



**United States
Department of
Agriculture**

**Marketing and
Regulatory
Programs**

**Animal and Plant
Health Inspection
Service**

Animal Care

Research Facility Inspection Guide

April 2001

Presented by
The Animal Care
Manual Development Team



**APHIS - Protecting American Agriculture
An Equal Opportunity Employer**

THE RESEARCH FACILITY INSPECTION GUIDE IS INTENDED TO BE A REFERENCE DOCUMENT TO ASSIST THE INSPECTOR.

IT DOES NOT SUPERSEDE THE ANIMAL WELFARE ACT, THE AWA REGULATIONS AND STANDARDS, ANIMAL CARE POLICIES, STANDARD PROCEDURES, OR THE INSPECTOR'S PROFESSIONAL JUDGMENT.

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COMMENTS & SUGGESTIONS

Follow the directions below to suggest an improvement or identify a problem in the Research Facility Inspection Guide.

1. Copy the page of the Research Facility Inspection Guide.
2. Highlight or circle the problem area that needs improvement.
3. Make your comments on the page or on a supplemental sheet.

Listed below are the most commonly found errors:

- typographical error, word omission, etc.
- printing error such as blank pages, holes punched incorrectly
- confusing format
- unclear or incorrect information
- missing or insufficient information
- inconsistency with regulation, standard, policy, etc.
- key word(s) missing from Index

4. Mail or fax the copy and your comments to:

Joyce Barkley
USDA-APHIS-Animal Care
4700 River Road, Unit 84
Riverdale, MD 20737
FAX: 301-734-4978

If your comments require a response from the Manual Development Team, please include your name and contact number:

Name: _____

Phone Number: _____ Time of day to contact: _____

PURPOSE	<p>The purpose for the Research Facility Inspection Guide, a major component of the Animal Care Resource Guide, is to provide APHIS Animal Care personnel with a clear, concise, user-friendly reference for inspecting USDA registered research facilities.</p> <p>By facilitating the inspection process, the Research Facility Inspection Guide will serve as a useful tool to improve the quality and uniformity of inspections, documentation, and enforcement of the Animal Care Program.</p>
Philosophy	<p>The Research Facility Inspection Guide is designed to <i>facilitate</i> the decision-making process. It cannot - nor is it intended to - replace the inspector's professional judgment.</p>
Scope	<p>The content of the Research Facility Inspection Guide was gleaned from pertinent sections of Title 9 of the Code of Federal Regulations (9 CFR) and current Animal Care policies. Applicable information was restated or paraphrased as necessary for clarity and formatted and organized to facilitate access and use.</p> <p>The Research Facility Inspection Guide <i>summarizes</i> current regulatory and policy criteria for USDA registered research facilities and provides a logical inspection process for verifying compliance. It does <i>not</i> add to, delete from, or change current regulatory requirements or standards - nor does it establish policy.</p>

Application	<p>The Research Facility Inspection Guide is to be used as a <i>reference</i> for inspecting USDA registered research facilities. By presenting regulatory and policy criteria and inspection procedures in a clear, concise, logical, and user-friendly format, it is designed to <i>assist</i> Animal Care personnel in performing and documenting compliance inspections and making appropriate decisions.</p> <p>The Research Facility Inspection Guide is to be used as an <i>adjunct to - not a replacement for -</i> the 9 CFR. Although Animal Care personnel are expected to exercise professional judgment, all inspection decisions must be justified by applicable sections of the regulations and standards.</p> <p>The Research Facility Inspection Guide is designed to be a <i>stand alone</i> component of the Animal Care Resource Guide. It contains all the information necessary to complete an inspection of a USDA registered research facility. To ensure the Research Facility Inspection Guide is available as a reference, field inspectors should carry it in their vehicles.</p>
Related Documents	<p>X Title 9 of the Code of Federal Regulations (9 CFR) X Animal Care Policy Manual</p>
Users	<p>The Research Facility Inspection Guide is targeted primarily at Animal Care field personnel (new or experienced), Supervisory Animal Care Specialists, and Animal Care Staff who are directly or indirectly involved in compliance inspections of USDA registered research facilities.</p> <p>In addition to the primary target audience, the Research Facility Inspection Guide may serve as a reference for other APHIS personnel or Government agencies who regulate or interact with USDA registered research facilities. Interested public organizations or individuals as well as the regulated community may also be able to use this information.</p>
Usage	<p>The Inspection Guides within the Animal Care Resource Guide are</p>

**Sections & Topics
(Information)**

based on the type of facility or activity conducted and regulated Dealer, Exhibitor, Research, and Transporter.

Each Inspection Guide is designed to function as a stand alone reference. The Research Facility Inspection Guide contains all the information necessary to complete an inspection of a USDA registered research facility.

**Sections & Topics
(Organization)**

The sections and topics within the Research Facility Inspection Guide will address *all* areas/activities of a research facility which must be inspected for compliance. If information is relevant to more than one section, it will usually appear in *all* applicable sections. The exception will be lengthy information which will appear in the primary section and be *referenced* in all other applicable sections.

Sections are identified by dividers. Each new topic within a section will begin on a right-hand (facing) page.

Topics within a section that involve step-by-step *procedures* (e.g., Completion of the Inspection Report) are organized in *sequential order*. For sections **not** requiring a specific order (e.g., Specific Types of Inspections), the topics are organized in *alphabetical order*.

Subtopics

General subtopics within each topic may include:

- X **Criteria:** A list of criteria a facility must meet to be in compliance with the applicable section of the 9 CFR. The criteria apply to *all* regulated species, and *all* criteria must be met unless specified otherwise
- X **Species Specific Criteria:** Criteria applicable *only* to the species listed
- X **Exceptions/Exemptions:** Special circumstances or situations when a facility which does not meet one or more criteria may still be in compliance

Meaning of Must, Should, and May

The words **Amust@**, **Ashould@**, and **Amay@** are used throughout the Guide as follows:

- X **Must** is used when the referenced actions are **required** by the 9 CFR regulations or standards or Animal Care Policies

- X **Should** is used when the reference actions are:
 - < **strongly recommended** but not specifically required by the 9 CFR regulations/standards or Animal Care Policies, and/or
 - < directed by Animal Care Management

- X **May** is used when the referenced actions are **optional**

Citations

The applicable **9 CFR regulations and standards** and **Animal Care Policies** are cited:

- X in the general statement of each topic
- X after specific items within topics or subtopics (as appropriate)
- X at the beginning of a bulleted/numbered list if applicable to the whole list
- X at the end of an item if applicable only to that item

Finding Information

Information in the Research Facility Inspection Guide may be located by using the Table of Contents or the Index.

The **Table of Contents** lists the sections and each topic in that section with their corresponding page numbers in the Guide.

The **Index** lists **Akey@** words and the location where the information is found. (See Indexing)

Control Data

Each page is identified as follows:

- X **Header**
 - < inside corner contains name of book (i.e., **ANimal Care Resource Guide@**) and the title of the applicable inspection guide (e.g., **AResearch Facility**

	<p>Inspection Guide@)</p> <ul style="list-style-type: none">< outside corner contains the section title (e.g., AInspection Procedures@) and topic heading (e.g., AManaging Your Territory@)
	<p>X Footer</p> <ul style="list-style-type: none">< inside corner contains the program name (i.e., AAnimal Care@) and the issue date of the page (e.g., 4/01)< outside corner contains a 3-digit page number (e.g., 5.1.1) which refers respectively to the section (e.g., AInspection Procedures@), topic (e.g., AManaging Your Territory@), and the consecutive page within the topic (e.g., page 1 of AManaging Your Territory@).
Text Format	<p>Information is presented in a 2-column format as follows:</p> <p>X Left Column</p> <ul style="list-style-type: none">< topic title distinguished with boldfaced, uppercase letters and larger font< subtopic titles boldfaced to denote major headings <p>X Right Column</p> <ul style="list-style-type: none">< general statement for topic< <i>bullets</i> precede listed items when there is no inferred order, priority, or rank< <i>numbers</i> precede listed items when the items are steps of a process or procedure, or present information in a logical order
Text Variations	<p>Major headings are boldfaced to make them distinctive and easy to locate.</p> <p>Boldfacing and/or <i>italicizing</i> is used within the text to highlight important concepts or the emphasize <i>key</i> words in the text or words that aid in understanding.</p>

Pagination

Each page is numbered in the lower outside corner with a 3-digit number (e.g., 2.2.3) which refers respectively to the section, topic, and page within the topic.

Each **section** is separated by a tab and consecutively numbered within the Research Facility Inspection Guide (e.g., 2.2.1, 3.2.1).

Each **topic** begins on a right-hand (facing) page and is consecutively numbered within a section (e.g., 2.2.1, 2.3.1).

Each **page within a topic** is consecutively numbered (e.g., 2.2.1, 2.2.2).

Indexing

Information in the Research Facility Inspection Guide is referenced in the index by *key* words. The 3-digit number(s) listed by each key word (e.g., 5.1.1) refers respectively to the section (e.g. AInspection Procedures@), topic (e.g. AManaging Your Territory@), and consecutive page within the topic (e.g., page 1 of AManaging Your Territory@).

Reporting Problems

If you identify content problems in the Research Facility Inspection Guide or have suggestions for improvement, notify APHIS AC as follows:

1. Make a copy of the applicable page (or pages)
2. Indicate the needed corrections or your recommendations on the page or on a supplemental sheet
3. Send your input to:

Joyce Barkley
USDA, APHIS, AC
4700 River Road, Unit 84
Riverdale, MD 20737-1230

If you wish to speak directly to an Animal Care staff member, you may call Animal Care Headquarters at (301) 734-7833.

Revisions

Revisions will be made as necessary to correct problems,

Additional Copies

incorporate suggestions for improvement, or reflect changes in the 9 CFR regulations/standards or Animal Care Policies. The Research Facility Inspection Guide is formatted and paginated so that only specific pages with changes will need to be replaced.

Revisions will be sent to AC personnel and posted on the Internet and can be downloaded from the APHIS AC website at (http://www.aphis.usda.gov/animal_welfare).

Research Facility Inspection Guides and revisions or updates are available from the Animal Care Headquarters or Regional Offices.

The Research Facility Inspection Guide and revisions/updates are accessible from the Animal Care website at (http://www.aphis.usda.gov/animal_welfare).

Instructions:

1. Place this page in your Research Facility Inspection Guide
2. Report any missing updates to the Regional Office

Transmittal Number	Date Issued	Transmittal Number	Date Issued	Transmittal Number	Date Issued
Draft RFIG	Feb 2000				
Final RFIG	Apr 2001				
Update #1	Jan 2006				
Update #2	Mar 2006				

2.0 Glossary

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**REGULATED
 ACTIVITIES**

The Animal Welfare Act (AWA) regulates the use of animals for research, tests, experiments and teaching. [1.1, Policy #10 & #16]

Registration

A USDA registration is required by any research facility engaging in regulated activities using covered animals, except when exempted by the Administrator by regulation.

Regulated activities include the following:

- the use or intent to use live regulated animals in:
 - ▶ research
 - ▶ tests
 - ▶ experiments
 - ▶ teaching
- the inoculation and selection of animals for the production of antibodies or antisera
- acquiring live animals for immediate euthanasia for tissue harvesting
- field studies that:
 - ▶ involve an invasive procedure
 - ▶ harm a live animal
 - ▶ materially alter an animal's behavior
- the surgical alteration of animals by a dealer as a necessary part of a proposed animal activity at a research facility.
 Note: Dealer must register as a research facility or the dealer's facility must be listed as a site of the research facility.
- genetically engineering regulated animals

NOTE: Certain regulated activities using cloned animals may require licensing. See page 3.1.2.

Licensed Exhibitors [Policy #10]

If a licensed exhibitor is conducting any of the following activities, he/she must also be registered as a research facility and meet all of the applicable standards and regulations:

- biomedical research (using animals as models for human applications)
- conducting invasive or painful/distressful procedures for

	<ul style="list-style-type: none">• non-husbandry purposes• any research on domestic dogs and cats
Exemptions	<p>The following activities are exempt from the registration requirement:</p> <ul style="list-style-type: none">• research using only non-covered or non-regulated animals [1.1]• research using only dead animals or parts of dead animals [1.1]• research on veterinary products for use only in agricultural animals [Policy #26]• manufacturing of veterinary products for use only in agricultural animals [Policy #26]• producing pregnant mare urine (PMU) [Policy #10]• harvesting of normal blood or sera [Policy #10]• collection of data by licensed exhibitors on animals with the intent of improving their nutrition, breeding, management or care. The methods used to collect data must: [Policy #10]<ul style="list-style-type: none">▶ be performed as an adjunct to normal husbandry or veterinary procedures▶ be non-invasive▶ not cause pain or distress▶ not use domestic dogs or cats
Licensing	<p>Research facilities, other than State universities or colleges, may require licensing as a dealer or broker if they:</p> <ul style="list-style-type: none">• sell antibodies or antisera [Policy #10]• sell regulated animals born at the research facility for regulated purposes• wholesale regulated animals for regulated purposes• clone animals which are to be utilized for regulated purposes [Policy #10]• sell cloned animals for regulated purposes [Policy #10] <p>If you encounter one of these situations and have questions, contact your SACS.</p>

REGULATED ANIMALS	Although all warm-blooded species are covered by the Animal Welfare Act, only certain animals are regulated under the Animal Welfare Act. [1.1, Policy #26]
Criteria	<p>Regulated animals include, but are not limited to, live:</p> <ul style="list-style-type: none"> • dogs • cats • guinea pigs • hamsters • rabbits • nonhuman primates • marine mammals • wild or exotic animals • farm animals used: <ul style="list-style-type: none"> ▶ to test or produce biologicals for nonagricultural/nonproduction animals. Biologicals include, but are not limited to: <ul style="list-style-type: none"> □ vaccines □ bacterins □ toxoids ▶ to test or produce biologicals for multiple species which includes a nonagricultural/nonproduction animal ▶ for biomedical research • equine species used for: <ul style="list-style-type: none"> ▶ nonagricultural animal research ▶ biomedical research <p>The species and activity involving the animal determines whether or not a USDA registration is required.</p>
Exemptions	<p>The following animals are exempt from the registration requirement:</p> <ul style="list-style-type: none"> • rats of the genus <i>Rattus</i> bred for use in research • mice of the genus <i>Mus</i> bred for use in research • birds bred for use in research • domestic equine species used for the production of pregnant mare urine (PMU)

- blood donor dogs used for client animal transfusions
NOTE: Dogs donating blood for use in a protocol are not exempt and must be included in the protocol.
-

REGULATED FACILITIES	Certain facilities conducting research are regulated under the Animal Welfare Act. [1.1]
	<p>A facility conducting regulated research activities on regulated animals is required to be registered as a research facility.</p> <p>A facility includes, but is not limited to:</p> <ul style="list-style-type: none"> • school (see exemptions below) • institution • organization • person <p>Veterinary technician training programs must be registered if the facility:</p> <ul style="list-style-type: none"> • owns and houses regulated animals • conducts regulated procedures or research on regulated animals, regardless of who owns or houses the animals <p>Note: See exemption criteria below.</p> <p>Licensed exhibitors must be registered as a research facility and meet all of the applicable standards and regulations if they conduct any of the following activities:</p> <ul style="list-style-type: none"> • biomedical research (using animals as models for human applications) • conducting invasive or painful/distressful procedures for non-husbandry purposes • any research on domestic dogs and cats
Exemptions	<p>The following facilities are exempt from the registration requirement:</p> <ul style="list-style-type: none"> • elementary schools [1.1] • secondary schools [1.1] • research facilities using only non-covered animals [1.1] • Federal research facilities <p>NOTE: Federal research facilities must establish an IACUC and comply with Section 2.31. However, the IACUC reports deficiencies to the head of the Federal agency. [2.37]</p>

- veterinary technician training programs that meet the following criteria:
 - ▶ all the regulated animals used are client-owned (private citizen or shelter/pound)
 - ▶ the procedures are accepted veterinary or husbandry practices
 - ▶ the students are under the supervision of a licensed veterinarian
 - ▶ there is a valid veterinarian-client-patient relationship

A facility conducting research on a minimal number of animals other than dogs and cats may request an exemption from the registration requirement. The exemption request must:

- be in writing
- contain the details of the protocol
- justify why an exemption should be granted
- explain how the design of the protocol meets the intent of the AWA
- contain information on the facility's past and possibly future research activities
- give the name of any Federal funding source, if applicable
- be sent to the appropriate Animal Care Regional Office

OBTAINING A NEW REGISTRATION	All facilities engaging in research activities covered by the AWA must have a valid registration. [2.30]
Criteria	<p>The research facility must:</p> <ul style="list-style-type: none"> • submit a properly completed APHIS Form 7011 (Application for Registration) (see 3.4.4) • have the Institutional Official or CEO sign APHIS Form 7011: <ul style="list-style-type: none"> ▶ certifying that the information provided is true and correct ▶ acknowledging receipt of the regulations and agreeing to comply with the regulations and standards • complete and submit the Taxpayer Identification Number (TIN) sheet (see 3.4.5) • submit the completed Application and TIN sheet to the Animal Care Regional Office for the State in which the principal place of business/headquarters is located
Registering Unit	<p>The registering unit is the lowest independent legal entity which uses or intends to use live animals for research, tests, experiments, or teaching.</p> <p>College or University School or Department: The college or university is considered the research facility, rather than the school or department, UNLESS the school or department demonstrates to the AC Deputy Administrator that:</p> <ul style="list-style-type: none"> • it is a separate legal entity, and • its operations and administration are independent of the college or university <p>Business Corporation The subsidiary of a business corporation is considered the research facility, rather than parent corporation, UNLESS:</p> <ul style="list-style-type: none"> • the subsidiary is under direct control of the parent corporation, and • the AC Deputy Administrator determines that, based on

	<p>this control, the parent corporation is the unit to be registered</p>
	<p>Federal Research Facility A Federal Research Facility is exempt from registration by the USDA.</p>
Registrant	<p>Registrant must provide all of the following information on the Application for Registration:</p> <ul style="list-style-type: none">• name of the research facility• valid mailing address• a list of all locations where animals are housed, used or regulated activities occur• business information requested on APHIS Form 7011• name, title and address of each partner or principal officer <p>Note: It is strongly recommended that a contact person and phone number be submitted with the Application for Registration.</p>
Issuance of a Registration	<p>Registrations are issued to a specific research facility.</p> <p>If a non-registered institution, organization or person acquires or purchases a registered research facility, the new owner must, before conducting any regulated activities:</p> <ul style="list-style-type: none">• properly complete an Application for Registration• file the Application with the appropriate AC Regional Director <p>If two or more registered research facilities merge, and:</p> <ul style="list-style-type: none">• a completely new research facility is formed, the new research facility must:<ul style="list-style-type: none">▶ inform the appropriate AC Regional Office<ul style="list-style-type: none">□ in writing□ by certified mail□ within 10 days of the change▶ have the merged research facilities cancel their registrations

- - ▶ complete a new Application for Registration
- one registered research facility absorbs the other one(s), the research facility must:
 - ▶ inform the appropriate AC Regional Office
 - in writing
 - by certified mail
 - within 10 days of the change
 - ▶ have the absorbed research facility(s) cancel its registration
 - ▶ submit a list of the absorbed research facility's sites or locations which are to be added to the existing registration
 - ▶ complete a new Application for Registration (APHIS Form 7011) ONLY if the Institutional Official, partners, or principal officers change

**U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE**
APPLICATION FOR REGISTRATION
(TYPE OR PRINT)

USDA USE ONLY

Applicant should send four (4) completed copies to this address:

- Research Facility** (Complete items 1, 2, and Sections A, B, and C)
 Exhibitor (Complete items 1, 2, and Sections B and C)
 Carrier (Complete items 1, 2, and Section C)
 Intermediate Handler (Complete items 1, 2, and Section C)

REGISTRATION NO.	DATE REGISTERED
------------------	-----------------

1. REGISTRANT (Name and permanent mailing address, including Zip Code)	2. LOCATION(S) OF BUSINESS, EXHIBITION SITE(S), OR RESEARCH FACILITIES (Use additional sheets if necessary)
--	---

3. DO YOU USE OR INTEND TO USE DOGS OR CATS OR OTHER ANIMALS COVERED BY THE ANIMAL WELFARE ACT <input type="checkbox"/> Yes <input type="checkbox"/> No	4. DO YOU PURCHASE OR TRANSPORT DOGS OR CATS OR OTHER ANIMALS AS DEFINED IN THE ANIMAL WELFARE ACT <input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

SECTION A	5. ARE YOU USING FEDERAL FUNDS TO CARRY OUT RESEARCH, TESTS, OR EXPERIMENTS <input type="checkbox"/> Yes <input type="checkbox"/> No	6. IF "YES" IN ITEM 5, "X" OR SPECIFY <input type="checkbox"/> Grant <input type="checkbox"/> Award <input type="checkbox"/> Loan <input type="checkbox"/> Contract Other (Specify)
	7. NAME OF FEDERAL AGENCY(S) SUPPLYING FUNDS	

8. NAME AND LOCATION OF EACH RESEARCH REPORTING FACILITY (see 9 CFR, Section 2.36) WHERE TEACHING, RESEARCH, TESTS, OR EXPERIMENTS ARE CONDUCTED WITH ANIMALS WHICH ARE COVERED BY THIS REGISTRATION. (Use reverse or attach additional sheets.)

SECTION B					9. NO. ANIMALS USED OR EXHIBITED ANNUALLY (Attach additional sheets if needed)					
A. Dogs		B. Cats		C. Guinea Pigs		D. Hamsters		H. Other (Specify and give No.)		
E. Rabbits		F. Non-human Primates		G. Marine Mammals						

SECTION C	10. NATURE OR ORGANIZATION OR BUSINESS ("X" one) <input type="checkbox"/> Private <input type="checkbox"/> Commercial <input type="checkbox"/> State, County or Municipal <input type="checkbox"/> Federal			11. TYPE OF OPERATION ("X" each applicable operation) <input type="checkbox"/> College or University <input type="checkbox"/> Hospital <input type="checkbox"/> Exhibitor <input type="checkbox"/> Carrier <input type="checkbox"/> Intermediate Handler <input type="checkbox"/> Air <input type="checkbox"/> Rail <input type="checkbox"/> Marine <input type="checkbox"/> Truck					
	12. TYPE OF ORGANIZATION <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Individual <input type="checkbox"/> Association			Other (Specify)			13. STATE WHERE INCORPORATED		14. DATE INCORPORATED

15. IF PARTNERSHIP, IDENTIFY EACH PARTNER OR OFFICER
IF CORPORATION OR ORGANIZATION, IDENTIFY PRINCIPAL OFFICERS (Use reverse, if needed)

A.	NAME	B.	TITLE	C.	ADDRESS (full address, including zip code)

CERTIFICATION

I hereby register as a Research Facility, Exhibitor, Carrier, or Intermediate Handler under the Animal Welfare Act, 7 U.S.C. 2131 et seq. and I certify that the information provided herein is true and correct to the best of my knowledge and belief.

16. SIGNATURE	17. NAME AND TITLE (Type or Print)	18. DATE SIGNED
---------------	------------------------------------	-----------------

ACKNOWLEDGEMENT OF RECEIPT OF REGULATIONS AND STANDARDS

I hereby acknowledge receipt of and agree to comply with all the regulations and standards contained in 9 CFR, Chapter 1, Subchapter A.

19. SIGNATURE	20. NAME AND TITLE (Type or Print)	21. DATE SIGNED
---------------	------------------------------------	-----------------

IMPORTANT

THE FEDERAL DEBT COLLECTION ACT of 1996 requires us to obtain your Taxpayer Identification Number. This would be either your Social Security Number or your Employer Identification Number.

This number is for the purpose of collecting and reporting on any delinquent amounts arising out of a person's relationship with the government.

Our computer system will no longer allow processing of your license renewal without entering on of the above numbers.

We appreciate your cooperation in this matter. Please complete the following blanks and return this with your renewal application.

Your Name _____

License/Registration #: _____

Social Security Number: _____

OR

Employer Identification Number: _____

COMPLIANCE WITH STANDARDS	Each research facility must comply with the regulations set forth in Part 2 and with the standards set forth in Part 3 of Subchapter A-Animal Welfare. [2.30(b), 2.38(k)]
	By signing the APHIS Form 7011 (Application for Registration), the Institutional Official on behalf of the research facility agrees to comply with the regulations and standards for the: <ul style="list-style-type: none">• use• handling• care• treatment• housing, and• transportation of animals
Exemptions/ Exceptions	A research facility may make exemptions or exceptions to the regulations in subpart C of Part 2 and the standards in Part 3 when the exemptions/exceptions are: [2.38(k)] <ul style="list-style-type: none">• specified in the animal activity proposal• justified in the proposal• approved by the IACUC• approved by the APHIS Administrator

**REGISTRATION
UPDATE**

A research facility must submit an update of its registration on or before the expiration date listed on the registration certificate.
[2.30(a)]

Criteria

Registration updates are:

- sent to the research facility at least 60 days prior to the expiration date of the registration
- submitted by the research facility to the AC Regional Office for the State in which the principal place of business/headquarters is located

The research facility must submit the properly completed APHIS Form 7011 (Application for Registration), signed by the Institutional Official:

- certifying that the information on the form is true and correct
- acknowledging receipt of the regulations and standards
- agreeing to comply with regulations and standards

DURATION OF A REGISTRATION	A registration is issued for three years. [2.30(a)]
	<p>A registration is issued for three years and must be updated triennially.</p> <p>A registration shall be valid and effective unless it is voluntarily terminated upon written request of the research facility. Note: The Voluntary Cancellation of License/Registration sheet may be used (see page 3.7.2).</p> <p>If a registration has been terminated, the research facility must apply for a new registration to conduct regulated activities.</p>

VOLUNTARY CANCELLATION OF LICENSE/REGISTRATION

TO: United States Department of Agriculture
Animal and Plant Health Inspection Service
Animal Care

I wish to cancel my license/registration as a USDA licensed or registered

Dealer Exhibitor Research Carrier Intermediate Handler
Facility

LICENSE/REGISTRATION NUMBER _____

NAME _____

ADDRESS _____

CITY, STATE, ZIP CODE _____

TELEPHONE NUMBER () _____

I am discontinuing operations as a dealer, exhibitor, research facility, carrier, or intermediate handler and do voluntarily surrender my license/registration. I understand that if a license or registration is required in the future, it will be necessary to apply for a license/registration and meet all the requirements. Furthermore, I understand that operating without a license/registration is a violation of the Animal Welfare Act and subject to punishment.

