



University of Oklahoma
Health Sciences Center
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CITATION AND NOTIFICATION OF PENALTY

We believe that you violated the Animal Welfare Act (7 U.S.C. § 2131 et seq.) (AWA), as described below.

Date of Violation: On or about January 23, 2014

9 C.F.R. § 2.31(c)(7) Institutional Animal Care and Use Committee (IACUC).
(c) IACUC functions. With respect to activities involving animals, the IACUC, as an agent of the research facility, shall:

(7) Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the care and use of animals in ongoing activities.

You failed to have the IACUC review and approve a significant change regarding the care and use of animals in an ongoing activity. The IACUC had approved Protocol 13-043-I to include the use of buprenorphine to relieve pain and distress. However, you failed to administer the buprenorphine to the male baboon “Franklin” (identification number 3713) as outlined in Protocol 13-043-I. Additionally, you administered propofol and atropine to the animal. Neither of these changes to the protocol had been approved by the IACUC at the time.

Date of Violation: March 20, 2014

9 C.F.R. § 2.33(b)(5) Attending veterinarian and adequate veterinary care.

(b) Each research facility shall establish and maintain programs of adequate veterinary care that include:

(5) Adequate pre-procedural and post procedural care in accordance with current established veterinary medical and nursing procedures.

You failed to provide adequate pre-procedural and post procedural veterinary care. You noted that the guinea pigs identified as numbers P5 and P6 were doing well following an operation to insert a catheter in their jugular veins for Protocol 13-088-H. However, when your staff was not observing them, both were able to remove the caps from the catheters and subsequently bleed to death.



Date of Violation: On or about May 22, 2014

9 C.F.R. § 2.32(a) Personnel qualifications.

(a) It shall be the responsibility of the research facility to ensure that all scientists, research technicians, animal technicians, and other personnel involved in animal care, treatment, and use are qualified to perform their duties. This responsibility shall be fulfilled in part through the provision of training and instruction to those personnel.

You failed to ensure that all personnel involved in animal care, treatment, and use were qualified to perform their duties. The IACUC had approved a research protocol involving rabbits, 13-138-H, with the use of buprenorphine to relieve pain and distress. One of your researchers performed a procedure on several rabbits under the protocol, including rabbit number 220934, but failed to administer buprenorphine to the animals as specified in the protocol.

Date of Violation: May 26, 2014

9 C.F.R. § 2.33(b)(5) Attending veterinarian and adequate veterinary care.

(b) Each research facility shall establish and maintain programs of adequate veterinary care that include:

(5) Adequate pre-procedural and post procedural care in accordance with current established veterinary medical and nursing procedures.

You failed to provide adequate pre-procedural and post procedural veterinary care. You noted that the guinea pig identified as P8 was doing well following an operation to insert a catheter in its jugular vein for Protocol 13-088-H. However, when your staff was not observing it, it was able to remove the cap from the catheter and subsequently bleed to death.

Date of Violation: May 28, 2014

9 C.F.R. § 2.33(b)(5) Attending veterinarian and adequate veterinary care.

(b) Each research facility shall establish and maintain programs of adequate veterinary care that include:

(5) Adequate pre-procedural and post procedural care in accordance with current established veterinary medical and nursing procedures.

You failed to provide adequate pre-procedural and post procedural veterinary care. You noted that the guinea pig identified as P9 was doing well following an operation to insert a catheter in its jugular vein for Protocol 13-088-H. However, when your staff was not observing it, it was able to remove the cap from the catheter and subsequently bleed to death.

Date of Violation: June 3, 2014

9 C.F.R. § 2.31(d)(5) Institutional Animal Care and Use Committee (IACUC).



- (d) IACUC review of activities involving animals.
- (5) The IACUC shall conduct continuing reviews of activities covered by this subchapter at appropriate intervals as determined by the IACUC, but not less than annually.

The IACUC failed to conduct continuing reviews of activities covered by this subchapter at appropriate intervals as indicated by the following:

- 1) The principal investigator for protocol 13-043-I did not follow the approved protocol. The medical records for a baboon (number 3713, “Franklin”) show that you did not administer buprenorphine as stated in the protocol and that you administered propofol and atropine even though these were not in the approved protocol.
- 2) The principal investigator for Protocol 12-007-I did not follow the respective protocol by not continuously recording blood pressure and pulse oximetry readings during the operation for a male baboon (number 11108, “Catman”).

