



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

April 24, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8M]

Dr. Nadine P. Connor
Associate Vice Chancellor for Research Policy & Compliance
The University of Wisconsin-Madison
500 Lincoln Drive, (b) (4) Bascom Hall
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 18, 2018 letter reporting an adverse event involving rats at the University of Wisconsin- Madison, following up on an initial telephone report on January 2, 2018. According to the information provided, OLAW understands that two rats died in a hypoxia chamber after an oxygen sensor failed and the chamber filled with nitrogen.

The corrective action consisted of replacing the oxygen sensor, conducting verification tests, and instituting monthly calibration and testing of all sensors. Other users of these chambers were counseled about calibrating and monitoring oxygen sensors.

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 institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

April 18, 2018

Dr. Brent Morse, DVM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to you by Dr. Janet Welter, Chief Campus Veterinarian on December 21, 2017 and again on January 2, 2018.

On December 17, 2017, two rats were found dead due to a failure of an oxygen sensor in an enclosed hypoxia chamber. The PI believes the sensor malfunction led to faulty oxygen readings that were well above the actual oxygen level in the chamber. In response, the unit continued to supply nitrogen into the chamber, further decreasing oxygen levels. The laboratory is supported by NIH (HL129047, HL086939, and HL128853)

To correct the problem, the Principal investigator replaced the oxygen sensor and ran a series of verification tests. The laboratory also consulted a commercial vendor of oxygen control systems and will be calibrating all oxygen and carbon dioxide sensors monthly and confirm readings with a duplicate sensor. System controllers will measure the voltage levels of the sensors to determine if they are beginning to fail. Program veterinarians were notified prior to the first use of the reconfigured chamber.

The incident was discussed at the January 8, 2018 meeting of the SMPH Animal Care and Use Committee. The Committee accepted the correction plan and required no further actions. In addition, other Principal investigators in SMPH who use similar systems were contacted to ensure that they are aware of the importance of calibrating and monitoring oxygen sensors.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

 (b) (6)

Dan Uhrich
SMPH ACUC Chair

 (b) (6)

Nadine Connor
Institutional Official
Interim Associate Vice Chancellor for Research
Policy and Compliance

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Monday, April 23, 2018 11:44 AM
To: (b) (6)
Cc: Nadine Connor; Dan Uhlich; (b) (6) Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for this final report. We will send an official response soon.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Acting 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: (b) (6)
Sent: Wednesday, April 18, 2018 1:55 PM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; Dan Uhlich <dan.uhlich@wisc.edu>; (b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: zgmDate: 1/2/18 *Time: 3:50Name of Person reporting: Janet Welter, DVM, A/VTelephone #: (b)(6)

Fax #:

Email:

Name of Institution: U. of Wisconsin - MadisonAssurance number: A3368Did incident involve PHS funded activity? Probably

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? 2 rats died in hypoxia chamber when O₂ sensor malfunctioned + N₂ increased to try to maintain ratio.

Species involved: RatPersonnel involved: NoneDates and times: Dec. 2017Animal deaths: yes

* original voicemail 12/21/17

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

Sensors will be calibrated monthly.

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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 7, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 80]

Dr. Nadine P. Connor
Associate Vice Chancellor for Research Policy & Compliance
The University of Wisconsin-Madison
500 Lincoln Drive, (b) (4) Bascom Hall
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 28, 2018 letter reporting three instances of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin-Madison, following up on an initial telephone report on February 20, 2018. According to the information provided, OLAW understands the following about the incidents and the corresponding corrective actions:

- 1) Two marmosets escaped their cage because the door was not completely locked and one animal sustained a small hand laceration.

Corrective action: The animal was treated and the staff was retrained.

- 2) Two macaques escaped their cage after the attached tunnel came off and one animal was injured. Two other animals in the room were also injured by the escapees.

Corrective action: All injured animals were treated and the tunnels are now locked in place.

- 3) A macaque was given a contrast agent although this had not been described in the approved protocol.

Corrective action: The protocol was amended to include the agent.

Based on its assessment of this explanation, OLAW understands that measures have been implemented in each situation to correct and prevent recurrence of the problems. OLAW concurs with the actions taken by the institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVAC ACUC Chair



February 28, 2018

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on February 20, 2018.

In the first incident (12/27/2017), 2 paired adult marmosets exited their primary enclosure following staff failure to adequately lock the enclosure door. One animal sustained a small laceration on a hand that was treated with anti-inflammatories. The wound healed quickly without further intervention. The personnel involved were retrained. The animals involved in this incident were supported by the WNPRC base grant, P51OD011106 and an NIH grant P50HD044405 (subcontract).

In the second incident (2/13/2018), 2 paired adult macaques exited their primary enclosure when the c-tunnel affixed to the enclosure became dislodged. One of the animals sustained a minor injury was treated successfully by a veterinarian. Two adult macaques in the adjacent enclosure engaged in contact with one or both of the animals that had exited their enclosure and also sustained minor digit injuries which similarly required veterinary intervention. All c-tunnels are now being locked in place to avoid similar incidents. The animals involved in this incident were supported by NIH grant (R37 AI055332-15, Subcontract).

In the third incident, a pregnant adult macaque was treated with a contrast agent that had not been approved on the protocol under which this work was being conducted. This agent had been approved on two other protocols associated with the lead investigator. No negative outcomes were associated with this incident. The contrast agent has been now approved for use on this protocol. The animal in this incident was supported by NIH grant (R21AI129308).

The LSVC ACUC discussed these incidents in full committee. The ACUC considered the corrective steps already taken as appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Tuesday, March 06, 2018 2:56 PM
To: (b) (6)
Cc: Nadine Connor; (b) (6) Janet Welter; Craig Berridge
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for this report. We will send an official response soon.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Acting 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: (b) (6)@wisc.edu]
Sent: Friday, March 02, 2018 10:55 AM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6)@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>; Craig Berridge <berridge@wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse-

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: *EFM*Date: *2/20/18*Time: *10:25*Name of Person reporting: *Janet Welter, DVM, A/V*Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: *U. of Wisconsin - Madison*Assurance number: *A3368*Did incident involve PHS funded activity? ☐

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *2 animals loose in room when cage door not locked. Finger injury to one animal.*

Species involved: *Marmoset*Personnel involved: *Animal Care*Dates and times: *12/27/17*Animal deaths: *No*

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

May 3, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8P]

Dr. Nadine P. Connor
Associate Vice Chancellor for Research Policy & Compliance
The University of Wisconsin-Madison
500 Lincoln Drive, (b) (4) Bascom Hall
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 26, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on February 28, 2018. According to the information provided, OLAW understands that on two separate occasions two different rhesus monkeys received expired valium. The staff misinterpreted the date sticker system. No adverse events were experienced by the animals due to this action.

The corrective action consisted of modifying the drug expiration labeling procedures so that the color dots are for the month preceding the expiration date.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVAC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



April 26, 2018

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of four sets of incidents first reported to you via telephone by Dr. Janet Welter on February 28, April 9, and April 23rd 2018.

First, on February 13, 2018 an adult female rhesus macaque received expired diazepam following ketamine anesthesia for additional muscle relaxation. An identical mistake occurred on February 14, 2018 with a different adult female macaque. The vial was labeled correctly with the dot system, but was misinterpreted by staff. The animals involved appeared to achieve sufficient muscle relaxation and there were no adverse effects observed. To avoid confusion in the future, all drugs will be labeled with expiration dots for the month preceding the actual expiration date. These animals were supported by NIH grant R01AG040178.

Second, on February 16 expired dexmedetomidine was administered to a juvenile macaque. This mistake was made again on February 22 with a different juvenile macaque. The bottle was labeled correctly with an expiration dot. The dexmedetomidine appeared to work appropriately and no adverse effects were observed. Personnel involved were retrained. These animals were supported by NIH grant 2P51OD011106.

Third, on March 8, 2018 a research staff member exceeded blood draw limits on an adult macaque. The animal was further overdrawn on March 9th due to an oversight by research support staff and an additional error by the original research personnel. The animal exhibited no adverse clinical signs associated with the overdraw. All involved personnel have been retrained regarding standard operating procedures for tracking blood collection limits. These animals were supported by NIH grant 5P50HD028934.

Lastly, on March 15, 2018, an adolescent macaque and its cage mate were transferred to the adjacent enclosure. The individual transferring the animals failed to lock the divider between the new enclosure the animals were placed in and the empty adjacent enclosure. The animals removed the divider and exited their primary enclosure through the unlocked door of the empty enclosure. One of the animals sustained injuries that required veterinary intervention. The animal has fully recovered from all injuries sustained during this event. The person involved was retrained. These animals were supported by NIH grant R21HD084992.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu

Madison, Wisconsin 53726-4087
<http://www.rarc.wisc.edu>

The LSVAC ACUC discussed these incidents in full committee and considered the corrective steps taken as appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Wednesday, May 02, 2018 4:22 PM
To: (b) (6)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing these final reports. We will send you official responses soon.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Acting 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: (b) (6) @wisc.edu
Sent: Wednesday, May 02, 2018 10:03 AM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6) <(b) (6)@wisc.edu>; Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *aw*Date: *2/28/18*Time: *11:00*Name of Person reporting: *Janet Lubley*Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: *U of Wisconsin - Madison*Assurance number: *A3368*

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

*2 macaques given expired Valium*Species involved: *Macaques*

Personnel involved:

Dates and times:

Animal deaths:

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

Check dates carefully

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

April 23, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8Q]

Dr. Nadine P. Connor
Associate Vice Chancellor for Research Policy & Compliance
The University of Wisconsin-Madison
500 Lincoln Drive, (b) (4) Bascom Hall
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 18, 2018 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison, following up on an initial telephone report on April 12, 2018. According to the information provided, OLAW understands that three mice died and two were in poor condition after not receiving food at weaning. A second cage also had no food but the mice were in good condition.

The immediate action taken upon discovery consisted of euthanizing the sick mice. The corrective action consisted of the Principal Investigator retraining the laboratory staff.

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 institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

April 18, 2018

Dr. Brent Morse, DVM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to you by Dr. Janet Welter, Chief Campus Veterinarian on April 12, 2018.

On February 6, 2018, animal care staff found two mouse cages, weaned by laboratory members, without food. Animals in one cage appeared healthy and did not require supportive care. The other cage had three dead animals. Two other animals were in poor health and euthanized following discussion with laboratory staff. The laboratory is supported by NIH (DK068634, DK050107, DK113186, and DK113117).

The PI's corrective action was to discuss the event with laboratory personnel and provide extra training as needed. Veterinary staff confirmed the retraining.

The SMPH Animal Care and Use Committee discussed the incident at its March 5, 2018 meeting. The Committee noted that this is not a repeat occurrence with this laboratory. They accepted the correction plan and required no further actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Dan Uhrich
SMPH ACUC Chair

(b) (6)

Nadine Connor
Institutional Official
Interim Associate Vice Chancellor for Research
Policy and Compliance

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Monday, April 23, 2018 11:42 AM
To: (b) (6)
Cc: Nadine Connor; Dan Uhlrich; Janet Welter; (b) (6)
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for this final report. We will send an official response soon.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Acting Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

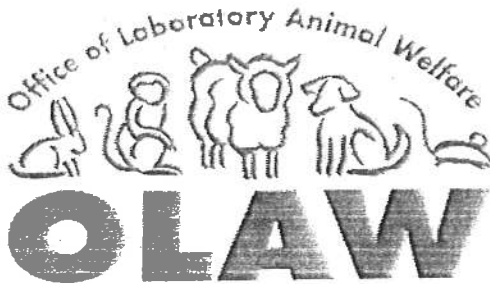
Please note that this message and any of its attachments are intended for the named recipient(s) only and may contain confidential, protected or privileged information that should not be distributed to unauthorized individuals. If you have received this message in error, please contact the sender.

From: (b) (6)@wisc.edu]
Sent: Wednesday, April 18, 2018 1:40 PM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>; (b) (6)@wisc.edu
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: ngw

Date: 4/12/18

Time: 4/12/18 10:15

Name of Person reporting: Janet Welter, A/V

Telephone #: (b)(6)

Fax #: (b)(6)

Email: (b)(6)

Name of Institution: U. of Wisconsin - Madison

Assurance number: A3368

Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? 2 cages of weaned pups w/o food. One cage was fine, other cage had 2 dead.

Species involved: Mouse

Personnel involved: _____

Dates and times: 2/6/18

Animal deaths: Yes, 2 mice

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

Discussed at March 5 IACUC meeting

Projected submission to OLAW of final report from Institutional Official: _____

OFFICE USE ONLY

Case # _____



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

May 7, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8R]

Dr. Nadine P. Connor
Associate Vice Chancellor for Research Policy & Compliance
The University of Wisconsin-Madison
500 Lincoln Drive, (b) (4) Bascom Hall
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 16, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on April 9, 2018. According to the information provided, OLAW understands that on two separate occasions, two different macaques received an expired analgesic/sedative drug. No adverse effects were noted with the animals.

The corrective action consisted of retraining the staff involved.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVAC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



April 26, 2018

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of four sets of incidents first reported to you via telephone by Dr. Janet Welter on February 28, April 9, and April 23rd 2018.

First, on February 13, 2018 an adult female rhesus macaque received expired diazepam following ketamine anesthesia for additional muscle relaxation. An identical mistake occurred on February 14, 2018 with a different adult female macaque. The vial was labeled correctly with the dot system, but was misinterpreted by staff. The animals involved appeared to achieve sufficient muscle relaxation and there were no adverse effects observed. To avoid confusion in the future, all drugs will be labeled with expiration dots for the month preceding the actual expiration date. These animals were supported by NIH grant R01AG040178.

Second, on February 16 expired dexmedetomidine was administered to a juvenile macaque. This mistake was made again on February 22 with a different juvenile macaque. The bottle was labeled correctly with an expiration dot. The dexmedetomidine appeared to work appropriately and no adverse effects were observed. Personnel involved were retrained. These animals were supported by NIH grant 2P51OD011106.

Third, on March 8, 2018 a research staff member exceeded blood draw limits on an adult macaque. The animal was further overdrawn on March 9th due to an oversight by research support staff and an additional error by the original research personnel. The animal exhibited no adverse clinical signs associated with the overdraw. All involved personnel have been retrained regarding standard operating procedures for tracking blood collection limits. These animals were supported by NIH grant 5P50HD028934.

Lastly, on March 15, 2018, an adolescent macaque and its cage mate were transferred to the adjacent enclosure. The individual transferring the animals failed to lock the divider between the new enclosure the animals were placed in and the empty adjacent enclosure. The animals removed the divider and exited their primary enclosure through the unlocked door of the empty enclosure. One of the animals sustained injuries that required veterinary intervention. The animal has fully recovered from all injuries sustained during this event. The person involved was retrained. These animals were supported by NIH grant R21HD084992.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Wednesday, May 02, 2018 4:22 PM
To: (b) (6)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing these final reports. We will send you official responses soon.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Acting 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: (b) (6)@wisc.edu]
Sent: Wednesday, May 02, 2018 10:03 AM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6)@wisc.edu>; Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: *[Signature]*

Date: *4/9/18*

Time: *2:25*

Name of Person reporting: *Janet Walter, AV*
Telephone #:
Fax #:
Email:

Name of Institution: *U. Wisconsin-Madison, Primate Center*
Assurance number: *A3368*

Did incident involve PHS funded activity? *?*

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Expired Metatomadine used in one animal.*

Species involved: *Macaque*

Personnel involved: *Vet*

Dates and times:

Animal deaths:

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY
Case # _____



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

May 7, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8S]

Dr. Nadine P. Connor
Associate Vice Chancellor for Research Policy & Compliance
The University of Wisconsin-Madison
500 Lincoln Drive, (b) (4) Bascom Hall
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 26, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin-Madison, following up on an initial telephone report on April 9, 2018. According to the information provided, OLAW understands that two days in a row more blood was taken from a macaque than was approved in the protocol. No adverse clinical signs were noted in the animal.

The corrective actions consisted of retraining all personnel involved on the standard operating procedures for tracking blood collection limits.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



April 26, 2018

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of four sets of incidents first reported to you via telephone by Dr. Janet Welter on February 28, April 9, and April 23rd 2018.

First, on February 13, 2018 an adult female rhesus macaque received expired diazepam following ketamine anesthesia for additional muscle relaxation. An identical mistake occurred on February 14, 2018 with a different adult female macaque. The vial was labeled correctly with the dot system, but was misinterpreted by staff. The animals involved appeared to achieve sufficient muscle relaxation and there were no adverse effects observed. To avoid confusion in the future, all drugs will be labeled with expiration dots for the month preceding the actual expiration date. These animals were supported by NIH grant R01AG040178.

Second, on February 16 expired dexmedetomidine was administered to a juvenile macaque. This mistake was made again on February 22 with a different juvenile macaque. The bottle was labeled correctly with an expiration dot. The dexmedetomidine appeared to work appropriately and no adverse effects were observed. Personnel involved were retrained. These animals were supported by NIH grant 2P51OD011106.

Third, on March 8, 2018 a research staff member exceeded blood draw limits on an adult macaque. The animal was further overdrawn on March 9th due to an oversight by research support staff and an additional error by the original research personnel. The animal exhibited no adverse clinical signs associated with the overdraw. All involved personnel have been retrained regarding standard operating procedures for tracking blood collection limits. These animals were supported by NIH grant 5P50HD028934.