MY LICENSE/REGISTRATION CERTIFICATE IS ATTACHED.

I CANNOT RETURN MY LICENSE/REGISTRATION CERTIFICATE BECAUSE:

SIGNATURE _____

DATE _____

PRINT NAME _____

TITLE _____

SITES	A registered research facility may have one or more sites where it conducts regulated activities.
Definitions	<p>Site: All locations within a 35-mile radius of the research facility's headquarters where regulated animals are housed or used in research.</p> <p>Location: A group of housing facilities/research areas on the same premises.</p> <p>Housing facility: Any land, building, barn, shed, trailer, or other structure or area, housing or intended to house regulated animals.</p> <p>Research area: Any land, building, barn, shed, trailer, or other structure or room where research, tests, experiments, or teaching is conducted or intended to be conducted on regulated animals.</p> <p><i>Exception to the definition of a site:</i> If the use of the definition of site causes a major problem at a research facility, consider the following factors and discuss the situation with your supervisor:</p> <ul style="list-style-type: none"> • locations in another State, county, city, or town and less than 35 miles from the research facility's headquarters • a distance of less than 35 miles where travel time between locations is a major factor • organizational structure of the research facility, such as: <ul style="list-style-type: none"> ▶ reporting lines of authority ▶ budget allocations ▶ operations and administrative control • records repository at a location where no animals are housed <p>NOTE: Time necessary to inspect all housing facilities at a site is not sufficient for an exception to the definition.</p>
Reporting of Sites	The research facility must list all locations where animals are housed, used, or held, on the Application For Registration (APHIS Form 7011) and the Annual Report of Research Facility (APHIS Form 7023).

Consolidation of Sites

For consistency throughout the country, existing sites are to be consolidated to meet the new definition of a site.

The inspector may consolidate sites by:

- completing a Request to Add/Delete Sites sheet (see page 3.8.4):
 - ▶ identifying all sites that are being incorporated into an existing or new site number as sites to be “deleted”
 - ▶ identifying any new sites as sites to be “added”
 - ▶ obtaining the signature of the research facility representative
- sending the add/delete site sheet to the Regional Office
- documenting the following on the inspection report:
 - ▶ the name of all locations within a site that were inspected
 - ▶ all previous sites that are being incorporated into an existing or new site number

Addition of a Site

A research facility may add a site to its registration by submitting to the appropriate Animal Care Regional Office, one of the following:

- a letter of notification
- the Request to Add/Delete Site sheet (see page 3.8.4)
- an amended Application for Registration (APHIS Form 7011)

The Regional Office will inform the field inspector of the addition of the new site.

Note: A new research facility site does not have to be inspected prior to its being used to house animals or conduct research.

Deletion of a Site

A research facility may delete a site from its registration by submitting to the appropriate Animal Care Regional Office, one of the following:

- a letter of notification
- the Request to Add/Delete Site sheet (see page 3.8.4)

**Change of
Headquarters Site**

The Regional Office will inform the field inspector of the deletion of the site.

Within the same State:

If the research facility moves its headquarters to another site or to another location within a site:

- the research facility must notify the appropriate Animal Care Regional Office:
 - ▶ in writing
 - ▶ by certified mail
 - ▶ within 10 days of the move

To a different State:

If the research facility moves its headquarters to another State or territory of the U.S., the research facility must:

- notify the appropriate Animal Care Regional Office:
 - ▶ in writing
 - ▶ by certified mail
 - ▶ within 10 days of the move
- complete a new Application for Registration (APHIS Form 7011), and
- submit the new Application to the appropriate AC Regional Office

The Regional Office will inform the field inspector of the headquarters site change.

REQUEST TO ADD/DELETE SITES

Licensee/Registrant Name: _____

License/Registration Number: _____

I/We wish to: Add Delete the following sites:

Site No.: _____ Name/Department: _____

Address: _____

Building: _____

Floor/Room: _____

Contact/Person: _____ Phone No.: _____

Site No.: _____ Name/Department: _____

Address: _____

Building: _____

Floor/Room: _____

Contact/Person: _____ Phone No.: _____

Site No.: _____ Name/Department: _____

Address: _____

Building: _____

Floor/Room: _____

Contact/Person: _____ Phone No.: _____

Facility Signature

Date

Print Name/Title

**NOTIFICATION
OF CHANGE OF
OPERATION**

A research facility must notify the appropriate Animal Care Regional Office of any change of operation. [2.30]

Criteria

Changes in operation include, but are not limited to:

- a change of : [2.30(c)(1)]
 - ▶ name
 - ▶ address
 - ▶ ownership (see below)
 - ▶ headquarters site (see page 3.9.2)
- any change affecting status as a research facility, such as:
 - ▶ no longer conducting research
 - ▶ no longer using regulated species

The AC Regional Office must be notified: [2.30(c)(1)]

- by certified mail
- within 10 days of the change

The Regional Office will inform the field inspector of any change in a research facility's operation.

Change of Ownership

If a non-registered institution, organization or person acquires or purchases a registered research facility, the new owner must, before conducting any regulated activities:

- properly complete an Application for Registration (APHIS Form 7011)
- file the Application with the appropriate AC Regional Director

The previous owner of the registered research facility must:

- inform the appropriate Animal Care Regional Office of the sale or disposition
- in writing
- by certified mail
- within 10 days of the change

- If two or more registered research facilities merge, and:
- a completely new research facility is formed, the new research facility must:
 - ▶ inform the appropriate AC Regional Office
 - in writing
 - by certified mail
 - within 10 days of the change
 - ▶ have the merged research facilities cancel their registrations
 - ▶ complete a new Application for Registration
 - one registered research facility absorbs the other one(s), the research facility must:
 - ▶ inform the appropriate AC Regional Office
 - in writing
 - by certified mail
 - within 10 days of the change
 - ▶ have the absorbed research facility(s) cancel its registration
 - ▶ submit a list of the absorbed research facility's sites or locations which are to be added to the existing registration
 - ▶ complete a new Application for Registration (APHIS Form 7011) ONLY if the Institutional Official, partners, or principal officers change

**Change of
Headquarters Site**

Within the same State:

If the research facility moves its headquarters to another site or to another location within a site:

- the research facility must notify the appropriate Animal Care Regional Office:
 - ▶ in writing
 - ▶ by certified mail
 - ▶ within 10 days of the move

To a different State:

If the research facility moves its headquarters to another State or territory of the U.S., the research facility must:

- notify the appropriate Animal Care Regional Office:
 - ▶ in writing

	<ul style="list-style-type: none">▶ by certified mail▶ within 10 days of the move• complete a new Application for Registration (APHIS Form 7011), and• submit the new Application to the Animal Care Regional Office
Inactive Status	<p>A research facility may request being placed in an inactive status, if for at least 2 years, it has not: [2.30(c)(2)]</p> <ul style="list-style-type: none">• used, or• handled, or• transported regulated animals <p>The inactivation request must be:</p> <ul style="list-style-type: none">• in writing• submitted to the appropriate AC Regional Office [2.30(c)(2)] <p>After inactivation, the research facility must: [2.30(c)(2)]</p> <ul style="list-style-type: none">• file an annual report of its status, i.e., inactive or active• notify the appropriate AC Regional Office at least 10 days prior to restarting any regulated research activities <p>NOTE: An inactive research facility should be inspected at least once a year (see Section 8.5).</p>
Cancellation	<p>A research facility may cancel its registration, if it: [2.30(c)(3)]</p> <ul style="list-style-type: none">• goes out of business, or• ceases to function as a research facility, and• does not plan to:<ul style="list-style-type: none">▶ use, or▶ handle, or▶ transport regulated animals <p>The cancellation request must: [2.30(c)(3)]</p> <ul style="list-style-type: none">• be in writing (Voluntary Cancellation of License/Registration sheet may be used-see page 5.4.37)• be submitted to the appropriate AC Regional Office

The research facility must obtain a new registration if it starts conducting covered activities after its registration has been canceled. [2.30(c)(3)]

4.0 Miscellaneous

Business Information.....	4.1
Holding Facility.....	4.2
Holding Period.....	4.3
Non-APHIS Inspection for Missing Animals.....	4.4
Procurement of Animals.....	4.5
Publication of Names.....	4.6
Random Source Dogs or Cats.....	4.7
Stolen Animals.....	4.8

BUSINESS INFORMATION	A research facility must furnish to any APHIS official any requested information concerning the facility's business in connection with the enforcement of the AWA, regulations, and standards. [2.38(a)]
Criteria	<p>Examples of the type of business information that may be requested include, but are not limited to:</p> <ul style="list-style-type: none">• hours of business operation• invoices or canceled checks• contracts or grants <p>The request for information:</p> <ul style="list-style-type: none">• may be verbal or in writing• should indicate a deadline for responding• should specify if the response needs to be in writing <p>The information provided must be:</p> <ul style="list-style-type: none">• as specified in the request• furnished within the deadline time

HOLDING FACILITY	A research facility must obtain prior approval for a person to hold animals for it. [2.38(i)]
Criteria	<p>The AC Regional Director may grant approval for a person to hold animals for a research facility if all of the following conditions are met:</p> <ul style="list-style-type: none">• the person agrees in writing to comply with all the AWA regulations and standards [2.38(i)(1)]• the person agrees in writing to allow inspection of his/her premises by an APHIS official(s) during business hours [2.38(i)(1)]• the animals remain under the total control and responsibility of the research facility [2.38(i)(2)]• the Institutional Official agrees, in writing, that the premises is a recognized animal site under the research facility's registration [2.38(i)(3)] <p>APHIS Form 7009 (Request for Approval of a Holding Facility) must be used to request an approval. (see page 4.2.2) [2.38(i)(3)]</p>

Public reporting burden for this collection of information is estimated to average 5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, Room 404-W, Washington, D.C. 20250, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503

This collection of information is voluntary. However, no facility may become an Approved Holding Facility unless this form has been completed. After inspection this form will be used to approve or disapprove the facility.

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

FORM APPROVED OMB NO 0579-0038

REQUEST FOR APPROVAL OF HOLDING FACILITY
(Animal Welfare Act 7 U.S.C. 2131 et seq.)
(TYPE OR PRINT)

1. REQUESTOR'S LICENSE OR REGISTRATION NUMBER

INSTRUCTIONS Submit Completed form with original signatures to APHIS, REAC, Sector Supervisor for your location. Applicant must complete a separate request for each Holding Facility location. Items 8 through 9 must be completed by the operator of the Holding Facility before submitting the form to APHIS, REAC, Sector Supervisor.

REQUESTOR'S CERTIFICATION OF AGREEMENT

2. NAME AND ADDRESS OF REQUESTOR (include Zip Code and telephone number)

I certify that the animals to be held at the Holding Facility identified in item 6 below will remain under my (our) total control and responsibility and will be held in compliance with the Regulations and Standards contained in 9 CFR, Chapter 1, Subchapter A. In the case of a registered research facility, the undersigned Chief Executive Officer (C.E.O.) or Institutional Official (I.O.) in item 3 agrees that the premises identified in item 6 below is a recognized animal site under the research facility registration.

3. SIGNATURE (C.E.O. or I.O. in case of registered research facility)

4. NAME AND TITLE (Type or print)

5. DATE SIGNED

HOLDING FACILITY - CERTIFICATION OF AGREEMENT BY OPERATOR

6. NAME AND ADDRESS OF HOLDING FACILITY (include Zip Code and telephone number)

I agree to comply with the Regulations and Standards contained in 9 CFR, Chapter 1, Subchapter A. I further agree to allow APHIS Officials to inspect my premises for use as a Holding Facility for the Licensee or Registrant identified in item 2 above.

7. SIGNATURE OF OPERATOR (or authorized official)

8. NAME AND TITLE (Type or print)

9. DATE SIGNED

APHIS, REAC, SECTOR SUPERVISOR FOR STATE WHERE HOLDING FACILITY IS LOCATED

APPROVED

DISAPPROVED

COPY OF ANIMAL CARE INSPECTION REPORT ATTACHED (APHIS 7008)

10. SIGNATURE OF APHIS, REAC, SECTOR SUPERVISOR

11. DATE SIGNED

APHIS, REAC, SECTOR SUPERVISOR FOR STATE WHERE REQUESTOR IS LOCATED

APPROVED

DISAPPROVED

12. SIGNATURE OF APHIS, REAC, SECTOR SUPERVISOR

13. DATE SIGNED

APHIS FORM 7009
(AUG 91)

(Replaces VS Form 18-9, (SEP 88), which is obsolete)

HOLDING PERIOD	Live dogs & cats acquired by a research facility from unlicensed or nonexempt sources must be held for the required holding period before being used. [2.38(j)]	
Criteria	Live dogs and cats must be held by a research facility for the time periods listed below:	
	IF the source is	THEN the holding period is
	USDA licensed dealer or exhibitor	none
	a city, county or State operated pound or shelter	none
	a private individual who bred and raised the dog/cat on his/her premise and sells 24 or fewer dogs/cats per year to research facilities	none
	a private individual who bred and raised the dog/cat on his/her premise and sells more than 24 dogs/cats per year to research facilities*	5 full days, not including the day of acquisition and the time in transit
	a private individual who did not breed and raise the dog/cat on his/her premises*	5 full days, not including the day of acquisition and the time in transit
	a private pound, contract pound, or shelter**	5 full days, not including the day of acquisition and the time in transit
	* This person needs a USDA license. You (the inspector) should conduct a search. ** If the pound or shelter is selling or receiving any compensation for the dogs/cats, it needs a USDA license. You (the inspector) should conduct a search.	
	NOTE: A dog or cat suffering from disease, emaciation, or injury may be euthanized prior to completion of the holding period. During the holding period, the dog/cat must be identified with a tag, tattoo, collar or microchip. [2.38(g) & (j)]	

**NON-APHIS
INSPECTION
FOR MISSING
ANIMALS**

A research facility must make its place of business, animals, and records available for the purpose of searching for missing animals.
[2.38(d)]

The animals and records must be available:

- during normal business hours
- upon request by:
 - ▶ police officers
 - ▶ officers of other law enforcement agencies, such as:
 - sheriffs
 - marshals
 - U.S. Fish and Wildlife Service officials
 - Office of Inspector General officials

A research facility is required by the AWA and its regulations to allow police or other law officer(s) access to its place of business if the officer meets all of the following conditions:

- the request for access is made during normal business hours
- the research facility is furnished with a written description of the animal and the name and address of the owner before the search
- the officer complies with routine security measures required by the research facility, such as the use of masks, protective clothing and footwear, to prevent the spread of disease or the escape of any animals

A research facility is **not** required by the AWA to allow access to its place of business by agencies limited to enforcement of local animal regulations, such as:

- humane societies
- court-appointed humane investigators
- animal control officers
- private investigators

**PROCUREMENT
OF ANIMALS**

Dogs, cats and other animals must be procured legally and according to the AWA regulations.

Non-Random Source Dogs & Cats

If a research facility acquires dogs or cats from a person not USDA licensed or registered and which is not a pound or a shelter, then the research facility must obtain a certification that:

[2.35(b)(8)]

- the dogs/cats were born and raised on that person's premises, and
- the person has sold fewer than 25 dogs and/or cats that year for regulated purposes

NOTE: Only one certificate is required for each separate transaction, even if more than one dog/cat is obtained at the time. The animals do not have to be individually listed on the certification statement. However, each animal must be individually listed in the research facility's acquisition records so the animal is traceable back to its source.

Donated Dogs & Cats

An individual may donate his/her dog(s) or cat(s) that was not born and raised on his/her premises to a research facility, for example, if the dog/cat has an unusual medical condition. Donation of an animal is not considered a covered activity.

The research facility must have the required acquisition information for the animal.

A certification statement is not required. However, it is recommended that the research facility obtain one from the owner which may include, but not be limited to:

- name of the donor
- a statement that the dog was voluntarily donated to the research facility
- reason for the donation, e.g., dog/cat has a rare disease
- a statement that the dog/cat was not born and raised on the person's property, if applicable
- date the person obtained the animal, OR

- the length of time the person owned the dog/cat if he/she cannot remember the exact acquisition date

Random Source Dogs & Cats

A research facility obtaining live random source dogs or cats from a dealer must obtain certification that contains the following information: [2.133(b) & (f)] (See Section 4.7)

- name, address, USDA license number and signature of the dealer
- name, address, USDA license number/registration number if applicable, and signature of the recipient
- description of each dog or cat
- the species and breed or type
- the sex
- the date of birth or approximate age
- color and any distinctive markings
- official USDA identification number of the animal
- name and address of the person, pound or shelter from whom the dog/cat was obtained
- an assurance that the person, pound or shelter was notified that the dog/cat might be used for research or educational purposes
- a signed statement by the pound or shelter that all the AWA regulations were met, if applicable

A research facility must **not** obtain live dogs or cats by: [2.38(k)]

- false pretenses
- misrepresentation
- deception
- illegal means, i.e., stolen dogs/cats (see Section 4.8)

**PUBLICATION
OF NAMES**

APHIS will publish a list of registered research facilities in accordance with the provisions of Part 2 in the Federal Register. The list may be obtained from the Animal Care Regional Director.
[2.38(c)]

NOTE: This list may be accessed through the AC website at:
<http://www.aphis.usda.gov/ac>

RANDOM SOURCE DOGS OR CATS	No person may obtain live random source dogs or cats by use of fraudulent methods. [2.38(k)(2)]
	<p>Fraudulent methods of obtaining a random source dog/cat include, but are not limited to:</p> <ul style="list-style-type: none">• false pretenses• misrepresentation• deception• stealing <p>If you (the inspector) are suspicious about the source of the dog/cat, you should:</p> <ul style="list-style-type: none">• obtain the source of the animal• check the certification from the random source dealer, if applicable• collect pertinent information about the dog/cat such as:<ul style="list-style-type: none">▶ date of acquisition▶ breed/type▶ sex▶ age/date of birth▶ identification number from tag, tattoo, microchip, etc.▶ color and markings• check the “Missing Pet Network” website at:<ul style="list-style-type: none">▶ www.aphis.usda.gov/ac▶ www.missingpet.net• conduct a traceback to the listed owner of the animal <p>If you discover that the animal may be a missing or stolen animal, contact your SACS.</p>

**STOLEN
ANIMALS**

No person may obtain, sell, or use a stolen animal for any activity regulated by the Animal Welfare Act. [2.38(k)(3)]

A stolen animal may NOT be:

- acquired
- purchased
- sold
- used for research
- offered for transport
- transported

If you (the inspector) are suspicious about the source of an animal, you should:

- obtain the source of the animal
- collect pertinent information about the animal such as:
 - ▶ date of acquisition
 - ▶ species/breed/type
 - ▶ sex
 - ▶ age/date of birth
 - ▶ identification number from tag, tattoo, microchip, ear tag, etc.
 - ▶ color and markings
- check the “Missing Pet Network” website at:
 - ▶ www.aphis.usda.gov/ac
 - ▶ www.missingpet.net
- conduct a traceback to the original owner of the animal

If you discover that the animal may be a missing or stolen animal, contact your SACS.

5.0 Pre-Inspection Procedures

Managing Your Territory.....5.1
Preparing for the Inspection.....5.2
Equipment and Supplies.....5.3
Forms and Sheets.....5.4

**MANAGING
YOUR
TERRITORY**

The inspector is responsible for efficiently scheduling his/her time so that the Agency's inspection goals are met.

Job aids which may be used to manage a field territory include, but are not limited to:

- appropriate maps (State, county, city)
- Risk-Based Inspection System (RBIS) information
- calendar
- area phone books
- LARIS printouts

The inspector should develop a system to efficiently schedule inspection activities.

NOTE: Complaints and prelicense inspections may take precedence over regularly scheduled activities.

Some factors to consider when developing an inspection schedule are:

- RBIS
- location of facility
- proximity of other facilities
- hours of operation of the facility
- time of year, e.g., spring planting, fall harvest
- travel distance
- Animal Care Policy

Map out location of assigned facilities to efficiently plan an inspection schedule.

Vary inspection schedule so that facility inspections do not fall into a predictable pattern.

PREPARING FOR THE INSPECTION	The inspector must review the appropriate information in order to conduct a thorough inspection.
Information	Prior to the inspection, the inspector should review the following information: <ul style="list-style-type: none">• research facility's past inspections• research facility's Annual Report• applicable sections of the regulations and standards• applicable sections of the Animal Care Resource Guide• applicable Animal Care Policies• other relevant resources

**EQUIPMENT &
SUPPLIES**

The inspector must have the proper equipment and supplies either with him/her or in the government vehicle to conduct a thorough inspection of a research facility.

EQUIPMENT

The following equipment is highly recommended:

- laptop computer/printer
- extra printer cartridge
- paper
- blank inspection forms (in case of computer/printer failure)
- reference material, such as:
 - ▶ Subpart A-Animal Welfare
 - ▶ Animal Care Resource Guide
 - ▶ Animal Care Policies
 - ▶ reference texts
- official badge and identification
- business cards
- note pad
- pen/pencil
- tape measure
- thermometer
- flashlight and extra batteries
- camera/video camera and extra batteries
- film/memory card
- Kestrel Weather Meter
- Raytek MiniTemp Thermometer
- rubber boots and/or disposable boots
- soap/disinfectant
- pail and scrub brush for rubber boots
- ear plugs
- First-Aid Kit

The following equipment is optional:

- calculator
- copy machine
- binoculars
- hand counter
- inspection checklists
- coveralls
- towels/paper towels

Special Equipment

Nonhuman Primates

The following equipment is recommended for inspecting facilities with macaques, if within 5 feet of the macaques:

- respirator - Level N95 or better
- coveralls - preferably disposable
- full face shield and eye protection, such as safety glasses or goggles
- disposable gloves
- biological waste bag
- disinfectant
- exposure kit

The following equipment is recommended for inspecting facilities with other nonhuman primates:

- respirator - Level N95 or better

Other Animals

The following equipment is recommended for inspecting elephants:

- respirator - Level N95 or better

NOTE: To wear a respirator, you must meet the APHIS Respirator Program Requirements, i.e., medical clearance and fit testing.

SUPPLIES

The following forms and information should be available for distribution to the research facility/general public by the inspector:

- The Animal Welfare Act
- AWA Regulations & Standards
- Licensing and Registration Under the Animal Welfare Act - Program Aid 1117 (gray booklet)
- Inspection Guides
- Policy Manual
- APHIS Fact Sheets
- prelicense packets and information
- registration packets and information (if your Region has one)
- APHIS Forms for record keeping :
 - ▶ 7005 - Record of Dogs & Cats on Hand

- ▶ 7006 - Record of Disposition of Dogs & Cats
- ▶ 7006A - Continuation Sheet for Record of Disposition of Dogs & Cats
- ▶ 7019 - Record of Animals on Hand (other than Dogs & Cats)
- ▶ 7020 - Record of Disposition (other than Dogs & Cats)
- ▶ 7020A - Continuation Sheet for Record of Disposition of Animals (other than Dogs & Cats)
- Animal Welfare Order Sheet for APHIS record keeping forms
- Application for License-New License (APHIS Form 7003-A)
- Application for Registration (APHIS Form 7011)
- Exercise Plan for Dogs sheets and instructions
- Letter to applicant about handling requirements for dangerous animals
- List of Commercial Tag Manufacturers
- Procedure for Obtaining a Tattoo Code
- Program of Veterinary Care - APHIS Form 7002
- Request to Add/Delete Sites
- Request to Use Microchipping as a Method of Identification
- Taxpayer Identification Number reporting form
- Voluntary Cancellation of License/Registration

**Reference Texts
& Materials**

The following texts and materials are information that you should have for reference. You should check with your SACS before ordering any of these books (see pages 5.3.6 - 5.3.9 for ordering information). If you are unable to find any of these books, contact your SACS or Regional Office.

