

HKUST(GZ)

Laboratory Animal Facility (GZ) User Policy

To ensure the seamless execution of animal experiments and the stable operation of facilities, as well as to enhance facility utilization efficiency, eliminate laboratory safety risks, and rigorously uphold the welfare and ethical standards of experimental animals, these management regulations have been established. The objective is to conduct animal experiments in a standardized, orderly, safe, and efficient manner, thereby safeguarding the rights and interests of all stakeholders, improving the service quality of LAF(GZ), and ensuring comprehensive protection for all involved parties.

I. Regulations for Handling Violations

All personnel entering LAF must undergo training and examination within the jurisdiction of the experimental animal facilities. Only after passing the examination and obtaining a facility access certificate can they enter the animal experiment facilities. All operations performed by experimental personnel within the animal housing facilities must comply with LAF SOPs.

Scope of Application: All experimental personnel conducting animal breeding and animal experiments within the relevant facilities of our university.

All personnel entering the facilities must undergo access training and examination. After obtaining access rights to the facilities, they will be granted an initial credit score of 20 points.

All operations performed by experimental personnel within the animal housing facilities must comply with the regulations of this center. Points will be deducted for violations based on the nature of the violation (see **Table 1** for deduction criteria).

Types of Violations and Penalties (all penalties involve cumulative point deductions):

- (1) Cumulative deductions ≤ 5 points: A first email warning will be sent only to the individual, with a copy sent to the project leader as needed.
- (2) Cumulative deductions in the range $5 < X < 20$: An email warning will be sent directly to the project leader. The violator must complete Appendix 1 "Check Sheet for Experimental Personnel Violations" and send it to LAF email.
- (3) Cumulative deductions ≥ 20 points (first time): The violator's LAF access will be suspended. The violator must retake training, complete Appendix 1 *Violation Check Sheet for Experimental Personnel* and send it to LAF email address. After passing the retraining, they can regain access to authorization and the right to use LAF and equipment.
- (4) Cumulative deductions ≥ 20 points (second time): The violator's LAF access will be suspended for one week. The violator must complete the "Check Sheet for Experimental Personnel Violations" and send it to LAF email. Simultaneously, the project leader must write an explanation of the situation and send it to LAF email. The student can only retake training after this, and upon passing, regain authorization and the right to use LAF and equipment.
- (5) If there are no violations within half a year, the credit score will be restored to the initial value of 20 points.
- (6) The use of equipment on the large instrument sharing management platform must comply with the relevant regulations of the platform.

II. Penalty Process

Management personnel must inform the violator of existing violations and provide evidence if necessary.

- (1) Reminder warning: After confirming the violation, LAF management personnel are responsible for investigation and verification.
- (2) Email warning: After confirming the violation, management personnel report to LAF Deputy Director, who executes the warning.
- (3) Written check: Facility management personnel report to the facility head. Relevant management personnel supervise and implement this. The violator must submit the *Violation Check Sheet for Experimental Personnel* to LAF email within three working days. Failure to submit the written check within one week will result in immediate suspension of access rights. Appendix 1 provides the *Violation Check Sheet for Experimental Personnel template*, including:
 - ① Description of the violation
 - ② Commitment to prevent similar errors from occurring again
 - ③ Agreement to allow the Central Laboratory for Experimental Animals to use processed (personal information removed) images and materials of the violation
- (4) Suspension of access rights: Based on the type of violation and point deduction standards, if a violation and point deduction trigger the suspension of access rights, LAF management personnel will investigate and collect evidence. LAF Deputy Director will notify the violator of the penalty to suspend access rights and copy their supervisor and LAF Advisory Committee members. The suspension of access rights begins upon the issuance of the penalty notice.

