



USDA-APHIS-Animal Care



ANIMAL WELFARE COMPLAINT		
Complaint No. AC22-732	Date Entered: May 27, 2022	Processed By: Sean Rehurek
Referred To: Tonya Hadjis		Reply Due: June 26, 2022
Facility or Person Complaint Filed Against		
Name: UNIVERSITY OF MASSACHUSETTS AMHERST	Customer No.: 515	License No.:
Address: 217 Mass Venture Center 100 Venture Way		Email Address:
City: HADLEY	State: MA	Phone No.: (413) 545-0668
Complainant Information		
Name: (b) (6), (b) (7)(C), (b) (7)(D)	Organization: (b) (6), (b) (7)(C), (b) (7)(D)	
Address:		Email Address: (b) (6), (b) (7)(C), (b) (7)(D)
City:	State:	Phone No.:
How was the Complaint received? Email		
Details of Complaint: See attached.		
Results: These allegations were reviewed during an inspection of the facility; inspection report dated 6/21/22. This complaint included allegations that referred to citations that were documented on prior USDA inspection reports dated 5/9/16 and 6/26/17. This complaint also included an allegation pertaining to improper handling of marmosets. Discussions with husbandry, veterinary, and IACUC personnel and the review of all "Daily Event Records" for the marmosets did not reveal any handling incidents. Animal Care inspectors conduct unannounced inspections for all USDA registered and licensed facilities. Our authority is to ensure that they meet the standards required by Federal regulations. Inspectors also perform inspections in response to valid concerns and complaints received from the public to ensure the well-being of the animals and compliance with Federal law. When non-compliant items are found, these non-compliances are cited on the inspection report under the most accurate regulation based on the circumstances of the issue. Multiple non-compliances for the same issue are only cited when appropriate. With the exception of focused inspections, inspectors evaluate the facility for compliance with all applicable regulations. Although all regulatory requirements are assessed, only non-compliant items are listed on the inspection report.		



USDA-APHIS-Animal Care



Animal Care will continue to inspect this facility to ensure that past non-compliances are corrected and that AWA-regulated animals are protected to the fullest extent of Federal law.

Application Kit Provided:

Yes: No:

Inspector:

PAULA GLADUE

Date:

July 6, 2022

Reviewed By:

Tonya Hadjis

Date:

August 10, 2022



Inspection Report

UNIVERSITY OF MASSACHUSETTS AMHERST

217 Mass Venture Center 100 Venture Way
HADLEY, MA 01035

Customer ID: 515

Certificate: 14-R-0036

Site: 001

UNIVERSITY OF
MASSACHUSETTS, AMHERST

Type: ROUTINE INSPECTION

Date: 21-JUN-2022

2.31(c)(7)

Institutional Animal Care and Use Committee (IACUC).

In March 2022 facility personnel reported a concern to the IACUC regarding some hamsters in the vivarium. The animals were under Protocol 9161 that includes housing animals in total darkness for a specific timeframe. The IACUC determined that the investigators substantially increased the amount of time that ten hamsters were held in total darkness without prior IACUC approval. The substantial increase in time under total darkness conditions constitutes a significant change to the protocol.

Per this Section, the IACUC shall review and approve proposed significant changes regarding the care and use of animals in ongoing activities before the proposed activities are conducted. This is important to ensure that all components of the proposed significant changes in the animal use proposal are in accordance with the requirements of the AWA.

In response to this incident, the IACUC implemented corrective measures to prevent recurrence including but not limited to refresher training of the laboratory on protocol requirements and enhanced monitoring of the laboratory by the IACUC and husbandry staff. Corrected prior to the inspection.

Prepared By: PAULA GLADUE

USDA, APHIS, Animal Care

Date:

23-JUN-2022

Title: VETERINARY MEDICAL
OFFICER

Received by Title: Facility Representative

Date:

23-JUN-2022



Inspection Report

2.31(e)(3)

Institutional Animal Care and Use Committee (IACUC).

Review of Protocol 0921: The IACUC approved protocol did not include information regarding the age that litters are separated from the dam, nor did it include information on the age when genotyping of litters takes place.

