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The Institutional Animal Care and Use Committee (IACUC) is a federally mandated committee that oversees its institution’s animal program, facilities and procedures. It provides a framework for compliance with federal policies, guidelines and principles related to the use of animals in research, teaching and testing. The IACUC is a self-regulating body, which derives its existence from two sources:

1. The Animal Welfare Act and its amendments, which are administered by the USDA through the Animal and Plant Health Inspection Service (APHIS) and

2. The Health Research Extension Act and its amendments, which are administered by the National Institutes of Health (NIH) through the Office of Laboratory Animal Welfare (OLAW).

In addition, The University of Texas at Austin is fully accredited by The Association for the Assessment and Accreditation of Laboratory Animal Care, International (AAALAC), a private, nonprofit organization that promotes the humane treatment of animals in science through voluntary accreditation and assessment programs. It is made up of more than 980 institutions in 44 countries. UT Austin has been fully and continuously accredited since 2001.

Federal regulations, policies, and guidelines:

<table>
<thead>
<tr>
<th>Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Animal Welfare Act and Animal Welfare Regulations (Bluebook)</td>
<td>Policy and regulations established by USDA</td>
</tr>
<tr>
<td>Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals</td>
<td>Policy issued by National Institutes of Health</td>
</tr>
<tr>
<td>U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training</td>
<td>Policy issued by National Institutes of Health</td>
</tr>
</tbody>
</table>

Additional reference resources:

<table>
<thead>
<tr>
<th>Title</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>Institutional Animal Care and Use Committee Guidebook</td>
<td>IACUC Guidebook published by ARENA/OLAW</td>
</tr>
<tr>
<td>Laboratory Animal Management: Rodents</td>
<td>Report issued by National Research Council</td>
</tr>
<tr>
<td>Biosafety in Microbiological and Biomedical Laboratories</td>
<td>Find biosafety guidelines issued by CDC and U.S. National Institutes of Health</td>
</tr>
<tr>
<td>Guidelines for Research Involving Recombinant DNA Molecules</td>
<td>Biosafety guidelines published by National Institute of Health</td>
</tr>
<tr>
<td>Guidelines For Use Of Live Amphibians And Reptiles In Field And Laboratory Research</td>
<td>Guidelines published by American Society of Ichthyologists and Herpetologists</td>
</tr>
<tr>
<td>Guidelines To The Use Of Wild Birds In Research</td>
<td>Guidelines issued by The Ornithological Council</td>
</tr>
<tr>
<td>Fish Research and the Institutional Animal Care and Use Committee</td>
<td>Guidelines issued by Institute for Laboratory Animal Resources</td>
</tr>
<tr>
<td>Guidelines for the Use of Fishes in Research</td>
<td>Guidelines issued by American Fisheries Society</td>
</tr>
<tr>
<td>Guidelines of the American Society of Mammalogists for the Use of Wild Mammals in Research</td>
<td>Guidelines issued by American Society of Mammalogists</td>
</tr>
</tbody>
</table>
Contact Information

The IACUC office and ARC are separate entities, but both are available to help researchers with any animal research related needs. Below is a list of examples for when you should contact each.

