



Home Office

# ASPeL – Project Licence Process

Quick Start Guide for Applicants

Archived

## Before you start

You will need a Word version of your application form before you start. This document will provide guidance on how to ensure it is ready to be copied into ASPeL

Also:

1. Check you have an up to date web browser (see “Browsers” below);
2. Access to the Project Licence application process on ASPeL - you will need to contact your establishment’s Home Office Liaison Contact (HOLC) to request access to ASPeL (see “Account set-up” below);
3. Check you have your **shared Establishment Key** – your HOLC can supply this. It will be required each time you to log on to ASPeL. You must keep it safe and secure;.
4. You will need your module certificate information including certificate numbers and dates (see “Training” section below) and
5. You will need your ASPeL establishment licence number (available from HOLC or ASRU).

## Browsers

You should access ASPeL using up to date versions of web browsers such as Google Chrome, Internet Explorer or Firefox. A key feature of ASPeL is that it uses modern web-technologies which require up-to-date versions of web-browsers. Most functionality on ASPeL will not work using old browsers.

## Account set-up

When an account has been created for you by the HOLC you will be sent an email containing a link to access the system. When you click on the link you will be prompted to reset your password.

When you have successfully reset your password you will be taken to the login page where you will need to re-enter your login details.

## Navigating the system

**Notifications** – where all in-system mail messages are posted regarding the status of your applications;

**Notice Board** – where the Home Office posts messages for all to see and also places links to relevant documents on the Home Office website;

**Tasks** – where you access a new project licence application form;

**Applicant Inbox** – where you access the application you have created e.g. an application in progress, or an application that has been granted/revoked.

## Stub retrieval

After 14 days of inactivity an application form is archived for security purposes. However, it can be called back at any time. This will happen automatically when you try to open the application and you select the ‘Request Form Retrieval’ button. Retrieval can take a few minutes and you will receive a notification when it has been retrieved and can be viewed.

## Starting a new application

To start a new application click on the 'Application for a project licence' under the 'Tasks' heading.

## Continuing a previously started application

Once you have saved your application for the first time you will be able to access it under the 'Applicant Inbox'. **Do not click on 'Application for a project licence' if you have already started and saved an application.**

## Licence amendments

**Do not start a new application form unless you are applying for an amendment to a paper licence which is not on ASPeL.** When your licence has been granted your application form will be returned to you and can be accessed on your dashboard in the 'Application Inbox'. The form can be amended and then submitted through the draft submission process or formal submission to the establishment licence holder/named person responsible for compliance.

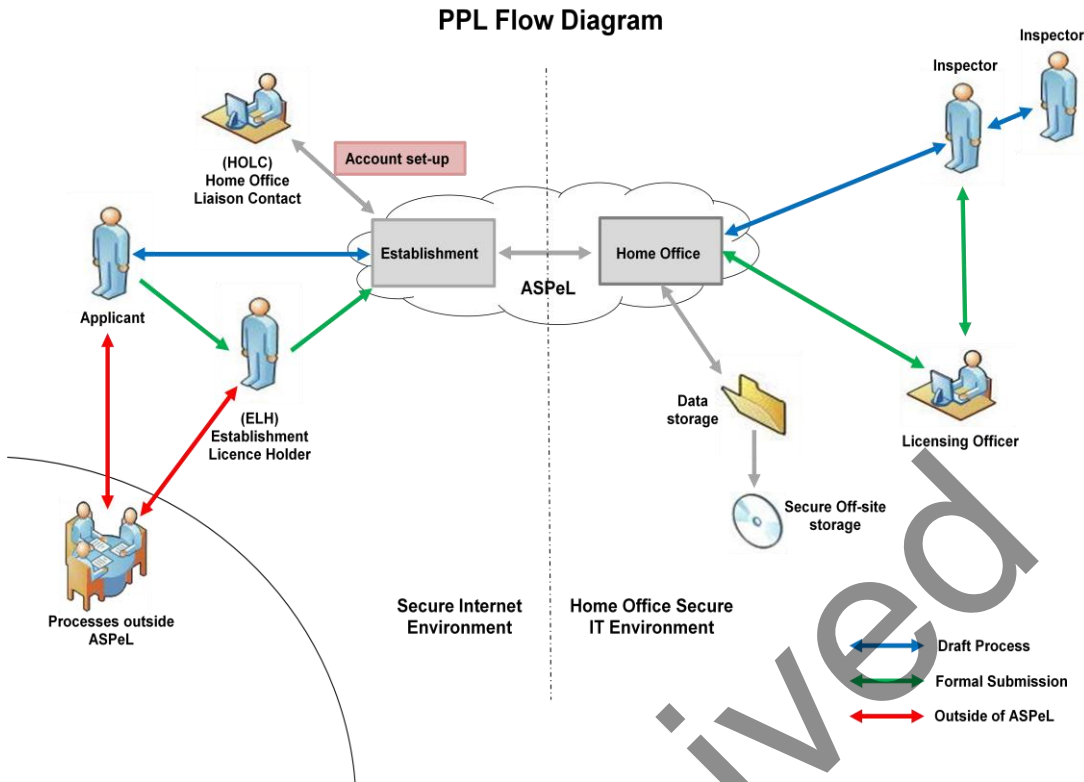
If your application is formally submitted and requires further revision it will be returned to draft process.

