



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

March 28, 2018

Re: Animal Welfare Assurance  
A3292-01 [OLAW Case 1V]

Dr. Mark B. Taubman, M.D.  
Dean, School of Medicine  
University Vice President for Health Sciences  
University of Rochester  
601 Elmwood Avenue, Box 706  
Rochester, NY 14642

Dear Dr. Taubman,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 27, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Rochester. According to the information provided, OLAW understands that a graduate student performed an intracranial injection into a mouse's brain although this activity was not described in the protocol.

The immediate action taken upon discovery consisted of euthanizing the mouse and restricting the student's access to animals. Corrective actions were undertaken for the student's laboratory and consisted of counseling the student's Principal Investigator (PI), retraining the laboratory staff, having laboratory staff initially demonstrate all animal procedures to the Institutional Animal Care and Use Committee (IACUC) to ensure that these activities are covered by the protocol, and hiring a senior laboratory associate for this laboratory to assist the PI with all animal activities.

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,

(b) (6)

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

cc: IACUC Chair

THE UNIVERSITY COMMITTEE ON ANIMAL RESOURCES

TO: Mark Taubman, M.D.  
CEO, URM and UR Medicine  
Dean, School of Medicine and Dentistry  
University Vice President for Health Sciences

FROM: Chris Stodgell, Ph.D.  
Chair, University Committee on Animal Resources

DATE: February 27, 2018

SUBJECT: Non-Compliance of unapproved procedures on a nonNIH-supported protocol.

During the February 21, 2018, meeting, the University Committee on Animal Resources discussed an issue of serious non-compliance regarding unapproved surgical procedures by a graduate student. The student was performed intracranial injection of fluorescent beads into brain of a mouse to answer the question of a reviewer for her manuscript. The student was no longer a member of this lab and conducted the procedure without the knowledge of her former advisor. This particular animal was identified by routine inspection of the vivarium staff and reported to the university veterinarians for limping. Upon audit of the protocol, it was discovered that the protocol this mouse was assigned to did not have this procedure described. The animal was euthanized, and the student's access to animals at the university was restricted by UCAR

The committee requested an action plan from the PI to ensure that this will not happen again. After the UCAR chair and attending veterinarian met with the student's PI, the PI was asked to provide UCAR with an action plan to prevent this type of noncompliance from happening again.

The PI has requested: that all lab member be retrained by UCAR on the proper use and handling of animals; that UCAR observe all procedures by lab members at least once to ensure that the lab members are conducting the procedures according to what has been approved in the protocol; the PI is hiring a senior lab associate to assist the PI in overseeing and managing all aspects of animal use.

UCAR reviewed the action plan of the PI and voted to approve it. The lab has undergone the requested retraining and observations of procedures by UCAR has begun. There is currently a search for the senior lab associate underway.

Copy: (b) (6)

CS/jz

Mark B. Taubman, MD  
CEO, University of Rochester Medical Center and UR Medicine  
Dean, School of Medicine and Dentistry  
Senior Vice President for Health Sciences



MEDICINE *of* THE HIGHEST ORDER

March 12, 2018

Axel Wolf, M.S., D.V.M.  
Director, Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
Rockledge One, Suite 360  
67005 Rockledge Drive – MSC 7982  
Bethesda, Maryland 20892 – 7982

REF: Animal Welfare Assurance #D16-00188

Dear Dr. Wolff:

I am attaching a report from the University Committee on Animal Resources about a noncompliance issue.

Please do not hesitate to contact the Chair of the Committee, Dr. Chris Stodgell, if you wish further information. His contact information is: phone number (b) (6) email address is [Chris\\_Stodgell@urmc.rochester.edu](mailto:Chris_Stodgell@urmc.rochester.edu)

Yours truly,

(b) (6)

Mark B. Taubman, M.D.

Attachment  
MT/jz

**Wolff, Axel (NIH/OD) [E]**

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Friday, March 23, 2018 9:06 AM  
**To:** (b) (6)  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: 3 Reports of Non-Compliance February 2018

Thank you for these reports. We will send responses soon.

Axel Wolff, M.S., D.V.M.  
Deputy Director, OLAW

**From:** (b) (6) @URMC.Rochester.edu]  
**Sent:** Friday, March 16, 2018 11:45 AM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Subject:** 3 Reports of Non-Compliance February 2018

To whom it may concern:

Attached you will find 3 noncompliance reports from the University Committee on Animal Resources (UCAR) at the University of Rochester.

Please do not hesitate to contact Dr. Chris Stodgell (Chair of UCAR) or me if you have any questions. Dr. Stodgell's contact information is as follows: his direct line is (b) (6) and his email address is [Chris\\_Stodgell@urmc.rochester.edu](mailto:Chris_Stodgell@urmc.rochester.edu). Emailing Dr. Stodgell is the best way to contact him.

Thank you for your attention to this matter.

Sincerely,

(b) (6)