



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 7, 2022

Re: Animal Welfare Assurance  
#A3456-01 [OLAW Case 10B]  
UMN IACUC #38606A

Dr. Michael J. Oakes  
Interim Vice President for Research  
University of Minnesota  
(b) (4) Johnston Hall - 101 Pleasant St., SE  
Minneapolis, MN 55455

Dear Dr. Oakes,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 28, 2022 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Minnesota. This letter had not been preceded by a preliminary report to OLAW.

According to the information provided, this Office understands that the University of Minnesota Animal Care and Use Committee (ACUC) determined that instances of noncompliance occurred with respect to: failure to adhere to institutional policies/procedures. The final report states on January 11, 2022, a mouse >21d of age underwent a tail snip procedure without the use of anesthetics or analgesics, for genotyping purposes. Hemostasis was not confirmed and RAR staff discovered blood in the animal's cage. In response, the animal received supportive care from RAR staff and made a full recovery.

Per the report, the Principal Investigator and lab staff confirmed that local anesthetic will be used for future tail snips in mice >21d of age, in accordance with the IACUC guidelines. It is understood that all staff that handle animals in the lab were retrained on IACUC guidelines for rodent tail biopsy and records of training have been reviewed and approved by the IACUC. Also, annual refresher training will be required, and the records will be verified during post-approval monitoring.

It is noted that this research is supported by NIH funding. Based on its assessment of this explanation, OLAW understands that the University of Minnesota 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: 2022.03.07  
13:40:10 -05'00'

Jacquelyn Tubbs, DVM, DACLAM  
Senior Animal Welfare Program Specialist  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare

cc: IACUC Contact

A3456-10B

# UNIVERSITY OF MINNESOTA

Twin Cities Campus

Institutional Animal Care and Use Committee (IACUC)

Mayo Mail Code 79  
D-528 Mayo Memorial Building  
420 Delaware St. SE  
Minneapolis, MN 55455  
Phone: 612-626-2126  
Fax: 612-626-6061  
[iacuc@umn.edu](mailto:iacuc@umn.edu)  
[www.research.umn.edu/iacuc](http://www.research.umn.edu/iacuc)

February 28, 2022

TO: Axel Wolff, DVM  
Office of Laboratory Animal Welfare  
National Institutes of Health  
RKL1, Suite 360, MSC 7982  
6705 Rockledge Drive  
Bethesda, MD 20892-7982

RE: University of Minnesota Animal Care Program D16-00288 (A-3456-01)  
NIH Grant Number: 5R37 DK042921-30  
UMN IACUC #38606A

Dear Dr. Wolff,

In keeping with the terms of our assurance, please be informed that we are making a report of non-compliance of an IACUC approved, NIH funded study involving mice. The basis of this report results from a self-reported incident. The report outlined that on January 11, 2022, a tail snip was performed for genotyping a mouse after 21 days of age without the use of anesthetics or analgesics, which is a violation of University of Minnesota IACUC policy. Additionally, hemostasis was not ensured as the mouse was found by RAR staff with blood in the cage.

The single mouse involved in this incident was administered supportive care by RAR staff in the form of heat, subcutaneous fluids, and moist food and has made a full recovery.

We want to inform you that we consider this matter closed. The principal investigator and lab staff confirm that local anesthetic will be used for future tail snips in mice older than 21 days, in accordance with IACUC guidelines. Additionally, all staff that handle animals in the lab have been retrained on IACUC guidelines for rodent tail biopsy and records of this training have been reviewed and approved by the IACUC. A yearly refresher training will be required; refresher training records will be verified during post approval monitoring.

Sincerely,

(b) (6)

J. Michael Oakes, Ph.D.  
Interim Vice President for Research  
Institutional Official, University of Minnesota  
101 Pleasant Street, S.E.  
Minneapolis, MN 55455

CC: Richard Bianco, Chair, IACUC  
Lynn Collura Impelluso, Institutional Veterinarian

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

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Wednesday, March 2, 2022 7:37 AM  
**To:** (b) (6)  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: [EXTERNAL] Report of Non-Compliance UMN IACUC #38606A

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

**From:** (b) (6)  
**Sent:** Monday, February 28, 2022 12:52 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** Richard Bianco <bianc001@umn.edu>; Lynn Impelluso <impell@umn.edu>; (b) (6)  
(b) (6) Michael Oakes <oakes007@umn.edu>  
**Subject:** [EXTERNAL] Report of Non-Compliance UMN IACUC #38606A

**CAUTION:** This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and are confident the content is safe.

Dear Dr. Wolff,

Attached please find a report of non-compliance.  
Please let me know if you have any questions.  
Thank you,

(b) (6)

(b) (6)