Per this Section, proposals to conduct an activity involving animals must contain a complete description of the proposed use of the animals so the IACUC can determine during its review that all components of the animal use proposal are in accordance with the requirements as outlined in this subchapter of the AWA. The IACUC needs to address this item that was identified for this protocol. Correct by 8/1/22.

3.28(c)(2)

Primary enclosures.

At the time of the inspection there was one hamster enclosure measuring 16" x 18" x 8" (288 sq inches of floor space) that housed a dam and her litter of 19 pups born on 5/17/22 (35 days of age). Laboratory personnel told the APHIS inspector that litters are separated from the dam between 21 to 30 days of age. The following issues were noted:

*The dam weighed >100grams, 11 of the young weighed 60-80 grams, and 8 of the young weighed 80-100 grams. The enclosure provided 288 square inches of floor space, but the minimum amount of floor space required for the number and weights of hamsters housed in the enclosure is at least 290 square inches.

*There was an area of bedding that covered approximately 1/5 of the available floor space, moistened from liquid waste, that was compacted into a solid mass at least 3 inches deep. The interior height of the enclosure in that area of the enclosure was less than 6 inches.

Prepared By: PAULA GLADUE
USDA, APHIS, Animal Care
Title: VETERINARY MEDICAL
OFFICER

Date:
23-JUN-2022

Received by Title: Facility Representative

Date:
23-JUN-2022



Inspection Report

Per this Section, primary enclosures for hamsters shall provide a minimum amount of floor space per animal based on their weight, and the interior height of the enclosure shall be at least 6 inches. Provision of a sufficient amount of floor space in the enclosure along with an interior height of at least 6 inches allow the animals to make normal postural adjustments with adequate freedom of movement. This item was corrected at the time of the inspection by separating the hamsters and placing them in enclosures that provided required minimum amount of floor space and interior height.

3.31(a)(1)

Sanitation.

At the time of the inspection, one hamster enclosure contained the dam and her litter of 19 pups born on 5/17/22 (35 days of age). Although the enclosure had been changed on 6/17/22 per the room log, there was an excessive amount of solid and liquid excreta noted in the enclosure. In addition there was an area of bedding, moistened from liquid waste, that covered approximately 1/5 of the available floor space that was compacted into a solid mass at least 3 inches deep.

Per this Section, primary enclosures for hamsters shall be cleaned often enough to prevent an accumulation of excreta or debris. This item was corrected at the time of the inspection by separating the hamsters and placing them in new clean enclosures.

This inspection was conducted with facility representatives on 6/21/22 and 6/22/22. The exit briefing was held with facility representative on 6/23/22.

Prepared By: PAULA GLADUE
USDA, APHIS, Animal Care
Title: VETERINARY MEDICAL
OFFICER

Date:
23-JUN-2022

Received by Title: Facility Representative

Date:
23-JUN-2022



Species Inspected

Cust No	Cert No	Site	Site Name	Inspection
515	14-R-0036	001	UNIVERSITY OF MASSACHUSETTS, AMHERST	21-JUN-2022

Count	Scientific Name	Common Name
000208	<i>Mesocricetus auratus</i>	SYRIAN / GOLDEN HAMSTER (COMMON PET/RESEARCH TYPE)
000028	<i>Callithrix jacchus</i>	COMMON MARMOSET
000007	<i>Bos taurus</i>	CATTLE / COW / OX / WATUSI
000010	<i>Equus caballus</i>	DOMESTIC HORSE
000017	<i>Capra hircus</i>	DOMESTIC GOAT
000018	<i>Ovis aries aries</i>	SHEEP INCLUDING ALL DOMESTIC BREEDS
000288	Total	

	weight	sex
1	72.1	female
2	73.7	female
3	84.5	female
4	84.8	female
5	66.8	female
6	86.1	female
7	78.5	female
8	77.1	female
9	81.4	female
10	83.2	female
11	81.2	male
12	74.0	male
13	73.8	male
14	74.5	male
15	72.7	male
16	85.4	male
17	78.6	male
18	78.8	male
19	41.5	male
1524.00		total of all
80.21		ave. weight

CFR:3.28(c)(2)

Photographer: PGladue

Certificate: 14-R-0036

Date and Time: 6/22/2022 2:30 PM **Legal Name:** UNIVERSITY OF MASSACHUSETTS AMHERST

Inspection No: 2016090000800057 **Facility Name:** UNIVERSITY OF MASSACHUSETTS, AMHERST

Description: List of weights in grams of the 19 young hamsters in the litter born 5/17/22 (35 days of age on 6/21/22). Weight of the dam was 177 grams.