<table>
<thead>
<tr>
<th>Contact IACUC:</th>
<th>Contact ARC:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• With any eProtocol related questions</td>
<td>• With any eAnimal Ordering related questions</td>
</tr>
<tr>
<td>• To request the status of a protocol review</td>
<td>• With questions regarding ARC facilities rates and billing, room scheduling</td>
</tr>
<tr>
<td>• For information regarding semiannual program reviews</td>
<td>or to request access to the ARC</td>
</tr>
<tr>
<td>• With welfare concerns involving the care and use of laboratory animals</td>
<td>• For inquiries regarding technical services and specialized training in</td>
</tr>
<tr>
<td>• For information on grant congruency</td>
<td>support of ongoing research projects</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Sector</th>
<th>Phone</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>General IACUC Correspondence</td>
<td>IACUC</td>
<td>512-471-8871</td>
<td><a href="mailto:iacuc@austin.utexas.edu">iacuc@austin.utexas.edu</a></td>
</tr>
<tr>
<td>Send protocol-related matters here</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vet Staff Correspondence</td>
<td>ARC</td>
<td>512-205-2107 (on-call #: use for urgent issues)</td>
<td><a href="mailto:vetstaff@austin.utexas.edu">vetstaff@austin.utexas.edu</a></td>
</tr>
<tr>
<td>John Mihic, PhD</td>
<td>IACUC</td>
<td>512-232-7174</td>
<td><a href="mailto:mihic@austin.utexas.edu">mihic@austin.utexas.edu</a></td>
</tr>
<tr>
<td>IACUC Chairman</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Glen Otto, DVM, DACLAM</td>
<td>ARC</td>
<td>512-471-2392</td>
<td><a href="mailto:gotto@austin.utexas.edu">gotto@austin.utexas.edu</a></td>
</tr>
<tr>
<td>Attending Veterinarian, ARC Director</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Catherine McGuire, BS, CPIA</td>
<td>IACUC</td>
<td>512-232-3765</td>
<td><a href="mailto:c.mcguire@austin.utexas.edu">c.mcguire@austin.utexas.edu</a></td>
</tr>
<tr>
<td>IACUC Manager</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Laura Wilding, DVM, PhD, DACLAM</td>
<td>ARC</td>
<td>512-232-3487</td>
<td><a href="mailto:lwilding@austin.utexas.edu">lwilding@austin.utexas.edu</a></td>
</tr>
<tr>
<td>Senior Clinical Veterinarian</td>
<td></td>
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<tr>
<td>Nachi Shukla</td>
<td>ARC</td>
<td>512-232-2043</td>
<td><a href="mailto:n.shukla@austin.utexas.edu">n.shukla@austin.utexas.edu</a></td>
</tr>
<tr>
<td>Assistant Director, Animal Care &amp; Operations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jennifer Cassaday, LATG</td>
<td>IACUC</td>
<td>512-585-0223</td>
<td><a href="mailto:jencassaday@austin.utexas.edu">jencassaday@austin.utexas.edu</a></td>
</tr>
<tr>
<td>Assistant Director, Animal Research Quality Assurance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Debby Szczepanski, BS, RLATg</td>
<td>IACUC</td>
<td>512-232-2044</td>
<td><a href="mailto:dszczepanski@austin.utexas.edu">dszczepanski@austin.utexas.edu</a></td>
</tr>
<tr>
<td>IACUC &amp; IBC Compliance Program Coordinator</td>
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</tr>
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</table>

Useful resources for working with research animals:

- Institutional Animal Care and Use Committee
- Animal Resources Center
- Occupational Health Program (OHP): Vaccinations, work injury, health risk, assessment, etc.
- Environmental Health and Safety (EHS): Lab safety information
- Institutional Biosafety Committee (IBC): Does your project require IBC approval?
Protocol Submission – eProtocol IACUC

eProtocol IACUC allows for the online submission, review, routing and tracking of animal utilization proposals (AUP or protocol) and Animal Utilization Registration Forms (AURFs): https://spike.orsc.utexas.edu/ep2/

1. Animal Utilization Proposal (AUP or protocol) Form. This form must be used when requesting approval to use vertebrate animals for any teaching, research and/or testing performed at The University of Texas at Austin.

2. Animal Utilization Registration Form (AURF). This form must be used to register a project involving live vertebrate animals and utilizing funds or personnel that are affiliated with The University of Texas at Austin when the research is performed wholly at another institution.

Detailed instructions for how to create and submit a new animal use protocol (as well as submitting amendments, continuing reviews, closure reports, and adverse events, PLUS helpful tips for using the system) can be found here: https://research.utexas.edu/ors/animal-research/eprotocol-iacuc/

Animal Ordering – eAnimal Ordering

eAnimal Ordering allows you to order animals or view the routing and tracking information of a vertebrate research animal order request: https://research.utexas.edu/arc/services/animal-ordering/

An eAO User Manual as well as additional important information about ordering animals can be found here: https://research.utexas.edu/arc/services/animal-ordering/

IACUC Meeting Dates

The IACUC may choose to review any submission at a convened meeting. These submissions are designated as Full Committee Review (FCR). Submissions of increased complexity and concern have a higher likelihood of being designated for FCR.

