Purpose

This document is for the use of researchers and staff to create new animal ethics applications and amendments to approved animal ethics applications. If you have any difficulties or have questions about this guide, contact the support email: tickatlab_support@sahmri.com.

1 Contents

2 Introduction

Tick@lab is a software platform for the management of laboratory animal research institutions. It is an integrative software which manages compliance and operational processes and provides relevant data to researchers, facility staff, administration and management. It supports breeding and colony management, controls animal orders, census and billing, can track and manage animal's and their history, and manage tasks and operations. Furthermore, it can manage training and competency records to ensure compliance and auditability.

3 Logging In

Tick@lab is setup to use the Australian Access Federation (AAF), which allows users to login using a SAHMRI, University of Adelaide, University of South Australia or Flinders University login.

By default, all users have been setup to use their SAHMRI login in tick@lab. If you would like to use your institutions login, then you will need to provide your UofA "a" number, UniSA username or Flinders FLAN to tickatlab_support@sahmri.com so this can be registered in tick@lab.
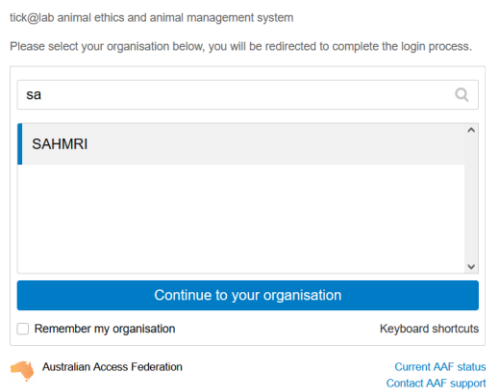
All other external users will require an AAF user account to be created to access tick@lab. When an AAF account is created you will receive an email from AAF to confirm your email address and to set a password.

If you are a new user and require a tick@lab account to be set up, contact: tickatlab_support@sahmri.com.

The following steps will show you how to login to tick@lab:

1. Click on the following link to access tick@lab (remember to add it to your bookmarks) : https://tickatlab.sahmri.com/

2. Select the organisation you are from. This will allow you to login using either your SAHMRI, University of Adelaide, University of South Australia or Flinders University login details.

- All non SAHMRI, University of Adelaide, University of South Australia and Flinders University users will need to select "AAF Virtual Home" as the organisation.
- Tip: Use the "Remember my organisation" checkbox to avoid having to select an organisation each time you login.

3. A login page is displayed where you will need to enter the username and password for the selected organisation.

4   The Tick@lab User Interface

When you first login to tick@lab, your user interface will look like below. You can access the different modules via the launch pad, or the navigation menu on the left-hand side of the page. By clicking these modules, you can generate new AEC applications, request trainings, order animals and more.

To access animal ethics applications, select 'AEC' under the protocol's module. This will display all animal ethics applications that you are assigned to and give you an option to create new applications.

The AEC home page will look like below. From here, you can filter to find applications from preconfigured filter sets, file-general properties, file history properties, document filter options or save your own custom filter sets.
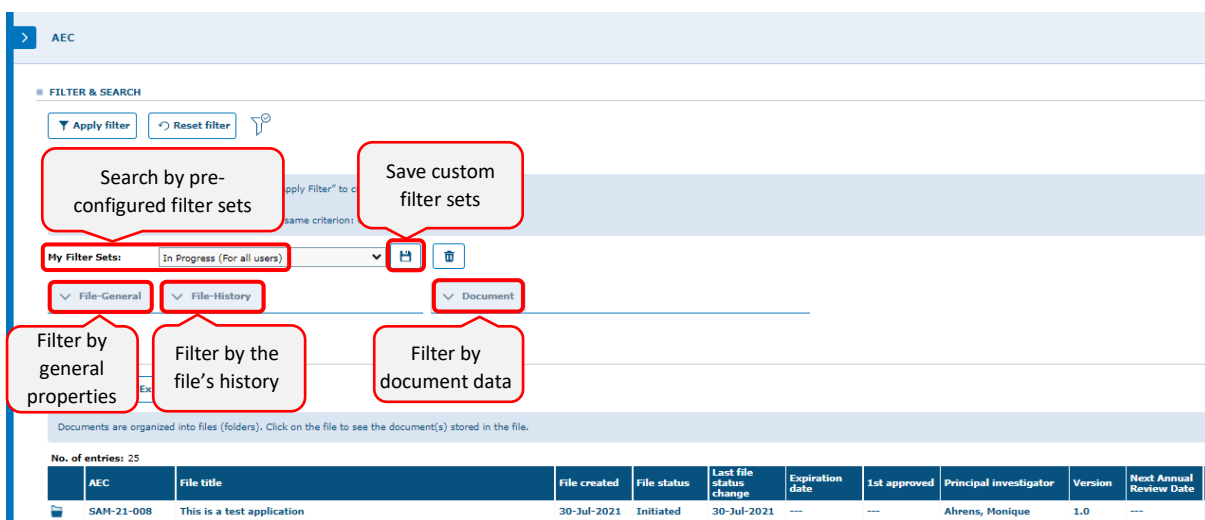
When you click on an application folder, the file will drop down like below. From the user interface, you can right click to access many of the actions or workflow options for the AEC applications.

Right clicking on the application <u>folder</u> will allow you to:

