

# Section 2 – Introduction to AUP Forms – Creating & Submitting

## 2.1 – User Creates & Submits an Application for a NEW Protocol

- a) See instructions for **LOGIN** (Sect. 2.1) and **CHANGE PASSWORD** (Sect. 2.2b). The following example shows a PI's Home Page:

The screenshot shows the eSirius web interface for a Principal Investigator (PI). The user is logged in as 'Bear, Yogi' and is identified as a 'PI'. The page displays several sections of information:

- Alerts - UN-FINISHED PROTOCOLS:** A table with columns AUP\_NUMBER, FORM TYPE, AUP\_TITLE, and UPDATED. It lists two entries: 2010-0008 (New, updated 01/18/2010) and 2010-0010 (New, updated //).
- Alerts - NEW PROTOCOLS:** A table with columns AUP\_NUMBER, AUP\_YR, PI\_FULL\_NAME, SUBMITTED, FORM TYPE, FROM, TO, WORKFLOW DATE, and ACTION. It lists five entries for 'Bear, Yogi' with various submission dates and statuses like 'Workflow Cancelled', 'Designated Reviewed', and 'Requests Review'.
- Alerts - UN-FINISHED PROTOCOL MODIFICATIONS:** A table with columns AUP\_NUMBER, AUP\_YR, PROT MOD #, AUP\_TITLE, ProtMod Date, and REASON\_JUSTIFICATION. It lists one entry: 2010-0003 (1, 0002, Effects of Apomoxillan on immunodeficient pigs, 01/19/2010).
- Alerts - NEW PROTOCOL MODIFICATIONS:** A table with columns AUP\_NUMBER, AUP\_YR, PI\_FULL\_NAME, PROT MOD #, AUP\_TITLE, FROM, TO, WORKFLOW DATE, REASON\_JUSTIFICATION, and ACTION. It lists one entry: 2009-0056 (1, Duck, Donald, 0001, Study of the effects of stress on pigs, AUS, AUS, 01/05/2010, blah, Requests Review).
- ANIMAL USE PROTOCOL OPTIONS:** A list of links for submitting forms, searching registers, and reporting compliance.

- b) **Start New Animal Use Protocol Application** → eSirius → **PI Home Page** → Click ‘**Submit – Animal use Protocol – AUP Form**’ link → **New Protocol Application Introduction Page** opens with Western’s AUS instructions for application submission → Application is assigned an AUP number & first page of application appears:

ANIMAL USE PROTOCOL OPTIONS	
<a href="#">Submit - Animal Use Protocol - AUP Form</a>	← Click Here!
<a href="#">Submit - Animal Use Protocol (AUP) Form FROM an Existing AUP</a>	
<a href="#">Submit - Protocol Modification Form for an Approved AUP</a>	
<a href="#">Transfer Ownership of Protocol to Another Researcher</a>	
<a href="#">Search - Animal Use Protocol</a>	
<a href="#">Search - AUP Species Usage Register</a>	
<a href="#">Search - Protocol Modification</a>	
<a href="#">Reports - Protocol</a>	
<a href="#">Reports - Regulatory Compliance</a>	
<a href="#">Reports - Protocol Contacts</a>	

## NEW ANIMAL USE PROTOCOL APPLICATION -

**START NEW PROTOCOL APPLICATION** - Use this button to proceed with your NEW *Animal Use Protocol*. Once this button is clicked, please note the **assigned protocol number** within subsequent page 'Header' fields.

**RETURN TO HOME PAGE** - Use if you do **not** wish to start a NEW *Animal Use Protocol* at this time.

Start New Protocol Application	Return To Home Page
--------------------------------	---------------------

\* Required Fields

Click Here!

- c) **AUP Table of Contents (TOC)** -left of page→ Allows you to open any section by clicking section title; However, as you are completing the protocol sections, **always** click 'SAVE & CONTINUE' on any page where you have entered data in order to move to the next page. Data will be lost if you enter information on a page and then click the TOC without saving→As you click 'Save & Continue', you will automatically be guided through each necessary section. Some sections may not be displayed, depending on your answers to certain questions (see examples for section **d**) - **Associated Web Pages**).

- d) **AUP Action Buttons**→ ‘Save & Continue’, ‘Clear Page Revisions’, ‘Save & Return Home’:
- **SAVE & CONTINUE** – Saves all data you have entered on current web page and proceeds to next web page. **NOTE: Do NOT click ‘Save & Continue’ more than once as the information on the web page may be duplicated!**
  - **CLEAR PAGE REVISIONS** - Clears all data you have entered on current web page.
  - **SAVE & RETURN HOME** - Protocol application is saved and appears on your Home Page in the Alerts-Unfinished Protocols section.

- e) **Web Page 11 – Species List**→ The following options are available as you are completing the Species List of your AUP application:

- **Add Species**→ Enables you to add a new species to your AUP; all species information must be entered into the subsequent species sections that appear once a species is selected from the list.
- **Edit Species**→ Enables you to update a species that you previously added to your AUP; eSirius will take you through the associated sections for the species that you select from the Species List.
- **Remove Species**→ Enables you to remove the selected species from your AUP Species List; All associated sections relating to the selected species will be deleted from the AUP.
- **Copy Species**→ Enables you to copy the information previously entered for the selected species and apply it to a new species; This option is convenient as you do not have to re-enter duplicate information when certain elements (e.g. Housing Location, Euthanasia Methods, etc.) are the same for each species.

**Submit an Application for a New Protocol** Bear, Yogi PI SIGN\_OUT HOME 10/04/2010

1. PI Info 2. Title 3. Lab Sum + Glossary 4. CCAC Outline 5. Funding 5.1 Funding Source 6. Sci Peer Review 7. Hazards Q 8. Acute & Chronic 9. Purpose of Animal Use 10.1 Groups Overview 10.2 Procedures Narrative 11. Species List Mouse:11.1 Species Info

**11. Species List**

The **Species List** identifies all species to be used within this *Animal Use Protocol*. Species-specific web pages requesting procedural details will appear for each species added to the list below.

To enter additional species (*Re-click 'Add Species' or 'Copy Species'*) and to proceed to the next form section via the *Save & Continue* button, return to this web page.

**Species Copy Capability** - To save duplication of effort, if appropriate, you may copy the procedural details identified for any species to all additional species by using the '**Copy Species**' button below. (*See 'Copy Species' instructions below*). Once species information is copied, appropriate web pages will be generated for other species-specific information (e.g. strain, drug dose, etc.).

Select	Species	4 Year Total	Age/Date Range
<input type="radio"/>	Mouse	250	

Add Species Edit Species Copy Species Remove Species

Click Here to select species from the list

Click 'Copy Species' Button to duplicate sections from the selected species and apply them to another species

Click 'Remove Species' Button to remove the selected species from the Species List

Click 'Add Species' button to add a new species with new species information to your AUP

Click 'Edit Species' button to update information pertaining to the selected species

- f) **Copy Species**→ This feature allows you to duplicate the information entered for one species and apply it to another species so that you don't have to re-enter the same information multiple times→ **Web page 11. Species List**→ Select previously completed species from the list and click the '**Copy Species**' button→ **Copy Species Page**→ Select a new species from the PickList→Select AUP sections that you would like to copy for selected species (unselected sections will not be duplicated)→ Click '**Copy Species**' button→ New species will now appear within the **Species List** on web page 11→ Select new species and click '**Edit Species**' button→ **Ensure that you complete Web Page 11.1 – Species Information** in order to update the animal numbers and species related activities, **Web Page 11.2 – Justification for Species Choice & Number**, **Web page 11.12.1 Agents, Materials, Drugs & Devices** (if applicable) in order to update species drug dosages, and **Web Page 11.16 – CCAC Categories of Invasiveness**→ Fill out all pages that were not selected on the **Copy Species** page→ Use the 'Error

**Verification**’ process to ensure that you have completed all of the AUP sections applicable to the newly added species → The following screen captures illustrate the ‘Copy Species’ process:

Submit an Application for a New Protocol      Bear, Yogi      PI      SIGN OUT      HOME      10/04/2010

### Copy Species

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-098
AUP TYPE	New
AUP YEAR	1

The following fields pertain to the species listed below.

