



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

January 7, 2019

Re: Animal Welfare Assurance
A3063-01 [OLAW Case 1C]

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 January 3, 2019 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, following up on an initial telephone report on October 15, 2018. According to the information provided, OLAW understands that a graduate student conducted animal activities prior to completing required training and health screening. The student was also not listed on the protocol.

The corrective actions consisted of counseling the Principal Investigator and laboratory manager on procedures for processing new staff. The student completed training before working with animals and after finishing the work the rotation through the laboratory ended.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and prevent recurrence of this problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy. Please remember to state the species involved in all noncompliance reports. Thank you for informing OLAW about this matter.

Sincerely,

(b) (6)

Axel Wolff, M.S., D.V.M.
Deputy Director
Office of Laboratory Animal Welfare

cc: IACUC Chair

4301 W. Markham St., #718
Little Rock, AR 72205-7199

501-686-5347
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Lawrence E. Cornett, Ph.D.
Vice Chancellor for Research



January 3, 2019

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 a non-compliance issue which did not result in any animal welfare concern. The events occurred under a project funded by internal departmental funds.

On September 21, 2018, cages were discovered in the animal facility labeled with a name that was unknown to the Division of Laboratory Animal Medicine (DLAM) staff. Upon investigation, it was discovered that this was a new graduate student at the end of his rotation through an investigator's laboratory. The student was new to UAMS and did not have the required health screening, DLAM certification or CITI training when he began his rotation in the laboratory. By the time the student completed all required training and spent some time observing procedures, he was at the end of his rotation. The investigator mistakenly let him complete a quick project without first adding him to the IACUC-approved protocol. There were no welfare issues with the animals in question, and the student had completed all required training before handling animals and performing procedures.

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 Principal Investigator sent a written response to the IACUC Compliance Subcommittee on September 25, 2018, to explain how the non-compliance occurred.
3. The Research Compliance IACUC Analyst had follow up meetings with the Principal Investigator and his laboratory staff to explain the steps that should have occurred, including that an addendum to add the student to the protocol could be administratively approved, typically in a matter of hours.
4. The PI was on extended leave for (b) (6) following the non-compliance issue and

appointed a senior laboratory member to act as his laboratory manager both during and following his absence. The Research Compliance IACUC Analyst had several meetings with the new laboratory manager to ensure that he understood the issue as well. The PI and his staff now understands the importance of first submitting the addendum request, and waiting for confirmation of approval prior to having new students or staff handle animals or perform procedures.

This incident was first reported to you on October 15, 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

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, January 03, 2019 4:13 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: (b) (6)
Subject: RE: Letter from Dr. Larry Cornett

Thank you for providing this final 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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-----Original Message-----

From: (b) (6)
Sent: Thursday, January 03, 2019 3:35 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: (b) (6)
Subject: Letter from Dr. Larry Cornett

Dr. Morse,
Please see the attached letter from Dr. Cornett. If you have any questions please let me know.

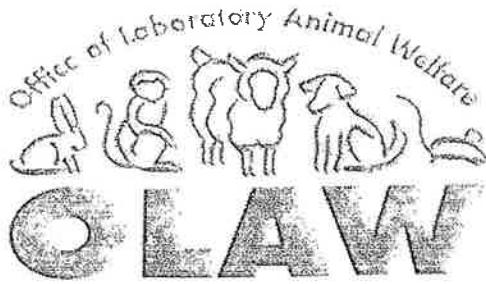
Thank you,

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

From: PADM135 [mailto:toshiba@uams.edu]
Sent: Thursday, January 03, 2019 3:45 PM
To: (b) (6)
Subject: Send data from PADM135 01/03/2019 15:44

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Initial Report of Noncompliance

By: zmmDate: 10/15/18Time: VoicemailName of Person reporting: Larry Cornette, I.O.Telephone #: (b) (6)Fax #: (b) (6)Email: (b) (6)Name of Institution: Univ. of Arkansas for Med. Sci.Assurance number: A3063Did incident involve PHS funded activity? ?Funding component: Was funding component contacted (if necessary): What happened? New grad. student allowed to work w/ animals before CITI training or OHS clearance.Species involved: Personnel involved: Dates and times: Animal deaths: Projected plan and schedule for correction/prevention (if known): Projected submission to OLAW of final report from Institutional Official:

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Case #