



DEPARTMENT OF HEALTH & HUMAN SERVICES

PUBLIC HEALTH SERVICE
NATIONAL INSTITUTES OF HEALTH

FOR US POSTAL SERVICE DELIVERY:

Office of Laboratory Animal Welfare
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Home Page: <http://grants.nih.gov/grants/olaw/olaw.htm>

FOR EXPRESS MAIL:

Office of Laboratory Animal Welfare
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6705 Rockledge Drive
Bethesda, Maryland 20817
Telephone: (301) 496-7163
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August 15, 2008

Re: Animal Welfare Assurance
A3196-01 [OLAW Case 4F]

Roberto Peccei, Ph.D.
Vice Chancellor for Research
Office of the Chancellor
University of California-Los Angeles
405 Hilgard Avenue
Los Angeles, CA 90024-1405

Dear Dr. Peccei,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 30, 2008 letter concerning an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of California, Los Angeles (UCLA). According to the information provided, OLAW understands that the Chancellor's Animal Research Committee (ARC) was notified on April 28, 2008 that mice had been utilized in an unapproved pilot dietary experiment. This apparently occurred in part due to the PI's misunderstanding the ARC's suggestion to conduct a pilot study as approval to do so. This activity was in part funded by NIH.

Corrective actions consisted of the PI and her lab staff receiving training via an Educational Lab meeting. In a subsequent meeting of the PI and two of her key researchers with the ARC Chair and Associate Director, it was decided that the PI would become co-investigator and that the key researchers would become Principal Investigators of record to allow better oversight of the animal research. This was approved by the ARC on June 30.

OLAW believes that the actions taken by the UCLA ARC were appropriate for the incident. The voluntary increase in animal research oversight by the research team is commendable. We appreciate being informed of this matter and find no cause for further action by this Office.

Sincerely,

Brent C. Morse, DVM
Animal Welfare Program Specialist
Division of Compliance Oversight
Office of Laboratory Animal Welfare

cc: Dr. William McBride, IACUC Chair
Ms. Kathy L. Wadsworth, Associate Director – Animal Subjects Research
Maryann Jacobi Gray, Ph.D., Assistant Provost

AUG 5 10:08 AM '08

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July 30, 2008

Axel V. Wolff, M.S., D.V.M.
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
Rockledge 1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7982

RE: Final Report of an Incident of Noncompliance
Animal Welfare Assurance A3196-01

Dear Dr. Wolff:

I am writing to provide you with a report of noncompliance involving animals (mice) housed in a UCLA investigator's laboratory. This lab receives funding from various federal sources including National Institutes of Health (NIH) grants.

The Chancellor's Animal Research Committee (ARC) was notified on April 28, 2008 that mice used in the study may have undergone a pilot dietary experiment, prior to ARC approval.

In accordance with the ARC Policy, Investigating Allegations of Mistreatment or Other Noncompliance Issues¹, the investigator was contacted on April 28, 2008 and provided an opportunity to comment on the incident. The investigator replied promptly, stating that the pilot study had indeed been conducted, but that she had misunderstood the ARC's suggestion to conduct a pilot study as "approval" to perform the experiment. She apologized for the error and stated that she would not undertake any other studies without full ARC approval.

The ARC reviewed the incident and the investigator's response at the convened meeting of May 12, 2008. To address this incident, the Committee requested that she contact Associate Director Kathy Wadsworth to schedule an Educational Lab meeting for her and her lab staff to review ARC policies and guidelines pertaining to her study. During the

¹ ARC Policy, Investigating Allegations of Mistreatment or Other Noncompliance Issues: "In every investigation, the person(s) against whom the complaint has been raised shall be given notice of the concern and provided an opportunity to address the allegations in writing."

meeting, Director for Rodent Medicine Zahorsky-Reeves also reviewed laboratory veterinary procedures and policies for the care of research rodents. Several members of the Committee noted that the Principal Investigator is often required to be away from the University, and as such, may not be able to effectively monitor her research staff or the experiments she is responsible for overseeing. As such, the investigator will be asked to consider appointing a different investigator to oversee her research at UCLA.

Following the May 12, 2008 Committee meeting, the ARC Chair and Associate Director Wadsworth met with the Principal Investigator and two of her key researchers to discuss their possible reappointment as Principal Investigators. It was noted that her key researchers have extensive knowledge of the research and are in constant contact with her lab staff. As such, it was agreed that this would be a more favorable arrangement. The Principal Investigator's involvement in the research would continue as co-investigator.

The ARC reviewed the proposed corrective actions at the convened meeting of June 30, 2008, and found the actions to be acceptable. The Committee also applauded the investigator's willingness to increase oversight of her research by appointing her key researchers to act as Principal Investigators of record for her studies. Additionally, Ms. Wadsworth and Dr. Zahorsky-Reeves agreed to return on an annual basis to meet with the investigators and lab staff.

If you have any questions or concerns, please do not hesitate to contact me at (310) 825-7943.

Sincerely,



Roberto Peccei
Vice Chancellor for Research

cc: Dr. William McBride, Chair, ARC
Kathy Wadsworth, Associate Director, Animal Subjects Research



Full Assurance Agreement Printout

Assurance Number: A3196-01 Prior Assurance Number: A1440
Institution Name: University of California - Los Angeles
Institution Address: Los Angeles, CA Site: 00

Dates:

Conditional Data Due: AAALAC Status: 1
Effective: 07/11/2006 PHS Grant / Contract #:
Expiration: 07/31/2010 Last Modified: 7/15/2008 By: th
AR Reporting Cycle: 01/2009

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