



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 1, 2021

Re: Animal Welfare Assurance
#A4107-01 (OLAW Case 2F)

Dr. Alison Preston
Interim Vice President for Research
University of Texas at Austin
P.O. Box 7996
Austin, TX 78713

Dear Dr. Preston,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your May 26, 2021 letter reporting an instance of noncompliance with the PHS Policy on Humane Care and Use of Laboratory Animals at the University of Texas at Austin, following up on an initial report on March 31, 2021. According to the information provided, OLAW understands that an intracranial cannula fell off a rat and the investigator performed a reinstallation procedure although this had not been described in the approved protocol. Also, the analgesic used was different from what was approved in the protocol.

The corrective actions consisted of euthanizing the rat and amending the protocol to reflect the analgesics used. The Principal Investigator agreed that any animals which had a cannula come off would be euthanized. The laboratory staff was retrained on the procedures approved under the protocol.

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.

Sincerely,

(b) (6)

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

cc: IACUC Chair



THE UNIVERSITY OF TEXAS AT AUSTIN
Office of the Vice President for Research

P.O. Box 7996 • FAC 426, G1400 • Austin, Texas 78713-7996 • 512-471-2877 • FAX 512-471-2827

May 26, 2021

Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
RKL 1, Suite 360, MSC 7982
6705 Rockledge Drive
Bethesda, MD 20892-7982

Subject: Report of Non-Compliance with PHS Policy on Humane Care and Use of Laboratory Animals

The Institutional Animal Care and Use Committee (IACUC) at the University of Texas at Austin (Animal Welfare Assurance #A4107-01) submits this report in compliance with section IV.F.3 of the PHS Policy on Humane Care and Use of Laboratory Animals and with the published guidance document NOT-OD-05-034 "Guidance on Prompt Reporting to OLAW under the PHS Policy on Humane Care and Use of Laboratory Animals." This letter is to report one incident involving conduct of animal-related activities without appropriate IACUC review and approval and failure to adhere to IACUC-approved protocols are reportable. The initial report was made to OLAW on March 31, 2021.

This project involves surgically implanting intracranial cannulas in rats. Veterinary staff discovered one rat's cannula fell off and an investigator involved in this project agreed to humanely euthanize the animal. Upon further evaluation of this animal, the investigator saw that the animal was not exhibiting signs of pain or distress and was otherwise displaying normal behaviors, so he performed a repair procedure, which was not described in the IACUC protocol. This animal was ultimately euthanized. Upon reviewing surgical records, the IACUC also discovered that the rat was given an analgesic that differed from the approved drug on the IACUC protocol.

To prevent recurrence, the PI amended his IACUC protocol to update the analgesic. He also confirmed the repair procedure would not occur going forward and that in the future if a cannula fell off, the rat would be humanely euthanized. To ensure all personnel within this laboratory are properly trained on protocol procedures, all personnel on the protocol underwent retraining with the PI and submitted training logs to the IACUC.

The protocol this report pertains to is funded by NIH project number 5R00AA025393, entitled "Identification of novel mechanisms in alcohol-induced cognitive dysfunction". The grant officer has been copied on this notification.

The University of Texas at Austin is committed to protecting the welfare of animals used in teaching and research while facilitating quality research in the scientific community. The University is taking this situation quite seriously and will continue to cooperate with OLAW on this and any further issues of non-

Director, Division of Compliance Oversight
May 26, 2021
Re: PHS Assurance Number A4107-01
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compliance. If you have any questions or require further documentation, please contact
IACUC@austin.utexas.edu.

Sincerely,

(b) (6)

Alison R. Preston
Interim Vice President for Research
University of Texas at Austin

ARP:cim

cc: S. John Mihic, Chair, Institutional Animal Care and Use Committee

(b) (6)

Glen Otto, Attending Veterinarian, Institutional Animal Care and Use Committee
Hemin Chin, Program Official, NIH

Wolff, Axel (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Tuesday, June 1, 2021 6:59 AM
To: IACUC
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: University of Texas at Austin- final report of noncompliance (NIH award # 5R00AA025393)

Thank you for this report. We will send a response soon.

Axel Wolff, M.S., D.V.M.

Deputy Director, OLAW

From: IACUC <IACUC@austin.utexas.edu>
Sent: Friday, May 28, 2021 12:31 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: IACUC <IACUC@austin.utexas.edu>; Alison R. Preston (VPR) <preston@austin.utexas.edu>; Mihic, S J <mihic@austin.utexas.edu>; [REDACTED] (b) (6)
Chin, Hemin (NIH/NIAAA) [E] <hemin.chin@nih.gov>; [REDACTED] (b) (6)
Subject: University of Texas at Austin- final report of noncompliance (NIH award #5R00AA025393)

Good morning,

On behalf of Dr. Alison Preston, Interim Vice President for Research at the University of Texas at Austin (Assurance #A4107-01), please find attached the final report involving noncompliance with NIH grant award 5R00AA025393. The initial report was made on March 31, 2021. Please let me know if you have any questions.

Thank you,

[REDACTED] (b) (6)

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Friday, April 2, 2021 7:13 AM
To: IACUC
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: University of Texas at Austin (A4107-01)- initial report of noncompliance

Thank you for this preliminary report. We will start a new case file and look forward to receiving the final report from the IO after the IACUC has completed its investigation.

Axel Wolff, M.S., D.V.M.

Deputy Director, OLAW.

From: IACUC <IACUC@austin.utexas.edu>
Sent: Wednesday, March 31, 2021 1:00 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: Alison R. Preston (VPR) <preston@austin.utexas.edu>; Mihic, S J <mihic@austin.utexas.edu>; (b) (6)
(b) (6) IACUC <IACUC@austin.utexas.edu>
Subject: University of Texas at Austin (A4107-01)- initial report of noncompliance

Good afternoon OLAW,

On behalf of Dr. Alison Preston, Interim Vice President for Research at the University of Texas at Austin, please accept this initial report of noncompliance on NIH project number 5R00AA025393, under Assurance number A4107-01.

This project involves surgically implanting intracranial cannulas in rats. Veterinary staff discovered one rat's cannula fell off and an investigator involved in this project agreed to humanely euthanize the animal. Upon further evaluation of this animal, the investigator saw that the animal was not exhibiting signs of pain or distress and was otherwise displaying normal behaviors, so he performed a repair procedure which was not described in the IACUC protocol. This animal was ultimately euthanized. Upon reviewing surgical records, the IACUC also discovered that the rat was given an analgesic that differed from the approved drug on the IACUC protocol.

As per NOT-OD-05-034, conduct of animal-related activities without appropriate IACUC review and approval and failure to adhere to IACUC-approved protocols are reportable.

The IACUC will continue to review the matter. After finishing the review, a final report of its conclusions and actions will be submitted to the Office of Laboratory Animal Welfare. In the meantime, please let me know if you have any questions.

Thank you,

(b) (6)