Lastly, on March 15, 2018, an adolescent macaque and its cage mate were transferred to the adjacent enclosure. The individual transferring the animals failed to lock the divider between the new enclosure the animals were placed in and the empty adjacent enclosure. The animals removed the divider and exited their primary enclosure through the unlocked door of the empty enclosure. One of the animals sustained injuries that required veterinary intervention. The animal has fully recovered from all injuries sustained during this event. The person involved was retrained. These animals were supported by NIH grant R21HD084992.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken as appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Wednesday, May 02, 2018 4:22 PM
To: (b) (6)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing these final reports. We will send you official responses soon.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Acting 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: (b) (6)@wisc.edu]
Sent: Wednesday, May 02, 2018 10:03 AM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6)@wisc.edu>; Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: *sgm*Date: *4/9/18*Time: *2:25*

Name of Person reporting:

Telephone #:

Fax #:

Email:

Janet Welter, AV

Name of Institution:

Assurance number:

U. Wisconsin - Madison, Primate Center
*A3368*Did incident involve PHS funded activity? *?*

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Overdraw of blood (5ml) in one animal for month*Species involved: *Macaque*Personnel involved: *Research*

Dates and times:

Animal deaths:

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

May 7, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8T]

Dr. Nadine P. Connor
Associate Vice Chancellor for Research Policy & Compliance
The University of Wisconsin-Madison
500 Lincoln Drive, (b) (4) Bascom Hall
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 26, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on April 23, 2018. According to the information provided, OLAW understands that an animal caretaker failed to lock a cage divider which allowed two macaques to escape and one became injured.

The corrective actions consisted of treating the injured animal, which full recovered, and retraining the individual involved.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVAC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



April 26, 2018

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of four sets of incidents first reported to you via telephone by Dr. Janet Welter on February 28, April 9, and April 23rd 2018.

First, on February 13, 2018 an adult female rhesus macaque received expired diazepam following ketamine anesthesia for additional muscle relaxation. An identical mistake occurred on February 14, 2018 with a different adult female macaque. The vial was labeled correctly with the dot system, but was misinterpreted by staff. The animals involved appeared to achieve sufficient muscle relaxation and there were no adverse effects observed. To avoid confusion in the future, all drugs will be labeled with expiration dots for the month preceding the actual expiration date. These animals were supported by NIH grant R01AG040178.

Second, on February 16 expired dexmedetomidine was administered to a juvenile macaque. This mistake was made again on February 22 with a different juvenile macaque. The bottle was labeled correctly with an expiration dot. The dexmedetomidine appeared to work appropriately and no adverse effects were observed. Personnel involved were retrained. These animals were supported by NIH grant 2P51OD011106.

Third, on March 8, 2018 a research staff member exceeded blood draw limits on an adult macaque. The animal was further overdrawn on March 9th due to an oversight by research support staff and an additional error by the original research personnel. The animal exhibited no adverse clinical signs associated with the overdraw. All involved personnel have been retrained regarding standard operating procedures for tracking blood collection limits. These animals were supported by NIH grant 5P50HD028934.

Lastly, on March 15, 2018, an adolescent macaque and its cage mate were transferred to the adjacent enclosure. The individual transferring the animals failed to lock the divider between the new enclosure the animals were placed in and the empty adjacent enclosure. The animals removed the divider and exited their primary enclosure through the unlocked door of the empty enclosure. One of the animals sustained injuries that required veterinary intervention. The animal has fully recovered from all injuries sustained during this event. The person involved was retrained. These animals were supported by NIH grant R21HD084992.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

The LSVAC ACUC discussed these incidents in full committee and considered the corrective steps taken as appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Wednesday, May 02, 2018 4:22 PM
To: (b) (6)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing these final reports. We will send you official responses soon.

Regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Acting Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

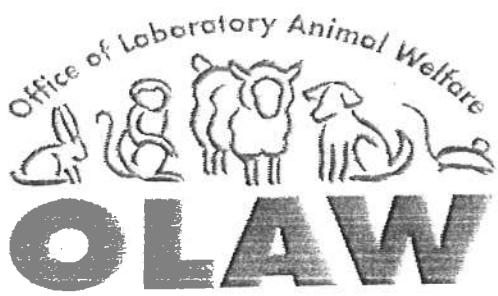
Please note that this message and any of its attachments are intended for the named recipient(s) only and may contain confidential, protected or privileged information that should not be distributed to unauthorized individuals. If you have received this message in error, please contact the sender.

From: (b) (6)@wisc.edu]
Sent: Wednesday, May 02, 2018 10:03 AM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6)@wisc.edu>; Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: *mgm*

Date: *4/23/18*

Time: *11:45*

Name of Person reporting: *Janet Welter, DVM, A/V*
Telephone #:
Fax #:
Email:

Name of Institution: *U. of Wisconsin - Primate Center*
Assurance number: *A3368*

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

What happened? *Macaque (juvenile) was moved to a new enclosure to repair home cage. Caretaker did not properly lock new enclosure. Two monkeys escaped 1st enclosure + were recaptured. One was injured but now fully recovered.*
Species involved: _____
Personnel involved: *Caretaker*
Dates and times: *3/15/18*
Animal deaths: _____

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY
Case # _____



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

June 11, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8U]

Dr. Nadine Connor
Interim Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 6, 2018 letter reporting an adverse event involving a nonhuman primate at the University of Wisconsin- Madison, following up on an initial telephone report on the same day. According to the information provided, OLAW understands that due to an unexpected lock failure on a primate cage, an animal escaped and sustained injuries.

The corrective actions consisted of providing veterinary treatment to the primate, which subsequently recovered. The lock has been replaced with a new one.

Based on its assessment of this explanation OLAW understands that measures have been implemented to correct this problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: LSV ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian
Robert Gibbens, D.V.M., USDA-APHIS-AC



June 6, 2018

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on June, 6 2018.

On April 23, 2018, an adult male macaque exited its primary enclosure due to failure of a lock. The animal sustained injuries that required veterinary intervention and from which the animal has fully recovered. Given this resulted from equipment failure, no personnel were involved in the incident. The enclosure has been equipped with a new lock. This animal was supported by NIH grant R37 AI063928.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, June 11, 2018 1:34 PM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for this report. We will send a response shortly.

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

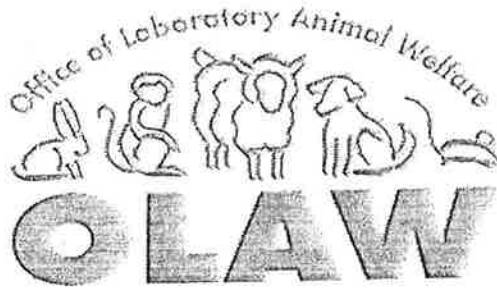
From: (b) (6)@wisc.edu]
Sent: Monday, June 11, 2018 12:15 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6)@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>; Craig Berridge <berridge@wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)

A3368-84



Initial Report of Noncompliance

By: *[Signature]*

Date: 6/6/18

Time: 11:00

Name of Person reporting: Janet Welter, AV

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

Fax #:

Email:

Name of Institution: Univ. of Wisconsin - Madison
Assurance number: A3368

Did incident involve PHS funded activity?

Funding component:

Was funding component contacted (if necessary):

What happened? Lock failure on cage. Animal escaped into room. Needed veterinary care. Recovered.

Species involved: Macaque
Personnel involved: Care staff
Dates and times: End of April
Animal deaths: No

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY
Case #



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

September 17, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8V]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall -- 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your August 24, 2018 letter reporting one adverse event and two instances of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on August 6, 2018. According to the information provided, OLAW understands the following about the incidents and the corresponding corrective actions:

- 1) One macaque sustained an injury after the divider between two cages broke and the animals were in contact.

Corrective action: The injured animal was treated, the monkeys were transferred to new cages, and the divider was repaired.

- 2) Three infant macaques failed to receive their nightly feeding because the caretaker did not arrive. The animals were not adversely affected by missing one meal.

Corrective action: The monkeys were fed the next morning. The caretaker was retrained and may be subject to disciplinary action.

- 3) One monkey failed to receive the evening post-operative analgesic treatment because the same caretaker as in #2 did not arrive. The supervisor also failed to confirm that evening treatments had been given.

Corrective action: Analgesic was given the following day. The caretaker and supervisor were retrained and may be subject to disciplinary action.

Based on its assessment of these explanations, OLAW understands that measures have been implemented in all three situations to correct and prevent recurrence of the problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy.

Page 2 – Dr. Connor
September 17, 2018
OLAW Case A3368-8V

Sincerely,

(b) (6)

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

cc: LSV ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian
Robert Gibbens, D.V.M., USDA-APHIS-AC



August 24, 2018

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance **A3368-01** and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on 6/2018.

On July 11, 2018 two adult macaques were able to contact one another when a component of the divider that separated their two enclosures failed. The animals never left their primary enclosures that were directly adjacent to one another. One of the animals sustained an injury that required veterinary intervention. The animals were transferred to a new enclosure and the faulty enclosure will be repaired. These animals were supported by NIH grant UM1AI126617.

On July 16, 2018, three macaque infants missed their night feeding when the caretaker assigned to perform night treatments did not arrive to perform the scheduled feedings. The three animals suffered no long-term adverse effects as a result of the missed feedings. These animals were supported by NIH grant 5P51OD011106-57. Additionally on the same night (7/16/2018), the same animal caretaker also missed the night analgesic treatment for an animal that had undergone an abdominal surgical procedure earlier in the day. The animal caretaker supervisor assigned to check that all evening treatments were completed failed to ensure the treatments had been administered. This animal was supported by NIH grant 1R01AI132519-01A1. Both individuals associated with the events of July 16, 2018 will be retrained utilizing pertinent SOPs. Additionally, the UW-Madison Office of Human Resources is currently assessing the incidents of 7/16/2018 to determine appropriate disciplinary action.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, September 11, 2018 12:08 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing this report of the three incidents. We will send official responses 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: (b) (6)@wisc.edu]
Sent: Tuesday, September 11, 2018 11:41 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6)@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>; (b) (6)@wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: aw

Date: 8/6/18

Time: 11:00

Name of Person reporting: Janet Welton

Telephone #:

Fax #:

Email:

Name of Institution: U of Wisconsin-Madison

Assurance number: A3368

Did incident involve PHS funded activity?

Funding component:

Was funding component contacted (if necessary):

What happened?

- 1) 2 monkeys broke the divider, fought
- 2) 3 infants missed evening formula feeding, no problems
- 3) 1 monkey missed evening analgesic tx. Supervisor did not check

Species involved: Macaques

Personnel involved:

Dates and times:

Animal deaths:

- 1) Treated animal
 - 2) Fed in morning
 - 3) Given drug next day
- } Follow-up on human resources

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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

November 5, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8W]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 30, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on October 29, 2018. According to the information provided, OLAW understands that a live mouse pup was found in the carcass refrigerator due to a failure to confirm death following exposure to CO2. The required secondary physical method of euthanasia had not been applied.

The immediate action taken upon discovery consisted of appropriately euthanizing the mouse. The student responsible was retrained.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSV ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



October 30, 2018
Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on October 29, 2018.

On August 3, 2018, a veterinarian instructed a veterinary technician to initiate a treatment to sustain joint health for three macaques. The technician initiated two of the treatments correctly but entered the third treatment for the wrong animal. As a result of this error, one animal received 19 days of treatment it should not have received and one animal did not receive the treatment it should have received for 19 days. During the period of missed treatment, the animal was not reported for any signs of pain or distress. The person involved received retraining. These animals were supported by NIH grant 5P51OD011106-57

In the review of animal care records, it was noted 3 macaques did not receive water over the Memorial Day weekend. This was a result of a discrepancy between the computer records and written instructions immediately outside the colony room. Immediately after this incident was discovered, the treatment order in the electronic health records system was changed to say that animal care staff will provide water on weekends and holidays. In addition, the electronic health records system is being updated to include a separate water provision module so that any omission of water will be flagged and alerts sent to all relevant staff. The committee accepted the reports and proposed corrective actions. To prevent future incidents the electronic health records are being modified to include water administration as a treatment so that any omission will be flagged. These animals were supported by NIH grant G005229.

8W On August 10, 2018 a mouse pup was found alive in a carcass refrigerator approximately half an hour after a student laboratory worker euthanized animals. A secondary method of euthanasia was not carried out as required for pups of this age. RARC veterinary staff was immediately contacted and the pup was euthanized per standard protocol. The laboratory was informed of the incident and the student was retrained. The student also received in person training from the RARC training group following the incident. These animals were supported by NIH grant R01CA17955, R01CA179556

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, November 01, 2018 11:53 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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.

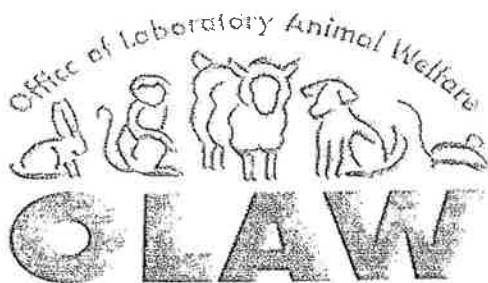
From: (b) (6)
Sent: Thursday, November 01, 2018 10:58 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *[Signature]*Date: *10/29/18*Time: *3:15*

Name of Person reporting:

Janet Welter

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution:

U. Wisc. - Madison

Assurance number:

A3368

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

*Mouse pup found alive in carcass
refer after attempted CO₂ euth. No 2^o
method applied.*

Species involved:

Mouse

Personnel involved:

Research Tech.

Dates and times:

August 2018

Animal deaths:

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

November 5, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8X]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 30, 2018 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on October 29, 2018. According to the information provided, OLAW understands that due to human error, one macaque incorrectly received 19 days of joint treatment while the animal that needed the drug did not receive it for that length of time. The monkey needing treatment was reportedly not exhibiting signs of pain or distress. Two other monkeys on the same treatment regimen correctly received the drug.

The corrective action consisted of retraining the veterinary technician responsible.

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 institution to comply with the PHS Policy. Note that having a second individual periodically check ongoing treatments could lead to early detection and correction of mistakes. Thank you for informing OLAW about this matter.

Sincerely,

(b) (6)

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

cc: LSV ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



October 30, 2018
Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on October 29, 2018.

8X
On August 3, 2018, a veterinarian instructed a veterinary technician to initiate a treatment to sustain joint health for three macaques. The technician initiated two of the treatments correctly but entered the third treatment for the wrong animal. As a result of this error, one animal received 19 days of treatment it should not have received and one animal did not receive the treatment it should have received for 19 days. During the period of missed treatment, the animal was not reported for any signs of pain or distress. The person involved received retraining. These animals were supported by NIH grant 5P51OD011106-57

In the review of animal care records, it was noted 3 macaques did not receive water over the Memorial Day weekend. This was a result of a discrepancy between the computer records and written instructions immediately outside the colony room. Immediately after this incident was discovered, the treatment order in the electronic health records system was changed to say that animal care staff will provide water on weekends and holidays. In addition, the electronic health records system is being updated to include a separate water provision module so that any omission of water will be flagged and alerts sent to all relevant staff. The committee accepted the reports and proposed corrective actions. To prevent future incidents the electronic health records are being modified to include water administration as a treatment so that any omission will be flagged. These animals were supported by NIH grant G005229.

On August 10, 2018 a mouse pup was found alive in a carcass refrigerator approximately half an hour after a student laboratory worker euthanized animals. A secondary method of euthanasia was not carried out as required for pups of this age. RARC veterinary staff was immediately contacted and the pup was euthanized per standard protocol. The laboratory was informed of the incident and the student was retrained. The student also received in person training from the RARC training group following the incident. These animals were supported by NIH grant R01CA17955, R01CA179556

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, November 01, 2018 11:53 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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.

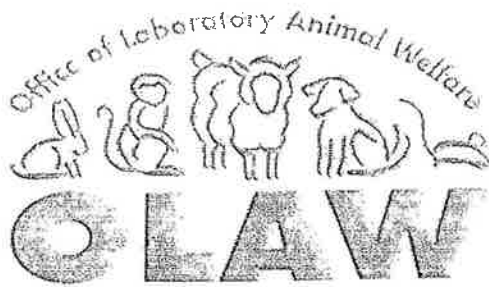
From: (b) (6)
Sent: Thursday, November 01, 2018 10:58 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *[Signature]*Date: *10/29/18*Time: *2:45*Name of Person reporting: *Janet Welter, A/V*Telephone #: *(b) (6)*

Fax #:

Email:

Name of Institution: *U. Wisc. - Madison*Assurance number: *A3368*Did incident involve PHS funded activity? ☐

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

*Vet instructions mixed-up by tech. (chondroitin/glucosamine) Rx given to*Species involved: *One macaque*Personnel involved: *Vet Tech.*Dates and times: *August 2018*

Animal deaths:

*No. No observed health issues.**wrong animal and not to one designated by Vet.*

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

November 6, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8Y]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 30, 2018 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison, following up on an initial telephone report on October 29, 2018. According to the information provided, OLAW understands that three macaques failed to receive water over a three-day weekend due to a discrepancy between the computer records and the instructions at the animal room. There were reportedly no problems noted with the animals.

The corrective actions consisted of updating the electronic health records to state that animal care staff will provide water on weekends and holidays. This system will now list water provision as a treatment, flag when water is not given, and alert staff.

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 institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: LSV ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



October 30, 2018
Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on October 29, 2018.

