



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 10, 2020

Re: Animal Welfare Assurance
#A3596-01 (OLAW Case 3J)

Dr. Harry Orf
Senior Vice President for Research
Massachusetts General Hospital
(b) (4) 55 Fruit Street
Boston, MA 02114

Dear Dr. Orf,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your response to our request for additional information dated June 29, 2020. We appreciate your detailed update.

Based on your letter, OLAW understands that:

- The rodent surgery flip chart tool is ready for beta testing, which will be carried out over the next few weeks.
- Your institution plans to hire additional compliance staff as soon as permission to do so is granted.
- Your institution has initiated a Research Animal User Group with representatives from each laboratory. The purpose of this group is to educate laboratories on appropriate animal care and use, and the first meeting was held in June.

OLAW concurs with the actions taken by your institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals. We commend your institution for continuing to evaluate and improve your compliance program in the spirit of self-regulation, despite the current pandemic. Please contact our office if the corrective actions are not carried out as described. We appreciate having been informed of this matter and at this time find no cause for further action by this Office.

Sincerely,

Nicolette A.
Petervary -S

Digitally signed by Nicolette A.
Petervary -S
Date: 2020.07.10 17:33:51 -04'00'

Nicolette Petervary, VMD, DACAW
Animal Welfare Policy Specialist
Office of Laboratory Animal Welfare

cc: IACUC Contact



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FOR EXPRESS MAIL:

Office of Laboratory Animal Welfare
6700B Rockledge Drive, Suite 2500
Bethesda, Maryland 20817
Telephone: (301) 496-7163
Facsimile: (301) 402-7065

December 20, 2019

Re: Animal Welfare Assurance
#A3596-01 (OLAW Case 3J)

Dr. Harry Orf
Senior Vice President for Research
Massachusetts General Hospital
(b) (4) 55 Fruit Street
Boston, MA 02114

Dear Dr. Orf,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your response to our request for additional information dated December 17, 2019. We appreciate your detailed response to our concerns.

We particularly wish to commend you on your thorough semiannual inspections, which uncovered some issues related to surgical procedures, your innovative survival surgery flipchart tool, and your commitment to hiring additional personnel for post approval monitoring. We understand that such initiatives take time to develop and implement. For this reason, we are asking that your institution provide an update on this program in six months.

In the update please address:

- Any patterns of non-compliance identified by the PAM Program, if applicable, and any new proposed corrective measures to prevent recurrence.
- Any assessments of the effectiveness of the new initiatives described in your December 17, 2019 letter
- Any new initiatives proposed (either through the PAM program or other means) to deal with serious, programmatic, recurring or widespread noncompliance

Please provide this update to OLAW no later than June 30, 2020 by emailing olawdco@mail.nih.gov and sending a copy to nicolette.petervary@nih.gov. Please also continue to promptly report any reportable noncompliance as it occurs. We appreciate your prompt and thoughtful responses and look forward to the continued development of your initiatives and your future update.

Sincerely,

(b) (6)

Nicolette Petervary, VMD, DACAW
Animal Welfare Policy Specialist
Office of Laboratory Animal Welfare

cc: IACUC Contact



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Telephone: (301) 496-7163
Facsimile: (301) 402-7065

November 22, 2019

Re: Animal Welfare Assurance
#A3596-01 (OLAW Case 3J)

Dr. Harry Orf
Senior Vice President for Research
Massachusetts General Hospital
(b) (4) 55 Fruit Street
Boston, MA 02114

Dear Dr. Orf,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your letter dated November 19, 2019 regarding noncompliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals at Massachusetts General Hospital. This letter had not been preceded by a preliminary report to OLAW.

According to the information provided, our office understands that a researcher left a rat unattended during a terminal procedure on September 11, 2019. In addition, the surgery took place in an unapproved area. The compliance officer who found the unattended animal stayed with it for approximately ten minutes until the researcher returned. There were no welfare issues associated with the noncompliance. This rat was not part of a PHS-funded study. The issue was promptly reported to the Institutional Animal Care and Use Committee (IACUC), and on 9/20/19 the compliance officer and facility veterinarian met with the Principal Investigator (P.I.) to review the incident. At that time, it was discovered that the cage cards for animals had been filled out with incorrect protocol numbers.

After subcommittee review and discussion at a convened meeting, the IACUC approved corrective measures that included a requirement that the PI discuss the incident with the laboratory members and retrain them on the IACUC's anesthesia and analgesia policy, as well as ensure that surgeries are conducted in approved areas as per the IACUC approved protocol. All protocol members were retrained on rodent anesthesia and the P.I. and staff were counseled regarding recordkeeping. An amendment was submitted to add three surgery locations to the protocol, which is currently being reviewed by the IACUC.

OLAW appreciates your institution's commendable philosophy of self-reporting noncompliances with the PHS policy. However, in the past year, your institution has submitted ten self-reports involving surgery, anesthesia or pre and post-surgical issues. Examples include issues with aseptic technique, post-operative monitoring and analgesia, improper anesthesia, and unapproved surgeries. As a result, OLAW has concerns that these issues are not sporadic isolated events, that past corrective actions are not effective in preventing recurrence, and that the problem may be programmatic in nature. The institution may wish to consider re-evaluating past corrective measures and design institution-wide corrective plans to address these recurrent noncompliances.

