



# INSPECTION REPORT

EMORY UNIVERSITY

Customer ID: 896

Certificate: 57-R-0003

Site: 003

EMORY UNIVERSITY

WOODRUFF HLTH SCIENCES CTR, 1440 CLIFTON RD NE  
ATLANTA, GA 30322

Inspection

Type: ROUTINE INSPECTION

Date: FEB-22-2007

### 3.75

#### HOUSING FACILITIES, GENERAL.

(a) Structure: construction. Housing facilities for nonhuman primates must be designed and constructed so that they are structurally sound for the species of nonhuman primates housed in them. They must be kept in good repair...

\*\*\*Caulk used for sealing ceilings and walls is peeling loose in several areas. In the small primate wing (236) the caulk seal is pulling loose from the lower edge of the rear wall. Strands of caulk were hanging from the ceiling in D115, D116, D117, and D128. Additionally, a ceiling panel divider in room D115 is separating from the ceiling as a result of the defective caulk. The ceilings in these areas must be assessed to ensure integrity of ceilings. Additionally, the strands of loosened caulk present an animal hazard if they fall into animal enclosures. Correct by: 30 Apr 07.

\*\*\*One light fixture in IDB 104 is becoming detached from the ceiling. The fixture must be secured and the ceiling integrity in this area assessed for safety. Correct by: 30 Apr 07.

### 3.76 ( c )

#### INDOOR HOUSING FACILITIES.

(c) Lighting. ... Lighting must be uniformly diffused throughout animal facilities and provide sufficient illumination to aid in maintaining good housekeeping practices, adequate cleaning, adequate inspection of animals, and for the well-being of the animals.

\*\*\*2 banks of lights directly above the animal enclosure in RB12 (1 chimpanzee) are not functioning. Lighting in animal areas must be uniformly diffused. Correct by: 01 Mar 07.

### 3.84 ( c )

#### CLEANING, SANITIZATION, HOUSEKEEPING, AND PEST CONTROL.

(d) Pest control. An effective program for control of insects, external parasites affecting nonhuman primates, and birds and mammals that are pests, must be established and maintained so as to promote the health and well-being of the animals and reduce contamination by pests in animal areas.

\*\*\*Roaches are noted in rooms 242 (small primate wing), and V153-160 evidenced by live roaches noted and excessive dead roaches in light fixtures. Roach traps have been placed under light covers since last inspection; however, the traps have not been effective in maintaining pest control in these areas. Correct by: 30 Apr 07.

\*\*\*Black sewer flies are noted in NS hallway adjacent to cagewash and in room 1248. Means to minimize pests must be implemented and maintained. Correct by: 30 Apr 07.

Prepared By:

*Amy Bartholomew, DVM*  
AMY BARTHLOMEW, D V M , USDA, APHIS, Animal Care

Date:

FEB-23-2007.

Title: VETERINARY MEDICAL OFFICER, Inspector ID: 1051

Received By:

b6, b7c  
[Redacted Signature]

Date:

FEB-23-2007

Title:



FOR US POSTAL SERVICE DELIVERY:

Office of Laboratory Animal Welfare  
Rockledge One, Suite 360  
6705 Rockledge Drive - MSC 7982  
Bethesda, Maryland 20892-7982  
Home Page: <http://grants.nih.gov/grants/olaw/olaw.htm>

FOR EXPRESS MAIL:

Office of Laboratory Animal Welfare  
Rockledge One, Suite 360  
6705 Rockledge Drive  
Bethesda, Maryland 20817  
Telephone: (301) 496-7163  
Facsimile: (301) 402-2803

March 28, 2007

Re: Animal Welfare Assurance  
A3180-01 [OLAW Case 1E]

Michael M.E. Johns, M.D.  
Executive Vice President  
for Health Affairs  
Emory University  
1440 Clifton Road, Suite 400  
Atlanta, GA 30322

Dear Dr. Johns

The Office of Laboratory Animal Welfare (OLAW) received a copy of the February 23, 2007 inspection report of the Emory University animal care and use program based on a site visit conducted by the US Department of Agriculture (USDA). This Office notes that the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy) requires Assured institutions to base their programs of animal care and use on the *Guide for the Care and Use of Laboratory Animals (Guide)* and comply with the regulations (9 CFR, Subchapter A) issued by the USDA under the Animal Welfare Act.