See page 12 for notes on applying on ASPeL for an amendment to a paper licence.

Change of Project Licence Holder – The new project licence applicant will need to apply for a amendment using their own ASPeL account. They are advised to copy all details into a new ASPeL template from the previously granted application form, which the HOLC can export into Word. The old licence will need to be revoked when the new one is granted.

## Project Licence application

The diagram below shows the project licence process on ASPeL.



**Important:** Your Home Office Inspector can only provide you with advice on your application in ASPeL when it is in the draft submission process. All applications must start in the draft process by selecting 'draft submit' when you are ready to submit your application. If your application is formally submitted and requires further revision before it is complete and correct it will be returned to draft process.

## Navigating the application form

- There are short-cut links to each section of the application form.
- Some fields in the application have the editing and formatting tool - CK Editor. This allows use of track changes/comments during the draft iteration process, giving you access to basic formatting e.g. bold, underline and tables. CK Editor will start tracking changes and show them in **GREEN** from the first time you have used the 'save' button.

Example of a CK Editor box:



**Note: if this section is greyed out and you are not able to put anything in it or select any buttons refresh the screen (F5 or the round arrow on the toolbar).**

Example of a plain text box:

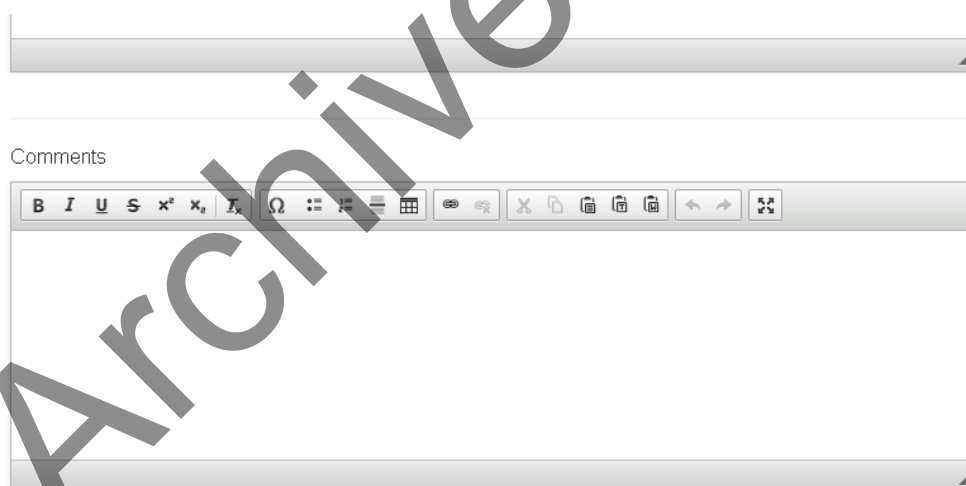
Enter other places

All boxes can be expanded by putting your cursor on the bottom right corner and dragging down.

## Using the comments box

The comments box is at the end of the application form and should be used to pass comments between the applicant and the inspector and to comment on sections of the form that do not have the CK Editor formatting tool e.g. project title. When your draft application has been returned to you from the inspector please go to this box to see the overall comments before you look at the detailed comments in each section.

