

NATIONAL TAIWAN UNIVERSITY
**Directives Governing Follow-Up Measures for Laboratories
and Non-Laboratory Units in Violation of Environmental
Protection and Occupational Safety and Health Regulations**

December 29, 2009 Amended and passed by the Environmental Protection and Occupational Safety and Health Committee
January 19, 2010 Passed by the 2,608th Administrative Meeting
January 10, 2012 Amended and passed by the 2,700th Administrative Meeting

Article 1 National Taiwan University (“the University”) formulates the NTU *Directives Governing Follow-Up Measures for Laboratories and Non-Laboratory Units in Violation of Environmental Protection and Occupational Safety and Health Regulations* (“the Directives”) to govern follow-up measures for laboratories and non-laboratory units in violation of environmental protection and occupational safety and health (EHS) regulations so as to ensure said units' compliance with EHS standards and ensure the safety of faculty, staff, and students at the University.

Article 2 Definitions

1. “Top-level unit”: The highest controlling academic or administrative unit of a laboratory, such as a college or the Office of Research and Development
2. “Managing unit”: The top-level unit and the Environmental Protection and Occupational Safety and Health (EHS) Center
3. “Non-laboratory unit”: A unit that is neither a laboratory nor a managing unit of a laboratory
4. “Violation” or “offense”: A major incident in violation of the *Regulations for the Establishment of Laboratories, General Waste Management Regulations*, and other applicable EHS regulations, as determined by the managing unit.
5. “Penalty point”: One penalty point will be issued per violation found either during a safety check or via a third-party report.

Article 3 The following four types of measures may be implemented in response to a violation:

1. Releasing information about violators: Releasing the names of laboratories or units that have violated regulations, the name(s) of the representative(s), or any related photos or other relevant information
2. Warning: Issuance of a warning, penalty point, or order to participate in a retraining course or other similar measures
3. Limitation or suspension of behavior:
 - 1) Limitation or suspension of the laboratory’s operations, whether in part or in full
 - 2) Limitation or suspend other units run by the same faculty member
4. Revocation of eligibility or rights:
 - 1) Revocation or termination of the use permit or registration of the laboratory, or other similar measures that strip the laboratory of its eligibility or rights
 - 2) Other appropriate measures imposed on non-laboratory units

- Article 4 Non-laboratory units that violate regulations shall be handled in accordance with the appropriate administrative measures.
- Article 5 The applicable measures for laboratories that have violated regulations and accumulated penalty points are as follows:
1. Measures to be implemented for every offense:
 - 1) Releasing the name of the laboratory
 - 2) Issuance of a warning and a penalty point; ordering personnel who commit violations to participate in retraining
 2. Measures to be implemented for a laboratory that receives 2 penalty points within 2 years:
 - 1) Releasing the names of the violating laboratory, the name(s) of the representative(s), and photos of the laboratory
 - 2) Ordering personnel who commit violations to participate in retraining
 - 3) The laboratory shall submit a report clarifying the cause(s) of the violation as well as an actionable improvement plan to the competent top-level unit for approval.
 - 4) The top-level unit shall perform unannounced safety checks at the laboratory in the three-month period following receipt of the improvement plan in order to verify the progress of improvements.
 - 5) The operations of laboratories that fail the safety checks will be restricted or temporarily suspended by the University either in part or in full, or the laboratory may be subject to other disciplinary measures that restrict or suspend certain practices.
 - 6) Persons who are subject to any of the above measures shall be allowed to make a statement prior to their implementation.
 3. Measures to be implemented for a laboratory that receives 3 penalty points within 2 years:
 - 1) Releasing the name of the violating laboratory, the name(s) of the representative(s), and photos of the laboratory
 - 2) Ordering the personnel who committed the violation to participate in retraining
 - 3) Issuance a fine of NT\$5,000–NT\$40,000 based on the seriousness of the offense as determined by the managing unit. The fine shall be paid to the University by the violating unit or person within the stipulated deadline.
 - 4) The laboratory shall submit a report clarifying the cause(s) of repeated violations as well as an actionable improvement plan to the competent top-level unit for approval.
 - 5) Upon approval of the plan, the EHS Center shall perform unannounced safety checks at the laboratory for a period of five months in order to verify the progress of improvements.
 - 6) Laboratories that fail the safety checks shall have their laboratory permit or registration revoked or terminated, or may be subject to other disciplinary measures that strip them of their eligibility or rights.
 - 7) Persons who are subject to the above disciplinary measures shall be allowed to make a statement prior to their implementation or to dispute the measures following their implementation.

4. The managing unit may immediately terminate the operations of a laboratory in the event of a major violation resulting in a serious accident or disaster. The follow-up measures for said violations shall be subject to the provisions herein.
5. Measures to be implemented for a laboratory that receives 4 penalty points within 2 years:
 - 1) The managing unit may directly suspend or terminate the operations of a laboratory.
 - 2) The managing unit shall provide the person in charge of the violating laboratory with a chance to make a statement, and may require the person to explain the reasons for the repeated offenses and provide an actionable improvement plan. The managing unit shall also refer the violating laboratory to the EHS Committee for further review.
6. The University may cut funding in the following fiscal year for departments or units whose laboratories accumulate more than four penalty points in a single year. However, penalty points for violations that have been proactively reported by the competent top-level unit are exempt from the preceding calculation.
7. The actual person required to pay any fines imposed shall be determined by each top-level unit.

Article 6 The Directives shall be passed by the EHS Committee and the Administrative Meeting and then implemented on the date of promulgation.