Industry Standards Related Texts/Materials

- AZA (American Zoological Association) Standards
NOTE: Information from these standards may not be copied and distributed to licensees/registrants.
- Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching - "Ag Guide"
- Guide for the Care and Use of Laboratory Animals - "ILAR Guide"

- Live Animal Regulations (International Air Transport Association)
- Psychological Well-Being of Nonhuman Primates (National Research Council)
- Report of the AVMA Panel on Euthanasia - 2000 Edition

General Reference Texts

- Cat Owner's Home Veterinary Handbook
- Don't Shoot the Dog! The New Art of Teaching and Training
- Encyclopedia of Mammals
- Handling Fish Fed to Fish-Eating Animals
- Handling Frozen/Thawed Meat and Prey Items Fed to Captive Exotic Animals
- Information Resources for Adjuvants and Antibody Production
- Marine Mammal American Cetacean Society Guide
- Marine Mammal Water Quality: Proceedings of a Symposium, Technical Bulletin 1868
- Pictorial Guide to the Living Primates
- Pinnipeds: Seals, Sea Lions and Walruses
- Recognition and Alleviation of Pain and Distress in Laboratory Animals (National Research Council)
- Sierra Club Handbook of Seals and Sirenians
- Sierra Club Handbook of Whales and Dolphins
- Simon & Schuster's Guide to Cats
- Simon & Schuster's Guide to Dogs
- Simon & Schuster's Guide to Mammals
- Sterilization of Marine Mammal Pool Water, Technical Bulletin 1797
- Veterinary Notes for Dog Breeders
- Wild Mammals in Captivity - Principles & Techniques
- Zoo and Wild Animal Medicine - Current Therapy 3

Optional Reference Texts

- Biosafety in Microbiological and Biomedical Laboratories
- Handbook of Veterinary Drugs, 2nd edition
- Merck Veterinary Manual, 8th edition

Miscellaneous

The following miscellaneous forms and information are recommended for the inspector to have:

- Checklist for Animal Care Inspection sheets
- Complaint sheets
- Inspection Report blanks
- photograph labels
- Search for Unlicensed Activity sheets
- State & Territory Identification Codes

ORDERING INFORMATION FOR REFERENCE TEXTS

INDUSTRY STANDARDS RELATED TEXTS & MATERIALS

TITLE	AUTHOR(S)	PUBLISHER	ISBN or Ordering Info
AZA Standards	American Zoological Association		Obtain from Regional Office
Guide for the Care & Use of Agricultural Animals in Ag Research & Teaching	Federation of Animal Science Societies (FASS)	Federation of Animal Science Societies 1111 N. Dunlap Ave. Savoy, IL 61874	Obtain from FASS at 217-356-3182
Guide for the Care & Use of Laboratory Animals	Institute of Laboratory Animal Resources	National Academy Press Washington, DC	0-309-05377-3
Live Animal Regulations - 25th Edition	International Air Transport Association (IATA)	IATA 800 Place Victoria Montreal, Quebec Canada H4Z 1M1	92-9171-077-6
Psychological Well-Being of Nonhuman Primates (The)	National Research Council	National Academy Press Washington, DC	0-309-05233-5
Report of the AVMA Panel on Euthanasia-2000 edition	American Veterinary Medical Association		Obtain from AVMA at www.avma.org

GENERAL REFERENCE TEXTS & MATERIALS

TITLE	AUTHOR(S)	PUBLISHER	ISBN or Ordering Info
Cat Owner's Home Veterinary Handbook	D.G. Carlson & J.M. Griffin	Howell Book House New York, NY	0-87605-796-2
Don't Shoot the Dog!	Karen Pryor	Bantam Books New York, NY	0-553-25388-3

TITLE	AUTHOR(S)	PUBLISHER	ISBN or Ordering Info
Encyclopedia of Mammals (The)	David Macdonald (editor)	Facts on File, Inc New York, NY	0-87196-871-1
Handling Fish Fed to Fish-Eating Animals	Susan Crissey	National Ag Library 10301 Baltimore Ave Beltsville, MD	National Technical Information Srvc. 1-800-553-6847
Handling Frozen/Thawed Meat and Prey Items Fed to Captive Exotic Animals	Susan Crissey Kerri Slifka Pam Shumway Susan Spencer	National Ag Library 10301 Baltimore Ave Beltsville, MD	National Technical Information Srvc. 1-800-553-6847
Information Resources for Adjuvants & Antibody Production	Cynthia Smith (editor)	National Ag Library 10301 Baltimore Ave Beltsville, MD	National Technical Information Srvc. 1-800-553-6847
Marine Mammals American Cetacean Society Guide	Richard Ellis	American Cetacean Society	Available thru www.acsonline.org/ordrform.htm
Marine Mammal Water Quality: Proceedings of a Symposium, Technical Bulletin 1868	John Coakley Richard Crawford	USDA, APHIS	Available from Regional Office
Pictorial Guide to the Living Primates (The)	Noel Rowe	Pogonias Press East Hampton, NY	0-9648825-1-5
Pinnipeds: Seals, Sea Lions & Walruses	Marianne Riedman		0520064984
Recognition and Alleviation of Pain and Distress in Laboratory Animals	National Research Council	National Academy Press Washington, DC	0-309-04275-5
Sierra Club Handbook of Seals and Sirenians (The)	Randall Reeves Brent Stewart & Stephen Leatherwood	The Sierra Club	Available thru www.sierraclub.org/books/

TITLE	AUTHOR(S)	PUBLISHER	ISBN or Ordering Info
Sierra Club Handbook of Whales & Dolphins (The)	Randall Reeves & Stephen Leatherwood	The Sierra Club	Available thru www.sierraclub.org/books/
Simon & Schuster's Guide to Cats	Mordecai Siegal (editor)	Simon & Schuster, Inc New York, NY	0-671-49170-9
Simon & Schuster's Guide to Dogs	Elizabeth Meriwether Schuler (editor)	Simon & Schuster, Inc New York, NY	0-671-25527-4
Simon & Schuster's Guide to Mammals	Sydney Anderson (editor)	Simon & Schuster, Inc New York, NY	0-671-42805-5
Sterilization of Marine Mammal Pool Water, Technical Bulletin 1797	Stephen Spotte	USDA, APHIS	Available on Animal Care website
Veterinary Notes for Dog Breeders	Annette Carricato	Howell Book House New York, NY	0-87605-805-5
Wild Mammals in Captivity - Principles & Techniques	Devra Kleimann (editor)	University of Chicago Press Chicago, IL	0-226-44003-6
Zoo & Wild Animal Medicine - Current Therapy 3	Murray Fowler (editor)	W.B. Saunders Co. Philadelphia, PA	0-7216-3667-5 (3rd edition preferred)

OPTIONAL REFERENCE TEXTS

TITLE	AUTHOR(S)	PUBLISHER	ISBN or Ordering Info
Biosafety in Microbiological & Biomedical Laboratories-4th edition (May 1999)	Jonathan Richmond & Robert McKinney (editors)	Superintendent of Documents U.S. GPO Washington, DC 20402	017-040-00547-4 Superintendent of Documents 202-512-2250

TITLE	AUTHOR(S)	PUBLISHER	ISBN or Ordering Info
Veterinary Drug Handbook, most current edition	Donald Plumb	Iowa State University (ISU) Press Ames, IA	ISU Press 1-800-862-6657
Merck Veterinary Manual (The), most current edition	Susan Aiello, et al	Merck & Company Rahway, N.J.	

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ANIMAL WELFARE ORDER FORM

QUANTITY	APHIS FORM NO.	TITLE AND DESCRIPTION
_____	7005	Record of Dogs and Cats on Hand
_____	7006	Record of Disposition of Dogs and Cats
_____	7006A	Continuation Sheet (Record of Disposition of Dogs and Cats)
_____	7019	Record of Animals other than Dogs and Cats
_____	7020	Record of Disposition of Animals other than Dogs and Cats
_____	7020A	Continuation Sheet (Record of Disposition of Animals other than Dogs and Cats)

ORDERED BY: License/Registration No.: _____

Name: _____

Doing Business As: _____

Address: _____

City, State Zip Code _____

Phone Number: _____
(Include Area Code)

Date: _____

FOR OFFICE USE ONLY

Order filled by: _____

Date: _____

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

DO NOT USE THIS SPACE - OFFICIAL USE ONLY

APPLICATION FOR LICENSE

(TYPE OR PRINT)

NEW LICENSE

SEND THE COMPLETED FORM TO: **USDA, APHIS, AC**

LICENSE NO.	RENEWAL DATE	FEES	
		AMOUNT	DATE RECEIVED

1. NAME(S) OF OWNER(S) AND MAILING ADDRESS

2. ALL BUSINESS NAMES, LOCATIONS, AND ALL SITES HOUSING ANIMALS (P.O. Box not acceptable)

COUNTY: _____ TELEPHONE () _____

COUNTY: _____ TELEPHONE () _____

3. IF PREVIOUSLY LICENSED - NAME AND ADDRESS

4. NAME AND ADDRESS OF OTHER BUSINESS(S) HANDLING ANIMALS IN WHICH APPLICANT/LICENSEE HAS AN INTEREST

PREVIOUS LICENSE NO.:

5. TYPE OF LICENSE

A - Dealer (Breeder) B - Dealer C - Exhibitor

7. NATURE OF BUSINESS (Check item(s) that describe nature of your business)

- | | | |
|---|--|---|
| <input type="checkbox"/> A - Zoo | <input type="checkbox"/> B - Aquariums | <input type="checkbox"/> C - Auction |
| <input type="checkbox"/> D - Breeder | <input type="checkbox"/> E - Pets | <input type="checkbox"/> F - Roadside Zoo |
| <input type="checkbox"/> G - Circus | <input type="checkbox"/> H - Animal Acts | <input type="checkbox"/> I - Carnival |
| <input type="checkbox"/> J - Drive thru Zoo | <input type="checkbox"/> K - Pet Store | <input type="checkbox"/> L - Broker |

6. DATE OF LAST BUSINESS YEAR

FROM			TO		
MO	DAY	YEAR	MO	DAY	YEAR

8. TYPE OF ORGANIZATION

- Partnership Corporation Individual
 Other (Specify) _____

9. LIST OWNERS, PARTNERS, AND OFFICERS

NAME AND TITLE	ADDRESS

10. DEALER ONLY

TOTAL NO. OF ANIMALS PURCHASED IN THE LAST BUSINESS YEAR		DOGS		RABBITS	
TOTAL NO. OF ANIMALS SOLD IN THE LAST BUSINESS YEAR		CATS		NONHUMAN PRIMATES	
TOTAL GROSS AMOUNT DERIVED FROM THE SALE OF ANIMALS		GUINEA PIGS		MARINE MAMMALS	
DOLLAR AMOUNT ON WHICH FEE IS BASED (Sections 2.6 and 2.7)		HAMSTERS		WILD OR EXOTIC MAMMALS	
		OTHER (i.e., farm animals) (List Species and No.)			

11. EXHIBITOR ONLY (No. of animals holding now or held during the last business year, whichever is greater)

CERTIFICATION

I hereby make application for a license under the Animal Welfare Act 7 U.S.C. 2131 et seq. I certify that the information provided herein is true and correct to the best of my knowledge. I hereby acknowledge receipt of and agree to comply with all the regulations and standards in 9 CFR, Subpart A Parts 1, 2 and 3. I certify that I am over 18 years of age.

12. SIGNATURE

13. NAME AND TITLE (Type or Print)

14. DATE

Public reporting burden for this collection of information is estimated to average .25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, Room 404-W, Washington, D.C. 20250, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

FORM APPROVED OMB NO 0578-0036

No license may be issued unless a completed application has been received (7 U.S.C. 2133-2143), and the applicant is in compliance with the standards and regulations Section 2133

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

APPLICATION FOR LICENSE (TYPE OR PRINT)

RENEWAL

DO NOT USE THIS SPACE - OFFICIAL USE ONLY

SEND THE COMPLETED FORM TO:

LICENSE NO.	RENEWAL DATE	FEES	
		AMOUNT	DATE RECEIVED

1. NAME(S) OF OWNER(S) AND MAILING ADDRESS

2. ALL BUSINESS NAMES, LOCATIONS, AND ALL SITES HOUSING ANIMALS (P.O. Box not acceptable)

COUNTY: TELEPHONE ()

COUNTY: TELEPHONE ()

3. IF PREVIOUSLY LICENSED - NAME AND ADDRESS

4. NAME AND ADDRESS OF OTHER BUSINESS(S) HANDLING ANIMALS IN WHICH APPLICANT/LICENSEE HAS AN INTEREST

PREVIOUS LICENSE NO:

5. TYPE OF LICENSE

A - Dealer (Breeder) B - Dealer C - Exhibitor

6. DATE OF LAST BUSINESS YEAR

FROM			TO		
MO	DAY	YEAR	MO	DAY	YEAR

7. NATURE OF BUSINESS (Check item that describes nature of your business)

A - Zoo B - Aquariums C - Auction
 D - Breeder E - Pets F - Roadside Zoo
 G - Circus H - Animal Acts I - Carnival
 J - Drive thru Zoo K - Pet Store L - Broker

8. TYPE OF ORGANIZATION

Partnership Corporation Individual
 Other (Specify) _____

9. LIST OWNERS, PARTNERS, AND OFFICERS

NAME AND TITLE	ADDRESS

10. DEALER ONLY

TOTAL NO. OF ANIMALS PURCHASED IN THE LAST BUSINESS YEAR	
TOTAL NO. OF ANIMALS SOLD IN THE LAST BUSINESS YEAR	
TOTAL GROSS AMOUNT DERIVED FROM THE SALE OF ANIMALS	
DOLLAR AMOUNT ON WHICH FEE IS BASED (Sections 2.6 and 2.7)	

11. EXHIBITOR ONLY (No. of animals holding now or held during the last business year, whichever is greater.)

DOGS		RABBITS	
CATS		NONHUMAN PRIMATES	
GUNEA PIGS		MARINE MAMMALS	
HAMSTERS		WILD OR EXOTIC MAMMALS	
OTHER (i.e., farm animals) (List Species and No.)			

CERTIFICATION

I hereby make application for a license under the Animal Welfare Act 7 U.S.C. 2131 et seq. I certify that the information provided herein is true and correct to the best of my knowledge. I hereby acknowledge receipt of and certify to the best of my knowledge I am in compliance with all the regulations and standards in 9 CFR, Subpart A, Parts 1, 2 and 3. I certify that I am over 18 years of age.

12. SIGNATURE

13. NAME AND TITLE (Type or Print)

14. DATE

APHIS FORM 7003
(JAN 95)

(Previous editions are obsolete.)

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

APPLICATION FOR REGISTRATION

(TYPE OR PRINT)

- Research Facility (Complete items 1, 2, and Sections A, B, and C)
 Exhibitor (Complete items 1, 2, and Sections B and C)
 Carrier (Complete items 1, 2, and Section C)
 Intermediate Handler (Complete items 1, 2, and Section C)

USDA USE ONLY

Applicant should send four (4) completed copies to this address:

REGISTRATION NO.

DATE REGISTERED

1. REGISTRANT (Name and permanent mailing address, including Zip Code)

2. LOCATION(S) OF BUSINESS, EXHIBITION SITE(S), OR RESEARCH FACILITIES (Use additional sheets if necessary)

3. DO YOU USE OR INTEND TO USE DOGS OR CATS OR OTHER ANIMALS COVERED BY THE ANIMAL WELFARE ACT

Yes No

4. DO YOU PURCHASE OR TRANSPORT DOGS OR CATS OR OTHER ANIMALS AS DEFINED IN THE ANIMAL WELFARE ACT

Yes No

SECTION A

5. ARE YOU USING FEDERAL FUNDS TO CARRY OUT RESEARCH, TESTS, OR EXPERIMENTS

Yes No

6. IF "YES" IN ITEM 5, "X" OR SPECIFY

Grant Award Loan Contract

Other (Specify)

7. NAME OF FEDERAL AGENCY(S) SUPPLYING FUNDS

8. NAME AND LOCATION OF EACH RESEARCH REPORTING FACILITY (see 9 CFR, Section 2.36) WHERE TEACHING, RESEARCH, TESTS, OR EXPERIMENTS ARE CONDUCTED WITH ANIMALS WHICH ARE COVERED BY THIS REGISTRATION. (Use reverse or attach additional sheets.)

SECTION B

9. NO. ANIMALS USED OR EXHIBITED ANNUALLY (Attach additional sheets if needed)

A. Dogs

B. Cats

C. Guinea Pigs

D. Hamsters

H. Other (Specify and give No.)

E. Rabbits

F. Non-human Primates

G. Marine Mammals

10. NATURE OR ORGANIZATION OR BUSINESS ("X" one)

Private Commercial
 State, County or Municipal
 Federal

11. TYPE OF OPERATION ("X" each applicable operation)

College or University Hospital Exhibitor
 Carrier Intermediate Handler Air Rail Marine
 Truck

12. TYPE OF ORGANIZATION

Partnership Corporation
 Individual Association

Other (Specify)

13. STATE WHERE INCORPORATED

14. DATE INCORPORATED

15. IF PARTNERSHIP, IDENTIFY EACH PARTNER OR OFFICER

IF CORPORATION OR ORGANIZATION, IDENTIFY PRINCIPAL OFFICERS (Use reverse, if needed)

SECTION C

A. NAME	B. TITLE	C. ADDRESS (full address, including zip code)

CERTIFICATION

I hereby register as a Research Facility, Exhibitor, Carrier, or Intermediate Handler under the Animal Welfare Act, 7 U.S.C. 2131 et seq. and I certify that the information provided herein is true and correct to the best of my knowledge and belief.

16. SIGNATURE

17. NAME AND TITLE (Type or Print)

18. DATE SIGNED

ACKNOWLEDGEMENT OF RECEIPT OF REGULATIONS AND STANDARDS

I hereby acknowledge receipt of and agree to comply with all the regulations and standards contained in 9 CFR, Chapter 1, Subchapter A.

19. SIGNATURE

20. NAME AND TITLE (Type or Print)

21. DATE SIGNED

Name of Licensee/Registrant _____

Site No. _____

Li c./Reg./No. _____

Site Name _____

Date of Inspection _____

FACILITIES (permanent and transport)

	Structure & Construction
	Condition & Site
	Surfaces & Cleaning
	Utilities/Washrooms/Storage
	Drainage & Waste Disposal
	Temperature/Ventilation/Lighting
	Shelter from elements
	Capacity/Perimeter fence/Barrier

PRIMARY ENCLOSURE

	General Requirements
	Space & Additional Requirements
	Protection from Predators

ANIMAL HEALTH AND HUSBANDRY

	Exercise & Socialization
	Environment Enhancement
	Feeding
	Watering
	Cleaning Sanitation
	Housekeeping & Pest Control

OTHER

	Identification
	Records & Holding Period
	Handling
	Veterinary Care
	IACUC
	Personnel Qualifications



USDA, APHIS, Animal Care

ANIMAL WELFARE COMPLAINT

Complaint No. Date Entered Received By

Referred To Reply Due

Facility or Person Complaint Filed Against

Name Customer/License/Registration No.

Address

City State Zip Phone No

Complainant

Name Organization

Address

City State Zip Phone No./Email address

How was complaint received?

Details of Complaint:

Results:

Application packet provided? Yes [] No []

INSPECTOR DATE

REVIEWED BY DATE

EXERCISE PLAN FOR DOGS

Licensee/Registrant Name (Type or Print legibly)

Licensee/Registrant #

The Animal Welfare Act Regulations, Title 9, CFR, Subpart A, Part 3, Section 3.8, requires all licensees and registrants to develop, document, and follow an appropriate exercise plan for their dogs. In addition, the exercise plan must be approved by the attending veterinarian. In developing an exercise plan, you should consider providing positive physical contact with humans that encourages exercise through play or similar activities. If dogs are maintained without sensory contact with other dogs, they must be provided with daily physical contact with humans. Forced methods of exercise, such as treadmills, swimming, or carousels are unacceptable for meeting the exercise requirements.

Please check the appropriate box and, if necessary, describe below:

My dogs are over 12 weeks of age (except bitches with litters), and are housed individually in a cage, pen, or run that provides at least two times the floor space required for that dog, as described in Section 3.6(c)(1).

My dogs are over 12 weeks of age and are housed in compatible groups in a cage, pen, or run that provides, in total, at least 100 percent of the required space for each dog if it were maintained separately.

Other: Please describe the exercise provided to your dogs to meet these requirements (type or print legibly).

A. Frequency:

B. Method:

C. Duration:

I. I have read the regulations pertaining to the need and requirements for a written exercise plan for my dogs and hereby submit this completed "Exercise Plan for Dogs" to meet that requirement.

Licensee/Registrant Signature

Date

II. I have read and approve this exercise plan.

Veterinarian's Name (Type or Print legibly)

Veterinarian's Signature

Date 5.4.9

INSTRUCTIONS FOR EXERCISE PLAN

Each dealer, exhibitor, and research facility must have a written plan of exercise that has been approved by your veterinarian. This written plan must be kept at your facility and must be made available to the USDA inspector upon request.

The following two examples do not require additional opportunity for exercise:

1. Individually housed dogs: Dogs with two times the minimum required floor space do not require additional exercise. Calculate your floor space as follows:

Measure dog from tip of nose to base of tail, add 6 inches to this number.

Multiply: (length of dog ÷ 6 inches) X length of dog ÷ 6 inches).

Answer = minimum floor space in square inches.

DOUBLE the amount of this answer to meet exercise requirements.

2. Dogs in Groups: Dogs maintained in cages or pens that provide each dog with 100% of the minimum required floor space do not require additional exercise.

Multiply: (length of dog ÷ 6 inches) X length of dog ÷ 6 inches).

Answer = minimum floor space in square inches.

DO NOT DOUBLE this answer to meet the exercise requirement space for group housed dogs.

If your dogs are not kept in space that fits into the examples above, you need to develop an additional plan that provides opportunity for exercise. We encourage you to provide positive physical contact with humans that encourages exercise through play or other activities. Allowing access to runs or open areas or leash walking are two more examples of ways to provide exercise. Whatever method you elect to provide, make sure the exercise is provided to the dogs often enough to be beneficial.

Document your exercise plan in writing, have your attending veterinarian approve and sign it, and keep the form available for USDA review along with your other records. Do not send this plan into the Regional Office.



United States
Department of
Agriculture

Marketing and
Regulatory
Programs

Animal and Plant
Health Inspection
Service

Animal Care

Dear Applicant:

Before APHIS can issue a license to you to engage in regulated activities that involve the handling of dangerous or potentially dangerous animals, you must demonstrate compliance with the applicable Animal Welfare Act regulations and standards (including demonstrating that you and your employees have adequate experience and training to handle such animals in accordance with the regulatory requirements). For the safety of the personnel and the animals, we strongly encourage at least two persons be present when working with dangerous animals in a free or potential contact environment.

Exhibitions That Do Not Involve Direct Public Contact With Animals:

The handling regulations require that animals must be handled during public exhibition so that there is minimal risk of harm to the animals and to the public, with sufficient distance and/or barriers between the animals and the general viewing public so as to ensure the safety of the animals and the public. The regulations further require that dangerous animals exhibited to the public must be under the direct control and supervision of a knowledgeable and experienced animal handler. Animal handlers should have demonstrable knowledge of and skill in currently accepted professional standards and techniques in animal training and handling. They should also be able to recognize normal and abnormal behavior and signs of behavioral stress for the species being exhibited, in order to comply with the handling regulations. Handlers must be experienced and be able to apply their knowledge to the safe exhibition of animals. This generally requires at least two years of experience involving the species being exhibited.

Exhibitions That Allow Direct Public Contact With Animals:

Exhibitions that may involve direct public contact include, but are not limited to, circuses, carnivals, elephant rides, photo opportunities, magic acts, and public feeding of animals. The regulations prohibit the use of drugs to facilitate, allow, or provide for public handling of any animals. Public contact with certain dangerous animals may not be done safely under any conditions. In particular, direct public contact with juvenile and adult felines (e.g., lions, tigers, jaguars, leopards, cougars) does not conform to the handling regulations, because it cannot reasonably be conducted without a significant risk of harm to the animal or the public. The handling regulations do not appear to specifically prohibit direct public contact with infant animals, so long as it is not rough or excessive, and so long as there is minimal risk of harm to the animal and to the public. If you intend to





exhibit juvenile or adult¹ large felines (e.g., lions, tigers, jaguars, leopards, cougars), and would like Animal Care to review your proposed exhibition to determine whether it will comply with the handling regulations, please include with your application a description of the intended exhibition, including the number, species, and age of animals involved and the expected public interaction.

The regulations require that a responsible, knowledgeable and readily identifiable employee be present during all periods of public contact. In addition to the handler qualifications described in the preceding section, handlers of animals exhibited in direct contact with the public should have at least one year of experience with public contact exhibition of the species involved.

Only handlers who meet these qualifications should be allowed to handle the animals during public contact. At least two qualified handlers should be present during periods of public contact, and more qualified handlers may be needed depending on the number of animals and circumstances of the exhibition. Comparable alternative safety measure will be considered on an individual basis. Additional personnel may be needed to guard against members of the public inappropriately approaching the animals. These personnel are not required to meet the handler qualifications.

We strongly encourage licensees who operate public contact venues to have a written contingency plan to address restraint, recapture, and/or euthanasia of the animals in the event of aggressive behavior, escape, and/or other emergency situations. Such a plan should include, at a minimum, procedures for handling and recapturing escaped animals, a clear description of the chain of command during such events, criteria for selecting restraint methods, protocols for euthanasia in emergency situations, and provisions for contacting local law enforcement and animal control officials. Emergency equipment identified in the contingency plan (such as CO2 fire extinguishers, high pressure hoses, pepper sprays, darting equipment, chemical restraint drugs, nets, cell phone, 2-way radios, etc.) should be available during all periods of potential public contact.

To facilitate the licensing procedures and to aid in determining whether an applicant can demonstrate compliance with the handler qualification and safety requirements, we request that documentation of handler qualifications and a copy of the contingency plan be submitted to this office for review and determination of acceptability under the Animal Welfare Act.

¹over 3 months of age



Please send all information to this office. If you have any questions, please call this office at _____ during the hours of 7:30 am to 4:00 pm, Monday through Friday.

Sincerely,

Regional Director
Animal Care





INSPECTION REPORT

Name of Licensee/Registrant

Site No.

Lic. / Reg. Number

Business Name (DBA)

Site Name

Date of Inspection

Facility Mailing Address

Site Address

Inspection Time

City, State, Zip (for facility)

Site City, State, Zip (for site)

Inspection Type

NARRATIVE

Multiple horizontal lines for narrative text.

Prepared By: _____

Date: _____

Title: _____, USDA, APHIS, Animal Care

LARIS ID NO. _____

Copy Received By: _____

Date: _____

Title: _____

LIST OF COMMERCIAL TAG MANUFACTURERS

METAL IDENTIFICATION TAGS

Ketchum Manufacturing Company
1285 Avenue of the Americas
New York, NY 10019
646-935-4499

Keyes-Davis Company
Box 1557
74 Fourteenth Street
Battle Creek, MI 49016
269-962-7505
fax: 269-962-4411
sales@keyesdavis.com

National Band & Tag Company
721 York St.
PO Box 72430
Newport, KY 41072-0430
859-261-2035
fax: 1-800-261-8247
tags@nationalband.com

St. Paul Stamp Works
87 Empire Drive.
St. Paul, MN 55103-1856
651-222-2100
fax: 651-228-1314
spsw@stpstamp.com

PLASTIC IDENTIFICATION BANDS

Hollister Company
2000 Hollister Drive
Libertyville, IL 60048
1-800-323-4060

Products International Company
2320 West Holly Street
Phoenix, AZ 85009
602-257-0141



United States
Department of
Agriculture

Marketing and
Regulatory
Programs

Animal and Plant
Health Inspection
Services

Animal Care

Dear Licensee/Registrant

APHIS published a change to the standards which requires all outdoor housing facilities to be enclosed by a perimeter fence that is of sufficient height to keep animals and unauthorized persons out. All facilities must meet this requirement on or before May 17, 2000 or have a variance from this standard.