Table 1: User Policy and Corresponding Point Deduction Standards

Category	NO.	Behaviors	Point	Note
Violations Affecting Facility Safety Operation	1	Bringing animals into the facility without permission	20	
		Introducing animals that have not been quarantined or lack a valid certificate into the facility		
	2	Leading unauthorized personnel into the facility without permission	20	
	3	Entering facility areas without access authorization	10	
	4	Failing to follow decontamination procedures when entering the facility (such as not wearing masks, gloves, protective clothing, etc.), or removing protective gear without reason inside the facility, threatening facility safety	10	
	5	Bringing radioactive, infectious, or highly toxic substances into the facility without permission	20	
	6	Violating regulations on the entry and exit of items by bringing non-sterilized items into barrier environments without authorization	20	
	7	Using a mobile phone within a barrier facility in violation of rules	10	
	8	Returning from contaminated pathways to the barrier facility or entering different breeding areas without changing protective clothing, repeatedly entering and exiting the barrier with the same set of protective clothing	10	
	9	Entering the air shower room while it is in operation	10	
		Exiting the air shower into the clean corridor while it is in operation		
	10	Entering a high environmental grade animal room within 24 hours of exiting a low environmental grade animal room	10	
	11	Violating conditions for animal access and related management regulations	20	
	12	Improperly passing items into the barrier system, using the pass-through window incorrectly	5	

	13	Entering unauthorized breeding rooms arbitrarily	5	
	14	Carrying items into the barrier system in violation of item entry and exit regulations	10	
	15	Failing to introduce animals as scheduled without reason after cage allocation (except in cases of early cancellation)	10	
	16	Occupying cage space without authorization	5	
	17	Arbitrarily turning animal breeding room lights on or off, disrupting the circadian rhythm of laboratory animals	5	
	18	Entering the facility by following someone else without facial recognition authentication, despite being authorized	10	
Violations of Animal Ethics Requirements	1	Conducting experiments without an approved animal protocol	10	
	2	Engaging in serious violations of animal welfare and ethical requirements (such as performing surgical operations without anesthesia, not stopping bleeding promptly, using inhumane methods to euthanize animals, etc.)	10	
	3	Failing to address animal death or injury within 48 hours after a reminder	5	
	4	Exceeding prescribed breeding density and failing to address it within 48 hours after a reminder	5	
Violations of Animal Experiment Operations	1	Not cleaning and disinfecting the operation table promptly after the end of the experiment	5	
	2	Using someone else's laboratory animals without permission	20	
	3	Moving high environmental grade animals to a low environmental grade area for operation and returning them to the high-grade area afterward	10	
	4	Taking laboratory animals out of the facility without authorization	10	
	5	Removing unused feed, bedding, masks, gloves, and other animal husbandry supplies from the center without permission	5	

	6	Failing to return animals to the temporary holding area on the same day after they leave due to special needs	5	
	7	Not conducting animal experiments according to the approved protocol	5	
	8	Introducing animals outside the center's designated times without prior application	5	
	9	Using someone else's laboratory supplies without permission, affecting their work (handled based on value consideration)	10	
	10	Disposing of experimental waste like animal carcasses, water bottles, syringes, sharp objects, packaging bags, cotton balls, and wastepaper in bedding or other unspecified ways	10	
	11	Performing animal operations on the floor of the barrier environment breeding room, or not notifying or recapturing escaped mice promptly	5	
	12	Taking LAF items without permission from LAF. No removing personal items from the barrier system within a week (apply for retention if necessary)	5	
	13	Reserving instruments/equipment or experimental space in the facility management system and not using them on time or not canceling in case of schedule changes	5	
	14	Persisting in erroneous practices after reminders from management or other experimental personnel (can be combined with other penalty clauses)	5	
Other Policy	1	Failure to correct errors or follow confirmed penalties	20	
	2	Unauthorized movement of others' cages	5	
	3	Other incidents requiring detailed description and point deduction after discussion.	--	

Complaints and Appeals

Should there be any objections to the implementation of these regulations, please submit an email directly to LAF email (laf@hkust-gz.edu.cn). LAF will respond within five working days

Appendix 1

Violation Check Sheet for Experimental Personnel

- I. Description of Violation:
- II. Measures to Prevent Recurrence:
- III. Personal Commitment (please check):

☐ I acknowledge the consequences of my violation and agree to allow LAF(GZ) to use processed (personal information will be removed) images and materials of the violation. I commit to complying with relevant operational standards in the future and not committing any further violations.

Signature:

Supervisor's Signature:

Date:

Note: Please send the completed form to LAF email: laf@hkust-gz.edu.cn.