

Room #

Signature



December 27, 2017

Axel Wolff, M.S., DVM  
Deputy Director  
National Institutes of Health  
Office of Laboratory Animal Welfare  
RBL1, Suite 360  
6705 Rockledge Drive, MSC 7982  
Bethesda, MD 20892-7982

Dear Dr. Wolff,

I am writing to provide additional information as requested in the attached letter from Dr. Jane Na on December 11, 2017 concerning A3514-01 OLAW Case R.

While our investigation continues into the specific root cause of the flood in the penthouse of Weiskotten Hall, progress has been made into the retraining of engineering, security and environmental services personnel to ensure timely reporting and response in any future incidents. Attached is notification received from [Secondary Individual] Director of the Physical Plant Department, that this training has occurred.

As additional assurance of the unlikeliness of a similar occurrence, the Weiskotten Hall animal facility is scheduled to begin complete renovations on or about July 1, 2018, which will include a new roofing system both within and outside of the penthouse. This should prevent future leaks caused by nature or human error from draining down into the animal facility.

I hope this additional information gives you confidence that we are working diligently to resolve these issues. We have maintained a long history of exceptional research animal care and take every instance of diminished animal welfare very seriously. Please let us know if we can provide any further information.

Sincerely,

Signature

David Amberg, Ph.D.  
Vice President for Research  
Institutional Official

xc: Jane Na, DVM

Attachments (2)





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 - 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

December 11, 2017

Re: Animal Welfare Assurance  
A3514-01 [OLAW Case R]

Dr. David Amberg  
Vice President for Research  
State University of New York  
Upstate Medical University  
505 Irving Avenue, Room #  
Syracuse, NY 13210

Dear Dr. Amberg,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your November 28, 2017 letter reporting unanticipated mice deaths at State University of New York Upstate Medical University. According to the information supplied, OLAW understands that a flood on the floor directly above the animal facility resulted in water seepage into several cages leading to the death of nine mice. A breakdown in communication was also described that prevented a timely response by laboratory animal resources personnel. Seven of the nine mice involved belonged to an investigator with several Public Health Service National Institutes of Health grants.

Corrective actions included retraining the facilities personnel who caused the flood by mistakenly opening a drain valve without directing a hose to a floor drain. The letter indicated that personnel are working with facilities and security management to ensure proper implementation of the emergency response plan.

OLAW understands that actions to address this incident and prevent recurrence are being planned. In order for OLAW to more fully understand this event and further assess the corrective actions, please provide additional information to outline all short and/or long-term corrective plans along with the schedule for correction to ensure proper implementation of the emergency response plan. Please provide an update to OLAW no later than **January 31, 2018** to [olawdco@mail.nih.gov](mailto:olawdco@mail.nih.gov) and carbon copy to [jane.na@nih.gov](mailto:jane.na@nih.gov). We appreciate being informed of these matters and look forward to receiving the requested additional information.

Sincerely,

Signature

Jane Na, DVM  
Veterinary Medical Officer  
Office of Laboratory Animal Welfare

cc: IACUC Contact



**Quality Improvement Review – Leak Response, November 24, 2017**

**Event or Failure:**

On November 24, 2017, HVAC received a call from housekeeping that ceiling tiles were down in the hallway in front of #3140. The technician went to investigate and found water coming from the 4<sup>th</sup> floor. He then found water ceiling tiles down and water coming down from the North penthouse mechanical room. He went up to the penthouse and secured the open valve that was flowing water. He then started to help with the cleanup in the penthouse while EVS was cleaning the water on the lower floors. Around 7 am that morning, HVAC received another call stating water was found in some of the rooms and still dripping from the ductwork in the hallway on the 4<sup>th</sup> floor.

**Issue:#1** – The technician did not know there was water in the rooms. He thought the situation was under control. Because of this, the DLAR administration was not notified.

**Corrective Action:** Staff have been re-trained in the required response for leaks to notify DLAR administration of any leak that could potentially impact the animal facilities. Also, HVAC will call security to gain access into rooms to verify if there is a leak in the room. In addition, the on-call HVAC Grade 16 supervisor will be called as well as the Physical Plant Administrator on Call.