- ▶ A. Project Licence Holder
  - Module Training
- ▶ B. Place(s)
- ▶ C. Scientific Background
  - Background
  - Benefits
  - References
- ▶ D. Programme of Work
  - Purpose
  - Aims and Objectives
  - Project Plan
  - The 3Rs
- ▶ E. Protocols
- ▶ F. Declarations
- ▶ G. Non-Technical Summary
- ▶ Comments
- ▶ Attachments



The screenshot shows a web application interface. On the left is a navigation menu with expandable sections (A-G) and 'Comments' and 'Attachments'. The main content area is partially obscured by a large 'Archived' watermark. A 'Comments' box is visible, containing a CK Editor toolbar with icons for bold, italic, underline, strikethrough, text color, background color, link, unlink, insert table, insert image, insert video, undo, redo, and refresh. Below the toolbar is a large text area for entering comments.

## Completing the form

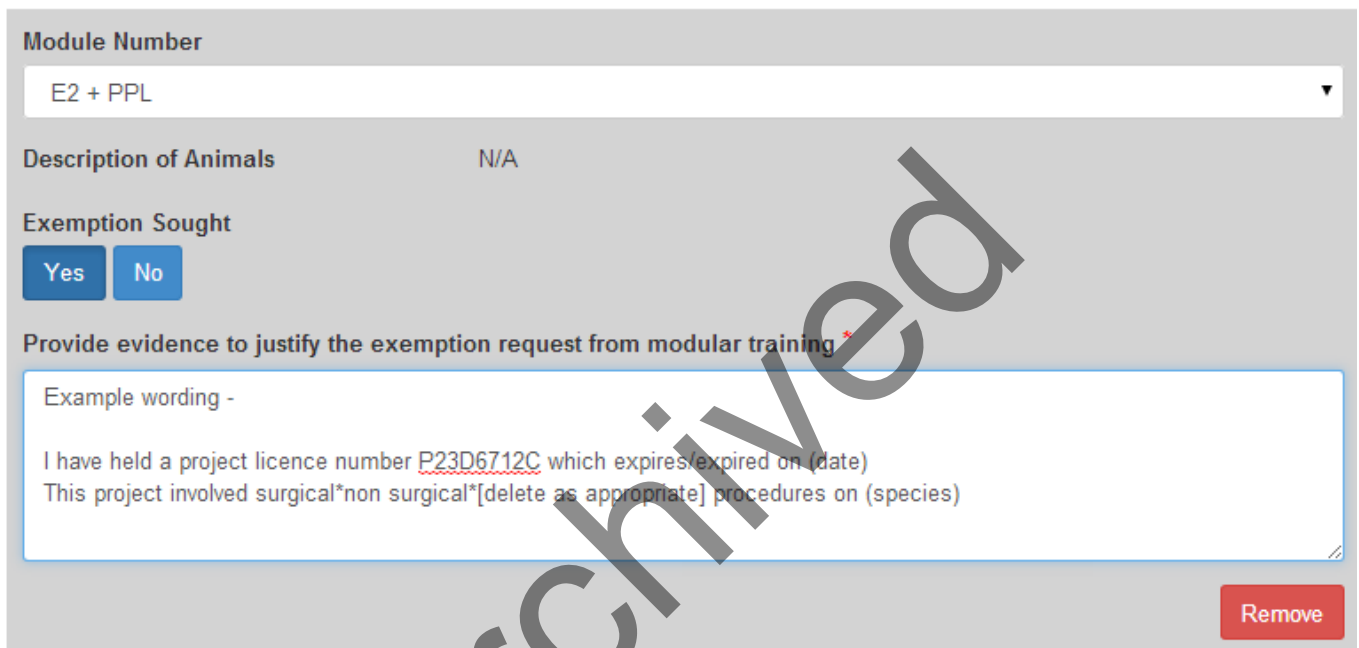
### Application Type

- **New** – For all new applications, if your licence has come to the end of its 5 years then you are starting a 'New' application
- **Amendment** – Applications that have been granted on ASPeL which you are now submitting an amendment or where you have a paper licence which now requires amendment and you are submitting this on ASPeL. If you are converting a paper licence to ASPeL without any changes please still select this type (all conversions must have been agreed in advance with your Home Office inspector).

## Module Training

You will need to complete a template for all mandatory modules for project licence applicants. If you select a module cluster e.g. E2 + PPL you will also need to complete separate templates for all other mandatory modules. You can find the mandatory modules in Figure 4 of the Guidance on the Operation of the Act. You must discuss requirements and exemptions with your Named Training and Competence Officer (NTCO).