Species Name	Mouse
Species Name PickList	Rat
Copy Species Use Location	<input checked="" type="checkbox"/>
Copy Species Housing Location	<input checked="" type="checkbox"/>
Copy Species Euthanasia Methods	<input checked="" type="checkbox"/>
Copy Species Elements Requiring CCAC Training/Vet Tracking	<input checked="" type="checkbox"/>
Copy Species Surgical Procedures	<input checked="" type="checkbox"/>
Copy Species Agents/Materials/Drugs/Devices	<input checked="" type="checkbox"/>
Copy Species Restraint Info	<input checked="" type="checkbox"/>

Copy Species    Clear Form    Cancel & Return to Species List

Step #1: Select a new species from the PickList

Step #2: Select AUP sections that you would like to copy for selected species

Step #3: Click 'Copy Species' Button

Submit an Application for a New Protocol      Bear, Yogi      PI      SIGN OUT      HOME      10/04/2010

### 11. Species List

The **Species List** identifies all species to be used within this *Animal Use Protocol*. Species-specific web pages requesting procedural details will appear for each species added to the list below.

To enter additional species (*Re-click 'Add Species' or 'Copy Species'*) and to proceed to the next form section via the *Save & Continue* button, return to this web page.

**Species Copy Capability** - To save duplication of effort, if appropriate, you may copy the procedural details identified for any species to all additional species by using the '**Copy Species**' button below. (*See 'Copy Species' instructions below*). Once species information is copied, appropriate web pages will contain duplicated detail. Additionally, you will be prompted for other species-specific elements for each copied species, e.g. *animal number, strain, drug dose, etc.*

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-098
AUP TYPE	New
AUP YEAR	1

Select	Species	4 Year Total	Age/Da
<input type="radio"/>	Mouse	250	
<input checked="" type="radio"/>	Rat	0	

Add Species    Edit Species    Copy Species    Remove Species

New species will now appear within the Species List on web page 11; Select the new species and click the 'Edit Species' Button

- 1. PI Info ●
- 2. Title ●
- 3. Lay Sum + Glossary ●
- 4. CCAC Outline ●
- 5. Funding ●
- 5.1 Funding Source ●
- 6. Sci Peer Review ●
- 7. Hazards Q ●
- 7.1 Haz Types ●
- 8. Acute & Chronic ●
- 9. Purpose of Animal Use ●
- 10.1 Groups Overview ●
- 10.2 Procedures Narrative ●
- 11. Species List ●
- Mouse:11.1 Species Info ●
- Mouse:11.2 Justif Species ●
- Mouse:11.3 Source ●
- Mouse:11.4 Strains ●
- Mouse:11.5 Holding/Housing Loc Lis ●
- Mouse:11.6 NM Hold/House ●
- Mouse:11.7 Holding Period & Quara ●
- Mouse:11.8 Caging & Enrich ●
- Mouse:11.9 Proc Loc List ●
- Mouse:11.10 Movement ●
- Mouse:11.11 Monitoring/Early Endpoints ●
- Mouse:11.12.1 Agents/Drugs/Devices ●
- Mouse:11.12.2 Physical Restraints ●
- Mouse:11.12.3 Breeding ●
- Mouse:11.12.4 Surgery List ●
- Mouse:11.13 Euthanasia List ●
- Mouse:11.14 - CCAC Reporting Checklist ●
- Mouse:11.15 Proc Consq ●
- Mouse:11.16 Invas. Ctrv ●
- 12. Field/Wildlife ●

## 11.1 Species Information

Choose the proposed species from the pick list in **Q.1** below and then complete **Species Information** using **Questions 2 - 5** for each species chosen. If the required species is not available, email the [eSirius Administrator](#) to request its addition to the picklist. *See below for details pertaining to **animal number determination**.*

PI FULL NAME	Trainer, Esirius
AUP NUMBER	2010-109
AUP TYPE	New
AUP YEAR	1
Species Name	Rat
1. 4 YEAR TOTAL NUMBERS estimated as required for this species.	100 *

Enter the 4 Year Total Numbers for New Species

## SPECIES ACTIVITIES

### INSTRUCTIONS FOR QUESTIONS 2 - 5:

The 'Yes/No' Radio Buttons listed below produce associated web pages. **All projects require a plan for **early euthanasia** in the event that it may be necessary.**

2. Will AGENTS, MATERIALS, DRUGS or DEVICES be used with this species?	Yes <input checked="" type="radio"/> No <input type="radio"/> *
3. Will BREEDING be performed for this species?	Yes <input checked="" type="radio"/> No <input type="radio"/> *
4. Will PHYSICAL RESTRAINTS be used on this species?	Yes <input checked="" type="radio"/> No <input type="radio"/> *
5. Will SURGICAL PROCEDURES be performed on this species?	Yes <input checked="" type="radio"/> No <input type="radio"/> *
A plan for EUTHANASIA is required for this species.	YES
Checklist of OTHER PROCEDURES requiring CCAC training.	YES

Select the Species Activities which apply to the new species

1. PI Info	●
2. Title	●
3. Lay Sum + Glossary	●
4. CCAC Outline	●
5. Funding	●
5.1 Funding Source	●
6. Sci Peer Review	
7. Hazards Q	●
7.1 Haz Types	●
8. Acute & Chronic	●
9. Purpose of Animal Use	●
10.1 Groups Overview	●
10.2 Procedures Narrative	●
11. Species List	●
Mouse:11.1 Species Info	●
Mouse:11.2 Justif Species	●
Mouse:11.3 Source	●
Mouse:11.4 Strains	●
Mouse:11.5 Holding/Housing Loc Lis	●
Mouse:11.6 NM Hold/House	●
Mouse:11.7 Holding Period & Quara	●
Mouse:11.8 Caging & Enrich	●
Mouse:11.9 Proc Loc List	●
Mouse:11.10 Movement	●
Mouse:11.11 Monitoring/Early Endpoints	●
Mouse:11.12.1 Agents/Drugs/Devices	●
Mouse:11.12.2 Physical Restraints	●
Mouse:11.12.3 Breeding	●
Mouse:11.12.4 Surgery List	●
Mouse:11.13 Euthanasia List	●
Mouse:11.14 - CCAC Reporting Checklist	●
Mouse:11.15 Proc Consq	●
Mouse:11.16 Invas. Ctgry	●

Associated AUP Sections will appear on the TOC for new species (Circle Indicators will be RED as the pages have not been verified)

Complete all AUP species web pages that were not selected on the 'Copy Species' page (e.g. if you did not select 'Euthanasia Methods' as one of the fields for the 'Rats', you must fill it out now as it will not be populated with the information for the 'Mice'). Please ensure to update all of the fields highlighted ( ) in this example (e.g. Update species drug dosages, strains, etc.)

Use the 'Error Verification' process to ensure that you have completed all required AUP pages related to the new species

- g) **Associated Web Pages** → Certain questions within the *Animal Use Protocol* application form link to associated web pages. Once these questions are selected, the web pages automatically appear in the TOC and you will be guided through each related page during the 'Save & Continue' process. For example, if you select 'Yes' for the Physical Restraints question on web page **11.1 – Species Information**, the

related web page **11.12.2 – Physical Restraints** will automatically be added to the TOC. If you then click the ‘Add Physical Restraint Type’ button on page **11.12.2 – Physical Restraints**, you will automatically be directed to web page **11.12.2A - Physical Restraint Information** in order to complete the detail pertaining to the selected physical restraint type.

- 1. PI Info
- 2. Title
- 3. Lay Sum + Glossary
- 4. CCAC Outline
- 5. Funding
  - 5.1 Funding Source
- 6. Sci Peer Review
- 7. Hazards Q
  - 7.1 Haz Types
- 8. Acute & Chronic
- 9. Purpose of Animal Use
- 10.1 Groups Overview
- 10.2 Procedures Narrative
- 11. Species List
  - Mouse:11.1 Species Info
  - Mouse:11.2 Justif Species
  - Mouse:11.3 Source
  - Mouse:11.4 Strains
  - Mouse:11.5 Holding/Housing Loc Lis
  - Mouse:11.6 NM Hold/House
  - Mouse:11.7 Holding Period & Quara
  - Mouse:11.8 Caging & Enrich
  - Mouse:11.9 Proc Loc List
  - Mouse:11.10 Movement
  - Mouse:11.11 Monitoring/Early Endpoints
  - Mouse:11.13 Euthanasia List
  - Mouse:11.14 - CCAC Reporting Checklist
  - Mouse:11.15 Proc Consq
  - Mouse:11.16 Invas. Ctgr
- 12. Field/Wildlife
- 13. Ext Collab Q
- 14. Teaching Q
- 15. Personnel
- 16. Investigator Declaration
- Error Verification
- View/Print Protocol
- Cancel Unfinished Protocol
- Instructions...