**Notes:** The cause of the leak is still under investigation by Upstate University Police.

**Prepared By:**

Secondary Individual

Director of Physical Plant  
December 11, 2017





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December 11, 2017

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A3514-01 [OLAW Case R]

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Vice President for Research  
State University of New York  
Upstate Medical University  
505 Irving Avenue, Room #  
Syracuse, NY 13210

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Sincerely,

Signature

Jane Na, DVM  
Veterinary Medical Officer  
Office of Laboratory Animal Welfare

cc: IACUC Contact



**Morse, Brent (NIH/OD) [E]**

**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Wednesday, November 29, 2017 1:05 PM  
**To:** Secondary Individual OLAW Division of Compliance Oversight (NIH/OD)  
**Cc:** David Amberg; Secondary Individual; Secondary Individual  
**Subject:** RE: Incident Report - PHS Assurance # D16-00318

Thank you for this report Secondary Individual. We will send an official response soon.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM  
 Acting Director  
 Division of Compliance Oversight  
 Office of Laboratory Animal Welfare  
 National Institutes of Health

Please note that this message and any of its attachments are intended for the named recipient(s) only and may contain confidential, protected or privileged information that should not be distributed to unauthorized individuals. If you have received this message in error, please contact the sender.

**From:** Secondary Individual [mailto:Secondary Individual@upstate.edu]  
**Sent:** Tuesday, November 28, 2017 2:11 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** David Amberg <AmbergD@upstate.edu>; Secondary Individual @upstate.edu; Secondary Individual  
 Secondary Individual@upstate.edu  
**Subject:** Incident Report - PHS Assurance # D16-00318

Dr. Axel Wolff, Deputy Director  
 OLAW  
[olawdco@mail.nih.gov](mailto:olawdco@mail.nih.gov)

Dear Dr. Wolff:

On behalf of our Institutional Official, Dr. David Amberg, I am submitting the attached incident report involving animals used in research at SUNY Upstate Medical University. Our PHS Assurance number is D16-00318.

Please contact us if you need additional information.

Respectfully,

Secondary Individual

IACUC Coordinator  
 IACUC Office - NRB 2603  
 SUNY Upstate Medical University



505 Irving Avenue  
Syracuse, NY 13210  
Phone Number [office]  
Phone Number [fax]  
dary Ind@upstate.edu



A3514-R

November 28, 2017

Axel Wolff, M.S., DVM  
National Institutes of Health  
Office of Laboratory Animal Welfare  
RBL1, Suite 360  
6705 Rockledge Drive, MSC 7982  
Bethesda, MD 20892-7982

Dear Dr. Wolff:

I am writing to inform you of a recent incident that occurred in one of our animal holding facilities. Sometime during the night of November 23, 2017, a flood occurred in the penthouse of Weiskotten Hall, which sits directly over the 4th floor animal facility. This is an older facility, so water was able to seep through cracks and light fixtures directly into the animal holding rooms. Although most of the facility was fine, a significant amount of water drained into one mouse holding room and filled several shoebox cages resulting in the death of 9 mice; 7 belonging to Dr. Andras Perl who holds several NIH grants and 2 sentinels.

The cause of the flood was the opening of a drain valve that was supposed to be directed with a hose to a floor drain. This was a mistake by facilities personnel and they have been retrained to prevent reoccurrence. Although it is unknown whether these animals could have been saved once the flood was detected, there was also a communication breakdown which prevented timely response by DLAR personnel. We are working with facilities and security management to ensure proper implementation of our emergency response plan to help prevent any such animal loss in the future.

Please let me know if you have any questions concerning this incident and we would be happy to address them.

Sincerely,

Signature

David Amberg, Ph.D.  
Vice President for Research  
Institutional Official

xc: Secondary Individual Executive Director, AAALAC



**Ward, Joan (NIH/OD) [E]**

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**From:** Secondary Individual @upstate.edu>  
**Sent:** Tuesday, November 28, 2017 2:11 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD)  
**Cc:** David Amberg; Secondary Individual; Secondary Individual  
**Subject:** Incident Report - PHS Assurance # D16-00318  
**Attachments:** D16-00318 Incident report 11-28-17.pdf

Dr. Axel Wolff, Deputy Director  
OLAW  
[olawdco@mail.nih.gov](mailto:olawdco@mail.nih.gov)

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Dear Dr. Wolff:

On behalf of our Institutional Official, Dr. David Amberg, I am submitting the attached incident report involving animals used in research at SUNY Upstate Medical University. Our PHS Assurance number is D16-00318.

Please contact us if you need additional information.

Respectfully,

Secondary Individual

IACUC Coordinator  
IACUC Office - NRB 2603  
SUNY Upstate Medical University  
505 Irving Avenue  
Syracuse, NY 13210  
Phone Number [office]  
Phone Number [fax]  
Secondary Individual @upstate.edu