New	Create a new application.
Details File	View the file's general details, animal numbers, requirements or conditions of approval, manage the animal users and requesters, and user application access.
Delete file	Delete the file, a message will prompt if accidentally clicked. Note, any applications deleted are <u>not</u> able to be recovered.
Edit comment	Attach a comment to the application.
Add attachment	Attach documents to the application.
History	History shows past change and activities for the application.
Duplicate File	Duplicates the selected application that can then be edited, instead of having to create a new application from scratch.
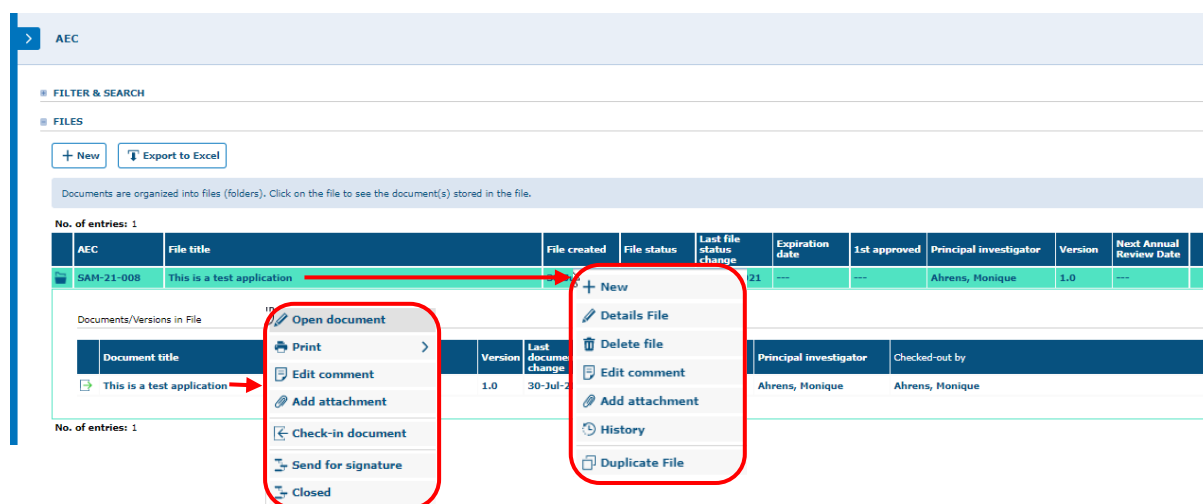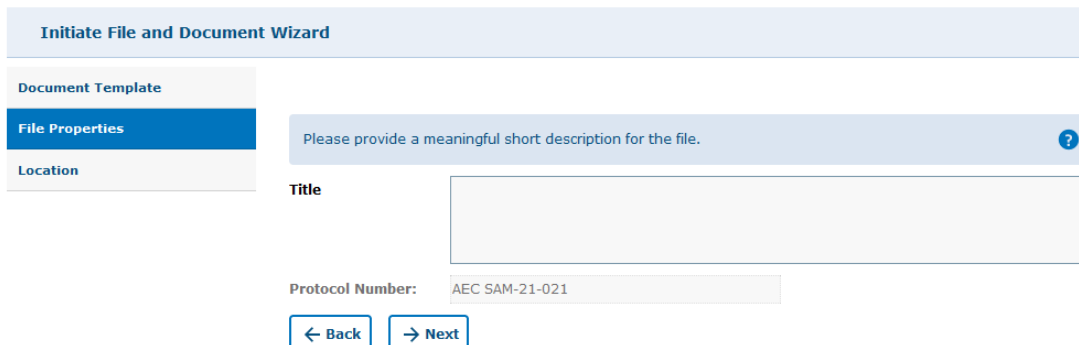
Right clicking on the application <u>file</u> will allow you to:

Open Document	Open the application file.
Print	Print in a PDF or HTMI format.
Edit Comment	Attach a comment to the application. This is useful for amendments and different versions to state why this was altered etc.
Add Attachment	Add an attachment; this will save attachments to a specific version of the application. This can be useful when submitting amendments to attach changed experimental flow charts to a more recent version.
Check in/out Document	Checks the document out so it can be modified. The document can then be checked in so other members of the team can contribute to the file.
Workflow Options	The workflow options can also be accessed from this menu; 'Send for signature' sends to all those listed in the signature section of an application an email to sign the document; 'Signatures' allow signers to sign the document; 'Amendment' begins a new amendment and 'AEC secretary sends to the Secretary to progress the application.

5 Creation of new animal ethics applications

The following steps describe how to generate a new AEC application in detail:

1. Open Protocols > AEC from the main menu. Select ⊞ New . This will create a pop-up* which will allow you to enter the title of your project application. An automated AEC ethics application number will be generated for you.
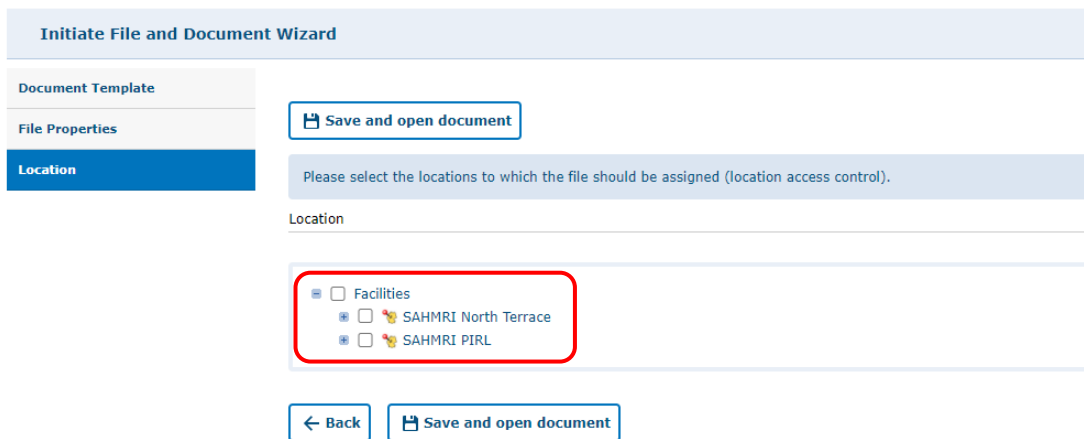

Alternatively, if you have an existing application, and your new application is similar, you can duplicate your current application, then make the changes for the new application. Right click on the application folder and select 'Duplicate'. You can also select 'New' here.
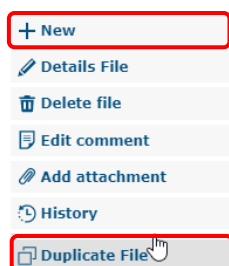
*If a pop-up does not appear on the screen, you may have pop-up's blocked in your browser. Switch this off for the tick@lab URL by selecting the page icon on the right hand side of the URL address bar and selecting 'always allow pop-ups from https://tickatlab.sahmri.com/tickatlab/default.aspx'.
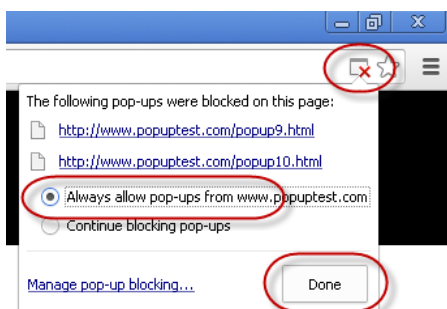
2. Select 'Bioresources' if your project is located at North Terrace, and 'PIRL' if your project is located at PIRL. If you plan on using both facilities, select 'Facilities'. Note, this location access can limit your access to species and rooms. If this requires changing at any point contact: tickatlab_support@sahmri.com.

3. Your document will already be "Checked-out". This means that no one else can begin editing the document until you check the document in. You can check documents in and out from the action menu.

4. Using the application navigation menu on the left, work through the AEC form and answer all questions. Note, the all questions are mandatory and are required to be completed before submitting for signatures.

5. Many questions throughout the application will allow you to directly type responses into the UI. However, there are several questions, particularly those which link to training records and animal ordering that will have pop-up questions. While many of these are self-explanatory, they often require the information to be selected and then APPLIED to the application also.

   This can be done by selecting ⊘ Apply or + Apply & New after inputting data. Note, if you do not select these, you may lose your information. There are a few pop-up questions to be mindful of as they require selecting and then accepting selections to add to the application. Refer to section 5.1 Adding Personnel, 5.2 Study Segments, 5.3 Adding Species Calculations, and 5.4 Navigating the application action and workflow features, for more information on filling out specific questions within the application.

