



Home Office

# ASPeL User Guidance

## External

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# Section 1 ASPeL

## 1.1 Purpose of Guidance

This document sets out operational guidance for Animals Scientific Procedures e-Licensing (ASPeL).

Access to ASPeL is strictly limited to those in the role of Named Training and Competence Officer, Home Office Liaison Contact and Establishment Licence Holder and their delegates and to licence applicants/holders.

## 1.2 Scope

This guidance is to give you an overview of e-licensing processes. It does not include the project licence application process as this has been delayed pending further development work.

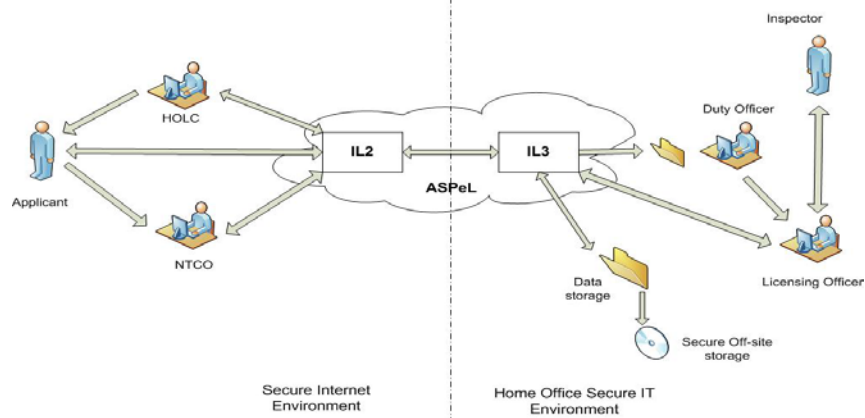
This document does not provide guidance on the Animals (Scientific Procedures) Act (ASPA). Reference should be made to: <https://www.gov.uk/research-and-testing-using-animals>

## 1.3 Why ASPeL?

ASPeL serves to replace the paper licensing system administered by ASRU as the regulator. ASPeL will allow you to submit licence applications electronically and receive your licences electronically in encrypted format.

# ASPeL

PIL Flow Diagram



## 1.4 Using ASPeL

### 1.4.1 Access to ASPeL

The url address for ASPeL is: <https://www.aspel.homeoffice.gov.uk/user/login>

Timed log out is set at 20 minutes of inactivity.

ASPeL will operate on all main browsers. The most efficient access to ASPeL can be obtained using Google Chrome. Operating systems and browsers are given as below.

Operating System	Browsers
Windows 7	<ul style="list-style-type: none"><li>• Firefox version 16.0</li><li>• IE8</li><li>• IE9</li><li>• Chrome agreed latest version at development start</li></ul>
Mac OSX	<ul style="list-style-type: none"><li>• Safari 6.0 only available on Mac at this time.</li></ul>

### 1.4.2 Account Creation for Establishment Role Holders

ASPeL accounts for all Establishment Licence Holders, Named Training and Competence Officers and Home Office Liaison Contacts will be created by Home Office staff using the information supplied by your establishment.

When an account has been created by the Home Office each individual will be sent an email containing a link to access the system. They will be prompted to change their password.

**Note:** There is a 3 day time limit for changing passwords. If the action has not been carried out in the allocated time the link will expire and the individual will need to contact their Home Office Liaison Contact to request a password reset. If the Home Office Liaison Contact is affected then they will need to contact the ASPeL help desk (see section 1.4.10).

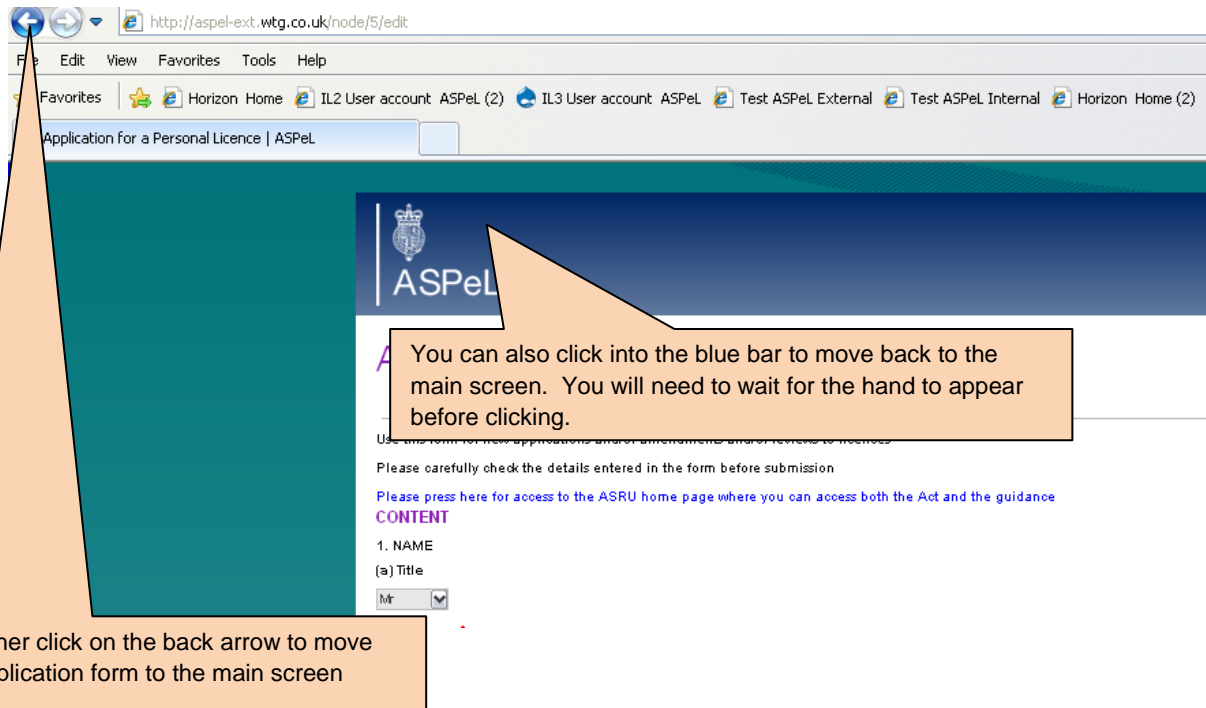
**Note:** This link should only be used once to set up your account; once the account has been created this link will not work and further access must be via typing in the link <https://www.aspel.homeoffice.gov.uk/user/login> .

The **shared establishment key** (supplied by the Home Office) will be required each time you to log on to ASPeL.

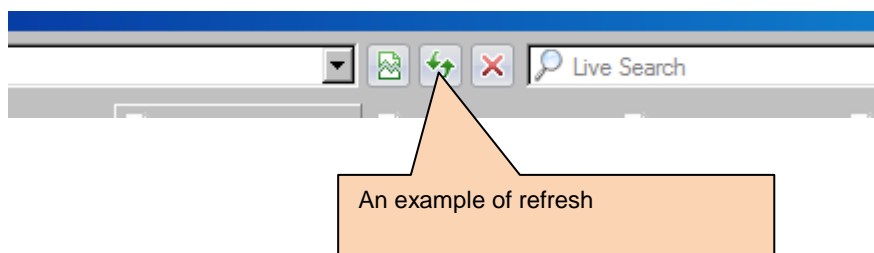
**Important:** The establishment key will also be required to open all encrypted licences. All users must ensure that this information is kept securely. If a replacement key has to be issued, any licences issued following the change in key will require the new key whilst all other licences will require the old key. This will make your administration complicated.

If the role holders change you must contact the ASPeL help desk for advice.

## 1.4.3 Navigating between Screens



You will need to refresh the screen from time to time to view the latest information.



