

## **Additional Supporting Documents**

- 19) April 10, 2013 letter from NIDCD Chief Grants Management Officer (GMO) to UW Director of Research and Sponsored Programs suspending invasive animal activities

April 10, 2013

Name

Title

The University of Wisconsin-Madison  
21 N. Park St., Room #  
Madison, WI 53715-1218

Subject: Suspension of invasive research animal activities for grant award number R01-DC07177

Dear Name

The National Institute on Deafness and other Communication Disorders (NIDCD), National Institutes of Health (NIH), in concert with the NIH Office of Laboratory Animal Welfare (OLAW) has evaluated the status of the live vertebrate animal use on grant R01-DC07177, entitled "*Behavioral and Physiological Studies of Sound Localization*." It has been determined that, in the interest of animal welfare and the protection of research quality, any and all invasive animal activities must be suspended. The purpose of this letter is to formally notify the University of Wisconsin-Madison that NIH is implementing a special award condition suspending all invasive animal activities on the award referenced above.

Effective immediately, in accordance with 45 CFR 74.14 and the PHS Policy on Humane Care and Use of Laboratory Animals, the NIDCD suspends all invasive activities involving live vertebrate animals for grant number R01-DC07177 including, but not limited to: electrophysiological recordings; implantation or placement of instrumentation into or onto animals; the collection of biological samples from animals; and the sedation or anesthetization of animals. This suspension will be in effect until such time that OLAW determines that the University of Wisconsin-Madison's corrective actions are adequate. Suspension of these activities precludes the charging of associated costs to this award during the period of suspension; such costs are unallowable. This suspension may only be lifted in writing via a Revised Notice of Grant Award. This suspension does not apply to normal manipulation of animals in order to maintain instrumentation, specialized animal behavioral training, or general health and welfare.

A revised Notice of Award will be issued to include the following special award condition:

**Suspension of Invasive Activities in Live Vertebrate Animal Research: UNDER GOVERNING POLICY AND REGULATION, FEDERAL FUNDS ADMINISTERED BY THE PUBLIC HEALTH SERVICE (PHS) FOR GRANT R01 DC07177 SHALL NOT BE EXPENDED FOR INVASIVE ACTIVITIES INVOLVING LIVE VERTEBRATE ANIMALS WITHOUT PRIOR APPROVAL BY THE OFFICE OF LABORATORY ANIMAL WELFARE (OLAW) AS AUTHORIZED BY THE PHS POLICY ON HUMANE CARE AND USE OF LABORATORY ANIMALS.** These activities will remain suspended until such time that OLAW determines that the University of Wisconsin-Madison has taken adequate corrective actions and a revised Notice of Award is issued lifting this restriction. Costs to the University of Wisconsin-Madison resulting from obligations incurred during this period of suspension are not allowable unless expressly authorized by the NIDCD. This suspension does not apply to normal manipulation of animals in order to maintain instrumentation, specialized animal behavioral training, or general health and welfare. Failure to adhere to this requirement may result in enforcement actions as described in 45 CFR 74.62 and in the NIH Grants Policy Statement.

Congruent with this suspension, the University of Wisconsin-Madison is required to acknowledge by Monday, April 15, 2013, that it will comply with this requirement. This acknowledgment of receipt and agreement to adhere to the

suspension of invasive animal activities (as described above) should be signed by the appropriate official at the University of Wisconsin-Madison and sent to me as an email attachment in .pdf format.

If you have any questions, please contact me by telephone or by email.

Sincerely,

[Redacted] Name

[Redacted] Name

[Redacted] Title

Division of Extramural Activities

NIDCD, NIH

Tel: [Redacted] Telephone # Fax: [Redacted] Telephone #

email: [Redacted] Name @mail.nih.gov

Cc: Tom C.T. Yin, Ph.D., Principal Investigator, UWI-Madison;

[Redacted] Name

[Redacted] Title

[Redacted] UWI-Madison;

[Redacted] Name

[Redacted] Title

[Redacted] UWI-Madison;

[Redacted] Name

NIDCD; Axel Wolff, M.S., D.V.M., OLAW, NIH

**Wolff, Axel (NIH/OD) [E]**

---

**From:** [Name] (NIH/NIDCD) [E]  
**Sent:** Thursday, April 11, 2013 8:06 AM  
**To:** [Name] @rsp.wisc.edu; [Name] @rsp.wisc.edu; [Name] @rsp.wisc.edu; tcyin@wisc.edu  
**Cc:** Wolff, Axel (NIH/OD) [E]; [Name] (NIH/NIDCD) [E]  
**Subject:** Grant Number: 5R01DC007177 - 09 PI Name: Yin , Tom C.T.  
**Attachments:** DC07177.pdf

[Name] [Name] [Name] and Dr. Yin,

Attached, please a letter that suspends all invasive activities involving live vertebrate animals on the grant referenced above. In addition, a revised Notice of Award will be issued placing a restriction on the involvement of all invasive live vertebrate animals. If you have any questions, please contact me by telephone or through email.

Sincerely,

[Name]  
[Title]  
DIVISION of Extramural Activities  
NIDCD, NIH  
Executive Plaza South, Room 400B  
6120 Executive Blvd., MSC 7180  
Bethesda, MD 20892-7180  
(20852 for express mail)  
Tel: [Telephone #]  
Fax: [Telephone #]  
email: [Name] @mail.nih.gov

NIH is in the process of converting to SF424 (Research and related [R&R]) forms and electronic submission through Grants.gov. Information on this plan and on registering for electronic submission is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-067.html>. Updates regarding the transition process are at <http://era.nih.gov/ElectronicReceipt/>.

**Wolff, Axel (NIH/OD) [E]**

---

**From:** [Redacted] NIH/OD) [C]  
**Sent:** Monday, January 07, 2013 9:17 AM  
**To:** Wolff, Axel (NIH/OD) [E]  
**Subject:** FW: University of Wisconsin

FYI

---

**From:** [Redacted] (NIH/NIDCD) [E]  
**Sent:** Monday, January 07, 2013 9:16 AM  
**To:** [Redacted] NIH/OD) [C]  
**Subject:** RE: University of Wisconsin

Hi [Redacted]

Thank you for a copy of the letter. It is good to have an update of where this issue currently stands. I look forward to another update after the University of Wisconsin responds to the new questions from Dr. Wolff.

Best Regards,

[Redacted]

\*\*\*\*\*

[Redacted] Name

[Redacted] Title

NIDCD, NIH  
EPS- [Redacted] Room #  
6120 Executive Blvd. MSC 7180  
Bethesda, MD 20892-7180  
(20852 for express courier service)

Te [Redacted] Telephone #  
Fax: [Redacted] Telephone #  
E- mailto: [Redacted] Name @nih.gov

**NIDCD**

National Institute on Deafness  
and Other Communication Disorders

---

**From:** [Redacted] NIH/OD) [C]  
**Sent:** Friday, January 04, 2013 4:33 PM  
**To:** [Redacted] Name (NIH/NIDCD) [E]  
**Subject:** Re: University of Wisconsin

Good afternoon [Redacted] Name

Attached is the letter from Dr. Axel Wolff to the University of Wisconsin.  
Let us know if we can be of further assistance.

Thank you,