On August 3, 2018, a veterinarian instructed a veterinary technician to initiate a treatment to sustain joint health for three macaques. The technician initiated two of the treatments correctly but entered the third treatment for the wrong animal. As a result of this error, one animal received 19 days of treatment it should not have received and one animal did not receive the treatment it should have received for 19 days. During the period of missed treatment, the animal was not reported for any signs of pain or distress. The person involved received retraining. These animals were supported by NIH grant 5P51OD011106-57

-84
In the review of animal care records, it was noted 3 macaques did not receive water over the Memorial Day weekend. This was a result of a discrepancy between the computer records and written instructions immediately outside the colony room. Immediately after this incident was discovered, the treatment order in the electronic health records system was changed to say that animal care staff will provide water on weekends and holidays. In addition, the electronic health records system is being updated to include a separate water provision module so that any omission of water will be flagged and alerts sent to all relevant staff. The committee accepted the reports and proposed corrective actions. To prevent future incidents the electronic health records are being modified to include water administration as a treatment so that any omission will be flagged. These animals were supported by NIH grant G005229.

On August 10, 2018 a mouse pup was found alive in a carcass refrigerator approximately half an hour after a student laboratory worker euthanized animals. A secondary method of euthanasia was not carried out as required for pups of this age. RARC veterinary staff was immediately contacted and the pup was euthanized per standard protocol. The laboratory was informed of the incident and the student was retrained. The student also received in person training from the RARC training group following the incident. These animals were supported by NIH grant R01CA17955, R01CA179556

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, November 01, 2018 11:53 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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.

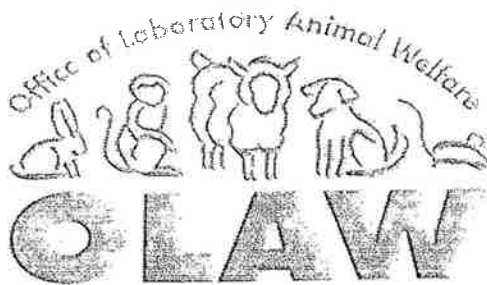
From: (b) (6)
Sent: Thursday, November 01, 2018 10:58 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *BGM*Date: *10/29/18*Time: *2:45*Name of Person reporting: *Janet Walter, A/V*Telephone #: *(b) (6)*

Fax #:

Email:

Name of Institution: *U. Wisc. - Madison*Assurance number: *A3368*

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Regular water not given on Mem. Day (3 animals for one day) to animals on water restriction **

Species involved: *3 macaques*

Personnel involved:

Dates and times: *Memorial weekend*Animal deaths: *No. No observed health issues.*

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____

** policy is to give water ad lib on weekends & holidays.*



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

November 20, 2018

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 8Z]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your November 19, 2018 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison, following up on an initial telephone report on November 8, 2018. According to the information provided, OLAW understands that a marmoset escaped its cage during feeding and was not noticed by the animal caretaker. When the animal was spotted it was captured and inadvertently placed in the wrong cage with other marmosets and sustained injuries.

The corrective actions consisted of treating the wounds, returning the marmoset to the correct cage, and retraining the caretaker responsible.

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 institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: LSV ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



November 19, 2018
Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on November 8, 2018.

On September 30, 2018, an animal caretaker provided supplemental food to an adolescent marmoset and allowed the animal to exit its enclosure but did not notice that the animal had exited. As the caretaker completed duties in the room, they discovered the animal was out and placed it in the wrong enclosure. Subsequently, the animal sustained injuries which required veterinary intervention when returned to the correct home enclosure. The injuries healed quickly and the animal experienced no long term effects as a result of this incident. The caretaker involved does not have a history of similar incidents and was retrained using WNPRC SOPs relating to the relocation error. This animal was supported by NIH grant 5P51OD011106-57

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, November 19, 2018 2:57 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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.

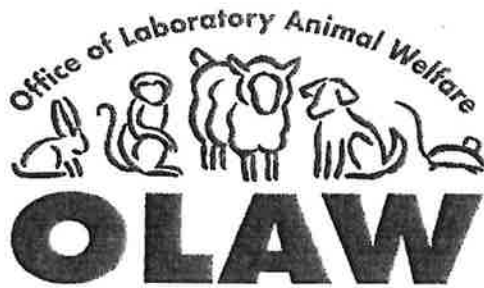
From: (b) (6)
Sent: Monday, November 19, 2018 1:52 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: aw

Date: 11/8/18

Time: 9:45

Name of Person reporting: Janet Walter

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: U of Wisconsin

Assurance number: A 3368

Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

1 marmoset escaped + put in moving cage, got minor injuries

Species involved: Marmoset

Personnel involved:

Dates and times:

Animal deaths:

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

Returned to normal cage
Retrain caretaker

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

February 25, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9A]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 28, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison. According to the information provided, OLAW understands that a nonhuman primate received two challenges with simian immunodeficiency virus, although the protocol was approved for only one. No adverse effects were reported with the animal.

The corrective actions consisted of the Principal Investigator modifying laboratory standard operating procedures which includes having laboratory staff email images of protocol procedures to the PI and Primate Center staff prior to performing the activity, and clearly identifying the animal to be used.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSV ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



A3368-9A

January 28, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on January 18, 2019.

In this incident, investigators were testing the efficacy of a new stock of simian immunodeficiency virus (SIV). The approved protocol allowed animals to receive one SIV challenge. However, when tests indicated these animals did not become infected, one animal received a second challenge of SIV on November 23, 2018. The animal suffered no adverse effects as a result of this incident. In response to this incident, the PI has implemented multiple changes to laboratory standard operating procedures. This includes requiring lab members to email screen shots of approved procedures in the protocol to both the PI and the Project Coordinator in the Specific Protocol Implementation (SPI) unit at the Primate Center that specifies the animal ID#s at least 3 days prior to experimental treatments.

This animal was supported by NIH grant R01 AI121135.

The LSVC ACUC discussed this incident in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc: (b) (6)

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu http://www.rarc.wisc.edu

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, February 20, 2019 12:34 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter
Subject: RE: Incident Final Report from Nadine Connor @ UW-Madison

Follow Up Flag: Follow up
Flag Status: Flagged

Thank you for providing this report. We will send an official response soon.

Best regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

From: (b) (6)
Sent: Wednesday, February 20, 2019 10:45 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Final Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





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

July 9, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9B]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 9, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information within the initial telephone report received on December 3, 2018. According to the information provided, OLAW understands that in late November 2018, while laboratory personnel were separating mice into new caging in a core facility, they failed to remove a sticker that covered an outlet on one water bottle. The animals in that cage did not have access to water and two mice died. The activity to which the mice were assigned is funded by the PHS.

Corrective and preventive measures included retraining of the laboratory personnel on mouse room procedures with emphasis the particular water bottle system.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the actions taken to resolve the issue and prevent recurrence were appropriate. 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: ACUC Chair



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

July 9, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an adverse event that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to OLAW by Dr. Janet Welter, Chief Campus Veterinarian on December 3, 2018.

Laboratory personnel were separating animals into new Innovive cages in a core facility. They failed to remove the sticker that covers the outlet on one water bottle before the bottle was placed in a cage. The animals therefore had no access to water and two mice were found dead. The laboratory is funded by NIH: R01 DC004336.

In order to prevent this from occurring again, the laboratory personnel were retrained on mouse room procedures with particular emphasis on the Innovive water bottle system. This training is documented.

The SMPH ACUC discussed the event and corrective actions at their December 3, 2018 meeting. The Committee accepted the report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, July 09, 2019 12:58 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; Dan Uhlrich
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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.

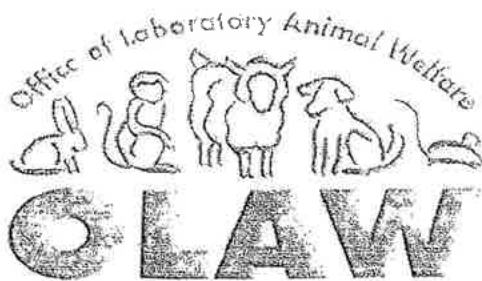
From: (b) (6)
Sent: Tuesday, July 09, 2019 11:47 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Dan Uhlrich <dan.uhlrich@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: BMDate: 12/3/18Time: 12:45Name of Person reporting: Janet Welton, DVM, A/VTelephone #: (b) (6)

Fax #:

Email:

Name of Institution: U. Wisconsin - MadisonAssurance number: A3368Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? Sticker not peeled off of water.
2 mice died. At Med-school.Species involved: MousePersonnel involved: ResearchersDates and times: Weekend 11/24Animal deaths: Yes, 2 mice

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____

[illegible]



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 23, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9C]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 10, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on March 5, 2018. According to the information provided, OLAW understands that a monkey cage door had not been appropriately locked by staff and two animals escaped into the room. They fought with other monkeys in the room and one sustained a finger injury while the other one sustained a tongue injury. Another caged monkey also sustained a tongue injury.

The corrective actions consisted of treating the animals as necessary and retraining the staff involved.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and reduce the likelihood of a recurrence of this problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVAC ACUC Chair
Robert Gibbens, D.V.M., USDA-APHIS-AC



A3368-9C

April 10, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by (b) (6) on March 5, 2019.

In this incident, two adult macaques living as a pair exited their primary enclosure after the door lock was not properly placed. Both animals sustained injuries requiring veterinary attention. One animal sustained a digit injury and the other a tongue injury. A third animal in the room that did not leave her primary enclosure also had a tongue injury requiring veterinary attention. The staff involved underwent retraining. The animals involved in the incident were part of a NIH funded project (R01 HD080201).

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or (b) (6) (b) (6)

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu http://www.rarc.wisc.edu

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, April 11, 2019 8:52 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) RICKI J COLMAN; (b) (6)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this report. 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.

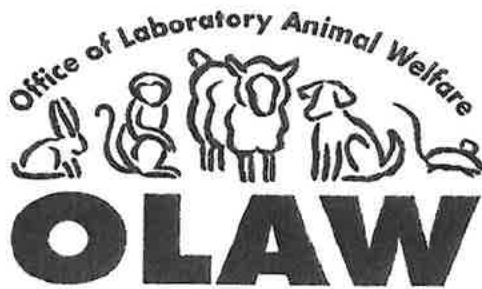
From: (b) (6)
Sent: Wednesday, April 10, 2019 11:47 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) RICKI J COLMAN <rjcolman@wisc.edu>; (b) (6)
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *am*

Date: *3/5/18*

Time: *2:00*

Name of Person reporting: (b) (6)

Telephone #:

Fax #:

Email:

Name of Institution: *U of Wis - Madison*

Assurance number: *43368*

Did incident involve PHS funded activity? *Yes*

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Monkeys got out of cage, door open, fought w/ other monkeys 2 tongue + 1 finger injury. Human error

Species involved: *Rhesus*

Personnel involved:

Dates and times:

Animal deaths:

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

Treated animals, counsel staff

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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 23, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9D]

Dr. Ricki Colman
Chair, LSVC ACUC
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Colman,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 10, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on March 26, 2019. According to the information provided, OLAW understands that due to misidentification of the tattoos, one of two paired cynomolgus monkeys was subjected to unnecessary anesthesia and analgesia. No adverse effects occurred to the animal due to this error.

The corrective action consisted of retraining the staff involved and retattooing the monkey at the next anesthetic event.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Robert Gibbens, D.V.M., USDA-APHIS-AC



A3368-9D

April 10, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by (b) (6) on March 26, 2019.

In this incident, a macaque was misidentified resulting in it receiving anesthesia and pre-operative analgesia unnecessarily. The misidentification was identified prior to any procedure being performed. No negative outcomes were associated with this incident. The staff involved underwent retraining. The animals involved in the incident were part of a NIH funded project (R24 OD021322).

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or (b) (6) (b) (6)

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu http://www.rarc.wisc.edu

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, April 11, 2019 8:51 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) RICKI J COLMAN
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this report. 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: (b) (6)
Sent: Wednesday, April 10, 2019 11:45 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) RICKI J COLMAN <rjcolman@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: [Signature]Date: 3/26/19Time: 4:10Name of Person reporting: (b) (6)Telephone #: [Redacted]Fax #: [Redacted]Email: [Redacted]Name of Institution: Univ of Wisconsin - MadisonAssurance number: A3368Primate CenterDid incident involve PHS funded activity? YesFunding component: [Redacted]Was funding component contacted (if necessary): [Redacted]

What happened? 2 animals pained. Tattoos looked identical and one animal got extra dose of buprenorphine and other got ultrasound not approved.

Species involved: CynomolgusPersonnel involved: NoneDates and times: 2/25/19Animal deaths: NoProjected plan and schedule for correction/prevention (if known): [Redacted]

Will correct tattoo at next scheduled anesthesia.

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # [Redacted]



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 9, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9E]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your March 28, 2019 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison. According to the information provided, OLAW understands that two mouse pups in separate cages were found trapped between the wire lid and cage top. The mice had no access to water and one died. This incident occurred following weaning of the mice by the laboratory staff.

The corrective actions consisted of returning the surviving pup to the cage after which the animal recovered. The laboratory staff was retrained on appropriate animal handling.

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 institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: SMPH IACUC Chair

A3368-9E



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

March 28, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an adverse event that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to Dr. Wolff by (b) (6) on January 18, 2019.

Two cages of mice, newly weaned by laboratory personnel, were found by vivarium animal care staff, each with a single mouse pup positioned in-between the wire lid and the plastic cage top. In that location, there was no access to water supply. One animal was found dead; the other was placed in its cage and recovered. This research is supported by NIH grant R21 NS104612-01A1.

To ensure that this type of event does not occur again, the PI provided retraining to laboratory staff on separation of animals into new cages, verifying that animals are safely transferred.

The event and corrective actions were discussed at the January 7, 2019 meeting of the SMPH ACUC. The Committee approved the assessment report and the corrective actions.

If you have any questions, please contact (b) (6) or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, March 29, 2019 6:54 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will send a response soon.

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

From: (b) (6)
Sent: Thursday, March 28, 2019 3:33 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)

A large rectangular area of the document is completely redacted with a solid grey fill.



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

June 17, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9F]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 10, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on April 12, 2019. According to the information provided, OLAW understands that six live neonatal mice were found in the carcass freezer due to a failure to ensure death following exposure to CO2 for euthanasia. The required secondary physical method of euthanasia had not been used.

The immediate action taken upon discovery consisted of appropriately euthanizing the mice. The protocol was amended to specifically indicate how neonatal euthanasia is to be performed. Signs at the CO2 chambers were changed and the protocol form was altered to state that a secondary physical method of euthanasia is required for neonatal mice.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

June 10, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an adverse event that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to OLAW by Dr. Janet Welter, Chief Campus Veterinarian on April 12, 2019.

Animal program staff discovered alive six neonate mice in a freezer. Upon discovery, the animals were immediately removed and euthanized. Investigation revealed that the animals were euthanized with CO2, thought to be dead, and were placed in the freezer. The laboratory breeds animals and typically uses them when older. They were unaccustomed to euthanizing neonates and did not perform a secondary physical method of euthanasia. The laboratory is funded by NIH: P01NS083514, R01MH099231, and R01GM116916.

In order to prevent this from occurring again, the PI amended the protocol to add specific wording on how death of neonates will be ensured, and we altered signage at CO2 stations to reiterate that secondary methods are necessary for neonates. Additionally, we are modifying suggested wording in the online protocol template to indicate more clearly the need for secondary physical methods.

The SMPH ACUC discussed the event and corrective actions at their May 6, 2019 meeting. The Committee accepted the report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, June 11, 2019 7:42 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; Dan Uhlrich
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this report. We will send an official response soon.

Best regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

From: (b) (6)
Sent: Monday, June 10, 2019 4:33 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Dan Uhlrich <dan.uhlrich@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *JGM*Date: *4/12/19*Time: *8:45*

Name of Person reporting:

Telephone #: *(b) (6)*

Fax #:

Email:

Name of Institution:

Assurance number:

*Univ. of Wisconsin - Madison**A3368*

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

*Live pups (6) found in freezer*Species involved: *Mouse*Personnel involved: *Researcher*

Dates and times:

Animal deaths:

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

July 22, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9G]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 8, 2019 letter reporting an adverse event involving a marmoset at the University of Wisconsin- Madison, following up on an initial telephone report on April 12, 2019. According to the information provided, OLAW understands that a marmoset sustained a broken femur during approved protocol manipulations. The incident constituted an accident from unknown causes.

The corrective actions consisted of amputating the leg and retraining all staff involved. The animal has recovered well from the surgery.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to address this adverse event. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian
Robert Gibbens, D.V.M, USDA-APHIS-AC



July 8, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an adverse event first reported to you via telephone by Dr. Janet Welter on April 12, 2019.

On March 26, 2019, an adolescent marmoset sustained a fractured right femur sometime before or after multiple protocol approved manipulations while conscious (e.g., urine collection, body measurements, body composition evaluation, ear tuft dyeing, and blood collection). The cause of this fracture remains undetermined. As a result of the fracture, the right leg was amputated at the fracture site. The animal has recovered well from the surgery. All individuals involved have received retraining. This animal was supported by NIH grant 1R01HD086057-01A1.

The LSVIC IACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVIC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu

Madison, Wisconsin 53726-4087
<http://www.rarc.wisc.edu>

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, July 11, 2019 11:59 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; Craig Berridge
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for submitting this final report. 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: (b) (6)
Sent: Wednesday, July 10, 2019 10:39 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Craig Berridge <berridge@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *BM*

Date: *4/12/19*

Time: *8:40*

Name of Person reporting:

Telephone #:

Fax #:

Email:

Janet Welter, DVM

Name of Institution:

Assurance number:

Univ. of Wisconsin-Madison (Primate Center)
A3368

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Blood draw procedure. Fractured femur in restrainer. No noncompliance.