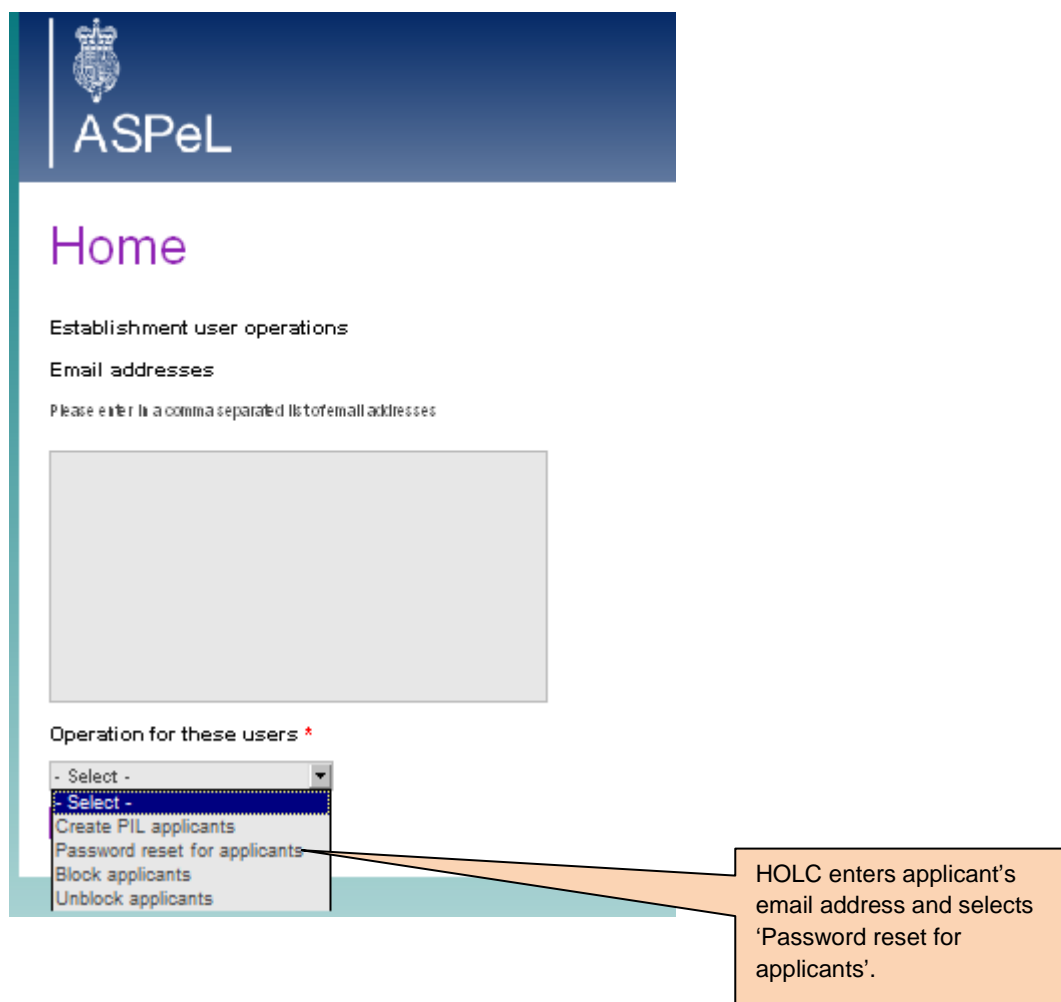
## 1.4.4 Password Resets

**Important:** After five unsuccessful attempts at log in you will be locked out of ASPeL for six hours. Therefore, if you have four failed attempts at entering your password you should contact your HOLC who will carry out a password reset and this will avoid you being locked out of the system.

**Home Office Liaison Contacts:** To carry out a password re-set:

- Under 'Tasks' select 'Manage Users',
- type in the email address and select 'Password reset for applicants'; then
- 'submit'.

**Note:** The HOLC can re-set passwords for all users. If there is only one HOLC and they need a password re-set for their own account, please contact the ASPeL help desk (section 1.4.10).



The applicant will then receive an email with a link to change their password. The user name and shared key will remain as before.

## 1.4.5 Changing Email Addresses

Your email address is used to set up and run your account on ASPeL. If you change your email address you will need to notify the ASPeL help desk who will arrange for your account to be updated.

## 1.4.6 Dashboard

The dashboard is the main screen you will see when you have logged onto ASPeL, it is made up of four areas which differ slightly depending on your role;

### **Home Office Liaison Contact**

**Notifications** – where all in system mail messages are posted regarding the status of licence 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

**Task** – where the HOLC can create and manage password re-sets and block access to existing accounts

**All establishment applications** – all applications can be viewed.

Note: After 14 days of inactivity the application form becomes a stub which can be retrieved at any time (see section 1.4.9)

### **Named Training and Competence Officer**

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

**TCO Tasks** – where all personal licence applications waiting to be assessed/endorsed will be opened and progressed

**All establishment applications** – where all applications can be viewed

### **Establishment Licence Holder**

**Notifications** – where all in system mail messages are posted regarding the status of licence 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

**Dashboard** - where all project licence applications waiting to be assessed/endorsed will be opened and progressed

**All establishment applications** – where all applications can be viewed

## 1.4.7 Search Facility

A search facility is available on the dashboard for the Named Training and Competence Officers, Establishment Licence Holders and the Home Office Liaison Contacts. Entering the personal licence number and clicking on search takes you into the application record.

### Tasks

[Manage Users](#)

### All Establishment Applications

Licence number

Licence Number	Application Step	Type	Last status change ▾	Licence status
ID75835AF	Editable by applicant	Procedures Individual Licence Application	16/04/2014 - 10:46	Active
IFF22CDB4	Editable by applicant	Procedures Individual Licence Application	16/04/2014 - 10:40	Active
I6ADF6B3D	Awaiting approval with TCO	Procedures Individual Licence Application	16/04/2014 - 09:57	-

## 1.4.8 Email Notifications

There are three types of email message sent out from ASPeL, examples below;

### 1. When an account has been created for you.

You have been sent this email as you have been added as a PIL Applicant to the ASPeL system. The system can be accessed using the link provided below. If you experience problems with this link please try again after an hour. The link will expire after 3 days.

Link to the ASPeL system: : <https://www.aspel.homeoffice.gov.uk/user/login>

Username: VYyMvydKaq

Regards,

ASRU Licensing Team

### 2. To notify you that there is reason to login to ASPeL as there is an in system message for you to read or, for establishment licence holders and Named Training and Competence Officers, there is an application waiting to be endorsed.

Dear ASPeL user,

This email is to inform you that you have received a new notification message from the Home Office, Animals in Science Regulation Unit (ASRU). Please log in to the ASPeL system to view the details of this message.

Regards,

Licensing Team

Animals in Science Regulation Unit

### 3. When a licence has been granted, an encrypted licence will be attached to an e-mail and sent to the establishment's nominated account only.

I am pleased to inform you that an application for a personal licence at your establishment has been granted. The encrypted licence is attached and I would be grateful if you would now pass it to the licence holder who should be asked to check the licence thoroughly before commencing work.

Regards

ASRU Licensing Team

## 1.4.9 Application Form Stub Retrieval

After 14 days of inactivity an application form is archived for security purposes. However, it can be called back at any time as illustrated below.

Process is:

1. Login
2. Dashboard view is no different in how items are displayed
3. User clicks to view an application
4. They are then presented with the screen to request retrieval below
5. User requests retrieval
6. User is returned to the dashboard.
7. System then retrieves the application (there will be a slight delay in this as it has to request and pull back the data)
8. User re-opens the application. It is either displayed or the user is informed that retrieval is in progress for that record.



## 1.4.10 Accessing I.T. Support

The ASPeL help desk will be open from 9:30am – 16:30pm Monday to Friday. Note: Because applicants have 3 days to activate their accounts, Home Office Liaison Contacts may wish to check the availability of the applicant before creating an account for them.

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

Phone: 020 7035 4469

## Section 2 Establishment Licences

### 2.1 Establishment Licence Registration & Issuing of Licences

Applications for establishment licences should be submitted in paper form to ASRU. Forms are available from the GOV.UK website.

<https://www.gov.uk/research-and-testing-using-animals>

The ASRU licensing team will then register all details on ASPeL. If the application is successful the licence will be granted and the encrypted licence will be sent out to the email address supplied by the establishment.

### 2.2 Establishment Licence Amendments

Any request for amendment to establishment licences should continue to be submitted in paper form using the forms available on the Research and testing using animals page of the GOV.UK website.

<https://www.gov.uk/research-and-testing-using-animals>

The ASRU team will then enter any necessary changes in ASPeL and a replacement electronic licence will be sent out to the email account supplied by the establishment. Complete paper licences will continue to be sent out, until full rollout of ASPeL for establishment licences has been completed.

## Section 3 Personal Licences

### 3.1 Account Creation for Personal Licence Applicants

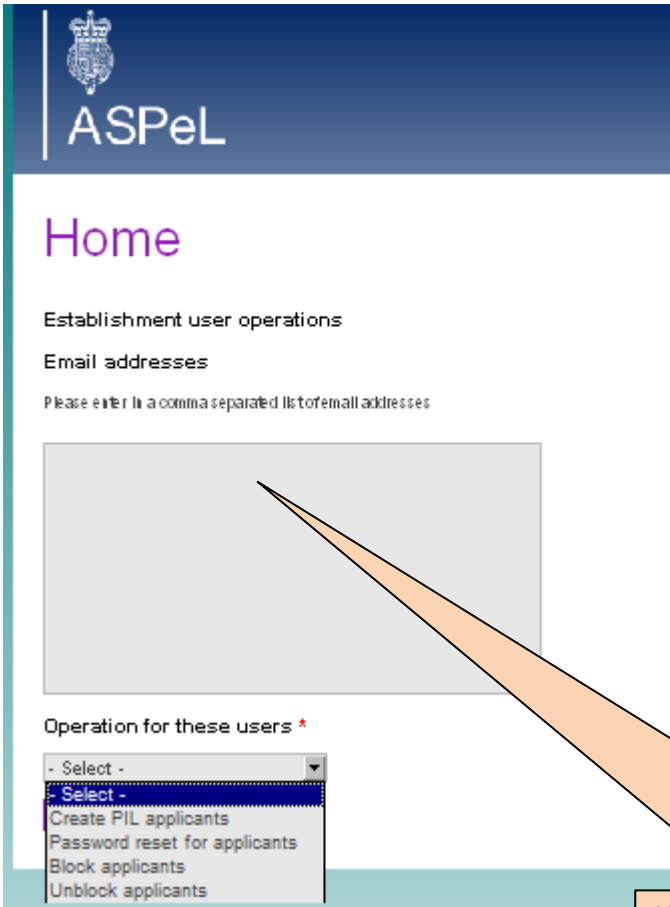
#### 3.1.1 HOLC Actions

The screenshot shows a web application interface. On the left is a vertical navigation bar with the text 'L I L 2 - I M P A C T L E V E L T W O'. The main content area is titled 'Tasks' and 'Manage Users'. Below this is a section for 'All Establishment Applications' with a search bar. A table lists applications with columns: Licence Number, Application Step, Type, Last status change, and Licence status. An orange callout box with a pointer to the 'Manage Users' link contains the text: 'HOLC logs on and clicks on link to Manage Users'.

