



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 B 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

July 20, 2018

Re: Animal Welfare Assurance
A3514-01 [OLAW Case T]

Dr. Mark Schmitt
Interim Vice President for Research
State University of New York
Upstate Medical University
750 East Adams Street
Syracuse, NY 13210

Dear Dr. Schmitt,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your July 10, 2018 letter reporting an adverse event affecting research frogs at the State University of New York Upstate Medical University. According to the information provided, OLAW understands that twelve frogs died and many others were impacted after being exposed to extremely warm water. A broken ultraviolet water sanitizer led to a bypass of the system which caused the introduction of the hot water. The temperature monitor showed a much lower temperature and did not register an alarm because the probe was in the wrong part of the system, which led to the continuous heating of the water.

The immediate action taken with the frogs was to place the surviving ones into conditioned water which led to recovery. The standard operating procedures for the system were modified so that the water heater is now disconnected when a system bypass is used.

Based on its assessment of this explanation, OLAW understands that measures have been implemented to correct and prevent recurrence of this problem. OLAW concurs with the actions taken by the institution to comply with the PHS Policy on Humane Care and Use of Laboratory Animals.

Sincerely,

(b) (6)

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

cc: IACUC Chair

July 10, 2018

Axel Wolff, MS, DVM
Deputy Director
Office of Laboratory Animal Welfare
National Institutes of Health
6700B Rockledge Drive, Suite 2500, MSC 6910
Bethesda, MD 20892

Dear Dr. Wolff:

In accordance with our PHS assurance D16-00318 (formerly A3514-01), I am writing to report an incident that occurred in one of our facilities. On July 3, 2018, the housing on a UV unit that sanitizes water for a stand-alone, recirculating Xenopus rack housing approximately 100 animals burst and system water was pouring out in significant amounts onto the floor. To maintain function while awaiting repairs, the filter loop was bypassed in accordance with the manufacturer's recommendations and as designed into the system. On July 4, nearly all of the frogs were found floating at the water surface, many of them upside-down and presumed dead. Upon removal from the system and placement into conditioned frog water in static tanks, many of them recovered, but 12 animals did not. Tanks were noted to feel "a little warm", but otherwise appeared clear and water quality parameters monitored by the system were within normal limits. Hand testing for ammonia, nitrates and nitrites were also normal. After further investigation it was determined that, although the system monitor read 22 degrees Celsius and was not alarming, the actual water temperature was above 38 degrees Celsius. It was determined that there is a design flaw in the system in that the temperature monitoring probe measures water temperature in the filter loop while the heater on the system heats the circulating water from the sump. This resulted in the system thinking that the water temperature was low (since the filter loop was not circulating) and continuous heating of the water in the sump.

Unfortunately, this situation could not have been anticipated and is not mentioned within the manufacturer's instructions for these systems. We have now incorporated this information into our procedures such that the heaters will be disconnected whenever the bypass needs to be used in the future.

The IACUC formally discuss this incident at the July 9th meeting and was satisfied with the explanation and resolution. They requested no further action. Please let us know if you have any questions concerning this incident.

Sincerely,

(b) (6)

Dr. Mark Schmitt
Interim Vice President for Research
Institutional Official
Dean, College of Graduate Studies
Professor, Department of Biochemistry & Molecular Biology

c: Dr. Kathryn Bayne, Executive Director, AAALAC
Dr. Michael Lyon, IACUC Chair

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, July 13, 2018 6:47 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: Incident Report-PHS assurance #D16-00318

Thank you for this report, (b) (6) We will send a response soon.
Axel Wolff

From: (b) (6)@upstate.edu]
Sent: Thursday, July 12, 2018 5:59 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Michael Lyon <LyonM@upstate.edu>; (b) (6)@upstate.edu>; Mark Schmitt <SchmittM@upstate.edu>
Subject: Incident Report-PHS assurance #D16-00318

Dr. Axel Wolff, Deputy Director
OLAW
olawdco@mail.nih.gov

Dear Dr. Wolff:

On behalf of our Institutional Official, Dr. Mark Schmitt, I am submitting the attached incident report involving animals used in research at SUNY Upstate Medical University. Our PHS Assurance number is D16-00318.

Please contact us if you need additional information.

Respectfully,

(b) (6)

