



AZA GUIDELINES FOR I. ROLES AND ACCESS TO ZIMS FOR STUDBOOKS, AND II. SHARING STUDBOOK DATA

I. AZA Guidelines for Roles and Access to ZIMS for Studbooks

ZIMS for Studbooks allows for different roles to be created to give access to specific features in each studbook database, such as the ability to view or edit data, run reports, and use available tools. Multiple people can have access at the same time to a single studbook database. The intention of the first part of this document is to outline AZA's currently existing roles and give guidance on whom they could be assigned.

At the request of approved AZA Studbook Keepers, access roles are currently assigned by the Regional Association Administrators (i.e., AZA Conservation, Management, & Welfare Sciences Program Assistant and PMC Planning Coordinator). To simplify the customizability of ZIMS for Studbooks and protect data quality, the features available to roles are preset as described below.

Not all SSPs are managed the same. For this reason, SSP Coordinators and Studbook Keepers may request custom roles. Depending on the nature of the request and parties involved, a request must be submitted to animalprograms@aza.org and may need additional approval by the APM Committee and corresponding TAG. As ZIMS for Studbooks is updated with new features, populated with more studbook databases, and we learn from the requests coming from SSPs, these roles and access options may change to accommodate the perceived needs.

If any AZA member facilities wants access to the AZA studbook database, but are not involved in the SSP in any way, they must request access from both the Studbook Keeper and APM Committee Vice Chair of SSPs and Studbooks (animalprograms@aza.org).

We encourage collaboration within AZA and WAZA-recognized regional associations, but sharing data outside of the AZA/WAZA community is more sensitive. For guidance on when it is appropriate to share studbook data, please see the AZA's 'Guidance for SSP Coordinators and Studbook Keepers on Sharing Studbook Data' (Section II, page 3).

AZA Studbook Data Ownership:

Access and use of studbook data is vital to the AZA mission to maintain and perpetuate healthy populations of animals. To this end, AZA owns the compilation of studbook data contributed at any time by AZA members (current and archived), Sustainability Partners, SSP Programs, and other participants in its animal programs (hereafter referred to as "Contributors"). By its participation as a Contributor, a Contributor gives AZA the non-exclusive right to use its contributed data for studbook purposes including unrestricted use by AZA members and the AZA right to authorize access and use by third parties (including researchers and members of other WAZA-recognized regional associations) without further notice or additional permission. (Updated approval by the AZA Board, July 2019).

AZA Roles and Their Access for ZIMS for Studbooks

1. Studbook Keeper
 - Full view and edit access (except for the overlay tool)
 - Given to: TAG-appointed Studbook Keepers recognized by AZA will receive this access as soon as the studbook database is in ZIMS for Studbooks. For Candidate Programs and TAG monitored populations, the TAG studbook maintainer will be treated the same as an SSP Studbook Keeper and receive access as soon as the studbook database is in ZIMS for Studbooks.
 - Access: Can view and edit all data, and run any report or tool, except for overlays.
 - This role needs approval by the AZA office, to verify that they are an approved AZA Studbook Keeper, TAG-approved Candidate Program or TAG monitored population, or AZA member facility sponsored studbook database.
2. All View and Edit Access
 - Full view and edit access (customizable, as needed)
 - Given to: TAG-appointed Studbook Keepers and SSP Coordinators recognized by AZA or others, as approved by the Studbook Keeper and SSP Coordinator
 - Access: Can view and edit all data, and run any report or tool, including overlays, with the tool access being customizable, as needed.
 - If it is a Studbook Keeper or SSP Coordinator requesting this access, they need to have completed the PM2 Course.
 - This role needs approval by the Studbook Keeper, SSP Coordinator, and Advising Population Biologist.
3. View and Export Only Access
 - Given to: the Studbook Keeper and SSP Coordinator approve who to give this access to and may include the former Program Leaders, International Studbook Keeper that maintains a different studbook database, another WAZA-recognized regional association's equivalent Program Leader, Apprentice Studbook Keeper, TAG Chair, APM Committee member, SSP Advisors, TAG Advisors, ILs, PM1/PM2 instructors, researchers, etc.
 - Access: Can view all studbook data, run any report or tool, and export data to Excel, but cannot edit data or use overlays.
 - Duration: Some 'View and Export Only' roles may include a specific timeframe that must be re-approved after each period.
4. Population Biology Advisor
 - Full view and edit access (all features)
 - Full access to data, editing, reporting, and tools
 - Given to: AZA Population Biology Advisors will receive this access as soon as the studbook database is in ZIMS for Studbooks.
 - Population Biology Advisors from other WAZA-recognized regional associations can also request this type of access in order to advise and manage programs in their association. The regional association must verify this request before access is granted
5. Regional Administrator
 - Full administrative access
 - Given to: AZA Administrators (AZA Conservation, Management, & Welfare Sciences Program Assistant, PMC Planning Coordinator, AZA Director Animal Programs, PMC Director)
 - Assign individuals to access studbook databases using one of the roles listed above

A description of all features and how to create, delete, or edit roles can be found in the ZIMS for Studbooks Roles document.

