Designing an AUP Form

• What are basic components to be considered in the creation of an AUP form?
Basic Components

• The Form itself
  – Questions
    - Appendices, attached files, flowcharts, etc.
    - Form design, layout, flow, etc.

• The Process that manages the form
  – how managed amongst stakeholders
  – Drives the form questions, layout, attachments, etc.
Consider Your Institution’s Process

• List important process considerations that drive the design of and questions on your form:
Process Considerations - Examples

• Current and planned systems and processes
• Paper vs. “primitive” electronic vs. web-based
• Your institutions program – species, facilities, etc.
• Available resources – physical and personnel (including committee members)
• Affiliated institutional processes – OH&S, security, etc.
  – Degree of independence or integration of each with ACC
• Expected turn around time
• PI expectations
• Form design
  – Ease of use/processing
  – consistency
Systems and processes

– Meeting frequency
– Meeting function
  • Separation of tasks?
    – Full, Mods, Pilots, Level D/E, Hazards, etc.
– Paper vs. electronic (primitive) vs. web-based
  • Advantages and disadvantages of each
– Committee structure
  • All representation available?
  • Subcommittees for various tasks – Enrichment, Safety, SOPs
– Action plan for problems
  • Delays, non-response, non-compliance, etc.
– Any planned changes?
  • Going from paper to web-based?
Paper vs. Electronic

• Are you migrating from paper to electronic
  – Consider cost-benefit analysis
  – Consider impact of transition on all stakeholders
  – Consider all costs (hardware, software, people) – upfront & long-term

• Paper
  – Often forms easier to complete, flow better, more intuitive
  – Does each question bring value to animal welfare, research quality, or accountability? Each serve a sound purpose?

• Electronic
  – Often less intuitive and more confusing
  – Consider strategies such as flow charts
  – As for paper, every question must have real value
Your Program

• Species
  – Traditional
  – Non-traditional
  – Field studies
• Housing
• Geographic location
• Operating structure and administration
  – Academic
  – Research Hospital/Institute
  – CRO
  – Combination
Available Resources

• Human Resources
  – ACC administration
  – ACC membership
  – Senior administration – support

• Physical resources
  – What does senior administration provide to support the animal care and use program
Affiliated Processes Involving ACC

• OH&S processes
  – Biohazards
  – Chemical hazards
  – Radiation

• Security

• Resource acquisition
Turn around time

• Expected turn-around time will influence form design and questions:
  – New AUP
  – Annual renewal
  – Modification
PI Expectations

• Simplify, simplify, simplify
• Clear logical questions
• No repetition
• Easy to fill out
• Examples provided
  – Well filled out form that ACC liked
  – Sample answers to questions
Form Layout & Contents

- User friendly?
  - User guide
  - Examples
  - FAQ
- Intuitive?
- Flows logically?
- Non-repetitive?
- SOPs?
- Flowchart of animal or groups from beginning to end with time points
- Keep form consistent unless valid reason to modify
- Consider all stakeholders perspectives
  - PI
  - Reviewers
  - ACC administration
Form Questions

• What is the purpose of the questions?
  – Is it of true benefit to anyone?

• Every question must bring value to:
  – Animal welfare
  – Research quality
  – Accountability

• Two main categories of questions
  – Regulatory driven
  – Institutional driven
Gov’t Regulatory Associated Questions

• CCAC
• Provincial – i.e. OMAFRA
• Others
  – Environment
  – Transport
  – Health and Safety
  – Labour
Institutional Associated Questions

• To meet Institution’s needs:
  – Regulatory
  – Security
  – Occupational Health and Safety
  – Facility operation
    • Staff training
    • Animal Housing
    • Food, water, EE, environmental parameters
  – Inter-facility transport
  – ACC Administration
  – Veterinarians
  – PAM process
  – Senior Administration