:** Reportable Event - Final Report

Director, Division of Compliance Oversight,

Please find the attached Final Report to conclude our institutional investigation and notification to the IO. I am available to you if you have any questions or concerns with the contents of this letter or the actions taken therein.

Regards,

*Chris Winders*

**Director of Research Compliance and Interim Director of Sponsored Programs Administration**

<http://ors.umkc.edu/research-compliance>

University of Missouri - Kansas City  
5319 Rockhill Road  
Kansas City, Missouri 64110-2499

(b) (6) (Office)

(Compliance Office)

[windersc@umkc.edu](mailto:windersc@umkc.edu)

**Wolff, Axel (NIH/OD) [E]**

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Monday, September 21, 2020 7:45 AM  
**To:** Winders, Christopher  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Reportable Event

Thank you for this preliminary report, Mr. Winders. We will open a new case file and look forward to receiving the final report from the IO after the IACUC has completed its investigation.

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

**From:** Winders, Christopher <windersc@umkc.edu>  
**Sent:** Friday, September 18, 2020 4:48 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** [REDACTED] (b) (6)

(b) (6) UMKC-IACUC <umkciacuc@umkc.edu>

**Subject:** Reportable Event

Director, Division of Compliance Oversight  
 Office of Laboratory Animal Welfare  
 National Institutes of Health  
 Rockledge 1, Suite 360, MSC 7982  
 6705 Rockledge Drive  
 Bethesda, MD 20892-7982  
 Phone: 301-594-2061  
 FAX: 301-402-2803  
 E-mail: [olawdco@mail.nih.gov](mailto:olawdco@mail.nih.gov)

Please find the report information below pertaining to a reportable event at our university. If there are any questions in advance of the final report please let us know.

- Name and contact information of person reporting

Chris Winders  
**Director of Research Compliance**  
 University of Missouri - Kansas City  
 5319 Rockhill Road  
 Kansas City, Missouri 64110-2499  
 [REDACTED] (b) (6) (Office)  
[windersc@umkc.edu](mailto:windersc@umkc.edu)

- Name of institution**
  - University of Missouri - Kansas City
- Assurance number**
  - A3397-01
- Funding component and if contacted (for situations related to PHS-supported activities)**
  - Potentially NIH funded studies. NIH has not been contacted

- **Brief description of incident (e.g., species, category of personnel involved, dates, times, animal deaths)**
  - On September 3, 2020, the chair of the UMKC IACUC was made aware of a situation having occurred in the Lab Animal Research Core (LARC) regarding the death of one mouse dam and three of six mice pups. An empty water bottle associated with the cage housing the animals was found, as the cage was dry, the assumption was that the animal deaths were due to dehydration.
  - On September 10, 2020, the IACUC was notified of 5 mice cages with empty water bottles and one dead mouse.
- **Plan and schedule for correction and prevention**
  - On September 10, 2020 the issue was brought to the attention of the convened IACUC. At that time, the Vice Chair (VC) of the IACUC along with the Attending Veterinarian (AV) were identified as members of the IACUC charged with investigating the incident.
  - On September 15, 2020, the VC and AV met with the researcher having reported the issue. The following was the outcome of this meeting:
    1. Provide quick and direct email correspondence to the LARC Director about any animal concerns.
  - On September 16, 2020, the VC and AV met with the Director of the LARC to address the issue and discuss an action plan. The following identifies the agreed upon action plan:
    1. Provide a rack in the LARC for the return of leaky cage bottles. This rack should be accompanied by identifying signage.
    2. Provide a clearly identified source of pre-filled water bottles investigators can use to replace any empty cage bottles during off-peak hours.
    3. Standardize a method to more clearly record cage checks/changes to help ensure that cages and water bottles are being checked and changed as described in our husbandry standards. Provide photocopies or photos of the cage cards when notifying Investigators of an animal concern.
- **Timeframe for final report from the Institutional Official**
  - October 31, 2020

*Chris Winders*

**Director of Research Compliance and Interim Director of Sponsored Programs Administration**

<http://ors.umkc.edu/research-compliance>

University of Missouri - Kansas City

5319 Rockhill Road

Kansas City, Missouri 64110-2499

(b) (6) (Office)

(Compliance Office)

[windersc@umkc.edu](mailto:windersc@umkc.edu)