



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

July 1, 2020

Re: Animal Welfare Assurance
A3248-01 [OLAW Case 1R]

Dr. Elizabeth Cantwell
Senior Vice President for Research
University of Arizona Health Sciences Center
P.O. Box 210066
Tucson, AZ 85721-0066

Dear Dr. Cantwell,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your June 20, 2020 letter reporting an incident of noncompliance with the PHS Policy on the Humane Care and Use of Laboratory Animals at the University of Arizona. Your letter supplements the preliminary report submitted on November 25, 2019. According to the information provided it is understood that on September 30, 2019 a PI used an unapproved drug and euthanasia method on a protocol involving mice. The PI voluntarily halted the activity. It was stated that the animal(s) were assigned to a PHS-funded activity.

The corrective and preventive actions consisted of the PI describing corrective measures that had been implemented to prevent recurrence of an incident of this nature. The measures included informing all research staff of the IACUC's requirement for securing approval for all procedures prior to work involving animals, as well as retraining of staff to ensure knowledge of protocol procedures. The PI assured the IACUC that all research staff will from now on carefully review and adhere to approved study protocols.

OLAW believes that the corrective and preventive measures put in place by the University of Arizona are consistent with the provisions of the PHS Policy on Humane Care and Use of Laboratory Animals. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

(b) (6)

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

cc: IACUC contact



THE UNIVERSITY OF ARIZONA
Research
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6/19/20

Division of Compliance Oversight
Office of Laboratory Animal Welfare (OLAW)
National Institutes of Health
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, MD 20892

Dear Dr. Morse,

The University of Arizona, in accordance with Assurance D16-00159 (A3248-01) and PHS Policy IV.F.3., provides this report of PI use of an unapproved drug and euthanasia method. This incident occurred on September 30, 2019.

The following corrective action plan was implemented after the incident:

- The PI voluntarily halted the activity
- The PI submitted correspondence to the IACUC, dated 12/6/19, expressing regret for the noncompliance incident and that the use of an unapproved drug and euthanasia method was an oversight.
- The PI described corrective measures that had been implemented to prevent recurrence of an incident of this nature. The measures included informing all research staff of the IACUC's requirement for securing approval for all procedures prior to work involving animals, as well as retraining of staff to ensure knowledge of protocol procedures
- The PI assured the IACUC that all research staff will from now on carefully review and adhere to approved study protocols.

At their meeting on 12/9/2019, the IACUC approved the corrective action plan implemented by the PI.

The University of Arizona is committed to protecting the welfare of animals used in research and appreciates the guidance and assistance provided by OLAW in this regard. Should you have any questions regarding this case, please contact (b) (6) or ORCR-IACUC@email.arizona.edu.

Thank you for your consideration of this matter.

Sincerely,

(b) (6)

Elizabeth R Cantwell, PhD
Senior Vice President, Research and Innovation
Institutional Official
The University of Arizona

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Monday, June 22, 2020 8:26 AM
To: ORCR iacuc
Subject: RE: UA Final Report - Incident dated 9/30/19

Follow Up Flag: Follow up
Flag Status: Flagged

Thank you for this report (b) (6) I will send an official response soon.

Best regards, Brent Morse

Brent C. Morse, DVM, DACLAM
Director
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health

Please note that this message and any of its attachments are intended for the named recipient(s) only and may contain confidential, protected or privileged information that should not be distributed to unauthorized individuals. If you have received this message in error, please contact the sender.

From: ORCR iacuc <ORCR-IACUC@email.arizona.edu>
Sent: Monday, June 22, 2020 2:08 AM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Subject: UA Final Report - Incident dated 9/30/19

Good morning Dr. Morse,

Please find attached the final report from the University of Arizona, regarding the incident we discussed last week, which occurred on 9/30/19.

Don't hesitate to contact me with any other questions or concerns.

Thank you!

(b) (6)



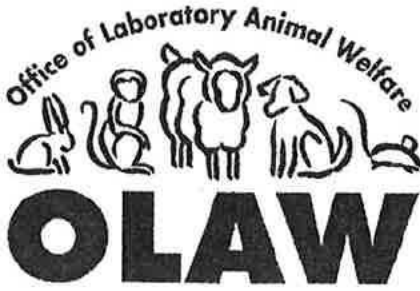
IACUC staff is currently working remotely and may be experiencing longer than usual processing and response times. Thank you for your patience!

Morse, Brent (NIH/OD) [E]

From: Cisco Unity Connection Messaging System <unityconnection@unity.nih.gov>
Sent: Tuesday, June 16, 2020 12:11 PM
To: morseb@unity.nih.gov
Subject: Message from Unknown sender (b) (6)
Attachments: VoiceMessage.wav

Categories: ViewMail

"Hi Brent my name is (b) (6) I am calling from the University of Arizona. I can be reached at area code (b) (6) (b) (6) that's my cell phone. I'm returning your call to (b) (6) He's no longer with University so we're we kinda took over his responsibilities. I'm not sure which non-compliance you're talking about. If you could give me a call back that be great and I'd be happy to figure it out. Again my number is (b) (6) and my name is (b) (6) fro..." "Hi Brent my name is (b) (6) I am calling from the University of Arizona. I can be reached at area code (b) (6) that's my cell phone. I'm returning your call to (b) (6) He's no longer with University so we're we kinda took over his responsibilities. I'm not sure which non-compliance you're talking about. If you could give me a call back that be great and I'd be happy to figure it out. Again my number is (b) (6) and my name is (b) (6) fro..."



Division of Compliance Oversight

Record of Call for Case # A3248-1R

Date & Time	Message	Initials
6/3/20 8:35	Called + left message for (b) (6)	(b) (6)



Initial Report of Noncompliance

By: (b) (6)

Date: 11/25/19

Time: 11:00

Name of Person reporting: (b) (6)

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: U of ArizonaAssurance number: A3248Did incident involve PHS funded activity? Yes

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

Unapproved activity on protocol. Unapproved anesthesia + euthanasia. New person on protocol, not familiar w/ activities.

Species involved: *Mouse*Personnel involved: *Technician*

Dates and times:

Animal deaths:

Projected plan and schedule for correction/prevention (if known): _____

Retrain, know activities on protocol

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____