

National Yang Ming Chiao Tung University Laboratory Animal Center (Chiao Tung Campus) Disciplinary Guidelines

Approved by the first Institutional Animal Care and Use Committee for the 2017 Academic Year (November 15, 2017)

1. Purpose

To provide an appropriate laboratory animal housing environment for users and to maximize the function of each animal holding area, the National Yang Ming Chiao Tung University Laboratory Animal Center on the Chiao Tung campus (hereafter referred to as the Center) requires staff to strictly abide by its standard operating procedures (SOPs) in performing all tasks. Maintaining an optimal environment requires both effort from the Center and cooperation from its users. Therefore, these disciplinary guidelines for handling SOP violations by Center users were proposed to ensure that all animals receive humane and comprehensive care.

2. Rules for handling SOP violations by Center users

2.1 The disciplinary actions against users who violate the Center's SOPs are a verbal warning (no demerits), demerits (1 to 3 demerits according to the severity of the violation), a fine or compensation for damages, and temporary or permanent suspension of the user's access to the Center.

2.2 A principal investigator shall strictly supervise researchers and ensure they abide by the Center's regulations. If any researcher is given a demerit or demerits for violating the Center's regulations, the principal investigator shall receive the same number of demerits. Similarly, if any researcher is fined or required to pay damages, the principal investigator shall also be held liable. The Center shall notify the principal investigator of infractions through email or telephone; the principal investigator shall be notified of severe violations through a written document.

2.3 Verbal warning (no demerits): A user shall receive a verbal warning for any of the following violations:

- a. A user failed to abide by the prescribed circulation routes and processes, such as changing their shoes or disinfecting their hands, body, and belongings with alcohol, when entering or exiting the Center.
- b. A user conducted animal experiments in the animal holding room during nighttime hours (between 19:00 and 07:00 the next day) and failed to record the experiment in the activity log, which is located next to the alcohol disinfection area in the Center's 1F lobby.
- c. A user failed to abide by the prescribed circulation routes and processes, such as changing their shoes, washing their hands, and properly wearing protective gear (caps, masks, lab coats, and gloves), when entering and exiting individual animal holding areas and quarantine rooms.

- d. A user's name and experimental animal strain listed on the admission application were not approved by the National Yang Ming Chiao Tung University Institutional Animal Care and Use Committee (IACUC) for animal experiments.
- e. The animal cage card was not properly labeled and contains at least one omission of information.
- f. A user failed to log animal arrivals, animals being checked out, whether the animals required separate cages for the experiment, or cage vacancies upon completion of their experiment in their records and cage management logs.
- g. A user failed to apply to check out an animal at least 2 days in advance, failed to comply with the prescribed circulation routes and processes when exiting the Center, or failed to log their exit in the logbook located next to the door on the righthand side on their way out of the Center.
- h. A user failed to familiarize themselves with relevant instructions and regulations or failed to properly log their use of equipment (e.g., sterile laminar flows, anesthetic gas, carbon dioxide euthanasia equipment, animal mortuary chambers, tissue processors, tissue embedding centers, and microtomes) before they used the equipment in the laboratory or pathology laboratory.
- i. A user failed to return equipment to its original place or to properly clean the areas they used after their experiment.
- j. A user failed to return holding room or laboratory pushcarts to their original locations after use as required.
- k. A user committed a nonmajor violation related to the damage of public property or caused an inconvenience to the Center's managerial staff or other users.

2.4 Demerits: Based on the severity of the violation, a user shall be given 1 demerit for a minor violation or 3 demerits for a major violation. The principal investigator in charge of the offender shall be given the same number of demerits. The Center shall notify the offending user and their principal investigator of the violation and the number of demerits through email or telephone.

2.4.1 Minor violation: The following infractions shall result in an offender being given 1 demerit.

- a. After being given a verbal warning, a user committed the same offense within 1 month.
- b. After purchasing animals are delivered to the Center (i.e., an animal arrival), a user failed to acquire a cage for the animal or animals in a timely manner or before 19:00 that day.
- c. A user failed to apply for an animal arrival 7 days in advance, as is required by the Center.
- d. Animals were kept alone in cages without environmental enrichment, or pregnant mice were not provided with nesting materials in their cages. This is not considered a minor violation in special circumstances in which the IACUC gave prior approval.
- e. A user failed to abide by the Center's regulations on cage capacity, and this resulted in overly

high animal densities.

