

Section 6 – PI Submits a Full Renewal for an Approved AUP

Every 4th year of your approved AUP’s life, you must submit a Full Renewal should you wish to continue your research. At the time of renewal, you may choose to **Expire** or **Renew** your AUP. You must also indicate the **total number of animals used** during the past AUP year. The Full Renewal process involves a full resubmission of the protocol along with a **3R’s Progress Report** outlining the progress made during the past four years.

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6.1 – PI Receives a Notification that an AUP is Due for Full Renewal

- a) **Full Renewal Alert Appears on PI's Home Page** → **75 Days prior** to the Full Renewal due date, you will receive a reminder on your Home Page under the Alerts – **Full Renewal** section indicating that your AUP is due for full renewal → You will also receive an email from the AUS Office approximately two months prior to the AUP'S full renewal due date → Click on the **AUP_NUMBER** link to access the Full Renewal form:

The screenshot shows the eSirius web application interface. At the top left is the eSirius logo, and at the top right is the NTM Consulting Services, Inc. logo. The user is logged in as 'Duck, Donald' with the role 'PI'. The page displays several sections:

- Alerts - UN-FINISHED PROTOCOLS:** A table with columns 'AUP_NUMBER' and 'FORM'. It shows two entries: '2010-037' (New) and '2010-047' (New).
- Alerts - ANNUAL RENEWAL:** A table with columns 'AUP_NUMBER', 'PRINC_INVESTIGATOR', 'AUP_YR', 'APPROVAL DATE', 'STATUS', 'FORM TYPE', 'DUE DAY #', and 'RENEWAL DATE'. It shows one entry: '2010-038' for 'Duck, Donald' with 'AUP_YR' 4, 'APPROVAL DATE' 10/01/2009, 'STATUS' Approved (w/o Stipulation), 'FORM TYPE' New, 'DUE DAY #' 76, and 'RENEWAL DATE' 08/11/2010.
- Alerts - FULL RENEWAL:** A table with columns 'AUP_NUMBER', 'PRINC_INVESTIGATOR', 'AUP_YR', 'APPROVAL DATE', 'STATUS', 'FORM TYPE', 'DUE DAY #', and 'RENEWAL DATE'. It shows one entry: '2010-049' for 'Duck, Donald' with 'AUP_YR' 4, 'APPROVAL DATE' 10/01/2006, 'STATUS' Approved (w/o Stipulation), 'FORM TYPE' New, 'DUE DAY #' 16, and 'RENEWAL DATE' 10/01/2007.

Red callout boxes provide the following information:

- Top Callout:** "An Alert will appear within the 'Alerts - Full Renewal' section of your Home Page indicating that an AUP is due for Full Renewal. You will receive this Alert 75 days prior to your AUP's Expiration Date"
- Bottom Left Callout:** "Click on the AUP_Number link to access the full renewal page"
- Bottom Middle Callout:** "AUPs are due for Full Renewal every 4th Protocol Year"
- Bottom Right Callout:** "Indicates the number of days before the Full Renewal must be processed (please submit full renewal as far in advance as possible to ensure timely approval)"

- b) **PI Fills out the Full Renewal page** → To View/Print your currently approved AUP for reference, click the **AUP_NUMBER** link → Select the Status of your AUP (You may choose either to **EXPIRE** or **RENEW** your AUP) → If you wish to **EXPIRE** your AUP, please indicate the animal disposition within the field provided → Once you have completed the Full Renewal form, click the **'Save & Continue'** button.

Full Renewal Form

PI Info

PI_FULL_NAME	Bear, Yogi
CAMPUS_NAME	
ORGANIZATION	Research Western
DEPARTMENT	Animal Care & Veterinary Services
PRIMARY_EMAIL	principalnvtgtr62@gmail.com
WORK_PHONE	1234

Protocol Info

AUP_NUMBER	2010-051
DATE_APPROVED	10/01/2006
AUP_TITLE	Animal Use Protocol to test review process
WORKFLOW_LOCATION	

Click the AUP_NUMBER link to View/Print the full AUP document

Funding Sources

FUND_TYPE	FUND_SOURCE	FUND_TITLE
Agency	Cancer Research Society Inc.	

CONTINUATION ACTION

Protocol will be renewed
 Protocol will lapse upon expiration
 If research is withdrawn, please indicate the animal disposition:

If the AUP is RENEWED, you will be directed to update the full AUP document and resubmit it to the AUS Office for approval

Select a Status for your AUP: You may choose to EXPIRE or RENEW your AUP

If the AUP is EXPIRED, please indicate the Animal Disposition

Click Here when the form is complete!

