



DEPARTMENT OF HEALTH & HUMAN SERVICES

PUBLIC HEALTH SERVICE
NATIONAL INSTITUTES OF HEALTH

FOR US POSTAL SERVICE DELIVERY:

Office of Laboratory Animal Welfare
Rockledge One, Suite 360
6705 Rockledge Drive B MSC 7982
Bethesda, Maryland 20892-7982
Home Page: <http://grants.nih.gov/grants/olaw/olaw.htm>

FOR EXPRESS MAIL:

Office of Laboratory Animal Welfare
Rockledge One, Suite 360
6705 Rockledge Drive
Bethesda, Maryland 20817
Telephone: (301) 496-7163
Facsimile: (301) 402-7065

May 28, 2019

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

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 May 14, 2019 letter reporting a non-compliance with the PHS Policy on the Humane Care and Use of Laboratory Animals at the University of Arkansas for Medical Sciences. Your letter supplemented the information in your prompt preliminary phone report on February 1, 2019. According to the information provided it is understood that on January 30, 2019 it was determined that an investigator had been housing rats in metabolic cages that were of insufficient height. The investigator's protocol was approved for housing mice in these cages but not rats. The work was stopped until a protocol amendment request to add the collection of samples from rats in metabolic cages was approved and until new metabolic cages were purchased. It was noted that this animal activity was not PHS-funded.

Further corrective and preventive actions included the Attending Veterinarian meeting with the investigator to discuss the incident. In addition, the investigator completed applicable CITI online training modules. Also, new, appropriately sized metabolic cages have been purchased and received. Post-approval monitoring visits have also taken place covering reviews of all of the investigator's animal use protocols and training on applicable regulations and policies.

OLAW believes that the actions by the University of Arkansas for Medical Sciences in response to this incident were appropriate and consistent with the provisions of the PHS Policy on Humane Care and Use of Laboratory Animals. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

(b) (6)

for Brent C. Morse, DVM
Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Contact

Research Administration
4301 W Markham St., #718
Little Rock, Arkansas 72205
MAIN: 501-686-5347
FAX: 501-526-7465

UAMS.edu
UAMShhealth.com



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

May 14, 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 that did not result in an animal welfare issue. The event occurred under a project funded by private foundation funds.

An investigator deviated from his IACUC-approved protocol by collecting samples from rats housed in metabolic cages for several days. He had approval to collect samples from mice but not from rats. Additionally, the metabolic cages used did not meet the height requirements spelled out in the *Guide for the Care and Use of Laboratory Animals*. The Clinical Veterinarian discovered this deviation on January 30, 2019. The investigator immediately submitted an addendum request to the IACUC to add the collection of samples from rats in metabolic cages. The IACUC Addendum Subcommittee did not have sufficient information to approve this request at their February 1, 2019, meeting and they therefore recommended that the work cease. The investigator did agree to stop this work until his addendum request was approved and new metabolic cages were purchased.

The following actions were taken in order to correct this noncompliance and ensure that it does not recur:

1. The Attending Veterinarian met with the investigator immediately following the incident to explain the concern as well as to check the welfare of the animals involved. No welfare concerns were observed. The investigator stated that he had borrowed the cages from a colleague who had used them for small rats in the past and he did not realize that, since his rats were larger and the collection time would be longer, larger cages would be required.
2. The investigator resubmitted his addendum request with the necessary information. The IACUC Addendum Subcommittee reviewed and approved the addendum request on February 8, 2019.
3. The noncompliance event was discussed at the IACUC full committee meeting on February 15, 2019. The committee agreed that the investigator should receive a Post Approval Monitoring visit.

4. The Research Compliance IACUC Analyst, the IACUC Chairman, and the Clinical Veterinarian conducted Post Approval Monitoring reviews of all of the investigator's animal use protocols to ensure that all of his animal work was in compliance with his IACUC approved protocols and the applicable regulations and policies. Training on the applicable regulations and policies was included as part of these reviews.
5. The investigator also completed the CITI online training modules "Working with the IACUC", "Reducing Pain and Distress in Laboratory Mice and Rats", and "Responsible Conduct of Research".
6. The investigator ordered new metabolic cages that met the requirements of the Guide and agreed not to resume the collection of samples from rats until the new cages were in place. The investigator received the new cages on May 8, 2019, and confirmed that these cages do meet the height requirements.

This incident was first reported to you on February 1, 2019, 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.
Associate Vice Chancellor for Research and Institutional Official

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Wednesday, May 15, 2019 7:27 AM
To: (b) (6)
Cc:
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: Tuesday, May 14, 2019 5:45 PM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Cc: (b) (6)
Subject: Letter from Dr Larry Cornett

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

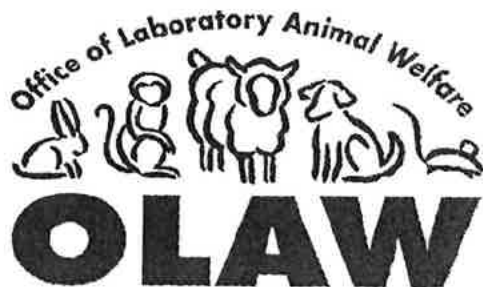
Thank you,

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

From: PADM135 [mailto:toshiba@uams.edu]
Sent: Tuesday, May 14, 2019 4:54 PM
To: (b) (6)
Subject: Send data from PADM135 05/14/2019 16:54

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Initial Report of Noncompliance

By: *BM*Date: *2/4/19*Time: *Voicemail from 2/1/19*Name of Person reporting: *Larry Cornett*

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: *Univ. of Ark. for Med. Sciences*Assurance number: *A3063*Did incident involve PHS funded activity? *?*

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Investigator approved to use mice in metabolic cages. Used rats w/o IACUC approval. Rats in mouse met. cages.*

Species involved: *Rat*Personnel involved: *Investigator*

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 # _____