- f. When breeding mice, a user failed to comply with the requirements that each cage contain a maximum of two female mice with offspring at a time.
- g. A user failed to wean baby mice 3–4 weeks after birth or baby rats 3 weeks after birth and to rear them in separate cages.
- h. A user failed to take necessary action within 24 hours of being notified by the Center of an animal injury, illness, or death; necessary action may include isolating the animal in a separate cage or removing its cadaver.
- i. A user committed another offense that the Center considered a minor violation of the user regulations or caused minor harm to the welfare of the animals.

2.4.2 Major violations: The following infractions shall result in 3 demerits.

- a. A user violated regulations on access card use, such as loaning their access card to another person or bringing an unauthorized person into the animal holding room. In special circumstances in which a user must use the Center before receiving training or must bring an unauthorized person into the Center, the user must obtain approval from the Center in advance.
- b. A user entered the Center during the animal holding room nighttime hours (19:00 to 07:00 the next day) and turned on the sterile laminar flow lamp or another form of illumination within the animal holding room.
- c. A user conducted an animal experiment (excluding the operations of putting animals in separate cages or changing cages) on the sterile laminar flow within the animal holding room or failed to move the animals to the laboratory the Center designates for animal experiments.
- d. A user entered the Center's authorized personnel only (restricted) zones or used the cages, equipment, pathological examination instruments, or other public property in the restricted zones without obtaining the Center's permission.
- e. A user failed to apply for an animal arrival 3 days before the animal arrival.
- f. A user's experiment required them to feed and hydrate the animals, and after being notified that the water and food supply in the cage was depleted, the user failed to replenish either within the same day. This is not considered a major violation in special circumstances in which the IACUC gave prior approval.
- g. A user failed to take action in response to the animals experiencing visible and extreme pain during the experiment. This is not considered a major violation in special circumstances in which the IACUC gave prior approval.
- h. A user failed to provide the necessary postoperative care to an animal after they performed

surgery on the animal and before the animal woke up or returned to its normal position.

- i. A user failed to properly follow regulations when euthanizing an animal.
- j. After checking an animal out of the Center and taking it to a laboratory for experiments, a user failed to return the animal to the Center quarantine room on 1F within 12 hours and kept it in the laboratory. This is not considered a major violation in special circumstances in which the IACUC gave prior approval.
- k. A user used the Center's equipment without approval and damaged the equipment in the process; in such cases, the user shall be liable for compensating the damages.
- l. A user failed to properly adhere to the specifications of their laboratory animal application form in conducting their animal experiment, committed another offense that the Center considered a major violation of the user regulations, or caused major harm to the welfare of the animals.

2.5 Fines and damages: if a user is notified by the Center regarding cases that affect the animals' welfare and fails to take appropriate action within the specified timeframe, the Center shall take action on the user's behalf and charge the user a handling fee. If a user causes harm to the Center's instruments or equipment, the user must pay a fine and damages commensurate to the harm and cost of repairs.

2.5.1 Animals arriving at the Center shall be placed in separate cages by 19:00 the same evening. If a user neglects to do so and, after being notified by the Center, still has not placed the animal or animals in separate cages by 12:00 noon the day after the arrival, the Center shall exercise its judgment and place the animal into separate cages, and the user may not object to the placement. The Center shall charge NT\$100 for each cage it handles.

2.5.2 Users must take appropriate action, including reassigning animals in separate cages, when notified by the staff of the Center of situations involving an overly high housing density of animals, three or more female mice with offspring being included in a single cage, failure to wean and separate baby mice within an appropriate timeframe, or animals fighting and injuring each other. If a user fails to act within 24 hours, the Center shall exercise its judgment and place the involved animals into new assigned cages (a handling fee of NT\$100 per cage) and treat injured animals as required. The user may not object to this action.

2.5.3 If a user fails to provide environmental enrichment in the cages of solitary animals or nesting materials in the cages of pregnant mice within 2 days of being notified by Center staff to do so, out of consideration for the animal's welfare, the Center shall provide environmental enrichment or nesting materials on the user's behalf. The user may not object to this action. The Center shall also charge a handling fee of NT\$100 for each cage.

