



Use of Animals in Research, Teaching, and Testing

Responsible Officer:	VP – Research & Innovation
Responsible Office:	Research & Innovation
Issuance Date:	TBD
Effective Date:	TBD
Last Review Date:	TBD
Scope:	This policy applies to all University of California (UC) faculty, staff, 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.

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TABLE OF CONTENTS

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

I. POLICY SUMMARY

University of California – Policy
Use of Animals in Research and Teaching

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, and holding required assurances, registrations and accreditations, as specified.

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.

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/or 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.¹ 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.

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, when applicable
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 in accordance with the applicable laws, regulations and guidance listed below:
 - [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 \(PHS Policy\)](#)

¹ W.M.S. Russell and R.L. Burch, [The Principles of Humane Experimental Technique](#), 1959

- [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 VI](#) 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.

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 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 III.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 is responsible 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.

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 III.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.

VI. RESOURCES

[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](#), 8th 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](#), 4th Ed., 2020

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

University of California – Policy
Use of Animals in Research and Teaching

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

VII. FREQUENTLY ASKED QUESTIONS

N.A.

VIII. REVISION HISTORY

Date TBD: This policy replaces the previous Policy on Animal Use in Research and Teaching (eff. October 14, 1984; reformatted with updates to statutory and regulatory references April 2012).

This policy is also reformatted to meet Web Content Accessibility Guidelines (WCAG) 2.0

IX. APPENDIX

N.A.