



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) 402-7065

January 4, 2022

Re: Animal Welfare Assurance
#A4148-01 (OLAW Case L)

Dr. Jeffrey A. Lieberman
Director
New York Presbyterian Hospital,
Columbia University Medical Center,
1051 Riverside Drive, (b) (4)
New York, New York 10032

Dear Dr. Lieberman,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your November 30, 2021 letter regarding an incident of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the New York State Psychiatric Institute. According to the information provided, OLAW understands that in February 2020 an unapproved pilot study on feral rats was conducted. The study involved 8 rats studied in 25 sessions, over about 15 days, as rats were retrapped. Traps were placed in the late afternoon, and then inspected the following morning. Feral rats were briefly anesthetized with isoflurane for RFID placement, observed in an open-field arena and then released at the location where they were trapped. No adverse events involving the rats, nor the investigators, were reported. The studies did not involve NIH support.

The following corrective actions were taken:

- 1, The investigator was advised that all animal studies conducted at NYSPI require NYSPI IACUC review and approval. The Investigator acknowledged that she had made a mistake, and that she would seek NYSPI IACUC approval for any further studies with feral rats at NYSPI.
2. The Chief of Developmental Neuroscience was informed of this non-compliance incident (by an Investigator in his Department).
- 3, Going forward, the Director of Laboratory Safety and the Chief of Safety (Security) will check that locations have been approved for animal work by the NYSPI IACUC prior to providing key or card-key access to investigators conducting animal studies at NYSPI.

The consideration of this matter by New York State Psychiatric Institute was consistent with the philosophy of institutional self-regulation. Similarly, the actions taken to resolve the issue and prevent recurrence were appropriate. We appreciate being informed of this matter and find no cause for further action by this office at this time.

Page 2 – Dr. Lieberman
January 4, 2022
OLAW Case A4148-L

Sincerely,

Brent C. Morse -S

Digitally signed by Brent C.
Morse -S

Date: 2022.01.04 09:39:55 -05'00'

Brent C. Morse, DVM

Director

Division of Compliance Oversight

Office of Laboratory Animal Welfare

cc: IACUC contact

Dr. Robert M. Gibbens, USDA, APHIS, AC



JEFFREY A. LIEBERMAN, M.D.

LAWRENCE C. KOLB PROFESSOR AND CHAIRMAN
COLUMBIA UNIVERSITY DEPARTMENT OF PSYCHIATRY
DIRECTOR, NEW YORK STATE PSYCHIATRIC INSTITUTE

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November 30, 2021

Axel Wolff, DVM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
Rockledge 1, Suite 360
6705 Rockledge Drive
Bethesda, MD 20892

Dear Dr. Wolff:

The New York State Psychiatric Institute (NYSPI), in accordance with Assurance A4148-01 and PHS Policy IV.F.3., provides this report of noncompliance regarding an incident in February 2020 involving the conduct of a pilot study on feral rats that was neither reviewed nor approved by the NYSPI IACUC.

On July 12, 2021, a NYSPI Principal Investigator in the Department of Developmental Neuroscience gave a seminar presentation in which she described studies conducted on feral rats, in the NYSPI parking garage. Dr. Stephen Rayport, NYSPI IACUC Chair, who attended the seminar, advised the Investigator that such studies require approval by the NYSPI IACUC, and that she should cease immediately.

A subcommittee of the NYSPI IACUC was convened to investigate the incident. The Subcommittee interviewed the Investigator and the Director of Laboratory Safety. The Investigator confirmed that she and associates conducted these studies in February 2020. The studies were supported by her startup package, and did not involve NIH support. The Deputy Director for Administration and the Director of Laboratory Safety had accorded the Investigator NYSPI Building Approval to capture feral rats on the NYSPI grounds and in the NYSPI basement levels, and to study the rats with the understanding that the studies would be conducted in a specially equipped mobile laboratory vehicle. The Subcommittee interviewed the Director of Laboratory Safety, who confirmed that the Investigator had received Building Approval to capture feral rats on the NYSPI grounds and in the NYSPI Pardes Building basement levels, but not for studies outside of the planned vehicle, nor elsewhere at NYSPI.