Species involved:

Marmoset

Personnel involved:

Dates and times:

3/26/19

Animal deaths:

Adverse event

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

June 17, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9H]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 10, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on April 12, 2019. According to the information provided, OLAW understands that following an approved eye procedure in a rabbit, no documentation was made regarding postprocedural monitoring or administration of analgesia. However, veterinary records on the day of the procedure did not show any problems with the rabbit. The Principal Investigator (PI) stated that analgesics had been given, the rabbit had been monitored, and complete records were maintained by the laboratory staff on subsequent days.

The corrective actions consisted of counseling the Principal Investigator and staff, having laboratory staff use medical record templates to include all procedures, having laboratory staff print out the post-procedural records and keep them with the procedure records, and maintaining a checklist of all procedures.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

June 10, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an adverse event that occurred in the UW School of Medicine and Public Health (SMPH). Chief Campus Veterinarian Dr. Janet Welter reported it to OLAW on April 12, 2019.

During a routine medical records review, veterinarians discovered incomplete documentation by lab staff in the procedural records for one rabbit. Following a choroidal injection under general anesthesia, there was no indication that lab staff provided analgesia or made postsurgical observations on the day of the procedure. Separate documented observations by program veterinarians on the day of the procedure did not indicate any noticeable problems with the animal. Subsequent dates for this animal show full documentation of analgesic administration and monitoring. This research has NIH support, P30 EY016665.

When contacted, the PI and laboratory staff stated that they provided all of the analgesics and monitored the animal per protocol, but failed to complete the form. In order to prevent this from occurring again, the laboratory will make sure all procedures have an up-to-date medical records template so they do not accidentally omit entries on the day of a procedure. Additionally, lab staff will print out all of the post-procedural treatment/observation records at the same time as the procedural record and place those in a designated location. This will include a checklist for procedures and follow-up observations as an additional measure to make sure they properly complete all steps.

The SMPH ACUC discussed the event and corrective actions at their April 1, 2019 meeting. The Committee accepted the report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, June 11, 2019 7:42 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; Dan Uhlrich
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this report. We will send an official response soon.

Best regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

From: (b) (6)
Sent: Monday, June 10, 2019 4:21 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Dan Uhlrich <dan.uhlrich@wisc.edu>
Subject: FW: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *mgm*Date: *4/12/19*Time: *8:45*Name of Person reporting: *Janet Walter, DVM*

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: *Univ. of Wisconsin - Madison*Assurance number: *A3368*

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Eye procedure. No record of analgesia. Animal appeared fine when checked by Vet.*

Species involved: *Rabbit*Personnel involved: *Researcher*

Dates and times:

Animal deaths:

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

June 17, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9I]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 10, 2019 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison, following up on an initial telephone call on May 6, 2019. According to the information provided, OLAW understands that 18 mice had escaped their cages after chewing through the hole for the water bottle. A research technician had removed the bottles to replace them but was gone for several hours.

The corrective actions consisted of catching 16 mice and placing them in clean cages or euthanizing them. Two mice were not recaptured. The technician was retrained and all technicians will now bring fresh water bottles into the room before replacing them.

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 institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

June 10, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an adverse event that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to you by Chief Campus Veterinarian Dr. Janet Welter on May 6, 2019.

An animal research technician (ART) removed six Innovive mouse cages from their racks to identify which cages needed new water bottles. The ART removed the old water bottles and left the room at approximately 3:00 p.m. to get new bottles. After leaving the room, the ART was distracted by another issue and forgot to return to the room. When ARTs entered the room at 6:30 the next morning, the cages were chewed through at the cage opening for the water bottles, and 18 mice had exited the cages. So far, 16 mice are confirmed recovered. They were placed in new cages or euthanized. This research has NIH support, R01 CA216841.

To prevent this from occurring again the ART was retrained. Further, ARTs now bring replacement bottles to the room before removing bottles from the cage. The SMPH ACUC discussed the event and corrective actions at their May 6, 2019 meeting. The Committee accepted the report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, June 11, 2019 7:43 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; Dan Uhlrich
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this report. We will send an official response soon.

Best regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

From: (b) (6)
Sent: Monday, June 10, 2019 4:18 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Dan Uhlrich <dan.uhlrich@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *[Signature]*

Date: 5/6/19

Time: 9:50

Name of Person reporting: *Janet Welter, AV*Telephone #: *(b) (6)*

Fax #:

Email:

Name of Institution: *U. of Wisconsin - Madison*Assurance number: *A3368*

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Mice chewed out of Inovise cage when caretaker forgot to replace water container.*

Species involved: *Mouse*Personnel involved: *Care staff*

Dates and times:

Animal deaths:

2 mice are missing

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

July 8, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9K]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 18, 2019 letter reporting an incident of noncompliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy) at The University of Wisconsin-Madison. Your letter was provided to follow up on a preliminary report submitted to OLAW by phone on June 6, 2019. According to the information supplied, OLAW understands that a veterinary technician observed a wound in an adult macaque and inadvertently documented this finding and treatment plan in the enclosure mate's medical record. As a result, the incorrect macaque received anti-inflammatory medication for two days which delayed treatment for the injured animal until the error was discovered. At that time, the anti-inflammatory treatment was discontinued for the incorrect animal and initiated for the correct animal whose wound healed without complication. It was reported that the involved animal activity was PHS supported.

The described corrective action consisted of retraining the veterinary technician.

Based on the information provided, OLAW concurs with the actions taken by the institution and IACUC to adhere to the PHS Policy. We appreciate being informed of this incident and find no cause for further action by this Office.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair



June 18, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of two incidents first reported to you via telephone by Dr. Janet Welter on June 6, 2019.

case -92 In the first incident, an animal caretaker failed to properly lock an animal enclosure after the animal was transferred into the enclosure and a second student animal caretaker responsible for checking the enclosure also failed to realize that the lock was not attached properly. Two adult macaques exited the primary enclosure and sustained injuries that required veterinary intervention. Another animal in the room also sustained injuries which required veterinary intervention when one of the two animals that had left their primary enclosure interacted with this animal. The first animal caretaker underwent retraining. The student animal caretaker has not been retrained because they are out on medical leave, but will be retrained upon their return. The animals involved in the incident were part of NIH funded projects (R44 AI134269, 1R01 AI110617-01, 1K99 HD099154-01).

This case In the second incident, a veterinary technician observed an adult macaque with wounds sustained from interactions with its enclosure mate, but inadvertently entered the observations and prescribed treatments for the animal into the enclosure mate's record. The animals were separated immediately and the former enclosure mate received an anti-inflammatory for two days and the injured animal's treatment was delayed. The anti-inflammatory treatment for the injured animal was initiated when the error was discovered and the animal's wounds have healed without complication. The veterinary technician underwent retraining. The animals involved were supported by NIH grant 5P51OD011106-57

The LSVAC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu http://www.rarc.wisc.edu

Ricki Colman, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, June 18, 2019 3:25 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; RICKI J COLMAN
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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: (b) (6)
Sent: Tuesday, June 18, 2019 3:11 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; RICKI J COLMAN <rjcolman@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *Agm*Date: *6/6/19*Time: *3:30*

Name of Person reporting:

Telephone #:

Fax #:

Email:

Janet Welter, DVM

Name of Institution:

Assurance number:

*Univ. of Wisconsin - Madison
A3368 Primate Center*Did incident involve PHS funded activity? *?*

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Macaque cagemates fought, but wounded animal did not receive Tx due to mis-identification on treatment report.

Species involved:

Personnel involved: *Vet Tech*Dates and times: *4/21/19*Animal deaths: *No*

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

Retraining of Vet Tech.

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

July 8, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9L]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 18, 2019 letter reporting an incident of noncompliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy) at The University of Wisconsin-Madison. Your letter was provided to follow up on a preliminary report submitted to OLAW by phone on June 6, 2019. According to the information supplied, OLAW understands that an animal caretaker failed to properly lock an animal enclosure and a student animal caretaker responsible for checking the enclosure failed to identify the improperly attached lock. Three macaques sustained injuries that required veterinary intervention after two adult macaques exited their primary enclosure and after one of the two interacted with an animal still in its enclosure. It was reported that the involved animal activity was PHS supported.

The described corrective action consisted of retraining of the animal caretaker and retraining of the student animal caretaker will occur when this individual returns from medical leave.

Based on the information provided, OLAW concurs with the actions taken by the institution and IACUC to adhere to the PHS Policy. We appreciate being informed of this incident and find no cause for further action by this Office.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair



June 18, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance **A3368-01** and PHS Policy IV.F.3, provides this report of two incidents first reported to you via telephone by Dr. Janet Welter on June 6, 2019.

This case
In the first incident, an animal caretaker failed to properly lock an animal enclosure after the animal was transferred into the enclosure and a second student animal caretaker responsible for checking the enclosure also failed to realize that the lock was not attached properly. Two adult macaques exited the primary enclosure and sustained injuries that required veterinary intervention. Another animal in the room also sustained injuries which required veterinary intervention when one of the two animals that had left their primary enclosure interacted with this animal. The first animal caretaker underwent retraining. The student animal caretaker has not been retrained because they are out on medical leave, but will be retrained upon their return. The animals involved in the incident were part of NIH funded projects (R44 AI134269, 1R01 AI110617-01, 1K99 HD099154-01).

case - 9K
In the second incident, a veterinary technician observed an adult macaque with wounds sustained from interactions with its enclosure mate, but inadvertently entered the observations and prescribed treatments for the animal into the enclosure mate's record. The animals were separated immediately and the former enclosure mate received an anti-inflammatory for two days and the injured animal's treatment was delayed. The anti-inflammatory treatment for the injured animal was initiated when the error was discovered and the animal's wounds have healed without complication. The veterinary technician underwent retraining. The animals involved were supported by NIH grant 5P51OD011106-57

The LSVAC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Ricki Colman, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, June 18, 2019 3:25 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; RICKI J COLMAN
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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: (b) (6)
Sent: Tuesday, June 18, 2019 3:11 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; RICKI J COLMAN <rjcolman@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *ajm*Date: *6/6/19*Time: *3:30*

Name of Person reporting:

Telephone #:

Fax #:

Email:

Janet Welter, DVM

Name of Institution:

Assurance number:

*Univ of Wisconsin - Madison
A3368 Private Center*

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

*Locks not checked on enclosure by
2 caretakers and 2 monkeys escaped. Animals
injured*

Species involved:

Personnel involved:

Dates and times:

Animal deaths:

*macaque
care staff
No*

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

July 17, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9M]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 16, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on June 26, 2019. According to the information provided, OLAW understands that five infant rhesus monkeys were subjected to behavioral tests at a different frequency than described in the approved protocol. The tests involved removing the infants from the mothers for one hour and conducting the testing. Conducting the tests three in a row rather than once per month resulted in better outcomes.

The corrective action consisted of amending the protocol to reflect the actual testing schedule.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



July 16, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of two incidents first reported to you via telephone by Dr. Janet Welter on June 26, 2019.

- 1) In the first incident, a veterinary technician inadvertently administered the incorrect dose of an anti-inflammatory (meloxicam) to an infant rhesus macaque after identification tattoos were placed on its ears. A dose of gastric protectant was administered prophylactically to alleviate any adverse effects resulting from the incorrect anti-inflammatory dose. The animal was monitored and no adverse effects were noted. The technician has not been involved in similar incidents and underwent retraining. The animal involved was supported by NIH grant 5P51OD011106-57.
- 2) In the second incident, following a post-approval monitoring review, a PI self-reported that 5 rhesus macaque infants underwent a behavioral assessment procedure at a different frequency than outlined in the approved IACUC protocol. This "infant behavior assessment" involves removal of the infant monkey from its mother for no longer than 1 hour. In the procedure, the infant is put in a separate enclosure where its cognitive, regulation, motor and sensory responses are scored. The PI reported that these infant behavior assessments have been performed daily for 3 days in a row once a month, instead of once weekly as the protocol specifies. It was discovered that the infants acclimate to the assessments more quickly if three days of testing in a row is performed rather than weekly testing. A protocol amendment to alter the frequency of testing is being processed. The animals involved were supported by NIH grant 3R01AI116382-01A1S1.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, July 16, 2019 2:14 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; RICKI J COLMAN
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this report. 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: (b) (6)
Sent: Tuesday, July 16, 2019 12:00 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; RICKI J COLMAN <rjcolman@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: aw

Date: 6/26/19

Time: 9:15

Name of Person reporting: Janet Welter

Telephone #: (b)(6)

Fax #:

Email:

Name of Institution: U of Wisconsin - Madison

Assurance number: A3368

Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Subjects underwent different behavioral assessment than described in protocol

Species involved: Infant Rhesus

Personnel involved:

Dates and times:

Animal deaths:

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

Amend protocol

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

July 17, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9N]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 16, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on June 26, 2019. According to the information provided, OLAW understands that a greater than approved dose of an anti-inflammatory agent was inadvertently given to an infant rhesus.

The immediate action taken consisted of providing a gastric protectant and the animal recovered uneventfully. The veterinary technician responsible was retrained.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian



July 16, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of two incidents first reported to you via telephone by Dr. Janet Welter on June 26, 2019.

- 1) In the first incident, a veterinary technician inadvertently administered the incorrect dose of an anti-inflammatory (meloxicam) to an infant rhesus macaque after identification tattoos were placed on its ears. A dose of gastric protectant was administered prophylactically to alleviate any adverse effects resulting from the incorrect anti-inflammatory dose. The animal was monitored and no adverse effects were noted. The technician has not been involved in similar incidents and underwent retraining. The animal involved was supported by NIH grant 5P51OD011106-57.
- 2) In the second incident, following a post-approval monitoring review, a PI self-reported that 5 rhesus macaque infants underwent a behavioral assessment procedure at a different frequency than outlined in the approved IACUC protocol. This "infant behavior assessment" involves removal of the infant monkey from its mother for no longer than 1 hour. In the procedure, the infant is put in a separate enclosure where its cognitive, regulation, motor and sensory responses are scored. The PI reported that these infant behavior assessments have been performed daily for 3 days in a row once a month, instead of once weekly as the protocol specifies. It was discovered that the infants acclimate to the assessments more quickly if three days of testing in a row is performed rather than weekly testing. A protocol amendment to alter the frequency of testing is being processed. The animals involved were supported by NIH grant 3R01AI116382-01A1S1.

The LSVAC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, July 16, 2019 2:14 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Janet Welter; RICKI J COLMAN
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this report. 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: (b) (6)
Sent: Tuesday, July 16, 2019 12:00 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; RICKI J COLMAN <rjcolman@wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



A3368-9N



Initial Report of Noncompliance

By: aw

Date: 6/26/19

Time: 9:15

Name of Person reporting: Janet Watten

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: U of Wisconsin - Madison

Assurance number: A3368

Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Wrong dose of analgesic to baby macaque. Too much given
but no impact on monkey.

Species involved: Rhesus

Personnel involved:

Dates and times:

Animal deaths:

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

Retrain Technician.

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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 10, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 90]

Dr. Nadine Connor
Associate Vice Chancellor for
Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your December 5, 2019 letter reporting an adverse event involving animals at the UW School of Medicine and Public Health (SMPH) following up on an initial August 19, 2019 notification by telephone. According to the information provided, this Office understands that the SMPH ACUC determined that instances of noncompliance occurred with respect to: researchers use of expired buprenorphine on a group of mice during a protocol approved procedure. The drug was used one month past the expiration date. The letter states the mice did not display unusual signs of discomfort after the procedure, and lab personnel properly disposed of the buprenorphine upon discovery of the error. Corrective actions taken by the lab include:

- 1) Maintaining detailed records for each drug.
- 2) Labeling vials with aliquots and expiration dates.
- 3) Implementing a monthly check of the drug inventory to verify status is in accordance with regulations and management practices. The adverse event and corrective actions by the lab were discussed at the September 9, 2019 SMPH ACUC meeting. The Committee accepted the report and required no further actions.

Based on its assessment of this explanation, OLAW understands that the University of Wisconsin-Madison has implemented appropriate measures to correct and prevent recurrences of this problem and is now compliant with provisions of the PHS Policy. We appreciate being informed of these matters and find no cause for action by this Office.

Sincerely,

(b) (6)

Jacquelyn T. Tubbs
Veterinary Medical Officer
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Contact



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

December 5, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an adverse event that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to you by Chief Campus Veterinarian Dr. Janet Welter on August 19, 2019.

Researchers inadvertently used expired buprenorphine on a group of mice during an approved protocol procedure. The aliquoted drug was approximately one month past its expiration date. The mice that received the buprenorphine displayed no unusual signs of discomfort after the procedure. This research has NIH support, R01 AI119140-01A1.

Upon discovery of the error, laboratory personnel properly disposed of the buprenorphine. The laboratory instituted new practices to prevent recurrence, including maintaining detailed records for each drug used and labeling individual vials with aliquoted and expirations dates. The laboratory also implemented a monthly check of the drug inventory to ensure drug status is in accordance with regulations and management practices.