### 11.1 Species Information

Choose the proposed species from the pick list in **Q.1** below and then complete **Species Information** using **Questions 2 - 5** for each species chosen. If the required species is not available, email the [eSirius Administrator](#) to request its addition to the picklist. *See below for details pertaining to animal number determination.*

PI FULL NAME	Trainer, Esirius
AUP NUMBER	2010-109
AUP TYPE	New
AUP YEAR	1
Species Name	Mouse
1. 4 YEAR TOTAL NUMBERS estimated as required for this species.	400 *

### SPECIES ACTIVITIES

**INSTRUCTIONS FOR QUESTIONS 2 - 5:**

The ‘Yes/No’ Radio Buttons listed below produce associated web pages. **All projects require a plan for early euthanasia** in the event that it may be necessary.

2. Will AGENTS, MATERIALS, DRUGS or DEVICES be used with this species?	Yes <input checked="" type="radio"/> No <input type="radio"/> *
3. Will BREEDING be performed for this species?	Yes <input type="radio"/> No <input checked="" type="radio"/> *
4. Will PHYSICAL RESTRAINTS be used on this species?	Yes <input type="radio"/> No <input checked="" type="radio"/> *
5. Will SURGICAL PROCEDURES be performed on this species?	Yes <input type="radio"/> No <input checked="" type="radio"/> *
A plan for EUTHANASIA is required for this species.	YES
Checklist of OTHER PROCEDURES requiring CCAC training.	YES

**AUTHORIZED ANIMAL NUMBER DETERMINATION INSTRUCTIONS**

Each of these questions link to associated web page(s) related to the specified species activity (e.g. If you select 'Yes' to Q.2 - "Will Agents, Materials, Drugs or Devices be used with this species?", web page 11.12.1 - Agents/Drugs/Devices will appear in the TOC to be filled out for the selected species)

Save & Continue

Clear Page Revisions

Return to 11. Species List

- 11. Species List
  - Mouse:11.1 Species Info
  - Mouse:11.2 Justif Species
  - Mouse:11.3 Source
  - Mouse:11.4 Strains
  - Mouse:11.5 Holding/Housing Loc Lis
  - Mouse:11.6 NM Hold/House
  - Mouse:11.7 Holding Period & Quara
  - Mouse:11.8 Caging & Enrich
  - Mouse:11.9 Proc Loc List
  - Mouse:11.10 Movement
  - Mouse:11.11 Monitoring/Early Endpoints
  - Mouse:11.12.1 Agents/Drugs/Devices
  - Mouse:11.13 Euthanasia List
  - Mouse:11.14 - CCAC Reporting Checklist
  - Mouse:11.15 Proc Consq
  - Mouse:11.16 Invas. Ctgr

### 11.12.2 Physical Restraint Devices List

The CCAC states, "Physical restraint, e.g., short-term hand-held or mechanical (stocks or squeeze cages) restraint is often required for examination, collection of samples, and a variety of other clinical and experimental manipulations. Restraint induced stress can be minimized by conditioning of the animal, use of appropriate devices suitable in size and design, and proper operation by experienced personnel.

Physical restraint extending beyond a few minutes should only be used on conscious animals after alternative procedures have been considered and found to be inadequate. Steps must be taken to condition the animals to the restraining device to minimize stress and discomfort during the experimental procedures. If restraint is necessary, the device must provide the animal with the greatest opportunity to assume its normal postural adjustments, and the duration of restraint must be minimized. The prolonged chairing of non-human primates must be avoided."<sup>1</sup>

For CCAC guidelines on animal restraint, see Section 8. within the [CCAC Guidelines on Animal Use Protocol Review \(1997\)](#) and [Using Appropriate Restraint Techniques](#).

Principal Investigator	Duck, Donald
Protocol Application Number	2010-0011
Document Type	New
Protocol Year	1

The following fields pertain to the species listed below.

Select	Species Name	Restraint Type	Restraint Duration	Housing
	Mouse			

[Click Here!](#)

### 11.12.2A Physical Restraint Information

Complete all required information associated with the **Physical Restraint** chosen in Question 1 for the species listed below.

Principal Investigator	Duck, Donald
Protocol Application Number	2010-0011
Document Type	New
Protocol Year	1

The following fields pertain to the species listed below.

Select	Species Name
	Mouse

**1. Identify PHYSICAL RESTRAINT TYPE**  
Leash \*

**2. If Q.1 = OTHER TYPE**  
Provide OTHER PHYSICAL RESTRAINT TYPE

**3. Physical Restraint Duration**  
2 hours \*

**4. Detail the steps taken to condition the animals to the physical restraining device/method used.**  
Animals will be exposed to restraints for small periods of time and the exposure will gradually be increased.

**5. Explain the rationale for using this physical restraint, and detail steps taken to minimize stress and discomfort associated with physical restraint use during the experimental procedures.**  
Leashes should not cause any physical harm to the mice - it is the least invasive restraint.

Select location(s) in which animals are restrained

Select	Restraint Location	Room Number
--------	--------------------	-------------

Associated Physical Restraint Information page opens when you add a Physical Restraint on the previous page - add all applicable restraint detail here

- h) **Required Fields** → Required Fields are marked with an asterisk (\*) to indicate that the page cannot be saved until the field is completed.

**INSTRUCTIONS.**

Principal Investigator	Bear, Yogi
Protocol Application Number	2009-0035
Document Type	New
Protocol Year	1

**1. Animal Use Protocol Title**

Yogi's Protocol

**2. Application Type, Pick One**

New

**Required Field** (pointing to the title field)

**Required Field** (pointing to the dropdown menu)

- i) **Error Messages – Required Fields** → Should you attempt to save a page with incomplete Required Fields, an error message will appear indicating the field(s) to be completed (see screen capture below). You must click **‘Back’** button on your web browser to return to the incomplete page.

**eSirius**

**NTM**  
NTM Consulting Services, Inc.

**Error(s) Detected** Bear, Yogi **PI** [SIGN OUT](#) [HOME](#) 11/24/2009

Error Id	Error Message	Action/Solution
2. Application Type, Pick One	2. Application Type, Pick One is a required field	Please enter a value for 2. Application Type, Pick One.

Click **Back** on your browser to return to previous page

- j) **Conditionally Required Questions** → Certain questions within the web pages of your Animal Use Protocol application are conditionally required based on your answers to previous questions. You will **NOT** be permitted to save the current page if any of the conditionally required questions have not been answered.

### 11.7 Holding Period & Quarantine

Complete this page pertaining to **Animal Holding Period & Quarantine** requirements. See below for further detail.

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-035
AUP TYPE	New
AUP YEAR	1

The following fields pertain to the species listed below.

Species Name	Mouse
--------------	-------

1. Will this species be held for 72-hours prior to any form of USE, as per SOP 310 See Below?  
 Yes  No  \*

2. If #1 = NO, Provide JUSTIFICATION for EXEMPTION from the 72-Hour Holding Period Requirement.  
 Justification must be entered in this field when 'No' is selected in question #1

3. Will this species require quarantine?  
 Yes  No  \*



4. If quarantine requirements differ from the animal holding facility's standard practice, please outline the requested QUANTIFICATION DETAIL.

Q.2 is conditional based on your answer to Q.1

If you answered 'NO' to Q.1, you must answer Q.2 by providing justification for your answer to Q.1.

If you answered 'YES' to Q.1, you do not need to answer Q.2 as it does not apply.

