

UIC UNIVERSITY OF ILLINOIS
AT CHICAGO
POLICY – ACC Protocol
Submission and Grant
Review

Version 2.1

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I. General Rules

- A.** It is the investigator's responsibility to understand the requirements of the funding agency to which they are submitting proposals regarding the timing in which verification of ACC approval for animal work is required and to submit complete protocol and/or modification forms for review and approval in a timely manner so as not to delay the awarding of funds.
- B. All new or competitive renewal funding proposals** submitted to the Office of Research Services (ORS) must indicate that ACC approval is "pending" at the time of submission to the funding agency. No approval dates should be listed on the funding application. The only exception to this rule will be for proposals submitted to agencies that require verification of ACC approval at the time **of submission**. See process below for submitting to those agencies.
- C.** If any portion of the proposed work in the funding application involves the use of vertebrate animals including work that will be subcontracted, the investigator must check the box for "Animals" under Special Clearances on the Proposal Approval Form (PAF) submitted to ORS with the funding application. ACC numbers will not be required or requested on this form.
- D.** Following submission of a funding application that involves use of vertebrate animals, principal investigators (PIs) will receive an email acknowledging the submission and reminding the investigator of the additional steps required to ensure that all work proposed in the funding application has been matched to an approved protocol.
- E.** Protocol approval letters will list only those funding proposals that support the protocol following comparison of the funding proposal to the protocol for congruence related to proposed use of animals. While a protocol may contain more work involving the use of animals than is proposed in the funding application, it may not contain less at the time of the initial award unless that work is covered by another approved protocol. Inconsistencies must be clarified prior to listing a funding proposal on an approval letter. **NOTE:** Reconciliation of major inconsistencies between grants and protocols may require that the protocol be re-reviewed by the ACC at a convened meeting and/or that the funding agency be notified of the change prior to the acceptance of the award and could result in a delay in approval or acceptance of an award.
- F.** The Office of Animal Care and Institutional Biosafety (OACIB) will provide verification to ORS when a specific funding proposal has been matched to an approved ACC protocol.
- G.** For all funding agencies that require verification of ACC approvals prior to award, such as the NIH "Just in Time" process, ORS will verify that an approved ACC approval has been matched to the funding application and that the date of approval matches the date provided to the funding agency prior to transmission of "Just in Time" information. Failure to obtain verification will delay transmission of "Just in Time" information.
- H.** For all other awards that involve vertebrate animals, ORS will process the award for account creation after the specific grant application has been matched to a protocol and approved by the OACIB. Failure to obtain verification will delay account creation. The only exceptions to this rule are:
 - 1. For awards whose terms and conditions do not require a specific protocol to be matched, ORS will

process the award for account creation without ACC approval. Please note that regardless of a congruence match, ACC approval is required prior to the initiation of any activities involving vertebrate animals.

2. For awards whose terms and conditions request ACC approval within a specific period of time after an award is made, account set up will be completed on a case-by-case basis, pending review of the requirements and notification of the OACIB.

