



I. AUP Facilitation Service

- 1) *The Principal Investigator will* request an AUP Facilitation via acc@uwo.ca
- 2) *The ACC Office will*
 - a) support PIs and their designates in obtaining all required access to the online AUP software system, and
 - b) offer and provide training on navigating the online system to ACC members, AUP Holders, and their approved designates.

II. AUP Submission and Form Workflow Assessment

- 1) *The AUP Holder will* submit the Animal Use Protocol (New, Continuing or Pilot), Annual Renewal or Modification to the ACC via the online system. Submission may take place following the AUP Facilitation (see above).
- 1) *The ACC Officer or designate will*
 - a) assess form content to determine one of the following review workflows:
 - i. Full Review Process (see PROC-002-A)
 - ii. Delegated Review Process (see below)
 - b) return an AUP that is either missing substantial details, or requires significant revision to the AUP Holder within the online system requesting updates prior to resubmission
 - i. Incomplete AUPs will not be forwarded to the ACC until completed.

III. The Delegated Review Process

- 1) *The ACC Officer will*, within two days of receipt, forward the submission to Delegated Reviewers requesting review, per the Policy (POL-002).
- 2) *Delegated Reviewers will*, within one week of form receipt, return their review feedback to the ACC Officer, and relay their approval recommendation(s) via the online system.
- 3) If a Delegated Reviewer requests Full Review, *the ACC Officer or designate will* forward the AUP through the Full Review Process (See PROC-002-A).
- 4) If a Delegated Reviewer requests review by the Executive, *the ACC Officer or designate will* forward the AUP to the next available Executive meeting.
- 5) For Interim Reviews, following interim review by the AUP Review Working Group, *the ACC Officer will* forward the AUP to the full ACC.
 - i. The Full Review Process will be followed (see PROC-002-A).
- 6) *The ACC Officer will* within one week of form receipt, combine reviews, including their own, in the online system, and forward questions to the AUP Holder requesting feedback.

- 7) *The AUP Holder will* within one week of form receipt, update the form in response to Delegated review questions and/or comments and returns the AUP to the ACC Office via the online system.

IV. Post-Review Follow-Up and Final Approval

- 1) Through consensus-driven decision-making, *the ACC will* assign one of the following ACC Review Decisions (See Policy A) to each AUP, Modification, Annual Renewal form under review:
 - a. **Approved - The ACC Officer will** forward an approval notification to the AUP Holder and related Facility Supervisors.
 - b. **Approved Pending Clarification**
 - i. *The ACC Officer will* within one week forward all questions generated by Delegated Review (and as applicable, during the ACC Meeting) to the AUP Holder via the online system requesting revision and/or comment.
 - ii. *The AUP Holder will* within one week update the AUP in response to ACC review feedback and return it to the ACC Office via the online system.
 - iii. *The ACC Officer will* within one week forward the revised AUP to reviewers who requested to act as post-meeting reviewers.
 - iv. *Reviewers will within one week* assess AUP form changes to confirm that their feedback has been addressed, and indicate approval or additional questions for AUP Holder.
 - v. This process will be repeated until all concerns are resolved; if not readily resolved, the ACC Officer will forward the AUP to the ACC Executive requesting direction.
 - vi. Once all reviewer concerns are resolved, proceed to d. Final Approval.
 - c. **Deferred, Not Approved, Closed**
The ACC Officer will direct the review workflow to the Full ACC Review procedure (See Procedure PROC-002-A), and will notify the AUP Holder.
 - d. **Final Approval** - Once final ACC approval is received, *the ACC Officer will* ensure all required external approvals are in place, and once confirmed, approve the AUP within the online system, which sends an automatic approval email to the AUP Holder, and will forward the approval notification, as applicable.

Revision History

Version	Date	Description of Changes	Author
00	07-10-17	New procedure	LC/LT
01	09-08-18	Remove definitions; Simplify review process to 'full' and 'Delegated'; update external reviews to incorporate new merit review policies and procedures; add process for expiring AUPs	LT/LC
02	08-10-20	Reformat; Divide into two distinct procedures docs – PROC-002-A-Full ACC Review, and PROC-002-B-Delegated Review; Move definitions & reminder details into the Policy; Add flow chart.	LT/LC/EB