Click Here to finish the Full Renewal form at a later time

Click Here to clear any changes made to the form

Click Here to return to your Home Page without filling out the form

6.2 – PI Expires the AUP at Full Renewal

- a) **PI EXPIRES the AUP at Full Renewal** → Should you choose to expire your AUP, it will no longer appear within the Alerts-Full Renewal section of your Home Page → Your request to expire the AUP will be sent to the AUS Office where it will be processed and your AUP will be archived.

CONTINUATION ACTION

Protocol will be renewed *

Protocol will lapse upon expiration *

If research is withdrawn, please indicate the animal disposition: Euthanize



In this example, the PI has chosen to EXPIRE the AUP

Remaining animals will be euthanized

Save & Continue Finish Later Clear Form Cancel & Return to Home Page

6.3 – PI Submits a Full Renewal Application to the AUS Office for Review

- a) **PI RENEWS AUP at Full Renewal** → Should you decide to renew your AUP, you will continue to the ‘**Full Renewal-Select Application Sections**’ page → All of the current AUP sections will appear within the ‘Select All Application Information to Carry Forward’ list → All selected sections will carry forward to your AUP application for Full Renewal → Should you wish to remove any AUP sections that no longer apply, you can unselect the checkbox beside the Section Name → Click the ‘Continue’ button when you have ensured that all required AUP sections are selected:

3rd Year Review Duck, Donald PI [SIGN OUT](#) [HOME](#) 09/15/2010

Full Renewal > Select Application Sections

PI Info

PI_FULL_NAME	Duck, Donald
CAMPUS_NAME	West Valley Building
ORGANIZATION	Faculty Of Social Science
DEPARTMENT	Psychology
PRIMARY_EMAIL	PIDESIGNATE@hotmail.com
WORK_PHONE	1111

Protocol Info

AUP_NUMBER	2010-049
DATE_APPROVED	10/01/2006
AUP_TITLE	Test Text Fields!!!
WORKFLOW_LOCATION	

Select All Application Information to Carry Forward

Select Pages	Page Name
<input checked="" type="checkbox"/>	1. Investigator Contact Information
<input checked="" type="checkbox"/>	2. Protocol Title & Project Type
<input checked="" type="checkbox"/>	3. Lay Summary & Glossary
<input checked="" type="checkbox"/>	4. CCAC Animal Procedural Outline
<input checked="" type="checkbox"/>	5. Funding Sources
<input checked="" type="checkbox"/>	5.1.1 Funding Source Detail
<input checked="" type="checkbox"/>	6. Scientific Peer Review Requirements
<input checked="" type="checkbox"/>	7. Use of Hazardous Materials Question
<input checked="" type="checkbox"/>	7.1 Hazardous Material Types Used
<input checked="" type="checkbox"/>	8. Acute & Chronic
<input checked="" type="checkbox"/>	9. Purpose of Animal Use
<input checked="" type="checkbox"/>	10.1 Animal Groups Overview
<input checked="" type="checkbox"/>	10.2 Procedures Narrative
<input checked="" type="checkbox"/>	11.1 Movement of Animals Between Citywide Sites Information
<input checked="" type="checkbox"/>	11. Species List
<input checked="" type="checkbox"/>	11.1 Species Information
<input checked="" type="checkbox"/>	11.2 Justification for Species Choice & Number
<input checked="" type="checkbox"/>	11.3 Species Source
<input checked="" type="checkbox"/>	11.4.1 Strain Information
<input checked="" type="checkbox"/>	11.5.1. Animal Holding/Housing Location Information
<input checked="" type="checkbox"/>	11.6 Non-Managed Holding/Housing
<input checked="" type="checkbox"/>	11.7 Holding Period & Quarantine
<input checked="" type="checkbox"/>	11.8 Caging, Dietary Requirements & Environmental Enrichment
<input checked="" type="checkbox"/>	11.9.1 Procedure Location Information
<input checked="" type="checkbox"/>	11.10 Animal Movement Between Sites
<input checked="" type="checkbox"/>	11.11 Monitoring & Early Euthanasia Endpoints
<input checked="" type="checkbox"/>	11.12.1B Non-Hazardous Agent Information
<input checked="" type="checkbox"/>	11.12.2B Hazardous Agent/Drug/Material/Device Information
<input checked="" type="checkbox"/>	11.12.3A Physical Restraint Information
<input checked="" type="checkbox"/>	11.12.4 Breeding Information
<input checked="" type="checkbox"/>	11.12.5A Surgery Information
<input checked="" type="checkbox"/>	11.13.1 Euthanasia Method Information
<input checked="" type="checkbox"/>	11.14 CCAC Reporting Checklist
<input checked="" type="checkbox"/>	11.15 Procedural Consequences
<input checked="" type="checkbox"/>	11.16 CCAC Categories of Invasiveness
<input checked="" type="checkbox"/>	12. Field/Wildlife Animal Research
<input checked="" type="checkbox"/>	13. External Collaboration Question
<input checked="" type="checkbox"/>	13.1 External Collaboration Details
<input checked="" type="checkbox"/>	14. Teaching Question
<input checked="" type="checkbox"/>	14.1 Teaching Information
<input checked="" type="checkbox"/>	15.1 Personnel Information
<input checked="" type="checkbox"/>	15.2 Personnel Protocol Related Activities
<input checked="" type="checkbox"/>	16. Investigator Declaration

