



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

April 10, 2019

Re: Animal Welfare Assurance
A3007-01 [OLAW Case 2B]

G. Michael Purdy, Ph.D.
Executive Vice President for Research
Columbia University Medical Center
535 West 116th St. – (b) (4) Low Library MC 4310
New York, NY 10027

Dear Dr. Purdy,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your March 28, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at Columbia University. Your letter supplements the information in the initial prompt telephone report made by Dr. Shepherd on November 29, 2018. According to the information provided, OLAW understands that on November 20, 2018 the Executive Director of the IACUC was notified by the Attending Veterinarian that a disconnected housing rack waterline had resulted in a significant number of dead or ill mice. It was determined that 40 adult mice and 137 weanlings ultimately died as a result of the incident. Subsequent to an IACUC investigation it was determined that disciplinary action should be taken against the Institute of Comparative Medicine (ICM) supervisor and the four technicians involved in the incident. All ICM husbandry personnel in the building where the incident occurred, including the four technicians involved in the incident, were retrained on all aspects of the operation and maintenance of the auto-water manifold on the animal housing racks. Reminders to check that auto-water manifolds are connected properly were placed on housing room doors. This activity was funded by the PHS (5U54CA193313-04).

OLAW appreciates the consideration of this matter by Columbia University, which was consistent with the philosophy of institutional self-regulation. Based on the information provided, OLAW is satisfied that appropriate actions have been taken to investigate this incident, correct the noncompliance, and prevent recurrence. OLAW concurs that the incident warranted reporting. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

(b) (6)

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

cc: IACUC Contact
Mary Jo Shepherd, DVM, IACUC Office Director
Crystal Wolfrey, Chief Grants Management Officer, NCI

COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK
EXECUTIVE VICE PRESIDENT FOR RESEARCH

March 28, 2019

Brent Morse, D.V.M.
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
6705 Rockledge Drive
Suite 360, MSC 7982
Bethesda, MD 20892-7982

Re: Columbia University
Animal Welfare Assurance # D16-00003 (A3007-01)

Dear Dr. Morse,

On November 29, 2018, Columbia University (the "University") notified the Office of Laboratory Animal Welfare ("OLAW") by telephone of an incident that resulted in the deaths of 40 adult mice and 137 recently weaned mouse pups. Each of the animals that died was being used in research supported by the Public Health Service under a protocol (AAV5454) funded by NIH grant # 5U54 CA193313-04.

This letter reports the results of a review of this matter by the Institutional Animal Care and Use Committee ("IACUC" or the "Committee") and the corrective actions taken.

Background and Investigation

On November 20, 2018, the Attending Veterinarian ("AV"), Dr. Brian Karolewski, informed the Executive Director of the IACUC, Dr. Mary Jo Shepherd, that a significant number of mice had been found dead or in ill health due to a disconnected housing rack waterline in the central animal facility. Staff members from the Institute of Comparative Medicine ("ICM") immediately started providing medical assistance to the ill animals, but 40 adult mice and 137 weanlings ultimately died as a result of the incident.

The Executive Director notified the IACUC Chair when she learned of the incident, and an investigation was initiated. The investigative team subsequently met with personnel from the ICM, including the veterinarian assigned to the building where the incident occurred, the ICM Facilities Operations Manager and an ICM Assistant Manager.

Corrective Actions

A report from the investigative team was provided to the IACUC and the incident was reviewed at convened meetings of a quorum of the Committee held on January 10, 2019 and February 7, 2019. The AV and Associate Director of the ICM informed the IACUC that the following corrective measures had been implemented:

1. The technicians involved in the incident and all ICM husbandry personnel in the building where the incident occurred were retrained on all aspects of the operation and maintenance of the auto-water manifold on the animal housing racks;
2. Reminders to check that the auto-water manifolds are connected properly were placed on housing room doors;
3. The four responsible technicians were subject to disciplinary action; due to the severity of the event, the first two steps of disciplinary action (coach/counsel and verbal warning) were skipped and written warnings were issued;
4. Disciplinary action was also taken against the ICM supervisor of the technicians involved in the incident.

Following review of the facts and discussion at both meetings, the IACUC accepted the corrective actions taken by the ICM.

Columbia University regrets the loss of these animals and remains committed to achievement and maintenance of the highest standards of laboratory animal care and use. If you have any further questions concerning this report, please contact Dr. Shepherd at (b) (6)

Sincerely,

(b) (6)

G. Michael Purdy, Ph.D.
Executive Vice President for Research

cc:

(b) (6)

Brian Karolewski, D.V.M.
MJ Shepherd, D.V.M.

Wolff, Axel (NIH/OD) [E]

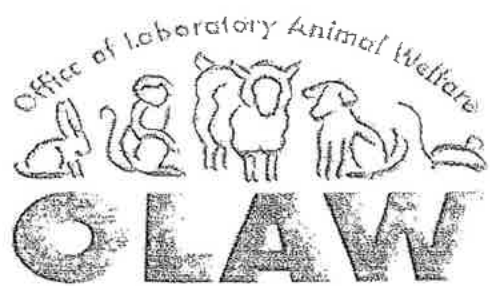
From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, March 29, 2019 6:52 AM
To: Shepherd, Mary J.
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Columbia University Compliance Reports

Thanks for these 3 reports, MJ. We will send responses soon.
Axel Wolff

From: Shepherd, Mary J. <ms4387@cumc.columbia.edu>
Sent: Thursday, March 28, 2019 2:00 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: Columbia University Compliance Reports

Attached are three compliance reports from Columbia University. Please let me know if you have any questions or concerns. Thank you. MJ

Mary Jo (MJ) Shepherd, DVM, CPIA
Executive Director of the Office of the IACUC
Columbia University
(b) (6)



Initial Report of Noncompliance

By: BM

Date: 11/29/18

Time: 3:15

Name of Person reporting: M.J. Shepherd

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Columbia U.

Assurance number: A3007

Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? 40 mice died when recoil rack water hose not connected.

Species involved: Mouse

Personnel involved: Am. Care

Dates and times: 11/21/18

Animal deaths: 40 adults + ? pups

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____