When to Submit: Protocols must undergo a pre-review procedure that includes an assessment for inaccuracies and confirmation of content prior to being sent to the Committee. Therefore, investigators must allow sufficient time for RSC staff to complete pre-review when submitting an application. It is recommended that complex protocols such as those with invasive procedures, multiple procedures, and novel procedures be submitted at least 4 weeks prior to the meeting. Researchers should not expect complete protocols submitted less than 3 weeks prior to the meeting to be placed on the upcoming agenda.

Meeting dates can be found here: https://research.utexas.edu/ors/animal-research/iacuc-meeting-dates-and-fees/
Institutional Animal Care and Use Committee

IACUC guidelines have been written to assist faculty, staff, and students in performing vertebrate animal procedures in a humane manner and complying with pertinent regulatory requirements. Under some circumstances deviations from these procedures may be indicated but such variances must be approved in advance by the IACUC.

- Investigators must “agree to” applicable guidelines within the protocol or “disagree” and explain what changes to the standard procedures they would like to implement for the project. Once agreed to, the guidelines become part of the protocol that all protocol personnel must be trained on.

The IACUC also has policies, procedures, and informational documents regarding topics such as:

- When IACUC approval is required, requirements for PIs and other research personnel, protocol submission and review, post-approval monitoring, animal welfare concerns, noncompliance, and unanticipated events, research funding, and more.

All IACUC guidelines, policies, and procedures can be found here: https://research.utexas.edu/ors/animal-research/policies-procedures-and-guidelines/

Animal Resources Center

The ARC has developed numerous policies and procedures regarding subjects such as:

- Facility access, cage identification requirements, rodent housing requirements, animal transport and transfers, procedures for nonstandard feeding and watering, importing special rodent strains, campus carry exclusion zones, and more.

All ARC policies and procedures can be found here: https://research.utexas.edu/arc/policies-and-procedures/

The ARC has published surgical and anesthesia guidance that is available to investigators. This includes species-specific guidelines as well as record templates. https://research.utexas.edu/arc/arc-guidance/

See the following link for various forms that must be used as applicable (i.e. protocol transfer form, biohazardous or chemical animal project initiation forms, ARC access form, animal transport form, etc.): https://research.utexas.edu/arc/forms/

Environmental Health and Safety

These guidelines have been written by Environmental Health & Safety staff to be used as a resource for faculty, staff, and students to provide guidance and best practices for animal users.

- Controlled Substances – PIs using controlled substances in their laboratory research (including research animals) are subject to extensive state and federal regulatory requirements. https://ehs.utexas.edu/programs/labsafety/controlled-substances.php

- Safety Guidelines for Field Researchers – Fieldwork is an important part of teaching and research at UT Austin. Since fieldwork activities take you off campus, this guide is intended to help you plan and prepare for health and safety problems you might encounter in the field. https://ehs.utexas.edu/training/field-guide.php

HealthPoint Occupational Health Program
The following documents were created by HealthPoint OHP to assist researchers with personnel health-related topics.

- Lab Animal Allergy Prevention Information Guide - Personnel who handle or conduct research with animals may be exposed to a variety of animal products. These animal products contain proteins that may be allergenic and can trigger an allergic reaction in some personnel and may lead to the development of asthma. The development of an allergic response to animal proteins while working with laboratory animals is an occupational risk that can require medical treatment and affect future career options. https://hr.utexas.edu/sites/hr.utexas.edu/files/Lab_Animal_Allergy_Prevention_Guide_0.pdf

- First Report of Incident Injury Memo – For work-related injuries, please complete an Incident Injury Memo and fax the form to OHP. https://hr.utexas.edu/current/insurance/workers-compensation-insurance

