



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

August 1, 2022

Re: Animal Welfare Assurance
A3248-01 [OLAW Case 2B]

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

Dear Dr. Cantwell,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 15, 2022 letter reporting an incident of an adverse event within the animal care and use program at the University of Arizona. Your letter supplements the preliminary report submitted on November 5, 2021. According to the information provided it is understood that on November 1, 2021, the IACUC was informed that Mexican Free-tailed Bats ("MFT") were being hand fed when one escaped from the hand, flew to the ground, and hid. The bat was thought to be under a wheeled shelving unit, however when moving the shelf to retrieve the bat, it was discovered that the bat had hidden in the wheel mechanism and was crushed. The bat was euthanized. NIH funds were not used for this project.

Corrective and preventive actions:

Additional robust scientific justification for the continued use of the MFT bat species, over another species such as Big Brown Bats was developed; updates were made to feeding procedures to ensure two individuals are present to handle bats and prevent escapes; updates were made to the room to remove any hiding places and potential, previously unseen hazards; established specific milestones to assist in determining appropriateness of the use of the species; additional training for all protocol staff specific to the MFT species was implemented. An amendment describing the refinements to husbandry and handling procedures was approved by the IACUC.

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,

**Brent C.
Morse -S**

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

Digitally signed by Brent C.
Morse -S
Date: 2022.08.01 10:30:10
-04'00'

cc: IACUC contact

McCoy, Devora (NIH/OD) [E]

From: McCoy, Devora (NIH/OD) [E]
Sent: Monday, August 1, 2022 10:54 AM
To: ecantwell@email.arizona.edu
Cc: OLAW Division of Compliance Oversight (NIH/OD); konhilas@arizona.edu
Subject: OLAW Case A3248-2B
Attachments: A3248-2B.pdf

Follow Up Flag: Follow up
Flag Status: Flagged

Good morning Dr. Cantwell,

Attached please find Dr. Morse's final response to OLAW Case A3248-2B. If you have any questions, feel free to contact us by phone or by e-mail.

Best,
Devora

Devora McCoy, BS, MBA
Program Analyst
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
301-435-2390



THE UNIVERSITY OF ARIZONA

Research

Innovation & Impact

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July 15, 2022

Axel Wolff, MS, DVM
Deputy Director, 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. Wolff,

The University of Arizona, in accordance with Assurance D16-00159 (A3248-01) and PHS Policy IV.F.3., provides the report of multiple accidental death of bats. The first incident was first reported to OLAW, on 11/5/21 via a telephone call by the Assistant Director of the IACUC.

On 11/1/21 the IACUC Program was informed by the AV that a Mexican Free-tailed Bat ("MFT") was crushed by a shelving unit during feeding. The PI voluntarily halted activity with the MFT while the AV and IACUC investigated the situation.

MFT bats were being hand fed when one escaped from the hand, flew to the ground, and hid. The bat was thought to be under a wheeled shelving unit, however when moving the shelf to retrieve the bat, it was discovered that the bat had hidden in the wheel mechanism and was crushed. The bat was euthanized.

The IACUC discussed the incident on 11/4/21 and requested corrective actions from the PI.

The IACUC determined that this may be, while not an ongoing failure, a question of species appropriateness for the work.

NIH funds were not used.

The following corrective action plan was implemented after the incident:

- Additional robust scientific justification for the continued use of the MFT bat species, over another species such as Big Brown Bats was developed; updates were made to feeding procedures to ensure two individuals are present to handle bats and prevent escapes; updates were made to the room to remove any hiding places and potential, previously unseen hazards; established specific milestones to assist in determining appropriateness of the use of the species; additional training for all protocol staff specific to the MFT species was implemented.
- The PI met with a convened quorum of the IACUC on 11/4/21 to discuss his MFT research and captivity program. The PI expressed regret for the incident and was eager to implement changes

to his handling and husbandry procedures to ensure animal welfare. The PI also submitted correspondence to the IACUC, dated 11/8/21, expressing regret for the noncompliance incident and to verify the actions requested by the IACUC.

- The PI implemented all corrective measures requested by the IACUC.
- The IACUC approved the continued use of MFT bats provided the PI meet the requirements set.
- The PI submitted a request for an amendment describing the refinements to husbandry and handling procedures which was approved by the IACUC.

Discussion has been ongoing since this incident, and at their meeting on 6/13/22, the IACUC approved the corrective action plan implemented by the PI for this incident. Additional correspondence will be provided regarding the additional report started 6/6/22.

On 6/6/22, the AWP Assistant Director spoke with OLAW regarding this case and ongoing issues with MFT bats because since November 2021, the PI has had additional MFT bat deaths. The IACUC was concerned, not as a non-compliance issue, but as a concern of continued use of the species. Therefore, OLAW at that time, suggested that the initial report for the crushed bat be closed, and opened a new report started for the ongoing concerns, which was done over the phone at that time. The details of the second incident are noted below.

Due to the ongoing IACUC concerns, the IACUC consulted with outside experts on 6/3/22 regarding the capture, captivity, and use of MFT bats for research. It was discovered that high mortality for MFT kept in captivity is to be expected, with death for no apparent cause a frequent occurrence, and that a greatly increased animal density, and thus a significantly higher number of animals kept, is recommended. However, "perfect" husbandry and captive interior housing conditions are not possible, and high animal loss is still to be expected.

On 6/13/22, the during a convened quorum of IACUC members, new parameters based on this outside consultation were presented to the IACUC and together with the PI and AV, and are currently being implemented, including updates to light cycles, housing, and feeding procedures. The PI is also updating the animal use protocol to include the new expectations of increased animal loss numbers.

The IACUC does not view this as a programmatic failure.

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) (voicemail only) or ORCR-IACUC@email.arizona.edu.

Thank you for your consideration of this matter.

Sincerely,

(b) (6)

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

McCoy, Devora (NIH/OD) [E]

From: McCoy, Devora (NIH/OD) [E]
Sent: Friday, June 3, 2022 10:55 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: 2 Final reports needed

Good morning,

There are two preliminary reports that were sent to us in November 2021. The first, sent on 11/5, was regarding a bat that escaped during feeding and the other, sent on 11/30, was regarding a disconnected mouse rack. At your earliest convenience, can you please have the final reports for these two cases sent to us?

Thanks,

Devora McCoy, BS, MBA
Program Analyst
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
301-435-2390



Initial Report of Noncompliance

By: (b) (6)

Date: 11/5/21

Time: 200

Name of Person reporting: (b) (6)

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: U of ARIZONA

Assurance number: A3248

Did incident involve PHS funded activity? Yes

Funding component:

Was funding component contacted (if necessary):

What happened?

Bat escaped during feeding, hid in a wheel on rack, died

Species involved: Free-tail BAT

Personnel involved:

Dates and times:

Animal deaths: 1

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

Modify room

Reported to USDA

Projected submission to OLAW of final report from Institutional Official:

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Case #