6. Once you have completed your changes click "Validate & Save" from the action menu to save your changes and check all mandatory questions have been entered.

   🗐 Action
   ⊘ Validate & Save
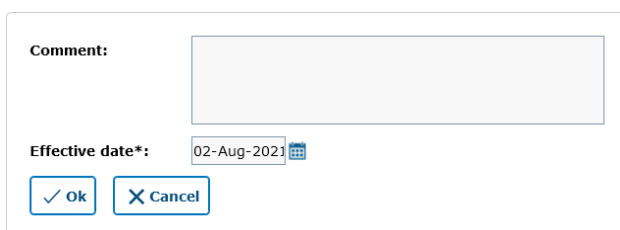
   You can save your changes and continue the application at a later stage by clicking "Save" from the actions menu.

7. To complete the application all personnel listed in the signatory section of the personnel tab (see section 5.4) must sign the document. Click "Send for signature" from the workflow menu to notify all document signatories.

   🗐 Workflow ⌄
   ⤴ Send for signature

8. You can enter a short comment to send to the document signatories. Click the "OK" button to continue.
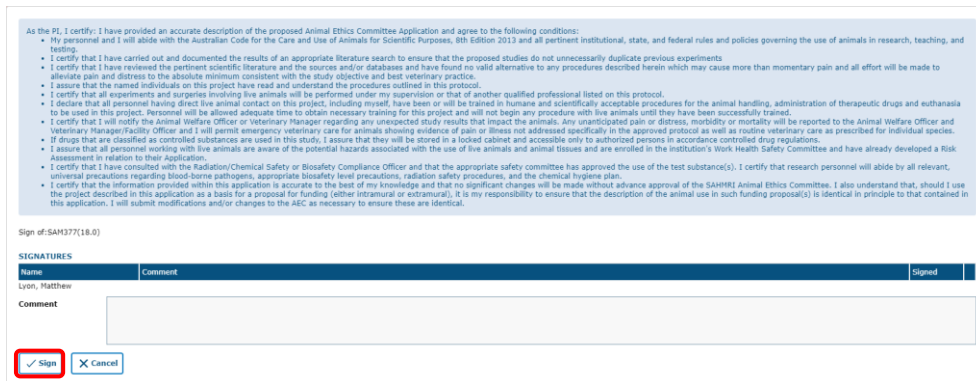
   Comment:

   Effective date*: 02-Aug-2021 🗓
   ✓ Ok   ✕ Cancel

9. Each document signatories will receive an email that can directly open the application or alternatively they can open it via the AEC application search page. Click "Signatures" from the workflow menu to sign.

   🗐 Workflow ⌄
   ✐ Signatures

10. All signers will have role permissions to read the application before signing. Read and agree to the application submission conditions by clicking the "Sign" button.

11. The application is now submitted and will progress to the pre-review phase of the AEC workflow (Refer to section 7). You will receive an email with review comments if required. Refer to section 7 on how to review the comments made by the Pre-screener, the AEC committee or Executive committee.

12. Once review comments have been addressed and changes made, applications should be submitted back to the AEC secretary to organise the full committee review. This can be done at the top of the page in the workflow menu.

Workflow steps can also be accessed by right clicking on the application file and selecting "AEC Secretary".

13. You can enter a short comment to send to the AEC Secretary. Click the "OK" button to continue.

14. The review and approval process for applications, is outlined in section 7 of this guide.

5.1   Adding personnel

When selecting personnel on the personnel tab, you can select the ➕ button next to the 'teams' drop down, this will allow you to find your workplace team and add the whole team to the application. Note, for people who are apart of teams such as the University of Adelaide's Adelaide Medical School: personnel will need to be selected individually and not by team. To select a person individually, select the *word* Teams to show users. Users will be listed in alphabetical order. Alternatively, you can filter by typing the first, last or both names into the search bar and selecting **▼ Apply filter** .

When you have finished selecting all participants, they will be listed at the bottom of the tab and you can apply the personnel to the application by selecting **⊘ Apply current selection** .
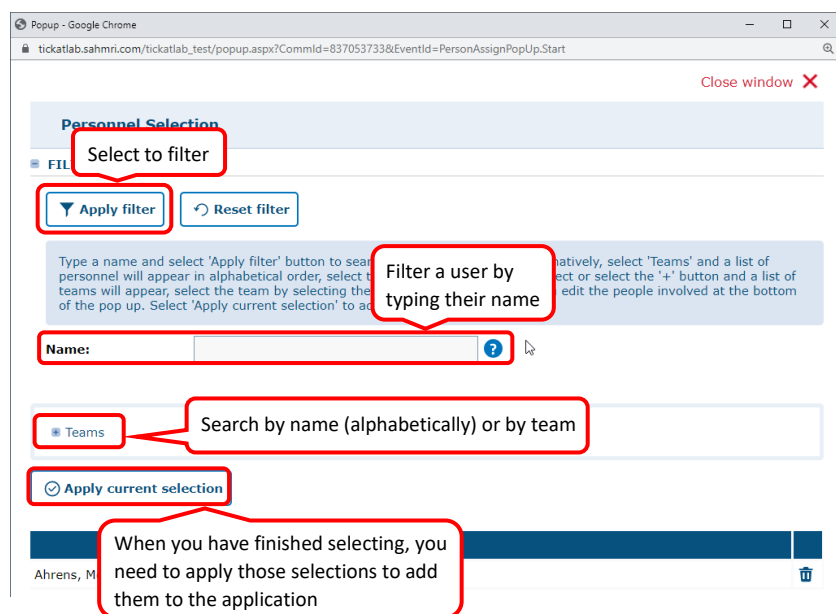
On the Personnel tab, there are 5 sections that relate to personnel on the applications.

⊞ **PRINCIPAL INVESTIGATOR**

⊞ **CO-INVESTIGATORS**

⊞ **RESEARCH PERSONNEL**

⊞ **PRE-REVIEWERS**

⊞ **SIGNERS**

The *Principal Investigator* is the person who has ultimate responsibility for the project as described by the Code. Whomever creates the document, will automatically be assigned as the PI. This can be changed in the Personnel Tab, be sure to select yourself as a CO-INVESTIGATOR **BEFORE** you change the PI on the application.

PI's and *Co-Investigators* are the only people who can edit the application.

Research personnel is everyone on the application who will be handling animals. Please ensure all personnel are included in the application. Note, facility technical staff are not required to be listed.

Pre-reviewers can be assigned to pre-review the document prior to sending the document for signatures. This may be the PI or another team member.

Signers are required to be selected to sign the document. This needs to be completed after each new application is generated or an amendment is submitted. Select all persons listed in the PI, Co-Investigator and Research Personnel sections.

