UCLA Policy 990: Use of Animals in Research, Teaching, and Testing

Issuing Officer: Vice Chancellor for Research
Responsible Dept: Office of Animal Research Oversight (OARO)
Effective Date: August 18, 2010
Supersedes: UCLA Policy 990, dated 08/01/2001

I. REFERENCES

Source material for this policy has been drawn from the following resources:

1. UCLA Office of Animal Research Oversight (OARO) website;
2. UC Policy on the Use of Animals in Research and Teaching, issued by President Gardner on October 15, 1984;
3. Animal Welfare Act, as Amended (7 USC, 2131-2156);
4. Code of Federal Regulations, Title 9, Chapter 1, Subchapter A (Animal Welfare Act Regulations);
6. National Research Council (NRC) Guide for the Care and Use of Laboratory Animals (also known as the Guide), 2010;
7. Public Health Service (PHS) Policy on Humane Care & Use of Laboratory Animals, revised August, 2002;
8. Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC);
9. UCLA/Veterans Affairs Greater Los Angeles Healthcare System Memorandum of Understanding Regarding Care and Use of Laboratory Animal Subjects, April 1, 2005;

II. INTRODUCTION

UCLA recognizes that the use of animals for teaching and research is fundamental to biology and medicine and that animals are sentient creatures. Such use is a privilege accompanied by a moral and legal obligation for humane animal care. UCLA strives to ensure that the housing, care, feeding and use of all animals used in research, testing, or teaching activities are supervised and conducted by qualified personnel. To that end, UCLA maintains full accreditation by the Association for Assessment and Accreditation of Laboratory Animal Care, International (AAALAC). For more information on the care, use and housing of animals used in research, contact the UCLA Office of Animal Research Oversight or refer to its Web site at http://oaro.research.ucla.edu/.
III. DEFINITIONS

**Animal** is any live or dead vertebrate animal used or intended for use in research, teaching, testing, experimentation, or for related purposes.

**Animal Research** is defined as the development of knowledge necessary for the improvement of the health and well-being of humans as well as other animals, requiring in vivo experimentation with Animals.

**Animal Research Facilities** are any and all buildings, rooms, areas, enclosures, or vehicles including satellite facilities, used for Animal confinement, transport, maintenance, breeding or experiments inclusive of surgical manipulation and/or nonsurgical procedures. A satellite facility (also known as a study area) is any containment outside of a core facility or centrally designated or managed area in which USDA-regulated Animal species are housed for periods longer than 12 hours, or in which non-USDA-regulated Animal species are housed for periods longer than 24 hours.

**Chancellor’s Animal Research Committee (ARC)** is an independent research review committee mandated by the Animal Welfare Act and the Public Health Service Policy on the Humane Care and Use of Laboratory Animals (PHS Policy). The ARC is composed of UCLA faculty experienced in research involving Animals from various science disciplines, veterinarians, professional staff, and non-University-affiliated members whose primary concerns are in a nonscientific area.

IV. SCOPE OF POLICY

This policy is applicable to all research, training, experimentation, and biological testing and related activities involving vertebrate Animals which are conducted at UCLA, or under the direction of any employee, student, or agent of the University regardless of funding sources or location of the activity. This policy is also applicable to research conducted at another institution as a consequence of subgranting, subcontracting, or any other means of support provided by UCLA.

V. STATEMENT

UCLA is committed to maintaining the highest standards for the care and use of Animals in research, testing, and teaching. UCLA accepts as mandatory the U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research and Training and has implemented the requirements of the *Guide for the Care and Use of Laboratory Animals* (the *Guide*). Individual researchers and administrators are required to comply with the Animal Welfare Act, administered by the U.S. Department of Agriculture (USDA) the PHS Policy, administered by the National Institutes of Health, Office of Laboratory Animal Welfare (NIH/OLAW); and other applicable State and local statutes and regulations concerning the care and use of laboratory Animal subjects. Failure to comply with USDA or PHS regulations may result in civil or criminal prosecution and withholding of funding for, and suspension of, Animal Research activities. Failure to comply with the *Guide*, UCLA’s Animal Welfare Assurance, and/or PHS Policy may also result in suspension of Animal Research activities. Faculty serving in the role of a faculty sponsor have an obligation to ensure that both they and their students, who may be involved in Animal Research, are aware of all applicable policies.

A. Responsibilities

Following are the principal personnel with administrative responsibilities for the proper care and use of Animals in research under the auspices of UCLA.

**Vice Chancellor for Research**

Institutional responsibility for compliance with Animal welfare regulations and policies has been delegated by the Chancellor to the Vice Chancellor for Research (Institutional Official), who:

- is charged with the overall administrative responsibility for developing and maintaining an effective, integrated campus-wide Animal care and use program to ensure that all humane, ethical and legal requirements are met;
- appoints the members of the Chancellor’s Animal Research Committee (ARC);
- reviews records of semiannual ARC reports and recommendations, and submits annual reports regarding the Animal care and use program to NIH/OLAW.

Chancellor’s Animal Research Committee (ARC)

The ARC has the authority to review and approve, require modifications to, or withhold approval of all Animal Research, testing, or teaching conducted under the general auspices of UCLA. The ARC is responsible for:

- overseeing UCLA’s Animal care and use program, related facilities and procedures;
- reviewing proposals involving the use of Animals to ensure compliance with federal and institutional regulations and policies, and that all proposed activities are consistent with current standards of veterinary nursing and care;
- performing semiannual inspections of UCLA’s Animal Research Facilities, including vivaria, surgical facilities, investigators’ laboratories and study areas;
- evaluating UCLA’s Animal care and use program semiannually, and forwarding reports and recommendations to the Institutional Official; and
- investigating any reports of mistreatment of Animals or other incidents of noncompliance with federal regulations. The ARC is authorized to suspend any activity involving the use of Animals if that activity is found to be noncompliant with any federal regulation or policy.