- k) **Error Messages – Conditional Fields** → Some pages contain the conditional fields when a ‘Yes’ response requires an answer to a subsequent question and a ‘No’ response does not. Should you attempt to save a page with incomplete Conditional Fields, an error message will appear indicating the field(s) to be completed (see screen capture). You must click ‘Back’ button to return to the incomplete page.

<b>Error(s) Detected</b>		<b>Bear, Yogi</b>	<b>PI</b>	<a href="#">SIGN OUT</a>	<a href="#">HOME</a>	11/24/2009
Error Id	Error Message	Action/Solution				
SA-C-14-53-70-695-276	Required Field.	Q.5 is required when Q.4 is YES				
Click <b>Back</b> on your browser to return to previous page						

- l) **Other Error Messages** → Should any error message other than the two indicated above appear, click the ‘Back’ button on your internet browser and use the **TOC** to advance to next section (please NOTE that any data entered into page with error will NOT be saved). Please contact your eSirius administrator (reference the error message) before attempting to ‘Error Verify’ the protocol application (see **section ‘n’** for detail).
- m) **Performing Searches Within AUP Lists Using the ‘Quick Find’ Utility** → Should you wish to locate a particular list item within any of the web pages of your AUP application, you may use the **F3 button** on your keyboard to access the web Search feature → Type in the item that you are looking for (e.g. You are searching for ‘Isoflurane’ within the Agent/Material/Drug/Device List on web page **11.12.1A**

**Agent/Material/Drug/Device Selection**)→ As the item is entered, the search feature will scroll down the current page to find the closest match.

Press **F3** to access the Web Search feature & start typing the item into the 'Find' field

Chemical	Chemical	Chemical	D-2	D-2: Materials Causing Other Serious Toxic Effects
Ethylene Glycol	Ethylene Glycol	Ethylene Glycol	D-2	D-2: Materials Causing Other Serious Toxic Effects
EthylNitrosourea	EthylNitrosourea	EthylNitrosourea	D-2	D-2: Materials Causing Other Serious Toxic Effects
Etoposide	Etoposide	Etoposide	D-2	D-2: Materials Causing Other Serious Toxic Effects
Feridex	Feridex	Feridex	D-2	D-2: Materials Causing Other Serious Toxic Effects
Fitc-dextran	Fitc-dextran	Fitc-dextran	D-2	D-2: Materials Causing Other Serious Toxic Effects
Fluorodeoxyuridi	Fluorodeoxyuridine	Fluorodeoxyuridine	D-2	D-2: Materials Causing Other Serious Toxic Effects
Follicle Stimula	Follicle Stimulating Hormone	Follicle Stimulating Hormone	D-2	D-2: Materials Causing Other Serious Toxic Effects
Formalin	Formalin	Formalin	D-2	D-2: Materials Causing Other Serious Toxic Effects
Glutaraldehyde	Glutaraldehyde	Glutaraldehyde	D-2	D-2: Materials Causing Other Serious Toxic Effects
Gonadotropin Rel	Gonadotropin Releasing-hormone Agonist	Gonadotropin Releasing-hormone Agonist	D-2	D-2: Materials Causing Other Serious Toxic Effects
Histamine	Histamine	Histamine	D-2	D-2: Materials Causing Other Serious Toxic Effects
Hydrochloric Aci	Hydrochloric Acid	Hydrochloric Acid	E	E: Corrosive Material
Hydroxyurea	Hydroxyurea	Hydroxyurea	D-2	D-2: Materials Causing Other Serious Toxic Effects
Ibotenic Acid	Ibotenic Acid	Ibotenic Acid	D-2	D-2: Materials Causing Other Serious Toxic Effects
Incomplete Freun	Incomplete Freund's Adjuvant	Incomplete Freund's Adjuvant	D-2	D-2: Materials Causing Other Serious Toxic Effects
Indocyanine Gree	Indocyanine Green	Indocyanine Green	D-2	D-2: Materials Causing Other Serious Toxic Effects
<b>Isoflurane</b>	<b>Isoflurane</b>	<b>Isoflurane</b>	D-2	D-2: Materials Causing Other Serious Toxic Effects
Lead Acetate	Lead Acetate	Lead Acetate	D-1	D-1: Materials Causing Immediate & Serious Toxic Effects

Page will automatically scroll down and highlight the closest matching item within the selected list

- n) **Attaching Relevant Documentation to AUP**→ Should the AUP require supporting documentation to be attached, scroll to the bottom of page to **Attachments** section. Click **'Browse'** button to locate file on your computer and click **'Open'** to select highlighted file. You may choose to type an additional description in the 'File Description' field. Click **'Attach'** button to attach file to protocol. You may attach multiple files by repeating the process outlined in this section.

**FUNDING ASSESSMENT ATTACHMENT** - Use the **Attach File** section below to add the funding assessment associated with this *Animal Use Protocol*.


Save & Continue

Clear Page Revisions

Save & Return Home

### Attach File

To attach a file: **1.** Type file name or choose using Browse... **2.** Choose file option **3.** Type brief file description **4.** Click Attach File

**Click Here** 


File name	<input type="text"/>	Browse...
Choose file option	Always new (replace existing versions) <input type="radio"/> Add as a new version <input checked="" type="radio"/>	
File description	<input type="text"/>	
<input type="button" value="Attach File"/>		

### Attachments List

Select	File Spec	Description	Created
<input type="button" value="Remove Selected Attachment(s)"/>			

### Attach File

To attach a file: **1.** Type file name or choose using Browse... **2.** Choose file option **3.** Type brief file description **4.** Click Attach File

**Click Here** 

File name	C:\Documents and Settings\ [Browse...]
Choose file option	Always new (replace existing versions) <input type="radio"/> Add as a new version <input checked="" type="radio"/>
File description	Funding Assessment 2009
<input type="button" value="Attach File"/>	

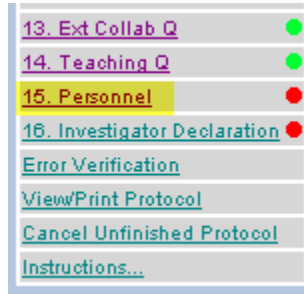
### Attachments List

**File is now attached** 

Select	File Spec	Description	Created
<input type="checkbox"/>	<a href="#">2009-0038_1_0001_eSirius Notes.docx</a>	Funding Assessment 2009	11/24/2009
<input type="button" value="Remove Selected Attachment(s)"/>			

- o) **Web Page 15 - Protocol Personnel List** → The Protocol Personnel List is used to record all personnel associated with the AUP, including those who will be performing hands-on animal work and those who will not. This section is also used to list each individual's AUP Related Activities (Procedures that they will perform, drugs that they will administer, etc.) → When a PI completes an AUP application, their

name is automatically added to the Protocol Personnel List → The PI must first verify and **update** their information by clicking the ‘Name’ link within the list:



**Application for a New Protocol** Bear, Yogi PI SIGN OUT HOME 10/21/2010

### 15. Protocol Personnel List

**CCAC Mandated Training Requirements** - All personnel working with live animals require CCAC mandated training including the 'Basic Animal Care & Use Web-CT Course' and related hands-on 'Workshops'. Completion of the 'Basic Animal Care & Use Web-CT Course' is mandatory for ALL personnel, including the Principal Investigator. The Animal Use Subcommittee will be informed of all personnel with incomplete training beyond 1 month of notice. For more information on this requirement please see Western's [Policy Section 7.10](#).

**Workshop Enrolment Detail** - The 'Workshop' requirements are determined by the species and procedures associated with each individual listed below. All personnel listed below will be contacted directly via the email address listed below for auto-enrolment in all 'Workshop' requirements. Previous hands-on 'Workshops' attended at another research institution may be accepted; please submit training documentation with this form. For additional training requirement detail and associated costs, go to [Veterinary Services Teaching & Courses](#).

**Adding Additional Contacts** - In order to add additional contact(s) to this *Animal Use Protocol*, please select the 'Add Contact' button below and enter contact name into **Add Person > Name Search** Field in order to link to web page '**15.1 Personnel Information**'.

**NOTE for PIs:** Click on the link for your name under the 'Name' field below in order to link to web page '**15.1 Personnel Information**'.