If you have held a project licence involving the same species and type of work within the previous 5 years then you may be able to claim exemption on the grounds of recent equivalent project licence authority. You can complete a single module training template specifying the following:



The screenshot shows a form with the following fields and controls:

- Module Number:** A dropdown menu with "E2 + PPL" selected.
- Description of Animals:** A text field containing "N/A".
- Exemption Sought:** Two buttons, "Yes" and "No", with "Yes" selected.
- Provide evidence to justify the exemption request from modular training:** A text area containing the following text:  
Example wording -  
I have held a project licence number P23D6712C which expires/expired on (date)  
This project involved surgical\*non surgical\*[delete as appropriate] procedures on (species)
- Remove:** A red button in the bottom right corner.

If you hold/have held a personal licence within the previous five years giving authority to use animals of relevant species for procedures in relevant Categories you may apply for an exemption from some accredited module training based on 'Equivalent personal licence authority'

To avoid having to complete a separate template for every exemption request please complete a template for PILA (theory) (species specific) and write details in the justification box (see example wording below):

**Module Number**

PILA (theory) (species specific) ▼

**Description of Animals \***

To select multiple items, hold down CTRL key and click on each item you want to select.

- Cattle
- Cephalopods
- Deer
- Dogs
- Ferrets
- Fish - Zebra Fish
- Fish - all other fish (please specify)
- Gerbils
- Goats
- Goats, sheep
- Guinea-pigs
- Hamsters
- Horses
- Mice
- Non-human primates - new world (e.g. marmosets)
- Non-human primates - old world (e.g. macaques)
- Pigs
- Rabbits
- Rats
- Reptiles
- Seals
- Sheep
- Other species (please specify)

**Exemption Sought**

**Provide evidence to justify the exemption request from modular training \***

Example text

I have held/hold a personal licence for categories A/B/C\* for the species I have identified in the list above.  
My personal licence number is 1123569D3/my personal licence 1123569D3 was revoked on (date)\*

\*delete as applicable

## Primary availability

Please enter both your current establishment number in this section (e.g. 80/1234) and also your new ASPeL number (e.g. X1234ABCD) even if your establishment licence has not been converted to an ASPeL e-licence yet. This will ensure that when your establishment licence is converted, your project licence will not need to be submitted for amendment.

## Additional availabilities

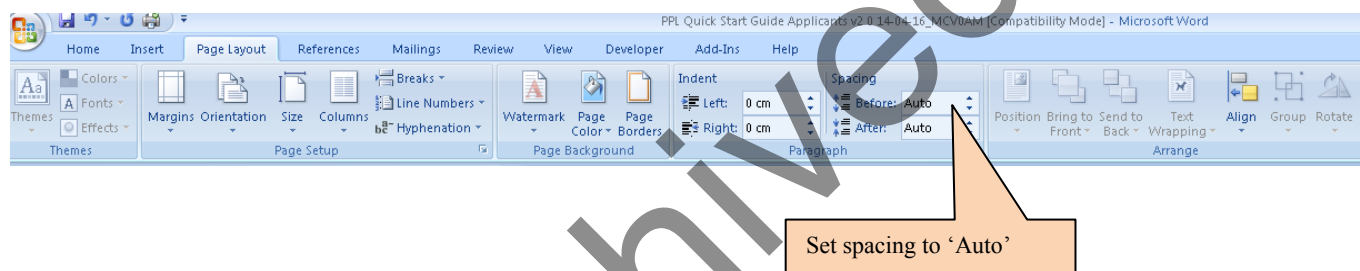
The 'Additional Availability Template' (located on the Home Office website) should be used for all additional availability requests. It must be completed by the Named Person Responsible for Compliance (NPRC) or Establishment Licence Holder (or their delegate) for the additional establishment. It must be retained at the primary availability establishment and made available on request. There is a declaration for the primary availability establishment licence holder/NPRC to select on ASPeL to confirm that they have carried this out.

## Formatting text in Word before copying into CK Editor boxes

**Important – the following instructions must be followed to ensure successful copying into ASPeL:**

### Line spacing

- ❖ All text in Word should have been prepared using 'Auto' line spacing



- ❖ If you have not used 'Auto' line spacing you must remove blank line spaces in the Word PPL form before copying over or else they appear in ASPeL as 2 spaces and can be difficult to delete.

