



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

July 26, 2021

Re: Animal Welfare Assurance
#A3283-01 (OLAW Case 3H)

Dr. Milan Mrksich,
Vice President for Research
Northwestern University
750 North Shore Drive, (b) (4)
Chicago, IL 60611

Dear Dr. Mrksich,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 22, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the Northwestern University (NU). This letter had not been preceded by a preliminary report to OLAW.

According to the information provided, this Office understands that the NU Animal Care and Use Committee (ACUC) determined that instances of noncompliance occurred with respect to: failure to adhere to the IACUC-approved protocol and inadequate training of an individual. The final report states on June 15, 2021, the IACUC received a report that cervical dislocation was not successfully performed on two mice. A review revealed that CO₂ anesthesia followed by cervical dislocation was required in the protocol. It is understood that the euthanasia method conducted was not approved in the protocol. Also, it was determined that the individual involved in the incident was not adequately trained to perform the procedure.

The IACUC discussed the matter and reviewed the principal investigator's corrective action plan at the meeting held on July 15, 2021. The committee agreed the plan was adequate to prevent future recurrence. The correction action plan detailed the following:

- Review the seriousness of the incident with all laboratory members at a laboratory meeting.
- Review approved methods of euthanasia that includes a primary and secondary method with all laboratory members.
- Instruct all laboratory members to carefully review the approved procedures and protocols prior to implementation of procedures.
- Conduct weekly laboratory meetings to review the status of all on-going experiments.

It is noted that this project is supported by PHS funds. Based on its assessment of this explanation, OLAW understands that the Northwestern University has implemented appropriate measures to correct and prevent recurrences of these problems and is now compliant with provisions of the PHS Policy. We appreciate being informed of these matters and find no cause for further action by this Office.

Sincerely,

Jacquelyn T.
Tubbs -S

Digitally signed by Jacquelyn T.
Tubbs -S
Date: 2021.07.26 09:01:42 -0400

Jacquelyn Tubbs, DVM, DACLAM
Animal Welfare Program Specialist
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Contact

July 22, 2021

Brent Morse, DVM, DACLAM, Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare
OLAW Division of Assurance
National Institutes of Health
Suite 360 MSC 7982
6700B Rockledge Dr., Suite 2500, MSC 6910
Bethesda, MD 20817

Re: IACUC Case CC-0240

Dear Dr. Morse:

I have been informed by the Northwestern University Institutional Animal Care and Use Committee (NU IACUC; Assurance # A3283-01) that a Principal Investigator (PI) reported to the NU IACUC that an incident involving animals occurred. This project is supported by PHS funds. The incident report is as follows:

Incident Description:

- On June 15, 2021, the IACUC Office received an anonymous report that cervical dislocation euthanasia was not successfully conducted on two mice. After further review, the protocol requires CO2 anesthesia followed by cervical dislocation. The euthanasia method was not conducted as approved in the protocol and the person was not adequately trained to perform the procedure.

At the July 15, 2021 NU IACUC meeting, the Committee discussed this incident and reviewed the PI's corrective action plan, which included the following elements:

- Review the seriousness of the incident with all laboratory members at a laboratory meeting.
- Review approved methods of euthanasia that includes a primary and secondary method with all laboratory members.
- Instruct all laboratory members to carefully review the approved procedures and protocols prior to implementation of procedures.
- Conduct weekly laboratory meetings to review the status of all on-going experiments.

The Committee agreed that the plan was adequate to prevent a recurrence of this error.

Please let me know if you need any further information.

Sincerely,

(b) (6)

Milan Mrksich, Ph.D.
Vice President for Research
Institutional Official

cc:

(b) (6)

C. Heckman, Chair - IACUC

(b) (6)

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, July 23, 2021 7:38 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Correspondence from Northwestern University CC-0240

Thank you. We will respond soon.

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

From: (b) (6)
Sent: Thursday, July 22, 2021 3:12 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: CJ Heckman <c-heckman@northwestern.edu>; Milan Mrksich <milan.mrksich@northwestern.edu>; (b) (6)
(b) (6) VP Research <VP-Research@northwestern.edu>; (b) (6)
(b) (6)
Subject: Correspondence from Northwestern University CC-0240

Dear Dr. Morse,

Attached please find correspondence from Milan Mrksich, Vice President for Research, Northwestern University.

(b) (6)

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