CFR:3.28(c)(2);3.31(a)(1)

Photographer: PGladue

Certificate: 14-R-0036

Date and Time: 6/21/2022 1:17 PM **Legal Name:** UNIVERSITY OF MASSACHUSETTS AMHERST

Inspection No: 2016090000800057 **Facility Name:** UNIVERSITY OF MASSACHUSETTS, AMHERST

Description: Photo of enclosure housing one hamster dam (darker brown color) and her litter of 19 born on 5/17/22 (35 days of age). Note the crowding of the enclosure and the excessive accumulation of solid and liquid excreta. Also note the mound of bedding moistened from liquid waste and compacted into a solid mass at least 3 inches deep that is seen in the upper right-hand corner of the picture. The compacted mound of bedding resulted in the interior enclosure height of less than required 6 inches in this part of the enclosure (the height of the enclosure was measured at 8 inches).



CFR:3.28(c)(2);3.31(a)(1)

Photographer: PGladue

Certificate: 14-R-0036

Date and Time: 6/21/2022 1:17 PM **Legal Name:** UNIVERSITY OF MASSACHUSETTS AMHERST

Inspection No: 2016090000800057 **Facility Name:** UNIVERSITY OF MASSACHUSETTS, AMHERST

Description: Photo of enclosure housing one hamster dam (darker brown color) and her litter of 19 born on 5/17/22 (35 days of age). Note the crowding of the enclosure and the excessive accumulation of solid and liquid excreta. Also note the mound of bedding moistened from liquid waste and compacted into a solid mass at least 3 inches deep that is seen in the upper right-hand corner of the picture. The compacted mound of bedding resulted in the interior enclosure height of less than required 6 inches in this part of the enclosure (height of the enclosure was measured at 8 inches).



CFR:3.28(c)(2);3.31(a)(1)

Photographer: PGladue

Certificate: 14-R-0036

Date and Time: 6/21/2022 1:16 PM **Legal Name:** UNIVERSITY OF MASSACHUSETTS AMHERST

Inspection No: 2016090000800057 **Facility Name:** UNIVERSITY OF MASSACHUSETTS, AMHERST

Description: Photo of enclosure housing one hamster dam (darker brown color) and her litter of 19 born on 5/17/22 (35 days of age). Note the crowding of the enclosure and the excessive accumulation of solid and liquid excreta.



Animal and Plant
Health Inspection
Service

Animal Care

Fort Collins Office
2150 Centre Avenue
Building B, 3W11
Fort Collins, CO 80526
Phone: 970-494-7478

May 27, 2022

(b) (6), (b) (7)(C), (b) (7)(D)

Dear Complainant,

Thank you for your correspondence dated May 26, 2022. We are reviewing your concerns and assigned tracking number AC22-732. Please allow us enough time (30 to 60 days) to thoroughly look into your concerns. You may submit a request to the Animal and Plant Health Inspection Service (APHIS) Freedom of Information Act (FOIA) office to obtain any publicly available information regarding our review.

FOIA Requests can be submitted three ways:

1. Web Request Form: <https://efoia-pal.usda.gov/App/Home.aspx>
2. Fax: 301-734-5941
3. US Mail:
USDA- APHIS- FOIA
4700 River Road, Unit 50
Riverdale, MD 20737

Should you have any questions regarding the APHIS FOIA process or need assistance using the Web Request Form **please contact the APHIS FOIA office at 301-851-4102.**

Animal Care is a program within the U.S. Department of Agriculture (USDA) that directs activities to ensure compliance with and enforcement of the Animal Welfare Act and the Horse Protection Act. Animal Care establishes standards of humane treatment for regulated animals and monitors and achieves compliance through inspections, enforcement, education, and cooperative efforts under the Acts.

