

Institution: UNIVERSITY OF CALIFORNIA BERKELEY
Assurance Number: D16-00050 (formerly A3084-01)
Reporting Period: January 1, 2020 – September 30, 2020

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. ([FAQ 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 12, 2020	Date 2: August 19, 2020
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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. As of Friday, March 20, 2020 OLAW approved UCB's request for a waiver for inspections due to the pandemic hence no inspections were conducted from March 20 – September 22, 2020.*

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.F.](#) for this reporting cycle are attached.

IV. Signatures

IACUC Chairperson	Institutional Official
Name: Eileen Lacey, Ph.D.	Name: Randy Howard Katz, Ph.D.
 (b) (6) Signature	 (b) (6) Signature: 
Date: 19 November 2020	Date: November 23, 2020

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, 2020 –September 30, 2020**

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

(b) (6)

III. 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.

III. D. 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:*

[Under Review Procedures – the first paragraph is revised as follows from the 2019 report]

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 (or his/her designee) and IACUC member reviewer assignments are made by the IACUC Chair (or the IACUC Vice Chair as his/her designee)....

Attachment 1

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:* [Delete 3rd paragraph as amended in 2019 report]

~~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.~~

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:*

Personnel Training

c) ...Additionally, any lab members that work with biological materials in animals must take EHS 201: Biosafety in Laboratories; and, any individual working in the ABSL2 and/or ABSL3 must receive an in-person training/orientation from a member of the EH&S staff....

Medical Evaluation and Preventive Medicine for Personnel

- a) [4th paragraph has been revised] Regardless of the risk(s), all animal users and individuals entered into the new OHSS database will be sent an email inquiry annually asking if there have been any changes in their health and/or are they working with any new species that might change their risk assessment. If the individual answers "yes" to either preceding question, a new (updated) risk assessment must be completed by the PI and the individual in question must update his/her personal health information. **However, currently if in two consecutive years there are no changes noted, the individual will no longer receive the annual check-in notice. Therefore, at the time of deNovo review, OACU Analysts confirm with all individuals listed on a protocol that their OHSS information is indeed current and if not, the individual is advised that a new (updated) risk assessment must be completed by the PI and the individual in question must update his/her personal health information in order to remain approved to work with animals under this protocol. OACU Analysts at no time have access to an individual's private health information (PHI) or medical record. If they wish to participate further**

G. *The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows:* [7th paragraph]

Attachment 1

Finally, as part of the protocol review process, the IACUC may determine that additional training is required to ensure personnel are qualified to perform the procedures proposed. ~~OLAC and OACU jointly update and maintain the training database hosted by OLAC to document ACUC required training as well as elective training and completion dates.~~ The OLAC Trainer maintains a training database to document elective and required procedural training of individuals; PIs must maintain training records of all lab personnel; and, the OACU staff ensure that the basic online CITI training is completed.

Attachment 2

Institution: University of California, Berkeley			
January 2020-June 2020			
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
			Scientist
			Scientist
			Non-Scientist
			Scientist/Vice Chair
			Scientist
			Nonaffiliated/Nonscientist
			Veterinarian
			Scientist
			Nonaffiliated/Nonscientist

Attachment 2

(b) (6)	Scientist
	Scientist (Alternate)
	Scientist (Alternate)
	Scientist (Alternate)
	Scientist (Alternate)
	Veterinarian (Alternate)
	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:

<i>Veterinarian</i>	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.
<i>Scientist</i>	practicing scientist experienced in research involving animals.
<i>Nonscientist</i>	member whose primary concerns are in a nonscientific area (for example, ethicist, lawyer, member of the clergy).
<i>Nonaffiliated</i>	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 2020-September 2020			
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
			Nonaffiliated/Nonscientist
			Scientist
			Scientist
			Nonscientist
			Scientist/Vice Chair
			Scientist
			Nonaffiliated/Nonscientist
			Veterinarian
			Scientist
			Nonaffiliated/Nonscientist
			Scientist
			Scientist

Attachment 2

(b) (6)	Scientist
	Scientist
	Scientist (Alternate)
	Scientist (Alternate)
	Scientist (Alternate)
	Scientist (Alternate)
	Veterinarian (Alternate)
	Scientist (Alternate)
	Scientist (Alternate)
	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
January 1 – September 30, 2020

ANIMAL HOUSING FACILITIES and PROCEDURAL AREAS	INSPECTION DATE - 1	INSPECTION DATE - 2
(b) (4)	None	September 23, 2020
	February 19, 2020	None
	February 18, 2020	None
	None	TBD
	None	TBD
	None	TBD
	None	September 23, 2020
	None	September 23, 2020
	None	TBD
	None	N/A
	None	TBD
	None	September 23, 2020
	None	N/A

*Life Sciences Addition (LSA) was renamed "Weill Hall" mid-2020

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

None: inspection was not conducted due to campus closure related to the COVID-19 pandemic

TBD: inspection dates will be determined based on access to campus facilities