Licence Number	Application Step	Type	Last status change	Licence status
I2C409435	Awaiting initial assessment with Licensing Officer	Procedures Individual Licence Application	23/04/2014 - 10:09	-
I97DFAE98	Awaiting initial assessment with Licensing Officer	Procedures Individual Licence Application	23/04/2014 - 09:02	-
I429E91C1	Editable by applicant	Procedures Individual Licence Application	17/04/2014 - 10:01	Active
I9F3F8FC0	Editable by applicant	Procedures Individual Licence Application	16/04/2014 - 10:12	-
I638DF4B4	Awaiting assessment with Inspector	Procedures Individual Licence Application	14/04/2014 - 14:03	-
ID633DDC7	Editable by applicant	Procedures Individual Licence Application	11/04/2014 - 14:45	Revoked
IA5E8C25D	Granted	Procedures Individual Licence Application	11/04/2014 - 10:55	-
I2189ED9E	Editable by applicant	Procedures Individual Licence Application	11/04/2014 - 10:52	-
IE1C20964	Editable by applicant	Procedures Individual Licence Application	11/04/2014 - 10:50	-
IE63C0C54	Editable by applicant	Procedures Individual Licence Application	11/04/2014 - 10:47	-

1 2 next last »

The following screen is then presented



The screenshot shows the ASPeL Home page. At the top is the ASPeL logo. Below it, the 'Home' heading is in purple. Under 'Establishment user operations', the 'Email addresses' section is active. It prompts the user to 'Please enter in a comma separated list of email addresses'. A large grey rectangular input field is present. Below this, under 'Operation for these users \*', there is a dropdown menu. The dropdown is open, showing options: '- Select -', '- Select -', 'Create PIL applicants', 'Password reset for applicants', 'Block applicants', and 'Unblock applicants'. A large orange arrow originates from a text box on the right and points to the 'Create PIL applicants' option.

HOLC enters applicant's email address and selects 'Create PIL applicants' from the drop down box.  
Note: You can enter multiple email addresses, typically up to 50 at once, using a comma separation e.g. [john.smith@university](#),[brian.jones@university](#),  
When you are ready, select submit.

Before you create an account you should check that the PIL applicant is aware of the need to log on within 3 days and that it is practical for them to do so.

If an account has been created for a PIL applicant in error or the wrong email address has been entered the HOLC should contact the ASPeL help desk (section 1.4.10);

[\\Poise.HomeOffice.Local\data\TER\Users\GODSONB\OutlookSecureTemp\Draft ASPeL User Guidance 140428 v1.1 HW comms.docx](#)

### 3.1.2 PIL Applicant Actions

When an account has been created by the HOLC, you will be sent an email (example below):

You have been sent this email as you have been added as a PIL Applicant to the ASPeL system. The system can be accessed using the link provided below. If you experience problems with this link please try again after an hour. The link will expire after 3 days.  
Link to the ASPeL system: <https://www.aspel.homeoffice.gov.uk/user/login>

Username: VYyMvydKaq

Regards,  
ASRU Licensing Team

The email contains your user name and a link to access the system where you will be prompted to change your password.

You should copy the user name from the email and store it safely as this information will be required when you have opened the link, and each time you log into ASPeL.

**Note:** Your user name is generated by ASPeL. The establishment key (supplied by the Home Office and available from your HOLC) will also be required to log on to ASPeL.

When the link has been selected a screen will then appear entitled 'Reset Password'. You must click on the login prompt.

You will then be presented with a screen to change your password.

**Tips for increasing the strength of password:** use a full stop in the middle; use an upper case letter plus a number.

Once this has been done you will have access to the personal licence application form.

**Important:** The one time log in link sent to a PIL applicant to set up their account can only be used once. Once the account has been set up all further access must be via <https://www.aspel.homeoffice.gov.uk/user/login>.

## 3.2 Completing a Personal Licence Application Form

### 3.2.1 PIL Application - General

- **New applications:** complete the application form in full
- **Current personal licensees converting to an 'ASPeL' licence:** you should also complete the application form in full in order to receive your 'ASPeL' personal licence
- **Current 'ASPeL' personal licensees applying for an amendment:** if you already have an 'ASPeL' licence you can retrieve and amend your electronic application. If you are applying to amend a paper licence you will need to complete the application form in full.
- All mandatory fields on the application form are marked with an asterisk \*
- **Please read instructions carefully. Incorrectly completed applications will be rejected.**

#### 3.2.1.1 Access to the personal licence application form

Your ASPeL account must first be created by your establishment's Home Office Liaison Contact (see guidance on account creation, Section 3.1.1). Once your account has been created and you have changed your password you will be presented with the screen below. Enter your user name, password and establishment key. Your user name will be the one supplied in your initial e-mail (see Section 3.1.2). The establishment key will be supplied to you by your Home Office Liaison Contact.



## User account

**Username \***

Enter your ASPeL username.

**Password \***

Enter the password that accompanies your username.

**Shared Key**

LOG IN

Once your details have been entered you will presented with the screen below.



## Dashboard

### Notifications

You have no notifications.

### Notice Board

There are no notices to display.

### Tasks

[Application for a Personal Licence](#)

Click on link to open application form

### Applicant Inbox

Your application inbox is empty.

**Note:** If Ctrl + R are selected in error the page will reload resulting in the form being cleared down.

### 3.2.1.2 Types of application

#### For all applicants:

The first field you need to complete is 'Application Type'

**Application Type:** There are three types as below:

- **New:** For applicants who do not currently hold a personal licence.
  - Applicants who have never held a personal licence should follow instructions at section 3.2.2.
  - Applicants who have held a personal licence previously should follow instructions at section 3.2.2
  
- **Amendment:** Where you require changes to your licence (with the exception of simply converting from a paper licence to an ASPeL licence – i.e. conversion).
  - Applicants with a paper licence which requires changes (amendment) should follow instructions at section 3.2.3.
  - Applicants applying to amend an electronic (ASPeL) licence should follow instructions at section 3.2.4.
  
- **Conversion:** You have an existing paper licence, either old style or new, and do not require changes to the current authority.
  - **Note:** the conversion exercise is being carried out in a staged manner, agreed in advance with each establishment. Do not convert licences until you have arranged this with ASRU.
  - Applicants for conversion should follow instructions at section 3.2.5.

Separate Instructions are also provided for applications for personal licences to work only under a training and education licence (eg for microvascular surgery training courses) where theoretical training is provided as part of the course and exemption from formal module training is sought. See Instructions at section 3.2.6 for such **Category E only** personal licences.

## 3.2.2 PIL Application – New

**Use these instructions if you do not currently hold a personal licence.**

**Note:** These instructions also apply if you have held a personal licence previously.

Select the appropriate application type from the drop down menu – ‘New’.

### Section 1.

- Insert your Name (title, surname and forename) in full.
- The first letter of each of these should be in upper case e.g. Mr Roger Smith.
- Ensure your name has been spelt correctly. The name on your licence will be exactly as you have typed it.

### Section 2.

- Enter your date of birth (dd/mm/yyyy).
- To become a personal licensee you must be at least 18 years of age.
- We also need this information so that we can correctly identify you.

### Section 3.

- Enter any previous names you may have given us. This is so that we can link the application with any previous licence records.

### Section 4.

- If you have never held a personal licence
  - Answer ‘no’ to Section 4 (a)
  - The year of revocation box should be left blank.
- If you have previously held a personal licence
  - Answer ‘yes’ to Section 4. (a)
  - Provide the licence number if you know it
  - The year given in Section 4. (b) (ii) should be the year of revocation of your most recent personal licence.

### Section 5.

- Please give a telephone number so that we can contact you if we have any queries about your personal licence at any time.

### Section 6.

- You will have completed some training before applying for your licence.
- Refer to Section 3.3.1 and Annex 1 for information on formal training requirements.
- This section should include details of all relevant certificates of successful completion of modules 1, 2, 3, and 4. To support your application, these will need to be **dated within the previous 5 years**. Do not include details of any older certificates. We will not recognise these as evidence of qualifications.

- Do not include details of a module 5 certificate as this is not relevant to your personal licence application.
- For each relevant module you have completed, complete a separate template. Give certificate number, select the appropriate Accrediting Body and insert date passed.
- For modules 1 and 4, select N/A from the drop down species list as these modules are not species-specific. Additional training for surgical procedures in fish should be included as additional training section 6(d).
- For species-specific modules, use species descriptions from the drop down menu or other suitable descriptor (see Section 3.4). To add more than one species, hold the Ctrl key down and click on any additional species. **Note:** On Macs replace the Ctrl key with the command key.
- To add details of another module, click on the 'add another item' button and the form will automatically scroll to the top of a new module training template.
- Complete separate templates if you have more than one certificate for modules 2 and 3.
- If you have not successfully completed all the accredited training for the species and Categories you are applying for and you wish to apply for exemption from one or more modules (see Section 3.3.2):
  - Complete a template for each module for which you are seeking exemption
  - Tick the 'Exemption sought' box
  - Provide information in box 6 (c) to support your exemption request eg 'I am a fully qualified and practising veterinary surgeon - Register number xxxx' or 'Equivalent personal licence authority held until xx/xx/xxx'.
  - List and supply additional information such as:
    - CVs (relevant information only)
    - letters of endorsement from overseas establishments / NTCO / trainer
  - Provide additional information
    - relating to a particular module in box 6 (c) or generally in box 6 (d); and/or
    - as hard copy by post to ASRU, 1<sup>st</sup> Floor Peel NE, 2 Marsham Street, London SW1P 4DF quoting your application number; or
    - electronically via a cjsm account quoting your application number to [aspa.london@homeoffice.gsi.gov.uk.cjasm.net](mailto:aspa.london@homeoffice.gsi.gov.uk.cjasm.net)
  - Indicate that additional information is being supplied in box 6 (d) eg 'Letter of endorsement sent via cjsm to ASPA London [date]'; 'I have completed a course covering biology, husbandry and handling for goats given by the NACWO who trains on the accredited course. A letter was submitted by post on [date].

