



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 3I)

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: flooding of cages due to improper placement on the rack. The final report states on June 22, 2021, two flooded cages were found during morning health checks. It was determined that a laboratory member improperly docked a cage allowing water to leak into the two cages below. The flooding led to mortalities of nine mice.

The IACUC discussed the incident and the principal investigator's corrective action plan. The committee agreed the plan was adequate to prevent future recurrence. The plan detailed the following:

- Review the importance of checking proper cage placement with all laboratory members.
- Retrain laboratory personnel involved in the incident on proper use of the rack and docking cages.

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  
09:04:20 -04'00'

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

cc: IACUC Contact

July 22, 2021

Northwestern University  
Office for Research  
Rebecca Crown Center  
633 Clark Street  
Evanston, Illinois 60208

research@northwestern.edu  
Office 847. 491. 3485

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: Northwestern Case CC-0245

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 22, 2021, during routine morning health checks two flooded cages were found. After further review it was found that a laboratory member improperly docked a cage causing water to leak into the two cages below. The flooding led to mortalities of nine mice. No other animals were impacted.

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 importance of checking proper cage placement with all laboratory members.
- Retrain laboratory involved in the incident on proper use of the rack and docking cages.

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]**

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Friday, July 23, 2021 7:37 AM  
**To:** (b) (6)  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Correspondence from Northwestern University Case CC-0245

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

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

**From:** (b) (6)  
**Sent:** Thursday, July 22, 2021 3:08 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** CJ Heckman <c-heckman@northwestern.edu>; (b) (6)  
(b) (6) VP Research <VP-Research@northwestern.edu>; Milan Mrksich  
<milan.mrksich@northwestern.edu>  
**Subject:** Correspondence from Northwestern University Case CC-0245

Dear Dr. Morse,

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

(b) (6)

A large rectangular area of the document is completely redacted with a solid grey box. The redaction covers the main body of the email, likely containing the correspondence mentioned in the subject line.