

Use of Animals in Research, ~~and Teaching,~~ and Testing

<b>Responsible Officer:</b>	VP - Research & <del>Graduate Studies</del> <u>Innovation</u>
<b>Responsible Office:</b>	<del>RG--</del> Research & <del>Graduate Studies</del> <u>Innovation</u>
<b>Issuance Date:</b>	<del>10/14/1984</del> <u>TBD</u>
<b>Effective Date:</b>	<u>TBD</u> <del>10/14/1984</del>
<b><u>Last Review Date:</u></b>	<u>10/14/1984</u>
<b>Scope:</b>	This policy applies to <del>the use of animals in all research teaching at the</del> University of California (UC) faculty, staff, <u>and students who are conducting Animal Activities (as defined in this Policy) within the course and scope of their University duties or studies, and to non-UC persons (such as volunteers or visiting scholars) participating in UC Animal Activities, campuses and the Lawrence-Berkeley National Laboratory, irrespective of whether the research is funded from extramural or internal sources.</u>

<b>Contact:</b>	<u>Deborah Motton</u> <u>Jeff Hall</u>
<b><u>Title:</u></b>	<u>Executive Director, Research Policy Analysis and Coordination</u>
<b>Email:</b>	<u>jeff.hall@usop.edu</u> <u>Deborah.Motton@ucop.edu</u>
<b>Phone #:</b>	(510) 987- <u>60530688</u>

**TABLE OF CONTENTS**

<b>I. POLICY SUMMARY .....</b>	<b>1</b>
<b>II. DEFINITIONS .....</b>	<b>2</b>
<b>III. POLICY TEXT .....</b>	<b>3</b>
<b>IV. COMPLIANCE / RESPONSIBILITIES .....</b>	<b>4</b>
<b>V. PROCEDURES .....</b>	<b>5</b>
<b>VI. RESOURCES .....</b>	<b>5</b>
<b>VII. FREQUENTLY ASKED QUESTIONS .....</b>	<b>6</b>
<b>VIII. REVISION HISTORY .....</b>	<b>6</b>
<b><u>IX. APPENDIX .....</u></b>	<b><u>6</u></b>

## I. POLICY SUMMARY

---

The use of Animals in research and teaching, is integral to scientific, educational, and agricultural progress; it is a privilege, not a right, and it carries substantial obligations. UC is committed to integrity in its use of Animals in research, teaching, and testing and will conduct those activities in a manner that adheres to applicable legal, ethical, and professional standards.

UC's Animal care and use programs (as defined in this Policy, hereafter "Programs") establish and maintain high standards and safeguards to protect the health and well-being of Animals in accordance with all applicable federal, state, and local laws, and regulations outlined in this policy. Each UC Location's Program must comply with the procedures described in Section V of this Policy, including complying with relevant regulations and guidance, holding required assurances, registrations and accreditations, as specified, and providing appropriate facilities, personnel, equipment, and services.

This policy outlines core principles for the conduct of Animal Activities (as defined in this Policy), describes essential regulatory compliance requirements, and establishes animal care, use, and welfare roles and responsibilities.

The University, committed to maintaining high standards for the care and use of animals in research and teaching, therefore adopts as its own principles the U.S. Government Principles for Utilization and Care of Vertebrate Animals Used in Testing, Research and Training, and the Public Health Services Policy on the Humane Use and Care of Laboratory Animals, "Principles for Use of Animals."

## II. DEFINITIONS

---

**Animal:** as defined by federal regulations and accrediting bodies, any live vertebrate animal (including laboratory, wildlife, and agricultural animals), used or intended for use in research, teaching, and/or testing. Additionally, federal regulations or accreditation requirements may apply to certain invertebrate animals.

**Animal Activities:** for the purpose of this policy, any activity that involves the use of Animals for research, testing, and teaching.

**Animal Care and Use Program (Program):** A multi-component program that works synergistically to support activities involving Animals such as: the Institutional Animal Care and Use Committee, IACUC Procedures, Veterinary Care, Personnel Qualifications and Training, Occupational Health and Safety, Animal Facilities and Husbandry, and Disaster Planning and Emergency Preparedness.

**Institutional Animal Care and Use Committee (IACUC):** the oversight committee at each UC Location as mandated under the Animal Welfare Act (AWA) and the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals to assess and oversee that UC Location's Program. IACUC membership consists of UC faculty from various scientific disciplines experienced in research involving Animals, as well as veterinarians, non-

scientists, staff, and individuals not affiliated with UC representing the interests of the public/community.

**3Rs:** internationally accepted principles for the ethical consideration of animals in research.<sup>1</sup> The 3Rs principles are:

**Reduction** = minimizing the number of animals used, without jeopardizing statistical validity

**Refinement** = use of methods which minimize the pain, suffering, distress or lasting harm that research animals might experience

**Replacement** = avoiding the use of animals in an experiment where possible, and substituting with non-animal method (e.g., computer simulation) or lower animal species where appropriate

**UC Location:** any UC campus or Health Center, the Lawrence Berkeley National Laboratory (LBNL), and the Division of Agriculture and Natural Resources (ANR), including all the sites managed by them.