**Personnel Information** - Use web page '**15.1 Personnel Information**' to enter all information pertaining to the selected contact including 'Updated Personnel Information' and 'Animal Experience & Canadian Training History'. The 'Individuals Live Animal Activities' section allows for you to select all procedures/activities involving the selected contact on this Animal Use Protocol. This information will determine the selections available on web page '**15.2 Personnel Protocol Related Activities**'.

**Personnel Protocol Related Activities** - Use web page '**15.2 Personnel Protocol Related Activities**' to further describe all pertinent information related to each procedure selected in web page '**15.1 Personnel Information**'.

PI FULL NAME	Bear, Yogi														
AUP NUMBER	2010-138														
AUP TYPE	New														
AUP YEAR	1														

Select	Name	Role	Phone	Primary Email	HANDS ON?	FIELD?	MONITORING?	BASIC HANDLING ONLY?	CCAC ELEMENTS?	SURGERY?	RESTRAINTS?	DRUGS/AGENTS?	EUTH?	OTHER TECHNIQUES?
<input type="checkbox"/>	<a href="#">Bear, Yogi</a>	Principal Investigator	1234	bear@uwo.ca										

Add Contact Remove Selected Contact(s)

Save & Continue Save & Return Home

The PI is automatically added to the Protocol Personnel List when they complete an AUP application

The PI must complete their own Personnel Information by clicking their 'Name' link

**Web page 15.1 – Personnel Information** → The PI must then verify all of their personal information within the ‘Update Personnel Information’ section and then enter any training experience which is relevant to the AUP within the ‘Animal Experience & Canadian Training History’ section (**NOTE: Do NOT erase any previously entered information within this section before contacting the AUS Office**) → Answer all questions within the ‘Individual’s Live Animal Activities’ section pertaining to hands-on animal work → If you answer ‘NO’ to Question #1 (indicating that NO hands-on animal work will be performed by the individual), you can scroll to the bottom of the page and click ‘Save & Continue’ as Questions 2-10 refer to hands-on animal work → If you answer ‘YES’ to Question #1 (indicating that the

individual will be performing hands-on animal work), please answer Questions 2-10 relating to the type of AUP activities that the individual will be performing and select all species that will be handled by this person within the AUP→ Once the page is completed, click ‘Save & Continue’:

## 15.1 Personnel Information

Please provide **contact** and previous **animal experience & training** information, and specify **activities/procedures to be performed on live animals** by this individual within this *Animal Use Protocol*.

Data obtained on this page will impact associated training records.

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-137
AUP TYPE	New
AUP YEAR	1

### Update Personnel Information

Please review and update information associated with this individual.

Name	Bear, Yogi
Role	Principal Investigator
Primary Institution & Department	Faculty Of Social Science / Psychology
Primary Campus Location (Office/Lab)	Victoria Research Laboratory
Weekday Work Hours #	1234 *
Emergency Contact #	911 *
Primary Email	beary@uwo.ca
Other Email	
This individual may act as my DESIGNATE on all <i>Animal Use Protocols</i> associated with me.	<input type="checkbox"/>
This is the Requestor (PI Designate) on this Protocol	No

**Verify all of the personal contact information and ensure that you fill out all of the required fields**

## Animal Experience & Canadian Training History

Enter all information pertinent to this person's activities within this *Animal Use Protocol*. If certificate(s) of training from another Canadian Research Institution have been achieved within the last 5 years, please email to [auspc@uwo.ca](mailto:auspc@uwo.ca).

Detail this individual's previous Canadian animal training and experience.

**DO NOT** erase any previously entered information within the 'Animal Experience & Canadian Training History' section before checking with the AUS Office

## Individuals Live Animal Activities

Please enter all information pertinent to this individual activities on the requested protocol.

1. Will this individual be performing any HANDS-ON ANIMAL WORK, be MONITORING ANIMAL HEALTH, AND/OR be involved in any other way with DIRECT ANIMAL RESEARCH PROCEDURES ON LIVE ANIMALS. If NO, SAVE this page and continue to the next individual in your list.

Yes  No  \*

2. Will this individual be involved in FIELD STUDIES?

Yes  No

3. Will individual be MONITORING animal health and welfare within this project?

Yes  No

4. Will this individual's animal activities be restricted to BASIC HANDLING ONLY? e.g. NO: injections, anaesthesia, surgery, physical restraints, blood collection.

Yes  No

5. Will person be performing any other elements requiring CCAC training/vet tracking checked off on web page 11.14 - CCAC Reporting Checklist within the *Animal Use Protocol* listed above?

Yes  No

6. Will SURGERY be performed by this individual?

Yes  No

8. Will AGENTS/MATERIALS/DRUGS/DEVICES be handled by this individual?

Yes  No

9. Will EUTHANASIA be performed by this individual?

Yes  No

10. List all OTHER techniques IN ADDITION TO those identified above to be performed by this individual on live animals within this *Animal Use Protocol*.

Other techniques

**Answer all of the questions pertaining to the Live Animal Activities to be performed for this AUP - If Q.1 = 'NO', you can scroll down and click Save & Continue as Q.2-Q.10 refer to Hands-On Animal Work**

Select species handled by this person within this *Animal Use Protocol*.

Select Species Name

Mouse

**Select the species that will be handled within the AUP**

## ANIMAL EXPERIENCE & TRAINING HISTORY

Attach animal training certificates of training from other Canadian institutions within the past 5 years.

**Click 'Save & Continue' once page is complete**

## ATTACHMENT -

Attach animal training certificates of training from other Canadian institutions within the past 5 years.

Save and Continue

Clear Page Revisions

Cancel Changes

**Web Page 15.2 – Personnel Protocol Related Activities** → Web page opens based on the answers selected within web page 15.1 relating to hands-on animal activities → CCAC now requires that you indicate the specific AUP activities to be performed by each individual listed on the AUP – Use the checkboxes within

each section to indicate the activities which apply (e.g. The surgeries that the individual will be performing, drugs they will be administering, etc.)→ Click ‘**Save & Continue**’ button once the page is complete:

## 15.2 Personnel Protocol Related Activities

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-137
AUP TYPE	New
AUP YEAR	1

Please review and update information associated with this individual.

Name	Bear, Yogi
Role	Principal Investigator
Primary Institution & Department	Faculty Of Social Science / Psychology
Primary Campus Location (Office/Lab)	Victoria Research Laboratory
Weekday Work Hours #	1234
Emergency Contact #	911
Primary Email	beary@uwo.ca
Other Email	
This individual may act as my DESIGNATE on all Animal Use Protocols associated with me.	No
This is the Requestor (PI Designate) on this Protocol	No

**CCAC now requires that you indicate the specific Personnel Activities to be performed by each individual listed on the AUP; Use the checkboxes to select all of the AUP Activities which apply**

### Person Activities > Euthanasia

Select	Species Name	Euthanasia Method
<input checked="" type="checkbox"/>	Mouse	Drug-Agent Overdose
<input checked="" type="checkbox"/>	Mouse	End point is met when trainees can no longer focus

### Person Activities > Surgeries

Select	Species Name	Surgery Type
<input checked="" type="checkbox"/>	Mouse	Neurological

### Person Activities > Agents/Materials/Drugs/Devices

Select	Species Name	Agent/Drug	Type
<input checked="" type="checkbox"/>	Mouse	Lactobacillus	Biological

### Person Activities > Procedures

Select	Species Name	Procedure Name
<input type="checkbox"/>	Mouse	Blood Collection Or Iv
<input checked="" type="checkbox"/>	Mouse	Injectable Anaesthetics
<input checked="" type="checkbox"/>	Mouse	Virus Infection

Save and Continue

**Click 'Save & Continue' once page is complete**

**Web page 15 – Protocol Personnel List**→ The answers selected on web page 15.2 are now reflected within the personnel list columns→ In order to add a new contact to the list, click the ‘**Add Contact**’ button→**Add Person > Name Search page**→ In order to search for an existing contact, enter as much of the first and last name(s) of the individual and click ‘**Search Contacts List**’ →**Add Person > Name Search Results List page**→ If the individual is listed within the results, select the correct contact from the list and click ‘**Select**’ button→ Fill out all of the information on web pages 15.1 and 15.2 for the selected individual→ If the individual is NOT listed within the results, click the ‘**Add a New Contact**’

button → 'Add a Person Who is Not on the Result List' page → Enter all of the personal information for the new contact and click 'Update Contacts' button → Fill out all of the information on web pages 15.1 and 15.2 for the new contact → **Web page 15 – Protocol Personnel List** → All selected or added personnel will now appear within the personnel list → Verify all of the information and click 'Save & Continue':

