

**Regulations of Shenzhen Institute of Advanced Technology, Chinese
Academy of Sciences on the Application and Acceptance of
Experimental Animal-related Business**

Chapter 1 General

Article 1 To standardize the procurement, introduction, acceptance, and related business processes of experimental animals at Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), and to ensure the health and quality of purchased experimental animals and the compliance of related business activities with management requirements, these Regulations are formulated in conjunction with the *Guangdong Province Regulations on the Management of Experimental Animals* and the Institute's internal *Regulations on Procurement of Instruments and Equipment, Articles and Materials*.

Article 2 All activities related to the procurement, receipt inspection, and commissioning of experimental animals are subject to these Regulations.

Chapter 2 Application and Approval of Experimental Animal Procurement

Article 3 Approval of an Animal Use Protocol is required to apply for the procurement of experimental animals. The procurement applicant must be one of the participants in the animal use plan, and the species/strains and quantity of animals to be procured must not exceed the scope applied for in the use plan.

Article 4 The procurement applicant must be a formal employee of the Institution and shall submit the experimental animal procurement application through the AOP system. After approval by the relevant authorities, procurement or introduction can proceed.

Article 5 Centralized Procurement

For species available from contracted suppliers, the procurement applicant submits an *Experimental Animal Procurement Application*, which is then reviewed and approved by the relevant responsible personnel at all levels and submitted by Office of Experimental Animal Management (hereinafter referred to as "Animal Management Office") for procurement by the Office of Procurement of the Department of Research Management and Public Service Platform for Science and Technology.

Article 6 Self-procurement

For species not available from contracted suppliers, self-procurement is allowed. The procurement applicant must contact suppliers for related procurement matters, submit the *Experimental Animal Procurement Application* through the AOP system, and follow the procurement, acceptance, and reimbursement procedures outlined in the

Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Procurement of Instruments and Equipment, Articles and Materials after the pre-approval of the business process is completed.

The contract must stipulate the quality standards of the purchased animals and specify the location for animal reception and housing. Suppliers must have the production license qualification for the experimental animals supplied or a proxy authorization letter issued by the production unit. The receiving and housing facilities must have the corresponding qualifications for the use of experimental animals.

Article 7 Conventional feeding bedding materials are centrally purchased monthly by the Animal Management Office of the Department of Public Service Platform for Science and Technology from suppliers with feed production licenses. If experimental personnel have special feed requirements, they can apply for self-procurement.

Chapter 3 Application and Approval for Outsourcing Animal-related Business Activities

Article 8 Outsourced animal-related business includes outsourcing of animal feeding, animal experiments, animal biopurification, animal quality testing, construction of genetically engineered animals or model animals, and representation for import and export of experimental animals.

Article 9 Before business commencement, applicants must submit an "Application Form for Outsourcing Animal-related Business to External Units" in the AOP system, which must be approved by the responsible personnel at all levels before proceeding. If animal procurement is involved, prior approval of the experimental animal procurement application is required.

Article 10 Applicants can choose outsourcing companies themselves and shall thoroughly assess the business capabilities and quality of the selected companies before signing contracts. Generally, the venues for outsourcing feeding and experiments must have corresponding licenses for the use of experimental animals; biopurification units, genetic engineering animal or model animal construction units must have corresponding licenses for the production of experimental animals; and animal quality testing units must have CNAS certification. All three parties involved in the quotation must meet the corresponding qualification requirements.

Chapter 4 Acceptance of Experimental Animal-related Business

Article 11 Centralized procurement acceptance

Upon arrival, experimental animals are uniformly received, housed, and quarantined by the Animal Management Office, and the procurement applicant is notified by e-mail to inspect the animals' species, strains, specifications, appearance, and condition. Any abnormalities must be reported to the personnel of Animal Management Office within 24 hours of arrival, otherwise, the applicant will be responsible for any resulting losses.

Article 12 Self-procurement acceptance

If the experimental animals are to be housed at SIAT upon arrival, the personnel (mainly the chief veterinarian of the corresponding facility) must be notified in advance to reserve cage space and prepare to receive cage equipment and it shall confirm that the accompanying documents meet the requirements and the external packaging is intact upon arrival.

The procurement applicant must personally receive the animal cages and inspect animals' species, strains, specifications, appearance, and condition, and apply for acceptance after the quarantine period expires without quality issues. The reception work for non-human primate experimental animals is primarily carried out by veterinarians, with the procurement applicant participating.

Non-producing units that cannot provide certificates of qualification for the experimental animals imported (including those received as gifts) must ensure the quality of the animals through isolation quarantine/testing or biopurification methods.

All self-procured experimental animals require joint acceptance by the Animal Management Office of the Department of Public Service Platform for Science and Technology and the user department. Acceptance must be accompanied by a quality certificate, photos of the animals, inspection reports, etc., as acceptance evidence.

Article 13 Acceptance of outsourced business

For experimental animals that must be housed externally or for animal-related business conducted outside the Institute, the Department of Public Service Platform for Science and Technology only approves whether the acceptance materials meet the requirements, while the acceptor is responsible for explaining the actual delivery of the animals and the authenticity of the business content.

Chapter 5 Management of Non-human Primate Experimental Animal Feeding after Acceptance

Article 14 Unique identification code

Due to the high value and long feeding period of non-human primate experimental animals (hereinafter referred to as "monkeys"), each monkey must be assigned a unique identification code, typically through tattooing, microchipping, or collars.

Article 15 Establishment of feeding list

Research groups using monkeys must establish a feeding list, including each monkey's code, species, gender, source, certificate No., birthdate (or age), arrival date, housing location, life status (reproduction, death, etc.), and corresponding IACUC No.; any changes must be promptly updated with remarks.

Research groups using monkeys must conduct an inventory against the housing list at least once a year. IACUC and related management departments must periodically or irregularly verify and inspect the experimental animals listed.

Article 16 Individual record establishment

Individual records include source information materials (including purchase contracts, inspection reports, experimental animal procurement application forms, quality certificates, etc.), records of experiments, surgeries, medication, quarantine records, etc. Individual record contents shall be detailed and complete.

The chief veterinarian must develop a regular quarantine plan to ensure that the quality of non-human primate experimental animals feeding meets experimental and safety requirements. Relevant results are included in individual records.

Chapter 6 Bylaw

Article 17 The implementation of experimental animal-related business activities is subject to supervision not only from disciplinary inspection and auditing departments but also from competent department in the experimental animal industry. For purchases from suppliers without corresponding permits or for feeding experimental animals in facilities that do not meet licensing requirements, a guarantee letter must be submitted with the application; otherwise, the Division of Auxiliary Platform reserves the right to withhold approval.

Article 18 These Regulations are interpreted by the Department of Public Service Platform for Science and Technology of SIAT and are effective immediately upon promulgation. The original *Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on the Application and Acceptance of Experimental Animal-related Business* (SYK ZI [2019] No. 134) shall be repealed simultaneously.