


**From:** [REDACTED]   
**Subject:** Re: 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)  
**Date:** January 24, 2019 at 12:34 PM  
**To:** David Michael Faguy David.Faguy@nau.edu  
**Cc:** Nathan Christopher Nieto nathan.nieto@nau.edu

KF

Hi David and Nate, Attached are the 2017 and 2018 reports to OLAW. I'm not sure I understand why she is asking the below question given that inspection dates are reported in both reports.

Thank you,

[REDACTED]

[REDACTED]

Northern Arizona University  
Flagstaff, Arizona 86011-5640

---

**From:** [REDACTED]  
**Sent:** Thursday, January 24, 2019 12:26 PM  
**To:** David Michael Faguy  
**Cc:** Nathan Christopher Nieto; [REDACTED]  
**Subject:** 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)

Good afternoon Dr. Faguy,

We have received and reviewed your institution's 2018 Annual Report and have one area that requires clarification.

Could you please tell me if there was a semiannual program evaluation and facility inspection between the dates of September 11, 2017 and April 25, 2018?

I look forward to hearing from you regarding the item listed above so that we can continue to process your Annual Report document. If you should have any questions, please do not hesitate to contact me.

Sincerely,

[REDACTED]

[REDACTED]  
NIH | 6700B Rockledge Dr., Suite 2500 MSC 6910, Bethesda, Maryland 20892 | Phone [REDACTED]  
[REDACTED]

**Disclaimer:** 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.





OLAW Annual  
Report...17.docx



OLAW Annual  
Report...8.docx

**From:** David Michael Faguy  
/O=NORTHERN ARIZONA UNIVERSITY/OU=EXCHANGE ADMINISTRATIVE GROUP  
/CN=RECIPIENTS/CN=6F4938D0B75A4A718C099EEBBC7E7  
**Subject:** RE: 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)  
**Date:** January 24, 2019 at 1:19 PM  
**To:** [REDACTED]  
**Cc:** Nathan Christopher Nieto [nathan.nieto@nau.edu](mailto:nathan.nieto@nau.edu)

---

Hi [REDACTED]

Sorry I didn't notice the discrepancy. We can't have more than six months between either program evaluations or facility inspections. Six months and 1 day gets us a citation. We listed 4/25/2018 as the first program evaluation. According to the IACUC minutes and the semi annual report to the IO, the program review was done on 04/04/2018. The second program evaluation was done on 9/10/2018 (we listed 10/08/2018).

Could you reply to OLAW saying we incorrectly posted the dates of the program review and we will resubmit a corrected annual report. We can also provide IACUC meeting minutes if they request it.

Nate and I will have to sign the amended reports with the corrected dates. The facility inspections are the correct dates.

Sorry I didn't notice that.

Thanks

David

---

**From:** [REDACTED] >  
**Sent:** Thursday, January 24, 2019 12:35 PM  
**To:** David Michael Faguy <[David.Faguy@nau.edu](mailto:David.Faguy@nau.edu)>  
**Cc:** Nathan Christopher Nieto <[nathan.nieto@nau.edu](mailto:nathan.nieto@nau.edu)>  
**Subject:** Re: 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)

Hi David and Nate, Attached are the 2017 and 2018 reports to OLAW. I'm not sure I understand why she is asking the below question given that inspection dates are reported in both reports.

Thank you,

[REDACTED]

[REDACTED]  
Northern Arizona University  
Flagstaff, Arizona 86011-5640

---

**From:** [REDACTED]  
**Sent:** Thursday, January 24, 2019 12:26 PM  
**To:** David Michael Faguy  
**Cc:** Nathan Christopher Nieto; [REDACTED]  
**Subject:** 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)

Good afternoon Dr. Faguy,

We have received and reviewed your institution's 2018 Annual Report and have one area that requires clarification.

Could you please tell me if there was a semiannual program evaluation and facility inspection between the dates of September 11, 2017 and April 25, 2018?

I look forward to hearing from you regarding the item listed above so that we can continue to process your Annual Report document. If you should have any questions, please do not hesitate to contact me.

Sincerely,

[REDACTED]

[REDACTED]

NIH | 6700B Rockledge Dr., Suite 2500 MSC 6910, Bethesda, Maryland 20892 | Phone

[REDACTED]

**Disclaimer:** 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:** [REDACTED]  
**Subject:** Re: 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)  
**Date:** January 24, 2019 at 2:55 PM  
**To:** David Michael Faguy David.Faguy@nau.edu  
**Cc:** Nathan Christopher Nieto nathan.nieto@nau.edu

KF

Oh darn. I thought the Program Eval and Facility Inspections were done on the same day during the Semi-Annual Inspections.

I will respond to OLAW as noted. I apologize to both of you for the hassle.