See “Definitions” section of the Public Health Services Policy on the Humane Use and Care of Laboratory Animals.

---

### III. POLICY TEXT

---

The following standards apply to all Animal Activities at any UC Location:

1. Procedures involving Animals may only be conducted when they will contribute to the advancement of knowledge that is likely to lead to the improvement of animal or human health and welfare, a greater understanding of biological processes, the animals themselves, human health, or for the good of society
2. All proposed Animal Activities must:
  - a. apply the principles of the 3Rs
  - b. be reviewed by the IACUC
3. Animal Activities cannot begin without:
  - a. IACUC approval
  - b. ancillary reviews (e.g., Environmental Health and Safety, Occupational Health and Safety), when applicable
  - c. secured federal, state, and/or local permits (in the U.S. or internationally), for field research and species collection
4. All personnel who plan to work with Animals or are listed on an animal care and use protocol must meet the training requirements mandated by a Location’s IACUC training policy
5. Animal Activities must be planned and conducted according to the applicable laws, regulations and guidance listed below:

~~The University of California recognizes the importance of the use of animals in its research and teaching programs. Animals are vital both for understanding basic biological~~

---

<sup>1</sup> W.M.S. Russell and R.L. Burch, The Principles of Humane Experimental Technique, 1959

~~processes and in developing treatment for human and animal diseases.~~

- ~~U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training~~
- ~~Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy)~~
- ~~Animal Welfare Act (AWA) / Animal Welfare Regulations (AWR)~~
- ~~Guide for the Care and Use of Laboratory Animals (The Guide)~~
- ~~Guide for the Care and Use of Agricultural Animals in Research and Teaching (Ag Guide)~~
- ~~American Veterinary Medical Association (AVMA) Guidelines for the Euthanasia of Animals~~
- ~~Taxon-specific guides listed in Section VII of this policy~~
- ~~Other applicable federal, state, and local statutes and regulations concerning the care and use of Animal subjects~~
- ~~International laws and regulations, for Animal use outside of the U.S.~~
- ~~UC policies specific to that Location~~

~~Unless otherwise specified in a relevant contract or agreement, all Animals bred or procured by UC for research, teaching, or testing purposes are the property of UC.~~

~~The University, committed to maintaining high standards for the care and use of animals in research and teaching, therefore adopts as its own principles the U.S. Government Principles for Utilization and Care of Vertebrate Animals Used in Testing, Research and Training, and the Public Health Services Policy on the Humane Use and Care of Laboratory Animals, "Principles for Use of Animals." The University, including its investigators and researchers, accepts responsibility for determining that research and teaching involving the use of animals fulfill these principles.~~

~~It is University policy that University practices for the procurement, housing, care, and use of animals should conform to the NIH Guide for the Care and Use of Laboratory Animals in Research (DHEW 78-23), reprinted in 1980 (DHEW 80-23 or succeeding editions), all requirements of the United States Department of Agriculture (USDA) and all regulations issued by the USDA implementing the Animal Welfare Act (P.L. 89-544) as amended. The Chancellor, Vice President, or Director shall take appropriate action to meet such standards. The policy applies to all research and teaching irrespective of whether the research is funded from extramural or internal sources.~~

---

#### **IV. COMPLIANCE / RESPONSIBILITIES**

---

~~**Chancellor, Vice President of Agricultural and Natural Resources, and National Laboratory Director:** Serves as the UC Location's Chief Executive Officer (CEO) and is ultimately responsible for the UC Location's Program as per The Health Research Extension Act/ the PHS Policy, and the AWA/AWR. The CEO may delegate Program oversight authority to a senior level administrator (e.g., Vice Chancellor for Research) designated to serve as the Location's Institutional Official (see below). Such delegation must be in writing.~~

**Institutional Official (IO):** This senior level administrator is charged with the overall administrative oversight of the UC Location's Program to ensure legal, regulatory, and fiscal compliance.

**IACUC:** This independent committee is responsible for supporting and facilitating use of Animals by administering and upholding the standards set forth in the regulatory and guidance documents listed in Section IV.5. of this policy. Its primary functions are mandated by PHS Policy IV.B. and AWR 2.31(c). IACUCs at UC Locations may create and administer additional institutional policies or equivalent guidance documents to effectively administer that Location's Program. The IACUC also has the discretion/ responsibilities for determining applicability of this policy to research conducted by UC personnel with non-UC-owned animals or at non-UC institutions.

**UC Location's Attending Veterinarian (AV):** Consistent with PHS, USDA, and/or AAALAC requirements, has training in, and has Program authority and responsibility for, the health and wellbeing of all Animals used by the Location, and for the oversight of facilities, personnel, equipment, and services to monitor the health status of the Animals and meet their species-specific needs.

