



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

December 7, 2018

Re: Animal Welfare Assurance
A3230-01 [OLAW Case 4S]

Ms. Pamela S. Caudill
Senior Associate Provost
for Research Administration
Yale University – New Haven
25 Science Park, (b) (4)
New Haven, CT 06520

Dear Ms. Caudill,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your November 27, 2018 letter regarding noncompliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals at Yale University. According to the information supplied, OLAW understands that due to differing interpretations of protocol-approved endpoints, several mice were maintained beyond prescribed endpoints. It was reported that the involved animal activity was PHS supported.

This incident was discussed at several IACUC meetings in September and October, and additional meetings and discussions were held by veterinarians, husbandry and veterinary technical groups, Office of Animal Research Support representatives, and the PI. Through these meetings and discussions, clarification of the clinical signs relative to humane endpoints were incorporated into the 3-year protocol renewal which was reviewed and approved on October 23, 2018.

The actions of the Yale University IACUC were in keeping with the philosophy of self-regulation. OLAW is satisfied that appropriate actions have been taken to investigate this incident and the additional actions taken to prevent recurrence are appropriate. We appreciate being informed of these matters and find no cause for further action by this Office.

Sincerely,

(b) (6)

Jane Na, DVM
Veterinary Medical Officer
Office of Laboratory Animal Welfare

cc: IACUC Chair

Yale Office of Research Administration

November 27, 2018

Brent Morse, DVM, DACLAM
Office of Laboratory Animal Welfare (OLAW)
National Institutes of Health
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, MD 20892

PAMELA S. CAUDILL
Senior Associate Provost
for Research Administration

PO Box 208327
New Haven CT 06520-8327
T 203 785-3012
F 203 785-3510
pamela.caudill@yale.edu

courier
25 Science Park, Suite 322
New Haven CT 06511

Dear Dr. Morse:

On August 21, 2018, Yale Animal Resource Center (YARC) reported, to the Office of Animal Research Support's (OARS) compliance specialists, recent challenges with a laboratory regarding the interpretation of clinical signs and IACUC-approved endpoints in a neurodegenerative mouse model. This PHS-supported study uses lines of mice that have slowly progressing paresis and paralysis from approximately 6 to 18 months to study age related neurodegeneration. The endpoints in the approved protocol, as originally written, were that when a phenotype was noted or a mouse became dehydrated, it would be provided supportive care or be euthanized— depending on the line and severity of clinical signs. Due to the long phenotypic state and the differing interpretations of what constituted the humane endpoint, several mice were maintained past the prescribed endpoints,

These incidents were discussed at the September 12th IACUC meeting. Concurrently, this protocol was being rewritten on its 3-year renewal cycle. The full Committee reviewed the protocol at the September 12th meeting, and requested that the protocol continue its review at the October 10th IACUC meeting. The Committee also requested that representatives from YARC, OARS, IACUC, and the PI meet to discuss this issue and report back at the next IACUC meeting. This meeting was held on September 26th and focused on the mouse models, the study outcomes, and YARC "sick animal" observations and treatments.

At the October 10th IACUC meeting, these incidents, the protocol review, and the follow-up to the September 26th meeting with the PI were discussed. The IACUC was satisfied with the outcome and voted to send the protocol to designated member review, with the stipulation that YARC veterinarians (one of which being a DMR), husbandry and veterinary technical groups meet with the PI again to clarify the observation of clinical signs relative to the humane endpoints. This meeting was held on October 18th and also included the OARS Director. Following this meeting, the protocol was further modified, then approved by DMR on October 23rd.

This incident was self-reported to OLAW on October 10, 2018, when the IACUC determined that these incidents should be reported. This incident will be reported to the sponsoring institute/center.

Sincerely,

(b) (6)

Pamela S. Caudill
Institutional Official
Senior Associate Provost for Research Administration

cc: Kathryn Bayne, Chief Executive Officer, AAALAC International
Gary Cline, IACUC Chair, Yale University
James Macy, Attending Veterinarian, Yale University
Troy Hallman, Director, Animal Research Support, Yale University

(b) (6)

(b) (6)

(b) (6)

(b) (6)

(b) (6)

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Thursday, October 11, 2018 3:51 PM
To: 'Hallman, Troy'
Subject: RE: Self-report

Thank you for this preliminary report Troy. Yes, this will be case -4S. We'll open a file and await the final report.

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: Hallman, Troy [mailto:troy.hallman@yale.edu]
Sent: Wednesday, October 10, 2018 1:03 PM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Subject: Self-report

Brent,

I would like to self-report an ongoing concern regarding monitoring, supportive care, and humane endpoints for a study involving rodent Alzheimer's and Parkinson's Disease models. The protocol is currently under its 3-year *de novo* review, so when approved, we should be able to finalize the case soon after. This will be Case 4S, right?

Troy

Troy Hallman, MS, VMD, DACLAM
Director, Office of Animal Research Support



Yale University
25 Science Park – 3rd floor
New Haven, CT 06520
(b) (6) (office)

[OARS Suggestion Box](#)