

**UNIVERSITY OF WATERLOO  
OFFICE OF RESEARCH ETHICS**

**Checklist for Submitting an AUPP Application for Review**

**Check ✓ that you have included the following before submitting your AUPP**

**Section A: Title of Research/Lay Summary**

- Mention of Pilot Study in title
- Not too technical
- "Lay enough" for a person with grade 8 reading level to understand
- Provides enough detail
- Rationale and objectives for the study are clearly outlined

**Section B: Personnel**

- Information is complete
- UW contact info is listed
- Training modules completed for all personnel based on role
- Other safety training/orientation is completed

**Section C: Research/Course Information**

- Anticipated start date is appropriate
- If listed as a renewal, reference to old AUPP# is provided

**Section D: For Course with Laboratory**

- If applicable, complete Appendix 1

**Section E: Funding Information**

- If currently funded - agency name and program with dates
- If funding sought - agency name and program with dates

**Section F: Peer Review**

- If peer reviewed - agency name and program listed
- If need peer review - include signed Appendix 2 signed with Ad hoc committee (Dept level)
- Appendix 2 completed by more than one member of Ad hoc committee

**Section G: Alternatives and Justification for use of Animals**

- Potential benefits to humans/animals to justify the use of any animals clearly described
- Justification is clear and enough information is provided as to why it is necessary to use live animals
- Explanation of rationale for the choice of species for this study is provided
- Explanation for the choice of strain for the study is provided

**Section H: Detailed Description of Procedures**

- [ ] Full and detailed description provided
- [ ] Step by step description of details is complete and clear
- [ ] SOPs are referenced for specific procedures
- [ ] Dosage is explained in sufficient detail (i.e., amount and frequency)
- [ ] Information on personnel doing procedures is detailed in full
- [ ] Chart corresponds with description details of all procedures
- [ ] Procedures table is complete and lists ALL procedures as described in text
- [ ] Experiments to be performed have correct animal facility information (i.e. CAF is default)
- [ ] If request satellite usage provide research related justification in line with SOP SSAT101 approved uses
- [ ] SOP's are mentioned in relation to procedures

**Section I: Detailed Description of Plans**

- provided flowchart and number of animals at each step on flowchart matches
- Specification is clear on treatment groups to be compared
- Timelines are clear
- Comparison groups are clear
- Flow chart clear and not confusing

**Section J: Justification of Animal Numbers/Numbers and Use of Animals**

- Appendix 3 is complete
- Chart with species is complete
- Use of transgenic animals - appropriate table is completed
- If using transgenic animals - Appendix 6 to be completed
- PAU is correct

**Section K: Source/Supplier of Animals**

- Specified source
- If from breeding colony, specify AUPP #

**Section L: Housing of Animals**

- Enrichment listed
- Transporting animals from facility to facility - adequate information is provided
- If field research has been indicated, Appendix 4 has been completed

**Section M: Description of Monitoring of Animal and Endpoints**

- Specific people are listed for monitoring
- Frequency for monitoring is listed
- Clear on adverse effects
- Endpoint score sheets are provided
- Reference to relevant SOP for endpoints is provided
- Description of how animals will be treated if adverse impacts happen
- Clear details provided on health conditions associated to humanely euthanize an animal
- Clear listing of health issues being observed

**Section N: CCAC Invasiveness Category**

- Appropriate category is checked

**Section O: Classification Category**

- Appropriate category is checked

**Section P: Disposition of Animals**

- Appropriate method has been identified
- Euthanasia method is CCAC compliant
- Research staff are trained for method identified

**Section Q: Hazards to Animals and/or Handlers**

- Chart completed correctly or missing information
- Appendix 7 is complete
- Proper licenses or certificates for hazardous drugs have been obtained
- Health records have been obtained

**Section R: Training of Personnel Involved with Animals in this Study**

- Training identified matches the training database
- Training is appropriate with the procedures that are to be performed
- All personnel have taken introductory level of CCAC recommended on-line training modules
- All personnel have taken advanced level of CCAC recommended on-line training modules