



DEPARTMENT OF HEALTH & HUMAN SERVICES

PUBLIC HEALTH SERVICE
NATIONAL INSTITUTES OF HEALTH

FOR US POSTAL SERVICE DELIVERY:
Office of Laboratory Animal Welfare
Rockledge One, Suite 360
6705 Rockledge Drive – MSC 7982
Bethesda, Maryland 20892-7982
Home Page: <http://grants.nih.gov/grants/olaw/olaw.htm>

FOR EXPRESS MAIL:
Office of Laboratory Animal Welfare
Rockledge One, Suite 360
6705 Rockledge Drive
Bethesda, Maryland 20817
Telephone: (301) 496-7163
Facsimile: (301) 402-7065

March 30, 2018

Re: Animal Welfare Assurance
A3426-01 [OLAW Case Y]

Dr. Fisher-Adams
Director, Office of Research Compliance
California Institute of Technology
1200 E. California Boulevard, MC 104-010
Pasadena, CA 91125

Dear Dr. Fisher-Adams,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your March 28, 2018 letter reporting an adverse event involving nonhuman primates at the California Institute of Technology, following up on an initial telephone report on the same day. According to the information provided, OLAW understands that a rack with a cage was being moved when the caster hit a floor drain and the rack tipped over. One monkey escaped the cage and its cage mate bruised its eyebrow.

The corrective action consisted of recapturing the monkey and treating the other. The animal caretakers were counseled on moving racks carefully and checking the floor over which the rack will be rolled.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and prevent recurrence of this incident. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals. Note that it is not necessary to adjust costs to the grant for this accidental occurrence. Thank you for keeping OLAW apprised on this matter.

Sincerely,

(b) (6)

Axel Wolff, M.S., D.V.M.
Deputy Director
Office of Laboratory Animal Welfare

cc: IACUC Chair
Director, Office of Laboratory Animal Resources
Robert Gibbens, D.V.M., USDA-APHIS-AC



Office of Research Compliance

Grace Fisher-Adams, PhD, JD
Director, Institutional Official
1200 E. California Blvd., MC B110-31
Pasadena, CA 91125
(626) 395-2907
Grace.Fisher-Adams@caltech.edu

March 28, 2018

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 California Institute of Technology, in accordance with Assurance A3426-0 and PHS Policy IV.F.3., provides this report of a non-human primate (NHP) escape. Per an OLAW Online Seminar several of our institutional members attended on December 7, 2017, we learned that such an escape is an adverse event that would require reporting.

On January 16, 2018, the Office of Research Compliance received information from the Attending Veterinarian that a single NHP escaped its enclosure as a result of an accident wherein the animal's rack and cage tipped while being moved by animal care staff for animal care purposes. The animal was recaptured without incident. The escaped animal's cage mate sustained a minor bruise on the eyebrow when the rack was tipped, and was subsequently treated with anti-inflammatory medications.

A review of billing records showed that a portion of the direct costs associated with the care of the affected animals were charged to federal grants, including grants from NIH. These costs have been reallocated, invoiced to, and paid from nonfederal sources. NIH funding components affected will be notified of the situation.

To address the situation, the animal care staff members involved were reminded of the importance of ensuring that surfaces over which animals are being transported are checked prior to movement of racks and cages and that extra care is taken when moving racks and cages to prevent personnel and animal injury.

At their meeting on February 13, 2018, the IACUC also reviewed and accepted the corrective actions as submitted by the Attending Veterinarian.

Caltech 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 Richard Andersen, Ph.D., IACUC Chair.

Thank you for your consideration of this matter.

Sincerely,

(b) (6)

Grace Fisher-Adams, PhD, JD
Director of Research Compliance
Institutional Official

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Wednesday, March 28, 2018 2:06 PM
To: IACUC
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Caltech Report of Incident

Thank you for this report, [REDACTED] I will send a response shortly.

Axel Wolff, M.S., D.V.M.
Deputy Director, OLAW

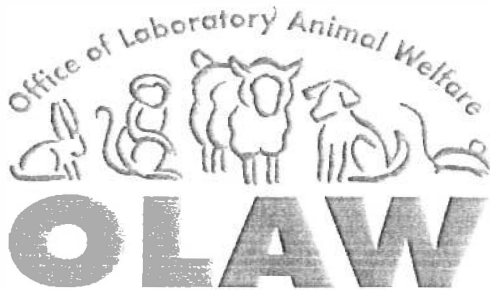
From: IACUC [mailto:IACUC@caltech.edu]
Sent: Wednesday, March 28, 2018 12:34 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Fisher-Adams, Grace C. <Grace.Fisher-Adams@caltech.edu>; (b) (6)
(b) (6)
Subject: Caltech Report of Incident

To Whom It May Concern:

Attached is a report of an animal welfare incident that took place at Caltech on January 16, 2018. The incident discussed between Dr. Axel Wolff, OLAW, and Grace Fisher-Adams on March 28, 2018.
If there are any questions or concerns regarding the attached follow-up report, please let me know.

Thank you,

(b) (6)



Initial Report of Noncompliance

By: *aw*

Date: *3/28/18*

Time: *12:00*

Name of Person reporting: *Grace Fisher Adams, PhD*

Telephone #: *(b) (6)*

Fax #:

Email:

Name of Institution: *California Institute of Technology*

Assurance number: *A3426*

Did incident involve PHS funded activity? ☐

Funding component: _____

Was funding component contacted (if necessary): _____

What happened?

*Drain cover off, rack wheel fell in, rack tipped,
1 monkey out + other is injured (bruise on brow)*

Species involved: *Primate*

Personnel involved:

Dates and times:

Animal deaths:

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

Keep covers on drains

Projected submission to OLAW of final report from Institutional Official:

OFFICE USE ONLY

Case # _____