The SMPH ACUC discussed the event and corrective actions at their September 9, 2019 meeting. The Committee accepted the report and required no further actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Office of the Vice Chancellor for Research and Graduate Education
333 Bascom Hall 500 Lincoln Drive Madison, Wisconsin 53706 608-262-1044

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, December 05, 2019 1:28 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Dan Uhlrich; Janet Welter
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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: (b) (6)
Sent: Thursday, December 05, 2019 11:23 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: *BIM*

Date: *8/19/19*

Time: *Noon*

Name of Person reporting:

Telephone #:

Fax #:

Email:

Janet Welter, A/V
(b) (6)

Name of Institution:

Assurance number:

U. of Wisconsin - Madison
A3368
Med. School

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Buprenorphine, 1 month past expiration date, used on 6 mice. Disposed of. No*

Species involved: *Mice*

Personnel involved: *Researchers*

Dates and times:

Animal deaths:

No

pain or distress noted.

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

After September IACUC meeting

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

October 28, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9P]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 21, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information within the initial telephone report received on October 17, 2019. According to the information provided, OLAW understands that in late August 2019 an adult marmoset received an overdose of an anti-inflammatory agent due to an error by a veterinary technician. There were no adverse consequences to the animal. The animal was supported by an NIH grant.

Preventive measures included retraining of the technician pertaining to the proper ordering and preparation of treatments.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the actions taken to resolve the issue and prevent recurrence were appropriate. 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: ACUC Chair
Dr. Robert M. Gibbens, USDA, APHIS, AC



October 21, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on October 17, 2019.

Case -9P
In the first incident, an adult marmoset received an overdose of an anti-inflammatory agent due to veterinary technician error. The technician was retrained utilizing standard operating procedures pertinent to the proper ordering and preparation of treatments. There were no adverse consequences to the animal. The animal involved was supported by NIH grant 1R24OD020347-01A1.

In the second incident, two macaques sustained injuries that required veterinary attention after they removed the divider separating their home enclosures. The incident occurred after two animal caretakers had not placed a lock on the divider between the two enclosures after the enclosure had been sanitized. The two individuals were retrained utilizing standard operating procedures pertinent to the proper closure and checking of nonhuman primate enclosures. The animals involved were supported by NIH grant 5P51OD011106-57.

In the final incident, an adult rhesus monkey sustained injuries that required veterinary attention after it contacted another animal that had exited its enclosure. The incident occurred after an animal caretaker had not placed a lock on one of the doors of the enclosure. The animal caretaker was retrained utilizing standard operating procedures pertinent to the proper closure and checking of nonhuman primate enclosures. The animal involved was supported by NIH grant 5P51OD011106-57.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, October 23, 2019 4:31 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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: (b) (6)
Sent: Wednesday, October 23, 2019 4:05 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *[Signature]*

Date: 10/17/19

Time: 12:50

Name of Person reporting:
Telephone #:
Fax #:
Email:

Janet Welter, A/V
(b) (6)

Name of Institution: *U. of Wisconsin - Madison*
Assurance number: *A3368* *Primate Center*

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Adult marmoset received overdose of an antiinflammatory (NSAID). No apparent harm.*

Species involved: *Marmoset*
Personnel involved: *Vet Tech.*
Dates and times: *August 2019*
Animal deaths:

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

October 28, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9Q]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 21, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information within the initial telephone report received on October 17, 2019. According to the information provided, OLAW understands that on September 19, 2019 an adult rhesus monkey was injured in its cage by another rhesus that had escaped its enclosure. An animal caretaker had not placed a lock on one of the doors of the enclosure. The injuries required veterinary attention. The animal was supported by an NIH grant.

Preventive measures included retraining of the animal caretaker pertaining to the proper closure and checking of nonhuman primate enclosures.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the actions taken to resolve the issue and prevent recurrence were appropriate. 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: ACUC Chair
Dr. Robert M. Gibbens, USDA, APHIS, AC



October 21, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on October 17, 2019.

In the first incident, an adult marmoset received an overdose of an anti-inflammatory agent due to veterinary technician error. The technician was retrained utilizing standard operating procedures pertinent to the proper ordering and preparation of treatments. There were no adverse consequences to the animal. The animal involved was supported by NIH grant 1R24OD020347-01A1.

In the second incident, two macaques sustained injuries that required veterinary attention after they removed the divider separating their home enclosures. The incident occurred after two animal caretakers had not placed a lock on the divider between the two enclosures after the enclosure had been sanitized. The two individuals were retrained utilizing standard operating procedures pertinent to the proper closure and checking of nonhuman primate enclosures. The animals involved were supported by NIH grant 5P51OD011106-57.

Case
-9Q
In the final incident, an adult rhesus monkey sustained injuries that required veterinary attention after it contacted another animal that had exited its enclosure. The incident occurred after an animal caretaker had not placed a lock on one of the doors of the enclosure. The animal caretaker was retrained utilizing standard operating procedures pertinent to the proper closure and checking of nonhuman primate enclosures. The animal involved was supported by NIH grant 5P51OD011106-57.

The LSVAC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu

Madison, Wisconsin 53726-4087
<http://www.rarc.wisc.edu>

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, October 23, 2019 4:31 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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: (b) (6)
Sent: Wednesday, October 23, 2019 4:05 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *BM*

Date: *10/17/19*

Time: *12:50*

Name of Person reporting:

Telephone #:

Fax #:

Email:

Janet Welter, A/V
(b) (6)

Name of Institution:

Assurance number:

U. of Wisconsin - Madison.

A3368

Primate Center

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *Rhesus in cage injured by escaped rhesus.*

Species involved: *Rhesus*

Personnel involved: *Care staff.*

Dates and times: *9/19/19*

Animal deaths:

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

Caretaker retrained

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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

October 28, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9R]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 21, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information within the initial telephone report received on October 17, 2019. According to the information provided, OLAW understands that on August 28, 2019 two macaque monkeys were injured while fighting after removing a divider separating their home enclosures. Two animal caretakers had not placed a lock on the divider after the enclosure had been sanitized. The injuries required veterinary attention. The animals were supported by an NIH grant.

Preventive measures included retraining of the animal caretakers pertaining to the proper closure and checking of nonhuman primate enclosures.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the actions taken to resolve the issue and prevent recurrence were appropriate. 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: ACUC Chair
Dr. Robert M. Gibbens, USDA, APHIS, AC



October 21, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of three incidents first reported to you via telephone by Dr. Janet Welter on October 17, 2019.

In the first incident, an adult marmoset received an overdose of an anti-inflammatory agent due to veterinary technician error. The technician was retrained utilizing standard operating procedures pertinent to the proper ordering and preparation of treatments. There were no adverse consequences to the animal. The animal involved was supported by NIH grant 1R24OD020347-01A1.

Case -9R
In the second incident, two macaques sustained injuries that required veterinary attention after they removed the divider separating their home enclosures. The incident occurred after two animal caretakers had not placed a lock on the divider between the two enclosures after the enclosure had been sanitized. The two individuals were retrained utilizing standard operating procedures pertinent to the proper closure and checking of nonhuman primate enclosures. The animals involved were supported by NIH grant 5P51OD011106-57.

In the final incident, an adult rhesus monkey sustained injuries that required veterinary attention after it contacted another animal that had exited its enclosure. The incident occurred after an animal caretaker had not placed a lock on one of the doors of the enclosure. The animal caretaker was retrained utilizing standard operating procedures pertinent to the proper closure and checking of nonhuman primate enclosures. The animal involved was supported by NIH grant 5P51OD011106-57.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Sincerely,

(b) (6)

Craig Berridge, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, October 23, 2019 4:31 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Craig Berridge; Janet Welter
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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: (b) (6)
Sent: Wednesday, October 23, 2019 4:05 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Craig Berridge <berridge@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: *BMA*

Date: *10/17/19*

Time: *12:50*

Name of Person reporting: *Janet Welter, A/V*

Telephone #: *(b) (6)*

Fax #:

Email:

Name of Institution: *U. of Wisconsin - Madison.*

Assurance number: *A3368*

Primate Center

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? *2 animals removed divider due to caretaker error. Required Vet care.*

Species involved: *Macaques*

Personnel involved:

Dates and times: *8/28/19*

Animal deaths:

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

Caretaker retrained

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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 11, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9S]

Dr. Nadine Connor
Associate Vice Chancellor for
Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your December 5, 2019 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the UW School of Medicine and Public Health (SMPH). According to the information provided, this Office understands that the SMPH Animal Care and Use Committee (ACUC) determined that an instance of noncompliance occurred with respect to administration of a compound, fisetin, to a group of mice prior to protocol approval. Laboratory staff mistakenly thought the protocol had been amended to include the compound. The activity was stopped once the error was discovered. Corrective actions included:

- 1) The principal investigator (PI) adding fisetin to the protocol (amendment has been approved by the SMPH ACUC).
- 2) PI retraining lab members to confirm that procedures are approved prior to starting an experiment.

Based on its assessment of this explanation, OLAW understands that the SMPH ACUC has implemented appropriate measures to correct and prevent recurrences of these problems and is now compliant with provisions of the PHS Policy. We appreciate being informed of these matters and find no cause for action by this Office.

Sincerely,

(b) (6)

Jacquelyn T. Tubbs
Veterinary Medical Officer
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Contact



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

A3368-9S
New case

December 5, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter reports an adverse event that occurred in the UW School of Medicine and Public Health (SMPH). We did not provide a preliminary report because of an oversight.

Laboratory staff self-reported the administration of a compound before it was approved in the protocol. The compound, fisetin, is a naturally-occurring flavinoid derived from fruits, diluted in polyethylene glycol. Shortly before traveling out of town, the PI had been in discussion with laboratory members about amending the protocol to include fisetin. Lab members mistakenly thought the protocol had been amended, and they administered the compound to a group of mice. The laboratory stopped the activity once they discovered the protocol error. Animals displayed no adverse effects after receiving the compound. This research has NIH support, NS111818-01.

The PI immediately added fisetin administration to the protocol, and the SMPH ACUC approved the amendment. To prevent similar errors from occurring again, the PI retrained laboratory members to confirm that procedures are approved in the protocol prior to starting an experiment. Retraining was documented.

The SMPH ACUC discussed the event and corrective actions at their September 9, 2019 meeting. The Committee accepted the report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, December 05, 2019 1:29 PM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: Nadine Connor; (b) (6) Dan Uhlrich; Janet Welter
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this final report. 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: (b) (6)
Sent: Thursday, December 05, 2019 11:24 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



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 16, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9T]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your December 6, 2019 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison, following up on an initial telephone report on the same day. According to the information provided, OLAW understands that a rhesus monkey escaped its cage because it had not been properly locked. The monkey fought with another one and both sustained mild injuries.

The corrective actions consisted of treating the monkeys, which subsequently recovered. The animal caretaker responsible was retrained.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and reduce the likelihood of a recurrence of the problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian
Robert Gibbens, D.V.M, USDA-APHIS-AC



December 6, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of two incidents first reported to you via telephone by Dr. Janet Welter on December 6, 2019.

- ① In the first incident, an adult rhesus macaque exited its enclosure when an animal caretaker failed to secure the lock properly after enclosure sanitization. The animal, and another animal in the room, contacted one another and both animals required veterinary intervention to treat their injuries. The injuries were mild and have since resolved. The Colony Management staff involved in this incident were retrained. The animals involved were supported by NIH grant 5P51OD011106-57.
- 2 In the second incident, a member of the Colony Management staff administered an expired antibiotic over a four-day period to an adolescent rhesus macaque being treated for chronic diarrhea. The staff member responsible for this oversight was retrained. The animal involved was supported by NIH grant 5P51OD011106-57.

The LSVAC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVAC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, December 13, 2019 1:40 PM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incidents Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will send a reply soon.

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

From: (b) (6)
Sent: Friday, December 13, 2019 1:32 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; RICKI J COLMAN <rjcolman@wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incidents Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incidents final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: *egm*Date: *12/6/19*Time: *8:25*Name of Person reporting: *Janet Walter AV*Telephone #: *★* [REDACTED] (b) (6)Fax #: [REDACTED]Email: [REDACTED]Name of Institution: *U. Wisconsin - Madison*Assurance number: *A3368**Primate Center*Did incident involve PHS funded activity? ☐Funding component: ☐Was funding component contacted (if necessary): ☐What happened? *Adult rhesus escaped due to cage not locked. Mild injuries.*Species involved: *Rhesus*Personnel involved: *Caretaker*Dates and times: *10/9/19*Animal deaths: ☐Projected plan and schedule for correction/prevention (if known): ☐*Training all care staff.*Projected submission to OLAW of final report from Institutional Official: ☐

OFFICE USE ONLY

Case # ☐



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 16, 2019

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9U]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your December 6, 2019 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison, following up on an initial telephone report on the same day. According to the information provided, OLAW understands that a young rhesus monkey was given expired antibiotic for four days for diarrhea.

The corrective action consisted of retraining the staff member responsible.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and reduce the likelihood of a recurrence of the problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Janet Welter, D.V.M., Attending Veterinarian
Robert Gibbens, D.V.M, USDA-APHIS-AC



December 6, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of two incidents first reported to you via telephone by Dr. Janet Welter on December 6, 2019.

1 In the first incident, an adult rhesus macaque exited its enclosure when an animal caretaker failed to secure the lock properly after enclosure sanitization. The animal, and another animal in the room, contacted one another and both animals required veterinary intervention to treat their injuries. The injuries were mild and have since resolved. The Colony Management staff involved in this incident were retrained. The animals involved were supported by NIH grant 5P51OD011106-57.

2 In the second incident, a member of the Colony Management staff administered an expired antibiotic over a four-day period to an adolescent rhesus macaque being treated for chronic diarrhea. The staff member responsible for this oversight was retrained. The animal involved was supported by NIH grant 5P51OD011106-57.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu http://www.rarc.wisc.edu

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, December 13, 2019 1:40 PM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incidents Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will send a reply soon.

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

From: (b) (6)
Sent: Friday, December 13, 2019 1:32 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; RICKI J COLMAN <rjcolman@wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incidents Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incidents final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: *[Signature]*

Date: 12/6/19

Time: 8:30

Name of Person reporting: *Janet Welter, AV*Telephone #: *[Redacted]* (b) (6)Fax #: *[Redacted]*Email: *[Redacted]*Name of Institution: *U. Wisconsin - Madison*Assurance number: *A3368**Primate Center*Did incident involve PHS funded activity? ☐Funding component: ☐Was funding component contacted (if necessary): ☐What happened? *Expired antibiotic (after mixing) administered for 3 days. No harm.*Species involved: *Rhesus*Personnel involved: *Tech.*Dates and times: *10/23 - 10/26*Animal deaths: *[None]*

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

Projected submission to OLAW of final report from Institutional Official: _____

OFFICE USE ONLY

Case # _____



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) 480-3387

March 2, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9V]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 27, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on January 15, 2020. According to the information provided, OLAW understands that mice were given an antibody not described in the approved protocol and two mice died and one required euthanasia.

The corrective actions consisted of stopping administration of the antibody, amending the protocol to include the antibody at a reduced dose from what had been given, and retraining the laboratory staff on protocol compliance.

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 institution to comply with the PHS Policy. Please ensure that the grant is not charged for any unauthorized animal activities.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair
Attending Veterinarian



43368

Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

February 27, 2020

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an adverse event that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to you by Chief Campus Veterinarian Dr. Janet Welter on January 15, 2020.

Laboratory staff self-reported to veterinary staff that they administered a blocking antibody not listed in their approved protocol. Following administration, two mice were found dead and another was euthanized. This research has NIH support, CA193004-01.

For corrective actions, the laboratory stopped further administration of the antibody. They are writing a protocol amendment to include the antibody with a dosage range reduced from their previous off-protocol administration. Re-training has been provided to laboratory members on confirming familiarity with the protocol and only performing activities described in the protocol

The SMPH ACUC discussed the event and corrective actions at their February 3, 2020 meeting. The Committee accepted the report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, February 28, 2020 8:00 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incidents Report from Nadine Connor @ UW-Madison

Thank you for this report. We'll send a response soon.
Axel Wolff

From: (b) (6)
Sent: Thursday, February 27, 2020 2:30 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>; (b) (6)
Subject: Incidents Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incidents final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: Date: 1/15/20Time: 1:00Name of Person reporting: Janet Walter, DVM (AV)Telephone #: Fax #: Email: Name of Institution: U. of Wisconsin (Med Sch)Assurance number: A3368Did incident involve PHS funded activity? ?Funding component: Was funding component contacted (if necessary):

What happened? 3 mice given Ab not in ASP. 2 died, one euthanized.

Species involved: mousePersonnel involved: ResearcherDates and times: Animal deaths: YesProjected plan and schedule for correction/prevention (if known):

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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) 480-3387

March 10, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9W]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 21, 2020 letter reporting two serious deviations from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison, following up on an initial telephone report on February 21, 2020. According to the information provided, OLAW understands the following about the incidents and the corresponding corrective actions:

- 1) A transport cage was not fully secured on a lift which allowed the rhesus monkey to escape and fight with other monkeys, resulting in injuries.

Corrective action: The injured animals were treated and the lift was altered to make it more stable. No further problems have occurred.

- 2) An animal caretaker failed to provide water to a rhesus monkey on two consecutive days. No adverse clinical signs were noted.

Corrective action: The caretaker was retrained on appropriate provision of water.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and to reduce the likelihood of a recurrence of these problems. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: LSVAC ACUC Chair
Attending Veterinarian



February 21, 2020

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of two incidents first reported to you via telephone by Dr. Janet Welter on February 21, 2020.

