



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

December 11, 2023

Re: Animal Welfare Assurance
A3456-01 [OLAW Case 10R]

Shashank Priya, Ph.D.
Vice President for Research
University of Minnesota
(b) (4) Johnston Hall
101 Pleasant Street SE
Minneapolis, MN 55455

Dear Dr. Priya,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your December 4, 2023 letter reporting an adverse event involving a nonhuman primate (NHP) at the University of Minnesota, following up on an initial telephone report on October 11, 2023. According to the information provided, OLAW understands that a NHP escaped during a transfer procedure by jumping back into the transfer box causing the animal caretaker holding the box to lose balance. The animal then escaped into the room and climbed on other cages which resulted in a toe injury from another NHP.

The corrective actions consisted of the veterinarian amputating the toe, providing antibiotics and analgesics, which resulted in a successful recovery. The other NHP's were found to not have sustained any injuries. The animal transfer standard operating procedure was updated so that either jump boxes are not used and animals are transferred directly or, if the box is used it will be on a locked lift rather than being held by an individual. Staff has been trained on the new procedure and new bank systems were obtained to allow animal transfer without using the boxes.

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.
Acting Director
Office of Laboratory Animal Welfare

CC: IACUC Chair

Andrew Jones, D.V.M., Animal Care Acting Director of Operations, APHIS, USDA

A3456-10R

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
www.research.umn.edu/iacuc*

December 4, 2023

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: 1RF1MH117015-01
UMN IACUC #39802A

Dear Dr. Wolff,

In keeping with the terms of our assurance, please be informed that we are making a report of an adverse event that occurred on an IACUC approved, NIH funded study involving macaques. This report was preceded by a preliminary report by phone on October 11, 2023.

The basis of this report results from an adverse event reported to the IACUC by animal facility staff. The report outlined that on August 14, 2023, a macaque escaped from its primary enclosure during a routine bank change. The animal unexpectedly jumped back into the jump box after transferring into the bank, resulting in a loss of balance by the animal caretaker who was holding the jump box. This loss of balance allowed the animal to escape into the room.

During the time that the NHP was outside its primary enclosure, it climbed onto another enclosure in the room and its digits entered another animal's bank. This resulted in a toe injury, which was assessed by the veterinarian and required amputation. Analgesics and antibiotics were administered as part of the amputation procedure, under veterinary direction, and the incision has healed normally. The other NHPs in the room were assessed for injuries and none were found.

Animal facility husbandry SOPs have been updated to change the process for animal transfers. Transfers are now made either directly from bank to bank, when the bank design allows for this, or if a jump box is needed for the transfer, a lift with locked wheels is used rather than staff holding the jump box. Animal care staff working with NHPs have been trained in the use of lifts for transfer. In addition, the animal facility has

ordered new NHP banks to facilitate shifting of animals from bank to bank and minimize the need to use jump boxes for transfer.

We want to inform you that we consider this matter closed. The IACUC has discussed the animal transfer process and updated husbandry SOPs and believes that the changes that have been made will mitigate the potential for escape of NHPs.

Sincerely,

(b) (6)

Shashank Priya, Ph.D.
Vice President for Research and Innovation
Institutional Official, University of Minnesota
101 Pleasant Street, S.E.
Minneapolis, MN 55455

CC: Erin Dickerson, Chair, IACUC
Nate Koewler, Institutional Veterinarian
AAALAC

Ware, Teagan (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, December 5, 2023 10:05 AM
To: (b) (6)
Cc: Erin Dickerson; (b) (6) Nate Koewler; OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: [EXTERNAL] Report of Non-Compliance

Good morning,

Thank you for these two final reports. One was previously reported via phone and assigned as **A3456-10R** (39802A), and the other (39682A) has been newly assigned as OLAW case **A3456-10U**.

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

***Disclaimer:** 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, December 5, 2023 9:48 AM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: accredit@aaalac.org; Erin Dickerson <edickers@umn.edu>; (b) (6) Nate Koewler <koew0004@umn.edu>
Subject: [EXTERNAL] Report of Non-Compliance

Dear Dr. Wolff,

On behalf of Vice President Shashank Priya, attached please find two reports of non-compliance. Please let me know if you have any questions.
Thank you.

(b) (6)



A 3456-10R



Initial Report of Noncompliance

By: (b) (6)

Date: 10/11/23

Time: 9:30

Name of Person reporting: (b) (6)

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: U of MINNESOTA

Assurance number: A3456

Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Monkey escaped cage + injured toe in other monkey altercation.

Species involved: MACAQUE

Personnel involved:

Dates and times:

Animal deaths:

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

Amputated toe

Change in transfer methods, won't use jump box

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____