



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

February 24, 2023

Re: Animal Welfare Assurance  
A3195-01 [OLAW Case 51]

Dr. Mary Klotman  
Dean, School of Medicine and  
Vice Chancellor for Health Affairs  
Duke University Medical Center  
Duke South Clinic – 200 Trent Drive  
(b) (4) Davidson Building  
Durham, NC 27710

Dear Dr. Klotman,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your February 7, 2023 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the Duke University following up on an initial January 25, 2023 notification by telephone.

According to the information provided, this office understands that the Duke University Animal Care and Use Committee (ACUC) determined that instances of noncompliance occurred with respect to conditions that jeopardized the health/well-being of animals resulting in harm/death to animals. The final report states on November 29, 2022, a moribund mouse was discovered in a hood without access to food or water. In response, a clinical veterinarian was contacted, and the animal was humanely euthanized. Corrective actions taken to address the incident include the following:

- All laboratory personnel were contacted and retrained on ensuring provisions of feed and water are provided to all animals.
- The Principal Investigators and all laboratory members met with animal program leadership to review the concern.
- Actions were taken within the laboratory to refine procedures to help prevent reoccurrence.

Per the report, the IACUC completed their final review of the matter at the January 26, 2023 meeting. The committee found the corrective actions to be appropriate and no further actions were required. It is understood the funding source could not be determined and the incident was reported to OLAW out of an abundance of caution.

Based on its assessment of this explanation, OLAW understands that the Duke University has implemented appropriate measures to correct and prevent recurrences of these problems and is now compliant with provisions of the PHS Policy.

We appreciate being informed of these matters and find no cause for further action by this Office.

Page 2 – Dr. Klotman  
February 24, 2023  
OLAW Case A3195-5I

Sincerely,

Jacquelyn T.

Tubbs -S

Digitally signed by Jacquelyn  
T. Tubbs -S  
Date: 2023.02.24 15:20:45  
-05'00'

Jacquelyn Tubbs, DVM, DACLAM

Senior Animal Welfare Program Specialist

Division of Compliance Oversight

Office of Laboratory Animal Welfare

cc: IACUC Contact



Duke University  
Durham, North Carolina 27705



Office of Animal Welfare Assurance  
Campus Mail: Hock Plaza Box 2724  
US Mail: 2424 Erwin Road; Suite 606; Durham, NC 27705

Voice: 919.668.6720  
Fax: 919.668.6725

<https://myresearchpath.duke.edu/topics/conduct-research-animals>

February 7, 2022

Duke University; Animal Welfare Assurance # D16-00123 (A3195-01)

Office of Laboratory Animal Welfare (OLAW)  
National Institutes of Health  
6700B Rockledge Drive, Suite 2500, MSC 6910  
Bethesda, MD 20892

Duke University, in accordance with PHS Policy IV.F.3., provides this report of an incident, which may have involved an animal activity conducted or supported with PHS-funds or other funds with OLAW oversight. This incident was reviewed and determined to be reportable by the Duke Institutional Animal Care & Use Committee (IACUC).

**Reportable requirement:** Conditions that jeopardize the health or well-being of animals, including natural disasters, accidents, and mechanical failures, resulting in actual harm or death to animals.

**Preliminary report:** Initial attempted contact to OLAW occurred on 12/20/22, 12/27/22, 01/05/23, and 01/13/23 by Anna Hampton (Duke University Office of Animal Welfare Assurance Director and IACUC Chair). A preliminary, verbal report was provided to Dr. Jacquelyn Tubbs on January 25<sup>th</sup>, 2023 by Dr. Hampton.

**Number of animals affected:** 1 mouse

**Date:** November 29, 2022

**Description, outcome, and actions taken:** A moribund mouse was found in hood without access to food or water. A clinical veterinarian was immediately contacted and the mouse was humanely euthanized. The funding source could not be determined and a report to OLAW is being submitted out of an abundance of caution.

Upon identification of this concern the following corrective measures were taken:

- All laboratory personnel were contacted and retrained on ensuring provisions for feed and water are provided to all animals.
- The Principal Investigators and all laboratory members met with animal program leadership (i.e., the Attending Veterinarian, the IACUC Chair, and/or their designees) to review the concern.
- Actions were taken within the laboratory to refine procedures to help prevent reoccurrence.

**Conclusion:** The Duke IACUC completed its investigation and performed final review of the issue at the January 26, 2023 IACUC meeting. The Duke IACUC determined that the incident was reportable to regulatory, granting, and oversight bodies, where applicable. In addition, the IACUC determined that the corrective actions were appropriate and no further actions were necessary. The Duke IACUC considers this incident closed.

This item was reported to Duke grants management to ensure compliance with the terms and conditions of the grant award.

The Duke University 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 Anna Hampton, DVM, IACUC Chair at [Anna.Hampton@Duke.edu](mailto:Anna.Hampton@Duke.edu) or (b) (6)

Thank you for your consideration of this matter.

Sincerely,

(b) (6)

Dr. Mary E. Klotman  
Duke University  
Dean, School of Medicine  
Vice Chancellor for Health Affairs  
Institutional Official

The Duke University Animal Care & Use Program is committed to advancing healthcare for humans and animals through compassionate care and progressive animal use.

Obtained by Rise for Animals.  
Uploaded to Animal Research Laboratory Overview (ARLO) on 12/11/2023

**McCoy, Devora (NIH/OD) [E]**

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Monday, February 13, 2023 12:18 PM  
**To:** Anna Hampton  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Duke OLAW Report (Assurance # A3195-01 / D16-00123)

Good afternoon Dr. Hampton,

Thank you for sending us the final report for case A3195-5I and we will send an official response soon.

Best,  
Devora

Devora McCoy, BS, MBA ([pronunciation](#))  
Program Analyst  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare  
National Institutes of Health

Phone: 301-435-2390  
Email: [devora.mccoy@nih.gov](mailto:devora.mccoy@nih.gov)

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**From:** Anna Hampton <[anna.hampton@duke.edu](mailto:anna.hampton@duke.edu)>  
**Sent:** Friday, February 10, 2023 4:48 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <[olawdco@od.nih.gov](mailto:olawdco@od.nih.gov)>  
**Subject:** [EXTERNAL] Duke OLAW Report (Assurance # A3195-01 / D16-00123)

Dear OLAW,

Please see the attached final report for Duke University (Assurance # A3195-01 / D16-00123).

Please do not hesitate to contact me if you have any questions or need additional information.

Anna

Anna Hampton, DVM, DACLAM, DACAW, CPIA  
Director, Office of Animal Welfare Assurance  
Chair, Institutional Animal Care and Use Committee  
Duke University  
2424 Erwin Road, (b) (4)  
Durham, NC 27705  
(b) (6)

[Duke Animal Program Website](#)

A3195-SI



## Initial Report of Noncompliance

By: J. Tubbs

Date: 01/25/2023

Time: 925A

Name of Person reporting: Anna Hampton

Telephone #: (b) (6)

Fax #:

Email:

Name of Institution: Duke University

Assurance number: A3195-01

Did incident involve PHS funded activity? unsure

Funding component:

Was funding component contacted (if necessary): \_\_\_\_\_

What happened?

Mouse left in hood without food or water and found moribund. Vet assessed and recommended euthanasia.

Species involved: mouse

Personnel involved: research staff

Dates and times: Nov 2022

Animal deaths: none

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

Projected submission to OLAW of final report from Institutional Official:

60-90d

OFFICE USE ONLY

Case # \_\_\_\_\_