II. Process of Matching Grants to Protocols

A. New or Competitive Renewal Funding Proposals that DO NOT require ACC approval at the time of funding submission

1. Approved Protocol
 - a. Current protocol covers ALL specific work proposed in funding application: For those investigators that have an approved protocol in which ALL of the specific work proposed with animals (e.g., animal model, procedures, animal numbers, and specific experiments) in the funding application is already approved, the investigator will need to request that the funding proposal be matched to the ACC protocol. This can be done by **submitting a modification on Form D** requesting that the funding application be matched to the approved protocol. The following information must be provided in the modification: 1) PI of the Funding Application, 2) Title of the Funding Application, 3) Funding Agency, 4) Proposal Approval Form (PAF) Number, 5) Funding Application Number (e.g. grant number) assigned by the Funding Agency, *if known*, and 6) Role of the ACC Protocol PI on the funding application, if they are not PI of the funding application.
 - b. Current protocol does not cover the work proposed: For those investigators who have an approved protocol, which can be modified to cover the specific work proposed with animals in the funding application (e.g., animal model, procedures, animal numbers, specific experiments), a modification will need to be submitted requesting the following:
 - i. The modification should request a match of the ACC protocol to the new funding submission and provide the following information: 1) PI of the Funding Application, 2) Title of the Funding Application, 3) Funding Agency, 4) Proposal Approval Form (PAF) Number, 5) Funding Application Number (e.g. grant number) assigned by the Funding Agency, *if known*, and 6) Role of the ACC Protocol PI on the funding application, if they are not PI of the funding application.
 - ii. The modification should request any additional animal models, animal numbers, procedures, etc. that are in the funding proposal and not currently approved in the protocol. *Please be aware if the scope/purpose and/or animal work deviate significantly from the approved protocol, a modification will not be accepted and a new protocol will be required.*
2. No Approved Protocol
 - a. For those investigators who do not have an approved protocol, a complete Protocol for Animal Use with all necessary forms and appendices covering the animal work proposed in the funding application will need to be submitted for review and approval and to match the funding to the protocol.
3. Depending on the funding agency, the time at which verification of ACC approval is required will vary. Some funding agencies do not have long lag times between submission of proposals and request for verification of ACC approval. *It is the investigator's responsibility to submit all required documentation*

for review and approval in a timely manner so as not to delay the awarding of funds. A general “rule of thumb” to follow for NIH grant submissions is that following proposal review, if the investigator is notified that the proposal has received a favorable review, the investigator should submit all required documents to ensure that a protocol(s) (either the original or via modification) covering all aspects of the proposed work with vertebrate animals is approved and matched to the funding proposal prior to “Just in Time” (JIT) requests. The process of ACC review and approval for new protocols takes approximately 60 days to complete and **EXPEDITED REVIEW DOES NOT EXIST**. The process of ACC review and approval for modifications to approved protocols takes between one week to 60 days depending on the level of review required and whether or not additional information is required for final approval. **Note waiting until the JIT request is too late and often the deadline requested by the agency cannot be met.**

4. The above actions will need to be completed **for each funding submission** (e.g., original and A1 versions of NIH grants, each unique PAF #) even if the same grant is submitted to more than one agency or if revisions to the grant are resubmitted to the same agency as each is processed as a separate submission.
5. Certain grants may require approval on multiple protocols (e.g., program projects) or may require approval of animal work that will be subcontracted, as the grantee institution is responsible for ensuring that all animal work is approved. Confirmation of approvals will not be transmitted by UIC to the granting agencies until complete approval has been obtained. In addition to the standard protocol submissions, submission and approval of a Form G protocol may be required.

B. New or Competitive Renewal Funding Proposals that DO require ACC approval at the time of funding submission

1. Approved Protocol
 - a. Current protocol covers ALL specific work proposed in funding application: Follow procedures outlined under Section **IIA1a** above with following exception: List Month in which funding submission is due, rather than PAF.
 - b. Current protocol does not cover the work proposed: Follow procedures outlined under Section **IIA1b** above with the following exception: List Month in which funding submission is due, rather than PAF.
2. No Approved Protocol: Follow procedure outlined under Section **IIA2a** above.
3. A copy of the completed funding proposal must accompany the protocol submission or modification request to OACIB.
4. The PI will need to provide verification of ACC approval to ORS when funding application is submitted.

C. Noncompetitive Renewals

1. Throughout the period of an award, an approved ACC protocol must be maintained which covers work involving vertebrate animals that is proposed in the grant as follows:
 - a. Approval must be continued for any ongoing work and any animals that are being maintained.

- b. Approval must be continued for work that is proposed and still needs to be completed.
- c. Approval must be continued for significant changes in the use of vertebrate animals and depending on terms and conditions of the funding agency, changes must be reported in the progress report or prior to initiation to the funding agency.
- d. Approval does not need to be continued for completed work.