In the first incident, an adult rhesus macaque exited its primary enclosure when an animal care technician was attempting to transport the animal for enclosure sanitization. The animal sustained injuries requiring veterinary intervention after contacting other animals in the room. This incident was categorized as an equipment failure as the device utilized to assist in the transfer of the animal needed further stabilization. The device was subsequently altered to provide greater stabilization and similar events have not recurred. The animal involved was supported by NIH grant UM1AI100663-07.

In the second incident, an animal caretaker failed to provide water for an adult macaque on two non-consecutive days. The animal did not display any adverse clinical signs as a result of this event. The WNPRC personnel responsible for this incident has been retrained regarding standard operating procedures pertaining to the delivery of water treatments. The animal involved was supported by NIH grant 1R01MH110311-01.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, February 27, 2020 6:37 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incidents Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will send a response soon.

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

From: (b) (6)
Sent: Wednesday, February 26, 2020 2:24 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incidents Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incidents final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: awDate: 2/21/20Time: 9:25Name of Person reporting: Janet WelterTelephone #: (b)(6)

Fax #:

Email:

Name of Institution: Univ Wisconsin - MadisonAssurance number: A3368PRIMATE
CenterDid incident involve PHS funded activity? Funding component: Was funding component contacted (if necessary):

What happened?

✓ 1) Transport cage not tight on lift, monkey got out + injured.

✓ 2) Delete

✓ 3) Monkey on water restrainer, didn't get water 11 day due to miscommunication

Species involved: Rhesus

Personnel involved:

Dates and times:

Animal deaths:

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

1) Treat monkey, alter lift

2) Delete

3) Modify communication method

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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) 480-3387

March 9, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9X]

Dr. Nadine Connor
Associate Vice Chancellor for
Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 28, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin-Madison following up on an initial February 21, 2020 notification by telephone.

According to the information provided, this Office understands that the University of Wisconsin-Madison Animal Care and Use Committee (ACUC) determined that instances of noncompliance occurred with respect to: an adult rhesus macaque that escaped its primary enclosure and failure of an animal caretaker to provide water for an adult macaque for one day. The final report states the rhesus macaque exited its primary enclosure when an animal care technician was attempting to transport the animal for enclosure sanitization. The primate sustained injuries requiring veterinary intervention after contact with other animals in the room. The incident was categorized as equipment failure as the device utilized to assist in the transfer of the animal needed further stabilization. The device has since been altered and no similar event has recurred. In the second incident, the primate that did not receive water for one full day did not display any adverse clinical signs per the report. The WNPRC personnel responsible for the incident has been retrained regarding SOPs pertaining to the delivery of water treatments. The IACUC discussed these incidents in full committee and considered the corrective actions as appropriate.

It is noted that these animals are supported by PHS funds. Based on its assessment of this explanation, OLAW understands that the University of Wisconsin-Madison has implemented appropriate measures to correct and prevent recurrences of these problems and is now compliant with provisions of the PHS Policy. We appreciate being informed of these matters and find no cause for further action by this Office.

Sincerely,

(b) (6)

Jacquelyn T. Tubbs
Veterinary Medical Officer
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Contact

Robert M. Gibbens, DVM, Director, Animal Welfare Operations



February 28, 2020

Dr. Axel Wolff, MS, DVM
Deputy Director
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Wolff:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of two incidents first reported to you via telephone by Dr. Janet Welter on February 21, 2020. Please note, this is a corrected letter replacing the original letter dated February 21, 2020.

In the first incident, an adult rhesus macaque exited its primary enclosure when an animal care technician was attempting to transport the animal for enclosure sanitization. The animal sustained injuries requiring veterinary intervention after contacting other animals in the room. This incident was categorized as an equipment failure as the device utilized to assist in the transfer of the animal needed further stabilization. The device was subsequently altered to provide greater stabilization and similar events have not recurred. The animal involved was supported by NIH grant UM1AI100663-07.

In the second incident, an animal caretaker failed to provide water for an adult macaque for one day. The animal did not display any adverse clinical signs as a result of this event. The WNPRC personnel responsible for this incident has been retrained regarding standard operating procedures pertaining to the delivery of water treatments. The animal involved was supported by NIH grant 1R01MH110311-01.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Tubbs, Jai (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, March 2, 2020 7:46 AM
To: (b) (6) OLAW Division of Compliance Oversight (NIH/OD)
Cc: accredit@AAALAC.org; Nadine Connor; RICKI COLMAN; Janet Welter; (b) (6)
Subject: RE: Amended Incidents Report from Nadine Connor @ UW-Madison

Good morning (b) (6)

Thank you for the final report. We will send an official response soon.

Kind Regards,

Jacquelyn Tubbs, DVM, DACLAM
Veterinary Medical Officer
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: (b) (6)
Sent: Friday, February 28, 2020 1:07 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; RICKI COLMAN <rcolman@primate.wisc.edu>; Janet Welter <welter@rarc.wisc.edu>; (b) (6)
Subject: Amended Incidents Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached *amended* incidents final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



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) 480-3387

March 13, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9Y]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 26, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. According to the information provided, OLAW understands that 36 mice died after being infected with a wild-type herpes virus (HSV-1). It was determined that a mathematical error was made in the dosing calculations resulting in the animals receiving a higher dose than intended. The remaining 64 animals on the study were euthanized due to the compromised experiment. The animals were supported by an NIH grant.

The lab has instituted new preventive measures wherein no single person can infect animals without confirming with the PI that their dosing calculations are correct and that the stocks of virus being used have been properly diluted.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the actions taken to resolve the issue and prevent recurrence were appropriate. Please be sure that the NIH grant is not charged for the noncompliant activities. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

(b) (6)

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

cc: IACUC Contact

Morse, Brent (NIH/OD) [E]

From: Janet Welter <welter@rarc.wisc.edu>
Sent: Thursday, March 12, 2020 10:54 AM
To: Morse, Brent (NIH/OD) [E]
Subject: Re: Question about OLAW report

Importance: High

Hi Brent,

I apologize for the delay in getting back to you, but yesterday was coronavirus wall-to-wall. So is today (and tomorrow...) In this incident, 36 mice died, which was above the expected number (which I don't know.) Because the virus titer error was discovered, the entire experiment was ended, and both the treated and control groups were euthanized, totaling 100 mice.

Janet

Janet Welter, DVM, MPH, PhD, DACLAM
Chief Campus Veterinarian
Research Animal Resources and Compliance (RARC)
Office of the Vice Chancellor for Research and Graduate Education
396A Enzyme Institute | 1710 University Avenue
Madison, WI 53726 | (b) (6) | fax (b) (6)

On Mar 11, 2020, at 7:30 AM, Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov> wrote:

Hi Janet,

Regarding a verbal report you made on January 16 and the letter from Dr. Connor dated February 26th, how many mice were administered the mistakenly high dose of the wild-type HSV-1? Since this was a NIH supported study, I need to include this in the report. Thanks. Brent

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.



A3368-97

Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

February 26, 2020

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an adverse event that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to you by Chief Campus Veterinarian Dr. Janet Welter on January 16, 2020.

A group of mice was infected with a wild-type herpes virus (HSV-1) as per protocol. Though a relatively high mortality rate is anticipated with this study, an unexpected number of infected mice died. In investigating the situation, the laboratory discovered that a mathematical error was made in the dosing calculations, and animals received a higher dose than intended. Because the experiment was compromised, all remaining mice in two study groups were euthanized by protocol-approved methods. Individuals involved in the situation had previously performed the calculations and administration of virus without error. This research has NIH support, AI134807-02.

The laboratory instituted new practices to ensure that this does not happen again. No single person in the lab can infect animals without confirming with the PI that their dose calculations are correct and that the stocks of virus being used have been properly diluted for the specific experiment. The SMPH ACUC discussed the event and corrective actions at their February 3, 2020 meeting. The Committee accepted the report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhrlich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Office of the Vice Chancellor for Research and Graduate Education

333 Bascom Hall 500 Lincoln Drive Madison, Wisconsin 53706 608-262-1044

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, February 27, 2020 6:39 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incidents Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will send a response soon.

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

From: (b) (6)
Sent: Wednesday, February 26, 2020 2:32 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incidents Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incidents final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



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) 480-3387

May 8, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 9Z]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your May 4, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on April 21, 2020. According to the information provided, OLAW understands that two marmosets were given an experimental drug orally although the approved protocol stated that the intravenous or intramuscular route would be used. The change had been made to reduce pain and distress on the animals but had not been accepted through the Veterinary Verification and Consultation process. No adverse effects were noted with the animals.

The corrective action consisted of amending the protocol and retraining the staff responsible.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Attending Veterinarian



May 4, 2020

Dr. Axel Wolff, MS, DVM
Deputy Director
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Wolff:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on April 21, 2020.

In this incident, two marmosets received oral dosing of tacrolimus from February 11, 2020 through March 13, 2020 when only intravenous and intramuscular dosing were included in the approved protocol. The change to oral dosing was made to reduce the pain and distress associated with daily injections. The lab discussed this refinement in technique however the required amendment via our veterinary verification and consultation process was never requested. The animals experienced no adverse effects as a result of this error. The protocol has since been amended to include oral dosing. The staff responsible for this oversight were retrained. The animals involved were supported by NIH grant 5P51OD011106-57.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, May 6, 2020 7:28 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you. We will respond soon.
Axel Wolff

From: (b) (6)
Sent: Monday, May 4, 2020 2:35 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; RICKI COLMAN <rcolman@primate.wisc.edu>; (b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: (b) (6)

Date: 4/21/20

Time: 12:00

Name of Person reporting: Janet Walter
 Telephone #: (b) (6)
 Fax #:
 Email:

Name of Institution: U of Wisconsin-Madison
 Assurance number: A3368

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

What happened?

Private - marmosets. PI forgot to do VVC to
 change drug from IM to oral

Species involved: marmoset, 2 animals

Personnel involved:

Dates and times:

Animal deaths: NO

Projected plan and schedule for correction/prevention (if known):
 Did VVC to change

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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) 480-3387

May 8, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10A]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your May 4, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin- Madison, following up on an initial telephone report on April 21, 2020. According to the information provided, OLAW understands that a rhesus monkey on an SIV study received an inadvertent overdose of experimental antibody. There were no negative effects on the animal due to this human error.

The corrective action consisted of retraining the staff responsible.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to reduce the likelihood of a recurrence of this problem. While OLAW concurs with the actions taken by the institution to comply with the PHS Policy, we note that it is imperative that staff is trained in advance of performing animal procedures, not as a remedial response after the noncompliance has occurred. Thank you for keeping OLAW apprised on this matter.

Sincerely,

(b) (6)

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

cc: LSVC ACUC Chair
Attending Veterinarian



May 4, 2020

Dr. Axel Wolff, MS, DVM
Deputy Director
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Wolff:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on April 21, 2020.

In this incident, an adult, SIV-infected rhesus macaque received an intravenous overdose of experimental antibody due to research support staff error. The animal has experienced no adverse effects as a result of this event. Retraining of the involved staff will occur once staffing levels increase. The animal involved was supported by NIH grant 2R01AI052056.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, May 6, 2020 7:26 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you. We will respond soon.
Axel Wolff

From: (b) (6)
Sent: Monday, May 4, 2020 2:05 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; RICKI COLMAN <rcolman@primate.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: (b) (6)

Date: 4/21/20

Time: 12:00

Name of Person reporting: Janet Welter

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: U of Wisconsin - Madison

Assurance number: A3368

Did incident involve PHS funded activity? YES

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

An adult rhesus monkey received too much SIV antibody due to research support staff error

Species involved: Rhesus

Personnel involved:

Dates and times:

Animal deaths:

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

Retraining

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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) 480-3387

June 30, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10B]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 4, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information in the prompt telephone report, also on June 4th. According to the information provided, OLAW understands that a post-operative analgesic treatment for an adult, rhesus macaque was delayed by eight hours because a veterinary technician scheduled the treatment incorrectly in the electronic health records system. The animal did receive a non-steroidal anti-inflammatory at the appropriate time in the morning to alleviate pain and inflammation. Retraining is pending for the technician involved in this incident. The animal involved was supported by NIH.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the pending action to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.
Morse -S
Date: 2020.06.30 11:52:08 -04'00'

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

cc: IACUC Contact



June 4, 2020

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on June 4, 2020.

In this incident, a post-operative analgesic treatment for an adult, rhesus macaque was delayed by eight hours because a veterinary technician scheduled the treatment incorrectly in the electronic health records system. The animal did receive a non-steroidal anti-inflammatory at the appropriate time in the morning to alleviate pain and inflammation. Retraining is pending for the technician involved in this incident. The animal involved was supported by NIH grant 1R01AI138647.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu http://www.rarc.wisc.edu

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, June 15, 2020 7:26 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will respond soon.

Axel Wolff

From: (b) (6)
Sent: Friday, June 12, 2020 5:02 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; RICKI COLMAN <rcolman@primate.wisc.edu>; (b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: Brent

Date: 6/4/2020

Time: 3:00

Name of Person reporting: Janet Welter, AV

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Wisconsin – Madison – PrimateCenter

Assurance number: ~~A3668~~ A3368

Did incident involve PHS funded activity? Yes

Funding component:

Was funding component contacted (if necessary):

What happened? Due to incorrect entry of date into electronic scheduling system one NHP had post-op Buprenorphine SR administration delayed by 8 hours. Did have NSAIDS. Examined by vet and did not appear painful.

Species involved: NHP

Personnel involved:

Dates and times:

Animal deaths: No

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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) 480-3387

July 23, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10C]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 13, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin School of Medicine and Public Health (SMPH). This letter had not been preceded by a preliminary report to OLAW.

According to the information provided, this Office understands that the SMPH Animal Care and Use Committee (ACUC) determined that instances of noncompliance occurred with respect to: the deaths of two mouse weanlings. The final report states that laboratory members forgot to place a feed hopper in the cage when animals were weaned. Also, the animal care personnel did not detect this oversight. The corrective action plan included the following:

- The retraining of all lab members on required husbandry when weanlings are separated into new cages and confirming the condition of all cages that have been weaned.
- The retraining of the vivarium staff involved by their supervisor.

It is understood that these animals were supported by PHS funds. Based on its assessment of this explanation, OLAW understands that the University of Wisconsin Madison has implemented appropriate measures to correct and prevent recurrences of these problems and is now compliant with provisions of the PHS Policy. We appreciate being informed of these matters and find no cause for further action by this Office.

Sincerely,

Jacquelyn T. Tubbs -S

Digitally signed by
Jacquelyn T. Tubbs -S
Date: 2020.07.24
08:53:40 -04'00'

Jacquelyn T. Tubbs, DVM
Animal Welfare Program Specialist
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Contact



A3368-10C

Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

July 13, 2019

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to a mid-June adverse event that occurred in the UW School of Medicine and Public Health (SMPH).

Two mouse weanlings were found dead in a cage in a vivarium. Laboratory members forgot to place a hopper of food in the cage when the animals were weaned, and animal care personnel did not notice the oversight. This research is supported by NIH: R01HL144086.

The following steps were taken to prevent this type of event from occurring again. All lab members have been re-trained on required husbandry when weanlings are separated into new cages and on double-checking the condition of all cages that have been weaned. Involved vivarium care staff have also received re-training from their supervisor.

The event and corrective actions were discussed at the July 6, 2020 meeting of the SMPH ACUC. The Committee approved the assessment report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

(b) (6)

Daniel Uhrich, PhD
SMPH ACUC Chair

Nadine Connor, PhD
Institutional Official

Office of the Vice Chancellor for Research and Graduate Education

333 Bascom Hall 500 Lincoln Drive Madison, Wisconsin 53706 608-262-1044

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, July 15, 2020 7:13 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will send a response soon.

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

From: (b) (6)
Sent: Monday, July 13, 2020 11:46 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu> (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



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) 480-3387

August 10, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10D]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your August 7, 2020 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at the University of Wisconsin- Madison, following up on an initial telephone report on August 5, 2020. According to the information provided, OLAW understands that a frog escaped from an ice bucket with a loose lid. The animal was being transported for euthanasia by the Principal Investigator and could not be located. Transporting the frog in ice constituted an unapproved procedure.

The corrective actions consisted of counseling the PI to secure all animal container lids, to directly oversee the transport process, and to not use ice in this situation. Euthanasia will be performed by exposure of a frog to MS-222 as per protocol.

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 institution to comply with the PHS Policy.

Sincerely,

(b) (6)

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

cc: SMPH ACUC Chair
Attending Veterinarian



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

August 7, 2020

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to a mid-July adverse event that occurred in the UW School of Medicine and Public Health (SMPH) and was reported to OLAW by Chief Campus Veterinarian, Dr. Janet Welter, on August 5, 2020.

A *Xenopus* frog destined for euthanasia escaped from an ice bucket that did not have its lid properly secured. The PI of the laboratory was performing the procedure in place of the usual lab staff, who were unavailable. The PI momentarily left the procedure room. When he returned, the frog was gone and has not been found. This research is supported by NIH: R01NS099405.

The following steps were taken to prevent this type of event from occurring again. The Senior Program Veterinarian and ACUC chair separately discussed with the PI the importance of securing container lids and maintaining direct oversight during the process. The PI was also instructed that ice was not allowed for this application. All euthanasia will be performed per the approved protocol using MS-222, as is done routinely by the other lab members.

The SMPH ACUC discussed the event and corrective actions at its August 3, 2020 meeting. The Committee approved the assessment report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter, Chief Campus Veterinarian, or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, August 7, 2020 10:45 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will respond soon.

