

I. Procedures for Facility Visits by the AECP Compliance Team

The AECP Compliance Team will:

- 1) Establish and maintain a schedule of facility visits as per the *Risk Analysis Record*;
- 2) Book planned visits with reference to Facility Supervisors;
- 3) Send in advance of the visit the associated form template to Facility Supervisors to relay visit scope;
- 4) Undertake scheduled visits;
- 5) Share the associated report(s) with associated Facility Supervisor; share PI (Principal Investigator)-specific report excerpts with the PI, c.c. Institutional Veterinarians.
- 6) Document any issues identified during visits that require follow-up; embed responses into the report;
- 7) Maintain a visit log (location, date, with follow-up flag) for distribution to the Full ACC; and
- 8) Forward finalized reports to the Executive for its review.

The ACC Executive will:

- 9) Review submitted documentation and provide direction with respect to follow-up; and
 - 10) Annually review the *Risk Analysis Record*.
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II. Procedures for Animal Use Protocol (AUP) Visits

The AECP Compliance Team will:

- 1) Based on priorities outlined within the Policy (POL-020), both proactive and reactive triggers, AUPs will be selected for an AUP Visit.
- 2) Schedule a visit to the area with associated stakeholders;
- 3) Send in advance of the visit the associated communications template to the PI to relay visit scope;
- 4) Undertake the observation, assess for alignment with AUP and standards of veterinary care, correct deficiencies, offer best practices/suggestions and relay observations to the individuals involved;
- 5) Document the observations and any issues identified that require follow up;
- 6) Share the associated Executive Summary of proposed refinements with the Principal Investigator, c.c. Institutional Veterinarians;
- 7) Maintain related log (AUP#, date, with follow-up flag) of the visits; and
- 8) Share finalized communications and related information with the ACC Executive.

The ACC Executive will:

- 9) Review submitted documentation and provide direction with respect to follow-up, as applicable.
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III. Procedures for ACC Directed Evaluations

The AECP Compliance Veterinarian and Office of the ACC will:

- 1) Record ACC expectations during their meetings.



The Office of the ACC will:

- 2) Post-meeting notify the PI of the ACC request for an ACC-Directed Evaluation (including Pilot Study), c.c., acc-compliance@uwo.ca

The AECF Compliance Veterinarian will:

- 3) Determine the scope of the evaluation and relay the focus to the PI;
- 4) In conjunction with other animal health professionals, determine the individual responsible to undertake the evaluation.

The responsible animal health professional will:

- 5) Undertake the specific observations and/or evaluations as directed by the ACC;
 - a. For Pilot Studies, follow the related policy (POL-002-D)
 - b. Follow the AUP Visit process, as applicable.
- 6) Complete the associated form; and
- 7) Share the link to related form output with the ACC Executive; present monthly.

The ACC Executive will:

- 8) Review submitted documentation and provide direction with respect to follow-up, as applicable.
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IV. Procedures for Field Research Reviews

The AECF Compliance Team will:

- 1) Identify AUPs due for review; and
- 2) Outreach to associated PIs requesting records, per the Policy (POL-020).

Field Researchers will:

- 3) Provide requested information within an agreed-upon timeframe.

The AECF Compliance Team will:

- 4) In advance of the meeting, send the *Field Study Evaluation Report* template to the PI;
- 5) Facilitate a face-to-face meeting with the PI group to observe and/or review information provided;
- 6) Document details using the *Field Study Evaluation Report* template; distribute to stakeholders; electronically file in a centralized location;
- 7) Present the report to the ACC Executive; and
- 8) Maintain the related log.

The ACC Executive will:

- 9) Review submitted documentation and provide direction with respect to follow-up.
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V. Procedures for Maintaining the Risk Analysis Record

The AECF Compliance Team will:

- 1) Review the RAR twice annually (optimally early calendar year and mid-year) and update with reference to any changes since the last update, e.g., morbidity spikes, Concern Reports, room use (purpose, frequency).



- 2) Submit the RAR to the Executive annually.

Revision History

Version	Date	Description of Changes	Author
00	12-04-2017	New Policy (originally created as a policy)	LT
01	05-30-2018	CCV Risk Analysis Record to receive within-year updates based upon other CCV feedback, e.g. from ACC Site Visits; remove general reporting frequency reqmt (monthly) & reqmt for Assist. Dir-Compliance Assurance to 'review' reports/logs in advance of ACC Executive Mtgs; Update CCV naming conventions (remove term CCV); Remove section for 'CCVs by ACC Leaders'; Add section for 'AUP Visits'; remove Definitions & ACC Member 'Roles & Resp'; remove R&R details for ACC Site Visit Maint from Instit. Vet role	ACVS Vets / LT
02	09-04-2020	Revamp of Continuing Care Visits Policy into a procedures format; Remove Roles & Responsibilities	LT
03	08-10-2020	Update to include new role – PAM Coordinator; remove ACC Site Visit section (to be established as stand-alone policy); Change procedure title to focus upon animal health professional visits; move 'Framework' elements to new policy (POL-020).	LT/S G
04	13-06-2024	Updates to naming conventions. Add requirement to submit related reports to the Executive (Facility Visits; AUP Visits)	LT, SG, PB, AE