Potentially dangerous animals require an 8 feet perimeter fence. Examples of these species include, but are not limited to, bears, wolves, rhinoceros, elephants, large felines (lions, tigers, leopards, cougars, jaguars), etc. All other species require a 6 feet perimeter fence. Examples of these species include, but are not limited to, ferrets, raccoons, skunks, elk, deer, antelope, small exotic felines (margay, fishing cat, lynx), etc. The perimeter fence must be located at least 3 feet from the primary enclosure. Fences not meeting these requirements must be approved by the Administrator.

You may request a variance from the perimeter fence requirements if one or more of the following conditions are met:

- the outside walls of the primary enclosures are made of sturdy, durable material and are constructed in a manner that restricts the entry of animals and unwanted persons
- the outdoor housing facility is protected by an effective barrier that restricts the regulated animals to the facility and restricts entry by animals and unwanted persons
- appropriate alternative security measures are used

To request a variance, please submit in writing the following information:

- your name and address
- your business name, if applicable
- license or registration number
- a description of the animal's primary enclosures (size, wall/fence height, construction materials used for the enclosure walls)
- describe the species of animals in each enclosure (number within each enclosure, age, health status)
- describe the location of your facility (rural, urban, remote, residential, closeness of neighbors, etc.)
- description of barrier fence (construction materials of the barrier, distance from enclosure walls, height of barrier)
- description of current perimeter fence (height, construction materials used for the perimeter fence)
- description of alternative security measures, such as security guards/personnel, cameras, alarms, etc.

5.4.16



Animal Care is a part of the Department of Agriculture's Animal and Plant Health Inspection Service.

We recommend you include pictures and/or a drawing of the layout of your facility and enclosures to assist us in evaluating your facility.

Mail your request and supporting documents to:

USDA-APHIS-Animal Care

We appreciate your efforts to comply with the Animal Welfare Act. If you have any questions or concerns, please do not hesitate to call our office at ()

Sincerely,

Regional Director
Animal Care

5.4.17



Animal Care is a part of the Department of Agriculture's Animal and Plant Health Inspection Service.

SUBJECT/NAME _____
LIC/REG/CASE NO. _____
SECTION NO. _____ TIME _____
<u>DESCRIPTION OF PHOTOGRAPH</u>
PHOTOGRAPHER _____ DATE _____

SUBJECT: Procedures for Obtaining a Tattoo

This is to clarify the policy and proper procedures to follow when a licensee requests a tattoo.

The tattoo identification will be assigned from the Regional Office. Each licensee who wishes to use tattoos to identify his or her animals will be assigned a code for identification to include the type of business and the State in which he or she is licensed. In addition to the dealer's codes assigned, the dealer will be required to add the necessary numbers to the tattoo to uniquely identify each animal.

Licensees having dogs or cats identified with tattoos that received prior Department approval will be allowed to retain the old tattoo identification on these animals and use the new tattoo identification on any additional animals acquired.

If you wish to continue to use tattoo identification for your animals, please write to request an assigned tattoo code for your facility. Please direct your request to:

(Name -- Regional Director)
Director - _____ Region
USDA, APHIS, AC
Street Address
City State Zip Code

Should you have any questions regarding this matter, please feel free to contact our office at: (Phone No.: (Area Code) _____)

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

FORM APPROVED OMB NO. 0579-0036

ANIMAL CARE
(Program of Veterinary Care for Research Facilities or Exhibitors/Dealers)

OFFICE USE ONLY

DATE RECEIVED

SECTION I. A PROGRAM OF VETERINARY CARE (PVC) HAS BEEN ESTABLISHED BETWEEN:

A. LICENSEE/REGISTRANT		B. VETERINARIAN
1. NAME		1. NAME
2. BUSINESS NAME		2. CLINIC
3. USDA LICENSE/REGISTRATION NUMBER		3. STATE LICENSE NUMBER
4. MAILING ADDRESS		4. BUSINESS ADDRESS
5. CITY, STATE AND ZIP CODE		5. CITY, STATE AND ZIP CODE
6. TELEPHONE NO. (Home)	TELEPHONE NO. (Business)	6. TELEPHONE NO. (Business)

This is a form that may be used for the Program of Veterinary Care. Also, this form may be used as a guideline for the written Program of Veterinary Care as required.

The attending veterinarian shall establish, maintain and supervise programs of disease control and prevention, pest and parasite control, pre-procedural and post-procedural care, nutrition, euthanasia and adequate veterinary care for all animals on the premises of the licensee/registrant. A written program of adequate veterinary care between the licensee/registrant and the doctor of veterinary medicine shall be established and reviewed on an annual basis. By law, such programs must include regularly scheduled visits to the premises by the veterinarian. Scheduled visits are required to monitor animal health and husbandry.

Pages or blocks which do not apply to the facility should be marked N/A. If space provided is not adequate for a specific topic, additional sheets may be added. Please indicate Section and Item Number.

I have read and completed this Program of Veterinary Care, and understand my responsibilities.

Regularly scheduled visits by the veterinarian will occur at the following frequency:
_____ (minimum annual).

C. SIGNATURE OF LICENSEE/REGISTRANT	DATE
D. SIGNATURE OF VETERINARIAN	DATE

CHECK IF N/A

SECTION II. DOGS AND CATS

A. VACCINATIONS - SPECIFY THE FREQUENCY OF VACCINATION FOR THE FOLLOWING DISEASES

	CANINE			FELINE	
	JUVENILE	ADULT		JUVENILE	ADULT
PARVOVIRUS			PANLEUK		
DISTEMPER			RESP. VIRUSES		
HEPATITIS			RABIES		
LEPTOSPIROSIS			OTHER (Specify)		
RABIES					
BORDETELLA					
OTHER (Specify)					

B. PARASITE CONTROL PROGRAM - DESCRIBE THE FREQUENCY OF SAMPLING OR TREATMENT FOR THE FOLLOWING:

1 ECTOPARASITES (Fleas, Ticks, Mites, Lice, Flies)

2 BLOOD PARASITES (Heartworm, Babesia, Ehrlichia, Other)

3 INTESTINAL PARASITES (Fecals, Deworming)

C EMERGENCY CARE - DESCRIBE PROVISIONS FOR EMERGENCY, WEEKEND AND HOLIDAY CARE

D. EUTHANASIA

1 SICK, DISEASED, INJURED OR LAME ANIMALS SHALL BE PROVIDED WITH VETERINARY CARE OR EUTHANIZED. EUTHANASIA WILL BE IN ACCORDANCE WITH THE AVMA RECOMMENDATIONS AND WILL BE CARRIED OUT BY THE FOLLOWING:

VETERINARIAN

LICENSEE/REGISTRANT

2 METHOD(S) OF EUTHANASIA

E. ADDITIONAL PROGRAM TOPICS - THE FOLLOWING TOPICS HAVE BEEN DISCUSSED IN THE FORMULATION OF THE PROGRAM OF VETERINARY CARE

Congenital Conditions

Quarantine Conditions

Nutrition

Anthelmintic alternation

Other (Specify) _____

Exercise Plan (Dogs)

Proper Handling of Biologics

Venereal Diseases

Pest Control and Product Safety

Proper Use of Analgesics and Sedatives

CHECK IF N/A

SECTION III. WILD AND EXOTIC ANIMALS

A. VACCINATIONS - LIST THE DISEASES FOR WHICH VACCINATIONS ARE PERFORMED AND THE FREQUENCY OF VACCINATIONS (Enter N/A if not applicable)

CARNIVORES

HOOFED STOCK

PRIMATES

ELEPHANTS

MARINE MAMMALS

OTHER (Specify)

B. PARASITE CONTROL PROGRAM - DESCRIBE THE FREQUENCY OF SAMPLING OR TREATMENT FOR THE FOLLOWING

1. ECTOPARASITES (Fleas, Ticks, Mites, Lice, Flies)

2. BLOOD PARASITES

3. INTESTINAL PARASITES

C. EMERGENCY CARE

1. DESCRIBE PROVISIONS FOR EMERGENCY, WEEKEND AND HOLIDAY CARE

2. DESCRIBE CAPTURE AND RESTRAINT METHOD(S)

D. EUTHANASIA

1. SICK, DISEASED, INJURED OR LAME ANIMALS SHALL BE PROVIDED WITH VETERINARY CARE OR EUTHANIZED. EUTHANASIA WILL BE IN ACCORDANCE WITH THE AVMA RECOMMENDATIONS AND WILL BE CARRIED OUT BY THE FOLLOWING:

VETERINARIAN

LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

E. ADDITIONAL PROGRAM TOPICS - THE FOLLOWING TOPICS HAVE BEEN DISCUSSED IN THE FORMULATION OF THE PROGRAM OF VETERINARY CARE

Pest Control and Product Safety

Quarantine Procedures

Zoonoses

Other (Specify) _____

Environment Enhancement (Primates)

Water Quality (Marine Mammals)

Species-specific Behaviors

Proper Storage and Handling of Drugs and Biologics

Proper Use of Analgesics and Sedatives

F. LIST THE SPECIES SUBJECTED TO TB TESTING, AND THE FREQUENCY OF SUCH TESTS

A. INDICATE SPECIES

B. VACCINATIONS - LIST THE DISEASES FOR WHICH VACCINATIONS ARE PERFORMED AND THE FREQUENCY OF VACCINATIONS
(Enter N/A if not applicable)

C. PARASITE CONTROL PROGRAM - DESCRIBE THE FREQUENCY OF SAMPLING OR TREATMENT FOR THE FOLLOWING

1. ECTOPARASITES (Fleas, Ticks, Mites, Lice, Flies)

2. INTERNAL PARASITES (Helminths, Coccidia, Other)

D. EMERGENCY CARE - DESCRIBE PROVISIONS FOR EMERGENCY, WEEKEND AND HOLIDAY CARE

E. EUTHANASIA

1. SICK, DISEASED, INJURED OR LAME ANIMALS SHALL BE PROVIDED WITH VETERINARY CARE OR EUTHANIZED. EUTHANASIA WILL BE IN ACCORDANCE WITH THE AVMA RECOMMENDATIONS AND WILL BE CARRIED OUT BY THE FOLLOWING:

VETERINARIAN

LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

F. ADDITIONAL PROGRAM TOPICS - THE FOLLOWING TOPICS HAVE BEEN DISCUSSED IN THE FORMULATION OF THE PROGRAM OF VETERINARY CARE

Pasteurellosis

Pododermatitis

Cannibalism

Wet Tail

Other (Specify)

Species Separation

Malocclusion/Overgrown Incisors

Pest Control and Product Safety

Handling



Program of Veterinary Care Instructions



- The enclosed Program of Veterinary Care (PVC) should be completed and signed by your attending veterinarian and must be signed by you.
- Keep the properly completed PVC as part of your records that will be reviewed by your USDA inspector.
- **DO NOT** send the completed PVC form to USDA Regional Office.
- You need a new PVC form only if you change your attending veterinarian.
- You need to update your PVC form and have it re-signed by your attending veterinarian any time you add a new species of animal to your facility or make any other changes in the veterinary care you are providing.
- This sheet may be used as a means to document your attending veterinarian's visit to your facility. If you choose to use it for that purpose, have your attending veterinarian sign and date this sheet during each visit to your facility. Your attending veterinarian must visit your facility at least once each year. This sheet should be kept with your PVC.

_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date

This record is required by law (7 USC 2131-2166), 19 CFR, Subchapter A, Parts 1, 2, and 3). Failure to maintain this record can result in a suspension or revocation of license and/or imprisonment for not more than 1 year, or a fine of not more than \$1,000, or both.

RECORD OF ACQUISITION AND DOGS AND CATS ON HAND

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

See reverse side for OMB information

FORM APPROVED
OMB NO. 0678-0036

1. RECORD FOR ("X")		USDA LICENSE OR REGISTRATION NO.		2. NAME AND ADDRESS OF LICENSEE, REGISTRANT, OR HOLDING FACILITY		3. BUSINESS YEAR		4. PAGE NO.		
<input type="checkbox"/> Dealer <input type="checkbox"/> Holding Facility (Submit copy to Dealer) <input type="checkbox"/> Other <input type="checkbox"/> Exhibitor (Dogs and Cats only)						FROM (Mo. Day, Yr.) TO (Mo. Day, Yr.)				
IDENTIFICATION OF EACH ANIMAL BEING DELIVERED (See reverse for Breed Abbreviations)										
A.	B.	C.	D.	E.	F.	G.	H.	I.	J.	K.
TATTOO OR USDA TAG NO.	DOG "X" IM or F	CAT	AGE OR DATE OF BIRTH	WT.	BREED OR TYPE (If mixed breed, list 2 dominant breeds)	DESCRIPTION OF ANIMAL (Color, Distinctive Marks, Hair, Tail Tattoos, etc.)	DATE ACQUIRED	NAME AND ADDRESS USDA LICENSE OR REGISTRATION NUMBER, OR DRIVER'S LICENSE NUMBER AND STATE, VEHICLE LICENSE NUMBER AND STATE.	Date Removed or Sold	Date Died or Euthanized (Specify)
	M									
		F								
	M									
		F								
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		F								
5.4.25										
							TOTAL NO. ANIMALS ENTERED SINCE LAST INSPECTION	COUNT TOTAL NO. ANIMALS ACTUALLY DIFFERENCE (+ OR -)		INITIALS
							LAST INSPECTION (Date)	DATE		
APHIS FORM 7006 (JUN 96)		INSPECTOR USE ONLY								

Public reporting burden for this collection of information is estimated to average 16 annual hours per recordkeeper, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, AG Box 7630, Washington, D.C. 20250, and to the office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503

BREED ABBREVIATIONS - DOGS (Column F)

Afghan Hound	- AH	Dachshund	- DH	Komondor	- KM	Shih-tzu	- SI
Airedale Terrier	- AD	Dalmation	- DL	Labrador Retriever	- LR	Silky Terrier	- ST
Alfafa	- AK	Doberman	- DB	Lhasa Apso	- LA	Sptz	- SZ
American Bull Terrier	- AB	Elkhound	- EH	Malamute	- MM	Springer Spaniel	- SR
Basenji	- BS	English Bulldog	- EB	Mastiff	- MA	Staffordshire Bull Terrier	- SA
Basset Hound	- BH	English Setter	- ES	Maltese	- MT	Walker	- WK
Beagle	- BE	Eskimo Dog	- ED	Miniature Pinscher	- MP	Weimaraner	- WI
Bedlington Terrier	- BL	Foxhound	- FH	Newfoundland	- NF	Welsh Corgi	- WC
Bichon Frise	- BF	Fox Terrier	- FT	Old English Sheepdog	- OE	Whippet	- WH
Black and Tan Coonhound	- BT	French Bulldog	- FB	Pekingese	- PK	Yorkshire Terrier	- YT
Blueback	- BK	German Shepherd	- GS	Pomeranian	- PM	Other (Specify)	
Boston Terrier	- BO	German Short Haired Pointer	- SH	Poodle	- PO		
Boxer	- BX	Golden Retriever	- GR	Pug	- PU		
Bullmastiff	- BM	Gordon Setter	- GO	Redbond Coonhound	- RB		
Cairn Terrier	- CT	Great Dane	- GD	Rhodesian Ridgeback	- RR		
Catahoula	- CU	Great Pyrenees	- GP	Rotweiler	- RW		
Chihuahua	- CA	Greyhound	- GH	Saint Bernard	- SB		
Chinese Crested Dog	- CD	Husky	- HK	Samoyed	- SM		
Chow-Chow	- CC	Insh Setter	- IS	Schipperkee	- SK		
Cocker Spaniel	- CK	Jack Russel Terrier	- JR	Schnauzer	- SN		
Collie	- CL	Keeshond	- KH	Scottish Terrier	- SC		
Coonhound (Specify)	- CH	King Charles Spaniel	- KC	Shar-pei	- SP		

CATS (Col F)

Abyssinian	- AH	Persian	- PR	Hound Crossbreed	- HX
Burmese	- BU	Russian Blue	- RB	Terrier Crossbreed	- TX
Domestic Long Hair	- DL	Rex	- RE	Sheperd Crossbreed	- SX
Domestic Short Hair	- DS	Siamese	- SI	Spaniel Crossbreed	- PX
Himalayan	- HM	Other (Specify)			
Maine Coon	- MC				
Manx	- MX				

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

FORM APPROVED OMB NO 0579-0036

RECORD OF DISPOSITION OF DOGS AND CATS

SALE EXCHANGE OR TRANSFER DONATION

1. DATE OF DISPOSITION

2. PAGE

1 OF

INSTRUCTIONS: Complete applicable items 1 through 8. Original and USDA Copy to be retained by seller. Buyer's Copy to accompany shipment. It must be retained by Buyer.

3. SELLER OR DONOR (Name & Address)

4. BUYER OR RECEIVER (Name)

3A. DEALER'S LICENSE NO. OR RESEARCH FACILITY REGISTRATION NO. (Seller)

4A. USDA LICENSE NO. OR RESEARCH FACILITY REGISTRATION NO (if any)

5. IDENTIFICATION OF EACH ANIMAL BEING DELIVERED (See reverse for Breed Abbreviations for Dogs and Cats) *If mixed breed, list 2 dominant breeds

COMPLETE ITEMS A THRU G FOR EACH ANIMAL

IDENTIFICATION NUMBER	DOG		CAT		AGE OR DATE OF BIRTH	WT.	BREED OR TYPE *	DESCRIPTION OF ANIMAL (Color, Distinctive Marks, Hair, Tail, Tattoos, etc.)
	M	F	M	F				
A	B	C	D	E	F	G		
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
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	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				

6. DELIVERY BY (Check one and complete applicable items 7 and 8)

COMMERCIAL SHIPPER BUYER'S VEHICLE SELLER'S VEHICLE

7. NAME AND ADDRESS OF COMPANY OR FIRM (Include Zip Code)

8. NAME AND BUSINESS ADDRESS OF TRUCK DRIVER (Include Zip Code)

9. RECEIVED BY

10. SIGNATURE

11. TITLE

12. DATE

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, Room 404-W, Washington, DC 20250, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503

BREED ABBREVIATIONS - DOGS (Col. F)

Alghan Hound	- AH	English Setter	- ES	Pomeranian	- PM
Airedale Terrier	- AD	Eskimo Dog	- ED	Poodle	- PO
Akita	- AK	Foxhound	- FH	Pug	- PU
American Bull Terrier	- AB	Fox Terrier	- FT	Redbone Coonhound	- RB
Basenji	- BS	French Bulldog	- FB	Rhodesian Ridgeback	- RR
Basset Hound	- BH	German Shepard	- GS	Rottweiler	- RW
Beagle	- BE	German Short Haired Pointer	- SH	Saint Bernard	- SB
Bedlington Terrier	- BL	Golden Retriever	- GR	Samoyed	- SM
Bichon Frise	- BF	Gordon Setter	- GO	Schipperkee	- SK
Black and Tan Coonhound	- BT	Great Dane	- GD	Schnauzer	- SN
Blastick	- BK	Great Pyrenees	- GP	Scottish Terrier	- SC
Boston Terrier	- BO	Greyhound	- GH	Shar-pei	- SP
Boxer	- BX	Husky	- HK	Shetland Sheepdog	- SS
Bullmastiff	- BM	Irish Setter	- IS	Shih-tzu	- SI
Cairn Terrier	- CT	Jack Russell Terrier	- JR	Silky Terrier	- ST
Catahoula	- CU	Keeshond	- KH	Sptz	- SZ
Chihuahua	- CA	King Charles Spaniel	- KC	Springer Spaniel	- SR
Chinese Crested Dog	- CD	Komondor	- KM	Staffordshire Bull Terrier	- SA
Chow-Chow	- CC	Labrador Retriever	- LR	Walker	- WK
Cocker Spaniel	- CK	Lhasa Apso	- LA	Weimaraner	- WI
Collie	- CL	Malamute	- MA	Welsh Corgi	- WC
Coonhound (Specify)	- CH	Mastiff	- MA	Whippet	- WH
Dachshund	- DH	Maltese	- MT	Yorkshire Terrier	- YT
Dalmation	- DL	Miniature Pinscher	- MP	Other (specify)	
Doberman	- DB	Newfoundland	- NF		
Elkhound	- EH	Old English Sheepdog	- OE		
English Bulldog	- EB	Pekingese	- PK		

BREED ABBREVIATIONS - CATS (Col. F)

Abyssinian	- AB	Manx	- MX	Other (specify)	
Burmese	- BU	Persian	- PR		
Domestic Long Hair	- DL	Russian Blue	- RB		
Domestic Short Hair	- DS	Rex	- RE		
Himalayan	- HM	Siamese	- SI		
Maine Coun	- MC				

TYPE (Col. F)

Hound Crossbreed	- HX
Terrier Crossbreed	- TX
Sheperd Crossbreed	- SX
Spaniel crossbreed	- PX

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

FORM APPROVED OMB NO 0579-0036

**CONTINUATION SHEET FOR
RECORD OF DISPOSITION OF DOGS AND CATS**

1. DATE OF DISPOSITION

2. PAGE

SALE EXCHANGE OR TRANSFER DONATION

OF

3. SELLER OR DONOR (Name & Address)

4. BUYER OR RECEIVER (Name)

3A. DEALER'S LICENSE NO. OR RESEARCH FACILITY REGISTRATION NO. (State)

4A. USDA LICENSE NO. OR RESEARCH FACILITY REGISTRATION NO. (if any)

5. IDENTIFICATION OF ANIMALS BEING DELIVERED *If mixed breed, list 2 dominant breeds

IDENTIFICATION NUMBER	COMPLETE ITEMS A THRU G FOR EACH ANIMAL							
	DOG		CAT		AGE OR DATE OF BIRTH	WT	BREED OR TYPE *	DESCRIPTION OF ANIMAL (Color, Distinctive Marks, Hair, Tail, tattoos, etc)
	B	C	M OR F	M				
A	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
	M	F	M	F				
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	M	F	M	F				

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Agriculture, Clearance Officer, OIRAd, Room 404-W, Washington, D.C. 20250, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

RECORD OF ACQUISITION, DISPOSITION OR TRANSPORT
OF ANIMALS (Other Than Dogs and Cats)

SALE EXCHANGE OR TRANSFER DONATION

INSTRUCTIONS: Complete applicable Items 1 through 13. Original and one copy to accompany animals. When delivery is made - Items 14 through 20 must be completed. Original retained by Buyer (Receiver) and copy one returned to Dealer (Seller or Donor). Copy two to be retained by Dealer (Seller or Donor). Attach Continuation Sheet (APHIS FORM 7020A) as needed.

1. INVOICE NO. 2. PAGE
1 OF

3. DATE OF DISPOSITION

4. DEALER'S LICENSE NO.

4. SELLER OR DONOR (Name and Address, include Zip Code)

6. BUYER OR RECEIVER (Name and Address, include Zip Code)

7. USDA LICENSE NO. (If any)

B. IDENTIFICATION OF ANIMALS BEING DELIVERED

A. CON- TAINER TAG NO., CRATE OR PEN NO.	B. NO. ANI- MALS	C. PREVIOUS INVOICE NO. (if any)	D. INDIVIDUAL IDENT., TATTOOS, TAG NOS. (if applicable)	E. SPECIES	F. AGE - SEX		H. EST. WEIGHT (lbs.)	I. REMARKS (Condition, etc.)	RECEIVER'S USE	
					G. NO. YOUNG	G. NO. ADULT			J.	K.
					M	F	M	F		
					M	F	M	F		
					M	F	M	F		
					M	F	M	F		
					M	F	M	F		
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					M	F	M	F		
					M	F	M	F		
					M	F	M	F		

DELIVERY BY COMMERCIAL CARRIER

9. DELIVERY BY ("X" one)
 Buyer's Truck Dealer's Truck (Seller or Donor)

10. TRUCK LICENSE NO.

11. BILL OF LADING NO.

12. NAME AND ADDRESS OF COMPANY OR FIRM

13. NAME AND ADDRESS OF TRUCK DRIVER

DELIVERY RECEIPT - TO BE COMPLETED BY BUYER OR RECEIVER

14. ANIMALS DELIVERED WERE ("X" one)
 IN APPARENT GOOD CONDITION POOR CONDITION REJECTED (Attach explanation for rejection)

15. TOTAL NUMBER RECEIVED 16. NUMBER DEAD 17. NUMBER ALIVE

18. BY (Signature) 19. TITLE 20. DATE

Public reporting burden for this collection of information is estimated to average 1.7 annual hours per recordkeeper, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, Room 404-W, Washington, D.C. 20250, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

APHIS FORM 7020 (Reverse)

5.4.33

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

CONTINUATION SHEET FOR
RECORD OF ACQUISITION, DISPOSITION OR TRANSPORT
OF ANIMALS

(Other than Dogs and Cats)

SALE EXCHANGE OR TRANSFER DONATION

1. INVOICE NO.

2. PAGE

OF

3. DATE OF DISPOSITION

4. DEALER'S LICENSE NO.

4. SELLER OR DONOR (Name)

6. BUYER OR RECEIVER (Name)

8. IDENTIFICATION OF ANIMALS BEING DELIVERED

A. CON- TAINER TAG NO., CRATE OR PEN NO.	B. NO. ANI- MALS	C. PREVIOUS INVOICE NO. (if any)	D. INDIVIDUAL IDENT., TATTOOS, TAG NOS. (if applicable)	E. SPECIES	AGE - SEX		H. EST. WEIGHT (lbs.)	I. REMARKS (Condition, etc.)	RECEIVER'S USE	
					F. NO. YOUNG	G. NO. ADULT			J.	K.
					M / F	M / F				
					M / F	M / F				
					M / F	M / F				
					M / F	M / F				
					M / F	M / F				
					M / F	M / F				
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Public reporting burden for this collection of information is estimated to average 17 annual hours per recordkeeper, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, Room 404-W, Washington, D.C. 20250, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

APHIS FORM 7020A (Reverse)

RE: Request for USDA License

_____ Date _____
 _____ Phone Number: _____
 _____ County: _____

Enclosed are information and forms for licensing under the Animal Welfare Act (AWA).

