Animal Experimentation Ethics Committee
SOP: Requirements for Personnel Listed on AEEC Protocols

Objective	To describe the requirements for personnel to be listed on AEEC protocol; and to define requirements for personnel to initiate experimental techniques in laboratory animals
Drafted by	Dr. Charmaine Jeng Sum Kung, BSc., PhD – Animal Ethics and Welfare Officer
Approved	5 March 2026
Version	2

Introduction

At the Chinese University of Hong Kong, investigators and other personnel shall be appropriately qualified and experienced for conducting procedures on living animals. Adequate arrangements shall be made for their training, including the proper and humane care and use of laboratory animals. Personnel can only be added to the protocols when the required trainings have been completed.

Listed Protocol Personnel Requirements

Each personnel can be added to an approved AEEC protocol via Form PA (Appendix 1 and 2) or submission of a personnel amendment request in the platform of tick@lab. The AEEC Secretariat verifies the status of the following basic criteria for proceeding of listed personnel:

a. Valid Animal License
b. Mandatory Animal Ethics Training
c. Species-specific training
d. Rodent Survival Surgery Training, as applicable

The AEEC may, at its discretion, request additional training for any personnel before approving that individual to work on a protocol.

Addition of Personnel to the AEEC Protocol

Each protocol personnel must be added to an active protocol on which the researcher works and follow the approved protocol and subsequent amendments. The principal investigator (PI) is responsible for ensuring that all protocol personnel are familiar with the animal experiments stated in the protocol with adequately trained. Personnel updates are kept administratively by the AEEC secretariat under SOP for Protocol Amendment.

Valid Animal License – All personnel who will be performing animal experiments must be appropriately licensed according to relevant sections of the Cap. 340. The Secretariat will verify the description of procedures and experiment locations on the Form 2. The animal license must be valid at the time of animal experimentation.

Mandatory Animal Ethics Training– the University provides an online mandatory quiz and certificate through the Research Office. The animal ethics module covers an introduction to local regulations, CUHK policies and ethical considerations. All personnel listed on the protocol, including the PI, are required complete the latest basic training once every 5 years.

Species-specific training- the University subscribes to the American Association for Laboratory Animal Science (AALAS) Learning Library, which the AEEC adopts the AALAS species-specific training courses. The researchers are required to complete the training if they are listed on their AEEC protocol, and they must renew the training courses every 3 years.

Rodent survival surgery training- all personnel**,** who participate in rodent survival surgery must complete training prior to performing surgery. Training must be renewed every 3 years.

Teaching Activities Related Protocol

If teaching activities involving live animals, participants performing animal handling must be reviewed and approved by the AEEC before the activity. Instructors must be included as protocol personnel who must complete the required training above. In addition to the animal license, a teaching permit (Form 4) with a list of participants must be provided under the regulations of Cap. 340 section 9, the instructors are also responsible for providing sufficient training and informing the participants of the risks (allergies, animal scratches and bites) involved in the activity.

For training protocols that involve external instructors conducting training or demonstration sessions, all external personnel must be listed as protocol personnel on Form EP (Appendix 3 & 4). These instructors are required to hold a valid animal license and teaching permit (Form 4), as well as complete the relevant trainings. The PI and the host department are responsible for verifying all external visitors and ensuring that they meet institutional insurance, safety, and compliance requirements, as well as all applicable Hong Kong ordinances, including employment related regulations and laws. Requests to include external instructors under training protocols will be reviewed and considered on a case-by-case basis. Participants registered and participating in the teaching activity are not expected to be listed as protocol personnel nor complete the training above (see exception below).

For protocol-specific training, participants are required to be listed on the protocol and must also obtain endorsement to attain manual skills (Form 3) from the Department of Health under the Cap. 340 Section 8.

References

Guide for the Care and Use of Laboratory Animals. 8th edition. Washington (DC): National Academies Press (US); 2011

The Hong Kong Code of Practice for Care and Use of Animals for Experimental Purposes, Agriculture, Fisheries and Conservation Department, Dec 2004

Appendix

1. Form PA-1 - Personnel Amendment Cover Page for Approved AEEC Protocol
2. Form PA-2 - Personnel Amendment Supplement Page for Approved AEEC Protocol
3. Form EP-1 - External Personnel Cover Page for Training Protocol
4. Form EP 2 - External Personnel Supplement Page for Training Protocol

Appendix 1

Animal Experimentation Ethics Committee Chinese University of Hong Kong **Personnel Amendment Cover Page for Approved AEEC Protocol**	**NOTE:** No personnel may perform an experimental procedure until he/she the signed Training form, Cover Page and valid animal license has been verified by AEEC.