Thank you,

[REDACTED]

[REDACTED]

Northern Arizona University  
Flagstaff, Arizona 86011-5640

---

**From:** David Michael Faguy  
**Sent:** Thursday, January 24, 2019 1:19 PM  
**To:** [REDACTED]  
**Cc:** Nathan Christopher Nieto  
**Subject:** RE: 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)

Hi [REDACTED]

Sorry I didn't notice the discrepancy. We can't have more than six months between either program evaluations or facility inspections. Six months and 1 day gets us a citation. We listed 4/25/2018 as the first program evaluation. According to the IACUC minutes and the semi annual report to the IO, the program review was done on 04/04/2018. The second program evaluation was done on 9/10/2018 (we listed 10/08/2018).

Could you reply to OLAW saying we incorrectly posted the dates of the program review and we will resubmit a corrected annual report. We can also provide IACUC meeting minutes if they request it.

Nate and I will have to sign the amended reports with the corrected dates. The facility inspections are the correct dates.

Sorry I didn't notice that.

Thanks

David

---

**From:** [REDACTED]  
**Sent:** Thursday, January 24, 2019 12:35 PM  
**To:** David Michael Faguy <[David.Faguy@nau.edu](mailto:David.Faguy@nau.edu)>  
**Cc:** Nathan Christopher Nieto <[nathan.nieto@nau.edu](mailto:nathan.nieto@nau.edu)>  
**Subject:** Re: 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)

Hi David and Nate, Attached are the 2017 and 2018 reports to OLAW. I'm not sure I understand why she is asking the below question given that inspection dates are reported in both reports.

Thank you,

[REDACTED]

[REDACTED]  
Northern Arizona University  
Flagstaff, Arizona 86011-5640

---

**From:** [REDACTED]  
**Sent:** Thursday, January 24, 2019 12:26 PM  
**To:** David Michael Faguy  
**Cc:** Nathan Christopher Nieto; [REDACTED]  
**Subject:** 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)

Good afternoon Dr. Faguy,

We have received and reviewed your institution's 2018 Annual Report and have one area that requires clarification.

Could you please tell me if there was a semiannual program evaluation and facility inspection between the dates of September 11, 2017 and April 25, 2018?

I look forward to hearing from you regarding the item listed above so that we can continue to process your Annual Report document. If you should have any questions, please do not hesitate to contact me.


Sincerely,

[REDACTED]

[REDACTED]  
NIH | 6700B Rockledge Dr., Suite 2500 MSC 6910, Bethesda, Maryland 20892 | Phone [REDACTED]

**Disclaimer:** 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: [REDACTED]   
Subject: Re: 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)  
Date: January 28, 2019 at 11:26 AM  
To: [REDACTED]  
Cc: David Michael Faguy David.Faguy@nau.edu, Nathan Christopher Nieto nathan.nieto@nau.edu

KF

Dear [REDACTED]

Please find the attached updated version of the 2018 Annual Report to OLAW.

Thank you.

Sincerely,

[REDACTED]

[REDACTED]

Northern Arizona University  
Flagstaff, Arizona 86011-5640

---

**From:** [REDACTED]  
**Sent:** Thursday, January 24, 2019 5:16 PM  
**To:** [REDACTED]  
**Subject:** Automatic reply: 2018 Annual Report for Northern Arizona University - Flagstaff #D16-00523 (A3908-01)

I am out of the office and will return on Monday, January 28th. If you should need immediate assistance, please contact Dr. Venita Thornton at [thorntov@od.nih.gov](mailto:thorntov@od.nih.gov) or 301-451-4208. You may also call the main OLAW phone number at 301-496-7163.

Thank you.

[REDACTED]

[REDACTED]

[REDACTED]

Office of Laboratory Animal Welfare, NIH  
6700B Rockledge Drive, Suite 2500, MSC 6910  
Bethesda, MD 20892-6910

[REDACTED]

[REDACTED]







Annual Report  
to OLA...nal.pdf

## Annual Report to OLAW

Institution: Northern Arizona University
Assurance Number: A3908-01
Reporting Period: 1/1/2018 to 12/31/2018

This institution's Institutional Animal Care and Use Committee (IACUC), through the Institutional Official, provides this annual report to the Office of Laboratory Animal Welfare (OLAW).