- See additional instructions if you are applying for Category D at Section 3.5.2.

**Section 7.**

- Tick the Category or Categories of licence you are applying for. (See Section 3.5 for further information.)

**Declarations.**

- You must complete every declaration.

Once you have completed all necessary fields of the application form and are satisfied that the application is complete and correct, click on 'SUBMIT TO TCO FOR APPROVAL'.

## 3.2.3 PIL Application – Amendment to a Paper Licence

***Use these instructions if you currently hold a paper personal licence, whether old-style (techniques listed in section 15) or new (Categories) and you wish to make changes. If you are not making changes to your name, establishment, description of animals or Categories (including if you are converting from specified techniques to equivalent Categories) then follow instructions for Conversion at Section 3.2.5.***

Select the appropriate application type from the drop down menu – ‘Amendment’.

### Section 1.

- Insert your Name (title, surname and forename) in full.
- The first letter of each of these should be in upper case e.g. Mr Roger Smith.
- Ensure your name has been spelt correctly. The name on your licence will be exactly as you have typed it.

### Section 2.

- Enter your date of birth (dd/mm/yyyy).
- We need this information so that we can correctly identify you.

### Section 3.

- Enter any previous names. This is so that we can link the application with any previous or current personal licence records.

### Section 4.

- Answer ‘yes’ to Section 4 (a)
- Provide your current personal licence number
- The year of revocation box should be left blank.

### Section 5.

- Please give a telephone number so that we can contact you if we have any queries about your personal licence at any time.

### Section 6.

- Refer to Section 3.3 and Annex 1 for information on any additional formal training requirements.
- Complete a template for each of the modules for which you have equivalent current authority
  - add ‘N/A’ for date passed and certificate number
  - select ‘N/A’ for Accrediting Body (leave ‘Other Accrediting Body’ blank)
  - for example if you currently hold a personal licence to conduct surgical techniques on rats, mice and cattle then complete templates for module 1 (not species-specific therefore select N/A from the species

- list), 2 and 3 (select cattle, mice, rats from the drop down list) and module 4 (not species-specific therefore select N/A from the species list)
  - for each of these templates tick the 'exemption sought' box
  - Add 'Equivalent current licence authority' in box 6 (c).
- This section should include details of all relevant certificates of successful completion of modules 2, 3, and 4 to support your application for additional species or categories. These will need to be **dated within the previous 5 years**. Do not include details of any older certificates. We will not recognise these as evidence of qualifications.
- For each additional relevant module you have completed, complete a separate template. Give certificate number, select the appropriate Accrediting Body and insert date passed.
- For module 4, select 'N/A' from the drop down species list as this module is not species-specific. Additional training for surgical procedures in fish should be included as additional training section 6(d).
- For species-specific modules, use species descriptions from the drop down menu or other suitable descriptor (see Section 3.4). To add more than one species, hold the Ctrl key down and click on any additional species. **Note:** On Macs replace the Ctrl key with the command key.
- To add details of another module, click on the 'add another item' button and the form will automatically scroll to the top of a new module training template.
- Complete a separate template if you have more than one certificate for modules 2 and 3.
- If you have not successfully completed all the accredited training for the additional species and Categories you are applying for and you wish to apply for exemption from one or more modules (see Section 3.3.2):
  - Complete a template for each module from which you are seeking exemption
  - Tick the 'Exemption sought' box
  - Provide information in box 6 (c) to support your exemption request eg 'I have previously completed accredited modular training for sheep and I now wish to add goats'.
  - List and supply additional information such as:
    - CVs (relevant information only)
    - letters of endorsement from overseas establishments / NTCO / trainer
  - Provide additional information
    - relating to a particular module in box 6 (c) or generally in box 6 (d); and/or
    - as hard copy by post to ASRU, 1<sup>st</sup> Floor Peel NE, 2 Marsham Street, London SW1P 4DF quoting your application number; or

- electronically via a cjsm account quoting your application number to [aspa.london@homeoffice.gsi.gov.uk.cjsm.net](mailto:aspa.london@homeoffice.gsi.gov.uk.cjsm.net)
  - Indicate that additional information is being supplied in box 6 (d) eg 'Letter of endorsement sent via cjsm to ASPA London [date]'; 'I have completed a course covering biology, husbandry and handling for goats given by the NACWO who trains on the accredited course. A letter was submitted by post on [date].'
- Do not include details of a module 5 certificate as this is not relevant to your personal licence application.
- See additional instructions if you are applying for Category D at Section 3.5.2.

### **Section 7.**

- Add any additional Category or Categories of licence. (See Section 3.5 and Annex 1 for further information.)

### **Declarations.**

- You must complete every declaration.

Once you have completed all necessary fields of the application form and are satisfied that the application is complete and correct, click on 'SUBMIT TO TCO FOR APPROVAL'.

## 3.2.4 PIL Application – Amendment to an ASPeL Licence

***Use these instructions if you currently hold an electronic (ASPeL) personal licence***

When a personal licence has been granted in ASPeL, the application form moves back to the applicant marked 'Editable by applicant' with a licence status of 'Active' (see screen below).

The screenshot displays the ASPeL system interface. At the top is a 'Notice Board' section with the text 'There are no notices to display.' Below this is a 'Tasks' section with the link 'Application for a Personal Licence'. The main section is the 'Applicant Inbox', which contains a table with the following data:

Application Step	Type	Last status change	Licence status
Editable by applicant	Procedures Individual Licence Application	25/11/2013 - 15:23	Active

An orange callout box with a pointer directed at the 'Editable by applicant' cell contains the text: 'Click to open application form.'

To apply for an amendment to a personal licence that has been granted via ASPeL:

- Log in to the system.
- Click on your application form (see also Section 1.4.9 on stub retrieval). Your form will be marked 'Editable by applicant' with a licence status of 'Active'
- Change the 'Application Type'- to 'Amendment'
- You can then make changes to the form as required

### Section 1.

- Make any changes to your Name (title, surname and forename).
- The first letter of each of these should be in upper case e.g. Mr Roger Smith.
- Ensure your name has been spelt correctly. The name on your licence will be exactly as you have typed it.
- Enter the previous name at section 3.

### Section 6.

- Refer to Section 3.3 and Annex 1 for information on any additional formal training requirements relevant to the requested amendment.
- Module templates previously completed should be left unaltered unless you wish to remove species from your personal licence.

- Complete an additional and separate template for each additional relevant module. Click on the 'add another item' button and the form will automatically scroll to the top of a new module training template. Give certificate number, select the appropriate Accrediting Body and insert date passed. Certificates must be dated within the previous 5 years.
- For module 4, select 'N/A' from the drop down species list as this module is not species-specific. Additional training for surgical procedures in fish should be included as additional training section 6(d).
- For species-specific modules, use species descriptions from the drop down menu or other suitable descriptor (see Section 3.4). To add more than one species, hold the Ctrl key down and click on any additional species. **Note:** On Macs replace the Ctrl key with the command key.
- To add details of another module, click on the 'add another item' button and the form will automatically scroll to the top of a new module training template.
- Complete a separate template if you have more than one certificate for modules 2 and 3.
- If you have not successfully completed all the accredited training for the additional species and Categories you are applying for and you wish to apply for exemption from one or more modules (see Section 3.3.2):
  - Complete a template for each module from which you are seeking exemption
  - Tick the 'Exemption sought' box
  - Provide information in box 6 (c) to support your exemption request eg 'I have previously completed accredited modular training for sheep and I now wish to add goats'.
  - List and supply additional information such as:
    - CVs (relevant information only)
    - letters of endorsement from overseas establishments / NTCO / trainer
  - Provide additional information
    - relating to a particular module in box 6 (c) or generally in box 6 (d); and/or
    - as hard copy by post to ASRU, 1<sup>st</sup> Floor Peel NE, 2 Marsham Street, London SW1P 4DF quoting your application number; or
    - electronically via a cjsm account quoting your application number to [aspa.london@homeoffice.gsi.gov.uk.cjsm.net](mailto:aspa.london@homeoffice.gsi.gov.uk.cjsm.net)
  - Indicate that additional information is being supplied in box 6 (d) eg 'Letter of endorsement sent via cjsm to ASPA London [date]'; 'I have completed a course covering biology, husbandry and handling for goats given by the NACWO who trains on the accredited course. A letter was submitted by post on [date].'

- Do not include details of a module 5 certificate as this is not relevant to your personal licence application.
- See additional instructions if you are applying for Category D at Section 3.5.2.

**Section 7.**

- Add any additional Category or Categories of licence. (See Section 3.5 and Annex 1 for further information.)

**Declarations.**

- You must complete every declaration.

Once you have completed all necessary fields of the application form and are satisfied that the application is complete and correct, click on 'SUBMIT TO TCO FOR APPROVAL'.

## 3.2.5 PIL Application - Conversion

***Use these instructions if you currently hold a paper personal licence, whether old-style (techniques listed in section 15) or new (Categories) and are applying to convert to an ASPeL licence without any change to the species or Categories.***

Select the appropriate application type from the drop down menu – ‘Conversion’.

### Section 1.

- Insert your Name (title, surname and forename) in full.
- The first letter of each of these should be in upper case e.g. Mr Roger Smith.
- Ensure your name has been spelt correctly. The name on your licence will be exactly as you have typed it.

### Section 2.

- Enter your date of birth (dd/mm/yyyy).
- We need this information so that we can correctly identify you.

### Section 3.

- Enter any previous names. This is so that we can link the application with any previous or current personal licence records.

### Section 4.

- Answer ‘yes’ to Section 4 (a)
- The year of revocation box should be left blank.

