

Institution: **UNIVERSITY OF CALIFORNIA BERKELEY**

Assurance Number: **D16-00050 (formerly A3084-01)**

Reporting Period: **January 1, 2019 – December 31, 2019**

This institution's Institutional Animal Care and Use Committee (IACUC), through the Institutional Official, provides this annual report to the Office of Laboratory Animal Welfare (OLAW).

I. Program Changes [Select A or B]

- ☐ A. There have been **no changes** in this institution's program for animal care and use as described in the Assurance. [Skip to Item II.]
- ☒ B. Change(s) in this institution's program for animal care and use as described in the Assurance have occurred during this reporting period. (FAO 6)

Select all that apply:

- ☐ This institution's AAALAC accreditation status has changed (PHS Policy IV.A.2.).
- ☐ AAALAC Accredited – Category 1
- ☐ Non-Accredited – Category 2
- ☒ This institution's program for animal care and use has changed (PHS Policy IV.A.1.a-i). [See **Attachment 1** for a full description of the changes.]
- ☐ The individual designated by this institution as the Institutional Official has changed. [Provide name, title(s), address, e-mail, phone, and fax numbers in Item V.]
- ☒ The membership of this institution's IACUC has changed. [See **Attachment 2** for this information.]

II. Semiannual Evaluations

This IACUC has conducted semiannual evaluations of the institution's program and inspections of the institution's facilities (including satellite facilities) on the dates below. Reports of the evaluations and inspections have been submitted to the Institutional Official. The reports include any IACUC-approved departures from the *Guide* with a reason for each departure, any deficiencies (significant or minor) that were identified, and a plan and schedule for correction of each deficiency. [Do not provide semiannual reports unless they include a minority view.]

A. Program Evaluations

Two dates (month/day/year) must be provided to satisfy the PHS Policy requirement that evaluations be done at 6 month intervals.

Date 1: February 13, 2019

Date 2: August 21, 2019

B. Facility Inspections

Two dates (month/day/year) must be provided to satisfy the PHS Policy requirement that facility inspections be done at 6 month intervals. If the IACUC conducted more than 2 inspections of each site during the reporting period, please attach a list showing the dates.

See Attachment 3 for the list of facilities and dates.

III. Minority Views [Select A or B]

- ☒ A. There were **no minority** views during this reporting cycle.
- ☐ B. Any minority views submitted by members of the IACUC regarding reports filed under PHS Policy IV.E. for this reporting cycle are attached.

IV. Signatures

IACUC Chairperson

Name: Eileen Lacey, Ph.D.

(b) (6)

Signature:

Date: 15 JANUARY 2020

Institutional Official

Name: Randy H. Katz, Ph.D.

(b) (6)

Signature:

Date: 28 Jan 2020

See Attachment 2 for IACUC Membership & changes during 2019.

V. Change in Institutional Official – Not applicable

Name:

Title:

Degree/Credential:

Name of Institution:

Address:

E-mail:

Phone:

Fax: ---

Attachment 1

**UNIVERSITY OF CALIFORNIA BERKELEY
D16-00050 (formerly A3084-01)
ANIMAL WELFARE ASSURANCE
in accordance with the PHS Policy for
Humane Care and Use of Laboratory Animals
Reporting Period: January 1, 2019 – December 31, 2019**

I, Randy H. Katz, as named Institutional Official for animal care and use at the University of California Berkeley, hereinafter referred to as Institution, by means of this document, provide assurance that this Institution will comply with the Public Health Service Policy on Humane Care and Use of Laboratory Animals, hereinafter referred to as PHS Policy.

III. INSTITUTIONAL PROGRAM FOR ANIMAL CARE AND USE

B. The qualifications, authority, and percent of time contributed by the veterinarian(s) who will participate in the program are as follows:

(b) (6)



Attachment 1

C. The Institutional Animal Care and Use Committee (IACUC) at this Institution is properly appointed in accordance with the PHS Policy IV.A.3.a. and is qualified through the experience and expertise of its members to oversee the Institution's animal care and use program and facilities. The IACUC consists of at least five members, and its membership meets the composition requirements set forth in the PHS Policy, Section IV.A.3.b. Attached is a list of the chairperson and members of the IACUC and their names, degrees, profession, titles or specialties, and institutional affiliations.

See **Attachment 2** for the IACUC Membership.

D. The IACUC will:

4. Review concerns involving the care and use of animals at the Institution. The IACUC procedures for reviewing concerns are as follows: *(the changes pertain to paragraph 2 under this section)*

If the concern regarding an animal(s) does come in via the Whistleblower hotline and not directly to the IACUC Chair, the Director of the Office for Animal Care and Use, or to the AV, then the administrative unit managing the hotline and receiving the concern will contact by email the Assistant Vice Chancellor for Research and Compliance and the Director of OACU to notify them of the receipt of said concern and to ensure that the IACUC is informed and can review and address the concern. The Director of OACU will serve as the coordinating individual. The Whistleblower administrative unit will not close a report until so notified by the Director of OACU after the IACUC determines that the issue has been addressed and resolved.