Copies of the AWA regulations and standards are enclosed for your information; the different license classes are outlined on Page 2 in Part 1, Section 1.1, of the 9CFR (Definitions). If your operation meets the definition of a Class A, B, or C license, complete the enclosed Application for License (APHIS Form 7003-A) and return it to our office with a check, money order, or credit card authorization for the \$10.00 for the nonrefundable application fee. CASH PAYMENTS CANNOT BE ACCEPTED.

The enclosed Program of Veterinary Care (PVC) should be completed and signed by your veterinarian and must be signed by you. Keep the properly completed PVC as a part of your records that will be reviewed by your USDA inspector. DO NOT send the completed PVC form to this office.

Following receipt of your application and the \$10.00 application fee, one of our field representatives will be assigned to make a prelicense inspection of your facility. Once your facility and records are in compliance with all regulations and standards, you will be asked to submit your annual license fee. Do not submit the annual license fee until you are in compliance. Upon receipt of all necessary paperwork, inspections, and fees, your license will be issued. You must not engage in any activities covered under the AWA without first obtaining a license.

The licensing process must be completed within 90 days after your initial prelicense inspection. If your facility is not in compliance with the regulations and standards on the initial inspection, you will be allowed two additional inspections within the 90-day period. If the facility is still not in compliance by the third inspection or the 90 days has elapsed, your application will be closed and you must wait six (6) months before submitting a new application.

Please call (phone no: _____) between (office hours: _____) with any questions.

Sincerely,

(Name -- Regional Director)
 Director - Animal Care
 _____ Region

Inspector: _____

Enclosure: Application Kit

5.4.36

REQUEST TO ADD/DELETE SITES

Licensee/Registrant Name: _____

License/Registration Number: _____

I/We wish to: Add Delete the following sites:

Site No.: _____ Name/Department: _____

Address: _____

Building: _____

Floor/Room: _____

Contact/Person: _____ Phone No.: _____

Site No.: _____ Name/Department: _____

Address: _____

Building: _____

Floor/Room: _____

Contact/Person: _____ Phone No.: _____

Site No.: _____ Name/Department: _____

Address: _____

Building: _____

Floor/Room: _____

Contact/Person: _____ Phone No.: _____

Facility Signature

Date

Print Name/Title

Request to Use Microchipping as a Method of Identification

(Submit completed form to appropriate regional office)

Name of Business: _____ Name of Owner: _____

Address: _____

City _____ State _____ Zip _____

USDA Lic./Reg. Number _____ USDA Tattoo# (if any) _____

Microchip Information:

Manufacturer and/or Model of Microchip and Reader _____

Location of Microchip (For example: left side of neck)

* The location of the chip must be consistent from animal to animal

I accept and understand that:

- The microchip scanner must be readily available to APHIS officials.
- Animal identification records must indicate the microchip number, the manufacturer of the chip, and the approximate location of the microchip in the animal.
- When sold or given to another regulated facility, animals with a microchip must have an official tag or tattoo if the new facility does not have a compatible scanner.
- APHIS may revoke an approval at any time if the microchipping system is discovered to be ineffective.

Licensee/Registrant Signature _____

Date _____

Approved by APHIS Official _____

Date _____



USDA, APHIS, Animal Care

SEARCH FOR UNLICENSED ACTIVITY

Search Conducted by _____ Date Conducted _____

Name of Establishment _____ Customer No. if applicable _____

Person Contacted _____

Address _____

City _____ State _____ Zip _____ Phone No _____

Reason for search _____

Regulated activity verified Yes No Non-compliances present Yes No Inspection Report done? Yes No

Application packet and information provided? Yes No

Details of Search:

INSPECTOR _____ DATE _____
REVIEWED BY _____ DATE _____

State and Territory Identification Codes National Uniform Tag Code Number

Arranged Alphabetically			
Alabama	64	Montana	81
Alaska	96	Nebraska	47
Arizona	86	Nevada	88
Arkansas	71	New Hampshire	12
California	93	New Jersey	22
Colorado	84	New Mexico	85
Connecticut	16	New York	21
Delaware	50	North Carolina	55
Dist. Of Columbia	10	North Dakota	45
Florida	58	Ohio	31
Georgia	57	Oklahoma	73
Guam	97	Oregon	92
Hawaii	95	Pennsylvania	23
Idaho	82	Puerto Rico	94
Illinois	33	Rhode Island	15
Indiana	32	South Carolina	56
Iowa	42	South Dakota	46
Kansas	48	Tennessee	63
Kentucky	61	Texas	74
Louisiana	72	Utah	87
Maine	11	Vermont	13
Maryland	51	Virginia	52
Massachusetts	14	Virgin Islands	98
Michigan	34	Washington	91
Minnesota	41	West Virginia	54
Mississippi	65	Wisconsin	35
Missouri	43	Wyoming	83

Arranged Numerically			
10	Dist. of Columbia	56	South Carolina
11	Maine	57	Georgia
12	New Hampshire	58	Florida
13	Vermont	61	Kentucky
14	Massachusetts	63	Tennessee
15	Rhode Island	64	Alabama
16	Connecticut	65	Mississippi
21	New York	71	Arkansas
22	New Jersey	72	Louisiana
23	Pennsylvania	73	Oklahoma
31	Ohio	74	Texas
32	Indiana	81	Montana
33	Illinois	82	Idaho
34	Michigan	83	Wyoming
35	Wisconsin	84	Colorado
41	Minnesota	85	New Mexico
42	Iowa	86	Arizona
43	Missouri	87	Utah
45	North Dakota	88	Nevada
46	South Dakota	91	Washington
47	Nebraska	95	Oregon
48	Kansas	93	California
50	Delaware	94	Puerto Rico
51	Maryland	95	Hawaii
52	Virginia	96	Alaska
54	West Virginia	97	Guam
55	North Carolina	98	Virgin Islands

IMPORTANT

THE FEDERAL DEBT COLLECTION ACT of 1996 requires us to obtain your **Taxpayer Identification Number**. This would be either your Social Security Number or your Employer Identification Number.

This number is for the purpose of collecting and reporting on any delinquent amounts arising out of a person's relationship with the government.

Our computer system will no longer allow processing of your application, license renewal or registration update without entering one of the above numbers.

We appreciate your cooperation in this matter. Please complete the following blanks and return this with your application, renewal application or registration update.

Your Name: _____

Your Facility Name: _____

License/Registrant Number: _____

Social Security Number: _____

OR

Employer Identification Number: _____

VOLUNTARY CANCELLATION OF LICENSE/REGISTRATION

TO: United States Department of Agriculture
Animal and Plant Health Inspection Service
Animal Care

I wish to cancel my license/registration as a USDA licensed or registered

Dealer Exhibitor Research Facility Carrier Intermediate Handler

LICENSE/REGISTRATION NUMBER _____

NAME _____

ADDRESS _____

CITY, STATE, ZIP CODE _____

TELEPHONE NUMBER () _____

I am discontinuing operations as a dealer, exhibitor, research facility, carrier, or intermediate handler and do voluntarily surrender my license/registration. I understand that if a license or registration is required in the future, it will be necessary to apply for a license/registration and meet all the requirements. Furthermore, I understand that operating without a license/registration is a violation of the Animal Welfare Act and subject to punishment.

MY LICENSE/REGISTRATION CERTIFICATE IS ATTACHED.

I CANNOT RETURN MY LICENSE/REGISTRATION CERTIFICATE BECAUSE:

SIGNATURE _____

DATE _____

PRINT NAME _____

TITLE _____

6.0 Conducting the Inspection

General Procedures.....	6.1
IACUC Review.....	6.2
Protocol Review.....	6.3
Exit Briefing.....	6.4
Inspection Photographs.....	6.5
Access to Property and Records.....	6.6
Workplace Violence.....	6.7

GENERAL PROCEDURES	Each inspector should develop a consistent method of conducting inspections to ensure that his/her inspections are thorough and accurate.
Preparing for the Inspection	Prior to the inspection, you (the inspector) should review the following information: <ul style="list-style-type: none">• research facility's past inspections• research facility's Annual Report• variances or extensions that may have been granted• applicable sections of the regulations and standards• applicable sections of the Research Facility Inspection Guide• applicable Animal Care Policies• other relevant resource material
Conducting the Inspection	Upon arrival at the facility: <ul style="list-style-type: none">• do not enter facilities with locked gates and/or "No Trespassing" signs unless prior approval has been obtained from the registrant or designated research facility representative• be alert for unsafe conditions, such as loose or vicious animals <p>Prior to conducting the actual inspection:</p> <ul style="list-style-type: none">• contact the designated research facility representative(s) or other responsible person (see Note below)• introduce yourself in a professional manner• state the purpose for the visit• show your USDA badge and ID if requested• if appropriate, provide a business card <p>NOTE: Under certain circumstances, you may want to observe the facility or facility personnel prior to announcing your presence. This should be done from areas accessible to the general public. Any noncompliances noted during this observation may be cited on the inspection report.</p> <p>The inspector should be accompanied by a designated research</p>

facility representative or other responsible person (who should be at least 18 years of age), when conducting the inspection in areas not accessible to the general public.

If you do not find anyone at the research facility, follow procedure for an Attempted Inspection (see Section 8.1).

The steps detailed below are the components of an inspection and need to be performed. However, the exact order is left to the discretion of the individual inspector.

Biosafety Measures

Biosafety measures to follow in conducting an inspection include, but are not limited to:

- follow facility's biosafety procedures, or
- put on recommended protective clothing, gear and/or boots, such as:
 - ▶ dogs/cats:
 - sanitizable or disposable boots
 - coveralls (optional)
 - ear plugs (strongly recommended)
 - disposable gloves (if touch any animals)
 - ▶ macaques:
 - respirator (Level N95 or better)
 - required if within 5 feet of animals
 - recommended if further than 5 feet from animals
 - coveralls (preferably disposable)
 - full face shield and eye protection such as safety glasses or goggles
 - disposable gloves
 - ▶ other nonhuman primates:
 - respirator (Level N95 or better)

Animal Inspection

Basic steps to follow in conducting an inspection of the animals include, but are not limited to:

- observe and check the health and well-being of the animals
 - ▶ avoid handling the animals unless necessary, such as

- ▶ to check for dehydration or malnutrition
- ▶ wear disposable gloves if you must handle any animals
- ▶ do not engage in diagnostic procedures
- approach all animals quietly and cautiously
- review husbandry practices
- review personnel experience and training
- observe handling techniques of personnel
- ask if there are any other animals that you have not been shown, such as in quarantine, isolation, holding or off-site
- review veterinary care
- inspect animal transport cages and vehicles

Facility Inspection

Basics steps to follow in conducting an inspection of the facilities include, but are not limited to:

- inspect facility premises, building(s), and equipment
- inspect all quarantine, isolation and holding areas
- inspect all food, diets, and food preparation areas
- inspect all hospital and surgical areas
- inspect researchers' labs if appropriate
- inspect all drugs for proper storage and expiration dates
- visualize problems that may occur at other times of the year
- use the Checklist for Animal Care Inspection Report (see page 5.4.7), if desired
- ask questions concerning the operation of the facility if necessary to ascertain compliance

Examples of questions to ask include:

- ▶ Are there any other locations, rooms, barns, sheds, etc. where:
 - animals are housed, used or held
 - food and/or bedding is stored
 - medical supplies are kept
- ▶ Are there any collaborative studies being conducted here or at another research facility?
- ▶ Are there any other places where cages, food bowls, water bottles, etc. are washed?
- ▶ Where are new animals received?
- ▶ Where are controlled drugs kept?

Records Inspection

Basic steps to follow in conducting a records inspection include, but are not limited to:

- review available records, such as:
 - ▶ IACUC records (see Section 14.4)
 - ▶ Annual Report (APHIS Form 7023)
 - ▶ acquisition/disposition records
 - ▶ health/medical records
 - ▶ non-random source dog/cat certification statements
 - ▶ random source dog/cat certification records
 - ▶ Standard Operating Procedures (SOPs)
 - ▶ investigators' logs
 - ▶ cleaning/sanitizing logs
 - ▶ temperature records
 - ▶ maintenance logs
 - ▶ any other records relating to the animals
- collect information for animals that you, the inspector, are suspicious about the source
For example, you should question the source of dogs which are:
 - ▶ uncommon research breeds, such as:
 - small or toy breeds
 - thick coated dogs
 - ▶ tattooed with a non-USDA tattoo code or number
 - ▶ microchipped

Note: The research facility representative may request that you traceback an animal that he/she is suspicious of the original source.

**Identification of
Noncompliant Items**

If noncompliant items are noted during the inspection, you should:

- identify the noncompliant items
- make notes on the noncompliant items
- point out each noncompliance to the designated research facility representative or responsible person
- explain why an item is noncompliant
- discuss possible solutions if asked
- discuss any problem that is not currently a noncompliance but may become an NCI in the future

**Identification of
Unsafe Conditions**

NOTE: If no animals are present in an area with a noncompliance, the NCI should be cited only if the area is:

- currently in use but no animals are there at the time of your inspection, or
- ready for use

Be alert for unsafe facility conditions:

- if the conditions affect the animals, note or cite on the inspection report
- if the conditions are not a violation of the AWA, report these items to the designated research facility representative or other responsible person at the facility

Examples would be:

- ▶ unlocked controlled substances
- ▶ locked emergency exits
- ▶ absence of smoke detectors
- if the conditions adversely affect you, leave the area

IACUC REVIEW	All IACUC responsibilities, functions, and activities must be completely and thoroughly reviewed.
Membership	<p>You (the inspector) are responsible for conducting a complete and thorough inspection of a research facility's IACUC. Detailed below are some aids to assist you in evaluating the IACUC. However, you must use the regulations and your professional judgment to determine if an IACUC is in compliance.</p> <p>Ways to assess that the IACUC is functioning properly include, but are not limited to:</p> <ul style="list-style-type: none">• written meeting minutes• audio tapes• Program of Humane Care and Use• IACUC facility inspection reports• IACUC-related correspondence• memos/notes• e-mails and e-mail records• interviews with IACUC members• approved protocols• standard operating procedures• medical/surgical records• room temperature logs• maintenance records• cage wash water temperature certification records <p>In assessing IACUC membership, you should look for verification that: [2.31(a) & (b), Policy #15]</p> <ul style="list-style-type: none">• all required positions are filled NOTE: If a required position(s) is unfilled, there is not a properly constituted IACUC and decisions made by this IACUC are invalid.• there is documentation of appointment of members by the Chief Executive Officer (CEO)• the same person does not fill more than one required position NOTE: This is not prohibited by the AWA but you should strongly recommend that different people fill each required

	<p>position. [Policy #15]</p> <ul style="list-style-type: none">• the DVM has acceptable experience and responsibility for animal care and activities• the nonaffiliated member represents the general public, i.e., has no conflict of interest either personally or financially (see page 17.2.2)• there are no more than 3 members from one administrative unit of the research facility• IACUC members are qualified to assess the research facility's animal program, facilities and procedures• IACUC members are properly trained and instructed in areas such as:<ul style="list-style-type: none">▶ the Animal Welfare Act▶ protocol review▶ facility inspection
<p>Meetings</p>	<p>In assessing meetings, you should look for verification that: [2.31(c)]</p> <ul style="list-style-type: none">• meetings are held at least every 6 months for the program review and/or facility inspection• all members are informed of all meetings, such as:<ul style="list-style-type: none">▶ full IACUC meetings▶ subcommittee meetings▶ executive committee meetings• meetings are held at a time when all members, especially the nonaffiliated member, can attend• required members, especially the nonaffiliated member and the attending veterinarian, are in attendance at most meetings NOTE: If any required member is absent from a substantial number of meetings, the research facility may need to find a different person to fill the position.• all members have access to information distributed, e.g., if sent only over e-mail, all members must have e-mail• all members are sent information for an IACUC meeting in sufficient time prior to the meeting to be able to review the information• all members receive a list of protocols or the actual protocols to be reviewed in sufficient time to participate in the review or request a full committee review

	<ul style="list-style-type: none">• there is a mechanism for a member to request a full IACUC review of a protocol or participation in the appointed subcommittee review• if a member requests a full IACUC review of a protocol, a full IACUC review is conducted
Minutes	<p>The IACUC meeting minutes should include:</p> <ul style="list-style-type: none">• a list of members who attended and/or who did not attend• all the activities conducted by the IACUC at the meeting• substance of the deliberations of the IACUC, not just the decisions reached• any minority views• approval of the minutes (usually of the previous meeting) by the IACUC
Program of Humane Care & Use Review	<p>In assessing the program review, you should look for verification that: [2.31(c)(1) & (c)(3)]</p> <ul style="list-style-type: none">• the review is being conducted at least once every 6 months• if the IACUC adopted the AAALAC International Program Assessment report as its semi-annual program review, the following requirements were met:<ul style="list-style-type: none">▶ the report complied with Section 2.31(c)▶ at least 2 members of the IACUC participated in the evaluation▶ no IACUC member wishing to participate was excluded▶ the report was signed by a majority of the IACUC members▶ the report included any minority views• all members are informed of the date and time of the program review• all members are informed of the program review to be conducted by the appointed subcommittee in sufficient time to request participation• any member who wants to participate in the program review is allowed to do so• the program of humane care and use addresses all of the required areas (see Section 18.1)

- departures from the AWA are identified on the program review with:
 - ▶ a detailed description of the departure
 - ▶ the reason for the departure
 - ▶ classification of the departure as a significant deficiency or a minor deficiency
 - ▶ a plan and date(s) for correction of the deficiency
- IACUC-approved exemptions and variances are specifically identified, including:
 - ▶ a description of the exemption/variance
 - ▶ reason for the exemption/variance
- a report of the IACUC program review:
 - ▶ is completed
 - ▶ is signed by a majority of the members
 - ▶ contains any minority views
 - ▶ is sent to the Institutional Official
- any uncorrected significant deficiency was properly reported to Animal Care and other appropriate Federal agencies (see page 18.3.2)

Facility Inspection

In assessing the facility inspection, you should look for verification that: [2.31(c)(2) & (c)(3)]

- the facility inspection is being conducted at least once every 6 months
- if the IACUC adopted the AAALAC International Program Assessment report as its semi-annual facility inspection, the following requirements were met:
 - ▶ the report complied with Section 2.31(c)
 - ▶ at least 2 members of the IACUC participated in the evaluation
 - ▶ no IACUC member wishing to participate was excluded
 - ▶ the report was signed by a majority of the IACUC members
 - ▶ the report included any minority views
- all members are informed of the date and time of the facility inspection
- all members are informed of the facility inspection to be

- conducted by the appointed subcommittee in sufficient time to request participation
- any member who wants to participate in the facility inspection is allowed to do so
- all of the animal holding, housing, and use areas are inspected (see Section 18.2)
- departures from the AWA are identified on the facility inspection with:
 - ▶ a detailed description of the departure
 - ▶ the reason for the departure
 - ▶ classification of the departure as a significant deficiency or a minor deficiency
 - ▶ a plan and date(s) for correction of the deficiency
- a report of the IACUC facility inspection:
 - ▶ is completed
 - ▶ is signed by a majority of the members
 - ▶ contains any minority views
 - ▶ is sent to the Institutional Official
- any uncorrected significant deficiency was properly reported to Animal Care and other appropriate Federal agencies (see page 18.3.2)

**Reports to the
Institutional Official**

- In assessing the reports to the Institutional Official (IO), you should look for verification that: [2.31(c)(3) & (c)(5)]
- a report(s) is submitted at least every 6 months, after each program review and facility inspection
 - there is a description of how and to what extent the research facility meets the AWA regulations and standards, such as:
 - ▶ facility is in total compliance and description, or
 - ▶ describes each item not in compliance (deficiency)
 - departures from the AWA are contained in the report with:
 - ▶ a detailed description of the departure
 - ▶ the reason for the departure
 - ▶ classification of the departure as a significant deficiency or a minor deficiency
 - ▶ a reasonable and specific plan for correction of the deficiency
 - ▶ dates for correcting the deficiency

- IACUC-approved exemptions and variances are specifically identified, including:
 - ▶ a description of the exemption/variance
 - ▶ reason for the exemption/variance
- recommendations to the IO regarding any aspect of the facility's animal program, facilities, and personnel training are included in the report
- the report is signed by a majority of the members
- the report contains any minority views

Other reports to the Institutional Official which should be requested and reviewed include, but are not limited to:

- uncorrected significant deficiencies
- notice of suspension of a protocol

You should review:

- how the reports are sent to the Institutional Official, and
- if there is any confirmation from the IO that the reports were received

NOTE: If you have a concern that the Institutional Official is not receiving the required reports/information, you should visit with the IO.

**Protocol Activity
Suspension**

In assessing the IACUC's suspensions of protocol activities, you should look for verification that: [2.31(c)(8), (d)(6) & (d)(7)]

- the activity was reviewed and suspended at a convened meeting with a quorum of the IACUC present
- the suspension was approved by majority vote of the quorum present
- the Institutional Official, in conjunction with the IACUC:
 - ▶ reviewed the reason for the suspension
 - ▶ took appropriate corrective action
 - ▶ instituted adequate follow-up measures and monitoring of the suspended activity
 - ▶ informed the appropriate Animal Care Regional Office of the suspension
 - ▶ informed other appropriate Federal funding agencies of the suspension

Complaints/Concerns	<p>NOTE: If the reason for the protocol suspension was a noncompliance, then you should cite the noncompliance whether it has been corrected or not. If the noncompliance was corrected, you should state this in the citation. If not, follow the standard procedure for citing a noncompliance.</p>
	<p>In assessing the IACUC's responsibility for addressing complaints or concerns, you should look for verification that: [2.31(c)(4)]</p> <ul style="list-style-type: none">• adequate methods are in place for receiving complaints/concerns from sources outside the research facility• adequate, confidential methods are in place for receiving complaints/concerns from sources inside the research facility• complaints or concerns were reviewed and, if appropriate, investigated for validity• appropriate action was taken on valid complaints/concerns• any allegation of reprisal was investigated• apparent valid allegations of reprisal were reported to the appropriate research facility official and Federal agency, if appropriate <p>NOTE: If the issue in the complaint or concern was a noncompliance, then you should cite the noncompliance whether it has been corrected or not. If the noncompliance was corrected, you should state this in the citation. If not, follow the standard procedure for citing a noncompliance.</p>
Records	<p>In addition to the reports listed above, the following IACUC records must be available for review and in compliance with the AWA regulations: [2.35(a)(2)]</p> <ul style="list-style-type: none">• protocols (see Sections 6.3 and 14.4)• proposed significant changes to protocols• IACUC approval or non-approval of protocols or proposed significant changes to protocols• any other protocol-related information

**PROTOCOL
REVIEW**

Protocols and the IACUC's approval and monitoring of protocols must be completely and thoroughly reviewed.

You (the inspector) are responsible for conducting a thorough inspection of:

- IACUC approved protocols and changes to protocols
- the IACUC's monitoring of protocol activity
- the protocol approval process

Detailed below are some aids to assist you in evaluating the IACUC. However, you must use the regulations and your professional judgment to determine if an IACUC or protocol is in compliance.

For the protocol review, you should:

1. determine the number of protocols subject to your (the inspector) review including:
 - ▶ active protocols, AND
 - ▶ inactive protocols from the past 3 years, and
 - ▶ protocols where no regulated species are present at the facility
2. if the number is small, review all of the research facility's protocols for regulated animals, OR
3. if the number is large, review a representative sample of active and inactive protocols. such as:
 - ▶ for each regulated species
 - ▶ for high profile species, such as dogs, cats, or nonhuman primates
 - ▶ for high profile procedures, such as "Specific Types of Protocols" starting on page 6.3.5
 - ▶ for different PIs
 - ▶ for each Category with animals listed on the past 3 years Annual Reports
 - ▶ protocols involving invasive procedures, e.g., skull cap placement, laparotomy, or thoracotomy
 - ▶ food and/or water restriction protocols
 - ▶ antibody production protocols
4. review all Category E protocols from the past 3 years

NOTE: The list of protocols reviewed by the IACUC may be used to determine the number of protocols and the specific protocols to be reviewed by you. Note: You may need to ask for a list of inactive protocols.