### Section 5.

- Please give a telephone number so that we can contact you if we have any queries about your personal licence at any time.

### Section 6.

- Refer to Section 3.3 and Annex 1 for information on formal training requirements.
- Complete a template for each of the modules for which you have equivalent current authority
  - add ‘N/A’ for date passed and certificate number
  - select ‘N/A’ for Accrediting Body (leave ‘Other Accrediting Body’ blank)
  - for example if you currently hold a personal licence to conduct surgical techniques on rats, mice and cattle then complete templates for module 1 (not species-specific therefore select N/A from the species list), 2 and 3 (select cattle, mice, rats from the drop down list) and module 4 (not species-specific therefore select N/A from the species list)
  - for each of these templates tick the ‘exemption sought’ box

- Add 'Equivalent current licence authority' in box 6 (c).
- For species-specific modules use species descriptions from the drop down menu or other suitable descriptor (see Section 3.4). To add more than one species, hold the Ctrl key down and click on any additional species. **Note:** On Macs replace the Ctrl key with the command key.
- To add details of another module, click on the 'add another item' button and the form will automatically scroll to the top of a new module training template
- Exceptionally Category F may be used where you have existing competence in maintaining prolonged anaesthesia but do not qualify for Category C as you have not undertaken accredited module 4 training, for example you are already competent to administer anaesthesia lasting more than 15 minutes for non-invasive imaging. In such circumstances you should tick Category F and insert the following wording in box F (i):
  - 'Administration and maintenance of balanced or prolonged general anaesthesia'
  - 'N/A' should be selected from the description of animals list.
  - You should indicate that additional information is being supplied in box 6 (d) eg 'Letter of endorsement submitted by cjsm on [date]' (see also Section 3.6).

## Section 7.

- Tick the Category or Categories of licence equivalent to your current licence authority. (See Section 3.5, Annex 1 and Annex 2 for further information.)

## Declarations.

- You must complete every declaration.

Once you have completed all necessary fields of the application form and are satisfied that the application is complete and correct, click on 'SUBMIT TO TCO FOR APPROVAL'.

## 3.2.6 PIL Application – Category E

### (education / training project licence exemption)

***Follow these instructions if you are applying for a Category E licence and you are applying for exemption from accredited modular training because relevant training is provided as part of the course.***

**Note:** only apply for a Category E personal licence if you intend to undertake a course under a recognised Training and Education project licence. If you have undertaken accredited modular training you should follow instructions to apply for a personal licence with the appropriate Category (A, B ± C) and species.

Select the appropriate application type from the drop down menu – ‘New’.

#### Section 1.

- Insert your Name (title, surname and forename) in full.
- The first letter of each of these should be in upper case e.g. Mr Roger Smith.
- Ensure your name has been spelt correctly. The name on your licence will be exactly as you have typed it.

#### Section 2.

- Enter your date of birth (dd/mm/yyyy).
- To become a personal licensee you must be at least 18 years of age.
- We also need this information so that we can correctly identify you.

#### Section 3.

- Enter any previous names. This is so that we can link the application with any previous personal licence records.

#### Section 4.

- If you have never held a personal licence
  - Answer ‘no’ to Section 4 (a)
  - The year of revocation box should be left blank.
- If you have previously held a personal licence
  - Answer ‘yes’ to Section 4. (a)
  - The year given in Section 4. (b) (ii) should be the year of revocation of your most recent personal licence.

#### Section 5.

- Please give a telephone number so that we can contact you if we have any queries about your personal licence at any time.

## Section 6.

- Complete a single module template answering 'N/A' where indicated (N/A should also be selected for the species, as species is selected at Section 7E).
- Tick 'Exemptions sought'
- At section 6 (c) provide an explanation for seeking exemption eg 'undertaking licensed microsurgery course'.
- At section 6 (d) explain briefly:
  - your current position within your profession;
  - why it is necessary for you to undertake the training course; and
  - how the skills you acquire will be used to maintain or improve vocational skills

## Section 7.

- Tick Category E only.
- Insert the relevant project licence number at section 7. (i).
- Select the relevant description of animals at section 7. (ii). To add more than one species, hold the Ctrl key down and click on any additional species.  
**Note:** On Macs replace the Ctrl key with the command key.
- Your course provider should be able to supply the relevant information to complete this section.

### 7. Please state which types of procedures you wish to undertake on your I

- ☐ A. Minor/minimally invasive procedures not requiring sedation, analgesia or general anaesthesia
- ☐ B. Minor/minimally invasive procedures involving sedation, analgesia or brief general anaesthesia
- ☐ C. Surgical procedures involving general anaesthesia. Plus - administration and management of anaesthesia
- ☐ D. Use of neuromuscular blocking agents
- ☒ E. Education and training procedures conducted in accordance with Project Licence

**(i) If YES, then please provide the project licence number under which a**

P

8 characters remaining

**(ii) Description of Animals \***



A scrollable list box containing the following animal categories:

- N/A
- Amphibians
- Animals taken from the wild (please specify)
- Avian Eggs
- Birds
- Camelids
- Cats
- Cattle
- Cephalopods
- Deer
- Dogs
- Ferrets
- Zebra fish
- Fish - all other fish (please specify)
- Gerbils
- Goats, sheep
- Guinea-pigs
- Hamsters
- Horses
- Mice
- Non-human primates - new world (e.g. marmosets)
- Non-human primates - old world (e.g. macaques)

**Declarations.**

- You must complete every declaration.

Once you have completed all necessary fields of the application form and are satisfied that the application is complete and correct, click on 'SUBMIT TO TCO FOR APPROVAL'.

## 3.3 Training

### 3.3.1 Qualifying Training Requirements

Qualification for the categories of procedures will normally be by virtue of training. The existing UK Modular Training framework will be used until such time as Accrediting Bodies have revised modular training in line with EU considerations.

Annex 1 lays out a description of procedures encompassed by the various categories of licence and the standard training requirements for qualification for these categories. Illustrative examples of the techniques that are encompassed by Categories A-D are at Annex 2. If you and your NTCO are unsure if a procedure you intend to conduct is authorised by a Category, you should seek advice from your local Home Office Inspector.

**Note:** Annex 1 will be updated in due course to include 'EU-style' training modules.

### 3.3.2 Exemptions from Modular Training

Exemption from all accredited modular training requirements will be considered only if you have acceptable equivalent formal training; typically you have held a personal licence within the previous 5 years giving authority to use animals of the same species and one or more techniques in the same Categories for which you are applying.

Completion of Module 1 only will be considered if you can provide evidence that you have acquired equivalent knowledge and competence to that gained from successful modular training by other means, for example:

- veterinary surgeons with demonstrable practical experience of the relevant species;
- animal technicians highly experienced with the relevant species;
- holders of qualifications of an appropriate level and quality in laboratory science from outside the UK;
- experienced overseas researchers with acceptable evidence of appropriate training and competence.

In such cases you should be given on-site training in local procedures. You should undertake refresher training as appropriate to ensure that your knowledge is current.

Some species-specific training may be accepted for additional, closely related species with appropriate supporting evidence. In these cases you must then provide evidence that you have undertaken local training of equivalent content and quality to

that provided by an accredited training course in the biology, husbandry and handling of the additional species, and that you can recognise the signs of wellbeing and pain, distress or suffering. This evidence must be provided in Section 6. (c), indicating the standing of the trainer and assessor. An acceptable trainer is likely to teach the subjects / species on formal accredited courses. You may wish to approach your training provider / Accrediting Body to request formal certification to include the additional species if appropriate.

For example:

- If you have formal theoretical and practical skills training with both rats and mice then you may also apply to use hamsters or gerbils;
- If you have evidence of training with sheep you may also apply to use goats.

In every case where you are applying for an exemption from formal training, **including if you are a current personal licence holder but your training certificate is more than 5 years old**, you should complete a module training template for each module for which you are claiming exemption, entering the description of animals, as appropriate (see Section 3.4).

Where the form asks for details about:

- Date passed
- Accrediting body
- Module training number

enter 'N/A' into each field using the drop down arrow for Accrediting body and free text for the other two boxes. **Note:** 'N/A' must be typed in uppercase.

Tick the box for 'Exemption Sought' and enter details in box 'c'.

☒ Exemption Sought

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

Equivalent current licence authority.

Remove

Add another item

Where you hold a current equivalent personal licence authority, insert 'Equivalent current licence authority' in this box as shown above. For all other applicants, provide a clear justification in this box for why you are claiming exemption from this qualifying requirement, taking note of the factors we will consider described in this section above. We cannot consider an exemption request without adequate and acceptable information. Examples are: 'I have previously completed accredited modular training for sheep and I now wish to add goats'; or 'I am a fully qualified and practising veterinary surgeon - Register number xxxx'.

Additional information to support a request for exemption (such as a brief and relevant CV, certificates of training overseas or letters of endorsement from previous employers or trainers) can be emailed separately using cjsm to:

[aspa.london@homeoffice.gsi.gov.uk.cjasm.net](mailto:aspa.london@homeoffice.gsi.gov.uk.cjasm.net) if you are unable to copy and paste into box 6 (c). Alternatively supporting documents can be posted to ASRU, 1<sup>st</sup> Floor Peel NE, 2 Marsham Street, London SW1P 4DF. You should quote your personal licence application reference to help ASRU to attach the information to your application. Indicate that you have supplied additional information in box 6 (d) eg 'Letter of endorsement submitted by post on [date]'.

