



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

April 10, 2024,

Re: Animal Welfare Assurance  
#A3456-01 (OLAW Case 10X)

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

Dear Dr. Priya,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your letter dated March 22, 2024, regarding noncompliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals at the University of Minnesota. The issue involved 17 cages of mice that were part of a PHS-funded activity. This letter had not been preceded by a preliminary report to OLAW.

Based on your letter, OLAW understands that the incident was identified via a self-report where it was determined that on March 11, 2024, lab staff failed to properly lock the cages into the racks, resulting in cages lacking access to the automated watering system. Animals without supplementary water bottles lacked access to water until the issue was noted the next day. One mouse was found dead and another treated for dehydration, and the rest were examined by the veterinary staff and found to be in good health. All affected cages received a supplementary water bottle for a week after the incident as a precautionary measure. The Principal Investigator found that the issue stemmed from a communication breakdown involving two staff members, and retrained the laboratory staff on proper cage locking procedures. Both husbandry staff and the Institutional Animal Care and Use Committee will monitor compliance going forward and the institution considers the matter closed.

OLAW concurs with the actions taken by your institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals, and appreciates the corrective measures established by the IACUC. We appreciate having been informed of this matter and at this time find no cause for further action by this Office.

Sincerely,

4/10/2024

**X** Nicolette Petervary

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Nicolette Petervary  
Director, Division of Policy and Education  
Signed by: Nicolette A. Petervary -A  
Nicolette Petervary, VMD, MS, DACAW  
Director, Division of Policy and Education  
Office of Laboratory Animal Welfare

cc: IACUC Contact

A3456-10X

# 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)  
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March 22, 2024

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: 5R01AI038903-27  
UMN IACUC #41198A

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 3/11/24, lab staff failed to properly lock mouse cages into individually ventilated cage racks after working with the mice. Animals in this facility receive water through an automatic watering system in the IVC rack. While some of the cages involved also had supplemental water bottles, 17 cages did not and these cages therefore were without access to water until the incident was discovered the following day, 3/12/24.

One mouse was found dead, and one was treated for dehydration by veterinary staff. All the other animals were examined by veterinary staff and noted to be in good health. All of the affected cages were provided with a supplemental water bottle for the following week as a precautionary measure.

We want to inform you that we consider this matter closed. The PI has identified a breakdown in communication of responsibilities between the two staff who were working with the mice as the root cause of this incident. The PI has retrained all lab staff regarding the seriousness of this matter and the requirement to confirm that all cages are locked in place before leaving the animal room. Future compliance will be monitored both by the daily room checks conducted by facility husbandry staff, and by the IACUC during post approval monitoring.

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]**

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Friday, March 29, 2024 8:03 AM  
**To:** (b) (6)  
**Cc:** Nate Koewler; Erin Dickerson; (b) (6) OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: [EXTERNAL] Non-Compliance Reports

Good morning,

Thank you for providing these two reports, which have been assigned as OLAW cases **A3456-10X (IACUC #41198A)** and **A3456-10Y (IACUC #39800A)**. 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:** Thursday, March 28, 2024 10:34 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** [accredit@aaaalac.org](mailto:accredit@aaaalac.org); Nate Koewler <[koew0004@umn.edu](mailto:koew0004@umn.edu)>; Erin Dickerson <[edickers@umn.edu](mailto:edickers@umn.edu)>; (b) (6)  
(b) (6)  
**Subject:** [EXTERNAL] Non-Compliance Reports

Dear Dr. Wolff,

On behalf of VPR Shashank Priya, please find the attached reports of non-compliance. Please let me know if you have any questions.

Thank you,  
(b) (6)

(b) (6)

(b) (6)

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