Please be assured that we will look into your concern(s) and take appropriate action(s).

Thank you for your interest into the humane treatment of these animals.

Sincerely,

Elizabeth Goldentyer, D.V.M.
Deputy Administrator
USDA, APHIS, Animal Care



May 26, 2022

Betty J. Goldentyer, D.V.M.
Deputy Administrator
USDA-APHIS-Animal Care
4700 River Rd.
Riverdale, MD 20737

Via e-mail: Betty.J.Goldentyer@usda.gov

Dear Dr. Goldentyer:

I'm writing on behalf of People for the Ethical Treatment of Animals (PETA) to request that the U.S. Department of Agriculture (USDA) Animal and Plant Health Inspection Service investigate possible violations of the federal Animal Welfare Act and the associated Animal Welfare Regulations (AWR) at the University of Massachusetts–Amherst (UMass; USDA Certificate No. 14-R-0036) for its failure to meet the standard of care for monkeys held in its facility.

Permit me to state at the outset that although some of the incidents summarized here occurred more than three years ago, I believe the salient issues are the *pattern* of noncompliance and the failure on the part of UMass to be transparent about violations in its laboratories. Taken together, we believe the incidents summarized here raise questions about whether the school is meeting the requirements of federal animal welfare regulations and guidelines.

According to records recently obtained by PETA through public records requests, on multiple occasions, marmoset monkeys at UMass experienced physical harm as a result of employees' improper handling. We believe these incidents constitute noncompliance with **Section 2.38(f)(1) of the AWR**, which states this:

Handling of all animals shall be done as expeditiously and carefully as possible in a manner that does not cause trauma, overheating, excessive cooling, behavioral stress, physical harm, or unnecessary discomfort.

On March 20, 2017, the Daily Event Record for marmosets identified as cagemates Padme and Anakin noted the following:

P [Padme] got into a fight (through cage bars) w/ Han¹, who got loose in the room upon escape from transfer box. P has multiple small punctures and lacerations on each hand.²

Four days later, Padme was “still careful of left hand but able to grip well.”³

¹Han was a marmoset kept in a separate cage from Padme but in the same room.

²Ex. 1

³Ibid.

PEOPLE FOR
THE ETHICAL
TREATMENT
OF ANIMALS

Washington
1536 16th St. N.W.
Washington, DC 20036
202-483-PETA

Los Angeles
2154 W. Sunset Blvd.
Los Angeles, CA 90026
323-644-PETA

Norfolk
501 Front St.
Norfolk, VA 23510
757-622-PETA

Info@peta.org
PETA.org

Entities:

- PETA Asia
- PETA India
- PETA France
- PETA Australia
- PETA Germany
- PETA Switzerland
- PETA Netherlands
- PETA Foundation (U.K.)

Based on records we obtained from National Institutes of Health (NIH) of all reports documenting noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals and the *Guide for the Care and Use of Laboratory Animals* from 2015-present at UMass, it appears that UMass failed to report this violation of federal animal welfare guidelines to NIH's Office of Laboratory Animal Welfare (OLAW), as required per its Public Health Service Assurance. It also appears that the school failed to report the incident to the USDA, although this was not required. It's unclear whether this event was reported to UMass' Institutional Animal Care and Use Committee.

On April 27, 2017, just one month after Han escaped and injured Padme, another marmoset escaped from a restraint device, and when the handler captured the animal, the tail was injured so severely that it required amputation.⁴ The USDA issued a repeat citation on June 26, 2017, under Section 2.38(f)(1), presumably following the citation UMass received under the same section on May 9, 2016, when a marmoset was severely burned after experimenters put hand warmers on his body while he was recovering from surgery, leading to his death three days later.⁵

It's our understanding that an incident similar to Han's escape occurred at UMass on October 5, 2018—this incident, however, *was* reported to OLAW and the USDA.⁶ At that time, the school stated that students were returning a marmoset who had undergone behavioral testing to a cage using a transport box, but the monkey's cagemate jumped into the box and then they both managed to escape and were loose in the room. This caused one of the monkeys to fight through cage wires with another monkey, leading to injuries. The school claimed, "This set-up and transfer method has been in use for approximately one year with no prior escapes." UMass was not cited by the USDA at the time, but given that public records indicate that the school failed to acknowledge or report the March 20, 2017 escape which also led to the injury of a caged marmoset, it appears that it should have been cited with a repeat violation for this instance.

