



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

December 5, 2022

Re: Animal Welfare Assurance  
A3347-01 [OLAW Case 3L]

Dr. Emmanuel Giannelis,  
Vice Provost for Research  
Cornell University  
(b) (4) Day Hall  
Ithaca, NY 14853

Dear Dr. Giannelis,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your November 21, 2022 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the Cornell University. This letter had not been preceded by a preliminary report to OLAW.

According to the information provided, this Office understands that the Cornell University Animal Care and Use Committee (ACUC) determined that an incident occurred with respect to conditions that jeopardized the health/well-being of animals resulting in harm/death to animals. The final report states between September 2 and October 19, 2022, five mouse pups were inadvertently left in cages on the dirty cage rack without food and water after the animals were to have been transferred from that cage. Two animals were found dead, and three animals were euthanized.

The report states the responsible laboratory was notified of the incident and it was emphasized to the lab the importance of checking cages placed on the dirty cage rack to ensure that no pups inadvertently remain in cages. Also, the Principal Investigator discussed the matter with the lab staff and emphasized potential serious ramifications for employees violating this responsibility. It is understood all lab members are now required to place a tag on each cage to identify the person responsible for emptying the cage. The IACUC agreed the corrective actions were appropriate.

The final report classifies this incident as an adverse event. Please note OLAW considers this incident to be a noncompliance as it was preventable if the lab had adhered to policies/procedures regarding the transfer of animals between cages. It is noted the research is supported by PHS funding.

Based on its assessment of this explanation, OLAW understands that the Cornell 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. Giannelis  
December 5, 2022  
OLAW Case A3347-3L*

Sincerely,  
Jacquelyn T.  
Tubbs -S

Digitally signed by Jacquelyn T.  
Tubbs -S  
Date: 2022.12.05 14:40:56 -05'00'

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

cc: IACUC Contact

A3347-3L



Cornell University  
Office of  
Research Integrity and Assurance

Ithaca, NY 14850  
Email: [iacuc@cornell.edu](mailto:iacuc@cornell.edu)  
[www.oria.cornell.edu](http://www.oria.cornell.edu)

November 21, 2022

Axel Wolff, MS, DVM, DACLAM  
Deputy Director, Office of Laboratory Animal Welfare  
National Institutes of Health  
6700B Rockledge Drive, Suite 2500, MSC 6910 Bethesda,  
MD 20892

Animal Welfare Assurance Number: D16-00225 (A3347-01) Cornell University – Ithaca PHS  
Grant or Contract Number: NIH R01HD082568

Dear Dr. Wolff:

As Institutional Official for Cornell University's animal care and use program, I am reporting an adverse event involving five mice that occurred under our General Assurance. This issue was reported to the IACUC at the November 17, 2022 meeting, and the IACUC agreed that the corrective actions taken were appropriate.

**Explanation of the situation:**

Between September 2 and October 19, 2022, five mouse pups were inadvertently left in cages on the dirty cage rack without food and water after they were to have been transferred from that cage. Two were found deceased and three were euthanized.

**Action taken by the institution:**

The responsible laboratory was notified by Center of Animal Resources and Education (CARE) veterinary staff and the IACUC Chair to express the importance of checking cages placed on the dirty cage rack to ensure that no pups inadvertently remain in cages. The PI discussed this issue with the lab staff and emphasized potential serious ramifications for employees violating this responsibility. All lab members are now required to place a tag on each cage identifying the person responsible for emptying the cage.

If you have any questions concerning this adverse event that occurred under our General Assurance, please contact (b) (6) at (b) (6)

Sincerely,

(b) (6)

Emmanuel Giannelis  
Vice President for Research and Innovation

cc:

(b) (6)

AAALAC International

**McCoy, Devora (NIH/OD) [E]**

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Tuesday, November 22, 2022 7:48 AM  
**To:** (b) (6)  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Adverse Event Reports from Cornell University

Good morning (b) (6)

Thank you for sending us these two reports and we will send official responses soon.

Best,  
Devora

Devora McCoy, BS, MBA  
Program Analyst  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health  
301-435-2390

**From:** (b) (6)  
**Sent:** Monday, November 21, 2022 4:28 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** (b) (6) Office of the Vice President for Research and Innovation  
<vp\_research@cornell.edu>; gborkowski@aaalac.org; (b) (6)  
(b) (6)accredit@AAALAC.org  
**Subject:** [EXTERNAL] Adverse Event Reports from Cornell University

Dear Dr. Wolff,

Please see the attached reports from Cornell University's Vice President for Research and Innovation, Dr. Emmanuel Giannelis, describing adverse events that occurred under our General Assurance. Please let me know if you have any questions or concerns.

Sincerely,

(b) (6)