



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

January 13, 2023

Re: Animal Welfare Assurance
A3823-01 [OLAW Case 10R]

Dr. Mary Dickinson
Senior Vice President and Dean of Research
Baylor College of Medicine- Houston
One Baylor Plaza, MS BCM335
Houston, TX 77030

Dear Dr. Dickinson,

The Office of Laboratory Animal Welfare (OLAW) acknowledges receipt of your January 11, 2023 letter reporting a serious deviation from the provisions of the *Guide for the Care and Use of Laboratory Animals* at Baylor College of Medicine. According to the information provided, OLAW understands that three mice died due to being inadvertently weaned at ten days of age. The mice were included in a cohort of mice that were being weaned at the correct age.

The corrective actions consisted of retraining the laboratory staff on weaning and husbandry practices.

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



OFFICE OF RESEARCH

One Baylor Plaza, BCM310
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CONFIDENTIAL

January 11, 2023

Brent Morse, DVM, DACLAM
Director, Division of Compliance Oversight
Office of Laboratory Animal Welfare
National Institutes of Health
olawdco@mail.nih.gov

RE: Assurance #D16-00475

Dear Dr. Morse,

As Institutional Official for Baylor College of Medicine (BCM), I have the duty to inform you of our Institutional Animal Care and Use Committee's (IACUC) recent finding in animal research after an assessment of the following protocol:

Protocol: AN-7369: Neuroplasticity After Peripheral Nerve Stimulation

Species: Mice

Funding Source: National Institutes of Health (NIH) R01-DC017797

For this investigator's first incident of this nature, the IACUC determined that the following finding constituted *serious noncompliance*ⁱ with the federal regulations:

10/1/2022 – Weaning^{ii, iii}

Central animal care facility staff found 3 dead mice pups that were inadvertently weaned by research personnel at 10 days old. These mice were inadvertently included in appropriate separation of another litter of age 28 days in the same cage, as required when notified by central animal facility personnel.

12/13/2022 – Determination at a fully convened IACUC meeting

To protect the welfare of animals and prevent future recurrence, the IACUC required the following corrective action:

1. All research personnel must take the online course "Animal Work at BCM" which covers numerous topics including weaning and cage husbandry.

ⁱ PHS Policy IV.F.3.a: "The IACUC, through the Institutional Official, shall promptly provide OLAW with a full explanation of the circumstances and actions"

ⁱⁱ PHS Policy IV.B.7: "As an agent of the institution, the IACUC shall with respect to the PHS-conducted or supported activities review and approve, require modifications in (to secure approval), or withdrawal approval of proposed significant changes regarding the use of animals in ongoing activities"

ⁱⁱⁱ PHS Policy IV.C.1.d "The living conditions of animals will be appropriate for their species and contribute to their health and comfort. The housing, feeding, and nonmedical care of the animals will be directed by a veterinarian or other scientist trained and experienced in the proper care, handling, and use of the species being maintained or studied"

This finding of non-compliance does not appear to pose any potential or actual effect on costs related to this PHS-supported research.

This notification will also be sent to AAALAC International and the National Institutes of Health according to the terms and conditions of the award.

Please do not hesitate to contact me if you have any questions.

Sincerely,

(b) (6)

Mary Dickinson, PhD
Sr. Vice President and Dean of Research
Institutional Official
Baylor College of Medicine

cc: Principal Investigator
Department Chair
Research Compliance Services files

McCoy, Devora (NIH/OD) [E]

From: OLAW Division of Compliance Oversight (NIH/OD)
Sent: Thursday, January 12, 2023 7:37 AM
To: (b) (6)
Cc: OLAW Division of Compliance Oversight (NIH/OD)
Subject: RE: OLAW Reports- Assurance D16-00475

Good morning (b) (6)

Thank you for sending us these two reports and we will send official responses soon.

Best,
Devora

Devora McCoy, BS, MBA
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: Wednesday, January 11, 2023 4:45 PM
To: OLAW Division of Compliance Oversight (NIH/OD) <olawdco@od.nih.gov>
Cc: (b) (6)
Subject: [EXTERNAL] OLAW Reports- Assurance D16-00475

Dear Dr. Morse,

Please find the attached notifications of research non-compliance as determined by our IACUC, and sent on behalf of Dr. Mary Dickinson, Institutional Official.

Please feel free to contact me if you have any questions.

Thank you,

(b) (6)