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-137
AUP TYPE	New
AUP YEAR	1

Answers now appear on Web page 15 - Protocol Personnel List reflecting your answers to the questions on Web page 15.2 - Personnel Protocol Related Activities

Select	Name	Role	Phone	Primary Email	HANDS ON?	FIELD?	MONITORING?	BASIC HANDLING ONLY?	CCAC ELEMENTS?	SURGERY?	RESTRAINTS?	DRUGS/AGENTS?	EUTH?	OTHER_TECHNIQUES?
<input type="checkbox"/>	Bear, Yogi	Principal Investigator	1234	bear@uwo.ca	YES	NO	YES	NO	YES	YES		YES	YES	Other techniques

To Add a NEW Contact to the AUP, click 'Add Contact'

### Add Person > Name Search

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-137
AUP TYPE	New
AUP YEAR	1

To search for a person, use any combination of first name, initial and last name. You may search by typing the left subset of a name. Example:

Type **jo** in first name, **sm** is last name and click search. A list containing all first names starting with **jo** and last names starting with **sm** appears.

You further narrow your search by selecting one or more of the additional filters.

Search my existing list of protocol contacts  
 Search the main contacts list

First Name:

Middle Initial:

Last Name:

Business Role:

Organization Name:

Department Name:

In order to search for an existing contact, enter as much of the individual's first and last names as possible; Then Click 'Search Contacts List' button

**Submit an Application for a New Protocol**

**Add Person > Name Search Results List**

Choose desired person from search results list

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-137
AUP TYPE	New
AUP YEAR	1

Select	Full Name	Business Role	Organization	Department	Campus	Location	Email	Phone
<input checked="" type="radio"/>	Depp, Johnny	Veterinarian	Research Western	Animal Care & Veterinary Services	West Valley Building		vet246@hotmail.com	12345
<input type="radio"/>	Depp, Johnny	Principal Investigator	Faculty Of Social Science	Psychology	Social Science Centre		principalvstgr62@gmail.com	88866

Option #1 - Select correct name from the 'Name Search Results List' and click 'Select' button in order to fill out the related information pages (web pgs. 15.1 & 15.2)

Option #2 - If contact is not listed, click the 'Add a New Contact' button

Add a Person who is not on the Result list

PI_FULL_NAME	Bear, Yogi
AUP NUMBER	2010-137
AUP TYPE	New
AUP YEAR	1

Add person who is not on the Result list

First Name	Doctor
Middle Initial	
Last Name	Smith
Role	Co-Investigator
Organization/Department	Schulich School Of Medicine & Dentistry / Oncology
Campus	London Regional Cancer Program
Phone	11111
Email	doctor.smith@uwo.ca
Fax	
Emergency Phone	911
Home Phone	
Cell Phone	
Pager	

Update Contacts    Clear Page Revisions    Save & Return Home

Enter all of the personnel contact information pertaining to the individual that you are adding to the Contact List

Click 'Update Contacts' button once all of the info is entered

All of the Personnel that you have selected or added will now appear within the Protocol Personnel List on web page 15.

PI_FULL_NAME	Bear, Yogi
AUP NUMBER	2010-137
AUP TYPE	New
AUP YEAR	1

Select	Name	Role	Phone	Primary Email	HANDS ON?	FIELD?	MONITORING?	BASIC HANDLING ONLY?	CCAC ELEMENTS?	SURGERY?	RESTRAINTS?	DRUGS/AGENTS?	EUTH?	OTHER TECHNIQUES?
<input type="checkbox"/>	Bear, Yogi	Principal Investigator	1234	beary@uwo.ca	YES	NO	YES	NO	YES	YES		YES	YES	Other techniques
<input type="checkbox"/>	Depp, Johnny	Veterinarian	12345	vet246@hotmail.com	YES	NO	YES							
<input type="checkbox"/>	Smith, Doctor	Co-Investigator	11111	doctor.smith@uwo.ca	NO									

Add Contact    Remove Selected Contact(s)

Save & Continue    Save & Return Home

Click 'Save & Continue' to verify page information

p) **Un-Finished AUP Applications** → If you have selected 'Save & Return Home' during your protocol application, your protocol now appears in the Alerts section on your home page as an **Un-Finished Protocol**. Click **Protocol Number Link** (see below) to continue with your application on the page where you left off.


ALERTS - UN-FINISHED PROTOCOLS			
AUP_NUMBER	FORM TYPE	AUP_TITLE	UPDATED
<a href="#">2009-0031</a> ← Click Link	New		01/18/2010
<a href="#">2010-0010</a>	New		//

q) **Error Verification** → Last section to be completed in Protocol application process → Checks Finished Protocol for Completeness → eSirius checks to see that all required fields are completed, and if not, takes you back to each uncompleted field.

For example, if you forgot to select the Primary Purpose of Animal Use from the drop list on web page 9, the Error Verification process takes you to the '9.Primary Purpose of Animal Use' web page and requires you to complete the information here (Please see example below).

At the bottom of each page, you are given several Action Button options:

- **Save & Continue with Error Verification** – Saves changes and continues to next required field
- **Clear Page Revisions** – Clears all data entered into current web page's fields
- **Cancel Error Verification** – Cancels any changes made to protocol during Error Verification process and returns you to your Home Page.



**Submit an Application for a New Protocol** Bear, Yogi PI [SIGN OUT](#)

**1. PI Info** ● **Error Verification**

The error verification process will check your protocol document for completeness. It may take a few minutes to conclude and will guide through pages with missing information.

Principal Investigator	Bear, Yogi
Protocol Application Number	2009-0035
Document Type	New
Protocol Year	1

[Click Here!](#)

Start Error Verification Finish Later

2. Title ●

3. Lay Sum + Glossary ●

4. CCAC Outline ●

5. Funding ●

5.1 Funding Source ●

6. Sci Peer Review ●

7. Hazards Q ●

7.1 Haz Types ●

8. Acute & Chronic ●

9. Purpose of Animal Use ●

10.1 Groups Overview ●

10.2 Procedures Narrative ●

**Submit an Application for a New Protocol** Bear, Yogi PI

**9. Purpose of Animal Use**

Error Id	Error Message	Action/Solution
Error Verification	Field Required	Field 1. Identify PRIMARY PURPOSE OF ANIMAL USE is required

This page is used to identify all **Animal Use Purpose** for this protocol. See below for Purpose of Animal Use (PAU) definitions.

Principal Investigator	Bear, Yogi
Protocol Application Number	2009-0031
Document Type	New
Protocol Year	1

Use Field 1 to identify the **PRIMARY PURPOSE OF ANIMAL USE**. Also, please check all additional types of animal use involved in this *Animal Use Protocol*.

1. Identify PRIMARY PURPOSE OF ANIMAL USE	<input type="text" value=""/>
2.1 BREEDING/COLONY STOCK	<input type="checkbox"/>
2.2 FUNDAMENTAL RESEARCH	<input type="checkbox"/>
2.3 MEDICAL OR VETERINARY RESEARCH	<input type="checkbox"/>
2.4 REGULATORY TESTING	<input type="checkbox"/>
2.5 DRUG/PRODUCT DEVELOPMENT	<input type="checkbox"/>
2.6 EDUCATION OR TRAINING	<input type="checkbox"/>

Fill in all required information



- r) **Electronic Signature** → Once the Error Verification process is complete, you will be directed to the ‘**Electronic Signature**’ page→ Enter your password (same password used to login to eSirius) in order to verify protocol submission→Click ‘**Continue**’ button.