Approved Protocol Details

Title

Name of Principal Investigator	**AEEC Ref No.**

Personnel Involved in the Animal Experimental Procedures

Animal Monitor	Name	Email	Phone	DOH License	Expiry Date	OHS	Training

Principle Investigator Certification

- **As PI, I confirm**
  By my dated signature below, I acknowledge that: 1) I have provided a copy of the approved protocol including amendments to the above noted individual being added to this protocol, and 2) I (or my designee) will train the above noted individual relative to his/her role and the importance of carrying out this animal work in strict compliance with the procedures described.

Instructions for completing the form

1. **All personnel who will be working with live animals must be listed on the form.**
2. **Valid animal license from Department of Health must be attached**
3. **A separate Training verification form must be completed and submitted.**
4. **Sign and date below.**
5. **Submit the completed form and the training verification form via AEEC forms:**
   https://forms.office.com/r/uAkNQVai4Z
6. **The AEEC secretariat will verify and incorporate this information with the existing protocol.**

Date	**Signature of Principal Investigator**

For Office use:

Form PA-1	**Approved**	**Version**

Appendix 2

Animal Experimentation Ethics Committee Chinese University of Hong Kong Personnel Amendment Supplement Page for Approved AEEC Protocol AEEC Ref No.		Page ___ of ___ Instructions: List the name of training, date, nature and instructor (if applicable). See example.
Name	Training/Experience in past 5 years	Years of experience with species
	Example:	4
Signature	Successfully performed 100 surgeries as described on this protocol since 2021. LASEC Animal Handling Workshop, 20-09-2021, Hands-on, LASEC ORKTS Animal Ethics Certificate, 18-09-2020, Online, ORKTS	Years of experience with procedures
		2
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
For Office use:		
Form PA-2	Approved	Version

Appendix 3

Animal Experimentation Ethics Committee Chinese University of Hong Kong **External Personnel Cover Page for Training Protocol**	**NOTE:** No external personnel may perform training procedure until the signed form EP and valid animal license has been verified by the AEEC.

The Principal Investigator and the host department are responsible for verifying all external visitors and ensuring that they meet institutional insurance, safety, and compliance requirements, as well as all applicable Hong Kong ordinances, including employment related regulations and laws.

Protocol Details

Title

Name of Principal Investigator AEEC Ref. No.

External Personnel Involved in the Training Procedures

Name	Email	Phone	DOH License	Expiry Date	OHS	Training
					(For Office Use)	

Course/ Training/ Event Date(s):

Principle Investigator Certification

- As PI, I confirm

  By my dated signature below, I acknowledge that: 1) I have provided a copy of the approved protocol including amendments to the above noted individual being added to this protocol, and 2) I and the host department are responsible for verifying all external visitors and ensuring that they meet institutional insurance, safety, and compliance requirements, as well as all applicable Hong Kong ordinances, including employment related regulations and laws.

Instructions for completing the form

1. All external instructors and/or demonstrators who will be working with live animals must be listed on the form.
2. Valid animal license from Department of Health must be attached.
3. A separate Training Verification Form EP-2 must be completed and submitted.
4. Sign and date below.
5. Submit the completed form and the training verification form via the Tick@lab platform or by email aeec@cuhk.edu.hk under the specific training protocol.
6. The AEEC secretariat will verify and incorporate this information with the existing training protocol. Please note the approval is only for the listed date(s). If multiple sessions are held, the PI must submit separate EP-1 and EP-2 forms for each session.

Date	Signature of Principal Investigator
Date	Endorsed by Department Chairperson/ School Director

For Office Use

Form EP-1	Approved 5 March 2026	Version 1

Appendix 4

Animal Experimentation Ethics Committee Chinese University of Hong Kong **External Personnel Supplement Page for Training Protocol**		Page ___ of __ **Instructions:** List of name of training, date, nature and instructor (if applicable)
The Principal Investigator and the host department are responsible for verifying all external visitors and ensuring that they meet institutional insurance, safety, and compliance requirements, as well as all applicable Hong Kong ordinances, including employment related regulations and laws.		
AEEC Ref. No.	Course/ Training/ Event Date(s):	
External Personnel Involved in the Training Procedures		
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
Name	Training/Experience in past 5 years	Years of experience with species
Signature		Years of experience with procedures
For Office Use		
Form EP-2	Approved 5 March 2026	Version 1