



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

April 29, 2021

Re: Animal Welfare Assurance
A3007-01 [OLAW Case 2N]

Deborah Stiles
Vice President for Research Operations and Policy
Columbia University Medical Center
535 West 116th St. - (b) (4) Low Library MC 4310
New York, NY 10027

Dear Ms. Stiles,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 23, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at Columbia University. Your letter supplements the information in the initial prompt telephone report. According to the information provided, OLAW understands that on December 17, 2020, your institution was informed of an overcrowded mouse cage, containing eighteen animals. It was determined that the animals were two litters of mice that had been combined during the weaning process and moved to a different room, where they were found the next day. There were no deaths or illnesses among the mice in the cage when it was found, and the animals were immediately separated. The associated activity was PHS-funded.

Corrective and preventive measures included requiring the investigator to counsel the individual responsible for the incident; hiring an additional animal technician to help with management of the mouse colony, and; requiring all laboratory members to re-review the policy on mouse housing density.

OLAW appreciates the consideration of this matter by Columbia University, which was consistent with the philosophy of institutional self-regulation. Based on the information provided, OLAW is satisfied that appropriate actions have been taken to investigate this incident, correct the noncompliance, and prevent recurrence. OLAW concurs that the incident warranted reporting. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S
Digitally signed by Brent C. Morse
Date: 2021.04.29 12:27:40 -04'00'

Brent C. Morse, DVM
Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC contact
Mary Jo Shepherd, DVM, IACUC Office Director

COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

OFFICE OF THE EXECUTIVE VICE PRESIDENT FOR RESEARCH

April 23, 2021

Brent Morse, D.V.M.
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
6705 Rockledge Drive
Suite 360, MSC 7982
Bethesda, MD 20892-7982

Re: Columbia University
Animal Welfare Assurance # D16-00003 (A3007-01)

Dear Dr. Morse,

On December 21, 2020, Columbia University (the "University") notified the Office of Laboratory Animal Welfare ("OLAW") by telephone of an incident of overcrowding mice in a single cage. The animals involved were being used in research supported by the Public Health Service under NIH grant numbers 5K01AG061264-02, 5R21AG061719-02 and 1R01AG0702-02.

This letter reports the results of a review of the incident and the corrective actions taken by the Institutional Animal Care and Use Committee ("IACUC").

Background and Investigation

On December 17, 2020, the Institute of Comparative Medicine (ICM) Associate Director notified Dr. Mary Jo Shepherd, Executive Director of the IACUC, that ICM personnel had found an overcrowded mouse cage, containing eighteen animals.

Dr. Shepherd notified the IACUC Chair when she learned of the incident and an investigation was initiated. The IACUC investigative team (Dr. Shepherd and another IACUC member) met with the principal investigator and the laboratory member responsible for the overcrowded cage. They also met separately with an ICM Assistant Director and the ICM facility supervisor responsible for the area where the overcrowded cage was found. The investigative team determined that the animals were two litters of mice that had been combined during the weaning process and moved to a different room, where they were found by ICM the next day. There were no deaths or illnesses among the mice in the cage when it was found, and the animals were immediately separated by ICM personnel.

Corrective Actions

A report from the investigative team was provided to the IACUC and a convened meeting of a quorum of the Committee was held on February 4, 2021. Following review of the facts and discussion, the Committee imposed the following corrective measures:

1. The investigator is required to fully implement and continue to adhere to his plan for correction, which includes counseling of the individual responsible for the incident, hiring of an additional animal technician to help with management of the mouse colony and requiring all laboratory members to re-review the policy on mouse housing density.

Columbia University remains committed to achievement and maintenance of the highest standards of laboratory animal care and use. If you have any further questions concerning this report, please contact Dr. Shepherd at (b) (6)

Sincerely,

(b) (6)

Deborah F. Stiles, J.D.
Vice President for Research Operations and Policy
Chief Operating Officer, Office of the Executive Vice President for Research

cc:

(b) (6)

MJ Shepherd, D.V.M.

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, April 28, 2021 7:32 AM
To: Shepherd, Mary Jo
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Columbia University Compliance Report

Thanks for this report, MJ. We'll send a response soon.
Axel Wolff

From: Shepherd, Mary Jo <ms4387@cumc.columbia.edu>
Sent: Monday, April 26, 2021 2:29 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Ms4387@columbia.edu
Subject: Columbia University Compliance Report

Please see the attached report and let me know if there are any questions or concerns. Thank you. MJ

Mary Jo (MJ) Shepherd, DVM
Executive Director of the Office of the IACUC
Columbia University



A3007-2N

Initial Report of Noncompliance

By: (b) (6)

Date: 3/10/21

Time:

Name of Person reporting: M.J. Shepherd

Telephone #: (b) (6)

Fax #: (b) (6)

Email: (b) (6)

Name of Institution: Columbia U.

Assurance number: A3007

Did incident involve PHS funded activity? Fed funded

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? Overcrowded mouse cage.
Reported by Vet group.

Species involved: Mus musculus

Personnel involved: Researcher

Dates and times: Very recent

Animal deaths: No

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

Investigation starting next week

Projected submission to OLAW of final report from Institutional Official:

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Case # _____