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

From: (b) (6)
Sent: Friday, August 7, 2020 10:10 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: FW: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: Brent

Date: 8/5/2020

Time: 4:30

Name of Person reporting: Janet Welter, A/V

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: University of Wisconsin-Madison

Assurance number: A3368

Did incident involve PHS funded activity? ?

Funding component:

Was funding component contacted (if necessary):

What happened? Xenopus put in ice bucket (not approved) in preparation for euthanasia. Jumped from bucket. Frog not found. Presumed escaped into drain. Presumed dead.

Species involved: Xenopus

Personnel involved: Care staff

Dates and times: 7/17/2020

Animal deaths: Presumed

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

To be reviewed by IACUC

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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) 480-3387

August 28, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10E]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your August 19, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information in the prompt telephone report on August 5th. According to the information provided, OLAW understands that on May 23, 2020 five infant macaques housed in the nursery did not receive one of their mid-day formula feedings when an animal care supervisor failed to assign staff to this task after the original staff member was unavailable for the feeding. None of the infants exhibited any adverse effects as a result of the missed feeding and each animal did receive an evening feeding. These animals were supported by the NIH.

Corrective and preventive measures included retraining of the animal care supervisor regarding proper procedures for ensuring that all tasks are assigned to staff.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the pending action to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S Digitally signed by Brent C. Morse -S
Date: 2020.08.28 13:17:56 -04'00'

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

cc: IACUC contact
Dr. Robert M. Gibbens, USDA, APHIS, AC



August 19, 2020

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance **A3368-01** and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on August 5, 2020.

In this incident, five infant macaques housed in the nursery did not receive one of their mid-day formula feedings when an animal care supervisor failed to assign staff to this task after the original staff member was unavailable for the feeding. None of the infants exhibited any adverse effects as a result of the missed feeding and each animal did receive an evening feeding. The animal care supervisor was immediately retrained regarding proper procedures for ensuring that all tasks are assigned to staff. Four of the five animals involved were supported by NIH grant 5P51OD011106-59. The remaining animal was supported by NIH grant 1R01AI153130-01.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, August 21, 2020 7:35 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you. We will respond soon.
Axel Wolff

From: (b) (6)
Sent: Thursday, August 20, 2020 3:03 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; RICKI COLMAN <rcolman@primate.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>; (b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)

A3368-10E



Initial Report of Noncompliance

By: Brent

Date: 8/5/2020

Time: 4:30

Name of Person reporting: Janet Welter, A/V

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: University of Wisconsin-Madison

Assurance number: A3368

Did incident involve PHS funded activity? yes

Funding component:

Was funding component contacted (if necessary):

What happened? Five infant macaques in nursery were not given midday feeding

Species involved: NHP

Personnel involved: Care staff

Dates and times: 5/23/2020

Animal deaths: No

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

To be reviewed by IACUC

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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) 480-3387

August 28, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10F]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your August 19, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information in the prompt telephone report on August 5th. According to the information provided, OLAW understands that on June 13, 2020 an adult macaque received a dose of expired human chorionic gonadotrophin. The research associate and animal care staff responsible for the incident were immediately retrained and pertinent SOPs will be amended to ensure that all personnel know that expired agents cannot be utilized. The animal involved was supported by the NIH.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the pending action to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.
Morse -S
Date: 2020.08.28 13:18:52 -04'00'

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

cc: IACUC contact
Dr. Robert M. Gibbens, USDA, APHIS, AC



August 19, 2020

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on August 5, 2020.

In this incident, an adult macaque received a dose of expired human chorionic gonadotrophin. The research associate and animal care staff responsible for the incident were immediately retrained and pertinent SOPs will be amended to ensure that all personnel know that expired agents cannot be utilized. The animal involved was supported by NIH grant 1R24OD021322-01A1.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc: (b) (6)
Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu http://www.rarc.wisc.edu

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, August 21, 2020 7:37 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you. We will send a response soon.
Axel Wolff

From: (b) (6)
Sent: Thursday, August 20, 2020 3:04 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; RICKI COLMAN <rcolman@primate.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>; (b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: Brent

Date: 8/5/2020

Time: 4:30

Name of Person reporting: Janet Welter, A/V
Telephone #: (b) (6)
Fax #:
Email:

Name of Institution: University of Wisconsin-Madison
Assurance number: A3368

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

What happened? Adult NHP given expired HCG

Species involved: Macaque
Personnel involved: Research staff
Dates and times: 6/13/2020
Animal deaths: No

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

To be reviewed by IACUC

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY
Case #



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) 480-3387

August 28, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10G]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your August 19, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information in the prompt telephone report on August 5th. According to the information provided, OLAW understands that on July 17, 2020 an adult macaque exited a transport device and sustained a minor injury to its tongue when it interacted with other animals within its holding room. Two other animals in the room also sustained injuries when they interacted with the animal that exited the transport device. All three animals required veterinary intervention and are recovering well. One of the animals involved was supported by the NIH.

Corrective and preventive measures included retraining of the individual from the laboratory responsible for the incident.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the pending action to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S Digitally signed by Brent C. Morse -S
Date: 2020.08.28 13:16:53 -04'00'

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

cc: IACUC contact
Dr. Robert M. Gibbens, USDA, APHIS, AC



August 19, 2020

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on August 5, 2020.

In this incident, an adult macaque exited a transport device and sustained a minor injury to its tongue when it interacted with other animals within its holding room. Two other animals in the room also sustained injuries when they interacted with the animal that exited the transport device. All three animals required veterinary intervention and are recovering well. The individual from the laboratory responsible for the incident has been retrained regarding the proper procedure for inserting the doors of the transport device. One of the animals involved was supported by NIH grant 5P51OD011106-59.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, August 21, 2020 7:38 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you. We will respond soon.
Axel Wolff

From: (b) (6)
Sent: Thursday, August 20, 2020 3:05 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; RICKI COLMAN <rcolman@primate.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>; (b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: Brent

Date: 8/5/2020

Time: 4:30

Name of Person reporting: Janet Welter, A/V

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: University of Wisconsin-Madison

Assurance number: A3368

Did incident involve PHS funded activity? yes

Funding component:

Was funding component contacted (if necessary):

What happened? Adult NHP escaped transport device in housing room and was injured by another NHP in another cage. Tongue lacerated. Recovered fine. Two other NHPs in room also had injuries.

Species involved: macaque

Personnel involved: Care staff

Dates and times: 7/17/2020

Animal deaths: No

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

To be reviewed by IACUC

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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) 480-3387

September 1, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10H]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your August 26, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information in the prompt telephone report on the same date. According to the information provided, OLAW understands that on July 13, 2020 an adult macaque escaped from a testing cage during the process of transferring to a transport device. During the incident the animal sustained an injury to the distal portion of its tail. The severity of the wound was not appreciated until July 27, 2020 when it received veterinary medical treatment. The animal has since recovered. Personnel involved in this incident have been retrained regarding the proper procedure for transporting animals from the test cage and appropriate reporting. The animal involved was supported by the NIH.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the pending action to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S Digitally signed by Brent C. Morse -S
Date: 2020.09.01 09:37:28 -04'00'

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

cc: IACUC contact
Dr. Robert M. Gibbens, USDA, APHIS, AC



August 26, 2020

Dr. Brent Morse, DVM, DACLAM
 Director, Division of Compliance Oversight
 Office of Laboratory Animal Welfare
 National Institutes of Health
 RKL1, Suite 360, MSC 7982
 6705 Rockledge Drive
 Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on August 26, 2020.

In this incident, an adult macaque exited a testing cage on July 13, 2020 during the process of transferring to a transport device. During the incident the animal sustained an injury to the distal portion of its tail. The severity of the wound was not appreciated until July 27, 2020. At that time, the animal received appropriate veterinary intervention including antibiotic and NSAID treatments and has since recovered. The personnel involved in this incident have been retrained regarding proper procedure for transporting animals from the test cage and appropriate reporting. The animal involved was supported by NIH grant MH046729.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
 Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
 Associate Vice Chancellor for Research Policy & Compliance
 Institutional Official

xc:

(b) (6)

Janet Welter
 AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
 608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu http://www.rarc.wisc.edu

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, August 28, 2020 7:29 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for this report, (b) (6) We will send a response soon.
Axel Wolff

From: (b) (6)
Sent: Thursday, August 27, 2020 11:50 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; RICKI COLMAN <rcolman@primate.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>; (b) (6) Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: (b) (6)

Date: 8/26/20

Time: 10:45

Name of Person reporting:

Telephone #:

Fax #:

Email:

Janet Welter AV
(b) (6)

Name of Institution:

Assurance number:

Univ. of Wisconsin
A33680 Madison

Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? Macaque left cage while lab staff in room. Tail caught recatering cage. Tip eventually sloughed. NHR doing fine.

Species involved:

Personnel involved:

Dates and times:

Animal deaths:

Macaque
lab staff
August 2020

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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) 480-3387

October 29, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10I]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 19, 2020 letter reporting an adverse event with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin-Madison following up on an initial August 26, 2020 notification by telephone.

According to the information provided, this Office understands that the University of Wisconsin-Madison Animal Care and Use Committee (ACUC) determined that an adverse event occurred with respect to: conditions that jeopardized the well-being of animals resulting in death to animals. The final report states a lab member turned off the water flow lines connected to a zebrafish tank and forgot to turn the lines back on. As a result, 35 fish died, and animal care staff discovered the incident during daily animal checks. As a corrective action, the principal investigator implemented basic retraining to all lab members for ensuring equipment is properly engaged. The IACUC discussed the matter and corrective action at the August 31, 2020 meeting. The committee approved the corrective actions and the assessment report.

Based on its assessment of this explanation, OLAW understands that the University of Wisconsin-Madison has implemented appropriate measures to correct and prevent recurrences of these problems and is now compliant with provisions of the PHS Policy. We appreciate being informed of these matters and find no cause for further action by this Office.

Sincerely,

Jacquelyn T. Tubbs -S
Tubbs -S
Jacquelyn T. Tubbs, DVM
Animal Welfare Program Specialist
Division of Compliance Oversight
Office of Laboratory Animal Welfare

Digitally signed by
Jacquelyn T. Tubbs -S
Date: 2020.10.29
09:04:13 -04'00'

cc: IACUC Contact



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

October 19, 2020

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an August adverse event that occurred in the UW School of Medicine and Public Health (SMPH). Dr. Janet Welter, Chief Campus Veterinarian, provided an initial report to OLAW on August 26, 2020. This research is supported by NIH: GM137878.

A lab member turned off the water flow lines going into a zebrafish tank and forgot to turn them back on. The water quality dropped, and 35 fish in the tank died (out of 45). SMPH animal care staff discovered the event during daily animal checks.

As a corrective step to prevent this type of event from occurring again, the Principal Investigator provided basic re-training to all lab members on ensuring that equipment is properly engaged.

The SMPH ACUC discussed the event and corrective actions at their August 31, 2020 meeting. The Committee approved the assessment report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Office of the Vice Chancellor for Research and Graduate Education

333 Bascom Hall 500 Lincoln Drive Madison, Wisconsin 53706 608-262-1044

Morse, Brent (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, October 19, 2020 4:00 PM
To: (b) (6)
Cc: Nadine Connor; (b) (6) Dan Uhlrich; Janet Welter
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Follow Up Flag: Follow up
Flag Status: Flagged

Thank you for providing this report. 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

From: (b) (6)
Sent: Monday, October 19, 2020 1:46 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: (b) (6)

Date: 8/26/20

Time: 10:40

Name of Person reporting:

Telephone #:

Fax #:

Email:

Janet Welter AV (b) (6)

Name of Institution:

Assurance number:

Univ. of Wisconsin - Madison
A3368

Did incident involve PHS funded activity? Partially

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Water flow shut off + not
turned back on. 35 fish died.

Species involved:

Personnel involved:

Dates and times:

Animal deaths:

Zebrafish
Lab staff
8/6/20
Yes

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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) 480-3387

November 4, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10J]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 30, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information in the prompt telephone report on August 26, 2020. According to the information provided, OLAW understands that on August 22, 2020, five mice were found dead in a vivarium cage without food. The animals were associated with a PHS-supported activity.

Corrective and preventive actions included the vivarium supervisor retraining the involved animal care staff on the importance of checking the food every day. The involved staff had not previously been associated with such an event.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the action taken to resolve the issue and prevent recurrence is appropriate. If research staff were involved in the initial incident, OLAW assumes that they have also received counseling and/or retraining. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.
Morse -S

Date: 2020.11.04 16:22:44 -05'00'

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

cc: IACUC contact



A3368-10J

Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

October 30, 2020

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to an August adverse event that occurred in the UW School of Medicine and Public Health (SMPH). Dr. Janet Welter, Chief Campus Veterinarian, provided an initial report to OLAW on August 26, 2020. This research is supported by NIH: NS093866.

Five mice were found dead in a vivarium cage without food. As a corrective step to prevent this type of event from occurring again, the vivarium supervisor retrained the involved animal care staff on the importance of checking the food every day. The involved staff had not previously been associated with such an event.

The SMPH ACUC discussed the event and corrective actions at their August 31, 2020 meeting. The Committee approved the assessment report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter or either of us.

Sincerely,

(b) (6)

Daniel Uhlrich, PhD
SMPH ACUC Chair

(b) (6)

Nadine Connor, PhD
Institutional Official

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, November 2, 2020 7:28 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for this report. We will respond soon.

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

From: (b) (6)
Sent: Friday, October 30, 2020 3:57 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)

[illegible]



Initial Report of Noncompliance

By: (b) (6)

Date: 8/26/20

Time: 10:40

Name of Person reporting: Janet Welter AV

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Wisconsin - Madison

Assurance number: A3368 (SMPH)

Did incident involve PHS funded activity? _____

Funding component: _____

Was funding component contacted (if necessary): _____

What happened? 5 mice found dead in cage +
no food in cage. Cage changed
after procedure.

Species involved: Mouse

Personnel involved: Lab member

Dates and times: 8/22/20

Animal deaths: Yes

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____



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) 480-3387

February 24, 2021

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10L]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 1, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplements the information in the October 14, 2020 telephone preliminary report. According to the information provided, OLAW understands that on October 3, 2020, a student placed four mice in a plethysmograph chamber, turned it on, and then left the room. One hour later, a different student entered the room to find three of the mice dead and the fourth had to be euthanized. The student had forgotten to turn on the air flow button. The animals were associated with a PHS-supported activity.

Corrective and preventive actions included the Principal Investigator creating a new checklist for using the plethysmograph. All laboratory members have been retrained.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the action taken to resolve the issue and prevent recurrence is appropriate. 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



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

February 1, 2021

Dr. Brent C. Morse, DVM
Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL, Suite 360
6705 Rockledge Drive, MSC 982
Bethesda, MD 20892

Dear Dr. Morse,

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone call from Janet Welter, DVM, Chief Campus Veterinarian on October 14, 2020.

In this incident, a student placed four mice in a plethysmograph chamber, turned it on, and then left the room. One hour later, a different student entered the room to find three of the mice dead and the fourth had to be euthanized. Upon investigation, the research team discovered that the student had forgotten to turn on the air flow button. To prevent a recurrence, the Principal Investigator created a new checklist for using the plethysmograph. All laboratory members have been retrained. The animals were associated with a PHS-supported activity.

The School of Veterinary Medicine Animal Care and Use Committee discussed this incident and the corrective measures at their monthly meeting on October 13, 2020 and required no further action.

Sincerely,

(b) (6)

Dr. Rebecca Johnson
Chair- SVM ACUC

(b) (6)

Nadine Connor, PhD
Institutional Official

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, February 19, 2021 7:38 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Reports from Nadine Connor @ UW-Madison

Thank you for this report. We will send a response soon.
Axel Wolff

From: (b) (6)
Sent: Thursday, February 18, 2021 11:04 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: AAALAC International <accredit@AAALAC.org>; Nadine Connor <nadine.connor@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>; (b) (6)
Subject: Incident Reports from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: (b) (6)

Date: 10/15/20

Time: 10:45

Name of Person reporting: Janet Welter, AV

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Wisconsin - Madison

Assurance number: A3368

(SMPT)

Did incident involve PHS funded activity? Yes

Funding component:

Was funding component contacted (if necessary):

What happened? Plethysmography in mice but O₂ not turned on. 3 dead, one euthanized.

Species involved: Mouse

Personnel involved: Researcher

Dates and times: 10/3/20

Animal deaths:

Yes

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

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case #



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) 480-3387

November 25, 2020

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10M]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 30, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. According to the information provided, OLAW understands that in late September 2020, a study team member self-reported that they failed to administer post-operative analgesia to a pig as specified in their protocol. Analgesics were provided immediately after the procedure, but some time points were missed due to miscommunication. The animal was associated with a PHS-supported activity.

Corrective and preventive actions included confirming responsibilities among study team members for post-operative care, and utilizing a guide of required actions.

The prompt consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the action taken to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.

Morse -S

Date: 2020.11.25 11:03:31 -05'00'

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

cc: IACUC contact

A3368-10M

New case



Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

November 19, 2020

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

USDit

Dear Dr. Morse:

This letter is a follow up to a late September adverse event that occurred in the UW School of Medicine and Public Health (SMPH). There was no oral report of this event. This research is supported by NIH: HL147590.

A study team member self-reported that they failed to administer post-operative analgesia to a pig as specified in their protocol. Analgesics were provided immediately after the procedure, but some time points were missed due to miscommunication. The study team took the following corrective steps to prevent this type of event from occurring again: they have confirmed responsibilities among study team members for post-operative care, and they now generate and utilize a print-out guide of required actions.