Ways to verify IACUC activities include, but are not limited to, review of:

- protocols
- protocol submission forms
- written meeting minutes
- audio meeting minutes
- correspondence
- memos/notes
- e-mail correspondence and e-mail records
- interviews with IACUC members
- Compliance Office/Officer activities, if the facility has a Compliance Office

**PROTOCOL
APPROVAL**

Process

In assessing the protocol approval process, you should look for verification that:

- all protocols involving regulated animal use are submitted to the IACUC
- NO animal activity is started before the protocol has been properly approved
NOTE: No IACUC member can approve a protocol or give permission for an animal activity to start before the protocol has gone through the proper approval process.
- the IACUC has a mechanism for distributing protocols and other pertinent information to IACUC members which is accessible to all members, i.e., if distributed by e-mail, all members have e-mail or an alternate method of distribution is used for members without e-mail
- all members are sent a list of protocols to be reviewed prior to the review in sufficient time to request a copy of the protocol or participate in the review

	<ul style="list-style-type: none">• if the protocol was reviewed by the full IACUC:<ul style="list-style-type: none">▶ there was a quorum present▶ approval was by a majority vote of the quorum• no IACUC member voting on the protocol had a conflicting interest• any significant changes to protocols were approved using the same procedures as for a protocol review• any IACUC requested additions or changes to protocols were made before final approval was given• all IACUC decisions regarding protocols, or significant changes to protocols are documented in writing and available for inspection• no official, department, or committee of the research facility overrides IACUC denials of protocols or significant changes to protocols. NOTE: Implementation of an IACUC approved protocol may be delayed or prohibited by another official, department or committee, for example, the Radiation Safety Committee if the protocol does not meet its requirements.
Notification	<p>In assessing the protocol notification requirement, you should look for verification that: [2.31(d)(4)]</p> <ul style="list-style-type: none">• the Principal Investigator is notified in writing of the IACUC's decision on his/her protocol• the Research Facility (usually the Institutional Official or his/her designee) is notified in writing of all protocol review decisions• if protocol approval was denied, the IACUC:<ul style="list-style-type: none">▶ notified the Principal Investigator of the reason for the denial▶ gave the Principal Investigator the opportunity to respond
Annual Review	<p>In assessing the annual review of protocols, you should look for verification that:</p> <ul style="list-style-type: none">• all active protocols are reviewed by the IACUC or a subcommittee annually• all IACUC members are informed of the annual reviews

- all members are given the opportunity to participate in the annual reviews
- the IACUC reviews and decisions are documented in writing and available for inspection

**PROTOCOL
REVIEW**

General Requirements

In assessing an IACUC's review of a protocol, you should look for verification that:

- the rationale for using animals is clearly stated, acceptable, and scientifically justified
- the species of animal(s) to be used is clearly stated
- the appropriateness of the species is adequately and scientifically justified
- the number of animals to be used is clearly stated
- how the approximate number of animals to be used was determined is clearly stated or shown, such as:
 - ▶ required for statistically significant results (tests used or statisticians consulted should be included)
 - ▶ based on scientific literature or past experience (references should be cited)
 - ▶ based on results of pilot study
 - ▶ required by FDA or other Federal agency (Federal code, regulation or standard, etc., must be cited)
 - ▶ required by international testing requirements (code, regulation, standards, etc. must be cited)
 - ▶ number of students/animal and procedures needed to learn
- the proposed use of the animals is clearly and adequately detailed
- the principal investigator has provided a written assurance that the proposed activity is not an unnecessary duplication of previous experiments
- medical care is provided for the animals when needed
- the animals' living conditions and care are adequate and appropriate
- personnel conducting the research or handling the animals are

- properly trained and qualified
- there is a description of how pain/distress/discomfort are minimized, if applicable
- disposition of animals at termination of study is stated, including harvesting of tissues or body parts
- the method of euthanasia is:
 - ▶ clearly stated, including drug(s) and dosages, and consistent with the current *Report of the AVMA Panel on Euthanasia*, or
 - ▶ an alternative method justified in the protocol and approved by the IACUC
- any exemption/exception to the AWA regulations or standards is adequately justified

NOTE: Routine veterinary care, housing, euthanasia, etc., may be detailed in standard operating procedures (SOPs), but the protocol must refer specifically to that SOP(s).

**Specific Types
of Protocols**

Painful/Distressful Procedures

When reviewing protocols involving procedures that cause more than momentary or slight pain/distress/discomfort (Protocols in Categories D & E), some areas to pay special attention to include, but are not limited to:

- the procedure is properly classified
- the principal investigator has considered alternatives to the painful/distressful procedure
- there is a detailed narrative describing the methods and sources used to determine that no alternatives to the painful/distressful procedure are available (see page 18.5.2 for electronic and non-electronic search requirements)
- measures used to alleviate the pain/distress are clearly stated, including:

- ▶ drugs, dosages, and frequency of administration

NOTE: A "PRN" or "as needed" frequency of administration is not acceptable unless there are detailed instructions and criteria for determining administration of the drug.

- ▶ other methods, such as:
 - hydrotherapy
 - hot/cold packs

- measures used to relieve pain/distress are adequate, i.e., correct drug, dose, frequency, etc.
- availability of experienced personnel, especially at night and on weekends, to assess and administer pain relief
- if pain/distress relief is not to be used, there is an adequate justification (see page 18.5.3)
- the principal investigator has consulted and involved the attending veterinarian or his/her designee in the planning of the procedure and pain/distress relief
- if a paralytic is used, it is used with anesthesia
- animals experiencing severe or chronic pain/distress that cannot be relieved will be humanely euthanized
- the endpoint has been determined and identified

NOTE: If the research facility has a standard operating procedure(s) (SOP) for pain/distress relief, the protocol must reference that SOP.

Antibody Production Protocols

When reviewing protocols involving antibody production, some areas to pay special attention to include, but are not limited to:

- the principal investigator has considered alternatives for painful/distressful procedures, such as, www.nal.usda.gov/awic/pubs/antibody/overview.htm
- an alternatives search, if done, was properly conducted and reviewed for possible alternative procedures
- the justification for the number of animals to be used was appropriate, such as the amount of antibody needed and the amount which can be produced by an animal
- there is a complete description of the procedure to induce antibody production and the collection of blood/serum
- if adjuvants likely to cause more than momentary pain/distress, such as Freund's Complete, are being used, there is, at a minimum:
 - ▶ justification for its use
 - ▶ a listing of possible adverse reactions
 - ▶ adequate care of the animal if adverse reactions occur

Food and/or Water Deprivation or Restriction

When reviewing protocols involving food and/or water deprivation or restriction, some areas to pay special attention to include, but are not limited to:

- the food/water deprivation or restriction is adequately justified
- if the animals are likely to experience distress, the principal investigator has considered alternatives to the distressful procedures
- an alternatives search, if done, was properly conducted and reviewed for possible alternative procedures
- procedures used to restrict food/water are adequately described and easily understood
- procedures for selection of animals and training and monitoring the animals are described in detail
- baseline physiological data is being collected
- physiological parameters are being monitored during the study, such as:
 - ▶ body weight
 - ▶ hydration status
 - ▶ behavioral changes
 - ▶ plasma osmolality
- medical/research records are being maintained and contain information on the monitoring of the animals
- supportive care is provided to any animal suffering dehydration or stress
- if supportive care is not provided, there is an appropriate scientific justification for not doing so
- how the animals' daily food and water intake was determined
- the protocol addresses how the animal is to receive its required daily food or water intake, such as:
 - ▶ during its working sessions
 - ▶ supplementation to the amount consumed during working sessions
 - ▶ whether small amounts of food or water provided as rewards are or are not considered part of the animals' daily food or water requirement
- if the animal is not to receive its daily food or water requirement, procedures and parameters for monitoring the

- animal are detailed in the protocol
- the endpoint has been determined and identified

Neuromuscular Blockers

When reviewing protocols involving the use of neuromuscular blockers (NMB), some areas to pay special attention to include, but are not limited to:

- the use of the NMB is appropriate
- the use of the NMB is adequately described in the protocol including, but not limited to:
 - ▶ name of NMB
 - ▶ dosage
 - ▶ timing of administration
 - ▶ method of anesthesia
- the NMB is being used with general anesthesia
- all personnel working with the animal and NMB are properly trained in its use and possible adverse reactions
- the animal is being properly monitored, such as:
 - ▶ heart rate and blood pressure
 - ▶ level of anesthesia. NOTE: Pain withdrawal response is NOT an appropriate measure of level of anesthesia.
- appropriate supportive care, such as ventilatory support, is being provided during anesthesia
- surgical and anesthesia records are being kept and contain the appropriate information
- recovery procedures are appropriate, i.e.:
 - ▶ the animal is recovered from the NMB before being allowed to recover from the anesthesia
 - ▶ recovery is being monitored

Surgical Procedures

When reviewing protocols involving surgical procedures, some areas to pay special attention to include, but are not limited to:

- the pre-procedural care and surgical preparation of the animals are clearly stated
- drugs given prior to and during the procedure, such as analgesics, tranquilizers or anesthetics, are appropriate and at the correct dosage for the species

- the surgical procedure is stated clearly and in detail
- all survival surgeries are performed using aseptic technique
- major operative survival surgeries on non-rodents are performed in a dedicated surgical facility
- no animal is being used in more than one major operative survival surgery UNLESS appropriately approved (see page 18.5.6 for requirements)
- post-surgical procedures are stated clearly and in detail, such as:
 - ▶ observation and monitoring of recovery
 - ▶ any special recovery environment requirements
- pain/discomfort relief measures are stated clearly and in detail, including but not limited to: (see page 18.5.4)
 - ▶ when drugs are to be administered
 - ▶ when or which drugs are not to be administered, if applicable, with an explanation
 - ▶ drug, dose, route, and frequency of administration
 - ▶ signs of pain/distress
 - ▶ contact person(s)
 - ▶ other or additional methods of pain/distress relief

NOTE: If the research facility has a standard operating procedure(s) (SOP) for surgical procedures or pain/distress relief, the protocol must reference that SOP(s).

Teaching Protocols

When reviewing teaching protocols, some areas to pay special attention to include, but are not limited to:

- the justification for the number of animals to be used was appropriate, such as the number of students per animal and procedures needed to be learned
- a consideration of alternatives was properly conducted and reviewed for possible alternative procedures, such as, the use of:
 - ▶ veterinary mannequins
 - ▶ live tissue alternatives
 - ▶ mechanical teaching devices
- there is a complete description of the procedures to be used

- the number of procedures to be performed on each animal is clearly stated, such as, injections per animal
- the personnel doing the teaching are qualified and properly trained
- if the teaching procedures cause more than momentary or slight pain or distress, proper methods are used to alleviate the pain/distress

Toxicity Studies

When reviewing protocols involving toxicity studies, some areas to pay special attention to include, but are not limited to:

- a consideration of alternatives was properly conducted and reviewed for possible alternative procedures, such as:
 - Local Lymph Node Assay
 - Up-and-Down Procedure(See <http://iccvam.niehs.nih.gov/about/overview/htm>)
- the justification for the number of animals to be used was appropriate
- if the number of animals required is set by a government agency, the specific regulation or guideline is cited in the protocol
- appropriate methods are being used to relieve any pain or distress, unless scientifically justified
- animal technicians and caretakers are properly trained in identifying problems and procedures to follow
- the end point has been determined and identified

**INSPECTION
PROCEDURES**

Listed below are some additional aids to assist you in determining if the procedures outlined in the protocols are being followed:

- if protocol numbers are not listed on the cages, ask for the protocol numbers of random animals.
NOTE: Animals may be held but cannot be used without being on a protocol.
- choose random protocol numbers from cage cards or animal charts/records and check in IACUC records that these protocols were approved
- ask how the research facility keeps track of the number of animals approved by the IACUC and the number of animals

- used by the principal investigator, such as:
 - ▶ computer records
 - ▶ acquisition and disposition records
 - ▶ dead animal records
 - ▶ inventory cards
- ask how the facility checks the accuracy of its methods for tracking the number of animals
- ask for exemption/exceptions to the regulations or standards, then check the protocol to determine that the exemption/exception was approved
- determine if the animal care staff is familiar with the protocol procedures, especially pre- and post-painful/ distressful procedure care, such as:
 - ▶ asking the staff
 - ▶ checking the availability of protocols
 - ▶ checking the availability of standard operating procedures
 - ▶ looking in medical records
- watch the animal care staff, principal investigators or laboratory personnel handle the animals (or ask them to handle the animals)
- review medical records/investigator's logs to determine that animals with painful/distressful procedures received the proper pain/distress relieving drugs, if applicable
- observe animals for signs of unrelieved pain (see page 6.3.13)
- ask about weekend staffing, animal observation and medical care
- determine if the medical or emergency contact people's numbers are readily available, such as:
 - ▶ on bulletin boards
 - ▶ in the animal rooms
 - ▶ in medical records/charts
 - in protocols
- observe surgeries to determine that they are being conducted using aseptic technique and in dedicated surgical facilities, if required
- ask how the research facility tracks animals to ensure that they are not used for another survival surgery (unless

approved by the IACUC or APHIS), such as:

- ▶ health records
- ▶ individual animal records
- ▶ cage cards
- ▶ surgery records
- ▶ investigator's logs
- for APHIS-approved multiple major survival surgeries, verify that the stipulations in the approval letter are being met, such as:
 - ▶ approved species of animal is being used
 - ▶ surgeries performed during approved time period
 - ▶ only approved number of animals have been used
 - ▶ identification of the major operative procedure
 - ▶ only maximum number of approved survival surgeries have been conducted on the animals
 - ▶ animals have not undergone any other major survival surgery
 - ▶ all animals under the protocol are permanently identified
 - ▶ medical/surgical records accompany animals to other protocols
 - ▶ medical records include the name, dose, route, and time of administration of any medication given
 - ▶ appropriate peri-operative medication is given to the animals as directed by the attending veterinarian
 - ▶ copies of medical records are provided to any subsequent owners of the animals or any person to whom the animals are assigned
 - ▶ surgical exemption is reported on the USDA Annual Report
 - ▶ IACUC is evaluating exemption annually, including:
 - an assessment of the animals
 - effectiveness and soundness of the methods used on the animals
 - effectiveness and soundness of the procedures used on the animals
 - procedures used to minimize pain and distress
 - ▶ evaluation must be included in the IACUC reports

SPECIES-TYPICAL SIGNS OF PAIN*

SPECIES	POSSIBLE SIGNS OF PAIN**
DOGS	quiet, unwilling to move, lack of alertness, whimpering or howling, loss of appetite, increased respiration, growl or exhibit apprehension when approached, <i>groaning</i>
CATS	quiet, apprehensive facial expression, loss of appetite, crying, hissing, hiding, crouching or hunching, ungroomed appearance
GUINEA PIGS & HAMSTERS	decreased activity, piloerection, ungroomed appearance, excessive licking and scratching, rapid/shallow respiration, loss of appetite, grunting or chattering, do not try to escape when handled
RABBITS	inactive, appear apprehensive or anxious, hunched appearance, hide, squeal or cry, possible aggressive behavior with excessive scratching and licking, grinding of teeth, excessive salivation
NONHUMAN PRIMATES	huddling or crouching in corner, stops eating/drinking, sad expression, moaning, screaming, stops grooming, clenching of teeth
CATTLE, SHEEP, GOATS	dull, depressed appearance, heads bowed, lack of alertness, loss of appetite, rapid/shallow breathing, rigid posture, vocalization, <i>droopy ears, rough hair coat, hunched appearance</i>
PIGS	changes in social behavior, gait and posture, <i>excessive</i> squealing when handled, unwilling to move, hiding

**These are possible signs of pain and do not necessarily mean the animal is in pain. A lack of these signs also does not mean that the animal is not in pain.

Italics - added by Manual Team

*excerpted from: National Research Council: Recognition and Alleviation of Pain and Distress in Laboratory Animals, Washington, D.C., National Academy Press, 1992.

EXIT BRIEFING

The exit briefing is the time to summarize everything that occurred during the inspection.

The exit briefing should be conducted with the designated research facility representative(s), such as:

- Attending Veterinarian
- IACUC Chairperson
- Institutional Official
- Quality Assurance Officer
- Government Liaison
- Compliance Officer
- Facility Director

Take as much time as necessary during this opportunity to:

- discuss the noncompliant items in detail with the research facility representative(s)
- assess his/her understanding of the problem(s)
- discuss what the research facility may do to correct the problem, if asked
- make sure that research facility representative understands what is expected
- educate him/her about animal welfare and the AWA regulations and standards

The exit briefing includes, but is not limited to:

- presenting the research facility representative with a copy of the inspection report
- reading the inspection report with the research facility representative
- reviewing the details of the inspection report
- answering questions
- obtaining signatures

INSPECTION PHOTOGRAPHS

Photographs may be taken to document a noncompliant item(s) and/or facility conditions.

Digital photos are the photographs of choice.

Film photographs should only be taken when it is impossible to take digital photos, such as:

- the digital camera is broken, or
- batteries are dead

Photographs should be taken of:

- direct noncompliant items (NCIs)
- repeat NCIs
- NCIs which may result in an enforcement action or case
- NCIs which are additional information for an ongoing investigation or case
- transportation violations

NOTE: In all of the above situations, take photos of **all** noncompliant items identified on that inspection.

You may choose to take photographs of:

- indirect NCIs if:
 - ▶ there are a number of NCIs
 - ▶ the NCIs may become repeats
- NCIs to help you write the inspection report narrative
- NCIs to support your inspection report narrative
- items requiring further interpretation
- an NCI for clarification for the registrant. For example, to show the registrant at the exit interview, if he/she was not the person accompanying you on the facility inspection.
- items in compliance for future reference

You (the inspector) should use your discretion and professional judgment in deciding when to take photographs and take photographs whenever you feel it is necessary.

If the registrant or representative refuses to allow you to take photos of noncompliances, cite under 2.38(b)(v).

For records violations, where applicable make photocopies of the records rather than photographs.

Submit photographs to the Regional Office:

- with every applicable REPEAT violation
- with the request for an enforcement action or investigation
- as additional information for ongoing investigations or cases
- for further interpretation

NOTE: Photographs taken for clarification for the registrant or reference purposes do not have to be sent to the Regional Office. You should hold these photographs for as long as necessary.

When submitting photos:

- use a separate CD for each registrant/licensee's photos
 - submit two sets of photos, one labeled and one unlabeled
- Note: These may be submitted on the same CD.

When submitting photos for an enforcement action or investigation:

- submit digital photos on a CD (do not print pictures)
Note: Use a separate disk for each registrant/licensee's photos.
- submit film photographs on paper
- photos should be 4"x 6" in size
- submit 2 sets of photos: one set labeled and one set unlabeled
- each labeled photo should contain: (see pages 6.5.7 & 6.5.8):
 - ▶ inspector's name
 - ▶ date and time photo was taken
 - ▶ licensee or research facility name
 - ▶ license/registration number, if applicable
 - ▶ CFR section violated
 - ▶ very brief description of the violation including location within the facility
 - ▶ include the waybill number on transportation violations
- all photos related to the inspection and/or investigation should be submitted, even if some of the photos are of poor quality or are irrelevant. NOTE: IES will determine which pictures will be used as supporting evidence.

**Processing
photographs**

Digital Photographs

Digital photographs should be handled as follows:

- transfer all digital photos to your laptop computer (Do NOT delete any photos)
NOTE: The memory card with the original photographs should be kept by you as it may be needed for an investigation or case.
- size the photographs to approximately 4" x 6". Note: The picture itself should be approximately 4" x 6". Increase the canvas size to add labeling (see page 6.5.5) - do not decrease the picture size.
- label the photographs
NOTE: There are many ways to do this. A sample procedure is on pages 6.5.5 - 6.5.6.
- include the waybill number on transportation-related pictures, if applicable
- save the photographs on a CD
Note: Use a separate CD for each registrant/licensee.
- when applicable, send the disk or CD to the Regional Office
Note: Digital photographs should be sent to the Regional Office by e-mail only when:
 - ▶ requested by the SACS or Regional Office
 - ▶ for informational purposes

Photographs from Film

Photographs from film should be handled as follows:

- prints should be 4" x 6"
- label the back of the photographs using:
 - ▶ pre-printed label (see page 6.5.8), or
 - ▶ computer template label
- include the waybill number on transportation-related pictures, if applicable
- attach the label upside down in relation to the picture

Remember to submit two sets of photograph: one set labeled and one set unlabeled.

Retain negatives, as they may be requested by for an investigation

or case.

Hold photographs, negatives and copies of the photographs which were not sent to the Regional Office, until requested or needed, or files are purged.

INSTRUCTIONS FOR LABELING AND PROCESSING DIGITAL PHOTOGRAPHS USING ADOBE PHOTODELUXE

RETRIEVE THE PHOTOGRAPH FROM THE CAMERA OR THE COMPUTER FILE
WHERE IT IS STORED.

SIZE

The picture should be sized to approximately 4 x 6 inches

1. Click on **Advanced** on the left side tool bar
2. Click on **Size** tab
3. Click on **Photo Size**
4. Change the size of the picture to approximately 4 x 6 inches, if necessary
5. Click on **Canvas Size**
6. Increase the height by 1 inch
7. Click on **OK** - There should now be white space around the photo
8. Place your cursor in the middle of the photo
9. Single left click, hold, and drag the photo to the top of the frame
10. A box will appear around your photograph - place your cursor outside of the photo and single left click to remove the box and complete the sizing process

TEXT

1. Click on the "T" on the toolbar at the top of the picture - a Text Tool window will open
2. Change the font size to 12
3. Type your text in the text box, including:
 - ▶ licensee, registrant or facility name
 - ▶ license/registration number, if applicable
 - ▶ CFR section violated, if applicable
 - ▶ a very brief description of the non-compliant item, photo subject, or item you want to point out
 - ▶ photographer's name
 - ▶ date and time photo was taken

NOTE: Proof read the text carefully for content and spelling.

4. Click on **OK**. The text should appear in a box in the middle of the picture.
5. Move the cursor into the box
6. When the cursor changes to a **single-headed** black arrow - single left click, hold, and drag the text box into the white area below the picture
7. Click and drag the text box lines to fit under the picture
8. Place your cursor outside of the photo and single left click to remove the box and complete the labeling process

NOTE: If you notice an error in your text after placing it in the picture:

- single left click in the text area - a box should appear around the text
- single right click in the box
- select "Cut" from the drop-down menu
- start at Step #1

SAVING YOUR PICTURE

Photographs should be saved in the JPEG format

1. Click on File
2. Click on Save As
3. Click on JPEG File
4. In the "Save in:" window, using the drop down menu, select where you want to save the picture (disk or CD)
5. In the "File name" window, type in the name you want to give the photo
6. Click on Save
7. A prompt will appear asking if you want to continue converting to JPEG format or want JPEG conversion to begin - click on OK
8. After the conversion has been completed, close the photo by clicking on the "X" at the top right hand corner of the photo

NOTE: You may be prompted to save the photo multiple times, you should click on NO. This is very important - only save the photo once.

SENDING PICTURES BY E-MAIL

1. Go to LotusNotes
2. Send the picture(s) as you would any other attachment to an E-mail letter or memo

PRINTING YOUR PICTURE

1. Click on **Send & Save** on the left side tool bar
2. Click on **To Printer**
3. Click on **Print**
4. Click on **OK**

PHOTOGRAPH LABEL - Computer Generated

SUBJECT NAME:	
LICENSE/REGISTRATION #:	
9 CFR SECTION #:	
DESCRIPTION:	
DATE:	
TIME:	
PHOTOGRAPHER:	

PHOTOGRAPH LABEL - Non-Computer Generated

SUBJECT NAME _____
LIC/REG/CASE NO. _____
SECTION NO. _____ TIME _____
DESCRIPTION OF PHOTOGRAPH

PHOTOGRAPHER: DATE:

**ACCESS AND
INSPECTION
OF PROPERTY
AND RECORDS**

A registered research facility must permit an inspection of the facility and/or records by APHIS officials and provide a responsible person to accompany the APHIS officials. [2.38(b), 2.25(c), 2.30(d)]

Criteria

Access to conduct an inspection includes:

- entry into place(s) of business
- entry into all areas where regulated animals are housed, used, or held
- entry into all animal areas to search for missing animals
- examination or copying of required records
- documentation of conditions and areas of noncompliance by the taking of photographs or other means
- use of a room, table, or other facilities necessary for the examination of the records and inspection of the property and animals and for completion of the inspection report

If an official of the research facility denies you, the inspector, entry into the place(s) of business or any animal housing, use, or holding area, this should be documented as a refusal of inspection (see Refusal of Inspection - Section 8.6).

If an official of the research facility refuses to allow any of the other criteria for access, such as taking of photographs or copying of records, this should be documented as a noncompliance on the inspection report.

Non-Interference

No one at the research facility must interfere with the inspection process. You (the inspector) do not have to tolerate abusive, threatening, or violent behavior. All threatening behavior should be taken seriously and reasonable preventive or precautionary measures should be taken. [2.25(c), 2.30(d)]

Examples of interference include, but are not limited to:

- physical abuse including:
 - ▶ pushing
 - ▶ shoving
 - ▶ hitting

- verbal abuse including:
 - ▶ yelling
 - ▶ swearing
 - ▶ belligerent language meant to:
 - demean
 - intimidate
 - coerce
 - threaten
- harassment (verbal, physical, emotional, sexual)
- assault or threat of an assault

If **anyone** (registrant, employee, researcher, etc.) at a research facility exhibits threatening behavior, follow the procedures delineated in Section 6.7 - *Workplace Violence*

DO NOT return to a research facility where you have been threatened, assaulted, or abused:

- without appropriate resolution of the incident
- without being accompanied by another APHIS official or law enforcement agent, if appropriate

**WORKPLACE
 VIOLENCE**

A registrant, person required to be registered or research facility must **NOT** interfere with, threaten, abuse, or harass any APHIS official in the course of carrying out his/her duties. [2.4, 2.25(c), 2.30(d)]

Interference

No one at a research facility is allowed to interfere with the inspection process. You (the inspector) do not have to tolerate abusive, threatening, or violent behavior. All threatening behavior should be taken seriously and reasonable preventive or precautionary measures should be taken.

