



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

August 13, 2019

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

G. Michael Purdy, Ph.D.
Executive Vice President for Research
Columbia University Medical Center
535 West 116th St. – 313 Low Library MC 4310
New York, NY 10027

Dear Dr. Purdy,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your August 12, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at Columbia University, following up on an initial telephone report on July 31, 2019. According to the information provided, OLAW understands that a mouse drowned in a behavioral testing pool. It was determined that the water was much colder than described in the protocol and that the investigator left the carcass in the pool and departed.

The corrective actions consisted of notifying the co-Principal Investigator who suspended the individual's animal use privileges. The Institutional Animal Care and Use Committee (IACUC) directed the individual to undergo retraining and to not use the animal facility on weekends or after hours or without supervision.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to prevent recurrence of this problem. OLAW concurs with the actions taken by the IACUC to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: IACUC Chair
Executive Director, IACUC

COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

EXECUTIVE VICE PRESIDENT FOR RESEARCH
/

August 12, 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 July 31, 2019, Columbia University (the "University") notified the Office of Laboratory Animal Welfare ("OLAW") by telephone of an incident in which a mouse drowned during a behavioral swim test that was not conducted in compliance with the applicable protocol. The research under the associated protocol (AAAR4414) was supported by the Public Health Service under NIH grant # 5R01 HL140934-02.

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

Background and Investigation

On February 26, 2019, the Director of the Columbia University Mouse NeuroBehavior Core facility notified Dr. Mary Jo Shepherd, Executive Director of the IACUC, that a mouse had drowned in one of the behavioral testing pools and that the individual working with the animal then departed the area without retrieving the carcass from the pool.

Dr. Shepherd notified the IACUC Chair when she learned of the incident and an investigation was initiated. Dr. Shepherd also immediately notified the co-Principal Investigator of the grant funding the behavioral testing, who is also the head of the laboratory where the responsible researcher works; that individual stated that he was removing the researcher from all work with animals pending the outcome of the IACUC investigation. The IACUC investigative team (Dr. Shepherd and another IACUC member) met with the Director of the Core facility and then with the researcher. The investigative team found that the mouse drowned after it was placed by the researcher in water that was much colder than allowed under the protocol, and that the researcher then left the mouse carcass in the pool, where it was discovered the following day.

Corrective Actions

A report from the investigative team was provided to the IACUC and a convened meeting of a quorum of the Committee was held on April 3, 2019. Following review of the facts and discussion, the Committee voted to impose the following corrective measures:

1. The researcher responsible for the death of the animal was required to undergo specially tailored training, including sensitivity training regarding care and use of laboratory animals, by a veterinarian from the University's Institute of Comparative Medicine. The IACUC also acknowledged that the Director of the Core facility could set additional restrictions on the individual's use of the facility.

To help ensure future compliance, the Director of the Core facility has determined that the responsible individual is not permitted to use the facility on the weekend or after hours, or at any time without supervision.

Columbia University 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)

MJ Shepherd, D.V.M.

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, August 12, 2019 1:14 PM
To: Shepherd, Mary J.; OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Compliance Report From Columbia University

Thank you for providing this final report Dr. Shepherd. 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

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: Shepherd, Mary J. [mailto:ms4387@cumc.columbia.edu]
Sent: Monday, August 12, 2019 12:30 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Subject: Compliance Report From Columbia University

See attached report. Please let me know if there are 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: gamDate: 7/31/19Time: 12:45

Name of Person reporting: M. J. Shepherd, DVM
 Telephone #: (b) (6)
 Fax #: [REDACTED]
 Email: [REDACTED]

Name of Institution: Columbia Univ.
 Assurance number: A3007

Did incident involve PHS funded activity? Yes
 Funding component: _____
 Was funding component contacted (if necessary): _____

What happened? Mouse placed in water maze that was too cold. Mouse expired.

Species involved: Mouse
 Personnel involved: Researcher
 Dates and times: February 2019
 Animal deaths: Yes, one mouse

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____