UMass has shown that it cannot properly handle the marmosets in its laboratories, threatening all the marmosets in its facility as well as its staff members. Although the aforementioned incidents are dated, they clearly demonstrate a pattern of inadequate handling of marmoset monkeys at this school. Had UMass been transparent about its lapses in complying with federal regulations and guidelines, the March 2017 incident would have been reported and the two subsequent events could have been avoided. We urge you to look into this problematic pattern at UMass and take corrective action.

We appreciate your attention to this matter. If you have any questions, please contact me at (b) (6), (b) (7)(C), (b) (7)(D) Thank you for your time and consideration.

Sincerely,

(b) (6), (b) (7)(C), (b) (7)(D)

⁴Ex. 2

⁵Ex. 3

⁶Ex. 4

Exhibit 1

IMA Daily Event Record

ID: Amkln (215)	species: C. jacchus	M/F: M	PI: [REDACTED]	Dept: PSYCH	desk: [REDACTED]
vand: Worldwide	b.w. (gm): 350	date of birth: 04/08/2011	age (y/a): 4.9	prot #: 2014-0017	expir date: Thu, 23 Jun, 2016
Tech: [REDACTED]	bldg: [REDACTED]	rm: [REDACTED]	hxc received 12/15/2015; vasectomized 2/2/2016; paired with Padme (170) 2/16/2016		

date: 03/04/2016 event/remarks: new HR page issued

8-12/16 P BAR, active: observed voiding formed stool, but later also had soft stool -
10:25 am monitor
8-16/16 Resisted 8-13, clear on 14/15/16 today
11:45 am
12/23/16 BAR normal stools
3-20-17 4:45 pm - P got into a fight (through cage bars) w/ Hum, who got loose in the room upon escape from transfer box. P has multiple small punctures and lacerations (25-40) on each hind, (C) & (D) for depth, mostly on pubic pads - NO fx, no joints affected. Covered w/ betadine powder. Some redness, rimmed w/ staples. No stones, no wounds available to give closure. Start Alex C (Lidocaine, 0.1 ml PO, BID Q 7d)
Start Meloxicam 0.1 ml PO QD x 5d
P/L in arm: if anything to use both hands ok (full use today)
3-21-17 4:45 pm: P doing well, using both hands & normally doing research testing today. Wounds healing over, continue tx, daily P/L
3-22-17 8:30 AM: Doing well - BAR
3-23-17 8:12: TAKES MEDS, DOING WELL, BAR
3/24/17 Still careful of left hand but able to grip well - BAR
3/27/17 10:00 am - using both hands equally today, no sign of pain when grasping/climbing w/in cage - BAR
3-28-17 12:15 pm - reduced, use closed
9/7/17 8:40 am dearthen in cage - chewing papers at corner closest to chewer. Block line of sight on chewer cage. Tx w/ squash/pumpkin and yogurt & monitor

Exhibit 2



Inspection Report

University Of Massachusetts Amherst
217 Mass Venture Center 100 Venture Way
Hadley, MA 01035

Customer ID: 515

Certificate: 14-R-0036

Site: 001

UNIVERSITY OF MASSACHUSETTS, AMHERST

Type: ROUTINE INSPECTION

Date: 26-JUN-2017

2.38(f)(1) REPEAT

MISCELLANEOUS.

Handling.

***In April 2017 a marmoset escaped from an acclimation device that was being used by investigator staff as described in the IACUC approved protocol. The animal's tail was injured during its recapture by laboratory staff. The facility veterinarian was contacted, immediately assessed the animal, and began treatment. The animal made a full recovery. Upon being notified and in response to this information, the IACUC and AV immediately looked into the incident.