The Investigator and staff performed the studies on two laboratory carts that were wheeled for each study day from the investigator's laboratory on NYSPI (b)(4) via the service elevator to curtained-off alcoves in the parking garage (b)(4). The study involved 8 rats studied in 25 sessions, over about 15 days, as rats were re-trapped. Traps were placed in the late afternoon, and then inspected the following morning. Feral rats in the traps were carried in the traps into the garage, where they were briefly anesthetized with isoflurane for RFID placement, observed in an open-field arena and then released at the location where they were trapped. The laboratory carts and equipment were sanitized after each use, in the garage, before being returned to Investigator's laboratory. Staff involved in studying the feral rats did not go to NYSPI animal areas on the same day. No adverse events involving the rats nor the investigators were reported.

On Sept. 29, 2021, the Subcommittee reported the findings to the NYSPI IACUC. The decision was reached that this constituted an incident of non-compliance, and to inform the Director and Deputy Director for Research. On Nov. 5, 2021,

DEPARTMENT OF PSYCHIATRY, COLUMBIA UNIVERSITY COLLEGE OF PHYSICIANS & SURGEONS
NEWYORK-PRESBYTERIAN/COLUMBIA UNIVERSITY MEDICAL CENTER
NEW YORK STATE PSYCHIATRIC INSTITUTE

the Chair of the IACUC and the Director of Laboratory Safety met with the investigator to obtain further details regarding the scope of the study, and to confirm that no more invasive procedures were conducted: Specifically, no minipumps were implanted; no drugs were administered; no rats entered NYSPI (beyond the garage). The Investigator had considered the NYSPI garage as not being inside the NYSPI building, as it is open to the outside.

The following corrective actions were taken:

1. The investigator was advised that all animal studies conducted at NYSPI, including in the garage, require NYSPI IACUC review and approval. The Investigator acknowledged that she had made a mistake, and that she would seek NYSPI IACUC approval for any further studies with feral rats at NYSPI.
2. The Chief of Developmental Neuroscience was informed of this non-compliance incident (by an Investigator in his Department).
3. Going forward, the Director of Laboratory Safety and the Chief of Safety (Security) will check that locations have been approved for animal work by the NYSPI IACUC prior to providing key or card-key access to investigators conducting animal studies at NYSPI.

NYSPI 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 Dr. Stephen Rayport, NYSPI IACUC Chair.

Thank you for your consideration of this matter.

Sincerely,

(b) (6)

Jeffrey Lieberman, MD
Institutional Official
Director, NYSPI

cc:

Dr. Stephen Rayport, IACUC Chair
Dr. Moshe Shalev, Attending Veterinarian, Director of Comparative Medicine

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, December 3, 2021 7:09 AM
To: Rayport, Stephen (NYSPI)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident of IACUC non-compliance at NYSPI

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

Axel Wolff

From: Rayport, Stephen (NYSPI) <Stephen.Rayport@nyspi.columbia.edu>
Sent: Wednesday, December 1, 2021 2:41 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Director's Office <Director@nyspi.columbia.edu>; Shalev, Moshe (NYSPI) <Moshe.Shalev@nyspi.columbia.edu>
Subject: Incident of IACUC non-compliance at NYSPI

Dear Dr. Wolff,

Please see the attached letter from Dr. Jeffrey Lieberman, NYSPI IO, regarding an incident of IACUC non-compliance at NYSPI.

Sincerely,

Stephen Rayport, MD PhD

Chair, NYSPI IACUC

Research Psychiatrist/Scientist, Molecular Therapeutics
New York State Psychiatric Institute

Professor of Neurobiology in Psychiatry
Columbia University

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