Use of Animals in Research, Teaching, and Testing

Responsible Officer:	VP – Research & Innovation
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Issuance Date:	9/24/2025
Effective Date:	9/24/2025
Scope:	This Policy applies to all University of California (UC) staff, students, faculty, and other academic appointees who are conducting research, teaching, and/or testing with Animals within the course and scope of their UC duties or studies, and to non-UC persons (such as volunteers, visiting scholars, etc.) participating in UC research, teaching, and/or testing with Animals.

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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

I. POLICY SUMMARY

The use of Animals in research and teaching is integral to scientific, educational, and agricultural progress; however, such use is a privilege, not a right. 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 (hereafter "Programs") must 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 this Policy, relevant regulations, and guidance, and must hold required assurances, registrations and accreditations, as specified therein.

This Policy outlines core principles for the conduct of research, teaching, and/or testing with Animals, describes essential regulatory compliance requirements, and establishes animal care, use, and welfare roles and responsibilities.

II. DEFINITIONS

Animal: Any live vertebrate animal (including laboratory, wildlife, and agricultural animals), used or intended for use in research, teaching, and/or testing.

Animal Care and Use Program (Program): A program that supports research, teaching, and testing with Animals through multiple synergistic components 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 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 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:

> **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
>
> **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

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 and/or overseen by them.

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

III. POLICY TEXT

A. All UC staff, students, faculty, and other academic appointees who are conducting research, teaching, and/or testing with Animals within the course and scope of their UC duties or studies, and all non-UC persons (such as volunteers, visiting scholars, etc.) participating in UC research, teaching, and/or testing with Animals must comply with the following standards, as applicable:

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 or ecological processes, the animals themselves, or that is for the good of society or the environment
2. Proposed use of Animals for research, teaching, and/or testing must:
    a. apply the 3Rs principles
    b. be reviewed by the IACUC as required by the Location
3. Use of Animals for research, teaching, and/or testing cannot begin without:
    a. IACUC approval as required by the Location
    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

    Note: Research, teaching, and testing with Animals not owned by UC, or on property not owned or managed by UC, may or may not require the Location's IACUC approval, as determined by the Location's IACUC policies and procedures.
4. All personnel involved in research, teaching, and testing with Animals or who are listed on an animal care and use protocol must meet the training requirements mandated by the Location's IACUC training policy
5. Research, teaching, and testing with Animals 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)
    - 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

B. For research, teaching, and testing with species not included in the definition of Animals in this Policy, the Location must follow all applicable federal, state or local regulations, permitting requirements, and the Location's IACUC policies and procedures.

IV. COMPLIANCE / RESPONSIBILITIES

Chancellor, Vice President of Agricultural and Natural Resources, or National Laboratory Director: Serves as the Location's Chief Executive Officer (CEO) and is ultimately responsible for the Location's Program as per The Health Research Extension Act, the PHS Policy, and the AWA/AWR, and for achieving the Location's Program's accreditation. 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): Serves as the senior level administrator charged with the overall administrative oversight of the Location's Program to ensure legal, regulatory, and fiscal compliance.

IACUC: Serves as the committee responsible for supporting and facilitating use of Animals in research, teaching, and testing by administering and upholding the standards set forth in the regulatory and guidance documents listed in Section III.A.5. of this Policy. Its primary functions are mandated by PHS Policy IV.B. and AWR 2.31. IACUCs at Locations may create and administer additional institutional policies or equivalent guidance documents to effectively administer that Location's Program.

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 compliance with this Policy, their Location's policies, and the oversight and conduct of all research, teaching, and testing using Animals 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 and are trained to conduct the procedures as described in the protocol. PIs 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 in research teaching, and/or testing.

V. PROCEDURES

Under this Policy each Location must:

1. Ensure their Program complies with all relevant regulatory and guidance documents, including those specified in Section III.A.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 Office of Laboratory Animal Welfare (OLAW) and a registration with U.S. Department of Agriculture (USDA) - Animal and Plant Health Inspection Service (APHIS) (if applicable)
3. Maintain accreditation from an accreditation organization, such as AAALAC International, that evaluates institutional Animal Care and Use Programs.

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

California Department of Fish and Wildlife: Research Permits

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, and subsequent editions

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, and subsequent editions

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

VII. FREQUENTLY ASKED QUESTIONS

N/A

VIII. REVISION HISTORY

September 24, 2025: This Policy replaces the previous Policy on Animal Use in Research and Teaching, and incorporates the following changes:

- An expanded Definition section, including a definition of Animal that includes wildlife and agricultural animals.
- A comprehensive articulation of UC's obligations.
- An extensive list of applicable regulations, laws, policies, and guidelines.
- A high-level description of the Compliance Responsibilities at UC Locations.
- A Procedures Section that succinctly outlines major requirements for UC Locations under this Policy.
- A list of resources to help the UC Locations achieve high standards in protecting the wellbeing of animals.

April 1, 2012: This Policy was reformatted into the standard University of California policy template with updates made to statutory and regulatory references. This Policy is also reformatted to meet Web Content Accessibility Guidelines (WCAG) 2.0.

October 14, 1984: Issued as a new policy.