



DEPARTMENT OF HEALTH & HUMAN SERVICES

PUBLIC HEALTH SERVICE
NATIONAL INSTITUTES OF HEALTH

FOR US POSTAL SERVICE DELIVERY:

Office of Laboratory Animal Welfare
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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

July 23, 2018

Re: Animal Welfare Assurance
#A3325-01 (OLAW Case 1I)

Dr. Steven Goodman
Vice Chancellor for Research
University of Tennessee Health Science Center
910 Madison Avenue – [REDACTED]
Memphis, TN 38163

Dear Dr. Goodman,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 19, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Tennessee Health Science Center (UTHSC). According to the information provided, OLAW understands that mice were being housed overnight in a laboratory not approved as a satellite facility. These mice had been transferred from the Veterans Administration Medical Center without approval from the UTHSC Institutional Animal Care and Use Committee (IACUC) and no protocol was in place to cover animal activities. The Principal Investigator (PI) had been involved in prior noncompliant activities. The grant involved is 5R01AR069010.

The corrective actions consisted of the IACUC suspending the PI's animal use privileges for one year and prohibiting entry to the animal facilities. The IACUC will consider reinstatement in one year as well as any required retraining. The matter has also been referred to the Office of Academic, Faculty, and Student Affairs.

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 IACUC to comply with the PHS Policy.

Sincerely,

[REDACTED] (b) (6)

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

cc: IACUC Chair
Melinda Nelson, NIAMS Chief GMO



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July 19, 2018

Division of Compliance Oversight
Office of Laboratory Animal Welfare (OLAW)
National Institutes of Health
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, MD 20892

Dr. Morse or Dr. Wolff:

The Institutional Animal Care and Use Committee (IACUC) at The University of Tennessee Health Science Center (UTHSC) wishes to report an incident related to unapproved activities on unapproved animals by (b) (6). This is being done through me, as the Institutional Official (IO). We wish to report the sequence of events that occurred and the remedial actions being taken. Our institutional Animal Welfare Assurance number is A3325-01. The work is supported by NIH Grant 5R01AR069010.

Incident:

1. On 6/20/18, the Attending Veterinarian, Dr. David Hamilton was alerted by his staff to the possibility that unapproved animals were being housed in (b) (6) lab in the Coleman building at UTHSC.
2. On 6/26/18, following several attempts to visit the lab, it was determined by the IACUC Chair, Dr. Steketee and Dr. Hamilton that, indeed, (b) (6) had been housing mice (transported from the Veterans Administration Medical Center [VAMC] by her or her staff) overnight in her Coleman laboratory. (b) (6) during questioning, confirmed the following facts: (a) mice were being brought over to UTHSC from the VAMC, and housed overnight (up to 18 hours), prior to terminal procedures the next day.
3. The VAMC animals that were being brought to the (b) (6) lab were transported to the UTHSC campus without the knowledge of the UTHSC IACUC or Laboratory Animal Care Unit. Further the VAMC had no knowledge of their removal from their vivarium. In short, there was no approved transfer of these animals from the VAMC to UTHSC onto an approved protocol.

IACUC Actions

The IACUC discussed the findings during its regularly scheduled meeting on July 10, 2018. During its deliberations, the IACUC considered: 1) the serious nature of the current non-compliance incident, namely, performing unapproved activities (i.e., no protocol) on unapproved

animals; and 2) (b) (6) past history of protocol non-compliance at UTHSC, dating to 2016, including the noteworthy sanctions that were imposed by the IACUC, at that time.

Based on the above, the IACUC voted at the July 10th meeting to **suspend** (b) (6) right to conduct and/or engage in any form of research that involves the use of live animals on the UTHSC campus for a period of **one year**. The suspension of animal related activities includes, but is not limited to: her ability to act in any capacity on all current or future UTHSC IACUC protocols, including the supervision of others engaged in live animal research. All access to UTHSC animal facilities have been removed.

The IACUC will review the status of (b) (6) suspension in one year, including any remediation training related to the responsible conduct of research that she may undertake, during the suspension period. (b) (6) has been advised to contact the IACUC office for recommendations on appropriate coursework. Finally, the IACUC has referred this matter to the Office of Academic, Faculty and Student Affairs.

Sincerely,

(b) (6)

Steven R. Goodman, PhD
Vice Chancellor for Research and Institutional Official

Copied:

(b) (6)

Sue Theus, PhD. ACOS-R, VAMC

Jeff Steketee, PhD IACUC, Chair

(b) (6)

David Hamilton, DVM Attending Veterinarian
AAALACi

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, July 20, 2018 12:50 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Goodman, Steven R; (b) (6) Steketee, Jeffery D; (b) (6)
Hamilton, David
Subject: RE: Non-compliance report Assurance #A3325-01

Thank you for providing this report of this unfortunate situation. We will send an official response soon. Please be sure to notify the NIH funding component for the grant regarding this issue.

Sincerely, Brent Morse

Brent C. Morse, DVM, DACLAM
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: (b) (6)@uthsc.edu]
Sent: Friday, July 20, 2018 12:08 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Goodman, Steven R <sgoodma5@uthsc.edu>; (b) (6)@uthsc.edu>; Steketee, Jeffery D <jstekete@uthsc.edu>; (b) (6)@uthsc.edu>; Hamilton, David <dhamilt7@uthsc.edu>; 'accredit@aaalac.org' <accredit@aaalac.org>; sue.theus@va.gov
Subject: Non-compliance report Assurance #A3325-01

Report attached.

Please contact us if additional information is needed.

(b) (6)