5.2   Study Segments

On the study segments tab, you have the option to organise your project and application into study segments. These can be used to describe experimental subgroups, aims of a project or portions of study design. Each study segment will include a list of question to be answered. Species can be selected for each study segment also.
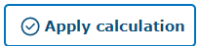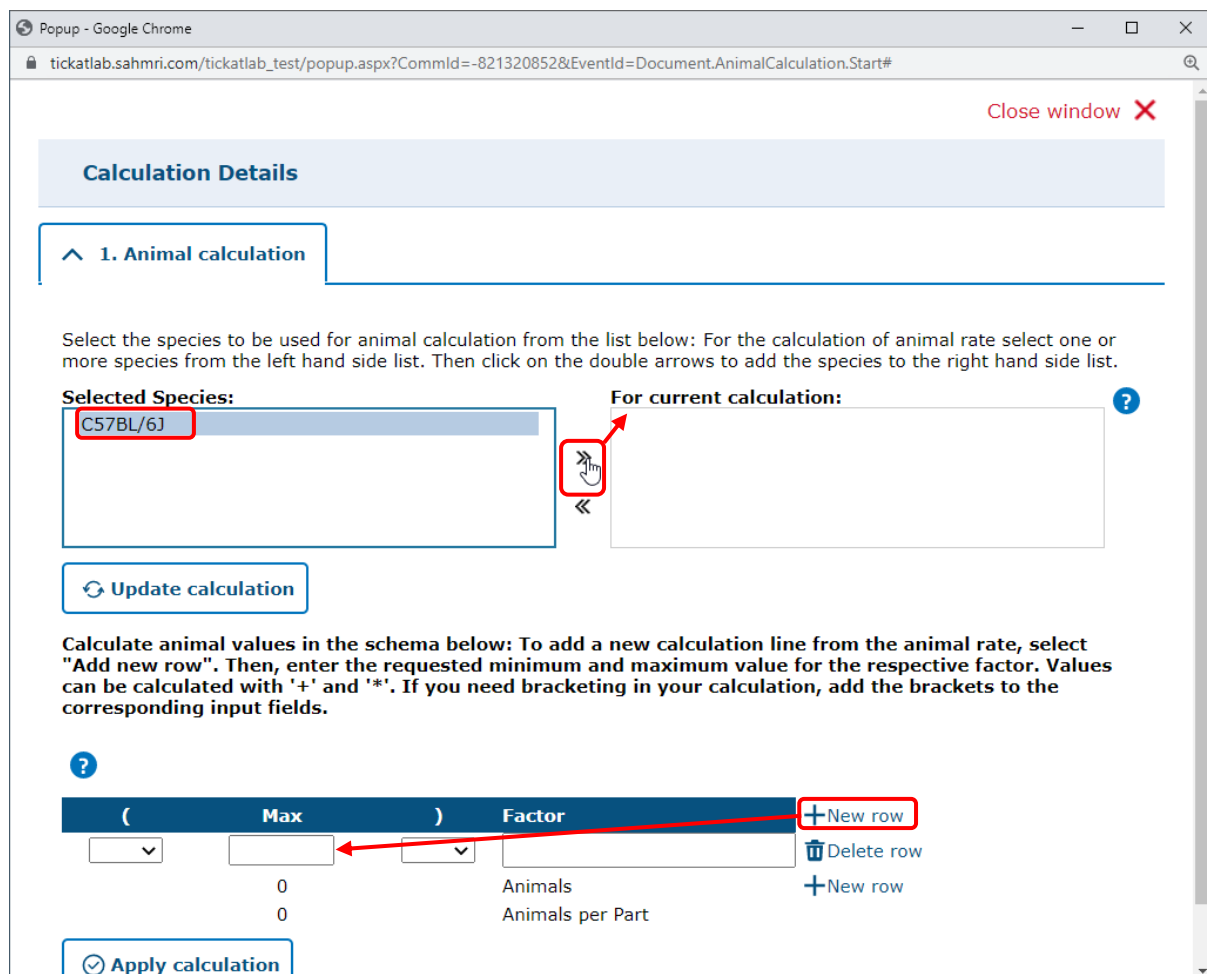
5.3   Adding Species Calculations

Species are added in the 'Species' tab of the application. Select [✏ Edit selection] prompting the species pop-up to appear. The species menu will list all species, select ⊞ to see the breeding lines and choose from this list. To add this selection to the application, select [⊘ Apply current selection] .

On the 'Number of Animals' tab, to add the number of animals requested in the application, select [💾 Add Calculation] , this will prompt the calculation pop-up (see below). To add a calculation to a breeding line, double click or select the breeding line and right arrow as pictured to move the species into the 'For current calculation' box. If you simply need to record the total number of animals, select '+New row' to add a calculation in the 'Max' column. Alternatively you can build calculations using the following operators:

1. Parentheses ( )
2. Multiplication *
3. Addition +

Add the calculation to the application by selecting [⊘ Apply calculation] .

These are two examples on how to plan and build calculations for an application.

Working with study groups: For an application proposing 4 studies with 20 experimental animals and 5 control animals for each group the layout is below:

(	Max	)	Factor	
	5		Control animals per study	🗑 Delete row
+	20		Experimental animals per study	🗑 Delete row
	25		Animals	➕ New row
*	4		Studies	🗑 Delete row
	100		Animals per Part	
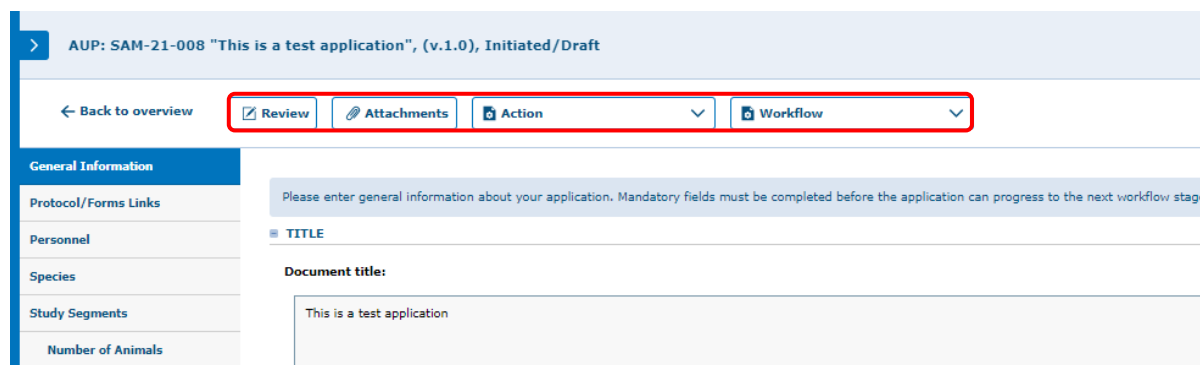
Planning drug administration: For an application that has 3 dosage groups with 8 animals in the group, and 1 control group with 5 animals with each animal being administered 10 substances the layout is below:

(	Max	)	Factor	
	3		Dosage groups	🗑 Delete row
*	8		Animals per dosage group	🗑 Delete row
+	5		Animals per control group	🗑 Delete row
*	1		Control group	🗑 Delete row
	29		Animals	➕ New row
*	10		Substances	🗑 Delete row
	290		Animals per Part	

5.4   Navigating the application actions and workflow features

At the top of each page is four action buttons. The review button can be utilised to see review comments left by a committee member who has pre-screened your application or the comments made by the committee for clarification after a meeting. Refer to section 7 about the review process.