The nature of the deficiencies encompassed physical plant problems, sanitation and pest control issues, animal feed storage problems, expired drugs, and problems with animal transport containers. Apparently some of these problems have been cited on previous inspections.

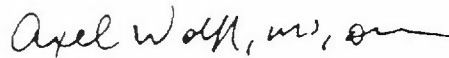
In order for OLAW to understand how Emory University addresses resolution of deficiencies identified in the animal care and use program, please provide the following information:

- 1) Provide a copy of the plan and schedule for correction of each deficiency identified on the USDA report. The answers provided to USDA can be used as a basis for the reply.
- 2) Indicate whether the Institutional Animal Care and Use Committee has identified the same or related deficiencies when conducting its semiannual program and facility review. Are reasonable and specific plans and schedules developed for each deficiency identified during the semiannual review?

- 3) Is an ongoing program of preventive maintenance in place to maintain facilities according to the standards in the *Guide*?
- 4) Note that in the Guidance on Prompt Reporting to OLAW under the PHS Policy on Humane Care and Use of Laboratory Animals an example of a reportable situation consists of a “failure to correct deficiencies identified during the semiannual evaluation in a timely manner.” Repeat deficiencies may require the problem to be addressed at the programmatic level. Indicate whether the plans and schedules developed for correction of deficiencies are followed.

Please provide the requested information by **April 30, 2007**.

Sincerely,



Axel Wolff, M.S., D.V.M.  
Director, Division of Compliance Oversight

cc: Samuel Speck, Ph.D., IACUC Chair











## Full Assurance Agreement Printout

Assurance Number: A3180-01  
Institution Name: Emory University School of Medicine  
Institution Address: Atlanta, GA

Prior Assurance Number: A1544  
Site: 00

### Dates:

Conditional Data Due:  
Effective: 03/19/2008  
Expiration: 03/31/2012  
AR Reporting Cycle: 01/2008

AAALAC Status: 1  
PHS Grant / Contract #:  
Last Modified: 3/19/2008 By: bw

Chairman: Samuel H. Speck  
Title: Professor  
Address: Division of Microbiology/Immunology  
1462 Clifton Road, 429 Dental Building  
Atlanta, GA 30322  
Email: SSPECK@EMORY.EDU

Degree: Ph.D.  
Phone: (404) 727-7665 Ext:  
Fax: (404) 712-9736

Official: David L. Wynes, Ph.D.  
Title: Vice President for Research Administration  
Address: 1599-001-1BE  
1599 Clifton Road, NE  
Atlanta, GA 30322-4250

Phone: (404) 727-3889 Ext:  
Fax: (404) 727-1094

Email:

POC: David Knight  
Title: IACUC Office  
Address:

Phone: (404) 727-6212 Ext:  
Fax: (404) 727-8877

Email: dknight@emory.edu





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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Facsimile: (301) 402-2803

May 2, 2007

Re: Animal Welfare Assurance  
A3180-01 [OLAW Case 1E]

David Wynes, Ph.D.  
Vice President for Research Administration  
Emory University  
1440 Clifton Road, Suite G65  
Atlanta, GA 30322

Dear Dr. Wynes,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your April 30, 2007 letter responding to my inquiry of March 28, 2007 regarding deficiencies identified by the USDA at Emory University. According to the information provided, OLAW understands the following:

- 1) The deficiencies identified in the 2/23/07 USDA report (loose caulking, detached light, burned out light) were repaired under facilities maintenance work orders. The deficiency citing the presence of roaches and sewer flies has been addressed with the exterminator. Light fixtures in which roaches were found were resealed or replaced.
- 2) The deficiencies identified in the 3/16/06 USDA report (outdated animal food treats, outdated drugs) were addressed by discarding the items and counseling the responsible investigators and staff. Also, animal transfer containers had been cited as being placed too close together, potentially limiting air exchange. The existing Standard Operating Procedure addressing transfer box placement has been reviewed with animal care staff and compliance has been monitored and found acceptable.

Based on its assessment of these explanations and a review of the supporting documents, OLAW understands that the deficiencies were corrected in a timely fashion and that measures were taken to prevent recurrence. OLAW concurs with the actions taken by the Emory Institutional Animal Care and Use Committee to comply with the PHS Policy on Humane Care and Use of Laboratory Animals. We appreciate your attention to this matter and find no cause for further action by this Office.