It was determined that investigator staff did not follow the recapture SOP when the NHP escaped from the acclimation device. A method not included in the recapture SOP was used that caused the tail injury in the marmoset.

Per this Section of the Regulations, handling of all animals shall be done as expeditiously and carefully as possible in a manner that does not cause trauma, behavioral stress, physical harm, or unnecessary discomfort.

Upon being notified and in response to this incident, the research facility acted promptly and conducted an investigation, reported the incident to OLAW, and swiftly implemented appropriate corrective actions to prevent similar incidents in the future. Corrective actions included but were not limited to providing additional retraining of investigator staff, revision of the recapture SOP, and modifications were made to the acclimation device.

No additional incidents have occurred since these corrective actions were implemented. This item has been appropriately addressed by the research facility.

NOTE – Inspection conducted 6/26/17 and 6/27/17. Exit briefing held 6/27/17 on-site with facility representatives.

Prepared By: GLADUE PAULA, V M D USDA, APHIS, Animal Care

Date:
27-JUN-2017

Title: VETERINARY MEDICAL OFFICER 1054

Obtained by Rise for Animals.
Uploaded to Animal Research Laboratory Overview (ARLO) on 01/09/2023

Received by Title: ATTENDING VETERINARIAN UMASS AMHERST

Date:
27-JUN-2017



Inspection Report

END OF REPORT

Additional Inspectors

Sismour Naomi, Veterinary Medical Officer

Prepared By: GLADUE PAULA, V M D USDA, APHIS, Animal Care

Date:
27-JUN-2017

Title: VETERINARY MEDICAL OFFICER 1054

Obtained by Rise for Animals.
Uploaded to Animal Research Laboratory Overview (ARLO) on 01/09/2023

Received by Title: ATTENDING VETERINARIAN UMASS AMHERST

Date:
27-JUN-2017



Species Inspected

Cust No	Cert No	Site	Site Name	Inspection
515	14-R-0036	001	UNIVERSITY OF MASSACHUSETTS, AMHERST	26-JUN-17

Count	Scientific Name	Common Name
000004	<i>Bos taurus</i>	CATTLE / COW / OX / WATUSI
000032	<i>Callithrix jacchus</i>	COMMON MARMOSET
000014	<i>Macaca mulatta</i>	RHESUS MACAQUE
000128	<i>Mesocricetus auratus</i>	SYRIAN / GOLDEN HAMSTER (COMMON PET/RESEARCH TYPE)
000001	<i>Ovis aries aries</i>	SHEEP INCLUDING ALL DOMESTIC BREEDS
000179	Total	

Exhibit 3



Inspection Report

University Of Massachusetts Amherst
217 Mass Venture Center 100 Venture Way
Hadley, MA 01035

Customer ID: 515

Certificate: 14-R-0036

Site: 001

UNIVERSITY OF MASSACHUSETTS AT AMH

Type: ROUTINE INSPECTION

Date: 09-MAY-2016

2.38(f)(1)

MISCELLANEOUS.

Handling.

1. On 10/2/15 a marmoset underwent a surgical procedure under general anesthesia as per the IACUC approved protocol. Thermal support for the animal was needed during the post-operative recovery period but the heating blanket normally used was not working properly and an alternate method was used to provide thermal support under the direction of the attending veterinarian. The marmoset subsequently sustained thermal injuries that were recognized by veterinary personnel during the immediate post-operative recovery period. The animal was immediately examined by the attending veterinarian and treatment was instituted. The marmoset's condition deteriorated despite the treatment prescribed and the animal died 72 hours later.

Per this Section of the Regulations, handling of all animals shall be done as expeditiously and carefully as possible in a manner that does not cause trauma, overheating, behavioral stress, physical harm, or unnecessary discomfort. The use of the alternate method to provide thermal support to the marmoset during post-operative recovery induced thermal injuries that resulted in the death of the marmoset.

Upon being notified and in response to this incident, the research facility acted promptly and conducted an investigation, reported the incident to OLAW and USDA, and swiftly implemented appropriate corrective actions to prevent any future incidents. Additional surgical procedures have taken place since the corrective measures were implemented, and no additional incidents have occurred.