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**Animal User Training Requirements and Opportunities**

**Mandatory training before protocol approval:** Any person who will handle, manipulate or perform procedures on live vertebrate animals (whether in the laboratory or in the field) must complete a two-step process, which involves:

- Step 1 – Enroll in the HealthPoint Occupational Health Program (OHP) https://hr.utexas.edu/current/services/occupational-health-program#labs

- Step 2 – Complete the web-based training modules in AALAS Learning Library (access through eProtocol IACUC) https://research.utexas.edu/ors/animal-research/mandatory-training-for-working-with-animals/
  - This will include species-specific modules as well as a general Orientation module

**Additional training opportunities after IACUC approval:** Hands on training is available and free of charge to all UT researchers using animals on an approved protocol. Please fill out a training request form and staff will contact you to discuss and set up training sessions. If you have questions about what is offered please contact Dr. Laura Wilding at l.wilding@austin.utexas.edu.
To access the training request form: https://research.utexas.edu/arc/services/training-information/

**Documentation of training:** Research personnel involved in animal research must have the necessary knowledge and expertise in protocol procedures as well as species to be used on the protocol. The IACUC has provided a customizable form that is required to be completed by laboratory personnel and their trainer to document and ensure training in lab-specific animal procedures. It can be downloaded here: https://research.utexas.edu/ors/animal-research/documents-materials-and-forms/

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**Veterinary Consultation**

ARC veterinarians are available to consult with investigators regarding protocol procedures. The IACUC requires veterinary consultation for all procedures that are pain/distress category D or E. See the contact page of this manual for veterinarian information.
Protocol Review Methods

**Full Committee Review (FCR)** – any protocol may be called to FCR. The following types of submissions are automatically sent to FCR:

a. New/third year resubmission resubmissions that also have USDA covered species AND/OR pain/distress category D (survival) or E procedures

**Designated Member Review (DMR)** – “low risk” full protocols, amendments containing significant changes, and continuing reviews are sent to vote for 5 business days. This gives IACUC members the opportunity to request FCR or DMR. If no members request FCR, then 1 or more DMRs are assigned.

**Administrative Review** – non-significant changes can be reviewed and approved by ORSC staff. These changes include: personnel, funding, or grammar.

**Veterinary Verification of Consultation** – some change may be approved by a UT Austin veterinarian. The change cannot result in greater pain or distress in the affected animals. The specific intent of the procedure must remain the same. Changes may involve: 1) a change in anesthesia, analgesia, and sedation methods, 2) changes in euthanasia, and 3) duration, frequency, type, or the number of performances of an approved procedure.

There are two methods for VVC review.

1. PI creates and submits an amendment form through eProtocol
   ORSC staff conducts a pre-review & identifies possibility of VVC approval
   Vet determines if change is allowed based on IACUC pre-approved criteria
   Amendment returns to DMR process
   Change is approved

2. Veterinary Consultation with PI – vet gives verbal approval
   PI creates and submits an amendment form through eProtocol
   ORSC staff forwards amendment to vet
   Vet verifies amendment reflects verbal approval given & works with PI on revisions if it doesn’t
   Change is approved
ARC Rate & Billing Information; Procedural Room Scheduling

Rate and Billing Information

The current Animal Resource Center (ARC) ‘Cost, Subsidy and Rate Schedule’ and ‘Rates for Services’ may be found using the following link: https://research.utexas.edu/arc/services/rate-and-budget-schedule/

Procedural Room Scheduling

Procedural rooms may be scheduling by using the following link: https://research.utexas.edu/arc/services/room-scheduling/

Grant Congruence Review

Grant congruency is required for federal funding (i.e. NIH, NSF, NASA) in the pre-award stage. The IACUC verifies congruency by comparing the grant proposal to the IACUC protocol.