To attach documents to the application, select 'Attachments' along the top. This will attach documents to whatever tab you have opened at the time and select attachments for. If you have supporting documents relating to a section in the application, you can attach using this method. If you wish to attach documents to the entire application, you can do this in the UI as mentioned above.

The 'Action' option displays a list of actions you can perform on a document; 'Save & Check in' or 'Check out'. To edit the document, it needs to be checked out. This will prevent other users from editing the document while you work on it. To allow other users to work on the document, after you have completed your work, select 'Save & check in' which will save the application and allow other users to edit the document. Note, only users with access/permissions to the application will be able to see and edit the application.

When completing an application, with the intention to return to it later, select 'Action' > 'Save'. This will save the application in its current state and allow you to return to it at any time. You can also save your work as a new version which will be useful when comparing documents. This could be used so your changes can be tracked and compared (See section 8.1 of this guide). When you are completing a document, before you send the application for review, you can select 'Validate & Save'. This will check if all required fields have been filled in. A warning message will appear for any sections that have not be answered or filled.

The 'Print' option will allow you to print the current form.

Section 8.1 of this guide explains the 'compare version' option.
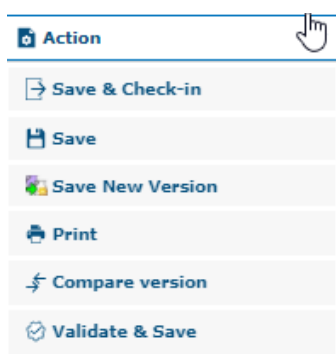
The 'Workflow' option displays the list of available status changes that can be made to the document. When an application or amendment is complete, select 'Workflow' > 'Send for signature'. This will automatically notify the selected signers (as indicated in the Personnel tab of the application) to sign the document.
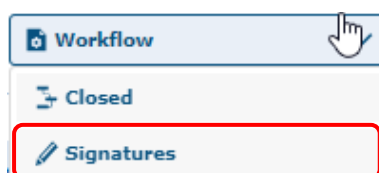
Select 'Workflow' > 'Signatures' to sign the document. The pop-up displayed below will appear, stating your responsibilities for animal use in scientific research and teaching as outlined in the Code. To sign the document, select 'Sign' in the bottom left corner of this tab. Once all the signatories have signed the document, the AEC secretary who will organise the full committee review of the document.

To follow the status changes of your document, you can look on the 'Workflow History' tab found on the applications navigation menu within the application.

	File Version	Document Version	Status	Performed by	Effective date	Comment
	0.1.0	1.0	Draft	Ahrens, Monique	29-Jul-2021	
	0.2.0	2.0	Send for signature	Ahrens, Monique	01-Aug-2021	
✓	0.2.0	2.0	Signature	Ahrens, Monique	01-Aug-2021	
	0.3.0	3.0	AEC Secretary	Ahrens, Monique	01-Aug-2021	Automatic status change after signature.
	1.0.0	4.0	Approved	Ahrens, Monique	01-Aug-2021	

6   Making amendments to approved animal ethics applications

The following steps will detail how to make an amendment to an existing application:
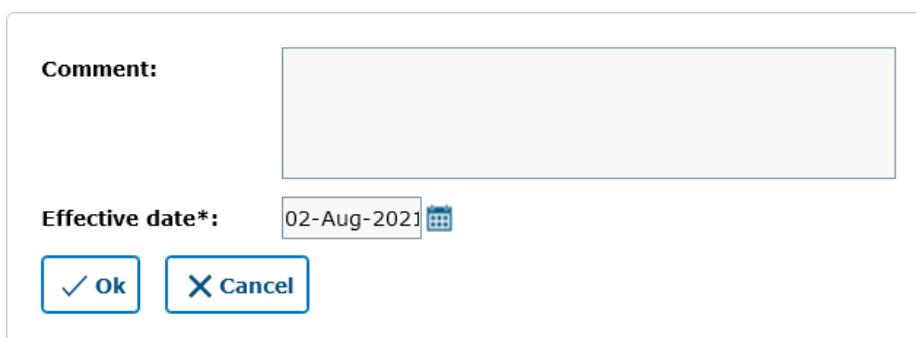
1. Open Protocols > AEC from the main menu and find your application.

2. Click on your AEC application file in the search page to view the document versions in the file.

3. Right click on the approved document version and select "Amendment" from the pop-up menu.

Alternatively, you can open the current approved version and select "Amendment" from the Workflow menu.
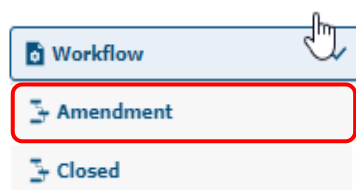
4. Enter a short comment to describe the amendment e.g. Adding new personnel. Click the OK button to create the amendment.

5. A new document version will be listed under the file with a document status of "Amendment". Click on the Document Title link to open the amendment.

6. Click "Check-out" from the action menu to start making changes to the amendment.

7. Using the menu tabs on the left, select the sections of the AEC form that you need to amend.
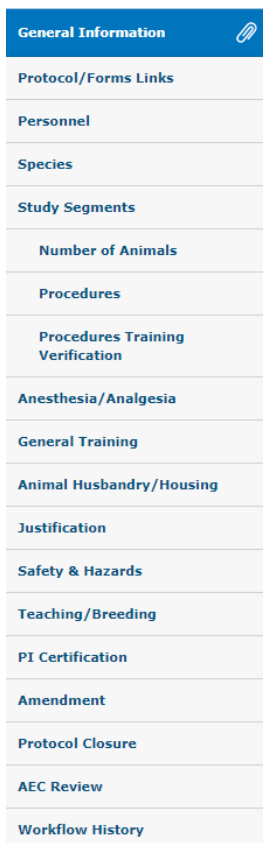
8. Once you have completed your changes click "Validate & Save" from the action menu to save your changes and check all mandatory questions have been entered.

   You can save you your changes and continue the amendment at a later stage by clicking "Save" from the actions menu.
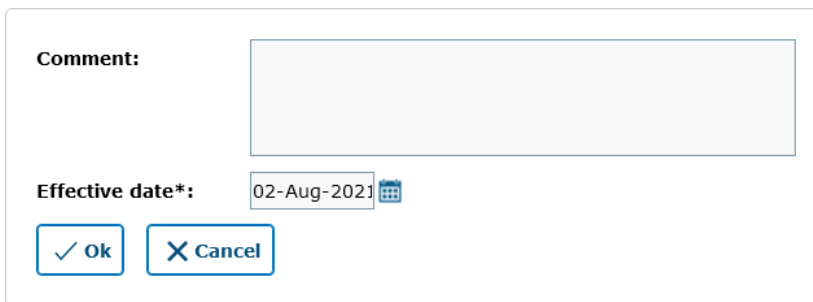
9. Click "Save & Check-in" from the action menu to confirm you have completed making changes to the version.
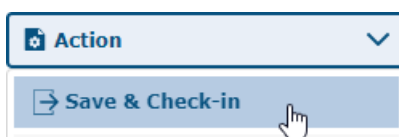
10. To complete the amendment the application must be signed by all personnel listed in the signatory section of the personnel tab (see section 5.4). Click "Send for signature" from the workflow menu to notify all document signatories.