### Bullets and numbering

- ❖ Standard bullets will copy over successfully to ASPeL – do not use any non-standard bullets such as hyphens, symbols etc or you may lose text.
- ❖ Basic lists with numbering should copy over successfully if there are no line spaces or added words to break up the list or sub-bullets.
- ❖ Replace auto-numbering with plain text numbering where you want to insert a more complex list such as the one below:

- |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ol style="list-style-type: none"><li>1. Generation or re-derivation of genetically altered embryos by:<ol style="list-style-type: none"><li>a. In vitro manipulation and/or fertilisation, transfer to recipient females and intrauterine development;</li></ol></li></ol> <p>OR</p> <ol style="list-style-type: none"><li>2. (Optional) Tissue sampling for genetic analysis by one of the following:<ol style="list-style-type: none"><li>a. Ear biopsy (AA)</li><li>b. Tail tip biopsy (AB)</li><li>c. Blood sampling from a superficial blood vessel (AA/AB)</li></ol></li></ol> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|



- d. Rarely due to a technical problem in analysis, a second sample may be taken.
3. (Optional at any stage on more than one occasion) Non-invasive imaging including the following regulated procedures:
- a. Administration of substances (such as labelling or contrast agents) by injection subcutaneously, intraperitoneally, intravenously (including via cannula) or intradermally (AA/AB/AC).
  - b. Physical restraint in a jig (AB/AC).
  - c. Withdrawal of blood from superficial blood vessels (AB/AC).

- ❖ You may need to switch off auto-numbering if creating a list with plain text numbering or Word will keep trying to input numbers automatically.

### Tables, pictures, flow-diagrams etc

- ❖ Other than basic tables all other non-text content should be added as an attachment and not put in form. These should be referenced in the relevant field on the form.

### Protocol section

You will need to add details of one species at a time. If the species of animal is not in the drop down list, or is not specified in adequate detail (e.g. 'birds' rather than 'starlings' or 'amphibia' rather than 'Xenopus laevis'), please use the option 'Other species (please specify)'.

Protocol number: \*

1

Title: \*

Models of Cardiovascular Disease

Severity category: \*

Moderate

Species of animal: \*

Mice

Are some of these animals genetically altered:

Yes  No

Estimated numbers over the duration of the project: \*

500

Life stage of the animals: \*

Adult

Add Species

**Important:** After entering the details you must click on 'Add Species'. This will need to be done each time you add a species.

If you need to make changes to any field within the species section that have already been saved, you will need to complete a new species section again, save and then remove the incorrect version.

Species	Estimated Numbers	GA?	Life Stage	
Mice	1000	No	Adult	<a href="#">Remove</a>
Rats	500	No	Adult	<a href="#">Remove</a>

When you have finished you must select **'Save Protocol'**. This will need to be done each time you add a protocol.

Describe the likely adverse effect(s) and the expected incidence in the different animals used

- Explain how animals will be monitored for the onset or development of adverse effects
- Set out the refinement measures and other controls you will adopt to prevent adverse effects from occurring or to minimise their severity
- In all cases specify practicable and realistic humane end-points

Do not list uncommon or unlikely adverse effects or effects from procedures that cause no more than transient discomfort and no lasting harm, for example intravenous injection of an innocuous substance of small volume.

Enter adverse effects:

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[Save Protocol](#)

You must 'Add species' before you 'Save Protocol'

## Attachments

- All complicated tables, diagrams, appendices etc should be added as attachments (if they are to form part of the licence) or as supporting documents (if they are just for information).
- Naming conventions include name, version number and date e.g. Appendix 1 150921v1.
- Up until submitting a formal application you should attach **ALL** documents as 'Supporting Documents' and draw the inspector's attention to them in the comments box. When

submitting the formal application, attach the final versions that need to form part of the licence as 'Attachments'.

- Attachments uploaded in error – contact the ASPeL Help Desk to request deletion (contact details below).

## After completing your application

### Word export/AWERB review

You can download a copy of the application at any time, for example to send to AWERB members for advice (Select 'Save and Export' at the bottom of the screen). **Important:** Ensure you have saved your protocol before selecting 'Save or 'Save and Export. Failure to follow these steps will result in losing information entered into the protocol section.

You are advised to export and save versions each time you submit it to the inspector or submit it to the Establishment Licence Holder. This will facilitate comparing versions using the 'Compare' facility on Word to identify any changes/comments made by the inspector.

### Draft submission

When the draft is complete ensure all track changes have been accepted so there is no green highlighting showing in your first submission. The form can then be submitted directly to the inspector for review.

You will receive a notification when it has been returned to you from the inspector. You should pick it up from the 'Applicant Inbox'.