The research facility has taken appropriate steps to address this item and it has been corrected.

3.125(a)

FACILITIES, GENERAL.

Structural strength.

1. Pertaining to the outside pen for 2 adult cows: One of the horizontal boards of the wooden fence that was

Prepared By: PAULA GLADUE, V M D USDA, APHIS, Animal Care

Date:
10-MAY-2016

Title: VETERINARY MEDICAL OFFICER 1054

Obtained by Rise for Animals.
Uploaded to Animal Research Laboratory Overview (ARLO) on 01/09/2023

Received by Title: ATTENDING VETERINARIAN UMASS AMHERST

Date:
10-MAY-2016



Inspection Report

located approximately 3 feet from the ground was damaged. About one third of the length of the board was broken off and on the ground inside the pen. The missing piece of the board created a space in the fence large enough for a cow's head to fit through.

Per this Section of the Regulations, outdoor housing facilities should be structurally sound and maintained in good repair to protect the animals from injury and to contain the animals.

The research facility needs to repair or replace the broken board to maintain the enclosure fence in good repair and to ensure the structural strength of the pen.

Correct by 5/17/16.

NOTE - Inspection conducted 5/9/16 and 5/10/16. Exit interview held 5/10/16 on-site with facility representatives.

END OF REPORT

Prepared By: PAULA GLADUE, V M D USDA, APHIS, Animal Care

Date:
10-MAY-2016

Title: VETERINARY MEDICAL OFFICER 1054

Obtained by Rise for Animals.
Uploaded to Animal Research Laboratory Overview (ARLO) on 01/09/2023

Received by Title: ATTENDING VETERINARIAN UMASS AMHERST

Date:
10-MAY-2016



Species Inspected

Cust No	Cert No	Site	Site Name	Inspection
515	14-R-0036	001	UNIVERSITY OF MASSACHUSETTS AT AMH	09-MAY-16

Count	Scientific Name	Common Name
000002	<i>Bos taurus</i>	CATTLE / COW / OX / WATUSI
000028	<i>Callithrix jacchus</i>	COMMON MARMOSET
000017	<i>Macaca mulatta</i>	RHESUS MACAQUE *MALE
000089	<i>Mesocricetus auratus</i>	SYRIAN HAMSTER (GOLDEN HAMSTER)
000002	<i>Oryctolagus cuniculus</i>	EUROPEAN RABBIT
000019	<i>Ovis aries aries</i>	SHEEP INCLUDING ALL DOMESTIC BREEDS
000003	<i>Scalopus aquaticus</i>	EASTERN MOLE
000160	Total	



Initial Report of Noncompliance

By: BMDate: 10/19/15Time: 2:15

Name of Person reporting

Secondary individual

Telephone #:

Fax #:

telephone #

Email:

Name of Institution:

Assurance number:

U. Mass Amherst
A3551

Did incident involve PHS funded activity?

Yes

Funding component:

Was funding component contacted (if necessary):

What happened? Hand warmer used during recovery of marmoset post-op. Dermal burns. Animal died 3 days later.

Species involved:

Personnel involved:

Dates and times:

Animal deaths:

marmoset
Surgeon
Yes, one marmoset ♂

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

Hand warmers no longer used.Beer-bugger orderedother warmers used (water bath)

Projected submission to OLAW of final report from Institutional Official:

Have notified USDA AC VMO + will copy
USDA regional office.

OFFICE USE ONLY

Case #

Exhibit 4



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) 402-7065

October 22, 2018

Re: Animal Welfare Assurance
A3551-01 [OLAW Case 1A]

Dr., Michael F. Malone
Vice Chancellor for Research and Engagement
University of Massachusetts-Amherst
(b) (6) Whitmore Admin. Building
181 Presidents Drive
Amherst, MA 01003

Dear Dr. Malone,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 12, 2018 letter reporting an adverse event at the University of Massachusetts, Amherst. According to the information provided, OLAW understands that a marmoset escaped through a small gap between the transport box and home cage while being transferred after a cognitive testing session and engaged in aggressive behavior with another marmoset who was recovering from surgery, which resulted in the wounding of the escaped marmoset and removal of sutures from the post-surgical animal. Veterinary care was immediately provided to both animals with no additional animal welfare concerns. The animal activity in question was supported by PHS funds.