11. Optionally you can enter a short comment to send to the document signatories. Click the OK button to continue.
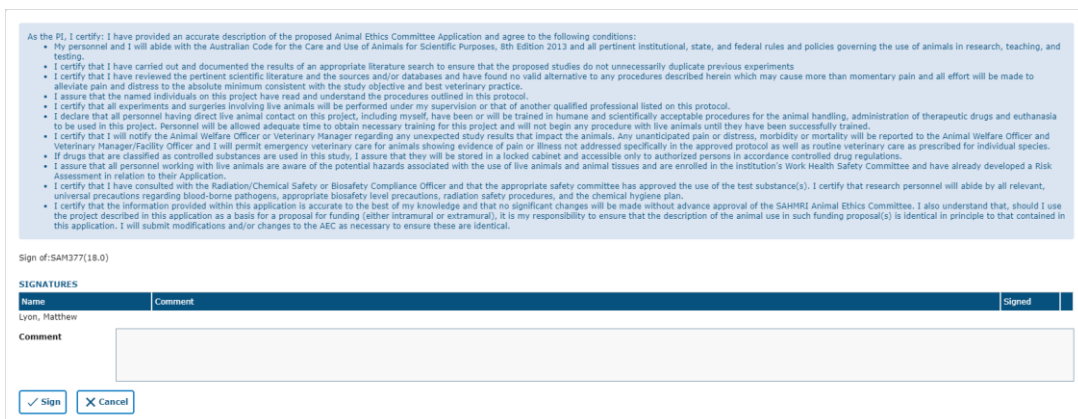
12. Each document signatories will receive an email that can directly open the amendment or alternatively they can open it via the AEC search page. Click "Signatures" from the workflow menu to sign.

13. Read and agree to the application submission conditions by clicking the "Sign" button.

14. The application amendment is now submitted and will be reviewed by the AEC committee. You will receive an email with review comments if any clarification or changes are required.

7   Review and Approval

The below workflow describes the tick@lab workflow process from when a researcher creates an application to the decided outcome of the application. Note the labelled arrows represent the different workflow steps under the [📋 Workflow ⌄] menu at the top of the application.
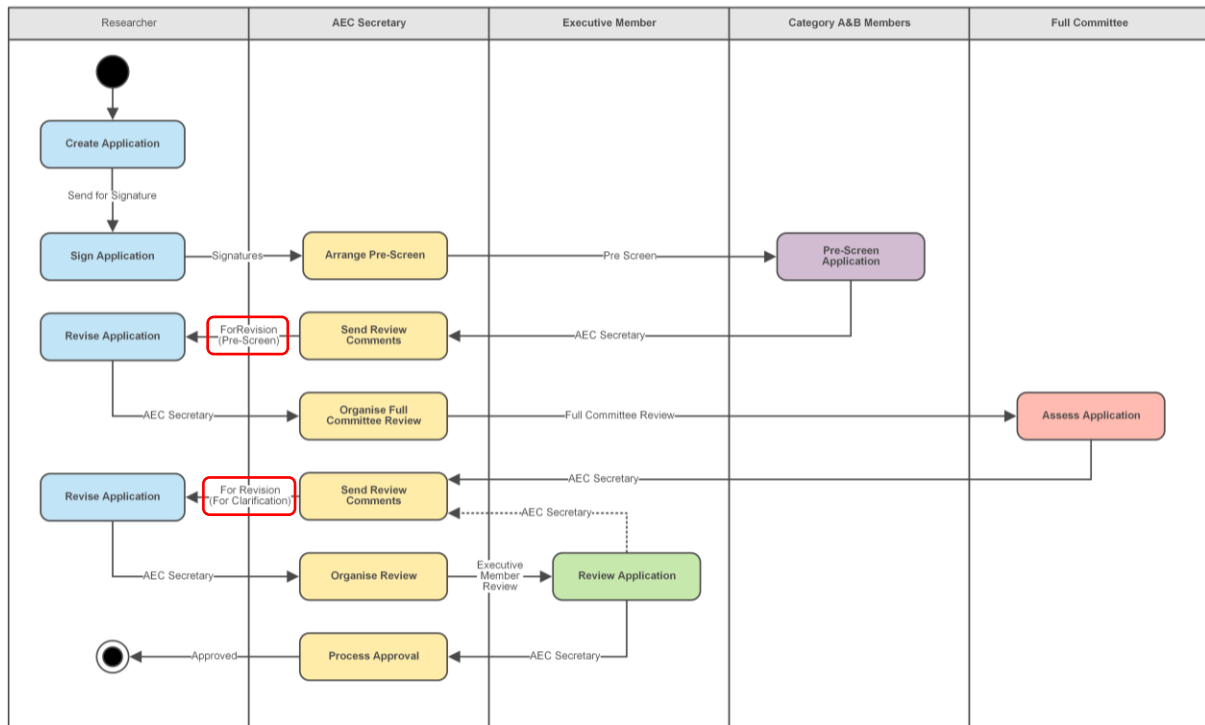
Applications and amendment proposals, during the pre-screen, Executive committee review or full committee review will receive comments which may require a response, clarification or changes to the application. To review these comments:

1. Select [✏ Review] in the top left-hand corner of the page.

2. A pop-up will appear that identifies all the comments made. These can also be reviewed by the application tabs. Select the comment to review the recommendation or question.

3. Once you have clicked into the comment, you can submit a response. As this is a pop-up, you can also have it open whilst making any mandatory changes requested by the AEC. Ensure you save any comments before closing the pop-up to avoid losing work.

4. When you have finished reviewing the comments, responding and making changes to your application. Select 'AEC Secretary' to submit the application for review by the AEC Executive.

8   Understanding Files and Documents

In tick@lab AEC applications are organised into files, with each file storing multiple document versions to represent the different stages of an application.

Document versions start at version 1 and increase by 1 for each status change, for example:

- Version 1 = Draft
- Version 2 = Send for Signature
- Version 3 = AEC Secretary
- Version 4 = Approved
- Version 5 = Amendment
-    … and so on.

As mentioned above, to create a new version, select 'Action' and 'save new version'. This feature can be used when preparing an application so versions can be compared.