In exceptional cases we will consider applications for exemption from module 4 training for applicants who wish to administer and maintain balanced or prolonged anaesthesia but not to undertake surgical procedures, such as to allow non-invasive imaging. In all such cases you will need to provide evidence that you have satisfactorily completed training of equivalent content and quality to that provided by the EU module 21: Advanced anaesthesia for surgical or prolonged procedures. This evidence must be provided in Section 6. (d), indicating the standing of the trainer and assessor. An acceptable trainer is likely to teach the subject on formal accredited courses. To apply for this type of exemption you should tick Category F and insert the following wording in box F (i):

- 'Administration and maintenance of balanced or prolonged general anaesthesia'
- 'N/A' should be selected from the description of animals list.

## 3.4 Species Descriptors

ASPeL has a drop down list of species which covers the main laboratory species. This list does not include all species and descriptions that will be needed. You should generally use the description of animal as it appears on your certificate. Table 1 shows a list of acceptable descriptions.

If the drop-down list does not include the description you need, then please type the correct description into the 'Other species' box. We need the species to be listed sufficiently so that we can assess the appropriate training or experience requirements.

**Important: The species you enter in the module training section of the form will be used to create your licence. If you have training in a species that you do not wish to appear on your licence it should not be entered into the module training template.**

If your training certificate was awarded for more than one species, to add more than one species hold the Ctrl key down and click on any additional species. **Note:** On Macs replace the Ctrl key with the command key.

**Table 1:** Acceptable descriptions of animals

Mice	Ferrets
Rats	Horses
Guinea pigs	Pigs <b>or</b> Minipigs
Hamsters	Goats, sheep
Gerbils	Cattle
Rabbits	Amphibians
Dogs	Cephalopods
Cats	Reptiles
Non-human primates – old world <b>or</b> macaques	Non-human primates – new world <b>or</b> marmosets
Fish - may be categorised eg <ul style="list-style-type: none"><li>• Zebra fish</li><li>• Freshwater fish</li><li>• Marine fish</li><li>• Single species of fish (please specify)</li></ul>	Birds (may be categorised eg <ul style="list-style-type: none"><li>• poultry,</li><li>• waterfowl,</li><li>• small birds (caged and wild),</li><li>• single species (please specify)</li></ul> Avian eggs

- For animals taken from the wild, describe the species by their common name e.g. fox, badger.
- For other species use the common name or grouping, for example deer, camelids, seals
- You should list the species or common name for each species of rodent.
- Do not use the common grouping 'rodents' even if this is what is printed on your training certificate.

## 3.5 PIL Categories

### 3.5.1 Categories A, B, C

Qualification for Categories is generally dependent upon the accredited training undertaken. Annex 1 lays out a description of procedures encompassed by the various categories of licence and the standard training requirements for qualification for these categories. Illustrative examples of techniques that fall into each Category are given at Annex 2. This is not an exhaustive list.

#### Exceptional process for people with current expertise in maintenance of prolonged anaesthesia:

We recognise that some people have historically undertaken prolonged anaesthesia, for example for non-invasive imaging, without having undertaken accredited module 4 training – which is our current expectation. It would be inappropriate for such people to claim that they have the equivalent current techniques to convert to a Category C licence as they have not undertaken accredited training in the conduct of surgical procedures. Such licensees may be able to apply for a Category F licence to allow them to continue administering prolonged anaesthesia (see Section 3.5.4).

### 3.5.2 Category D Licence

Category D licences are required **only** if you need to administer neuromuscular blocking agents. To qualify to apply for a category D licence, you must also hold categories A, B and C. You must include additional information on your experience and expertise (as outlined in Annex 1 and Home Office Guidance Appendix H) in Section 6 (d) '*Other relevant experience and training*'.

### 3.5.3 Category E (Only) Licence

Category E personal licences are required if you intend to undertake a course under a recognised Training and Education project licence. This Category is intended for applicants who are not personal licensees and who are applying for exemption from accredited training requirements on the basis that relevant training is provided as part of the Training and Education course.

See instructions for applying for Category E licences at section 3.2.6.

If you have undertaken formal modular training then you are likely to be able to apply for a personal licence in the usual way – follow instructions at Section 3.2.2.

If you have not completed all required modules, e.g. you have not completed module 4, but the training licence uses animals under long term anaesthesia, then you will need to apply for an exemption from module 4 by requesting addition of the E category and providing the additional supporting information.

E category personal licences are only to be used on specified project licences where education and training is the sole purpose.

You must explain briefly in Section 6. (d):

- your current position within your profession;
- why it is necessary for you to undertake the training course; and
- how the skills you acquire will be used to maintain or improve vocational skills.

This information will help us to assess if the benefits of you undertaking the training course are likely to weigh favourably against the harms of using animals.

### 3.5.4 Category F Licence

Procedure F was created to cover unforeseen circumstances and should not be used (except as detailed below) without first contacting the Home Office Licensing Team:

Telephone the Duty Officer: 0207 035 0477 or email [Aspa.london@homeoffice.gsi.gov.uk.cjsm.net](mailto:Aspa.london@homeoffice.gsi.gov.uk.cjsm.net)

This Category may be used where current licensees have existing competence in maintaining prolonged anaesthesia but do not otherwise qualify for Category C. In such circumstances licensees converting their paper licence to an ASPeL licence should tick Category F and insert the following wording in box F (i):

- 'Administration and maintenance of balanced or prolonged general anaesthesia'
- 'N/A' should be selected from the description of animals list.

All such applications will require specific endorsement by the NTCO. You must provide a statement that you are aware of the licensee's competence to administer balanced or prolonged general anaesthesia. Typically the endorsement will include a copy of the relevant page(s) of the supervision and competence records for anaesthesia as well as a summary of the previous experience they have to justify this request. The endorsement should be emailed separately using cjsm to: [aspa.london@homeoffice.gsi.gov.uk.cjsm.net](mailto:aspa.london@homeoffice.gsi.gov.uk.cjsm.net). Alternatively supporting documents can be posted to ASRU, 1<sup>st</sup> Floor Peel NE, 2 Marsham Street, London SW1P 4DF. The NTCO should quote the name and personal licence application reference to help ASRU to attach the information to the application.

Category F may also be used in the exceptional case where applicants wish to apply for a training exemption from module 4 to allow administration and maintenance of prolonged of balanced general anaesthesia (see Section 3.3.2 for details).

## 3.6 Endorsement by the NTCO

Once the Personal licensee/applicant has clicked on 'SUBMIT TO TCO FOR APPROVAL', the partially completed application will appear in the section headed 'TCO Tasks' on the Dashboard. To open the application form you will need to click on the application form either under 'Licence number', 'Application Step' or 'Type' (see screen below).

### TCO Tasks

Licence Number	Application Step	Type	Last status change	Licence status
I21ED1AD7	Awaiting approval with TCO	Procedures Individual Licence Application	11/04/2014 - 10:30	-
I3E3A7C71	Awaiting approval with TCO	Procedures Individual Licence Application	11/04/2014 - 09:38	-

### All Establishment Applications

Licence number

Search

Licence Number	Application Step	Type	Last status change	Licence status
I2C409435	Awaiting initial assessment with Licensing Officer	Procedures Individual Licence Application	23/04/2014 - 10:09	-
I97DFAE98	Awaiting initial assessment with Licensing Officer	Procedures Individual Licence Application	23/04/2014 - 09:02	-
I429E91C1	Editable by applicant	Procedures Individual Licence Application	17/04/2014 - 10:01	Active
I9F3F8FC0	Editable by applicant	Procedures Individual Licence Application	16/04/2014 - 10:12	-
I638DF4B4	Awaiting assessment with Inspector	Procedures Individual Licence Application	14/04/2014 - 14:03	-
ID633DDC7	Editable by applicant	Procedures Individual Licence Application	11/04/2014 - 14:45	Revoked
IA5E8C25D	Granted	Procedures Individual Licence Application	11/04/2014 - 10:55	-

You will normally have met the applicant or been supplied with appropriate evidence for you to be confident in completing the endorsement. You are responsible for ensuring that all people dealing with animals are adequately educated and trained and are provided with supervision until they have demonstrated the requisite competence.

You must endorse the application to confirm that the applicant's qualifications and character are satisfactory for the work for which a licence is sought, and that you support any exemptions requested from the general training requirements.

Applicants should have attained a minimum standard of education; typically this will be at least five GCSEs or Standard Grade passes (including a biological science), or equivalent vocational qualifications or experience.

Where an applicant does not have English as a first language, the NTCO is expected to confirm that the applicant understands the provisions of the Act.

You must check that:

- the applicant has the required module training (see Section 3.3 and Annex 1). In order to be confident in endorsing the application, you should have sight of every original certificate that is included to support applications for new licences or amendments;

and/or

- the applicant/licensee has correctly described the animals to be specified on the licence (see Section 3.4);

and/or

- the personal licence authority currently authorised allows regulated procedures and use of the animals equivalent to those requested in the application;

and/or

- the applicant/licensee qualifies for each training exemption requested and they have included appropriate information to support that request. You must check that the exemptions comply with requirements listed in section 3.3.2, and endorse that you support any exemptions requested.

Please ensure that the applicant has selected the right 'Application Type' as this will affect how the application is processed by ASRU. Application Type: There are three types: New, Amendment and Conversion. See section 3.2.1 for details.

If any changes are required to the application form you should inform the applicant separately and then return the application for the applicant to amend and re-submit.

You must always tick Declarations G, H and I. You will usually also tick Declarations E and F. There are rare occasions when these will not apply. Applications will be returned if the Declarations have not been made correctly.

