



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

January 3, 2019

Re: Animal Welfare Assurance  
A3033-01 [OLAW Case 1Y]

Dr. Sandra A. Brown  
Vice Chancellor for Research Affairs  
University of California-San Diego  
9500 Gilman Drive, [REDACTED]  
LaJolla, CA 92093-0043

Dear Dr. Brown,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your December 20, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of California, San Diego, following up on an initial May 16, 2018 telephone notification. According to the information provided, OLAW understands that it was identified during a broadcast of a Principal Investigator's (PI's) laboratory on a local news station that an unauthorized procedure was being performed on mouse pups without prior IACUC approval. The animal activity in question was not supported by PHS funds.

The corrective actions consisted of issuing a letter of reprimand to the PI, amending the protocol, retraining laboratory personnel and the PI submitting an aggressive action plan to ensure compliance with the approved protocol and institutional policies. Based on the repeated violation, the IACUC also imposed a one year probation on the laboratory with enhanced oversight to further assess protocol and policy compliance.

Based on the information provided, OLAW is satisfied that appropriate actions have been taken to investigate, correct and prevent recurrence of the noncompliance. We appreciate being informed of these matters and find no cause for further action by this Office.

Sincerely,

(b) (6)

Neera V. Gopee, DVM, PhD, DACLAM, DABT  
Animal Welfare Program Specialist  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare

cc: IACUC Chair

(b) (6)

(b) (6)

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

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Wednesday, December 26, 2018 6:38 AM  
**To:** IACUC  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Letter from University of California, San Diego

Thank you for this report. We will respond soon.

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

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**From:** IACUC <iacuc@ucsd.edu>  
**Sent:** Friday, December 21, 2018 2:14 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** Brown, Sandra <sandrabrown@ucsd.edu>; Richter, Philip <pjrichter@ucsd.edu>; (b) (6)  
(b) (6) McMahonill, Angela <amcmahill@ucsd.edu>; Anderson-Vicino, Kristen <kca002@ucsd.edu>  
**Subject:** Letter from University of California, San Diego

Dear Dr. Wolff,

Please find attached correspondence from Sandra A. Brown, Vice Chancellor for Research at the University of California, San Diego.

Regards,

Kristen

Kristen C. Anderson-Vicino, MS, CPIA, LATG  
Director, IACUC Office  
Research Compliance and Integrity  
Office of the Vice Chancellor for Research | UC San Diego | 9500 Gilman Drive, La Jolla, CA 92093-0071  
<http://blink.ucsd.edu/sponsor/iacuc/>

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**Gopee, Neera (NIH/OD) [E]**

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**From:** Gopee, Neera (NIH/OD) [E]  
**Sent:** Wednesday, December 19, 2018 1:14 PM  
**To:** 'Anderson-Vicino, Kristen'  
**Subject:** RE: OLAW Request for update on preliminary noncompliance report for A3033-1Y

Thank you for your prompt response Kristen, I look forward to receiving the final report by the end of the week.

Best Regards,  
Neera

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**From:** Anderson-Vicino, Kristen [mailto:kca002@ucsd.edu]  
**Sent:** Wednesday, December 19, 2018 12:10 PM  
**To:** Gopee, Neera (NIH/OD) [E] <neera.gopee@nih.gov>  
**Subject:** RE: OLAW Request for update on preliminary noncompliance report for A3033-1Y

Hi Dr. Gopee,

Your email is timely as we are finalizing the letter and our IO will be sending it to OLAW before the end of the week. Thank you!

Happy Holidays to you and yours,  
Kristen

Kristen C. Anderson-Vicino, MS, CPIA, LATG  
Director, IACUC Office  
Research Compliance and Integrity  
Office of the Vice Chancellor for Research | UC San Diego | 9500 Gilman Drive, La Jolla, CA 92093-0071  
Telephone: (b) (6)  
Email: [kca002@ucsd.edu](mailto:kca002@ucsd.edu)  
<http://blink.ucsd.edu/sponsor/iacuc/>

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**From:** Gopee, Neera (NIH/OD) [E] <neera.gopee@nih.gov>  
**Sent:** Wednesday, December 19, 2018 9:04 AM  
**To:** Anderson-Vicino, Kristen <kca002@ucsd.edu>  
**Subject:** OLAW Request for update on preliminary noncompliance report for A3033-1Y

Dear Dr. Anderson-Vicino,

I am writing with regards to the non-compliance incident which was reported by you via telephone on May 16, 2018 regarding the unapproved performance of intravitreal injections in neonatal mice at the University of California, San Diego. To date we do not have a record of receiving additional information regarding these two preliminary reports. OLAW requests submission of a final or interim report to the OLAW Division of Compliance Oversight (NIH/OD) [olawdco@od.nih.gov](mailto:olawdco@od.nih.gov) at your earliest convenience.

If you have any questions or concerns regarding this matter, please do not hesitate to contact me.

Regards,

Neera

Neera V. Gopee, DVM, PhD, DACLAM, DABT  
Animal Welfare Program Specialist  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health

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A3033-14



## Initial Report of Noncompliance

By: Nara Gogee

Date: 5-16-18

Time: 4:30 pm

Name of Person reporting: Kristen Anderson - Vicino

Telephone #: [REDACTED] (b) (6)

Fax #:

Email:

Name of Institution: UC - San Diego

Assurance number: A3033-01

Did incident involve PHS funded activity? Not Sure

Funding component: \_\_\_\_\_

Was funding component contacted (if necessary): \_\_\_\_\_

What happened?

Intervetral injections were performed on neonatal mice  
without IACUC approval.

Species involved: Mice

Personnel involved:

Dates and times:

Animal deaths: None

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

Projected submission to OLAW of final report from Institutional Official:

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Case # \_\_\_\_\_