



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

August 31, 2020

Re: Animal Welfare Assurance  
A3472-01 [OLAW Case 50]

Dr. David Russell  
Vice President and Dean of Basic Research  
University of Texas Southwestern Medical Center  
5323 Harry Hines Boulevard  
Dallas, TX 75390-9002

Dear Dr. Russell,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your August 26, 2020 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Texas – Southwestern Medical Center. Your letter supplements the information in the telephone report to our office on April 24, 2020. According to the information supplied, OLAW understands that a PI disclosed that mouse surgery was performed in a laboratory location outside of the centrally managed animal facilities that was not approved by the IACUC for animal use. One surgery was performed in November 2019 and another in March 2020. It was stated that this animal activity was supported by the PHS.

Corrective and preventive actions included the PI being counseled by the IACUC Chair and stopping the use of the unapproved area for surgery. Future surgeries will be performed in the centrally managed animal facilities.

The prompt consideration of this matter by the University of Texas – Southwestern Medical Center was consistent with the philosophy of institutional self-regulation and self-correction. Similarly, the actions taken to resolve the issue and prevent recurrence were appropriate. We find no cause for further action by this office.

Sincerely,

**Brent C. Morse -S**

Digitally signed by Brent C. Morse

-S

Date: 2020.08.31 14:10:10 -04'00'

Brent C. Morse, DVM  
Director  
Division of Compliance Oversight  
Office of Laboratory Animal Welfare

cc: IACUC contact

A3472

**UTSouthwestern**  
Medical Center

David W. Russell, Ph.D.  
Vice Provost and Dean of Research  
UT Southwestern Medical School  
Department of Molecular Genetics  
Eugene McDermott Distinguished Chair

August 26, 2020

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

RE: UT Southwestern Medical Center Animal Welfare Assurance Statement # D16-00296  
Grant: 5R01GM113023

Dear Dr. Morse,

I write to provide a final report of non-compliance with the *PHS Policy on Humane Care and Use of Laboratory Animals* regarding an incident in which a PI disclosed the use of a laboratory room located outside of the centrally managed animal facilities for mouse surgery that was not approved by the IACUC. This room was used once in November 2019 and once in March 2020. This determination was based on observations made by the IACUC Chair on March 6, 2020. This incident was first reported to you via voicemail by an IACUC Manager on April 24, 2020.

The IACUC Chair counseled the PI on March 6, 2020 and the PI stopped using the unapproved laboratory room. While the PI initially indicated that they might seek approval of the room for mouse surgery, on June 16, 2020, the PI informed the IACUC that they would not pursue approval of its use and would instead perform this surgery within the centrally managed animal facility.

We believe the actions taken by the IACUC are appropriate for this situation.

Yours sincerely,

(b) (6)

David W. Russell, Ph.D.  
Vice Provost, Dean of Research, and Institutional Official

## Wolff, Axel (NIH/OD) [E]

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**From:** OLAW Division of Compliance Oversight (NIH/OD)  
**Sent:** Friday, August 28, 2020 7:38 AM  
**To:** (b) (6)  
**Cc:** OLAW Division of Compliance Oversight (NIH/OD)  
**Subject:** RE: Report to OLAW

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

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

**From:** (b) (6)  
**Sent:** Thursday, August 27, 2020 3:22 PM  
**To:** OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>  
**Cc:** Stacy Pritt <Stacy.Pritt@UTSouthwestern.edu>; Robert Hammer <Robert.Hammer@UTSouthwestern.edu>; David Russell <David.Russell@UTSouthwestern.edu>  
**Subject:** Report to OLAW

To the Division of Compliance Oversight,

Attached is a final report of noncompliance. Please let me know if you have any questions regarding this report.

(b) (6)

(b) (6)

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**UT Southwestern**  
Medical Center  
The future of medicine, today.



## Initial Report of Noncompliance

By: Brent

Date:

Time: voicemail

Name of Person reporting: (b) (6)

Telephone #:

Fax #:

Email:

Name of Institution: Univ of Texas Southwestern Med Cen

Assurance number: A3472

Did incident involve PHS funded activity? yes

Funding component: NIGMS

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

What happened? Rodent surgery performed in an area not previously approved by the IACUC.

Species involved: rodent

Personnel involved: PI

Dates and times: determined on March 6, 2020

Animal deaths:

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

PI stopped using the room. PI has submitted protocol amendment to add space to protocol

Projected submission to OLAW of final report from Institutional Official:

Within a few weeks

OFFICE USE ONLY

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