In all cases where licensees are applying for Category F 'Administration and maintenance of balanced or prolonged general anaesthesia' at conversion on the basis that they have existing competence you must provide a statement that you are aware of the licensee's competence to administer balanced or prolonged general anaesthesia and that you specifically endorse the application for Category F. Typically the endorsement will include a copy of the relevant page(s) of the supervision and competence records for anaesthesia as well as a summary of the previous experience they have to justify this request. The endorsement should be emailed separately using cjsm to: [aspa.london@homeoffice.gsi.gov.uk.cjsm.net](mailto:aspa.london@homeoffice.gsi.gov.uk.cjsm.net). Alternatively supporting documents can be posted to ASRU, 1<sup>st</sup> Floor Peel NE, 2 Marsham Street, London SW1P 4DF. You should quote the name and personal licence application reference to help ASRU to attach the information to the application. The applicant should indicate that you have supplied additional information in box 6 (d) eg 'Letter of endorsement submitted by post on [date]'.

## 3.7 Personal Licence In System Notifications

Example of in mail message - PIL applicant.

### Notifications

Title	Date	Notification
I1e4f0d8e	25/11/2013	<p>I am pleased to inform you that your application for a personal licence at your establishment has been granted (ID: I1e4f0d8e). You should now collect your licence from your HOLC and MUST NOT commence any work until you have first collected and checked the licence thoroughly.</p> <p>Regards,</p> <p>ASRU Licensing Team</p>

Example of in mail message - HOLC.

Title	Date	Notification
I40dbfdb4	26/11/2013	<p>This message is to notify you that an application for a new personal licence with the ID I40dbfdb4 for Peter Strange at your establishment has been received by ASRU.</p> <p>Regards,</p> <p>ASRU Licensing Team</p>
I1e4f0d8e	25/11/2013	<p>I am pleased to inform you that an application for a personal licence at your establishment has been granted (ID: I1e4f0d8e). The encrypted licence has been sent to you at the email address PGPIManager@homeoffice.gsi.gov.uk. Please request the licence holder to check the licence thoroughly before commencing work.</p> <p>Regards,</p> <p>ASRU Licensing Team</p>
I1e4f0d8e	25/11/2013	<p>This message is to notify you that an application for a new personal licence with the ID I1e4f0d8e for Roger Johnson at your establishment has been received by ASRU.</p> <p>Regards,</p> <p>ASRU Licensing Team</p>

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## 3.8 Receiving the Granted Licence

All granted licences will be sent to the email account supplied by your establishment. The licences will be encrypted and can only be unlocked using the establishment key.

Each establishment must set up a system for local distribution and storage of personal licences. The licence must be accessible to the personal licensee themselves as well as to others with responsibilities under the Act such as:

- relevant project licence holders
- NTCO
- NVS and NACWO

### 3.8.1 Working at other Licensed Establishments

Your personal licence will allow you to work at any licensed establishment in the UK but you must have permission from the Project Licence holder and the Establishment Licence holder to do so. You must also contact the NTCO at any additional establishment before starting work there.

You may also work at places that are not included on an establishment licence (POLEs) but this must only be as part of an authorised programme of work.

### 3.8.2 Which Projects May I Work Under?

Category E or F personal licences may limit you to working under a specific project licence.

For categories A, B, C and D you can work on any project as long as the categories of techniques and species of animals you are using are authorised by both your personal licence and the work is in accordance with a programme of work authorised by the project licence (at a place authorised by that project licence) and the project licence holder and establishment have consented to your work.

## 3.9 Application Rejected

If an application has been rejected as not complete and correct it will be returned to the applicant. The applicant and the HOLC will be sent an email notifying them to logon to ASPeL.

In their dashboard under 'Notifications' there will be a notification detailing:

- what additional information is required; and/or
- what changes need to be made.

**Important:** Do not attempt to create another application form – open your existing form which is located in the 'Applicant Inbox', make any required changes and submit to the Named Training and Competence Officer.

The NTCO should check the application and resubmit to ASRU.

Additional information, if requested, can be supplied on the application eg using boxes at Section 6.(c) and 6 (d). Documentation such as CVs, letters of endorsement or copies of certificates or overseas qualifications can also be supplied to [aspa.london@homeoffice.gsi.gov.uk.cjsm.net](mailto:aspa.london@homeoffice.gsi.gov.uk.cjsm.net).

or post to:

Home Office Science,  
ASRU  
1st Floor Peel NE  
2 Marsham Street  
London SW1P 4DF

Text in 6(c) or (d) should include reference to what has been sent and the date it was submitted.

You should quote the application name and number within the subject line of the e-mail to help ASRU associate the information with the relevant application.

## 3.10 Personal Licence Reviews

When your personal licence is granted on ASPeL the system will automatically set the review date for 5 years from the grant date. The system will automatically generate the review notification 3 months before the review date is due and the applicant and the HOLC will receive emails to login to ASPeL where the in system messages (in mails) can be viewed.

To submit your licence for review you will need to open the application form and check it. You will need to follow this process even if no changes are required:

- Select the 'Application Type – Amendment'.
- Make any changes required as described in Section 3.2.4 and submit to the NTCO.
- The NTCO should review competence prior to resubmission, and arrange refresher training as required.
- The NTCO will then need to submit it to the Home Office.

If this action is not carried out the system will generate a final reminder to both applicant and HOLC on the date the licence is due for review. If no action is taken by the applicant 28 days after the service of the notification the licence will be revoked automatically.

## 3.11 Moving Establishments

If you are leaving the establishment that is responsible for paying your annual licence fee and maintaining your individual training file, you will need to request revocation of your personal licence (see Section 3.12 Revocation Requests).

You will then need to apply for a new licence at the establishment you are moving to following the instructions at section 3.2.2.

## 3.12 Revocation Requests

Only the establishment licence holder (or nominated delegates) or the personal licence holder may request revocation of a personal licence. Requests for revocation should be sent in writing to the Home Office

preferably by email to: [aspa.london@homeoffice.gsi.gov.uk.cjsm.net](mailto:aspa.london@homeoffice.gsi.gov.uk.cjsm.net)

or post to:

Home Office Science,  
ASRU  
1st Floor Peel NE  
2 Marsham Street  
London SW1P 4DF

ASRU will then take steps to revoke the licence. A revocation notice will be sent to personal licence holder and the HOLC.

The applicant's ASPeL account should not be 'Blocked' by the HOLC until after the revocation notice has been sent out and the applicant has read the notice.

# Glossary of Terms

<b>ASPA</b>	The Animals (Scientific Procedures) Act 1986 as amended. Also known as 'the Act'
<b>ASPeL</b>	Animals Scientific Procedures e-Licensing
<b>ASRU</b>	Animals in Science Regulation Unit
<b>Dashboard</b>	Name of the screen where your applications and notices are located
<b>Establishment Key</b>	The password supplied by the Home Office which will unlock your encrypted licences and is also required when users login to ASPeL
<b>HOLC</b>	Home Office Liaison Contact
<b>In Mail Messages</b>	Messages in your ASPeL account seen on your dashboard under 'Notifications' relating to the status of a licence
<b>NACWO</b>	Named Animal Care and Welfare Officer
<b>NMBA</b>	Neuromuscular blocking agent
<b>NTCO</b>	Named Training and Competence Officer (also called Named Training and Competency Officer)
<b>NVS</b>	Named Veterinary Surgeon
<b>PEL</b>	Establishment Licence
<b>PELh</b>	Establishment Licence holder (includes Named Person Responsible for Compliance)
<b>PIL</b>	Personal licence
<b>POLEs</b>	Places other than licensed establishments
<b>TCO</b>	see NTCO
<b>Username</b>	For PIL applicants the name allocated by ASPeL to gain access to your account e.g. TYyMvydKaq. For the HOLCs, NTCOs and PEL Holders it will be their name as specified in the email sent out to them.
<b>Stub Retrieval</b>	When an application form is archived and needs to be recalled

## Annex 1. Categories of personal licence and training requirements

Category and description of procedures		Qualifying training requirements
<b>A</b>	Minor/minimally invasive procedures not requiring sedation, analgesia or general anaesthesia	<ul style="list-style-type: none"> <li>• module 1; and</li> <li>• species-specific modules 2 and 3 for each species requested</li> </ul> <p>It is expected that applicants with such qualifications will apply for both Categories A and B</p>
<b>B</b>	<p>Minor/minimally invasive procedures involving sedation, analgesia or brief general anaesthesia</p> <p>Plus – Surgical procedures conducted under brief non-recovery general anaesthesia</p>	
<b>C</b>	<p>Surgical procedures involving general anaesthesia</p> <p>Plus – administration and maintenance of balanced or prolonged general anaesthesia</p>	<p>If you apply for Category C, you will also request categories A and B. You should therefore have successfully completed module 4 training in addition to the requirements for Categories A and B.</p> <p>Module 4 is not species-specific.</p>
<b>D</b>	Use of neuromuscular blocking agents	<p>Applicants for Category D should already have completed modules 1-4 (or have equivalent experience) and must supply additional information in <i>Section 6 (d) Other relevant experience and training</i> to explain how they are suitable, through training, qualifications and experience, to use neuromuscular blocking agents (see also Home Office Guidance on use of</p>

		<p>NMBAs –Annex H). Typically this will be evidence that you are:</p> <ul style="list-style-type: none"> <li>○ competent to achieve and maintain anaesthesia in the animal species with which you propose to work; and</li> <li>○ have read, understand and can comply with the guidance on use of neuromuscular blocking agents as set out in Annex H of the Guidance; and</li> <li>○ you have witnessed the use of neuromuscular blocking agents and are familiar with the monitoring of anaesthesia required under such regimes.</li> </ul> <p>You will also request or already have a Category A, B and C personal licence.</p>
<b>E</b>	Procedures conducted in accordance with Project Licence ( <i>insert number</i> )	<p>Category E is for applicants who intend to attend an education and training course conducted under a single project licence <i>and who do not already hold a personal licence authorising them to conduct the relevant techniques</i>. You should consult your course provider for details of pre-course formal training requirements and which species to request. If you intend to conduct work under other project licence authorities, you will need to apply for the relevant categories and species.</p>
<b>F</b>	Other ( <i>a free text field</i> )	<p>You must <u>always</u> consult ASRU for advice before requesting Category F.</p>