1. Go to the comments box at the bottom of the form to view any general comments and any action required;
2. Go through every CK Editor box to see if there are any amendments or comments from the inspector – these should be shaded pink;
3. Open each protocol in turn and when finished making amendments click 'Save protocol' before moving on to the next one and before saving the whole form;
4. Save the form as you go along;
5. Use the comments box to make any general comments to the inspector. All other changes should be made in the relevant boxes;
6. All comments from the inspector should be identifiable by being in brackets with the inspector's initials and
7. Leave all track changes for all subsequent draft submissions

### Formal submission

When the application has been agreed with your local AWERB and with the inspector, **ensure you have accepted all changes in the form and have removed all comments. If you have not done this your application will be returned to you for re-submission.** You should then submit to the establishment licence holder/named person responsible for compliance.

If your application is returned to you for revision by your establishment licence holder/named person responsible for compliance you will received a notification to login to ASPeL. Their comments can be viewed at the top of the application form. These comments will remain on the form until the formal application has been submitted to the Home Office.

## Receiving your licence

If your application for a licence is granted, a pdf of the licence will be sent to the central contact point at your establishment. You must not start work until you have received and checked the licence thoroughly.

### **Amendments to paper licences will normally be dealt with on paper as before.**

**Exceptionally, if you or your Home Office Inspector see a benefit in converting the paper licence onto ASPEL you can agree this with the Inspector on a case by case basis**

### Once this has been aged follow the steps below:

- In the drop down field 'Application Type' select 'Amendment'
- Copy the details of your existing licence into ASPEL. You will need to copy figures and appendices as separate documents and upload as Supporting Documents. Do not upload as an 'Attachment' at this stage. Accept all track changes and then select 'Draft Submit to Inspector'
- Immediately notify the licensing team that this has been done by sending an email to [aspa.london@homeoffice.gsi.gov.uk](mailto:aspa.london@homeoffice.gsi.gov.uk). In the subject heading type 'ASPEL PPL application to check'. Please include your name and project licence application number e.g. Jo Smith P34D10H91

The licensing team will check that your application matches your current paper licence then return the application to you. When you receive the application back from the licensing team and they have confirmed it is correct:

- Add in the new text for your amendment request leaving the tracked changes in the application so that the inspector can see what the new changes are. Complete the comments box with details of:
  - the expiry date of your current licence,
  - the requested changes and which sections of the application have been changed
  - the justification for the requested changes.
- Then select 'Draft Submit to Inspector'.
- The Inspector will review the changes and provide you with advice as to any further changes that are needed or, if it is ready for formal submission, they will return the application to you asking you to accept all changes, to upload any final versions of figures and appendices that need to form part of the licence to 'Attachments' and submit formally as an amendment through your establishment licence holder.

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## Troubleshooting and hints & tips

### Passwords

**Note:** Your password link can only be used once to set up your account; once your account has been created, you should log in by typing in the url address:

<https://www.aspel.homeoffice.gov.uk/user/login>

**Note:** There is a 3-day time limit for changing passwords. If you don't do this the link will expire and you will need to contact your Home Office Liaison Contact to request a password reset.

### Completing your application form

#### General

- Save as you go along to minimise risk of losing work
- Accept all changes on first draft submission
- When copying over accept all changes before making corrections
- Save your form before attaching any documents
- Go through each box to tidy up formatting after copying and pasting
- When deleting text **do not leave strike through in the application** – accept change
- Avoid bold headings in a text box – use italics or underlining to produce a clearer final pdf
- When copying text in from Macs some of your symbols may be altered please check these carefully, you are advised to select symbols from the CK Editor where available.
- All flowcharts, diagrams to go in an attachment – we recommend 1 attachment with each diagram/flowchart on a separate page with clear headings to include the version details
- When submitting an amendment for a licence that has been granted on ASPeL – change the application type to 'Amendment'
- 'Before submitting to the inspector or as a final submission review your application to check that all sections have saved correctly.

#### Protocols

- ❖ Always click 'add species' after adding a species
- ❖ Always click 'save protocol' after entering any protocol details
- ❖ Before you submit a formal application open each protocol to check all track changes/comments have been accepted by selecting 'Edit'. If you make any changes remember to 'Save Protocol' and 'Save' the form.

### ASPeL Help Desk

The ASPeL help desk will be open from 9:00am – 17:00pm Monday to Friday.

Email: [ASPELQueries@homeoffice.gsi.gov.uk](mailto:ASPELQueries@homeoffice.gsi.gov.uk)

Phone: 020 7035 4469