



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
A3063-01 [OLAW Case 1A]

Dr. Lawrence E. Cornett
Vice Chancellor for Research
University of Arkansas for Medical Sciences
4301 W. Markham St., MS #718
Little Rock, AR 72205

Dear Dr. Cornett,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 15, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Arkansas for Medical Sciences (UAMS), following up on an initial September 19, 2018 telephone notification. According to the information provided, OLAW understands that a Principal Investigator failed to secure approval for the transfer seventeen mice from one approved protocol to another and proceeded to perform unauthorized procedures on the animals. There were no animal welfare concerns to report as a result of the noncompliance and the animal activity was not supported by PHS funds.

The corrective actions consisted of discussing with the Principal Investigator the importance of ensuring confirmation of approval for submitted transfer requests prior to performing any animal work, notifying all animal users of the appropriate procedures for transferring animals and conducting formal training and a post approval monitoring audit of the laboratory by November 30, 2018.

The establishment and application of policies and practices that are consistent with the provisions of the PHS Policy on Humane Care and Use of Laboratory Animals at UAMS are commendable and avoid the perception of a double standard. We appreciate having been informed about 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

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Lawrence E. Cornett, Ph.D.
Vice Chancellor for Research



October 15, 2018

Brent Morse, DVM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, MD 20892

Dear Dr. Morse:

The University of Arkansas for Medical Sciences (UAMS), in accordance with Assurance A3063-01 and PHS Policy IV.F.3., provides this final report of an animal welfare issue resulting from protocol non-compliance. The events occurred under a project funded by internal departmental funds.

On September 11, 2018, a Principal Investigator (PI) with an IACUC approved animal use protocol transferred 17 mice from another investigator's breeding colony to her own protocol for use in an experiment. The PI then performed experimental procedures on those 17 mice in accordance with her IACUC approved protocol. However, the PI did not submit the required transfer request form until September 13, and the transfer request could not be approved as submitted. This resulted in non-compliance as the mice were not on the PI's protocol at the time of the experiment and were subjected to procedures that differed from those included in the protocol which covered the animals. The procedures conducted on the animals were congruent with the transferring PI's approved protocol, and no welfare issues occurred for these animals.

In order to correct this noncompliance and ensure that it does not recur, the following actions were taken:

1. The IACUC Compliance Subcommittee, which consists of the IACUC Chairman, the two Clinical Veterinarians, three voting members of the IACUC, the Research Compliance IACUC Analyst, and the IACUC Administrator, met to discuss the noncompliance issue on September 21, 2018.
2. The IACUC Compliance Subcommittee also met with the Principal Investigator on September 28, 2018. After a good discussion, the PI now understands the importance of first submitting the transfer request, and waiting for confirmation of approval prior to moving the animals or conducting any procedures.
3. The IACUC Compliance Subcommittee determined that steps were needed to ensure that all investigators understand the appropriate animal transfer process. A reminder letter and explanation of the policy/procedure for animal transfer was sent via email to the animal users on campus on September 27, 2018.

4. Additionally, the Research Compliance IACUC Analyst, a Clinical Veterinarian, and the IACUC Chair will conduct a formal training and Post Approval Monitoring visit with the PI and her staff to further provide policy training and evaluation of the animal use in this laboratory. This will be completed by November 30, 2018.

This incident was first reported to you on September 19, 2018, via a telephone call from me as the UAMS Institutional Official.

UAMS is committed to protecting the welfare of animals used in research and appreciates the guidance and assistance provided by OLAW in this regard. Should you have any questions regarding this report, please feel free to contact me.

Thank you for your consideration of this matter.

Sincerely,

(b) (6)

Lawrence E. Cornett, Ph.D.
Vice Chancellor for Research and Institutional Official

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, October 17, 2018 7:53 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Letter from Dr. Lawrence Cornett - Animal Welfare Issue

Thank you for this report. We will send a response soon.

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

-----Original Message-----

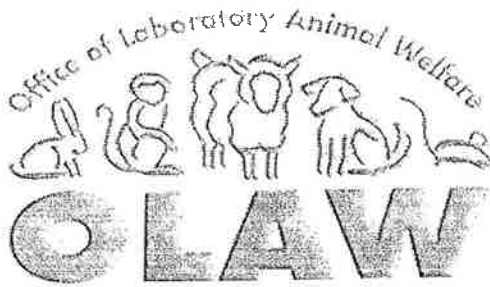
From: (b) (6)
Sent: Tuesday, October 16, 2018 3:18 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: Letter from Dr. Lawrence Cornett - Animal Welfare Issue

Dr. Morse -

Attached you will find a letter from Dr. Larry Cornett. Please let me know if you have any questions.

Thank you,

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Initial Report of Noncompliance

By: BAMDate: 9/19/18Time: Voicemail

Name of Person reporting: Larry Corneth, I.O.
 Telephone #: (b) (6)
 Fax #: (b) (6)
 Email: (b) (6)

Name of Institution: U. of AR for Med. Sci.
 Assurance number: A3063

Did incident involve PHS funded activity? ?

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? PI transferred 17 mice from another PI's protocol + infected them w/ bacteria. Only suppose to use mice bred for the protocol.

Species involved: micePersonnel involved: PI

Dates and times: _____

Animal deaths: _____

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

Projected submission to OLAW of final report from Institutional Official: _____

OFFICE USE ONLY

Case # _____