<http://training.species360.org/Documents/ZIMShelp/ZIMShelp-Studbooks-Update%20Roles.pdf>.

Conflict Resolution

There may be cases of conflict between users over their roles and access to a studbook and their handling of data. This conflict may be within AZA, the larger WAZA community, or when sharing with outside users. If needed, the 'AZA Animal Management Reconciliation Policy' (found as an Appendix in the AZA SSP Program Handbook; <https://www.aza.org/animal-program-handbooks>) should be used for any conflict resolution needs that arise.

II. Guidance for SSP Coordinators and Studbook Keepers on Sharing AZA Studbook Data

The intention of the second part of this document is to provide guidance on when it is appropriate to share studbook data or allow studbook access. This information is specific for AZA studbooks; international studbooks or studbooks from other regions may be subject to other processes.

Sharing studbook data

There are many ways for SSP Coordinators and Studbook Keepers to share studbook data. Summarized data can be shared via exported population figures, tables, and reports (using SPARKS, PopLink, ZIMS for Studbooks, PMx, Excel, R), Population Viability Analyses (PVAs), and Breeding and Transfer Plans (BTPs). Historic and current studbook data are viewable via AZA Studbook Publication documents. An entire PopLink, SPARKS, or Excel studbook database may also be shared, and ZIMS for Studbooks allows for roles to be created to give individuals customized access to a studbook database.

Sharing access to your studbook database within ZIMS for Studbooks

ZIMS for Studbooks allows for different roles to be created to give access to specific features in each studbook database, such as the ability to view or edit data, run reports, and use available tools. Multiple people can have access at the same time to a single studbook database. If any SSP participants would like access to the studbook data in ZIMS for Studbooks, 'View and Export Only' access may be the best choice and can be requested from the Studbook Keeper and SSP Coordinator, who then request it from the AZA Administrators (animalprograms@aza.org). For more information on sharing data from studbook databases within ZIMS for Studbooks see 'AZA Guidelines for Roles and Access to ZIMS for Studbooks' (Section I, page 1).

While a distinction can be made between sharing studbook data and sharing studbook access, from here on for the purposes of this document, "sharing data" will be used to include both descriptions.

Sharing studbook data with colleagues within the AZA Community

We encourage collaboration within the AZA community. Potential SSP collaborators may include an SSP Advisor, TAG Chair, TAG Advisor, participating SSP facility, researcher affiliated with an AZA facility, or other colleagues involved in the SSP. Even when sharing studbook data within the AZA community, SSP Coordinators and Studbook Keepers should consider the following:

- The AZA Studbook Keeper will always remain ultimately responsible for their studbook database and all data within it.
- Be aware that information in a studbook database has been contributed by numerous facilities, with the understanding that these data are only to be used for collaborative population management within AZA.
- Be aware that the studbook database may contain sensitive information or information that may be considered controversial (e.g., transfers, management euthanasia, individual animal's notes).
- Never share the log in information to your personal ZIMS account. People with whom you would like to share information must have their own log in access to ZIMS. If they do not already have an account, contact AZA Administrators (animalprograms@aza.org) for guidance.

- Collaborators planning to publish research or analysis based on studbook data that could be distributed outside of the AZA community are required to fill out and submit the consent form (Appendix A) to both the Studbook Keeper and APM Committee Vice Chair of SSPs and Studbooks (animalprograms@aza.org) before data are shared.

Sharing studbook data with collaborators from WAZA-recognized regional associations

We encourage collaboration within the WAZA community. AZA Studbook Keepers and SSP Coordinators may need to share studbook data with colleagues working at institutions within WAZA-recognized regional associations (e.g., EAZA, Australasia's ZAA, SEAZA), particularly population biologists or Studbook Keepers for the same species in other regions. Studbook Keepers and SSP Coordinators wishing to grant access should contact AZA Administrators (animalprograms@aza.org) to have an access role assigned within ZIMS for Studbooks. Reciprocal access can also be requested to view studbook data maintained within other WAZA-recognized regional associations.

Sharing studbook data with collaborators outside the AZA/WAZA Community

Sharing studbook data with collaborators outside AZA or WAZA-recognized regional associations can lead to more effective *ex situ* population management and species conservation. Potential outside collaborators include advisors, researchers at academic institutions, or partner NGOs. However, data sharing is not always mutually beneficial, and comes with risk including the misuse or misinterpretation of data, and sharing of information beyond the intended audience.

It is important that you initially create an agreement with any outside collaborator(s) concerning sharing data from a studbook, as well as publication of the data or any research results based on these data. Creating an agreement before sharing access to the studbook database will allow you to feel more comfortable with sharing these data. Researchers, or anyone planning to publish or present results based on studbook data, are required to fill out and submit the consent form (Appendix A) to both the Studbook Keeper and APM Committee Vice Chair of SSPs and Studbooks (animalprograms@aza.org) before data are shared. It is recommended that the following disclaimer be added to any data shared outside of the AZA/WAZA community or any published research or results based on the shared studbook data.