The corrective actions consisted of modifying the equipment by eliminating the space between the transport box and the home cage and halting cognitive testing until the redesign is complete.

Based on the information provided, OLAW is satisfied that appropriate actions have been taken to investigate, correct and prevent recurrence of the noncompliance. Your prompt and thorough resolution of this matter is commendable and consistent with the PHS Policy philosophy of monitored self-regulation. We appreciate having been informed of this matter and find no cause for further action by this Office.

Sincerely,

(b) (6)

Neera V. Gopee, DVM, PhD, DACLAM, DABT
Animal Welfare Program Specialist
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Chair

Dr. Robert M. Gibbens, Director Western Sector, USDA, APHIS, AC



**University of Massachusetts
Amherst**

IACUC office
Mass Venture Center, Room 217
100 Venture Way
Hadley, MA 01035

**Office of the Vice Chancellor for Research
& Engagement**

voice: 413.545.0668
fax: 413.577.1728

October 12, 2018

Dr. Brent Morse, D.V.M.
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7982

Re: PHS Assurance # D16-00337

Dear Dr. Morse,

In compliance with PHS policy, I am writing to provide a report on an adverse event that occurred on Friday, October 5, 2018. The event pertained to research funded by NIH award # 3R21 AG053841-02S1 and covered by IACUC approved protocol # 2016-0065.

During behavioral testing of marmosets, students were returning an animal to its home cage, using a transport box. As the doors to home cage and transport box were lifted, the cage mate jumped into the transport box. While the students waited for the two animals to move back into the home cage, one and then the other rapidly escaped through a small gap where the box was not flush against the home cage.

This set-up and transfer method has been in use for approximately one year with no prior escapes. No one previously detected the gap being large enough for animals to escape.

When the two animals were loose in the room (less than 5 minutes), one fought through the cage with another animal who was recovering from surgery two

days prior. The escaped animal was wounded and the post-surgical animal had sutures pulled out, but did not suffer additional injuries. Both animals were immediately treated by the veterinary staff and have fully recovered; no study data was lost.

The cause of escape was deemed to be due to the equipment, which is now under modification so there will be no space between the box and the cage. It is common practice for behavior testing and surgical recoveries to all occur in the colony room to reduce stress of separation.

We anticipate the redesign of the equipment to provide a rapid and effective solution to this circumstance. No cognitive testing will occur using this set-up until the box is redesigned.

We look forward to your acknowledgment and will answer any questions you may have.

Sincerely,

(b) (6)

Michael F. Malone
Vice Chancellor for Research & Engagement
Institutional Official

Cc: Jesse Mager, IACUC Chair

(b) (6)

Dr. Betty Goldentyer, D. V. M., Eastern Regional Director, USDA APHIS Animal Care, 920 Main Campus Drive, (b) (4) Raleigh, NC 27606

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, October 12, 2018 3:03 PM
To: Vice Chancellor for Research and Engagement; OLAW Division of Compliance Oversight (NIH/OD)
Cc: (b) (6)
Subject: RE: PHS Assurance # D16-00337

Thank you for providing this prompt report. We will send an official response soon.

Best regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

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From: Vice Chancellor for Research and Engagement [mailto:vcre@umass.edu]
Sent: Friday, October 12, 2018 2:26 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: (b) (6)
(b) (6) Betty.J.Goldentyer@aphis.usda.gov; Vice Chancellor for Research and Engagement <vcre@umass.edu>
Subject: PHS Assurance # D16-00337

Dear Dr. Morse,

Please find the attached letter reporting on an adverse event that occurred on Friday, October 5, 2018. We look forward to your acknowledgement and feel free to reach out to answer any questions.

Sincerely,
Mike

Michael F. Malone
Vice Chancellor for Research & Engagement
Ronnie & Eugene Isenberg Distinguished Professor of Engineering
University of Massachusetts Amherst

(b) (6) Assistant: (b) (6)