Please provide additional information on:

- Your institution's surgical and anesthetic training program, including didactic and hands on training, refresher training if applicable, verification of training and evaluation of competency.
- Post approval monitoring of anesthesia and surgery
- A summary of past corrective actions, and any planned corrective measures

In addition, please include a copy of your institutions most recent semi-annual facility inspection and program evaluation.

Please provide these materials to OLAW no later than **December 30, 2019** by emailing olawdco@mail.nih.gov and carbon copying nicolette.petervary@nih.gov. We appreciate being informed of these matters and look forward to your response.

Sincerely,

(b) (6)

Nicolette Petervary, VMD, DACAW
Animal Welfare Policy Specialist
Office of Laboratory Animal Welfare

cc: IACUC Contact

A3596-3J



MASSACHUSETTS
GENERAL HOSPITAL

RESEARCH INSTITUTE



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E-mail: horf@mgh.harvard.edu

Harry W. Orf, Ph.D.
*Senior Vice President for Research
Massachusetts General Hospital
Principal Associate in Genetics
Harvard Medical School*

November 19, 2019

Brent Morse, DVM
Acting Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
Rockledge 1, Room 3615, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7982

Subject: Serious noncompliance with PHS Policy
Institution: The Massachusetts General Hospital
Animal Welfare Assurance #: D16-00361 (A3596-01)

Dear Dr. Morse:

This letter is to provide you with a full explanation of the circumstances and actions taken by the Massachusetts General Hospital (MGH) Institutional Animal Care and Use Committee (IACUC) as required by Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy) Section IV.F.3 following an incident that occurred. The incident was determined by the IACUC to constitute serious noncompliance with PHS Policy and is therefore reportable.

The incident involved a single rat undergoing a coronary artery ligation procedure. The animal was left unattended while anesthetized and the surgery was conducted in a room not yet approved by the IACUC for that purpose, which is inconsistent with institutional policy. This incident was identified on 9/11/19 and reported to the IACUC immediately. The individual reporting the incident and the IACUC Compliance officer stayed with the animal until the researcher returned within about ten minutes. The researcher completed the terminal procedure with no complications. The IACUC Compliance Officer and Facility Veterinarian met with the Principal Investigator on 9/20/19 to review the incident. The PI took full responsibility for the incident. During the investigation it was also found that the animals had the incorrect protocol number on the cage card.

A compliance subcommittee of the IACUC reviewed the event on 10/3/19 and the convened IACUC reviewed the event at its monthly meeting on 10/16/19. The IACUC approved the following corrective actions to prevent a recurrence:

- The PI held a meeting with all laboratory members to discuss the incident. The meeting included review of the *IACUC Policy on Anesthesia and Analgesia*, emphasis on the importance of attending/observing animals continuously during anesthesia, and review of the IACUC expectation that surgical procedures are to be conducted only in the areas identified on the approved protocol.
- All protocol staff members were retrained and repeated the CITI Rodent Anesthesia course.
- An amendment has been submitted to add to the protocol 3 locations where surgical procedures can be performed. The spaces are undergoing review as per IACUC standard operating
- The PI and staff were counseled that animals must be held under and debited against the correct protocol.

No PHS/NSF funds were implicated in this matter.

The Massachusetts General Hospital 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 report, please contact me at your convenience.

Sincerely,

(b) (6)

Harry W. Orf, PhD
Senior Vice President for Research
Institutional Official
The Massachusetts General Hospital

cc: W. Zapol MD, Chair, Institutional Animal Care and Use Committee
cc: A. Clancy PhD, Director, Animal Welfare Assurance
cc: D. Jarrell DVM, Attending Veterinarian and Director, Center for Comparative Medicine

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, November 20, 2019 8:09 AM
To: Clancy, Anne
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Report of Serious Noncompliance with PHS Policy_Massachusetts General Hospital_AWA # D16-00361 (A3596-01)

Thank you for this report, Dr. Clancy. We will send a response soon.

Axel Wolff, M.S., D.V.M.
Deputy Director, OLAW

From: Clancy, Anne <ACLANCY1@mgh.harvard.edu>
Sent: Tuesday, November 19, 2019 1:51 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Orf, Harry W., Ph.D. <HORF@mgh.harvard.edu>; Jarrell, Donna M. <DJARRELL@mgh.harvard.edu>
Subject: Report of Serious Noncompliance with PHS Policy_Massachusetts General Hospital_AWA # D16-00361 (A3596-01)

Dear Dr. Morse,
Please find attached a report submitted on behalf of Dr. Harry Orf, Senior Vice President for Research and Institutional Official, The Massachusetts General Hospital, in accordance with PHS Policy IV.F.3.

Please let me know if you have any questions or require additional information.

Kind regards,
Anne Clancy

Anne Clancy, PhD | Director, Animal Welfare Assurance
Phone: (b) (6)
Fax: (b) (6)
aclancy1@mgh.harvard.edu

For 24/7 assistance with critical research matters, call 617-726-HOW2 (4692)

Have an idea or a suggestion on how we can improve? Please submit a suggestion to [Isuggest](#) !
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