Sincerely,

*Axel Wolff, M.S., D.V.M.*

Axel Wolff, M.S., D.V.M.  
Director, Division of Compliance Oversight

cc: Samuel Speck, Ph.D., IACUC Chair  
Elizabeth Goldentyer, D.V.M., Eastern Regional Director, USDA-AC



EMORY  
UNIVERSITY

Office of Research Administration  
Rollins Research Center

April 30, 2007

**VIA TELEFAX TO (301) 402-2803 & VIA FEDERAL EXPRESS**

Alex Wolff, M.S., D.V.M.  
Director, Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
Rockledge One, Suite 360  
6705 Rockledge Drive - MSC 7982  
Bethesda, MD 20892-7982

**Re: Animal Welfare Assurance; A3180-01 [OLAW Case 1E]**

Dear Dr. Wolff:

I am writing in response to your letter dated March 28, 2007. I have recently been appointed as the Institutional Official for Emory University's research animal care and use program, replacing Dr. Michael M.E. Johns, M.D., who will be transitioning to his new position as University Chancellor. I have attached a copy of my appointment letter for your records.

The March 28, 2007 letter was written with respect to the February 23, 2007 United States Department of Agriculture (USDA) inspection report dated February 23, 2007. The actual inspection took place on February 22 and 23, 2007. Some of the deficiencies mentioned in your letter were not listed in the February 23, 2007 report, but were included in an earlier (March 16, 2006) USDA inspection of the same facility. All of these deficiencies were corrected in 2006 but, in order to be as complete as possible in our response, we have also summarized those deficiencies, as cited in your letter, along with our corrective actions.

**February 23, 2007 USDA Inspection Report:**

3.75 Housing Facilities General

1. Loose caulking around some ceiling and wall polypanels in rooms *Rooms*  
and *Rm #*

Immediate action: The loose caulking was removed and replaced.

Preventive measures taken: Routine checking of polypanel caulking has been added to the Facilities Preventive Maintenance Schedule (Attachment 1), which is performed monthly.

Emory University  
1510 Clifton Road, Suite G65  
Atlanta, Georgia 30322

Tel 404.727.3889  
Fax 404.727.1094

*An equal opportunity, affirmative action university*

2. One light fixture in ~~#~~ becoming detached.  
Immediate action: Light fixture attached.  
Preventive measures taken: This was a recent occurrence, and a work order had already been submitted to Facility maintenance personnel to make this repair. This sort of occurrence would otherwise be picked up during the monthly Facilities Preventive Maintenance inspections.

3.76(c) Indoor Housing Facilities – (c) lighting

1. Two banks of lights out in ~~#~~  
Immediate action: Replaced ballast, which had burned out  
Preventive measures taken: Already covered by the Facilities Preventive Maintenance Schedule.

3.84(c) Cleaning, Sanitation, Housekeeping and Pest control – (d) pest control

1. Roaches noted in rooms ~~#~~ and ~~#~~ (live roaches and dead roaches in light fixtures).  
Immediate action: Light fixtures cleaned and resealed in room ~~#~~. The lights in the other rooms (V153-160) were an older model for which spare parts (e.g. replacement light covers) have recently gone off the market. The Facility had therefore ordered replacement light fixtures for all of these rooms, which had been received shortly before the USDA inspection on February 22 -23, 2007 (this was reviewed with the USDA inspector at the time). Installation began on March 1, 2007 and installation was complete in all rooms by March 27, 2007.  
Preventive measures taken: Reviewed with a representative from ~~Co.~~ the Facility's contractor for pest control services. See Attachment 2 for additional preventive procedures that have been implemented.
2. Black sewer flies noted in NS hallway and room ~~#~~  
Immediate action: Examined and cleaned kitchenette sink drain and treated affected area with Fly Wipe.  
Preventive measures taken: Reviewed with ~~Co.~~ representative. See Attachment 2 for additional preventive procedures that have been implemented.

**March 16, 2006 USDA Inspection Summary**

1. Annual feed storage problems: Outdated animal food treats were found in two research laboratories, and a battery pack was stored in a laboratory refrigerator above an area in which food was kept. These were discarded immediately, and the deficiencies were reviewed with the investigators and support staff. No deficiencies were noted in the subsequent USDA inspections.
2. Expired drugs: Expired drugs or fluids were found in three research laboratories. These were immediately disposed of and the deficiencies were reviewed with the investigators and support staff to avoid recurrence. There were no expired drugs noted during the next USDA inspection.

