



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

June 16, 2023

Re: Animal Welfare Assurance
A3217-01 [OLAW Case 1N]

Matthew Hulver, Ph.D.
Vice President of Research
Arizona State University
300 East University Drive, (b) (4)
PO Box 877205
Tempe, AZ 85287

Dear Dr. Hulver,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your May 26, 2023, letter reporting an instance of noncompliance at Arizona State University, following up on an initial March 30, 2023, email notification. According to the information provided, OLAW understands that a rat died when the line of the chamber where the animal was located was inadvertently flushed with sterilizing solution. Following an approved drug-administration procedure, the rat was too agitated to be removed from the chamber, and the animal was left there to calm down while laboratory personnel cleaned the remaining chambers. However, laboratory personnel forgot that the animal was still in the chamber and the line was flushed with sterilizing solution while still connected to the animal. The animal activity in question was supported by PHS funds.

The corrective actions consisted of the Principal Investigator discussing how routines can make individuals function on "autopilot" and the importance of making a physical reminder when the routine is not being followed. All drug administration has been completed on the protocol, although a few rats, not receiving any drug, were tested for drug-seeking behavior.

Based on the information provided, OLAW is satisfied that appropriate actions have been taken to investigate, correct and prevent recurrence of the noncompliance. Your prompt and thorough resolution of this matter is commendable and consistent with the PHS Policy philosophy of monitored self-regulation. We appreciate having been informed of this matter and find no cause for further action by this Office.

Sincerely,

Neera V. Gopee -S

Digitally signed by Neera V.

Gopee -S

Date: 2023.06.16 12:22:55 -04'00'

Neera V. Gopee, DVM, PhD, DACLAM, DABT
Associate Director, Animal Welfare Policy
Office of Laboratory Animal Welfare
National Institutes of Health

cc: IACUC Chair

A3217-1N

May 26, 2023

Brent Morse, DVM
Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, MD 20892-7892

Re: Case number A3217-1N; Report of the death of a rat due to conditions that jeopardize the health or well-being of animals

NIH Funding: 1 R21 DA048651-01A1

On March 24, 2023, the IACUC Chair, Attending Veterinarian and IACUC administration office were notified by the Principal Investigator of the death of a rat on March 23, 2023, as a result of conditions that jeopardize the health or well-being of animals. After the rat had undergone approved drug-administration, it was too agitated for safe removal from the chamber, so the lab personnel left the animal in the chamber to calm down. While the animal was calming down, the lab personnel started cleaning the other chambers. The lab personnel forgot the animal was in the chamber, and flushed the line with sterilizing solution; the line was still connected to the animal. As soon as the lab personnel realized what was happening, the flushing of the line was stopped instantly, but the animal had perished. The lab personnel confirmed the death.

A preliminary report was sent to OLAW via email on March 30, 2023.

Corrective Action:

The Principal Investigator discussed at the next lab meeting how routines put one on "autopilot" and the importance of making a physical reminder when the routine is not being followed. Implementing this change will help prevent future incidents like this occurring.

On May 10, 2023, the PI confirmed that over the next three weeks, a few rats will be tested for drug-seeking behavior, but they will not be receiving the drug. All drug administration is complete on the protocol.

On May 25, 2023, at a fully convened IACUC meeting, the Chair informed the committee of the events that occurred and the corrective actions that have been taken. The committee acknowledged the information and believed no additional action is required at this time.

Please let us know if you have any questions.

(b) (6)

(b) (6)

Karen Kibler, PhD
Chair, IACUC
Assistant Research Professor
Karen.Kibler@asu.edu

Matthew Hulver, PhD
Institutional Official, IACUC
Vice Present
Matthew.Hulver@asu.edu

McCoy, Devora (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Monday, June 5, 2023 7:30 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Final Report under Assurance D16-00136 (Arizona State University) - Case No. A3217-1N

Good morning (b) (6)

Thank you for sending us this final report for case A3217-1N 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

From: (b) (6)
Sent: Friday, June 2, 2023 7:04 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: (b) (6) Karen Kibler
<Karen.Kibler@asu.edu>; (b) (6) Matthew Hulver <Matthew.Hulver@asu.edu>;
IACUC@asu.edu
Subject: [EXTERNAL] Final Report under Assurance D16-00136 (Arizona State University) - Case No. A3217-1N

Good Afternoon,

On behalf of the ASU IACUC, attached is the final report of the matter initially reported below.

If you have any questions, please don't hesitate to contact me.

Confirmation of receipt is requested.

Thanks!

(b) (6)

A3217-1N

McCoy, Devora (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, March 31, 2023 9:50 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Preliminary Report under Assurance D16-00136 (Arizona State University)

Good morning (b) (6)

Thank you for sending us this preliminary report and we look forward to receiving the final report once completed. This report has been assigned OLAW case number **A3217-1N**, so please reference this case number when sending the final report.

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

From: (b) (6)
Sent: Thursday, March 30, 2023 4:34 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Karen Kibler <Karen.Kibler@asu.edu>; Matthew Hulver <Matthew.Hulver@asu.edu>; (b) (6)
(b) (6) IACUC@asu.edu; (b) (6)
Subject: [EXTERNAL] Preliminary Report under Assurance D16-00136 (Arizona State University)

Good afternoon,

On behalf of ASU IACUC, I am submitting a preliminary report of the death of rat due to 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. The IACUC is investigating this matter and a follow-up message with final report will be provided when the inquiry is complete.

Please let me know if you have any questions,

(b) (6)