The following are definitions of possible acts of violence or threatening behavior:

- **ABUSE (Physical)** - An act which includes pushing, shoving, or hitting
- **ABUSE (Verbal)** - An act which includes yelling, swearing, or belligerent language meant to demean, intimidate, coerce, or threaten
- **ASSAULT** - Any willful attempt or threat to inflict injury upon another person, when coupled with an apparent present ability to do so, and/or intentional display of force such as would give the victim reason to fear or expect immediate bodily harm
- **HARASS** - Any repeated action or attempted action which is intended to impede, fatigue, or exhaust another person
- **THREAT** - Any oral or written expression or physical movement that is interpreted by a reasonable person as conveying an intent to place that person in fear of bodily injury to him/herself or to a third party
- **VIOLENCE** - Any act (verbal, written, chemical or physical aggression) or attempted act which is intended to control or cause, or is capable of causing, death or serious bodily injury to oneself or others or damage to property

DO NOT return to a research facility where you have been threatened, assaulted, or abused:

- without appropriate resolution of the incident
- without being accompanied by another APHIS official or law enforcement agent, if appropriate

Reporting Interference

Imminent Danger

If you, the inspector/APHIS official, determine that there is imminent danger due to a person's behavior (registrant, authorized representative, employee, researcher, etc.), you should:

1. Leave the premises immediately and carefully, **in a manner that is not likely to inflame the situation further**
2. Call local law enforcement, if appropriate
3. Call your SACS as soon as possible
4. Complete an inspection report within 24 hours containing the following information:
 - ▶ any noncompliances identified prior to stopping the inspection
 - ▶ a statement that the inspection was stopped because the person(s) (give his/her name) was interfering with the inspection process
5. Complete a separate memo within 24 hours containing the following information, if applicable:
 - ▶ the names of any witnesses
 - ▶ a detailed, factual description of the person's behavior
 - ▶ any quotes or threatening statements made
 - ▶ the target of the violent or threatening behavior
 - ▶ the time and date the incident occurred
6. Send a copy of the inspection report to the research facility's Institutional Official by certified mail

Non-Imminent Danger

If you, the inspector/APHIS official, determine that a person's behavior (registrant, authorized representative, employee, researcher, etc.) is interfering with the inspection process, but imminent danger does not exist, you should:

1. Notify the registrant/authorized representative that you consider this behavior as interference
2. Warn the registrant/authorized representative that if the behavior continues, you will stop the inspection
3. Leave the premises immediately and carefully, **in a manner that is not likely to inflame the situation further**, if the behavior does not stop

4. Call your SACS within 12 hours of the incident
5. Complete an inspection report within 24 hours containing the following information:
 - ▶ any noncompliances identified prior to stopping the inspection
 - ▶ a statement that the inspection was stopped because the person(s) (give his/her name) was interfering with the inspection process
6. Complete a separate memo within 24 hours containing the following information, if applicable:
 - ▶ the names of any witnesses
 - ▶ a detailed, factual description of the person's behavior
 - ▶ any quotes or threatening statements made
 - ▶ the target of the violent or threatening behavior
 - ▶ the time and date the incident occurred
7. Send a copy of the inspection report to the research facility's Institutional Official by certified mail

7.0 Completion of the Inspection Report

General Information.....7.1
Inspection Report Narrative.....7.2
Documenting Inspection Findings.....7.3
Correction Date.....7.4
Extension of Correction Date.....7.5
Indirect and Direct Noncompliant Items.....7.6
Signatures.....7.7
Inspection Appeals Process.....7.8
Mistakes on the Inspection Report.....7.9
Handwritten Inspection Report.....7.10
Non-Regulated Animals.....7.11

**GENERAL
INFORMATION**

The inspector must complete an official inspection report at the end of the inspection. The inspection report should follow the format of the Inspection Report Template in the laptop computer.

The inspection report must contain the following general information entered automatically by LARIS:

- research facility's name as listed on Application For Registration (APHIS Form 7011)
- mailing address as listed on Application For Registration (APHIS Form 7011)
- customer ID
- USDA registration number
- site number as assigned by LARIS (**Make sure that you are in the correct site. DO NOT** enter an inspection into an inactivated site.)
- site name, if applicable
- date of inspection

If any of the above information is incorrect in LARIS, you should contact the Regional Office to have the database corrected after you have completed the inspection report.

Type of Inspection

The inspection report must specify the type of inspection conducted. You must enter the type of inspection into the LARIS Inspection Report template.

Types of Inspections are:

- *Routine* - normal periodic, unannounced inspection including:
 - ▶ partial or focused inspection
 - ▶ re-inspection for direct noncompliant items
 - ▶ complaint inspection
 - ▶ search inspection
- *Attempted* - situation where an authorized person was not available to accompany the inspector. No inspection was conducted.

**Finalizing the
Inspection Report**

You should finalize the inspection report in LARIS at the end of each inspection, after you have checked it for accuracy and completeness, and reviewed it with the registrant.

If you do not finalize the inspection report at the end of an inspection, BE SURE to finalize the inspection report before replicating.

NOTE: You do not have to finalize an inspection report to do an inspection report for another site of the same registrant or a different registrant.

**Adding a person,
facility or site to
the LARIS database**

If the person, facility, or site is **not** in the LARIS database, you should:

- complete the inspection report using the word-processing Inspection Report Template
- after the inspection, contact an ILA or the Program Specialist at the Regional Office
- provide the ILA or Program Specialist the following information:
 - ▶ research facility's full name, if applicable
 - ▶ complete mailing or business address
 - ▶ complete site address
 - ▶ county, if known
 - ▶ business telephone number, including area code
- obtain the customer number, if available
- replicate the LARIS database
- enter the information from the Inspection Report into the LARIS database exactly as it is on the word-processing Inspection Report
- attach a copy of the LARIS Inspection Report to the word-processing Inspection Report

INSPECTION REPORT NARRATIVE	The narrative section of the inspection report must be accurate, precise and descriptive enough to clearly identify any noncompliant item (NCI).
Inspection notes	Prior to writing the narrative section: <ul style="list-style-type: none">• organize your inspection notes• look up Section and subsection numbers/letters• group observations under Section numbers Check off each item as you cite it in the inspection report. NOTE: The following may be used as inspection aids: <ul style="list-style-type: none">• Checklist for Animal Care Inspection Report (page 7.2.5)• Canine Care Checklist (page 7.2.6) These sheets should be discarded after the official inspection report has been completed.
Narrative appearance	The narrative section should be neat and orderly. You may want to: <ul style="list-style-type: none">• start each part of the four-part citation on a new line• skip a line between citations and other information• capitalize a heading or important information to make it stand out• type it into Microsoft WORD first by typing:<ul style="list-style-type: none">▶ directly into MS Word and copying and pasting into the inspection report, OR▶ into MS Word using the LARIS “narrative” screen bridge by following these directions:<ol style="list-style-type: none">1. Click the cursor into the large white “NCI Narrative” block in LARIS2. Press CTRL + E to activate MS WORD3. Type and spell/grammar check your text4. Upon completion of the narrative, close MS WORD5. Select “save” for all exit questions. Note: The text will not be saved as a separate Word document.6. Text will be inserted into the “Narrative” block. Note: Formatting, such as bolding,

italics, bullets, will not be transferred.

NOTE: You may want to save an electronic copy of the inspection report or noncompliance citations to copy and paste into the next inspection report, if necessary. If the inspection report/citations were typed into MS Word, save as a Word document. If the citations were typed into the inspection report using the LARIS-Word bridge, save the inspection report as a PDF file.

Narrative content

The narrative section should contain: (see pages 7.2.7)

- names of locations inspected, if applicable
 - ▶ you and the registrant/representative should decide on names or designations, such as Bldg A or Bldg 1, for the different locations
 - ▶ only the names of the locations, i.e., no addresses
 - ▶ be consistent when using names of locations
- a detailed description, using complete sentences, of any noncompliant items identified on the inspection using the four-part citation (See “Documenting Inspection Findings” - Section 7.3)
- documentation of information, either verbal or written, given to a registrant or facility representative, such as:
 - ▶ new regulations or changes in regulations/standards
 - ▶ proposed changes in regulations/standards
 - ▶ specific topics discussed
- other information pertinent to the inspection
- document as a “Note” any discussion about a problem(s) that is not currently a noncompliance but may become a noncompliance in the future
- a statement that the inspection and exit interview was conducted with the registrant or his/her representative. No specific name(s) should be used (except yours), only the person’s title or position. For example:
 - ▶ “Inspection and exit interview conducted by (*your name*) with registrant.”
 - ▶ “Inspection and exit interview conducted by this inspector with facility manager.”
 - ▶ “Inspection conducted by (*your name*) with facility manager; exit interview conducted by this inspector with IACUC Chair.”

NOTE: On the first inspection after the implementation of a new or change in a regulation/standard, the registrant should be informed of the change. Do not cite as an NCI unless it is a “direct” NCI. Note on the inspection report that the regulation/standard was discussed with the registrant/representative. If not in compliance on the next inspection, cite the NCI using the appropriate regulation or standard. **An Animal Care Policy should never be referred to on an inspection report.**

You may choose to include the following information in the narrative section, if the registrant does not object:

- corrected noncompliant items (NCIs) from the previous inspection, if the registrant/representative wants them listed. This should be done as a “Note” at the end of the inspection report and:
 - ▶ each corrected NCI may be listed individually, or
 - ▶ if all NCIs are corrected, the statement, “All NCIs identified on the previous inspection are corrected.” or a similar statement may be used

The narrative section should **NOT** contain:

- date of last inspection
- animal inventory
- references to Animal Care Policies
- personal or proprietary information, such as:
 - ▶ name(s) of person(s) accompanying you on the inspection
 - ▶ names of principal investigators or research facility personnel
 - ▶ names of sellers of animals
 - ▶ sources of animals
 - ▶ names of buyers of animals
 - ▶ addresses, other than the research facility’s mailing and/or business address
 - ▶ telephone numbers, other than your contact information if applicable
 - ▶ social security numbers
 - ▶ driver’s license numbers
- personal comments about the facility
- comments on public complaints

- recommended enforcement action
- administrative messages to the Regional Office

NOTE: Remember that the inspection report is a legal and a public document. It may be requested by the public or used in a court proceeding.

U.S. Department of Agriculture Animal and Plant Health Inspection Service ANIMAL CARE	Checklist for Animal Care Inspection Report
--	--

Name of Licensee/Registrant _____ Site No. _____ Li c./Reg./No. _____

Site Name _____ Date of Inspection _____

FACILITIES (permanent and transport)	
	Structure & Construction
	Condition & Site
	Surfaces & Cleaning
	Utilities/Washrooms/Storage
	Drainage & Waste Disposal
	Temperature/Ventilation/Lighting
	Shelter from elements
	Capacity/Perimeter fence/Barrier

PRIMARY ENCLOSURE	
	General Requirements
	Space & Additional Requirements
	Protection from Predators

ANIMAL HEALTH AND HUSBANDRY	
	Exercise & Socialization
	Environment Enhancement
	Feeding
	Watering
	Cleaning Sanitation
	Housekeeping & Pest Control

OTHER	
	Identification
	Records & Holding Period
	Handling
	Veterinary Care
	IACUC
	Personnel Qualifications

CANINE CARE REMINDERS

- ___ Daily observation of all dogs within kennel.
- ___ All dogs requiring veterinary care have been attended.
- ___ Veterinary records have been updated.
- ___ Outdated medications have been disposed of properly.
- ___ Attending veterinarian has made a kennel inspection within 12 months.
- ___ All dogs have convenient access to feed and water.
- ___ All feed and water bowls have been cleaned and sanitized within last 2 weeks.
- ___ All open bags of feed and bedding are in tightly lidded containers.
- ___ All unopened bags of feed stored off of floor and away from walls.
- ___ All enclosures spot cleaned daily.
- ___ Areas behind and below enclosures have been cleaned as necessary.
- ___ All enclosures have been cleaned and sanitized within last 2 weeks.
- ___ All surfaces in contact with dogs are impervious to moisture.
- ___ Surfaces within enclosures are free of sharp points and edges.
- ___ Mesh floors of sufficient size to prevent feet falling through.
- ___ Adequate floor space is provided for all dogs.
- ___ All dogs have a minimum of 6 inches headroom in enclosure.
- ___ Nursing bitches have additional space required for litter.
- ___ All dogs in outside kennels have necessary shelters.
- ___ All outside shelters have wind and rain breaks in place.
- ___ All outside kennels have sufficient shade structures.
- ___ Temperature controlled areas are between 45-85 degrees F.
- ___ All animal areas within kennel are well ventilated.
- ___ Doors, flaps, gates, etc. are in good repair and operate properly.
- ___ All drains are functioning properly.
- ___ Pest control measures are in place as necessary.
- ___ Items not necessary for animal husbandry are not kept within kennel area.
- ___ Animal husbandry items are stored in proper areas within kennel.
- ___ All dogs and weaned puppies have an approved means of identification.
- ___ Records of dogs on hand have been updated and are accurate.



United States Department of Agriculture
Animal and Plant Health Inspection Service

INSPECTION REPORT

cust_id

insp_id

site_id

JOHN DOE UNIVERSITY
100 INVESTIGATOR LANE
RESEARCH, MN 55555

Customer ID: 9999
Certificate: 41-R-9999

Site: 001
MAIN BUILDING

Inspection

Type: Routine

Date: Mar-01-2006

The following locations were inspected: Main Building, Research Bldg A, & Swine Barn

2.31 (c)(2)

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)

c) IACUC Functions. With respect to activities involving animals, the IACUC, as an agent of the research facility, shall: (2) Inspect, at least once every six months, all of the research facility's animal facilities, including animal study areas, using title 9, chapter 1, subchapter A-Animal Welfare, as a basis for evaluation;

The IACUC has not conducted an inspection of the research facility's animal facilities since April 15, 2005.

The animal facilities must be inspected to assess compliance with the Animal Welfare Act standards and to ensure the health and well-being of the animals.

An IACUC inspection of all regulated animal facilities must be conducted and documented and then conducted at least every 6 months thereafter.

Correct by April 1, 2006

3.83

WATERING

Potable water must be available to the nonhuman primates and water receptacles must be kept clean and sanitary.

The water receptacles in the macaques enclosures in Bldg A have a layer of debris and scum floating on the top.

The presence of debris and scum is an indicator of contamination of the water which can cause illness in the animals.

The water receptacle must be cleaned more frequently and thoroughly, or other appropriate measures taken to prevent a build up of dirt, debris, and scum in the water.

Correct by 3/2/06 10 chimps affected.

Inspection and exit interview conducted by this inspector with facility's attending veterinarian.

Prepared By: _____

Date:

Title: Animal Care Inspector

Inspector ID: 9999

MAR-1-2006

Received By: _____

Date:

Title: ATTENDING VETERINARIAN

MAR-1-2006

<p>DOCUMENTING INSPECTION FINDINGS</p>	<p>Inspection findings must be documented in the narrative section of the inspection report.</p>
<p><i>No noncompliant items identified</i></p>	<p>If all items are in compliance, then the following statement or a similar statement should be typed on the inspection report: “No noncompliances identified on this inspection.”</p>
<p><i>New noncompliant item identified</i></p>	<p>If a noncompliant item(s) is identified, then it should be cited in the inspection report narrative.</p> <p>The citation should include the following:</p> <ol style="list-style-type: none"> 1. Section number and subsection letter/number of the noncompliance, if applicable NOTE: If more than one NCI is being cited under that Section, the Section number and subsection letter/number, if applicable, and title should be typed at the beginning of the narrative. NOTE: If a noncompliant item can fall into more than one section or subsection, cite the noncompliance in the most specific section or subsection. 2. Title and subtitle, if applicable, of the regulation or standard (See Example 3) 3. Text of the regulation or standard being violated by the noncompliance. NOTE: The regulation/standard may be quoted, paraphrased, or copied and pasted from the electronic version of the regulations & standards. For long regulations or standards, put only the applicable portion on the Inspection Report. 4. Clear, detailed description of the noncompliance. This description should include, but is not limited to: <ul style="list-style-type: none"> ▶ your actual observations, i.e., specifically what you see, hear, touch or smell ▶ location of the problem, e.g., building, barn, farm ▶ specific place or area of the problem, e.g., room, pen, location within pen. Note: A predetermined designation may be used as agreed upon by you and the registrant or facility representative.

- ▶ species and number of animals or specific animal affected, if appropriate
- 5. Explanation of why the item is a noncompliance
- 6. Options or a general description of how the research facility can meet the regulation or standard
- 7. Correction date (see Section 7.4)
Note: If an NCI is corrected during the inspection, the inspector may use his/her discretion whether or not to cite the NCI. If cited, put "Corrected during the inspection."
- 8. "Direct" NCI designation, if appropriate (see Indirect & Direct Noncompliant Items - Section 7.6)
- 9. "Repeat" designation if appropriate (see "Repeat noncompliant items identified" on page 7.3.5)

For Inspection Reports done in the word processing system, type or write in "Direct" and/or "Repeat" next to the Section number of the citation.

NOTE: If a noncompliance is identified in an area of the facility, such as a pen, room, or building, where there are no regulated animals on the day of your inspection, the noncompliance should be cited **only if**:

- a regulated animal(s) is being affected by the noncompliance, for example, an empty pen is dirty and is attracting flies and pests which are affecting the animals in the adjoining pens, OR
- the area is currently in use, even though there may be no animals on the day of your inspection, or
- the area is ready for use

EXAMPLE 1:

Standard
(direct quote)

SECTION 2.31(d)(ii) IACUC

The IACUC shall determine that the proposed activities or significant changes in ongoing activities meet the following requirements: (ii) The principal investigator has considered alternatives to procedures that may cause more than momentary or slight pain or distress to the animals, and has provided a written narrative description of the methods and sources, e.g., the Animal

	Welfare Information Center, used to determine that alternatives were not available;
<i>Noncompliance</i>	Protocol #06-85 involves a surgical procedure that will cause more than momentary pain and there is no documentation in the protocol that a search for alternatives was conducted.
<i>Why a noncompliance</i>	There may be an alternative procedure which will cause less pain or distress to the animals and affect their health and well-being.
<i>How to comply</i>	A search for alternatives must be conducted and reviewed and approved by the IACUC.
<i>Correction date</i>	Correct by <i>(date)</i> . 5 adult cats are affected.
EXAMPLE 2:	
<i>Standard (paraphrase)</i>	SECTION 3.83 WATERING Potable water must be available to the nonhuman primates and water receptacles must be kept clean and sanitary.
<i>Noncompliance</i>	The water receptacle in the outdoor adult macaque enclosure with 10 macaques has a layer of debris and scum floating on the top of the water and a thick layer of algae along the sides.
<i>Why a noncompliance</i>	The presence of debris, scum and algae in an indicator of contamination of the water which can cause illness in the animals.
<i>How to comply</i>	The water receptacles must be cleaned more frequently and thoroughly or other measures taken to prevent a build-up of dirt, debris, scum, or algae in the water.
<i>Correction date</i>	To be corrected by <i>(date)</i> .
EXAMPLE 3:	
<i>Standard (applicable portion only)</i>	SECTION 3.105 (a) FEEDING The food for marine mammals must be wholesome, palatable, and free from contamination...
<i>Noncompliance</i>	The fish being fed to the two marine mammals is soft, spongy, and covered with mold. It also has a strong rancid smell indicating that it is not wholesome.
<i>Why a noncompliance</i>	The feeding of unwholesome, unpalatable and rancid food does not provide adequate nutrition to the animals and may affect their health and well-being.
<i>How to comply</i>	Appropriate, good quality food must be fed to the marine mammals.
<i>Correction date</i>	Correct by <i>(date)</i>

If an NCI involves multiple sections of regulations/standards OR multiple species, each section of the regulation/standard must be cited separately.

For example, a food storage room used to store food for guinea pigs, rabbits, nonhuman primates, and wild/exotic animals is cluttered, dirty and has broken bags with food spilling on the floor, and the unopened bags of nonhuman primate food are stored directly on the floor and up against the walls.

Sections 3.25(c), 3.50(c), 3.75(e) and 3.125(c) - STORAGE OF FOOD would be in noncompliance. Each of these sections should be cited for the species affected.

If multiple noncompliances involve one section and subsection of the regulations/standards, these NCIs may be grouped together.

For example, for farm animals:

- the roof of the barn has an opening which allows rain and snow to fall into the pens
- the partition between the sheep pen and the food storage area has numerous holes
- the front gate of the calf pen has a broken hinge and does not close properly

Section 3.125(a) STRUCTURAL STRENGTH would be in noncompliance and all three items could be cited together.

If multiple noncompliances involve the same section but different subsections, each NCI must be cited separately.

For example, for nonhuman primates, there are multiple NCIs of SECTION 3.80 PRIMARY ENCLOSURES - General Requirements

SECTION 3.80(a)(2)(i) - A pen housing 4 spider monkeys has broken wire mesh flooring in the right rear corner with sharp wire ends sticking up into the pen

SECTION 3.80(a)(2)(vii) - There is no shade area in the outdoor nonhuman primate enclosure and it is summer with ambient temperatures over 100°F

SECTION 3.80(a)(2)(ix) - A pen housing 4 baboons has wooden walls with all the paint scratched off so that the walls can no longer be properly cleaned and sanitized

Each of these should be a separate citation.

***Repeat noncompliant
item identified***

A repeat noncompliant item is:

- a noncompliance cited on the last inspection report which has not been corrected, and/or
- a new noncompliance of the same section & subsection cited on the previous inspection
For example, inadequate lighting cited in one building on the previous inspection has been corrected, but on the current inspection, there is inadequate lighting in another building, and/or
- a noncompliance for a different species which is the same or similar to a noncompliance cited on the previous inspection
For example, on the previous inspection, open bags of dog food were not stored in a leakproof container with a tightly fitting lid. On the current inspection, this has been corrected but the open bags of nonhuman primate food are not in proper containers.

DO NOT list a noncompliance as corrected if you are going to be citing an NCI in the same Section and subsection or a similar NCI for a different species on the current Inspection Report.

Note: See "Recurring/Chronic noncompliant item" on page 7.3.7.

CHECK THE "REPEAT NCI INDICATOR" ON THE LARIS INSPECTION SCREEN, then cite the NCI in the narrative as follows:

- section number and subsection letter/number of the noncompliance, if applicable
NOTE: If more than one NCI is being cited under that Section, the Section number and subsection letter/number, if applicable, and title should be typed at the beginning of the narrative.
- title and subtitle, if applicable, of the regulation or standard
- the regulation or standard quote may be omitted
- clear, detailed description of the noncompliance. This description should include, but is not limited to:
 - your actual observations, i.e., specifically what you see, hear, touch or smell

- ▶ location of the problem, e.g., building, barn, farm
- ▶ specific place or area of the problem, e.g., room, pen, location within pen
- ▶ species and number of animals or specific animal affected
- description of any partial corrections
- explanation of why the item is a noncompliance
- explanation of why the item is a repeat noncompliance
- options or a general description of how the research facility can meet the regulation or standard
- **DO NOT ASSIGN A NEW CORRECTION DATE**, but you may reference the previously assigned correction date
- "Direct" NCI designation, if appropriate (see Indirect & Direct Noncompliant Items - Section 7.6)

For a repeat NCI, an enforcement action must be recommended (see Section 9.3 - Enforcement Actions) on an Enforcement Action sheet.

EXAMPLE 4:

<i>Standard</i>	SECTION 3.6(a)(2)(ix) REPEAT
<i>Noncompliance</i>	PRIMARY ENCLOSURES - GENERAL REQUIREMENTS Of the 10 pens previously cited, the wooden side walls and floors of 7 pens (<i>if pens are numbered, include the numbers</i>) on west side of Room 12 in Bldg G are still chewed and scratched and are not impervious to moisture.
<i>Partial correction</i>	Three pens (<i>if pens are numbered, include the numbers</i>) have been repaired and repainted.
<i>Why a noncompliance</i>	The wood surfaces cannot be properly cleaned and sanitized which could affect the health and well-being of the dogs.
<i>Why a repeat noncompliance</i>	On the previous inspection (1/14/06), these wooden surfaces were chewed and scratched and not impervious to moisture.
<i>How to comply</i>	The wooden surfaces in the remaining 7 pens must be repaired and made impervious to moisture.
<i>Optional</i>	This is a repeat violation - original correction date was (<i>date</i>).

***Recurring/Chronic
noncompliant item***

A recurring or chronic noncompliant item is the same or a similar noncompliance which is not found on consecutive inspections, i.e., it is cited on one inspection, corrected by the next inspection, then re-occurs on the 3rd and/or a subsequent inspection(s).

The recurring noncompliance can be:

- the same or a similar noncompliance as cited previously
- the same noncompliance but identified for different species
- a noncompliance of the same Section of the regulations or standards

Some factors to consider when deciding if the NCI is recurring or chronic include, but are not limited to:

- have you noticed a pattern
- have you discussed the NCI with a person of higher authority at the facility
- have you discussed the development of an active program or system of maintenance with the licensee
- how far back was the last time the NCI was cited
- what is the severity of the NCI
- how many inspections have been conducted between the recurrence

You should use your professional judgment in deciding what action to take, such as:

- citing the NCI as a new noncompliant item (see page 7.3.1)
- citing the NCI as a REPEAT NCI (see page 7.3.5)
Note: Include in the description other inspection dates that this NCI has occurred.
- discussing the NCI with your SACS

***Corrected
noncompliant item***

If there was a noncompliant item(s) cited on the previous inspection which has been corrected, this may be noted on the inspection report.

At the end of the inspection, ask the registrant/representative if he/she wants the corrected noncompliances listed on the inspection report.

If the registrant/representative wants the NCI(s) listed, type this in as a "Note" at the end of the inspection report narrative. DO NOT enter the corrected NCI(s) Section number(s) into the LARIS NCI fields.

NOTE: If you are going to be citing an NCI in the same Section and subsection or a similar NCI for a different species, do not cite the NCI from the previous inspection as corrected. This is a repeat noncompliances and should be cited as such. (see "Repeat noncompliant item" on page 7.3.5).

For example:

- Section 3.83 - Watering (NHPs) was cited on the previous inspection. This noncompliance was corrected but on this inspection, Section 3.130-Watering (Other Animals) is in noncompliance.
- Section 3.131(a) - The ferret cages were cited on the previous inspection for an excessive accumulation of feces. On this inspection, the ferret cages were clean but the chinchilla cages had an excessive accumulation of feces.

EXAMPLE 5:

NOTE: Noncompliant items identified on the previous inspection(s) that are corrected:

SECTION 3.1(e) Storage of Food
SECTION 2.40(b)(2) Veterinary Care

OR

NOTE: All NCIs identified on the previous inspection(s) are corrected.

***Noncompliant item
with correction time
remaining***

If an NCI was cited on a previous inspection and it remains uncorrected but the correction date has not passed or the facility has received an extension for correction from the Regional Office, cite the NCI in the narrative as follows:

- section number and subsection letter/number of the noncompliance as cited on the previous inspection
NOTE: If more than one NCI is being cited under that Section, the Section number and subsection letter/number, if applicable, and title should be typed at the beginning of the narrative.

- title and subtitle, if applicable, of the regulation or standard as cited on the previous inspection
- a basic description of the noncompliance
- the date the NCI was originally identified
- the original correction date or extension correction date

NOTE: This is not a repeat NCI.