3. Annual transport box problems: Transfer boxes holding animals during cage washing were noted to be placed too close together thus possibly limiting ventilation. Yerkes SOP 6.2, which covers this issue, was reviewed with all animal care staff, and the Yerkes Quality Assurance Program followed this up by monitoring transfer box placement. Initial monitoring was conducted over six days in April and May of 2006, and the compliance rate was 97%. This data was shared with the Animal Care staff at their bi-monthly meeting on July 19, 2006. In order to ensure continued compliance, the monitoring has been continued on a quarterly basis. The findings for August 6, 2006, November 2006 and February 2007 indicate on-going compliance, as indicated in the last (February 2007) monitoring results (Attachment 3).

In conclusion, the five deficiencies noted on the February 23, 2007 USDA Inspection report have been rectified by the facility, and appropriate preventive measures taken. The other issues to which you referred in your letter, that were likely from March 16, 2006 USDA Inspection, were all corrected within the stipulated time, and there were no repeat citations during the follow-up USDA inspection on February 22-23, 2007.

All USDA facility inspection finding, including any remedial actions taken, are reviewed at the following IACUC meeting. Any deficiencies noted during IACUC inspections are also reviewed the following IACUC meeting, as is subsequent corrective action. As may be expected for a large facility, the most common types of deficiencies noted during USDA and IACUC inspections concern pest control issues, peeling paint and the occasional presence of an expired drug. Yerkes has a solid program of monitoring and preventative maintenance to keep these issues at a minimum, and we believe that these programs have been successful in achieving this goal.

Please do let me know should you require any further information.

Sincerely,



David Wynes, Ph.D.  
Vice President for Research Administration

**Attachments:**

1. Yerkes Standing Work Order No. 07-0854
2. Yerkes Main Center Pest Control Service Enhanced Protocol
3. February 2007 Transfer Box Monitoring (3<sup>rd</sup> Quarter)
4. Letter Appointing David Wynes, Ph.D. as Institutional Official

cc: Jim Else, D.V.M.  
David Knight  
Sam Speck, Ph.D.

Emory University  
Assurance Number: (A3180-01 current)  
(Initial Effective Date: April 1, 2006)

ASSURANCE OF COMPLIANCE  
WITH  
PUBLIC HEALTH SERVICE  
POLICY ON HUMANE CARE AND  
USE OF LABORATORY ANIMALS

Emory University, hereinafter referred to as "Institution," hereby gives assurance that it will comply with the Public Health Service Policy on Humane Care and Use of Laboratory Animals, hereinafter referred to as PHS Policy.

I. APPLICABILITY

This Assurance is applicable to all research, research training, experimentation, biological testing, and related activities, hereinafter referred to as activities, involving live, vertebrate animals supported by the Public Health Service (PHS) and conducted at this Institution, or at another institution as a consequence of the subgranting or subcontracting of a PHS-conducted or supported activity by this Institution.

"Institution" includes the major and cooperative components of Emory University:

1. The following units of the Robert W. Woodruff Health Sciences Center:
  - a. School of Medicine
  - b. School of Nursing
  - c. School of Public Health
  - d. Yerkes National Primate Research Center
  - e. Emory Vaccine Research Center
  - f. Emory University Hospital
  - g. Emory Crawford Long Hospital including Carlyle Fraser Building
  - h. The Emory Clinic
  - i. Emory Children's Center
  - j. Wesley Woods Center
  
2. The following departments of Emory College in which research utilizing laboratory animals takes place:

**Yerkes National Primate Research Center  
Emory University**

**Standing Work Order No. 07-0854**

**Task:** Maintenance of Animal Rooms  
**Assigned to:** Physical Plant  
**Cost Center:** Physical Plant  
**Frequency:** Monthly

**Task Instructions**

1. Replace any blown light bulbs
2. Clean light covers if dirty or if they contain dead bugs
3. Clean supply and exhaust grilles
4. Make sure doors operate properly – doors should close completely without assistance
5. Check operation of card readers and door magnets. Report any problems of facilities Manager.
6. Check for peeling paint and report areas needing attention to facilities manager
7. Check caulking on ceiling seams and at the top and bottom of polypropylene panels  
Remove any peeling caulk and add new caulk where necessary

*Company*  
**Yerkes Main Center Pest Control Service Enhanced Protocol  
Resulting from 02/07 USDA Inspection/Observations**