## Annex 2 – Illustrative examples of techniques in each category

### Category A

Number	Technique	Anaesthesia code	Comments
A1	Variation in the composition, constituents, quantity and/or availability of the diet and/or drinking water which may cause pain, suffering, distress or lasting harm	AA	Includes withholding of food and/or water, and administration of substances by addition to food or the drinking water
A2	Administration of substances by intravenous, subcutaneous, intradermal, intramuscular or intraperitoneal injection; by the oral route (including by gavage); by inhalation; by immersion; in the aqueous medium or topically to the skin, conjunctiva or surface of eye	AA	
A3	Administration of substances or withdrawal of fluids via previously implanted cannula, catheter, or delivery or access system	AA	This does not include the surgery or anaesthesia required for placement. Includes use of stomas or similar
A4	Withdrawal of blood from superficial blood vessels by non-surgical methods	AA	Does not include venesection or tail tip removal
A5	Collection of cells or secretions from the oral or nasal cavities, the vagina or rectum, or the external structures of the eye.	AA	
A6	Breeding and maintenance of genetically altered animals	AA	This regulated procedure involves pairing to produce a new individual and keeping alive an individual with

			potential for harm
A7	Non-surgical implantation of a microchip or telemetry device	AA	
A8	Restraint by physical means, or by confinement within a restricted area, of a nature or duration that may cause pain suffering distress or lasting harm	AA	This includes restraint using fixation devices previously implanted under separate authority and confinement in a metabowl, primate chair or sling
A9	Cannulation of blood vessels, ducts or cavities by non-surgical means	AA	Includes genitourinary tracts
A10	Killing by dislocation of the neck other than as specified in a method of killing on Schedule 1	AA	
A11	Decapitation other than as specified in a method of killing on Schedule 1	AA	
A12	Manipulation of germ cells, gametes, fertilized ova or pre-implantation embryos with the intention of producing genetically altered animals	AA	Includes microinjections and electroporation
A13	Exposure to ionising and/or non-ionising radiation	AA	
A14	Exposure to infectious or toxic agents in the environment	AA	This includes situations where the agents may be transmitted by contact, inhalation, or in feed or on grazing
A15	Non-surgical placement or removal of electrodes, probes or other devices that	AA	

	may cause pain, suffering, distress or lasting harm		
A16	Stimulation via electrodes previously placed under separate authority	AA	This does not include the surgery required for placement
A17	Locomotor or maze testing that may cause pain suffering distress or lasting harm	AA	Includes rotorod tests, elevated and plus mazes and open field test in potentially compromised animals.
A18	Forced learning procedures that may cause pain suffering distress or lasting harm	AA	For example the use of water baths, electric shocks and exposure to noxious substances
A19	Exposure to other animals (including con-specifics) with the intention of producing aggression, abnormal behaviour or fear/anxiety	AA	
A20	Exposure to environmental conditions that may cause pain suffering distress or lasting harm.	AA	This includes social deprivation, housing in conditions outside of the Code of Practice Guidelines that may cause pain suffering distress or lasting harm, housing in a barren environment and housing in permanent darkness, changes in the gaseous environment such as hypoxia or warming/cooling to a stressing extent
A21	Application of, or exposure to, physical stimuli that may cause pain suffering distress or lasting harm	AA	Includes auditory, thermal or pressure exposure, inflation of gastrointestinal balloon that has been placed under separate authority
A22	Administration of substances or withdrawal of fluids/tissues from tracts or cavities or body structures by non-surgical means	AA	Includes the respiratory system peritoneal cavity, gastrointestinal, urogenital tracts, subcutaneous pouches.

A23	Physical damage to superficial tissues	AA	Includes abrasion of skin or mucus membrane
A24	Maintaining an animal in an environment which may restrict the animal's ability to satisfy its physiological and ethological needs	AA	
A25	Non-surgical embryo transfer	AA	

## Category B

Number	Technique	Anaesthesia code – for reference only	Comments
B1	Induction of general/local anaesthesia by use of agents and by routes suitable for the species, nature and duration of the procedure	AA/AB/AC	General anaesthesia for non-surgical or minor procedures only or for procedures under brief general terminal anaesthesia. <b>Does not include maintenance of balanced anaesthesia</b>
B2	Withdrawal of blood from superficial blood vessels by direct puncture or by removal of a tail tip or scab	AB/AC	
B3	Administration of substances by intravenous, subcutaneous, intradermal, intramuscular or intraperitoneal injection; by the oral route (including by gavage); by inhalation; by immersion; in the aqueous medium; or topically to the skin, conjunctiva or surface of eye	AB/AC	
B4	Administration of substances or withdrawal of fluids via previously implanted cannula, catheter, or delivery or access system	AB/AC	This does not include the surgery or anaesthesia required for placement. Includes use

			of stomas or similar
B5	Biopsy of superficial tissues or tail tip removal.  Collection of cells or secretions from the oral or nasal cavities, the vagina or rectum, or the external structures of the eye	AB/AC	
B6	Non-surgical implantation of a microchip or telemetry device	AB	
B7	Restraint by physical means, or by confinement within a restricted area, of a nature or duration that may cause pain suffering distress or lasting harm	AB/AC	This includes restraint using fixation devices previously implanted under separate authority and restraint in a stereotaxic frame, primate chair or sling
B8	Cannulation of blood vessels, ducts or cavities by non-surgical means	AB/AC	Includes genitourinary tracts, bladder, trachea
B9	Killing under terminal anaesthesia by exsanguination and/or perfusion with fixative	AC	
B10	Decapitation other than as specified in a method of killing on Schedule 1	AC	
B11	Withdrawal of blood by cardiac puncture under terminal anaesthesia	AC	
B12	Cannulation of the heart and /or major blood vessels, ducts, tracts or cavities under terminal anaesthesia	AC	This includes hollow organs such as the gall bladder and urinary bladder. If complex and/or prolonged surgery is needed a Category C licence is required
B13	Exposure and removal of organs and tissues, including withdrawal of blood from heart or vessels or of body fluids, under terminal anaesthesia	AC	If complex and/or prolonged surgery is needed a Category C licence is required
B14	Exposure to ionising and/or non-ionising radiation	AB/AC	

B15	Non-surgical placement or removal of electrodes, probes, tags or other devices that may cause pain, suffering, distress or lasting harm	AB/AC	
B16	Stimulation via electrodes previously placed under separate authority	AB/AC	This does not include any surgery required for placement
B17	Application of, or exposure to, physical stimuli that may cause pain suffering distress or lasting harm	AB/AC	Includes eg auditory, thermal or pressure exposure, inflation of gastrointestinal balloon placed under separate authority
B18	Administration of substances or withdrawal of fluids/tissues from tracts or cavities or body structures by non-surgical means	AB/AC	Includes the respiratory system (intranasal, intratracheal), thoracic or peritoneal cavities, gastrointestinal, urogenital tracts, subcutaneous pouches, intraarticular, into bones (non-surgically) or intraocular space, cerebrospinal fluid
B19	Physical damage to superficial tissues	AB/AC	Includes abrasion or incision of skin or mucus membrane
B20	Endoscopy with or without biopsy	AB/AC	
B21	Destruction of the brain and spinal cord by mechanical means	AC	

## Category C

Number	Technique	Anaesthesia code	Comments
C1	Induction and maintenance of general/regional anaesthesia by use of agents and by routes suitable for the species, nature and duration of the procedure	AA/AB/AC	<b>For balanced and/or prolonged general anaesthesia</b>
C2	Biopsy or removal of internal organs or tissues	AB/AC	
C3	Surgical cannulation of blood vessels, ducts, tracts or hollow organs	AB/AC	
C4	Subcutaneous, intramuscular or intraperitoneal implantation or removal of any device, tissue, substance or delivery system	AB/AC	Includes minipumps and radiotracking devices
C5	Exposure, section, partial removal, crush, ligation, occlusion or de-occlusion of vessels, peripheral nerves or ducts	AB/AC	Includes vasectomy, and lesioning by ligation or compression of peripheral nerves
C6	Surgical administration of substances or implantation of tissue into or onto organs, cavities, ducts, tracts including into or onto the central nervous system	AB/AC	
C7	Surgical exposure of tissues, organs, vessels, ducts, tracts or cavities including the central nervous system	AB/AC	
C8	Surgical biopsy or removal of organs or tissues	AB/AC	

C9	Implantation of ova, and/ or embryos into the reproductive tract	AB	
C10	Surgical implantation with or without exteriorisation, and/or removal of cannula, electrodes, microdialysis probes or other devices into discrete areas of the central and peripheral nervous system or other internal tissues or organs	AB/AC	This includes implantation or insertion into muscles or joints
C11	Lesioning of discrete areas of the central nervous system, tissues or organs by chemical, thermal or physical means	AB/AC	Includes lesioning using ultrasound or local irradiation
C12	Implantation of fixation devices and/or recording or observation chambers	AB/AC	
C13	Transplantation of organs, vessels, ducts, tracts, tissues or nervous tissue	AB/AC	
C14	Surgical manipulation of the circulatory system	AB/AC	Includes formation of arterio-venous shunts, carotid loops.

#### Category D

Number	Technique	Anaesthesia code	Comments
D1	Induction and maintenance of neuromuscular blockade by the use of neuromuscular blocking agents	AB/AC/AD	Neuromuscular blocking agents may not be used in place of anaesthetic agents