**Just in Time (JIT) Requests** - In order to reduce the administrative burden of requiring various certifications as part of initial grant applications, the NIH/NSF has instituted a request process whereby only those proposals with the possibility of being funded will be asked to submit these documents. Within 15 days of receiving a fundable proposal score, a JIT request will be sent to the investigator and institution. The NIH/NSF understands that it may not be possible to receive IACUC approval in the timeframe that a response is due for Just in Time requests. Therefore, IACUC approval is not required as part of the response. However, grant funds will not be released until IACUC approval has been granted. It is suggested that investigators begin the IACUC approval process as soon as funding appears probable.

(Note: Various non-federal funding groups also use variances of a Just-In-Time submission process. You should note any differences you need to be aware of including deadlines for submission.)

![Example Timeline](Image)

**Requesting a Congruence Review** - The investigator should attach a full copy of the grant proposal that was submitted to the NIH/NSF to the eProtocol submission. The IACUC will validate grant congruence as part of the protocol approval process. As part of the review process, the investigator may be asked additional questions, to add clarifying comments, and add additional information in relation to congruence. Additionally, further amendment of the protocol may be necessary if contradictions exist. **NOTE: The protocol approval letter is not a verification of grant congruence and should not be used to indicate to granting agencies that grant congruence verification was performed. Please contact the IACUC (iacuc@austin.utexas.edu) to request a memo confirming grant congruence.**

**Department of Defense** - Agencies of the Department of Defense (DOD) use a two-step/dual approval process for work involving animals. All DOD funded work approved by the University of Texas IACUC must receive secondary approval from the DOD prior to initiation. Implementing any change prior to receiving the secondary DOD approval notice is considered non-compliance with grant stipulations.
1. **Quality Assurance (QA) Visits** - Conducted by the Office of Research Support and Compliance, Quality Assurance Assistant Director (QAAD). The QAAD will conduct scheduled QA visits on behalf of the IACUC to carry out an in-depth review of study procedures and records, provide education, and maintain a positive relationship between the IACUC and research labs.

2. **IACUC Designated Post Approval Monitoring**
   
a. **Close Veterinary Assistance (CVA)** - The IACUC may at any time determine that a research group performing particular procedures would benefit from close interaction with the veterinary staff of the Animal Resources Center as the studies commence. When CVA is required, the PI will be notified and required to contact veterinary staff before scheduling and attempting procedures that require CVA. As the monitored work is performed, the veterinary staff will provide direct observation as well as education, guidance and follow-up to investigators. Feedback regarding progress, outstanding concerns, and recommendation for removal of oversight will be provided to the IACUC by the ARC veterinarians. Protocols will be removed from this process by the IACUC when oversight is no longer required.

   b. **Quality Assurance Assistance (QAA)** - Protocols that are recommended for oversight by the IACUC but do not need close veterinary assistance will be administered by the QAAD. Examples of such protocols are those involving previous issues with non-compliance, record issues, rigorous documentation requirements or other issues identified to need assistance and monitoring by the IACUC. Feedback regarding progress, outstanding concerns, and recommendation for removal of oversight will be provided to the IACUC by the QAAD. Protocols will be removed from this process by the IACUC when oversight is no longer required.

3. **IACUC Semiannual Inspections and Protocol Review** - The IACUC provides ongoing oversight to animal research by reviewing protocols and conducting semi-annual inspections of animal housing, use, and vivarium support spaces.
   
a. During the inspection, you can expect the committee will evaluate or review:
      
      - Appropriateness of facilities, personnel and equipment to provide adequate care to animals
      - Cleanliness of facilities, lab areas and equipment
      - Evaluation of potential hazards and safety considerations for personnel
      - Adherence to aseptic techniques
      - Animal identification and health records, equipment service records, Standard Operating Procedures (SOPs), controlled substance logs, environmental control, husbandry records, etc.
      - Euthanasia practices
      - Storage and expiration date of drugs and chemicals used in animals
      - Animal husbandry
      - Any other considerations listed on the OLAW Inspection Checklists: https://olaw.nih.gov/sites/default/files/checklist_html.htm#2a
   
   b. You can prepare your laboratory for inspections by reviewing the laboratory self-evaluation checklists here: https://research.utexas.edu/ors/animal-research/documents-materials-and-forms/
Reporting Animal Welfare Concerns

It is the policy of The University of Texas at Austin that the best possible care be given to ALL animals used for research, teaching, and testing.

