



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

May 26, 2023

Re: Animal Welfare Assurance  
A3292-01 [OLAW Case 2B]

Dr. Mark B. Taubman, M.D.  
CEO University of Rochester Medical Center,  
Dean School of Medicine and Dentistry  
University of Rochester  
601 Elmwood Avenue, PO Box 706  
Rochester, NY 14642

Dear Dr. Taubman,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 19, 2023 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals within the animal care and use program at the University of Rochester. According to the information provided, OLAW understands that 10 mice were found dead, and others were in serious condition because they had not been provided food or water. There was a miscommunication between the laboratory and Animal Resources staff. The Animal Resources staff member in charge of the room was not aware that a special request for cages to be managed by the laboratory had been cancelled, thus returning the cages back to care provided by Animal Resources. There is a logbook in the animal room which contains special requests for laboratory management and a log documenting that the laboratory is monitoring, feeding, and watering the animals at the expected frequency. When cages are labeled as "PI managed" Animal Resources staff are expected to check the logbook to ensure that cages are being serviced. This did not happen.

Corrective and preventive measures were initiated: 1) Animal Resources retrained all animal husbandry staff on the expectations for checking the logbook. 2) The individual responsible received one-on-one retraining by the Animal Resources Director. 3) The Attending Veterinarian submitted an action plan that included retraining for vivarium staff regarding attention to logbooks and body condition scoring. The action plan also included additional documentation in logbooks listing critical action items.

OLAW appreciates the consideration of this matter by the University of Rochester, which was consistent with the philosophy of institutional self-regulation. OLAW views instances of lack of basic living requirements such as food, water, and a proper cage environment with great concern. However, based on the information provided, OLAW is satisfied that appropriate actions have been taken to investigate this incident and prevent recurrence. In future reports, please indicate whether the animals were supported by PHS, NSF, or NASA funds.

We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Robyn M. Engel -S

Digitally signed by Robyn M. Engel -S  
Date: 2023.05.26 11:09:26 -04'00'

Robyn M. Engel, DVM  
Animal Welfare Program Specialist  
Office of Laboratory Animal Welfare

*Page 2 – Dr. Taubman*  
*May 22, 2023*  
*OLAW Case A3292-2B*

**cc: IACUC contact**

A3292-2B

Mark B. Taubman, MD  
CEO, University of Rochester Medical Center and UR Medicine  
Dean, School of Medicine and Dentistry  
Senior Vice President for Health Sciences



UNIVERSITY of  
**ROCHESTER**  
MEDICAL CENTER

MEDICINE of THE HIGHEST ORDER

April 20, 2023

Brent Morse, M.S., D.V.M.  
Director, Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
Rockledge One, Suite 360  
67005 Rockledge Drive – MSC 7982  
Bethesda, Maryland 20892 – 7982

REF: Animal Welfare Assurance #D16-00188

Dear Dr. Morse:

I am attaching a report from the University Committee on Animal Resources about a noncompliance issue.

Please do not hesitate to contact the Chair of the Committee, Dr. Chris Stodgell, if you wish further information. His contact information is: phone number (b) (6) email address is [Chris\\_Stodgell@urmc.rochester.edu](mailto:Chris_Stodgell@urmc.rochester.edu)

Yours truly,

(b) (6)

Mark B. Taubman, M.D.

Attachment  
CS/jz

THE UNIVERSITY COMMITTEE ON ANIMAL RESOURCES

TO: Mark Taubman, M.D.  
CEO, University of Rochester Medical Center  
Dean, School of Medicine & Dentistry  
Senior Vice President for Health Sciences

FROM: Chris Stodgell, Ph.D.  
Chair, University Committee on Animal Resources

DATE: April 19, 2023

SUBJECT: Report of Non-Compliance

During the April 19, 2023, meeting of the University Committee on Animal Resources there was a discussion of a serious issue of non-compliance concerning inadequate food provision by the Vivarium staff.

The Vivarium office self-reported that found dead because they had not been provided food or water. Ten mice were found dead, and there were others that were in serious condition. The unfortunate issue occurred because of a miscommunication between the lab and Animal Resource staff member who cares for the room where these animals were housed. The staff member did not realize a special request for the affected cages to be managed by the lab had been canceled, thus returning the cages back to standard husbandry by the Animal Resource. In situations where cages are managed by the laboratory, there is a log book in present in the room which contains the special request for laboratory management and a log for documenting that the lab was checking on, and feeding and watering the animals at the expected frequency. The cages are also labeled with "PI managed", as well. When cages are labeled as PI managed, the Animal Resource staff responsible for the room are expected to check the log book's documentation to ensure that that lab is, in fact, providing the needed servicing of the cages. This did not happen.

Upon learning to the situation, the Animal Resource took immediate action and retrained all animal husbandry staff on the expectations for checking the log book. The individual responsible in this case also received one-on-one retraining by the Animal Resource Director. The Attending Veterinarian submitted an action plan to UCAR describing the efforts the Animal Resource is taking to ensure that this will not occur; this plan includes retraining for Vivarium staff regarding attention to log books and body condition scoring, and additional documentation in log books listing critical action items. The committee reviewed and approved the plan, but still voted to report this incident of noncompliance to OLAW.

Copy: [REDACTED] (b) (6)

CS/jz

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

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Wednesday, May 3, 2023 9:38 AM  
**To:** (b) (6)  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: URMIC Report of Non-Compliance

Good morning (b) (6)

Thank you for sending us this report, assigned OLAW case number A3292-2B, and we will send an official response soon.

Best,  
Devora

Devora McCoy, BS, MBA ([pronunciation](#))  
Program Analyst  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health

Phone: 301-435-2390  
Email: [devora.mccoy@nih.gov](mailto:devora.mccoy@nih.gov)

**From:** (b) (6)  
**Sent:** Wednesday, May 3, 2023 8:21 AM  
**To:** OLAW Division of Assurances (NIH/OD) <[olawdoa@od.nih.gov](mailto:olawdoa@od.nih.gov)>  
**Subject:** [EXTERNAL] URMIC Report of Non-Compliance

Attached please find a report of non-compliance from the University of Rochester Medical Center. If you have any questions or need any further information, please contact me at your convenience.

Thank you,

(b) (6)