The Full Renewal > Select Application Sections page lists all of the AUP Sections currently associated with your protocol. Should any of the sections no longer apply to your AUP (i.e. you will no longer be breeding animals), you can unclick the 'Select Pages' checkbox beside the Section Name that you wish to remove (i.e. Unselect Web page 11.12.4 - Breeding Information). Only the selected sections will be available for revision when you are submitting the full AUP application.

Click Here to update the AUP document for full resubmission

Continue

- b) **Edit Full Renewal page** → Web page allows you to decide whether you would like to begin editing your AUP application now or return to your Home Page and finish the application at a later time → Click **'Edit Now'** button to continue to your AUP application → Click **'Return to Home Page'**

button to return to your Home Page. You can find your AUP application under the ‘Alerts – Un-finished Protocols’ section of your Home Page.

Click Here if you wish to update your AUP application immediately

Click Here to return to your Home Page and update your AUP application later



Your AUP will appear within the Alerts- Un-Finished Protocols section of your Home Page until you complete and submit the Full Renewal AUP application

ALERTS - UN-FINISHED PROTOCOLS			
AUP_NUMBER	FORM TYPE	PROTOCOL_TITLE	UPDATED
2010-049	Full Review	Test Text Fields!!!	09/15/2010
2010-037	New	NEW PROTOCOL TO TES	05/19/2010
2010-047	New	Test Text Fields!!!	//

The form type = 'Full Review'

- c) **Full Renewal AUP Application Opens to be Verified & Updated**→ The full AUP document will open, allowing you to verify and update the information on each web page→ You must go through each section and confirm that all of the information is current & correct, making all necessary changes before submitting the Full Renewal AUP application to the AUS Office→ All circle indicators will appear **RED** until you have revised the associated section→ Please ensure that you complete ‘**Web Page 2 – Protocol Title & Project Type**’, as this section requests specific

information pertaining to your Full Renewal application update (see example below)→ Once all of the indicators are **GREEN** (completed) and you have verified all of the information within each AUP section, you may begin the Error Verification process and submit the AUP to the AUS Office for Full Review.

Submit an Application for a New Protocol Duck, Donald PI [SIGN OUT](#) [HOME](#) 09/15/2010

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](#)

[Progress Report](#)

[Instructions...](#)

1. Investigator Contact Information

To ensure **complete and up-to-date** data, **Contact Information**, displayed below. Please use the **'Save & Continue'** button at the bottom of the page.

NOTE - All fields having a **red asterisk '**'** must be completed.

PI FULL NAME	Duck, Donald
AUP NUMBER	2010-049
AUP TYPE	Full Review
AUP YEAR	2
Employee ID	
Primary Role	PI Staff
1. PI Full Name	Duck, Donald
2. Primary Institution & Department	Faculty Of Social Science / Psychology
3. Office Location - Building & Room #	SSC #4320
4. Weekday Work Hours Phone #	1111
5. PI After-Hours Emergency Contact #	99999 *
6. Pager - Phone & Pager #	3333
7. Primary Email	PIDESIGNATE@hotmail.com
8. Other Email	TESTEMAIL@HOTMAIL.COM
9. Lab Campus Location, if different from Q.3	West Valley Building
10. Lab Phone #, if different from Q.4	

Your AUP application will open; Indicators beside each section name will be RED until you Verify/Update the information on each page of the AUP application. Once you have edited the entire document, all of the indicators will be GREEN and you may proceed to run the Error Verification process

BUTTON USE

- SAVE & CONTINUE** - Updates **AUS Contact Information** and automatically proceeds to the next *Animal Use Protocol* form page.
- CLEAR PAGE REVISIONS** - Defaults to previously saved fields. Click **'Save & Continue'** or on the next item below 'PI Info' listed on the **Table of Contents** (left margin) to proceed with this *Animal Use Protocol*
- HOME** - at the **Top** of the page to exit this *Animal Use Protocol* and return to the **eSirius** Home Page **without saving** this page.

Save & Continue

Clear Page Revisions

- 1. PI Info
- 2. Protocol Title & Project Type
- 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
- Progress Report
- Instructions...

2. Protocol Title & Project Type

Please complete the following Protocol Title & Project Type details instructions.