The PHS Policy requires ARC to approve applications involving Animals as proposed in PHS grant applications before funds will be awarded. Failure to comply with these policies may result in termination of PHS support for all projects which involve Animals. In order to meet statutory requirements, the ARC has instituted a mandatory training and certification program for investigators and other research personnel who wish to use Animals for teaching, testing and/or research, and conducts workshops on a regular basis for the purpose of informing investigators of changes in regulatory requirements, and to provide assistance with the review process.

Office of Research Administration (ORA), Office of Animal Research Oversight (OARO)

Reporting to the Vice Chancellor for Research, the Office of Research Administration is the organization responsible for overseeing the central administrative operations required to support sponsored research activities at UCLA. Within ORA, the OARO acts as the administrative support body for the ARC at UCLA and is responsible for:

- filing an approved Animal Welfare Assurance Statement with the Office of Laboratory Animal Welfare (OLAW), in accordance with the PHS Policy on Humane Care and Use of Laboratory Animals, in order to receive PHS funds for research involving Animals;
- receiving and logging all protocols involving Animals and conducting a preliminary review of these materials;
- overseeing the mandatory certification training courses required for all Animal Research personnel and coordinating with the UCLA Division of Laboratory Animal Medicine (DLAM) of the School of Medicine, to inform personnel working with Animals of the requirements for training in species-specific handling practices and aseptic surgical technique, as appropriate;
- reviewing all applications to ensure that rooms listed as Animal Research Facilities are approved by the ARC for the stated purpose;
- scheduling and attending semiannual facility inspections, and advising investigators and facility managers of the ARC’s findings regarding compliance with standards for Animal Research Facilities set forth in the Animal Welfare Act and the Guide;
- keeping investigators informed of decisions made with regard to their proposals, and assisting them with administrative processes; and
• advising the ARC members, researchers, and other University officials/departments when interpretation of federal regulations is needed.

Campus Veterinarian

The Campus Veterinarian, a member of ARC, serves as the professional advisor on all veterinary matters at UCLA, reporting to the Vice Chancellor for Research on all matters relating to the campus-wide Animal care and use program. The Campus Veterinarian is responsible for exercising professional judgment in all matters related to Animal acquisition, care, and use. The Campus Veterinarian or his/her designee reviews all protocols prior to the initiation of any project or activity involving Animals and provides veterinary surveillance over all Animals and related facilities at UCLA.

Deans, Directors and Department Heads

Deans, directors and department heads with administrative jurisdiction over facilities where Animals are maintained are ultimately responsible for the proper care and use of the Animals in those facilities. Each such dean, director or department head may appoint a representative, who is a faculty member experienced in the care and use of Animals in research or a committee, to take responsibility for coordinating necessary administrative activities.

Each such dean, director or department head or, as appropriate, each designated representative or committee, works closely with the Campus Veterinarian and his/her staff and is responsible for:

• reviewing matters such as space allocation, employee health and safety programs, grievances, and related matters;
• reviewing and approval of fiscal matters such as budgets and recharge rates prior to their review by the Policy Committee on Sales and Service Activities and Service Enterprises (POSSSE); and
• reviewing, in collaboration with the ARC, any cases of alleged violations of UCLA policies on Animal care and use which cannot be resolved at the individual level; and making recommendations to the deans, directors, or department heads concerning any action considered appropriate.

Individual Investigators

Individual investigators who use Animals in their teaching or research (including field work involving such Animals) are responsible, by law, for conforming to the federal, State, and local regulations and policies governing Animal use. Such responsibilities include:

• the acquisition, care and use of Animals;
• efforts to minimize Animal pain and distress;
• the training of personnel using Animals; and
• consideration of alternatives to Animal use.

Participation by investigators in the basic exam and species-specific training program and enrollment in the health protection tracking system prior to initiating contact with live Animals is a minimum requirement. Submission and approval of an Application to Use Animal Subjects in Research and/or Teaching via UCLA’s online Research Application Tracking System (RATS, http://rats.research.ucla.edu/) is also required prior to any research or instructional use of Animals by UCLA faculty, students or staff.

B. Acquisition, Housing and Record Keeping

Unless otherwise authorized by the ARC, all arrangements for the acquisition and housing of Animals from any source must be made through the UCLA Division of Laboratory Animal Medicine (DLAM). Arrangements for housing must be made before an order will be placed and Animals may not be purchased or otherwise acquired until a fully approved protocol is on file. Investigators are responsible for informing veterinary staff in writing regarding Animals requiring special care, equipment or supplies, or special permits.
The Animal Welfare Act and the PHS Policy require appropriate identification of Animals and maintenance of their records. Investigators are responsible for keeping appropriate records of Animals not regulated by the USDA, while investigators and DLAM have a dual responsibility to maintain individual clinical records for USDA-regulated Animal species. Records must be maintained for 3 years following completion of the study and are subject to inspection by the USDA, NIH site visitors, and AAALAC representatives.

Issuing Officer

/s/ James Economou

Vice Chancellor for Research

Questions concerning this policy or procedure should be referred to the Responsible Department listed at the top of this document.