Date of Violation: June 3, 2014

9 C.F.R. § 2.33(b)(2) Attending veterinarian and adequate veterinary care.

(b) Each research facility shall establish and maintain programs of adequate veterinary care that include:

- (2) The use of appropriate methods to prevent, control, diagnose, and treat diseases and injuries, and the availability of emergency, weekend, and holiday care.

You failed to provide adequate veterinary care and use appropriate methods to prevent, control, diagnose, and treat diseases and injuries for a rabbit in room 212 Ce, that had swollen conjunctiva around the eyes, was very quiet and still, and huddled in the rear corner of its enclosure.

Date of Violation: June 3, 2014

9 C.F.R. § 3.81(c)(2) Environment enhancement to promote psychological well-being.

Dealers, exhibitors, and research facilities must develop, document, and follow an appropriate plan for environment enhancement adequate to promote the psychological well-being of nonhuman primates. The plan must be in accordance with the currently accepted professional standards as cited in appropriate professional journals or reference guides, and as directed by the attending veterinarian. This plan must be made available to APHIS upon request, and, in the case of research facilities, to officials of any pertinent funding agency. The plan, at a minimum, must address each of the following:

- (c) Special considerations. Certain nonhuman primates must be provided special attention regarding enhancement of their environment, based on the needs of the individual species and in accordance with the instructions of the attending veterinarian. Nonhuman primates requiring special attention are the following:

(2) Those that show signs of being in psychological distress through behavior or appearance.

You failed to provide special attention to a nonhuman primate showing signs of psychological distress. A singly housed male baboon “Catman,” identification number 11108, had stereotypic behavior. Catman was visibly agitated and showed a repetitive movement pattern that involved swinging his head in a circular motion followed by movement around his cage, followed by another head swing. You previously identified “Catman” as an animal that needed special attention and had him on a targeted training program. However, when you placed him on a new protocol, you discontinued his individual training, and had not replaced it with additional enrichment.

Date of Violation: June 11, 2014

9 C.F.R. § 2.33(b)(5) Attending veterinarian and adequate veterinary care.

(b) Each research facility shall establish and maintain programs of adequate veterinary care that include:

(5) Adequate pre-procedural and post procedural care in accordance with current established veterinary medical and nursing procedures.

You failed to provide adequate pre-procedural and post procedural veterinary care. You noted that the guinea pig identified as P15 was doing well following an operation to insert a catheter in its jugular vein for Protocol 13-088-H. However, when your staff was not observing it, it was able to remove the cap from the catheter and subsequently bleed to death

Date of Violation: July 29, 2014

9 C.F.R. § 2.33(b)(5) Attending veterinarian and adequate veterinary care.

(b) Each research facility shall establish and maintain programs of adequate veterinary care that include:

(5) Adequate pre-procedural and post procedural care in accordance with current established veterinary medical and nursing procedures.

You failed to provide adequate pre-procedural and post procedural veterinary care. You noted that the guinea pig identified as P38 was doing well following an operation to insert a catheter in its jugular vein for Protocol 13-088-H. However, when your staff was not observing it, the adhesive holding the catheter failed, causing the guinea pig to bleed to death.

Date of Violation: January 20, 2015

9 C.F.R. § 3.84(a) Cleaning, sanitization, housekeeping, and pest control.

(a) Cleaning of primary enclosures. Excreta and food waste must be removed from inside each indoor primary enclosure daily and from underneath them as often as necessary to prevent an excessive accumulation of feces and food waste,



to prevent the nonhuman primates from becoming soiled, and to reduce disease hazards, insects, pests, and odors. Dirt floors, floors with absorbent bedding, and planted areas in primary enclosures must be spot cleaned with sufficient frequency to ensure all animals the freedom to avoid contact with excreta, or as often as necessary to reduce disease hazards, insects, pests, and odors. When steam or water is used to clean the primary enclosure, whether by hosing, flushing, or other methods, nonhuman primates must be removed, unless the enclosure is large enough to ensure the animals will not be harmed, wetted, or distressed in the process. Perches, bars, and shelves must be kept clean and replaced when worn. If the species of the nonhuman primates housed in the primary enclosure engages in scent marking, hard surfaces in the primary enclosure must be spot-cleaned daily.

You failed to remove nonhuman primates from their primary enclosure when it was being cleaned. Three young (approximately 3 month old) baboons identified as Valor, identification number 13114, Terk, identification number 13014, and Ebenezer, identification number 12614, were completely soaked with water following cleaning of their primary enclosure. One baboon was on the floor shivering and clearly distressed.

The penalty for the alleged violation(s) described above is \$19,143.