



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 31, 2023

Re: Animal Welfare Assurance  
A3245-01 [OLAW Case 5B]

Frederick H. Epstein, Ph.D.  
Professor and Interim Vice President for Research  
University of Virginia - Charlottesville  
P.O. Box 400301  
136 Hospital Drive  
Charlottesville, VA 22904

Dear Dr. Epstein,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your October 24, 2023, letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Virginia, following up on an initial email notification on September 28, 2023. According to the information provided, OLAW understands that mice died when the cage they were being housed in was erroneously placed on the supply cart after being transported between two animal facilities. Husbandry transport service staff placed the cage of mice on a cart in the designated location for new animal deliveries. However, despite having access to adequate food and water, the animals were found dead when their cage was mistaken for packaged supplies and inadvertently placed on a supply cart.

The corrective actions consisted of the animal management team promptly implementing new procedures for processing internal deliveries, including the:

- installation of a dedicated stationary rack labeled with areas specific to incoming and outgoing cages;
- creation of specialized transport labeling for tracking; and
- revision of the animal delivery standard operating procedures.

The animal husbandry personnel were retrained on the revised procedures following final approval by the management team.

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

Sincerely,

**Neera V. Gopee -S**

Neera V. Gopee, DVM, PhD, DACLAM, DABT  
Associate Director, Animal Welfare Policy  
Office of Laboratory Animal Welfare  
National Institutes of Health

Digitally signed by Neera V.  
Gopee -S  
Date: 2023.10.31 12:06:46 -04'00'

cc: IACUC Chair

Ware, Teagan (NIH/OD) [E]

A3245-5B

**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Tuesday, October 24, 2023 11:26 AM  
**To:** (b) (6) OLAW Division of Compliance Oversight (NIH/OD)  
**Cc:** (b) (6) Morse, Brent (NIH/OD) [E]  
**Subject:** RE: Animal Care and User Report - UVA - UVA 2023-F and UVA 2023-G

Hello (b) (6)

Thank you for following up with these two final reports. We will send official responses soon.

Best,  
Teagan

Teagan Ware, MS, PMP  
Animal Welfare Program Analyst  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health

Phone: 301-435-2390  
Email: [teagan.ware@nih.gov](mailto:teagan.ware@nih.gov)

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**From:** (b) (6)  
**Sent:** Tuesday, October 24, 2023 10:57 AM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>; Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>  
**Cc:** (b) (6)  
**Subject:** [EXTERNAL] Animal Care and User Report - UVA - UVA 2023-F and UVA 2023-G

Dr. Brent Morse, Division Director  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health RKL 1, Suite 360, MSC 7982  
6705 Rockledge Dr., Bethesda, MD

Dr. Morse:

We previously submitted an email notification on two compliance matter, UVA 2023-F (see attached) which was assigned OLAW case number A3245-5A and UVA 2023-G. which was assigned OLAW case number 3245-5B (see attached). Our email report and the OLAW response is attached.

Due to the nature and the timing of these issues as described in the notification email, that email contained less than the usual preliminary report information but indicated that a final report would be submitted.

As we indicated, these two incidents were reported to the IACUC by the UVA Attending Veterinarian who also serves as the directory of the UVA animal husbandry unit. At the time of this report, the AV summarized the incidents and described the corrective actions taken to prevent recurrence.

The IACUC reviewed the incidents and the corrective actions and has determined that this matter is now resolved to their satisfaction.

I have reviewed their final reports and I agree with their recommendations.

(b) (6)



**University of Virginia**  
**Animal Care and Use Compliance Report**  
*PHS Assurance # A3245-01*

The Institutional Animal Care and Use Committee (IACUC) discovered the following compliance issue. An email notification was sent to the OLAW Division of Compliance Oversight by the Director of the Office of Animal Welfare, and Devora McCoy, Program Analyst, acknowledged receipt. Due to the timing of the investigation and resolution, the usual preliminary email notification to OLAW was not feasible. It was understood that a full report would be submitted by the IO. This document is a summary of the incident, actions taken, and final resolution.