Submit an Application for a New Protocol		Bear, Yogi	PI
<b>Electronic Signature</b>			
Use the <b>Electronic Signature</b> password provided to you by the eSirius Administrator. If assistance is required, contact auspc@uwo.ca			
Principal Investigator	Bear, Yogi		
Protocol Application Number	2010-0007		
Document Type	New		
Protocol Year	1		
Password	•••••	Enter your login password	
Continue	Clear Form	Click Here to continue to Submit Protocol Page	

- s) **Submit AUP** page→ Click ‘**Submit to AUS Office**’ button→Your protocol application will be sent to the AUS Office along with an email notification (see example below) requesting *Animal Use Protocol* review→Once you submit the Protocol to the AUS Office, it is no longer in your ‘**Alerts – Unfinished Protocols**’ section of your Home Page – **you are no longer able to edit the protocol once it is submitted**. The protocol will now appear in your ‘**Alerts – New Protocols**’ on your Home Page.

Submit an Application for a New Protocol		Bear, Yogi	PI
<b>Submit Protocol</b>			
<b>Congratulations!</b> You have successfully completed your submission for a new protocol application. When you click on <b>Submit to AUS Office</b> , an email notification is sent out. You may follow the status of your application by periodically checking your <b>eSirius</b> alerts.			
Principal Investigator	Bear, Yogi		
Protocol Application Number	2010-0007		
Document Type	New		
Protocol Year	1		
Submit to AUS Office	Click Here to submit protocol application to AUS Office		

[Search Mail](#)[Search the Web](#)[Show search options](#)  
[Create a filter](#)[Compose Mail](#)[Inbox \(5\)](#)[Starred](#)[Sent Mail](#)[Drafts](#)[Personal](#)[Travel](#)

Interactive Meetings - <http://quicktally.com> - Wireless Audience Response systems for meeting voting and game shows Sponsored Link < >

Archive	Report spam	Delete	Move to ▼	Labels ▼	More actions =	Refresh	1 - 9 of 9
Select:	Sender	Read, Starred, Unstarred	Subject Line				
<input type="checkbox"/>	eSiriusWebServer		eSirius Notification -- Animal Use Protocol Approved Pending Clarification - This is a				3:31 pm
<input type="checkbox"/>	eSiriusWebServer		eSirius Notification -- Protocol Revision Submitted from AUS Office to the Full				1:22 pm
<input checked="" type="checkbox"/>	eSiriusWebServer (2)		eSirius Notification -- New Animal Use Protocol Form from PI				Jan 18

### Email Body Example

**From:** eSiriusWebServer  
**To:** PrincipalInvstgr62  
**Date:** Jan 21  
**Subj:** eSirius Notification -- New Animal Use Protocol Form from PI

This is an electronic notification for the following new Animal Use Protocol form: 2010-0007

Submitted by Investigator: Bear, Yogi

Protocol Number: 2010-0007

Title: Yogi's Protocol

- t) **PI Designate Completes an AUP application on Behalf of a PI** → A PI Designate will be given access to the PI Group to which they belong: they will have the ability to sign in the PI's Home Page and complete an AUP application on behalf of the PI, following the same process as described previously → **The PI Designate CANNOT submit an AUP directly to the AUS Office**; the Designate must submit the AUP to the PI and the PI can then verify and send the AUP to the AUS Office → The following example illustrates the Submit Page view for a PI Designate who has completed an AUP application for Doctor Blue:



The PI Designate signs in to the PI Group to which he/she belongs in order to complete an AUP application on behalf of the PI

Submit an Application for a New Protocol

Designate, Pi/Blue, Doctor

PI Designate - Submit *Animal Use Protocol* to the PI

You have successfully completed your submission for a new *Animal Use Protocol* application. When you click on the **Submit** button, an email notification is sent to the PI indicating that the AUP has been sent to their Homepage.

PI FULL NAME	Blue, Doctor
AUP NUMBER	2010-119
AUP TYPE	New
AUP YEAR	1

Once the Error Verification has been completed, the PI Designate must 'Submit' the AUP application to the PI. The PI can then verify the application and send the AUP to the AUS Office for Review

Submit

\* Required Fields

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3550 Mowry Avenue, Suite 201  
Fremont, CA 94538  
Phone: 510-744-3901 Fax: 510-744-3904  
[www.ntmcs.com](http://www.ntmcs.com)

- u) **View/Print AUP** → Click '**View/Print Protocol**' link in table of contents or click protocol number link to see the View/Print Protocol page at any stage of your protocol application → Select the output of the protocol & sections that need to be printed (**NOTE: To VIEW the AUP, select 'HTML' output; to PRINT the AUP, selected 'PDF' output**) → Click '**Print Draft**' button:

1. PI Info	●
2. Title	●
3. Lay Sum + Glossary	●
4. CCAC Outline	●
5. Funding	●
6. Sci Peer Review	●
7. Hazards Q	●
8. Acute & Chronic	●
12. Field/Wildlife	●
13. Ext Collab Q	●
14. Teaching Q	●
15. Personnel	●
16. Investigator Declaration	●
Error Verification	●
View/Print Protocol	●
Cancel Unfinished Protocol	●
Instructions...	●

Click Here!

- v) **Cancel Un-finished AUP** → Allows you to cancel an AUP application that has not yet been submitted to the AUS Office → Complete the **‘Reason for Canceling Unfinished Protocol’** field → Click **‘Cancel Unfinished Protocol’** button → This function will remove the selected protocol from your **‘Alerts – Unfinished Protocols’** section on your Home Page.

**\*\*See Section 3 (Page 23) for AUP Review and AUS Approval Workflow Processes\*\***

## 2.2 – PI Submits an Application for a New AUP from an Existing One

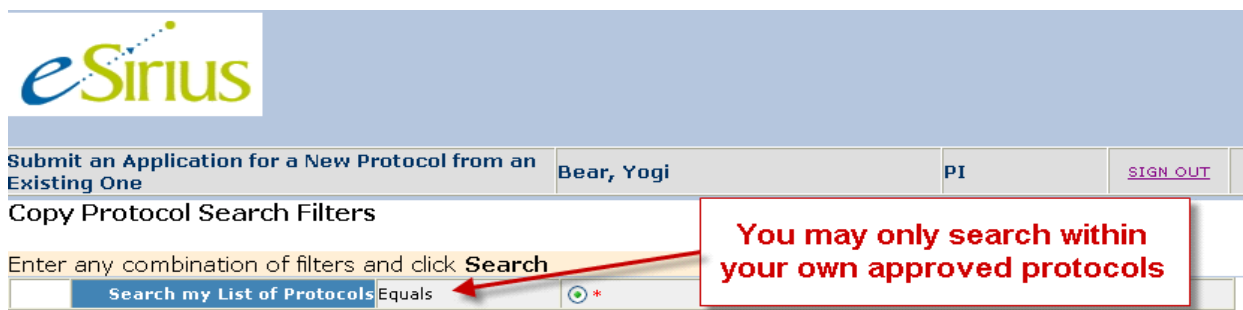
eSirius Options	Section	Page #
PI Copies an Existing Approved AUP	A	31
Login to eSirius	B	31
Submit an Application for a New Protocol from an Existing One	C	31
Copy Protocol Search Filters Page	D	31

<b>Protocol List Page</b>	E	32
<b>Copy of Protocol Opens Under a New AUP Number</b>	F	33
<b>Submit New AUP Application</b>	G	33

- a) **PI Copies an Existing Approved AUP** → This option allows an existing approved AUP to serve as a template for creating a new protocol application in eSirius. You may find this option convenient if you have several AUPs that are very similar; it will allow you to make any necessary changes without requiring you to complete every field with duplicate information. **This option is NOT to be used for Full Renewal applications (see Section 6 – PI Submits a Full Renewal for an Approved AUP for instructions).** **NOTE:** The existing protocol to be used as a template **must** have an **APPROVED** status.
- b) **Login to eSirius**→ See instructions for **LOGIN (Sect. 2.1)**.
- c) **Submit an Application for a New Protocol from an Existing One**→eSirius→PI Home Page→ Click ‘**Submit – Animal use Protocol (AUP) Form FROM an Existing AUP**’ link→Copy Protocol Search Filters page opens:



- d) **Copy Protocol Search Filters page** → Enter Any Combination of the Following Search Filters and then click ‘**Search**’ button:



### Species

	Species Group Name	Equals	All
And	Species Name	Equals	Mouse
And	CCAC Reportable	Equals	<input type="checkbox"/>
And	CCAC Category of Invasiveness	Equals	

Search will be filtered to display all of your protocols which use Mice

### Protocol Filters

	Protocol Number	Contains	0
Or	Protocol Year	Equals	09
And	Project Id	Equals	
And	Protocol Title	Starts With	Yogi
And	Current Protocol Only?	Equals	<input checked="" type="checkbox"/>

### Type of Animal Use Filters

	Primary PAU-Purpose of Animal Use	Equals	
And	Secondary PAU - Education or Training	Equals	<input type="checkbox"/>
And	Regulatory Testing	Equals	<input type="checkbox"/>
And	Breeding	Equals	<input type="checkbox"/>
And	Fundamental Research	Equals	<input type="checkbox"/>
And	Drug/Product Development	Equals	<input type="checkbox"/>

<a href="#">Search</a>	<a href="#">Clear Filters</a>	<a href="#">Return to Home Page</a>
------------------------	-------------------------------	-------------------------------------

**Click Here!**

- e) **Protocol List Page** → Opens & displays protocols based on the criteria selected on previous page (e.g. all of your protocols that list 'Mice' as the protocol species) → Select the protocol you need and click '**Copy Selected Protocol**' button → 'Edit Now' page appears notifying you of the successful copying of the protocol.

