



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

March 1, 2022

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

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

Dear Dr. Mrksich,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 21, 2022 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 institutional policies/procedures. The final report states three mice underwent tail biopsy procedures on January 25, 2022. The procedure was performed on animals >24d of age without anesthesia. It is stated a laboratory member did not confirm the dates of birth and the mice were relatively small. It is understood that tail biopsy after 24d of age must be approved on the protocol and conducted with anesthesia as required by IACUC policy.

The NU IACUC reviewed the matter and reviewed the Principal Investigator's (PI) corrective action plan, which included the following:

- Laboratory staff were immediately reminded to check birth dates of mice prior to tail biopsy via electronic communication.
- PI conducted a formal meeting for discussion of the matter on February 2, 2022.

Per the report, the committee determined the plan was adequate and included the following action item to prevent recurrence:

- To have the laboratory review the IACUC policy on tail biopsies in rodents to prevent future incidents.

It is noted that this research is supported by PHS funding. 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.

Page 2 – Dr. Mrksich
March 1, 2022
OLAW Case A3283-3L

Sincerely,

Jacquelyn T. Tubbs -S
Digitally signed by
Jacquelyn T. Tubbs -S
Date: 2022.03.01
15:52:51 -05'00'

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

cc: IACUC Contact

February 21, 2022

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

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 federal funds (1 R01 DC 018738-01). The incident report is as follows:

Incident Description:

Three mice underwent tail biopsy procedures on January 25, 2022. The procedure was performed at greater than 24 days of age without anesthesia because a laboratory member did not confirm the date of birth and the mice were relatively small in size. Tail biopsy after 24 days of age must be approved on the protocol and conducted with anesthesia as required by IACUC policy.

At the February 17, 2022 NU IACUC meeting, the Committee discussed this incident and reviewed the PI's corrective action plan, which included the following elements:

- Laboratory staff were immediately reminded to check birthdates of mice prior to tail biopsy via electronic communication.
- PI conducted a formal meeting for discussion of the matter on February 2, 2022.

The Committee agreed that the plan was adequate with the following addition to prevent a recurrence of this error:

- To have the laboratory review the IACUC Policy on Tail biopsies in Rodents to prevent future incidents.

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: Wednesday, February 23, 2022 8:26 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Northwestern Report to OLAW- February 2022

Thank you for this report, (b) (6) We will send a response soon.

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

From: (b) (6)
Sent: Monday, February 21, 2022 11:25 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Milan Mrksich <milan.mrksich@northwestern.edu>; CJ Heckman <c-heckman@northwestern.edu>; (b) (6)
Subject: [EXTERNAL] Northwestern Report to OLAW- February 2022

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OLAW Division of Compliance Oversight:

Please see the attached letter from Milan Mrksich, IO.

Thanks,

(b) (6)