PI FULL NAME	Bear, Yogi
AUP NUMBER	2010-055
AUP TYPE	Full Review
AUP YEAR	2

1. Animal Use Protocol Title
Cardiocyte Myeloma and its relationship to Acute Colitis

2. Application Type, Pick One

Full Renewal

3. If 'Full Renewal' or 'Post-Pilot Full Protocol' provide Associated Previous Protocol Number

2010-055

4. If Post-Pilot Full Protocol or Full Renewal, Provide a 3 R'S PROGRESS REPORT SUMMARY that outlines progress relating to the REPLACEMENT of animals, REDUCTION of animal use numbers AND REFINEMENT of experimental technique. E.g. What did you previously learn that has resulted in a change in study design based upon application of the 3 R's. Link to CCAC's 3 R's Microsite for more information.

We used many methods which avoid or replace the use of animals where animals would otherwise have been used. This includes both replacements (i.e. replacing animals with inanimate systems, such as computer programs) and relative replacements (i.e. replacing more sentient animals with a significantly lower potential for pain perception, such as invertebrates).

We also developed a strategy that will result in fewer animals being used to obtain sufficient data to answer the research question, or in more information obtained per animal and thus potentially limiting or eliminating the use of additional animals without compromising experimental objectives.

5. If Post-Pilot Full Protocol or Full Renewal, Indicate the TOTAL NUMBER OF ANIMALS USED during the PAST PROTOCOL YEAR

20

6. Proposed Start Date (mm/dd/yy)

12/01/2006

PROTOCOL TITLE & PROJECT TYPE INSTRUCTIONS

Save & Continue Clear Page Revisions

Web Page 2 - Protocol Title & Project Type requires that you provide updated information pertaining to your AUP's progress over the past 4 years if it is a Full Renewal

Change the 'Application Type' to 'Full Renewal'

Enter the previous AUP Number associated with your Full Renewal (even if it is the same #)

Complete the 3R's Progress Report in terms of any Replacement, Refinement or Reduction techniques that you have developed during the past AUP year

Indicate the Total Number of Animals Used during the past AUP year (since your AUP's last Annual Renewal)

* Required Fields

Submit an Application for a New Protocol Duck, Donald PI

Submit Protocol


Congratulations! You have successfully completed your submission for a new protocol application. When you click on **Submit to AUS Office**, an email notification is sent out. You may follow the status of your application by periodically checking your **eSirius** alerts.

PI FULL NAME	Duck, Donald
AUP NUMBER	2010-049
AUP TYPE	Full Review
AUP YEAR	4


[Submit to AUS Office](#)

Click Here to submit your Full Renewal to the AUS Office

- d) **Full Renewal Has Been Submitted to the AUS Office for Full Review** → The Full Renewal review process is similar to the review process outlined in **Section 3 – AUP Review & Committee Approval – Workflow Process**. You may track the progress of your Full Renewal by clicking the **AUP_NUMBER** link in the **Alerts-Annual Renewal** section of your **Home Page** → **Animal Use Protocol Review Workflow** page → The page is Read-Only; You cannot edit the Full Renewal unless it is sent back to you by the AUS Office → Once protocol is returned to you by the AUS Office with **Questions/Recommendations**, you may edit the AUP document → You will receive an email notification (see **Section 3.4 example**) from eSirius once your protocol has been assigned a status during a full AUS Committee Meeting → The AUP Year will remain year '4' as eSirius does not reset the AUP Year each time an AUP is submitted for Full Renewal. The AUP Year will continue to increase consecutively for the entire life of the protocol.



AUP YR will remain at year '4' as AUPs are no longer reset back to year '1' each time they are submitted for full renewal; eSirius continues to count each consecutive year for the entire life of the AUP



Home Page

- Alerts...
- Protocols: Un-Finished
- Protocols: New
- Protocols: Annual Renewals
- ProtMods: New
- Animal Use Protocol Options
- Membership
- BEANJ
- BEANJ1
- Change Password

AUP_NUMBER	AUP YR	PRINC_INVESTIGATOR	SUBMITTED	FORM TYPE	FROM	TO	WORKFLOW DATE	ACTION
2010-049	4	Duck, Donald	09/17/2010	Full Review	PI	AUS	09/17/2010	Requests Review

Indicates that the Full Renewal has been sent 'From' the PI 'To' the AUS

AUP_NUMBER	PRINC_INVESTIGATOR	FROM	TO	RENEWAL DATE	ACTION
2010-038	Duck, Donald	AUS	PI	07/01/2010	Changes Requested
2010-041	Duck, Donald		AUS	08/01/2010	
2010-042	Duck, Donald		AUS	07/01/2010	
2010-048	Duck, Donald	PI	AUS	10/01/2010	Requests Review
2010-049	Duck, Donald			10/01/2007	

The Full Renewal will appear within the 'Alerts - New Protocols' section of your Home Page once it has been submitted to the AUS Office; Once submitted, the AUP is read-only and you are not permitted to make further changes unless requested by the AUS