8.1   Compare Version

A useful feature in tick@lab is the ability to compare versions. This makes it very simple to see the differences between the application version you have open and another version.
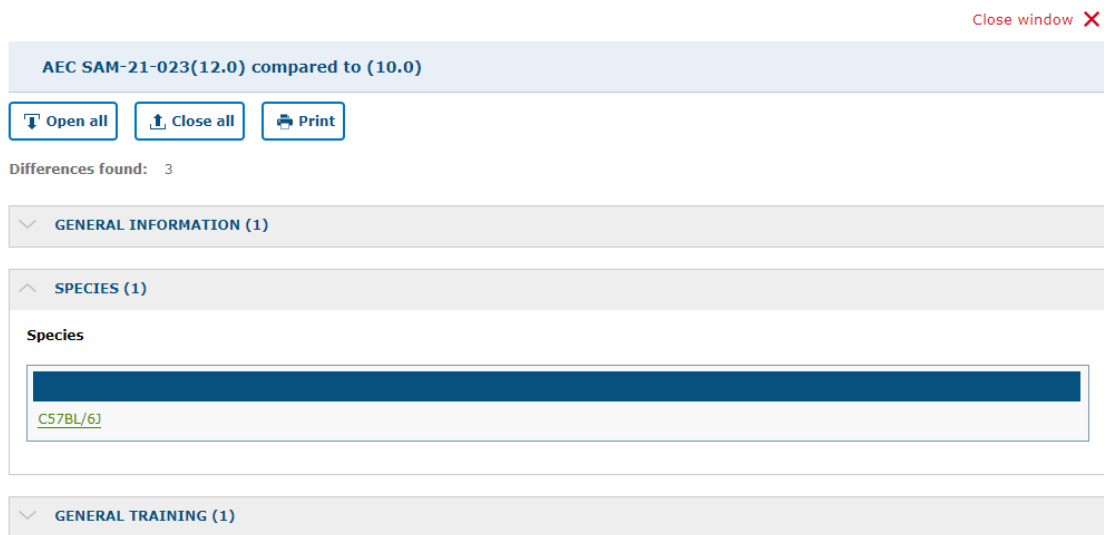
1. To compare a version, select "Compare Version" from the Action menu within an application.
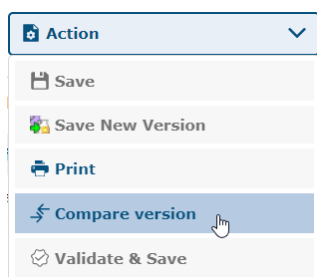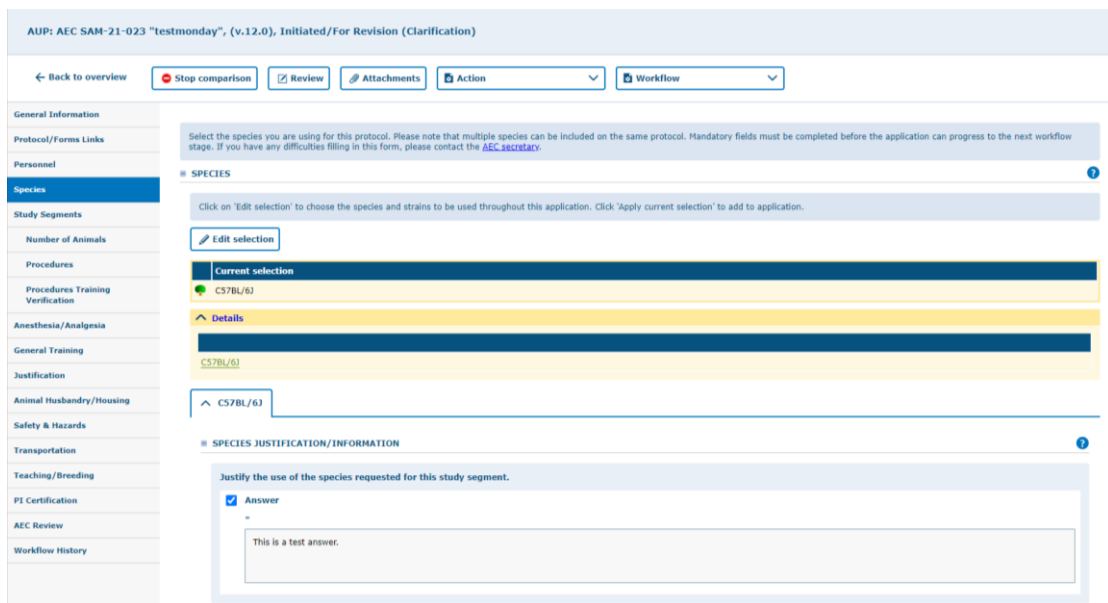
2. Then select the version you like to compare against.

	File version	File status	Document version	Document status	Last modification at	Last modification by
○	1.3.0	Amendment	7.0	AEC Secretary	13-Jul-2021	Ahrens, Monique
○	1.2.0	Amendment	6.0	Send for signature	13-Jul-2021	Ahrens, Monique
○	1.1.0	Amendment	5.0	Amendment	13-Jul-2021	Ahrens, Monique
●	1.0.0	Approved	4.0	Approved	06-Jul-2021	Lyon, Matthew
○	0.3.0	Initiated	3.0	AEC Secretary	06-Jul-2021	Ahrens, Monique
○	0.2.0	Initiated	2.0	Send for signature	06-Jul-2021	Ahrens, Monique
○	0.1.0	Initiated	1.0	Draft	05-Jul-2021	Ahrens, Monique

✓ Ok   ✗ Cancel

3. Tick@lab will display a pop-up with a list of all differences between the two versions.

4. Closing the differences pop-up allows you to view the differences inline within the application. Differences are highlighted in yellow.

5. Click the Stop Comparison button to finish comparing versions

9 Reporting Adverse Events

Adverse events are used to record an event or incident that impacts the welfare of animals. Adverse events reported are automatically sent to the AWO to perform further investigation.