6. In accord with the PHS Policy IV.C.1-3, the IACUC shall review and approve, require modifications in (to secure approval), or withhold approval of PHS-supported activities related to the care and use of animals. The IACUC procedures for protocol review are as follows: *(the changes pertain to paragraph 4 under Review Procedures)*

A protocol is considered submitted when a complete protocol application/submission or change/amendment is received via the IACUC's electronic software system (eProtocol) by the Director of the OACU (or his/her designee). Protocol submissions are assigned to OACU and liaison staff reviewers by the Director and IACUC member reviewer assignments are made by the IACUC Chair (or the IACUC Vice Chair as his/her designee). On behalf of the AV, assignment of Veterinary reviewers has been delegated to the Director of the OACU (or his/her designee). No member may participate in the IACUC review or approval of a research project in which the member has a conflicting interest (e.g., is personally involved in the project) except to provide information requested by the IACUC; nor may a member who has a conflicting interest contribute to the constitution of a quorum.

The following review procedures are used based on written IACUC policy:

Attachment 1

4. Annual reviews are conducted for only USDA regulated species.

..... *(The last paragraph under 6. In accord with the PHS Policy.... has been revised to read as below)*

The campus's Sponsored Projects Office (SPO) reviews all extramural funding applications prior to submission and screens each one for proposed use of vertebrate animals. The principal investigator is asked to attest to the accuracy of his/her protocol covering all of the proposed animal activities covered in an award prior to the release of said funds. Applications submitted to funding agencies prior to IACUC review and approval of all proposed animal activities are marked "pending" in the space where the date of IACUC approval is requested. Upon specific request of the funding agency OACU staff will do an independent grant-protocol comparison and subsequently verify in writing through the PI and the SPO Contracts and Grants Officer to the agency that the IACUC has reviewed and approved all activities described in the proposal prior to the release of said award.

8. Notify investigators and the Institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval as set forth in the PHS Policy IV.C.4. The IACUC procedures to notify investigators and the Institution of its decisions regarding protocol review are as follows: *(the changes pertain to paragraphs 2 & 3 under this section)*

As the institution's designee, the Institutional Official is informed of the IACUC's operations through the semi-annual program reports as well as more detailed IACUC-specific annual activities summary report that is given in-person by the IACUC Chair to the IO. In addition, the IO (or his designee, the AVC-RAC) meets with the IACUC Chair, IACUC Vice Chair, AV and Director of the OACU in an IACUC Executive Meeting that is scheduled monthly. Furthermore, the IO's designee - the AVC-RAC - regularly attends all IACUC meetings.

In addition, the IO (and/or his designee), is provided with the regular (current) monthly IACUC agenda, inspection reports and minutes when it is distributed to IACUC members and liaisons prior to the meeting. If the IACUC encountered a situation where a proposed project involving animals would not be approved, the IO would be contacted directly in writing by the IACUC Chair explaining the situation and rationale of the IACUC's decision.

9. Conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including a complete review in accordance with the PHS Policy IV.C.1-4 at least once every three years. The IACUC procedures for conducting continuing reviews are as follows:

Annual Review

Per IACUC Policy, only protocols involving USDA regulated species must undergo an annual review.

Attachment 1

E. The risk-based occupational health and safety program for personnel working in laboratory animal facilities and personnel who have frequent contact with animals is as follows: (this pertains to the Overview, paragraph 3)

UCB has completed its transition of occupational health and safety information from an old software program/database to a new one. As part of that, our program has expanded to include individuals who are exposed to animals in the course of their employment (e.g. physical facilities personnel) but with less frequency than animal technicians or research lab staff. These workers are identified by their department and OLAC staff if there is a specific reason that they will need screening. They are then required to make an appointment with the Occupational Health Clinic. Once the clinic has evaluated the employee, they send a clearance to the department to let them know if they are cleared to be in the specific animal area that the department had requested.

Attachment 2

Institution: University of California, Berkeley			
January 2019-July 2019			
IACUC Contact Information			
Address: 1608 4 th Street, (b) (4) Berkeley, CA 94710-5940			
E-mail: acuc@berkeley.edu			
Phone: (b) (6)		Fax: ---	
IACUC Chairperson			
Name: Eileen Lacey			
Title: Professor of Integrative Biology/Assoc. Curator MVZ		Degree/Credentials: Ph.D.	
PHS Policy Membership Requirements***: Scientist			
IACUC Roster			
Name of Member/ Code*	Degree/ Credential	Position Title/ Occupational Background**	PHS Policy Membership Requirements***
Eileen Lacey	Ph.D.	Professor	Scientist/Chair
Dr. Greg Lawson	Ph.D., D.V.M., DACLAM	Attending Veterinarian	Attending Veterinarian
(b) (6)			Scientist
			Scientist
			Scientist
			Scientist
			Nonaffiliated/Nonscientist
			Veterinarian
			Scientist
			Scientist
			Scientist
			Scientist
			Non- Scientist
			Scientist/Vice Chair
			Scientist
			Scientist
			Nonaffiliated/Nonscientist

Attachment 2

Alternates		
	(b) (6)	Scientist (Alternate)
		Scientist (Alternate)
		Scientist (Alternate)
		Scientist
		(Veterinarian Alternate)
		Scientist
		Scientist (Alternate)
		Scientist (Alternate)

* Names of members, other than the chairperson and veterinarian, may be represented by a number or symbol in this report to OLAW. Sufficient information to determine that all appointees are appropriately qualified must be provided and the identity of each member must be readily ascertainable by the institution and available to authorized OLAW or other PHS representatives upon request.

** List specific position titles for all members, including nonaffiliated (e.g., banker, teacher, volunteer fireman; not "community member" or "retired").

*** PHS Policy Membership Requirements:

Veterinarian	veterinarian with training or experience in laboratory animal science and medicine or in the use of the species at the institution, who has direct or delegated program authority and responsibility for activities involving animals at the institution.
Scientist	practicing scientist experienced in research involving animals.
Nonscientist	member whose primary concerns are in a nonscientific area (for example, ethicist, lawyer, member of the clergy).
Nonaffiliated	individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution. This member is expected to represent general community interests in the proper care and use of animals and should not be a laboratory animal user. A consulting veterinarian may not be considered nonaffiliated.

[Note: all members must be appointed by the CEO (or individual with specific written delegation to appoint members) and must be voting members. Non-voting members and alternate members must be so identified.]

Attachment 2

Institution: University of California, Berkeley			
July 2019-December 2019			
IACUC Contact Information			
Address: 1608 4 th Street, (b) (4) Berkeley, CA 94710-5940			
E-mail: acuc@berkeley.edu			
Phone: (b) (6)		Fax: ---	
IACUC Chairperson			
Name: Eileen Lacey			
Title: Professor of Integrative Biology/Assoc. Curator MVZ		Degree/Credentials: Ph.D.	
PHS Policy Membership Requirements***: Scientist			
IACUC Roster			
Name of Member/ Code*	Degree/ Credential	Position Title/ Occupational Background**	PHS Policy Membership Requirements***
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Dr. Greg Lawson	Ph.D., DVM, DACLAM	Attending Veterinarian	Attending Veterinarian
(b) (6)			Scientist
			Scientist
			Scientist
			Scientist
			Nonaffiliated/Nonscientist
			Veterinarian
			Scientist
			Scientist
			Scientist
			Scientist
			Non- Scientist
			Scientist/Vice Chair
			Scientist
			Nonaffiliated/Nonscientist
			Scientist

Attachment 2

			(b) (6)	Nonaffiliated/Nonscientist
Alternates				
			(b) (6)	Scientist (Alternate)
				Scientist (Alternate)
				Scientist (Alternate)
				Scientist
				(Veterinarian Alternate
				Scientist
				Scientist (Alternate)
				Scientist (Alternate)

* Names of members, other than the chairperson and veterinarian, may be represented by a number or symbol in this report to OLAW. Sufficient information to determine that all appointees are appropriately qualified must be provided and the identity of each member must be readily ascertainable by the institution and available to authorized OLAW or other PHS representatives upon request.

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Attachment 3

FACILITY INSPECTION DATES – UC Berkeley

ANIMAL HOUSING FACILITIES and PROCEDURAL AREAS	INSPECTION DATE - 1	INSPECTION DATE - 2
(b) (4)	May 15, 2019	November 26, 2019
	February 20, 2019	August 14, 2019
	February 21, 2019	August 22, 2019
	April 17, 2019	October 30, 2019
	April 17, 2019	October 30, 2019
	June 19, 2019	December 10, 2019
	March 20, 2019	September 18, 2019
	March 20, 2019	September 18, 2019
	March 20, 2019	September 18, 2019
	April 17, 2019	October 30, 2019
	March 20, 2019	September 18, 2019
	March 20, 2019	September 18, 2019
	March 20, 2019	September 18, 2019
	March 20, 2019	September 18, 2019

N/A: no live animal work done in the past 6-12 months.