**(1) Area of Concern:** Small Primate Wing & specifically Room # for German Roaches.

**Enhanced Service Protocol:**

- Twice per week inspection & treatment of Small Primate Wing rooms and hallway, using increased roach bait.
- Installation of roach bait inside of bait stations in ceiling above hallway (minimum of 6 stations).
- Once per week Special Service in room # with the supervision of maintenance staff (appointed Sunday Buge) whereby cages will be rolled away from wall to assist in the following:
  - a) With use of ladder all visible pest will be vacuumed.
  - b) Application of roach bait with utilization of ladder at top crevice where wall/ceiling meet.
  - c) With use of ladder installation of Glue Boards baited with roach attractant affixed to top of HVAC system in room. Boards to be monitored weekly and replaced/rebaited accordingly.

**(2) Area of Concern:** Neuroscience Hallway for Flies.

**Enhanced Service Protocol:**

- Weekly monitoring & treatment of known fly harborage/reproduction area in kitchenette sink and adjacent garbage disposal. Technician to remove/disassemble sink drain once per week, remove & clean decomposing material, remove/scrape away fly larvae, and treat with OE-30 concentrate and OE-30 foam.
- Twice per month Fly Wipe service in hot-spot areas until substantial reduction of flies is realized (less than 25 visible upon entire hall inspection). Technician to utilize extension on paint roller to ensure application to the top of the wall.
- Monitor/refill the four fly traps which were installed and baited during the floor level inspection.

**(3) Area of Concern:** Eye Building and Virology

**Enhanced Service Protocol:**

- Increase service to twice per week inspection & treatment.
- Increase the removal, cleaning, and baiting of light fixtures to increase exposure to bait and removal of dead German roaches.
- Utilize vacuum weekly for the existence of visible German roaches.
- Increase the application of Gel Bait along base of wall/hotspot areas.

## February 2007 Transfer Box Monitoring (Third Quarter)

Date	Time	Location	# Boxes	# Boxes Adequately Spaced	# Boxes Inadequately Spaced		% Compliance: Spacing	# Locks Unengaged		# Locks Engaged	Total # Locks	% Compliance: Locks	# Vented Sides Together
					box	wall		only 1	both				
2/21/2007	9:50 AM	V155	20	19	1	0	95.00%	0	0	40	40	100.00%	0
2/21/2007	10:00 AM	113	20	20	0	0	100.00%	0	0	40	40	100.00%	0
2/21/2007	10:00 AM	116	8	8	0	0	100.00%	0	0	16	16	100.00%	0
2/21/2007	10:05 AM	RB2	24	23	1	0	95.83%	0	0	48	48	100.00%	0
2/21/2007	10:10 AM	D126	11	10	1	0	90.91%	1	0	21	22	95.45%	0
2/23/2007	9:36 AM	243B	27	27	0	0	100.00%	0	0	54	54	100.00%	0
2/23/2007	9:43 AM	RC5	20	19	1	0	95.00%	0	0	40	40	100.00%	0
2/28/2007	9:58 AM	RB3	17	17	0	0	100.00%	0	0	34	34	100.00%	0
2/28/2007	10:03 AM	243A	23	23	0	0	100.00%	0	0	46	46	100.00%	0
Total			170	166	4	0	97.65%	1	0	339	340	99.71%	0







EMORY  
UNIVERSITY

April 3, 2007

Dr. David L. Wynes  
Vice President for Research Administration  
Emory University

Re: Institutional Official on the Emory University Animal Welfare Assurance

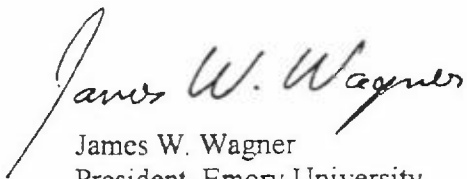
Dear David:

As Vice President for Research Administration, we request that you assume the position of Institutional Official of Emory University's research animal welfare program. In this role, please initiate the process of changing the University's OLAW Animal Welfare Assurance to name you as the Institutional Official on that document.

Furthermore, as University President, I am delegating to you the responsibility of appointing IACUC members on my behalf.

We believe the depth of experience and leadership which you bring to this position will serve the University well.

Sincerely,

  
James W. Wagner  
President, Emory University



Michael M.E. Johns  
Executive Vice President for Health Affairs, Emory University



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The Robert W. Woodruff Health Sciences Center  
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