**UVA Case #: 2023-G**  
**OLAW Case #: A3245-5B**

<b>Nature of Incident(s):</b>	Condition that jeopardized the health or well-being of animals resulting in actual harm or death
<b>Summary of Incident:</b>	During a monthly Institutional Animal Care and Use Committee (IACUC) meeting, the Attending Veterinarian self-reported an incident to the IACUC and also provided the corrective actions taken to prevent recurrence. A single cage of mice was transported between two animal facilities by the husbandry transport service managed by the Attending Veterinarian. Upon delivery, the cage was placed on a cart in the standard location for new animal deliveries. At some point during the day, the cage was removed from the cart and placed on a different cart of supplies. The transported cage was inadvertently disguised due to the similarities between the packaged supplies and transported cage. The following day, the misplaced cage was discovered and the occupants were found dead even though there were adequate levels of food and water available.
<b>Action taken by IACUC:</b>	The IACUC discussed the incident at the next convened meeting and determined that the incident was a significant deficiency because the conditions jeopardized the health of the animals resulting in death. The IACUC considered it a programmatic issue because it had the potential of impacting any animal at the institution (i.e., federally funded, institutionally funded). The Attending Veterinarian provided the corrective actions taken to prevent recurrence within the initial report submitted to the IACUC. The IACUC reviewed the corrective actions at the same time as the report.
<b>Action taken by Attending Veterinarian:</b>	As part of the initial report, the Attending Veterinarian provided the corrective actions taken to prevent recurrence. The animal husbandry management team immediately instituted new procedures for processing internal deliveries including: installing a dedicated stationary rack labeled with areas specific to incoming and outgoing cages, created specialized transport labeling for tracking, and revised the animal delivery standard operating procedures to describe the revised process. The animal husbandry staff were retrained on the modified procedures following final management team approval.
<b>Action taken by IACUC:</b>	The IACUC felt that the AV responded appropriately, and no further action was deemed necessary.

<b>Decision/Resolution:</b>	The IACUC considered the incident resolved.	
<b>Federal Funding:</b>	Considered a programmatic issue	
<b>Notification of Final Disposition:</b>	<input checked="" type="checkbox"/> IO	<input checked="" type="checkbox"/> OLAW
<b>Institutional Official:</b> Dr. Frederick H. Epstein	Date: October 24, 2023	(b) (6)

**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Monday, October 2, 2023 10:14 AM  
**To:** (b) (6)  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Notification of Non-Compliance: UVA - #A3245-01 (Case #2023-F, Case #2023-G)

Good morning (b) (6)

Thank you for sending us these preliminary reports and we look forward to receiving the final reports once completed. I have documented the UVA tracking numbers along with our assigned case numbers (added below), so please references either the UVA tracking number or OLAW case number when sending the final reports.

Thanks,  
Devora

Devora McCoy, BS, MBA ([pronunciation](#))  
Animal Welfare Program Analyst  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health

Phone: 301-435-2390  
Email: [devora.mccoy@nih.gov](mailto:devora.mccoy@nih.gov)

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**From:** (b) (6)  
**Sent:** Thursday, September 28, 2023 5:58 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <[olawdco@od.nih.gov](mailto:olawdco@od.nih.gov)>; Wolff, Axel (NIH/OD) [E] <[wolffa@od.nih.gov](mailto:wolffa@od.nih.gov)>  
**Cc:** (b) (6)  
**Subject:** [EXTERNAL] Notification of Non-Compliance: UVA - #A3245-01 (Case #2023-F, Case #2023-G)

Dear OLAW Division of Compliance Oversight,

This is to provide notification that the University of Virginia IACUC (PHS Assurance #A3245-01) identified two significant deficiencies related to rodent care and transport. The UVA tracking numbers are listed below.

- **(OLAW case number A3245-5A)- 2023-F:** failure to maintain appropriate animal-related husbandry records. The animal husbandry records were incomplete for one weekend day in several rodent rooms. No animal health or welfare issues were noted.
- **(OLAW case number A3245-5B)- 2023-G:** condition that jeopardized the health of animals following internal animal transport

The two incidents were self-reported separately to the IACUC by the Attending Veterinarian, who also serves as the director of the animal husbandry unit. Within each report, the Attending Veterinarian summarized the incident and provided the corrective actions taken to prevent reoccurrence. At the time of reporting, the IACUC determined that adequate measures were taken and determined that the issues were resolved upon reporting. Both were determined to be programmatic deficiencies and reportable to the OLAW Division of Compliance Oversight; however, due to the timing of the investigation and resolution, a preliminary email notification to the OLAW Division of Compliance Oversight was not feasible. The IO will send a separate final compliance report for each incident and will reference this communication for context.

Should you have any questions or concerns, please do not hesitate to contact me.

Sincerely,

(b) (6)