9.1 Reporting an adverse event for an animal
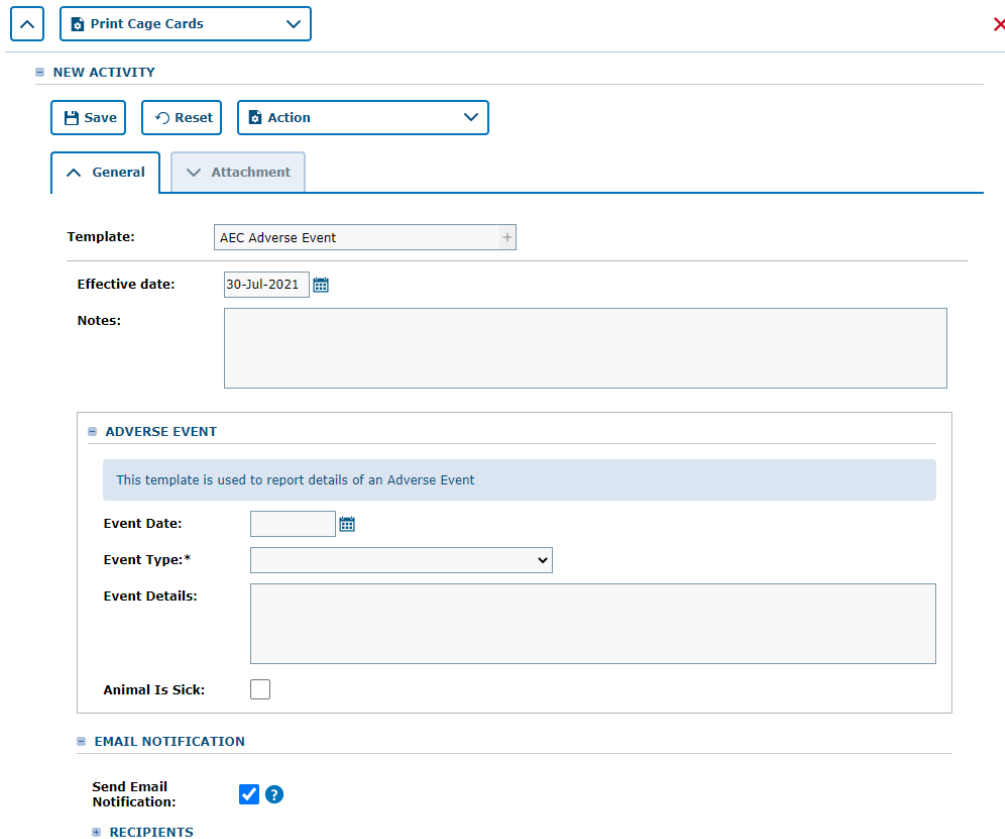
1. In Experimental Stock or Breeding Stock select the animal(s) linked to the event.

   You can select multiple animals by clicking the tick icon ✔ next to the animal.

2. Right click on the selected animal(s) and select History / Medical Records.

3. In the New Activity section, select "AEC Adverse Event" in the template field.

4. The new activity form will now display fields to report the adverse event. Complete the form and click the Save button to finish reporting the adverse event.
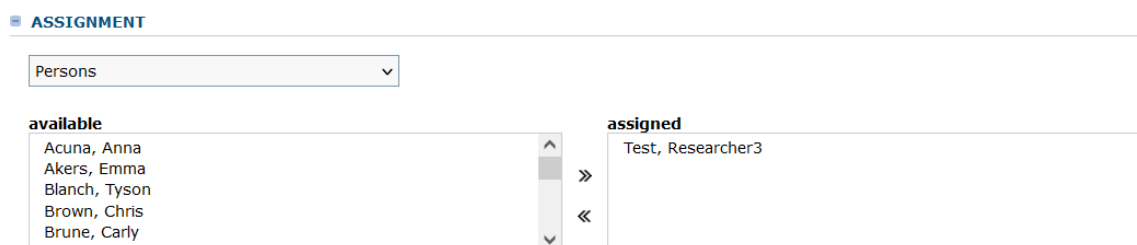Ensure the "Send Email Notification" checkbox is ticked as this will ensure the AWO is notified.

9.2 Reporting an adverse event where the animal is unknown

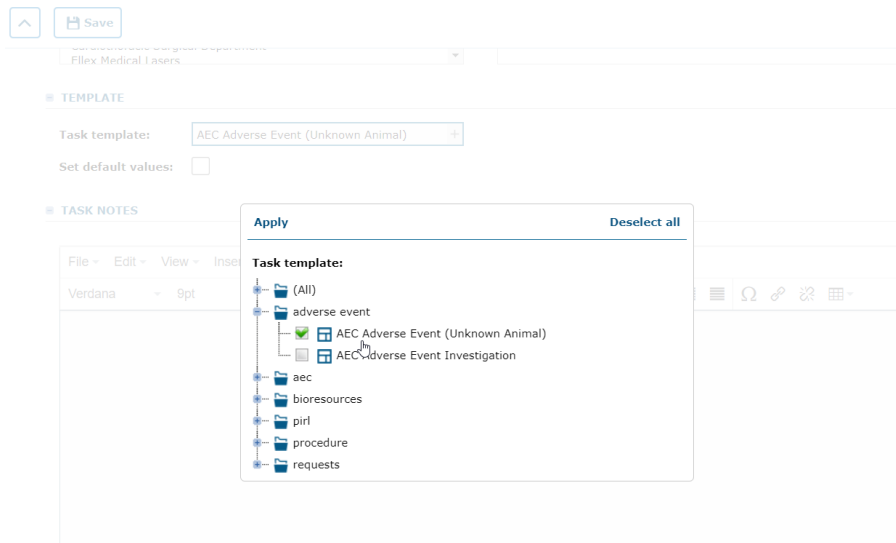1. From the Main Navigation Menu open Tasks > Tasks.

2. Click the New Task button **+ New Task**

3. In the Assignment section of the New Task page, select "Persons" in the type dropdown, then select the person reporting the adverse event from the list of users.

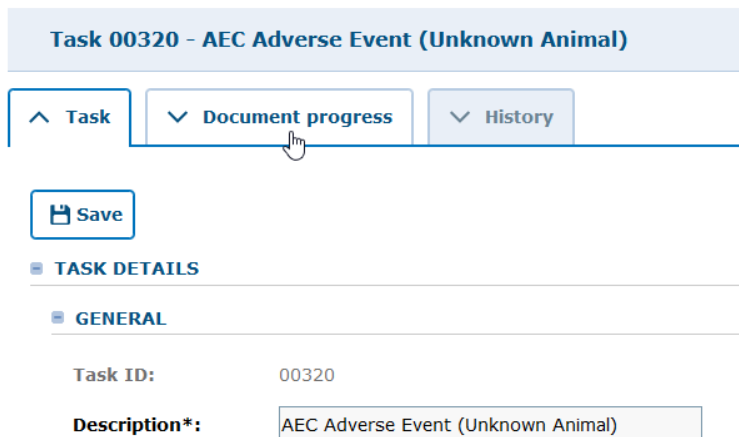4. In the Template section, select "AEC Adverse Event (Unknown Animal)" from the Task Template field

5. Ensure a Due Date is entered together with any task notes, then click the "Save" button

6. Click the "Document Progress" tab.

7. Complete the "Adverse Event (Unknown Animal)" template and click the "Save" button to finish reporting the adverse event. This will automatically notify the AWO.

Task 00320 - AEC Adverse Event (Unknown Animal)

⌄ Task	⌃ **Document progress**	⌄ History

💾 Save

Record the task progress for the selected objects. Click "Save" to complete the task for the selected objects.

Selected Objects:

Effective date: 30-Jul-2021 📅

Notes:

Task template: AEC Adverse Event (Unknown Animal)

⊟ ADVERSE EVENT (UNKNOWN ANIMAL)

This template is used to report details of an Adverse Event where the animal is unknown

Event Date: 📅

Event Type:* [⌄]

Event Details: