



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

April 30, 2021

Re: Animal Welfare Assurance
A3439-01 [OLAW Case Q]

Dr. Rodolfo Torres
Vice Chancellor for Research and
Economic Development
University of California-Riverside
900 University Ave, (b) (4) University
Office Building
Riverside, CA 92501

Dear Dr. Torres,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your letter dated April 21, 2021 reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of California, Riverside. Your letter supplements the information in the prompt, preliminary telephone report on March 17, 2021. According to the information provided, OLAW understands that during the March 11, 2021 IACUC semiannual inspection, survival surgeries on a mouse were observed being performed in the PI's laboratory. The protocol did not include approval to perform surgeries in the lab. In addition, aseptic technique was not followed, the animal was recovering without a heating source, and the secondary container for diluted analgesic drug was not properly labeled. This activity was PHS supported.

Corrective and preventive actions included the PI agreeing to voluntarily cease all surgeries until a detailed remediation plan was submitted and the laboratory staff were retrained in proper surgical technique. The remediation plan was accepted by the IACUC.

OLAW appreciates the prompt consideration of this matter by the University of California, Riverside, which was consistent with the philosophy of institutional self-regulation. Based on the information provided, OLAW is satisfied that appropriate corrective measures have been put in place. Please be sure that no charges are made to the grant for unapproved procedures. We appreciate being informed of this matter and find no cause for further action by this office.

Sincerely,

Brent C. Morse -S Digitally signed by Brent C. Morse -S
Date: 2021.04.30 11:15:35 -04'00'

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

cc: IACUC contact

A3439-Q

April 21, 2021

Brent Morse, DVM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare (OLAW)
National Institutes of Health

Dear Dr. Morse,

This letter is to formally report a situation involving vertebrate research noncompliance at the University of California, Riverside. Our PHS Assurance number is D16-00278. PHS funding, NIH grant R01HD091167, was involved.

During the March 11, 2021 IACUC semiannual inspection, survival surgeries were observed being performed in the PI's laboratory as part of a training exercise. The protocol did not include approval to perform surgeries in the lab. In addition, aseptic technique was not followed, the animal was recovering without a heating source, and the secondary container for diluted analgesic drug was not properly labeled.

The IACUC had a preliminary discussion of this noncompliance at its convened meeting on March 15, 2021. It was determined that the chair, vet, and IACUC office staff would meet with the PI to investigate the issue and ascertain the details for further review by the IACUC.

The meeting with the PI occurred on March 16, 2021. The PI agreed to voluntarily cease all surgeries until she submitted a detailed remediation plan and the laboratory staff were retrained in proper surgical technique. The remediation plan was reviewed by the IACUC chair and attending veterinarian and deemed appropriate.

The thorough investigation was followed by a final review and discussion at the April 19, 2021 convened meeting of the IACUC. The committee determined that though a noncompliance with animal welfare impact had occurred, the appropriate steps had been taken to investigate and rectify the situation to prevent a reoccurrence, and no further actions were needed.

Please do not hesitate to contact me if you need additional information.

Sincerely,

(b) (6)

Dr. Rodolfo H. Torres
Vice Chancellor
Research and Economic Development (RED)

Morse, Brent (NIH/OD) [E]

From: Morse, Brent (NIH/OD) [E]
Sent: Tuesday, April 27, 2021 12:25 PM
To: (b) (6)
Subject: RE: Report from University of California, Riverside, is D16-00278

Thank you for this report, (b) (6) We 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

From: (b) (6)
Sent: Tuesday, April 27, 2021 12:10 PM
To: Morse, Brent (NIH/OD) [E] <morseb@mail.nih.gov>
Subject: FW: Report from University of California, Riverside, is D16-00278

Dear Dr. Morse,

Please see the attached letter with the final report of the incident reported on 3/17/2021. Please do not hesitate to contact me if you need additional information.

Sincerely,

(b) (6)

(b) (6)



Initial Report of Noncompliance

By: BCM

Date: 3/17/2021

Time: Voicemail

Name of Person reporting: (b) (6)

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Univ. of Cal. Riverside

Assurance number: A3439

Did incident involve PHS funded activity? yes

Funding component:

Was funding component contacted (if necessary):

What happened? Found during S/A inspection.

Researchers performed unapproved surgery. Did not follow SOPs or use aseptic technique.

Species involved: mus musculus

Personnel involved: Researcher

Dates and times: 2017 - 2019

Animal deaths: No

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

Projected submission to OLAW of final report from Institutional Official:

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Case #