The Institutional Animal Care and Use Committee (IACUC) is obligated to investigate concerns regarding the care and treatment of animals used in research, teaching, or testing at The University of Texas at Austin.

Concerns about animal care and use should be reported to any of the following:

<table>
<thead>
<tr>
<th>Attending Veterinarian</th>
<th>(512) 471-2392 or <a href="mailto:gotto@austin.utexas.edu">gotto@austin.utexas.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>IACUC</td>
<td>(512) 471-8871 or <a href="mailto:iacuc@austin.utexas.edu">iacuc@austin.utexas.edu</a></td>
</tr>
<tr>
<td>University Compliance Services</td>
<td>Report anonymously online: <a href="https://compliance.utexas.edu/compliance-and-ethics-hotline">https://compliance.utexas.edu/compliance-and-ethics-hotline</a></td>
</tr>
<tr>
<td></td>
<td>Phone: English 877-507-7321</td>
</tr>
<tr>
<td></td>
<td>Español 800-216-1288</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:compliance@austin.utexas.edu">compliance@austin.utexas.edu</a></td>
</tr>
</tbody>
</table>

Individual(s) reporting concerns do not have to identify themselves, and the University will protect the privacy of those who report concerns to the maximum extent possible. The concerned, reporting party is protected from discrimination. The policy of the University is to prohibit unlawful retaliation against employees as a consequence of good faith actions in the reporting of, or the participation in an investigation pertaining to, allegations of wrongdoing.

Whistleblower posters should be posted in animal use areas, including satellite facilities. English and Spanish versions can be found on the IACUC Documents, Forms & Materials page: [https://research.utexas.edu/ors/animal-research/documents-materials-and-forms/](https://research.utexas.edu/ors/animal-research/documents-materials-and-forms/)

Adverse Events and Protocol Noncompliance

Adverse events and protocol noncompliance should be reported to the IACUC by utilizing the eProtocol Adverse Event Form.

**Adverse event** - an instance of unanticipated (not in the approved protocol) signs or outcomes where there is direct harm to animals or personnel. Adverse events include debilitation, animal death, illness, distress, or trauma that exceeds normal expectations as described in the approved protocol. Examples include increased or unexpected morbidity or mortality or facility or weather-associated events (e.g., HVAC or power failure, flooding, fire) that negatively impact the welfare of an animal. IACUC or veterinary staff may assist investigators in determining if an adverse event is reportable on an individual basis.

**Protocol noncompliance** - occurs when procedures or policies approved by the IACUC are not being followed. Examples include performing unauthorized surgery, unauthorized persons participating in a research project, or injecting drugs that the IACUC has not approved. When faced with protocol noncompliance, the IACUC’s first step, if possible, should be to find a way to bring the protocol into compliance. It is critical to train all lab personnel that the protocol and guidelines “agreed to” within are considered to be a contract that must be followed. Any differences must receive prior approval from the IACUC and/or an ARC veterinarian.

Review IACUC Policy Section 6 for information about institutional sanctions and reporting requirements: [https://research.utexas.edu/ors/animal-research/policies-procedures-and-guidelines/](https://research.utexas.edu/ors/animal-research/policies-procedures-and-guidelines/)
This plan provides a toolkit for investigators at the University of Texas at Austin who are directly contacted by the media or members of the public requesting information about their use of animals in research. Note: This is an internal document created to assist Principal Investigators at UT Austin. It must not be shared with people outside of the university.

https://research.utexas.edu/ors/animal-research/information-for-researchers/investigators-guide-to-requests-from-the-media-or-public/

The University of Texas at Austin’s Commitment to Responsible Use of Animals in Research statement from the IO can be found here: https://research.utexas.edu/ors/animal-research/university-of-texas-at-austins-commitment-to-responsible-use-of-animals-in-research/