## Protocol List

**Click one of these fields to select protocol**

Select	PI	Protocol #	Protocol Title
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0029</a>	PI TEST
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0031</a>	YOGI'S PROTOCOL #2
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0035</a>	YOGI'S PROTOCOL
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0037</a>	FILL IN THE BLANKS!
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0041</a>	LULU'S PROTOCOL
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0042</a>	
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0043</a>	
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0044</a>	LULU'S PROTOCOL
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0045</a>	Lulu
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0046</a>	Lulu
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0047</a>	Johnny's Good-Looking Protocol
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0048</a>	Yogi Bear's Picnic
<input type="radio"/>	Bear, Yogi	<a href="#">2009-0049</a>	Yogi Bear's Picnic

**Links allow you to View/Print Protocols**

**Click Here!**

Copy Selected Protocol    Return to Search Filters    Cancel & Return to Home Page

This is your new protocol application number. Choose **Edit Now** if you wish to begin editing. If you choose to return to the **eSirius** Home Page, the protocol will be placed in your **Un-finished Protocols** alerts.

Principal Investigator	Bear, Yogi
Protocol Number	2009-0051
Protocol Title	Yogi Bear's Picnic

**Click Here!**

Edit Now    Return to Home Page

- f) **Copy of protocol opens under a new AUP number** → Application is assigned a new AUP number & first page of application appears → Follow general instructions in order to complete protocol application and make any necessary changes → If you return to your Home Page, the new protocol will appear in the 'Alerts – Un-Finished Protocols' section.

ALERTS - UN-FINISHED PROTOCOLS			
AUP_NUMBER	FORM TYPE	AUP_TITLE	UPDATED
<a href="#">2009-0049</a>	New	Yogi Bear's Picnic	//
<a href="#">2009-0050</a>	New	Copy of Previously Approved Protocol for Yogi Bear	11/30/2009
<a href="#">2009-0051</a>	New	Yogi Bear's Picnic	//

**Copied Protocol**

- g) **Submit New Protocol Application** → See instructions for **Section 2 - Introduction to AUP Forms – Creating & Submitting** in order to submit the new AUP for review.

## 2.4 – PI Transfers the Ownership of an AUP to Another Researcher

eSirius Options	Section	Page #
Selecting an AUP to Complete a Transfer	A	34
Search for a PI to Receive the AUP Transfer	B	35

Select a PI to Receive the AUP Transfer	C	35
Provide Transfer Justification & Submit to the AUS Office	D	36
PI Receives an Email Notification from the AUS Office via eSirius	E	36

- a) **Selecting an AUP to Complete a Transfer** → PI Home Page → Animal Use Protocol Options section → Click **Transfer Ownership of Protocol to Another Researcher** link → List of Protocols page → Select protocol to be transferred from the list → Click **‘Continue’** button:

**ANIMAL USE PROTOCOL OPTIONS**

- [Submit - Animal Use Protocol - AUP Form](#)
- [Submit - Animal Use Protocol \(AUP\) Form FROM an Existing AUP](#)
- [Submit - Protocol Modification Form for an Approved AUP](#)
- [Transfer Ownership of Protocol to Another Researcher](#) ← **Click Here!**
- [Search - Animal Use Protocol](#)
- [Search - AUP Species Usage Register](#)
- [Search - Protocol Modification](#)
- [Search - Protocol Revision](#)
- [Reports - Protocol](#)
- [Reports - Regulatory Compliance](#)
- [Reports - Protocol Contacts](#)

**Transfer Ownership of Protocol to Another Researcher** Bear, Yogi PI

**List of Approved Protocols**

Select	PI	Protocol #	Protocol Title	Expires On
<input type="checkbox"/>	Bear, Yogi	<a href="#">2009-0056</a>	Study of the effects of stress on pigs	12/16/2013
<input checked="" type="checkbox"/>	Bear, Yogi	<a href="#">2009-0059</a>	Study of the effects of stress on pigs	12/16/2013

Continue Cancel & Return to Home Page

**Click Here to select PI Name**

**Select protocol to be transferred**

- b) **Search for a PI to Receive the AUP Transfer** → PI Name Search Page → Enter PI Last Name and as much of the first name as possible → Click **‘Search’** button.

<b>Transfer Ownership of Protocol to Another Researcher</b>		Bear, Yogi	PI
---	--	------------	----

### PI Name Search

Enter any combination of PI name filters and click Search.

First Name	j
Mid Initial	
Last Name	depp *

**Enter Last Name and as much of first name/initial as possible**

Search    Return to Home Page    **Click Here to Search for PI**

- c) **Select a PI to Receive the AUP Transfer** → Name Search Results page → Select desired PI Name from the list → Click ‘Select Transfer to PI’ button:

<b>Transfer Ownership of Protocol to Another Researcher</b>		Bear, Yogi	PI
---	--	------------	----

### Name Search Results List

Choose desired person from search results list

Select*	PI	Campus	Department	Organization	Email	Phone
<input checked="" type="radio"/>	Depp, Johnny	Social Science Centre	Psychology	Faculty Of Social Science	jdepp@uwo.ca	88866

**Select PI Name from the list**

Select Transfer To PI    **Click Here to transfer protocol to selected PI**

Return to Transfer to PI Search Filters    **Click Here to enter new search criteria**

- d) **Provide Transfer Justification & Submit to the AUS Office** → Transfer Ownership of Protocol page → Enter your justification for the transfer → Click ‘Submit to AUS Office’ button → Return to PI Home Page.

<b>Transfer Ownership of Protocol to Another Researcher</b>	<b>Bear, Yogi</b>	<b>PI</b>		
<b>Transfer Ownership of Protocol</b>				
<b>Transfer to PI Name</b>	Depp, Johnny			
<b>Reason/Justification for Transfer</b>	Johnny will take over this protocol as I will be going on vacation for the next two years.			
<div style="border: 1px solid red; padding: 5px; display: inline-block;"> <p style="color: red; text-align: center;">Enter the reason that you are transferring the protocol to the selected PI</p> </div>				
<b>Protocols selected to transfer</b>				
Protocol #	Year	Title	Approved On	Expires
2009-0059	1	Study of the effects of stress on pigs	12/16/2009	12/16/2013
<input type="button" value="Submit to AUS Office"/>		<input type="button" value="Cancel &amp; Return to Home Page"/>		<input type="button" value="Clear Form"/>
<div style="border: 1px solid red; padding: 5px; display: inline-block;"> <p style="color: red; text-align: center;">Click Here to submit transfer request to the AUS Office</p> </div>		<div style="border: 1px solid red; padding: 5px; display: inline-block;"> <p style="color: red; text-align: center;">Click Here to cancel transfer request and return to your Home Page</p> </div>		

- e) **PI Receives an Email Notification from the AUS Office via eSirius** → You will receive an email notice indicating that either your AUP transfer request has been **APPROVED** or **CANCELED** → If the request is approved, the AUP will no longer appear within your list of AUPs → If the request is canceled, you may locate your AUP using the **Search-Animal Use Protocol** feature (See **Section 7.2** for instructions).