**Principal Investigator (PI):** Is responsible for the oversight and conduct of all Animal Activities performed under their approved IACUC protocol. PIs have an obligation to ensure that both they and any other individual working with Animals under their authority comply with applicable regulations and policies. The PI must ensure that all personnel working with Animals are trained to conduct the procedures as described in the protocol and must ensure adequate supervision to affirm that personnel are adhering to the protocol. The PI must obtain IACUC approval prior to initiating, modifying, or extending any project involving the use of Animals.

#### ~~ACCREDITATION~~

~~All facilities in which animals are housed shall be fully accredited by the American Association for the Accreditation of Laboratory Animal Care (AAALAC) or the Chancellor, Vice President, or Director shall be taking appropriate action to achieve such accreditation.~~

#### ~~RESPONSIBILITY FOR COMPLIANCE.~~

~~The Chancellors, the Directors of the Department of Energy Laboratories, and the Vice President - Agriculture and Natural Resources are responsible for compliance with this policy in their institutions. They are authorized to take appropriate action for those activities under their jurisdiction to implement regulations required by all funding and regulatory agencies on the care and use of animals in research and teaching. Each Chancellor and Director and the Vice President shall establish implementing procedures including an animal research committee to assure adequate review of animal facilities, procedures, research, and teaching protocols.~~

~~The committee shall consist of no fewer than five members with varying backgrounds. At least one member shall be a licensed doctor of veterinary medicine and at least one member shall be a person whose primary vocation is in a nonscientific area. One~~

~~member shall be unaffiliated with the institution,~~

#### ~~RESPONSIBILITY IN OFFICE OF THE PRESIDENT~~

~~The Provost and Executive Vice President--Academic Affairs is responsible, on behalf of the President, for assuring University compliance with the policy and for developing any modifications or exceptions to policy as appropriate.~~

---

## V. PROCEDURES

---

Under this policy each UC Location must:

1. Ensure their Program complies with all relevant regulatory and guidance documents, including those specified in Section IV.5. of this policy to maintain the well-being of the Animals under UC care.
2. Hold an active PHS Animal Welfare Assurance with [NIH/OLAW](#) and a registration with [USDA-Animal and Plant Health Inspection Service \(APHIS\)](#) (if applicable), and maintain accreditation from [AAALAC International](#), a voluntary accreditation organization that evaluates institutional Animal Care and Use Programs according to standards described in the Guide.

In implementing their Animal Program, UC Locations may supplement this Policy.  
~~Not applicable.~~

---

## VI. ~~RELATED INFORMATION~~SOURCES

---

[AAALAC International](#)

[American Veterinarian Medical Association \(AVMA\) Guidelines for the Euthanasia of Animals](#)

[Animal Welfare Act, as Amended \(7 USC, 2131-2156\)](#)

[Animal Research: Reporting of In Vivo Experiments \(ARRIVE\) Guidelines](#)

[CDC/NIH: Biosafety in Microbiological and Biomedical Laboratories \(BMBL\)](#)

[Code of Federal Regulations, Title 9, Chapter 1, Subchapter A \(Animal Welfare Act Regulations\)](#)

[National Research Council \(NRC\) \*Guide for the Care and Use of Laboratory Animals\*, 8<sup>th</sup> Ed., 2011](#)

[American Dairy Science Association®, American Society of Animal Science, and Poultry Science Association \*Guide for the Care and Use of Agricultural Animals in Research and Teaching\*, 4<sup>th</sup> Ed., 2020](#)

[The Health Research Extension Act of 1985 \(HREA\)](#)

National Research Council, *Occupational Health and Safety in the Care and Use of Research Animals*, 1997

OLAW Guide Notices

Planning Research and Experimental Procedures on Animals (PREPARE) Guidelines

Public Health Service Policy on Humane Care and Use of Laboratory Animals, Revised 2015

U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training, 1985.

W.M.S. Russell and R.L. Burch, *The Principles of Humane Experimental Technique*, 1959

3Rs Collaborative

### **Taxon-specific Guides:**

American Fisheries Society, *Guidelines for the Use of Fishes in Research*, 2014

American Society of Ichthyologists and Herpetologists, *Guidelines for Use of Live Amphibians and Reptiles in Field and Laboratory Research*, 2004

American Society of Mammalogists, *2016 Guidelines of the American Society of Mammalogists for the use of wild mammals in research and education*, 2016

The Ornithological Council, *Guidelines to the Use of Wild Birds in Research*, 2023  
Animal Welfare Act, as amended, and the regulations promulgated in CFR, Title 9,  
Subchapter A, Parts 14

---

## **VII. FREQUENTLY ASKED QUESTIONS**

N.A. ~~Not applicable.~~

---

## **VIII. REVISION HISTORY**

**Date TBD:** This policy replaces the previous Policy on Animal Use in Research and Teaching (eff. October 14, 1984; was reformatted into the standard University of California policy template effective with updates to statutory and regulatory references April 4, 2012).

Theis policy was not changed in this also reformatteded, but statutory and regulatory references have been updated and redundant text was deleted. to meet Web Content Accessibility Guidelines (WCAG) 2.0

---

## **IX. APPENDIX**

N.A.