AZA Studbook Data Sharing Disclaimer

The data shared here are Copyright of AZA (date). All rights reserved. None of these data may be used in any future research or publication, or reproduced in hard copy, machine-readable or other forms without consent from the Studbook keeper and the APM Committee Vice Chair of SSPs and Studbooks and a written agreement in place. Members of the Association of Zoos and Aquariums (AZA) may copy this information for their own use as needed. AZA strongly recommends that users of this information consult with the Studbook Keeper in all matters related to data analysis and interpretation.

When considering sharing studbook data, be aware of the following:

- Before sharing studbook data, request a research proposal from the researcher to better understand why the studbook database is being requested, what specific data will be needed from the studbook database, and how the researcher intends to use the data. For an example of such a research proposal form, see the AZA Research and Technology Committee's 'AZA Standardized Research Application Form' here: https://www.aza.org/research_and_technology_committee.
- Check in with your TAG before sharing data. Several AZA TAGs have existing processes for evaluating potential research involvement.
- Verify who the researcher is that you are communicating with and about to potentially collaborate. You can do this by looking at their academic websites, LinkedIn, previously published articles, etc.
- Even those that have 'View and Export Only' access in ZIMS for Studbooks can export the entire studbook database to Excel, which allows them to analyze and share these data with others.
- It is important that you initially create an agreement with the collaborator concerning sharing the studbook data with third parties as well as publication of the data or any research results based on

these data (see Appendix A). Creating an agreement before sharing access to the studbook database will allow you to feel more comfortable with sharing these data.

- We encourage SSP Coordinators and Studbook Keepers to at least be listed in the acknowledgements section and should be considered as co-authors on any publications using the studbook database (e.g., published journal articles, talks, posters), depending on their involvement and how prominently the studbook data are used.
- Studbook data are best interpreted by those trained in small population management and studbook data conventions and software. An AZA Population Biologist must be involved with data requests from external researchers to guide data analyses and interpretation.
- Identify the end date for the collaborator's access to the studbook database. Depending on the research, this may be several weeks to several months or longer. If an end date is not identified, collaborators will be assigned the default access of six months. It is good practice to annually review who has access to your studbook database and update, as needed.
- Researchers are required to include both the studbook Currentness date and date of access in any publications and presentations.
- The consent form in Appendix A must be filled out and submitted to both the Studbook Keeper and APM Committee Vice Chair of SSPs and Studbooks (animalprograms@aza.org).

As a reminder, all AZA Program Leaders (e.g., Studbook Keepers, SSP Coordinators, TAG Chairs) can get access to ZIMS for Studbooks, even if your AZA facility is not a Species360 member. Contact the AZA Administrators (animalprograms@aza.org) for assistance if your AZA member facility is not a member of Species360.

For colleagues that are neither an AZA member nor a Species360 member and want access to a studbook database, they first need to get a ZIMS login from Species360. In addition to permission from the Studbook Keeper, permission will also be required from the APM Committee Vice Chair of SSPs and Studbooks (animalprograms@aza.org).

Appendix A

Required Consent Form for Access to an AZA Studbook Database for Analyses

*For researchers and anyone outside of the AZA/WAZA community who are planning to publish or present results based on Studbook data

Attach a research proposal to briefly explain why the studbook data are being requested, what specific data will be needed from the studbook database, and how data will be analyzed and used. The SSP must also attach a letter of support for this specific researcher and their intended research.

I have read both the "AZA Guidelines for Roles and Access to ZIMS for Studbooks" and "Guidance for SSP Coordinators and Studbook Keepers on sharing studbook data" and I agree to the following terms (initial on each line):

____ I will only use the studbook data for analyses relevant to population management and species conservation.

____ Analyses of data from the _____ (insert individual or multiple species' name(s)) studbook database will never be presented or published without consent of the SSP Coordinator and Studbook Keeper.

____ Individual facility information contained in these records will not be shared in any way, without specific written permission from the respective submitting facilities.

____ Any publications and presentations resulting from analyses of data from the studbook listed above will have shared authorship with the SSP Coordinator and Studbook Keeper as well as any AZA staff or Population Biologist involved, as appropriate to the regional scope of the analysis.

____ All authors on any reports resulting from analyses of data from this studbook database will fully review the material to be submitted, will be willing to support the conclusions of the study, and can defend it.

____ The AZA Animal Population Management Committee reserves the right to block publication and presentation of results if agreement cannot be reached on the content of the reports.

____ When submitting manuscripts using studbook data to journals requiring deposit of data for public access and later use, the author must include the italicized statement below in the document to be deposited. All individual animal and institutional identifying information must be stripped from the deposited document and replaced with dummy codes.

The authors gratefully acknowledge the use of aggregate studbook data by permission of the Association of Zoos & Aquariums (AZA), the owner of this compilation of studbook data contributed by AZA members and other participants in its animal programs. That permission prohibits identification of particular facilities or identifiable details of particular animals.

Signature of Applicant: _____ Date: _____

Printed Name of Applicant: _____

Approved by the AZA APM Committee Vice Chair of SSPs and Studbooks

Signature: _____ Date: _____

Printed Name: _____

Date that studbook database and/or access to studbook database was given to applicant

Date: _____