### I. Program Changes [Select A or B]

- ☐ A. There have been **no changes** in this institution's program for animal care and use as described in the Assurance. [Skip to Item II.]
- ☒ B. Change(s) in this institution's program for animal care and use as described in the Assurance have occurred during this reporting period. ([FAQ 6](#))

Select all that apply:

- ☐ This institution's AAALAC accreditation status has changed ([PHS Policy IV.A.2.](#)).
- ☐ [AAALAC Accredited](#) – Category 1
- ☐ Non-Accredited – Category 2
- ☐ This institution's program for animal care and use has changed ([PHS Policy IV.A.1.a-i.](#)). [Attach a full description of the changes.]
- ☐ The individual designated by this institution as the Institutional Official has changed. [Provide name, title(s), address, e-mail, phone, and fax numbers in Item V.]
- ☒ The membership of this institution's IACUC has changed. [Provide current roster of members in Item VI.]

### II. Semiannual Evaluations

This IACUC has conducted semiannual evaluations of the institution's program and inspections of the institution's facilities (including satellite facilities) on the dates below. Reports of the evaluations and inspections have been submitted to the Institutional Official. The reports include any IACUC-approved departures from the *Guide* with a reason for each departure, any deficiencies (significant or minor) that were identified, and a plan and schedule for correction of each deficiency. [Do not provide semiannual reports unless they include a minority view.]

#### A. Program Evaluations

[Two dates (month/day/year) must be provided to satisfy the PHS Policy requirement that evaluations be done at 6 month intervals. If the IACUC conducted more than 2 evaluations of the program during the reporting period, please attach a list showing the dates.]

Date 1: 4/25/2018	Date 2: 10/08/2018
-------------------	--------------------

**B. Facility Inspections**

*[Two dates (month/day/year) must be provided to satisfy the PHS Policy requirement that facility inspections be done at 6 month intervals. If the IACUC conducted more than 2 inspections of each site during the reporting period, please attach a list showing the dates.]*



Date 1: 4/25/18

Date 2: 10/08/18

**III. Minority Views** [Select A or B]

- ☒ A. There were **no minority** views during this reporting cycle.
- ☐ B. Any minority views submitted by members of the IACUC regarding reports filed under [PHS Policy IV.F.](#) for this reporting cycle are attached.

**IV. Signatures**

IACUC Chairperson	Institutional Official
Name: Dr. Nathan Nieto	Name: Dr. David Faguy
	
Date: 1/8/19	Date: 1/18/19

**V. Change in Institutional Official**

Name:	
Title:	Degree/Credential:
Name of Institution:	
Address: [street, city, state, zip code]	
E-mail:	
Phone:	Fax:

**VI. Change in IACUC Membership [Current roster]**

<b>Institution: Northern Arizona University</b>			
<b>IACUC Contact Information</b>			
Address: [street, city, state, zip code] Biological Sciences Annex 617 S Beaver St. Building 21B Flagstaff, AZ 86011			
E-mail: [REDACTED]			
Phone: [REDACTED]		Fax: [REDACTED]	
<b>IACUC Chairperson</b>			
Name: Dr. Nathan Nieto			
Title: Assistant Professor		Degree/Credentials: Ph.D.	
PHS Policy Membership Requirements***: Chair			
<b>IACUC Roster [Provide below or attach]</b>			
Name of Member/ Code*	Degree/ Credential	Position Title/ Occupational Background**	PHS Policy Membership Requirements***
Nathan Nieto/NN	Ph.D., UC Davis	Assistant Professor Biological Sciences	Chair
Dale DeNardo/DD	DVM, UC Davis; Ph.D., UC Berkeley	Interim Institutional Veterinarian	Veterinarian
[REDACTED]	[REDACTED]		
[REDACTED]			
[REDACTED]			
[REDACTED]			
[REDACTED]			
[REDACTED]			
[REDACTED]			

<p>* Names of members, other than the chairperson and veterinarian, may be represented by a number or symbol in this report to OLAW. Sufficient information to determine that all appointees are appropriately qualified must be provided and the identity of each member must be readily ascertainable by the institution and available to authorized OLAW or other PHS representatives upon request.</p>			
<p>** List specific position titles for all members, including nonaffiliated (e.g., banker, teacher, volunteer fireman; not "community member" or "retired").</p>			
<p>*** <a href="#">PHS Policy</a> Membership Requirements:</p>			
<i>Veterinarian</i>	veterinarian with training or experience in laboratory animal science and medicine or in the use of the species at the institution, who has direct or delegated program authority and responsibility for activities involving animals at the institution.		
<i>Scientist</i>	practicing scientist experienced in research involving animals.		
<i>Nonscientist</i>	member whose primary concerns are in a nonscientific area (for example, ethicist, lawyer, member of the clergy).		
<i>Nonaffiliated</i>	individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution. This member is expected to represent general community interests in the proper care and use of animals and should not be a laboratory animal user. A consulting veterinarian may not be considered nonaffiliated.		
<p>[Note: all members must be appointed by the CEO (or individual with specific written delegation to appoint members) and must be voting members. Non-voting members and alternate members must be so identified.]</p>			