The SMPH ACUC discussed the event and corrective actions at their October 5, 2020 meeting. The Committee approved the assessment report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter or either of us.

Sincerely,

(b) (6)

(b) (6)

Daniel Uhrich, PhD
SMPH ACUC Chair

Nadine Connor, PhD
Institutional Official

OLAW Division of Compliance Oversight (NIH/OD)

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, November 23, 2020 7:45 AM
To: (b) (6)
Cc: Nadine Connor; (b) (6) Dan Uhlrich; Janet Welter; OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for providing this report. 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

From: (b) (6)
Sent: Thursday, November 19, 2020 4:53 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





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) 480-3387

January 28, 2021

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 100]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 12, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin-Madison. This letter had not been preceded by a preliminary report to OLAW.

According to the information provided, this Office understands that the UW School of Medicine and Public Health (SMPH) Animal Care and Use Committee (ACUC) determined that instances of noncompliance occurred with respect to: failure to adhere to the IACUC-approved protocol. The final report states a principal investigator (PI) self-reported the usage of a higher number of rats than approved on the protocol. It is stated the discrepancy occurred when the lab received two breeding colonies from a collaborator who departed from the institution. The PI has since amended the protocol to increase the number of animals and updated the laboratory tracking mechanisms of animal usage. It is understood no work was conducted on animals that was not described in the protocol, and no adverse events took place. The SMPH IACUC discussed the matter at the December 7, 2020 meeting and approved the assessment report and corrective actions.

It is noted that this research is supported by PHS funds. Based on its assessment of this explanation, OLAW understands that the University of Wisconsin-Madison has implemented appropriate measures to correct and prevent recurrences of these problems and is now compliant with provisions of the PHS Policy. We appreciate being informed of these matters and find no cause for further action by this Office.

Sincerely,

Jacquelyn
T. Tubbs -S

Digitally signed by
Jacquelyn T. Tubbs -S
Date: 2021.01.28
10:21:33 -05'00'

Jacquelyn T. Tubbs, DVM
Animal Welfare Program Specialist
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: IACUC Contact



A3368-100

Office of the Vice Chancellor for
Research and Graduate Education
UNIVERSITY OF WISCONSIN-MADISON

January 12, 2021

Dr. Brent Morse, DVM, DACLAM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360
6705 Rockledge Drive, MSC 7982
Bethesda MD 20892-7982

Dear Dr. Morse:

This letter is a follow up to a November event that occurred in the UW School of Medicine and Public Health (SMPH). This research is supported by NIH: K23DK122136-01.

A research PI self-reported the use of a higher number of rats than approved in the protocol. The discrepancy occurred after the lab took on two breeding colonies from a collaborator who left the institution. The PI has amended the protocol to increase the number of animals and has updated laboratory tracking mechanisms of animal use. No work was performed on any animal that was not described in the approved protocol, and no adverse events occurred.

The SMPH ACUC discussed the event and corrective actions at their December 7, 2020 meeting. The Committee approved the assessment report and the corrective actions.

If you have any questions, please contact Dr. Janet Welter or either of us.

Sincerely,

(b) (6)

(b) (6)

Daniel Uhrich, PhD
SMPH ACUC Chair

Nadine Connor, PhD
Institutional Official

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, January 13, 2021 7:21 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report from Nadine Connor @ UW-Madison

Thank you for this report. We will send a response soon.
Axel Wolff

From: (b) (6)
Sent: Tuesday, January 12, 2021 2:13 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@AAALAC.org; Nadine Connor <nadine.connor@wisc.edu>; (b) (6)
(b) (6) Dan Uhlrich <dan.uhlrich@wisc.edu>; Janet Welter <welter@rarc.wisc.edu>
Subject: Incident Report from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final report from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



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) 480-3387

February 8, 2021

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10P]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 26, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplemented the information in the telephone report on January 28, 2021. According to the information provided, OLAW understands that on January 9, 2021, a veterinary technician performed multiple weight checks in a room of common marmosets in the morning. When the animals were returned to their primary enclosures, the technician inadvertently left three of the marmosets secured inside their nest boxes within their primary enclosures. The incident was not discovered at PM room checks that evening, but the following morning, an animal caretaker discovered the error. None of the animals experienced any apparent adverse effects from the incident.

To correct, and prevent a recurrence of the incident, the WNPRC Attending Veterinarian and Compliance Coordinator performed an official root cause analysis pertaining to this event and are in the process of making changes to WNPRC SOPs. All personnel involved have undergone retraining. The animals involved were supported by PHS funds.

The consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the action taken to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.

Morse -S

Date: 2021.02.08 11:38:29 -05'00'

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

cc: IACUC contact

Dr. Robert M. Gibbens, USDA, APHIS, AC



January 26, 2021

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on January 28, 2021.

In this incident, a veterinary technician performed multiple weight checks in a room of common marmosets in the morning. When the animals were returned to their primary enclosures, the technician inadvertently left three of the marmosets secured inside their nest boxes within their primary enclosures. The incident was not discovered at PM room checks that evening, but the following morning, an animal caretaker discovered the error. None of the animals experienced any apparent adverse effects from the incident. The WNPRC Attending Veterinarian and Compliance Coordinator performed an official root cause analysis pertaining to this event and are in the process of making changes to WNPRC SOPs to reduce the chance of a similar error occurring in the future. All personnel involved have undergone retraining. The animal involved was supported by PHS funds.

The L SVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, L SVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu

Madison, Wisconsin 53726-4087
<http://www.rarc.wisc.edu>

xc:

(b) (6)

Janet Welter
AAALAC-I

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, February 5, 2021 7:14 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Reports from Nadine Connor @ UW-Madison

Thank you for these reports, (b) (6) We will send responses soon.

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

From: (b) (6)
Sent: Wednesday, February 3, 2021 6:11 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: AAALAC International <accredit@AAALAC.org>; RICKI COLMAN <rcolman@primate.wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>
Subject: Incident Reports from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final reports from Nadine Connor @ UW-Madison. Thanks!

(b) (6)





Initial Report of Noncompliance

By: BCM

Date: 1/28/2021

Time: 2:00

Person Reporting: Janet Welter, AV

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Wisconsin (Madison) WNPRC

Assurance number: A3368

Did incident involve PHS funded activity? ?

Funding component:

Was funding component contacted (if necessary):

Marmosets locked in nest box for weighing. Forgot to open nest box when returned to cage. Trapped in nest box overnight. Missed one feeding. No other negative outcomes.

Species involved: Marmoset

Personnel involved: Tech

Dates and times: 1/9/2021

Animal deaths: no

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

Changing procedure to leave lids to nest boxes on top of cages as visual indicator.

Projected submission to OLAW of final report from Institutional Official:

< 60 days

OFFICE USE ONLY

Case #



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) 480-3387

February 8, 2021

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10Q]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 26, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplemented the information in the telephone report on January 28, 2021. According to the information provided, OLAW understands that on December 21, 2020, a WNPRC veterinarian discovered that an adult male rhesus macaque received incorrect doses of insulin on multiple occasions due to the fact that the animal caretaker administering the treatment misread the syringe used to deliver insulin. The animal experienced no adverse effects from the incorrect dosage and once the issue was discovered, the animal caretaker was immediately instructed regarding how to read the syringe correctly. The animal involved was supported by PHS funds.

The consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the action taken to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.
Morse -S
Date: 2021.02.08 11:33:47 -05'00'

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

cc: IACUC contact

Dr. Robert M. Gibbens, USDA, APHIS, AC



January 26, 2021

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on January 28, 2021.

In this incident, a WNPRC veterinarian discovered that an adult male rhesus macaque received incorrect doses of insulin on multiple occasions due to the fact that the animal caretaker administering the treatment misread the syringe used to deliver insulin. The animal experienced no adverse effects from the incorrect dosage and once the issue was discovered, the animal caretaker was immediately instructed regarding how to read the syringe correctly. The animal involved was supported by PHS funds.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc: (b) (6)
Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, February 5, 2021 7:14 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Reports from Nadine Connor @ UW-Madison

Thank you for these reports, (b) (6) We will send responses soon.

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

From: (b) (6)
Sent: Wednesday, February 3, 2021 6:11 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: AAALAC International <accredit@AAALAC.org>; RICKI COLMAN <rcolman@primate.wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>
Subject: Incident Reports from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final reports from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: BCM

Date: 1/28/2021

Time: 2:00

Person Reporting: Janet Welter, AV

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Wisconsin (Madison) WNPRC

Assurance number: A3368

Did incident involve PHS funded activity? ?

Funding component:

Was funding component contacted (if necessary):

Diabetic macaque got wrong (higher) dose of insulin. No other negative outcomes.

Species involved: Macaque

Personnel involved: Tech

Dates and times: 12/21/2020

Animal deaths: no

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

Counseling/retraining of Tech.

Projected submission to OLAW of final report from Institutional Official:

< 60 days

OFFICE USE ONLY

Case #



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) 480-3387

February 8, 2021

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10R]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 26, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplemented the information in the telephone report on January 28, 2021. According to the information provided, OLAW understands that on two consecutive weekends, rats in two colony rooms were not fed their standard chow allotment on Sunday. This impacted a total of 50 animals on the first Sunday and 46 animals on the second Sunday. All animals had access to water during this time. There were no significant adverse outcomes as a result and animals lost only 3-5% of their body weight. All personnel involved have undergone retraining and new safeguards have been put in place. The animals involved were supported by PHS funds.

The consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the action taken to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.

Morse -S

Date: 2021.02.08 11:35:32 -05'00'

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

cc: IACUC contact



January 26, 2021

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on January 28, 2020.

In this incident, on two consecutive weekends rats in two colony rooms were not fed their standard chow allotment on Sunday. This impacted a total of 50 animals on the first Sunday and 46 animals on the second Sunday. All animals had access to water during this time. There were no significant adverse outcomes as a result and animals lost only 3-5% of their body weight. All personnel involved have undergone retraining and new safeguards have been put in place. The animals involved was supported by PHS funds.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, February 5, 2021 7:14 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Reports from Nadine Connor @ UW-Madison

Thank you for these reports, (b) (6) We will send responses soon.

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

From: (b) (6)
Sent: Wednesday, February 3, 2021 6:11 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: AAALAC International <accredit@AAALAC.org>; RICKI COLMAN <rcolman@primate.wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>
Subject: Incident Reports from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final reports from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



Initial Report of Noncompliance

By: BCM

Date: 1/28/2021

Time: 2:00

Person Reporting: Janet Welter, AV

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Wisconsin (Madison)

Assurance number: A3368

Did incident involve PHS funded activity? yes

Funding component:

Was funding component contacted (if necessary):

Rats not fed for on day due to miscommunication

Species involved: Rat

Personnel involved: Tech

Dates and times: ??

Animal deaths: no

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

Projected submission to OLAW of final report from Institutional Official:

< 60 days

OFFICE USE ONLY

Case #



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) 480-3387

February 8, 2021

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10S]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 26, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplemented the information in the telephone report on January 28, 2021. According to the information provided, OLAW understands that on December 8, 2020, a WNPRC veterinarian prescribed an antidepressant for an adult male macaque. The veterinary technician entered the dose as milliliters instead of milligrams. The incorrect dosage was administered for seven days until the error was discovered. The animal exhibited no apparent adverse effects from the incorrect dosage. The veterinary technician responsible for the incident has undergone retraining regarding pertinent standard operating procedures. The animal involved was supported by PHS funds.

The consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the action taken to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.
Morse -S
Date: 2021.02.08 11:36:31 -05'00'

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

cc: IACUC contact

Dr. Robert M. Gibbens, USDA, APHIS, AC



January 26, 2021

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on January 28, 2021.

In this incident, a WNPRC veterinarian prescribed an antidepressant for an adult male macaque. The veterinary technician entered the dose as milliliters instead of milligrams. The incorrect dosage was administered for seven days until the error was discovered. The animal exhibited no apparent adverse effects from the incorrect dosage. The veterinary technician responsible for the incident has undergone retraining regarding pertinent standard operating procedures. The animal involved was supported by PHS funds.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Janet Welter
AAALAC-I

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, February 5, 2021 7:14 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Reports from Nadine Connor @ UW-Madison

Thank you for these reports, (b) (6) We will send responses soon.

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

From: (b) (6)
Sent: Wednesday, February 3, 2021 6:11 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: AAALAC International <accredit@AAALAC.org>; RICKI COLMAN <rcolman@primate.wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>
Subject: Incident Reports from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final reports from Nadine Connor @ UW-Madison. Thanks!

(b) (6)

A large rectangular area of the document is completely redacted with a solid grey fill. The redaction covers the majority of the lower half of the page, obscuring any content that might have been present.



Initial Report of Noncompliance

By: BCM

Date: 1/28/2021

Time: 2:00

Person Reporting: Janet Welter, AV

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Wisconsin (Madison)

Assurance number: A3368

Did incident involve PHS funded activity? ?

Funding component:

Was funding component contacted (if necessary):

Vet Tech misread ml instead of mg and gave wrong dose of antidepressant. No animal welfare issues.

Species involved: Macaque

Personnel involved: Tech

Dates and times: 12/8/2020

Animal deaths: no

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

Counseling/retraining of Tech.

Projected submission to OLAW of final report from Institutional Official:

< 60 days

OFFICE USE ONLY

Case #



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) 480-3387

February 8, 2021

Re: Animal Welfare Assurance
A3368-01 [OLAW Case 10T]

Dr. Nadine Connor
Associate Vice Chancellor
for Research Policy and Compliance
University of Wisconsin-Madison
(b) (4) Bascom Hall – 500 Lincoln Drive
Madison, WI 53706

Dear Dr. Connor,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 26, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Wisconsin - Madison. Your letter supplemented the information in the telephone report on January 28, 2021. According to the information provided, OLAW understands that an adult male rhesus macaque underwent a protocol-approved surgery. An analgesic was administered at the time of the procedure and an anti-inflammatory and another analgesic were administered at the completion of the procedure. On a veterinarian's order, a veterinary technician scheduled an analgesic treatment for that evening. Although WNPRC SOPs were followed for scheduling this treatment, it was not administered that evening. The animal received its next scheduled analgesic treatment the following morning and exhibited no adverse symptoms because of the missed treatment. Initial retraining for all involved personnel has been completed and formal retraining will soon be completed. The animal involved was supported by PHS funds.

The consideration of this matter by the University of Wisconsin - Madison was consistent with the philosophy of institutional self-regulation. Similarly, the action taken to resolve the issue and prevent recurrence is appropriate. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.
Morse -S
Date: 2021.02.08 11:37:22 -05'00'

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

cc: IACUC contact

Dr. Robert M. Gibbens, USDA, APHIS, AC



January 26, 2021

Dr. Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7892

Dear Dr. Morse:

The University of Wisconsin-Madison, in accordance with Assurance A3368-01 and PHS Policy IV.F.3, provides this report of an incident first reported to you via telephone by Dr. Janet Welter on January 28, 2020.

In this incident, an adult male rhesus macaque underwent a protocol-approved arterial graft. An analgesic was administered at the time of the surgical procedure and an anti-inflammatory and another analgesic were administered at the completion of the procedure. On a veterinarian's order, a veterinary technician scheduled an analgesic treatment for that evening. Although WNPRC SOPs were followed for scheduling this treatment, it was not administered that evening. The animal received its next scheduled analgesic treatment the following morning and exhibited no adverse symptoms as a result of the missed treatment. Initial retraining for all involved personnel has been completed; formal retraining will soon be completed. The animal involved was supported by PHS funds.

The LSVC ACUC discussed these incidents in full committee and considered the corrective steps taken appropriate. If you have further questions, please feel free to contact either of us or Dr. Janet Welter.

Sincerely,

(b) (6)

Ricki Colman, Ph.D.
Chair, LSVC ACUC

(b) (6)

Nadine P. Connor, Ph.D.
Associate Vice Chancellor for Research Policy & Compliance
Institutional Official

xc:

(b) (6)

Research Animal Resources Center

396 Enzyme Institute University of Wisconsin-Madison 1710 University Avenue Madison, Wisconsin 53726-4087
608/262-1238 Fax: 608/265-2698 Email: help@rarc.wisc.edu <http://www.rarc.wisc.edu>

Janet Welter
AAALAC-I

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, February 5, 2021 7:14 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Reports from Nadine Connor @ UW-Madison

Thank you for these reports, (b) (6) We will send responses soon.

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

From: (b) (6)
Sent: Wednesday, February 3, 2021 6:11 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: AAALAC International <accredit@AAALAC.org>; RICKI COLMAN <rcolman@primate.wisc.edu>; (b) (6)
(b) (6) Janet Welter <welter@rarc.wisc.edu>; Nadine Connor <nadine.connor@wisc.edu>
Subject: Incident Reports from Nadine Connor @ UW-Madison

Dr. Morse:

Please see the attached incident final reports from Nadine Connor @ UW-Madison. Thanks!

(b) (6)



10 T

Initial Report of Noncompliance

By: BCM

Date: 1/28/2021

Time: 2:00

Person Reporting: Janet Welter, AV

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Wisconsin (Madison) WNPRC

Assurance number: A3368

Did incident involve PHS funded activity? ?

Funding component:

Was funding component contacted (if necessary):

Second dose of post-op analgesic not give. Pre-op analgesic and cortisone had been given. No other negative outcomes.

Species involved: Macaque

Personnel involved:

Dates and times:

Animal deaths: no

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

Projected submission to OLAW of final report from Institutional Official:

< 60 days

OFFICE USE ONLY

Case #