- 2.5.4 In the event that a user obtains permission to use Center equipment and damages the equipment through improper use, if the equipment can be repaired, the user shall compensate the Center for the repairs. If the equipment cannot be repaired, the user shall pay damages to the Center commensurate to the current value of the equipment.
- 2.5.5 If a user does not obtain permission to use Center equipment and damages the equipment, in addition to compensating the Center for repairs or paying damages commensurate to the value of the equipment, the user must pay an additional 10% in damages as a penalty.
- 2.6 Termination of rights: The Center may terminate a user's rights to use its resources. The principal investigator in charge of the user's project shall also be considered responsible for the user's behavior and shall receive the same number of demerits as the offending user. If the Center decides to terminate the user's right to access its resources after it reviews the user's record of violations, the Center shall notify the user and their principal investigator through email and written documents.
- 2.6.1 Suspensions: In the event of any of the following, the Center shall suspend an individual user or all users affiliated with the same project's right to use the Center for 1 month.
- a. A single user committed the same offense three or more consecutive times within 1 month despite the warning given.
 - b. A user failed to replenish an animal's food and water in a timely manner, caused visible and extreme pain to the animal during the experiment, failed to provide necessary postoperative care to the animal, did not follow regulations when euthanizing an animal, or engaged in other clear violations of animal welfare and failed to improve their behavior after being notified or warned by the Center.
 - c. A user removed equipment from the Center without permission from the Center.
 - d. A single user received 6 demerits or more within 6 months. If a user continues to violate Center rules after being warned by their principal investigator, even if the user has not accumulated 6 demerits, the principal investigator may ask the Center to terminate the user's rights to use the Center.
 - e. If a single principal investigator accumulates more than 20 demerits because of members of their project within a single academic year (August 1 to July 31 of the following year), the Center shall submit the case to the IACUC for review. The principal investigator shall be invited to present their defense to the IACUC. The IACUC may suspend all members of the principal investigator's project for 1 month.
 - f. A user was determined by the Center to have engaged in a major violation that affected the Center's operations.
 - g. For a user to regain their rights to use the Center, they must attend the Center's training and user seminar, pass an evaluation, and complete the "National Yang Ming Chiao Tung

University Laboratory Animal Center Reinstatement of Rights Application Form” (attachment 1). This application must be signed by their principal investigator and approved by the Center’s executive director, director, and veterinarian. A user may only apply once to reinstate their rights within a single academic year.

- h. To reinstate the rights of a principal investigator’s entire team, the principal investigator must submit an improvement plan that must be reviewed by the Center’s executive director, director, and veterinarian and approved by the Chiao Tung campus IACUC.

2.6.2 Permanent termination of rights: In the event of any of the following, a user may no longer apply for permission to use the Center.

- a. A user had their rights suspended or terminated by the Center three times.
- b. A user moved, took, or harassed other users’ animals without permission.
- c. A user engaged in the breeding, transportation, transfer, or replacement of animals without permission from the Chiao Tung campus IACUC and the Center. The Center shall notify the user’s principal investigator and euthanize all animals involved in accordance with the Center’s regulations. The user shall be charged a euthanasia fee of NT\$300. The fees for handling the cadavers shall be calculated separately.
- d. A user violated the Center’s animal quarantine guidelines, resulting in contamination. If investigators discover the user to be at fault, the principal investigator shall be liable for all damages.
- e. A user was determined by the Chiao Tung campus IACUC to have engaged in a major violation that affected the Center’s operations.

2.7 Replies: An individual user or principal investigator may reply to notices of their violations or suspensions within 7 days of the notice having been sent. Failure to reply within this time shall be interpreted as the involved party not contesting the disciplinary action. The Center shall handle all replies to verbal warnings, demerits, fines, or compensatory damages. The Chiao Tung campus IACUC shall handle all replies to suspensions, permanent terminations of rights, and major disputes. If a university faculty member’s reply is not approved, the faculty member may submit an appeal in accordance with the *National Yang Ming Chiao Tung University Faculty Appeals and Review Committee Organization and Review Guidelines*.

3. Attachment 1: “National Yang Ming Chiao Tung University Laboratory Animal Center Reinstatement of Rights Application Form”

National Yang Ming Chiao Tung University Laboratory Animal Center
Reinstatement of Rights Application Form

	Application date:	Serial No.	
Name		Unit (department)	
Principal investigator		Telephone number	
Reason for suspension or termination of rights:			
Reason for reinstatement of rights:			
Principal investigator signature:			
Decision:			
Center veterinarian:		Center director:	
Date: _____/_____/_____ (YYYY) (MM) (DD)			

Note: Applications for the reinstatement of rights can be completed once per academic year.