EXAMPLE 6:

SECTION. 3.78(d) PERIMETER FENCE-NONHUMAN PRIMATES -

The nonhuman primate outdoor housing facility containing 14 spider monkeys does not have a perimeter fence around it.

This noncompliance was originally cited on 2/5/06.

Correction time remains until 8/31/06, OR Extension granted until 8/31/06.

*No Regulated
Animals Present*

Even though there may be no regulated animals present at a facility, an inspection may still be conducted.

Factors to consider when deciding whether to inspect a facility include, but are not limited to:

- is the facility due for an inspection
- are there active protocols
- are there records to inspect
- are there areas of the facility which you have never inspected before, e.g., new building
- is this a new facility added to your territory
- does this facility have a history of noncompliance
- even though there are no animals currently at facility, do regulated animals go in and out of the facility
- are there transportation vehicles to inspect

If in your best judgment there is nothing to inspect, you may choose not to conduct an inspection.

If you conduct an inspection:

- classify the inspection as "Routine"
- under inventory state "No regulated animals present at this time."

- if a partial inspection, state which areas were inspected, such as records and/or specific buildings
- NCIs found during the inspection should only be cited if the area with the noncompliance:
 - ▶ is currently in use but no animals are there on the day of your inspection, or
 - ▶ is ready for use
- for the correction date, use the following or a similar statement: "Correct before being used for animals regulated by the Animal Welfare Act."

If you do **not** conduct an inspection,

- do not complete an inspection report
- send a memo to your SACS explaining why an inspection was not conducted

Reminder: If you do not enter an inspection report into LARIS, it will not count as an inspection for RBIS.

<p>CORRECTION DATE</p>	<p>A correction date is the time period in which a noncompliant item must be corrected.</p>
	<p>A correction date should be:</p> <ul style="list-style-type: none"> • realistic as to what the research facility can accomplish, and • appropriate to the severity of the NCI • determined with the concurrence of the research facility representative, if appropriate <p>NOTE: If the inspection report is being sent by certified mail, be sure to allow for the mailing time when setting the correction date.</p> <p>A correction date is given for :</p> <ul style="list-style-type: none"> • newly identified “Direct” NCIs (see Direct/Indirect NCIs - Topic 7.6) - These should be given a short correction period, e.g., immediately, by close of business on (<i>date</i>), within 72 hours, within 10 days. The correction date should never exceed 30 days. <p>NOTE: Reinspection for correction of a “D” noncompliant item must occur no more than 45 days after the correction date.</p> <ul style="list-style-type: none"> • newly identified “Indirect” NCIs - Field inspectors may allow up to 1 year for a correction. <p>A correction date is NOT given for:</p> <ul style="list-style-type: none"> • an NCI corrected during the inspection - The inspector may decide, using his/her own discretion, whether or not to cite the NCI. If cited, put “Corrected during the inspection.” Documenting this NCI may be necessary to show the facility’s history of compliance. • repeat noncompliant items • transportation violations identified while the animal is in transit <p>For an NCI previously identified for which time remains for correction, the correction date should be transferred from the previous inspection report or the extension approval letter. For example, “Pending correction date is (<i>month/day/year</i>)” or “Extension granted until (<i>month/day/year</i>)”.</p>

**EXTENSION OF
CORRECTION
DATE**

An extension is an additional amount of time granted through the Regional Office for the correction of a noncompliant item.

A research facility may request an extension if it will not be able to correct the NCI by the correction date.

If at the time of the inspection, the research facility representative anticipates that an extension will be needed:

- explain to him/her how to request an extension (see below)
- document on the inspection report that the procedure for requesting an extension was explained to the representative

NOTE: Extensions are for special circumstances and should not be suggested to the research facility representative for correction of routine noncompliant items.

An extension request, whether anticipated or unexpected, must be:

- in writing
- appropriate, i.e., for indirect NCI related to facility maintenance or construction
- specific as to the reason/justification for the request. For example:
 - ▶ unexpected delays during the correction process, such as budget or severe weather delays
 - ▶ unforeseen special circumstances that prevent completion, such as equipment back orders
- sent to the appropriate Animal Care (AC) Regional Office
- received by the AC Regional Office on or before the original correction date

The Regional Office will notify, in writing, the research facility as to whether or not the extension was granted.

<p>INDIRECT & DIRECT NONCOMPLIANT ITEMS</p>	<p>A noncompliant item documented on the inspection report must be determined by the inspector to be either "Indirect" or "Direct".</p>
<p>Indirect Noncompliance</p>	<p>An "Indirect" noncompliant item does NOT have a high potential to adversely affect the health and well-being of the animal. This NCI should be followed up as part of the next routine complete inspection.</p> <p>No special designation for an indirect NCI is required on the inspection report.</p> <p>Examples of "Indirect" NCIs include, but are not limited to:</p> <ul style="list-style-type: none"> • surfaces not impervious to moisture • inadequate records • minor veterinary care issues • semi-annual IACUC program review overdue • number of animals not adequately justified • training records of personnel incomplete <p>For more examples and a comparison of direct vs indirect noncompliances, see Chart on pages 7.6.4 - 7.6.5.</p>
<p>Direct Noncompliance</p>	<p>A "Direct" noncompliance is a noncompliance that:</p> <ul style="list-style-type: none"> • is currently adversely affecting the health and well-being of the animal, or • has the high potential to adversely affect the health and well-being of the animal in the near or immediate future <p><i>Required Reinspection</i></p> <p>A complete or partial reinspection of a research facility with a "Direct" NCI must be completed no more than 45 days after the correction date. NOTE: The correction date for a direct noncompliance should be short and never exceed 30 days (See Section 7.4 - Correction Dates).</p>

For a serious direct noncompliance, such as a severe veterinary care problem:

- the correction date should be very short, e.g., 1 day, and
- the reinspection should occur the next day and/or whenever needed to verify the correction

For a "Direct" NCI, in the LARIS database, you should:

1. highlight "DIRECT" in the NCI Severity Category field
2. assign a "HIGH DEGREE OF RISK" in the NCI Significance field
3. check that the word "DIRECT" prints next to the regulation/standard Section number and title on the Inspection Report

NOTE: If you enter an NCI into LARIS as a "Direct", you must reinspect the research facility within 45 days of the correction date, even if the NCI was corrected at the time of the inspection.

If you have to use the **word-processing or hand-written Inspection Report**:

- type or write the word "DIRECT" next to the regulation/standard Section number and title
- follow the above procedure when you enter the Inspection Report into the LARIS database

Examples of "Direct" NCIs include, but are not limited to:

- animals in need of urgent veterinary care, e.g.
 - ▶ serious illness or injury
 - ▶ excessive (frequent and voluminous) diarrhea and/or vomiting
 - ▶ bloody (red, dark, and/or tarry) diarrhea and/or vomiting
 - ▶ excessively thin/debilitated animals with no care provided
 - ▶ moribund - recumbent, labored breathing, little response to stimuli, etc.
- matted dog with underlying lesions and/or other health issues caused by the mats
- inadequate, spoiled or contaminated food and water

- lack of drinkable water, i.e., no water or extremely contaminated water
- grossly inadequate enclosure space where animal **cannot**:
 - ▶ make normal postural adjustments
 - ▶ hold its head up
 - ▶ lie in full recumbency
- lack of shade or shelter for current weather or temperature extremes that threaten the animal's health and well-being
- sharp wire, nails or other objects which are likely to cause injury and are in an area where the animal will come into contact with them
- live unprotected electrical cord or heat lamp in an enclosure where an animal can reach it
- feet falling through flooring which is impacting the animal's ability to walk and/or function normally
- excessive accumulation of feces, urine, mud or other debris that the animal cannot get away from or avoid lying in
- lack of ventilation which has resulted in noxious fumes (e.g. your eyes burn) at the level of the animal's eyes or nose
- inappropriate handling that clearly causes pain or distress, such as, the use of:
 - ▶ electrical shock or starvation to train animals
 - ▶ a power hose to make animals shift
- IACUC-related problems, such as:
 - ▶ nonfunctional IACUC
 - ▶ inadequate analgesia
 - ▶ inappropriate procedures to alleviate pain
 - ▶ lack of adequate medical care for animals

For a comparison of direct vs indirect noncompliances, see Chart on pages 7.6.4 - 7.6.5.

EXAMPLES OF DIRECT vs INDIRECT NONCOMPLIANCES

DIRECT NONCOMPLIANCE	INDIRECT NONCOMPLIANCE
Lack of veterinary care for a serious condition, such as: <ul style="list-style-type: none"> • serious illness or injury • emaciated or debilitated animals with no care provided • generalized dermatitis or severe otitis externa with no care provided • large, infected lick granuloma with no care provided 	Lack of veterinary care for a minor condition, such as: <ul style="list-style-type: none"> • cherry eye • mild or localized dermatitis • mild otitis externa • small lick granuloma • accumulation of tarter on teeth with no related impact on the animal
Inadequate enclosure space where animal cannot: <ul style="list-style-type: none"> • make normal postural adjustments • hold its head up • lie in full recumbency 	Minor space deficiency with no apparent impact on the animal
Lack of shade or shelter in extreme conditions for all species; or lack of shade or shelter in uncertain conditions for less hardy species	Lack of shade or shelter in minor or uncertain conditions for animals that do not normally seek shelter in those conditions (i.e., bison)
Food that is clearly spoiled or contaminated	Pest control problem but no food contamination
Structural violation where: <ul style="list-style-type: none"> • sharp wire, nail or other object is likely to cause injury, AND • it is in an area where the animal will come into contact with it (e.g., floor or near a food bowl) 	Structural violation where: <ul style="list-style-type: none"> • sharp wire, nail or other object is not in an area where the animal will come into contact with it (e.g., ceiling)
Matted dog with underlying lesions and/or other health impacts caused by the mats	Matted dog with no lesions or only minor lesions, and no other health impacts
Live unprotected electrical cord or heat lamp in an enclosure where an animal can reach the cord or lamp	Cords or lamps in enclosures that are not live and the animal is unlikely to get entangled in them

DIRECT NONCOMPLIANCE	INDIRECT NONCOMPLIANCE
<p>Feet falling through flooring to a degree that it is impacting the animal's ability to walk and/or function normally</p>	<p>Feet can fall through the flooring but there is no significant threat of injury to the animal and no visible impact on the animal's ability to function</p>
<p>Lack of drinkable water, i.e., no water or extremely contaminated water Note: In such a situation, ask the registrant to offer fresh water to the animal. If the animal drinks voraciously, this would be considered a direct NCI.</p>	<p>Lack of drinkable water, but the animal appears normal and does not drink voraciously when offered fresh water</p>
<p>Excessive accumulation of feces, urine, mud, water and/or other debris that the animal cannot get away from</p>	<p>Accumulation of feces, urine, mud, water and/or other debris but the animal can avoid the areas of accumulation while still having adequate freedom of movement</p>
<p>Handling of animals that clearly causes pain or distress, such as, the use of:</p> <ul style="list-style-type: none"> • electrical shock or starvation to train animals • a power hose to make animals shift 	<p>Handling violation with no apparent (serious) negative impacts on the animal</p>
<p>Lack of ventilation which has resulted in noxious fumes (e.g., your eyes burn):</p> <ul style="list-style-type: none"> • in the entire room/building • in the area surrounding the animal • at the level of the animal's eyes or nose, such as: <ul style="list-style-type: none"> ▸ floor level ▸ in closed cages (hamsters, gerbils, etc.) 	<p>Lack of ventilation without noxious fumes:</p> <ul style="list-style-type: none"> • in the entire room/building • in the area surrounding the animal • at the level of the animal's eyes or nose, such as: <ul style="list-style-type: none"> ▸ floor level ▸ in closed cages (hamsters, gerbils, etc.)
<p>Incompatible animals housed in the same enclosure</p>	<p>Animals housed together that occasionally fight but without serious physical or psychological harm</p>

SIGNATURES	The inspector and a research facility representative should sign all pages of the inspection report.
	<p>The signature of the representative certifies that the person received a copy of the inspection. It does not necessarily mean that the person agrees with the findings of the inspection. Any disagreements about the inspection findings should be referred to the appropriate Animal Care Regional Office.</p> <p>Date: The signature date on the inspection report (lower right hand corner) should be:</p> <ul style="list-style-type: none">• for the inspector - the date the inspection report was written and signed• for the research facility - the date a copy of the inspection report was received <p>NOTE: The inspection date on the inspection report (upper right hand corner) should be the date that the inspection was conducted OR the date the inspection was started if the inspection took multiple days to complete. The inspection date and the signature date may be different dates.</p> <p>Refusal to sign: If a representative of the research facility refuses to sign the inspection report:</p> <ul style="list-style-type: none">• do not put on the inspection report (narrative or signature block) that the person refused to sign the inspection report• type in the signature block "Hand-delivered"• leave a copy of the inspection report with the representative, if possible, and• send the research facility a copy of the inspection report, even if a copy was left with the representative at the time of the inspection, by:<ul style="list-style-type: none">▸ certified, return receipt mail, OR▸ email with a return acknowledgment or receipt requested

INSPECTION APPEALS PROCESS	If the registrant has a concern about any findings on the inspection report, the inspection appeals process should be used to resolve the dispute.
Procedure	<p>A registrant/facility representative may not make written comments about the inspection findings on the inspection report.</p> <p><i>Prior to Finalizing the Inspection Report</i> If a registrant/facility representative has questions or concerns about a noncompliant item(s) cited on the inspection report, you, the inspector, should:</p> <ul style="list-style-type: none">• at the exit briefing, take time to adequately explain why the noncompliance was cited• if you and the registrant/facility representative resolve the disagreement, amend the citation• if the dispute cannot be resolved:<ul style="list-style-type: none">▶ inform the registrant/facility representative of the next step in the appeals process▶ give the registrant/facility representative a copy of the appeals process letter (see page 7.8.4) <p>If there was an unresolved disputed noncompliance:</p> <ul style="list-style-type: none">• finalize the inspection report• inform your SACS that there may be an appeal of a noncompliance(s) cited on the inspection report <p><i>After Finalizing the Inspection Report</i> If a registrant/facility representative has questions or concerns about a noncompliant item(s) cited on the inspection report, you, the inspector, should:</p> <ul style="list-style-type: none">• if requested, meet with the registrant/facility representative again to discuss the noncompliance• if you and the registrant/facility representative resolve the disagreement on the noncompliance, you should:<ul style="list-style-type: none">▶ generate an amended inspection report (see page 7.8.2)▶ inform your SACS of the resolution

- ▶ give or send (by certified mail) a copy of the amended inspection report to the registrant/facility representative
- ▶ send a copy of the amended inspection report to the Regional Office
- if the dispute cannot be resolved:
 - ▶ inform the registrant/facility representative of the next step in the appeals process
 - ▶ give the registrant/facility representative a copy of the appeals process letter (see page 7.8.4)
 - ▶ inform your SACS that there may be an appeal of a noncompliance(s) cited on the inspection report

If the registrant/facility representative's appeal of a noncompliance is determined to be valid, i.e., a citation is to be modified or deleted, a new, amended inspection report will be generated in LARIS either by the original inspector or the SACS, as determined by the SACS.

If the registrant/facility representative's appeal of a noncompliance is determined to be invalid, a letter will be written by the SACS to the registrant/facility representative informing him/her of the decision. The inspector will receive a copy of the letter.

NOTE: Inspection appeals should **NOT**:

- delay reinspection of direct noncompliances
- interfere with efforts to ensure that the immediate welfare needs of the animals are met

**Amended
Inspection Report**

The amended inspection report should:

- be dated the date that the actual inspection was conducted in "Inspection Date"
- be dated the date that the amended inspection report was signed or sent to the registrant/facility representative/registrant in the "signature block"
- cite any noncompliances that were modified on appeal

- cite the noncompliances that were not appealed or overturned on appeal. NOTE: The citation on the amended inspection report must be identical to the citation on the original inspection report.
- contain the statement: "This is an amended report of inspection report (*LARIS inspection "id" codes of original inspection report*)." "

If the inspector generates the amended inspection report, he/she should send a copy of the inspection report:

- to the registrant/facility representative by certified, return receipt mail
- to the SACS or Regional Office

If the SACS generates the amended inspection report, he/she should send a copy of the inspection report:

- to the registrant/facility representative by certified, return receipt mail
- to the inspector
- to the Regional Office



Dear Licensee or Registrant:

Animal Care (AC) understands that at times there may be concerns about findings noted on inspection reports. It is in the best interest of you (the facility), AC, and, above all, the welfare of the animals to resolve disputes quickly and cooperatively. AC hopes the following process will achieve that goal.

If you have questions or concerns regarding the findings on an AC inspection report, you should:

1. Discuss the area in question with the inspector. You may have this discussion during the inspection or call your inspector later. Take sufficient time to clarify the areas of disagreement and, if necessary, your inspector can set up an appointment to meet with you again to discuss issues. Most concerns and questions can be resolved in this first step.
2. If questions or concerns persist, send a written description of the areas of concern to the Supervisory Animal Care Specialist (SACS) in your regional office. The SACS will review your concerns and determine if errors or misinterpretations were made by the inspector that need correction. If appropriate, an amended inspection report will be issued. As noted above, AC realizes that disagreements are a natural part of regulatory oversight, and inspectors understand that regulated facilities have the right to appeal inspection findings. An appeal of inspection findings will never result in reprisal against the facility by any AC employee.
3. If areas of disagreement persist, contact your regional director. He or she will consider the issues and seek review from the AC headquarters staff, if appropriate.
4. If the matter is still unresolved to your satisfaction, send your concerns to me, AC Deputy Administrator, at the Headquarters address below.

For more information about this process or compliance inspections, please contact your AC regional office. Other information about AC is available from our website and you may send questions or comments to our e-mail address, both shown below.

Chester Gipson
Deputy Administrator
Animal Care

Headquarters
USDA/APHIS/AC
4700 River Road, Unit 84
Riverdale, MD 20737
Phone: (301) 734-7833
Fax: (301) 734-4978

Eastern Region
USDA/APHIS/AC
920 Main Campus Drive
Suite 200, Unit 3040
Raleigh, NC 27606
Phone: (919) 855-7100
Fax: (919) 855-7123

Western Region
USDA/APHIS/AC
2150 Centre Ave.
Building B, Mailstop 3W11
Fort Collins, CO 80526
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E-mail
ace@usda.gov

Internet Homepage
www.aphis.usda.gov/ac



United States
Department of
Agriculture

Marketing and
Regulatory
Programs

Animal and
Plant
Health
Inspection
Services

Animal Care

4700 River Rd.
Riverdale, MD
20737

MISTAKES ON THE INSPECTION REPORT

The inspection report must be read carefully before printing and finalizing to determine that all information and spelling are correct.

Prior to printing the final inspection report

To make the inspection report as error free as possible:

- **make sure that you are entering the inspection:**
 - ▶ **under the correct registrant**
 - ▶ **under the correct certificate number**
 - ▶ **in the correct site**
 - check that all information is entered into the database correctly, such as:
 - ▶ animal inventory
 - ▶ name and title of person signing the inspection report
 - check that all information in the narrative is correct, such as:
 - ▶ citation Section and subsections
 - ▶ regulation or standard correctly paraphrased, if applicable
 - ▶ buildings inspected
 - ▶ date of last inspection, if on inspection report
 - ▶ inventory of animals, if on inspection report
 - for repeat NCIs or NCIs with correction time remaining, check that the section/subsection is the same cited on the previous inspection(s). If the incorrect section or subsection was cited on the previous inspection, cite the correct section and subsection and add: "Cited incorrectly under (*section/subsection #*) on (*date*) inspection."
 - reread the narrative section to ensure that appropriate wording has been used to describe the problem
 - check spelling and grammar
- Note: You can type the narrative in MS Word first by following the instructions at the bottom of page 7.2.1.
- review a DRAFT copy of the inspection report with the registrant/facility representative
 - make the appropriate changes, if necessary
 - print the DRAFT copy (original or corrected) of the inspection report for a signature

Be sure to finalize the inspection report.

Major Errors

If a **major error** is noted on the inspection report after the final copy has been printed or the inspection report has been finalized, it must be corrected.

Major errors include, but are not limited to:

- wrong site
- incorrect inspection type
- incorrect citation
- direct or significant noncompliance omitted
- failure to specify a noncompliance as “direct” or “repeat”
- correction date(s) omitted
- correction date given for a repeat noncompliance

NOTE: Spelling or grammatical errors are not considered major errors.

**Correcting or
Amending the
Inspection Report**

No pen and ink changes may be made to the Inspection Report.

If a major error(s) is noted after the **final** copy has been printed or the inspection report has been **finalized AND a copy of the inspection report HAS NOT BEEN SIGNED BY the registrant/facility representative:**

- contact your SACS and the Regional Office to have the inspection report reactivated (Note: You must replicate in order for the RO to reactivate the inspection report.)
- correct the reactivated inspection report
- provide a copy of the corrected inspection report to the registrant/facility representative through the usual delivery methods

If a major error(s) is noted after the **final** copy has been printed or the inspection report has been **finalized AND a copy of the inspection report HAS BEEN SIGNED BY and GIVEN TO the registrant/facility representative:**

- notify your SACS
- enter a new inspection report into LARIS (see below)
- provide a copy of the corrected inspection report to the registrant/representative through the usual delivery methods

	<p>The new inspection report should</p> <ul style="list-style-type: none">• be dated the date that the actual inspection was conducted in “Inspection Date”• be dated at the bottom the date that the amended inspection report was:<ul style="list-style-type: none">▶ “Prepared” by you, and▶ signed by or sent to the registrantNote: These dates do not have to be the same.• correct the major mistake for which the amended inspection report is being generated• cite the noncompliances that were correct on the incorrect report. NOTE: These citations must be identical to the citation on the incorrect report.• contain the statement at the end of the narrative: “This is an amended report correcting inspection report (<i>cust id, insp id, site id</i>) by (<i>insert correction</i>).” <p>Examples of corrections are:</p> <ul style="list-style-type: none">▶ correcting the site number from 001 to 002▶ correcting date of the inspection▶ changing the Section of the Veterinary Care citation from 2.40 to 2.33
<p>Mistakes Noted by the Regional Office</p>	<p>If the Regional Office discovers a mistake on an inspection report:</p> <ol style="list-style-type: none">1. the inspection report will be emailed to the inspector and the SACS2. the inspector must correct the inspection report following the procedure outlined above3. the inspector must deliver the amended inspection report to the licensee in person or send by certified, return receipt mail within 2 weeks

HANDWRITTEN INSPECTION REPORTS

There are certain situations where the inspector may choose to or have to hand write the inspection report.

If you hand write an inspection report, you must use the blank pre-printed inspection report form (see page 7.10.3).

You should always have a supply of blank pre-printed inspection reports either with you or in the government vehicle.

When using the pre-printed inspection report:

- hand write all information in a legible and neat manner
- use black or blue ink

Situations where the inspection report may be handwritten include, but are not limited to:

- computer failure
- printer failure
- airports where it is difficult to get a computer through security
- unique situations which may arise where the use of the computer is not feasible

If you want to give the registrant/facility representative a copy of the handwritten inspection report at the time of the inspection, you can:

- make a carbon copy of the inspection report
- make a photocopy of the inspection report
- complete two original inspection report forms and sign both copies

If you do not give the registrant/facility representative a copy of the handwritten inspection report at the time of the inspection, you should send a copy to hem/her by certified, return receipt mail.

REMEMBER:

1. You must enter the handwritten inspection report into the LARIS database as soon as possible
2. The narrative entered into the LARIS database must be identical to the handwritten inspection report
NOTE: Dates of the actual inspection, Prepared, and Received should be the same as on the handwritten inspection report.
3. The following statement must be placed in the narrative section: **"This is an electronic version of the report dated xx/xx/xx."**
4. A copy of the LARIS inspection report should be sent to the registrant by regular mail or email
5. A copy of the LARIS inspection report should be attached to the handwritten inspection report
6. The handwritten inspection report and LARIS copy should be sent following your standard procedure, i.e. SACS or the Regional Office, after it is entered into LARIS

For a *printer failure*, you may do a handwritten report or use the following procedure:

- enter the inspection report into the LARIS database
- review the inspection report with the registrant/facility representative on the computer screen
- when the printer is repaired, send a copy of the inspection report to:
 - ▶ the registrant by certified, return receipt mail, and
 - ▶ to the SACS or Regional Office



United States Department of Agriculture
Animal and Plant Health Inspection Service
Animal Care

INSPECTION REPORT

Name of Licensee/Registrant

Site No.

Lic. / Reg. Number

Business Name (DBA)

Site Name

Date of Inspection

Facility Mailing Address

Site Address

Inspection Time

City, State, Zip (for facility)

Site City, State, Zip (for site)

Inspection Type

NARRATIVE

Lined area for narrative text.

Prepared By: _____
Title: _____, USDA, APHIS, Animal Care

Date: _____
LARIS ID NO. _____

Copy Received By: _____
Title: _____

Date: _____

NON-REGULATED ANIMALS	Non-regulated animals should not be inspected or mentioned on the inspection report unless there is the potential for a negative effect on the health or well-being of the regulated animal(s).
	Examples of a potential negative effect are: <ul style="list-style-type: none">• rats with an infectious disease being housed in the same room with rabbits• the number of non-regulated animals is so large that the current staffing is inadequate to properly care for the regulated animals

8.0 Specific Types of Inspections

Attempted Inspection.....8.1

Barrier Facility Inspection.....8.2

Complaint Inspection.....8.3

Confiscation Procedures.....8.4

Inactive Research Facility Inspection.....8.5

Refusal of Inspection.....8.6

Research Facility Operating a Pound or Shelter.....8.7

Search Inspection.....8.8

Veterinary Schools and Veterinary Technology Programs.....8.9

**ATTEMPTED
 INSPECTION**

An attempted inspection occurs when an authorized person is not available to accompany the inspector and no inspection is conducted. [2.38]

Criteria

An attempted inspection is when:

- a representative of the research facility is not available to accompany the inspector, or
- it is inappropriate to conduct an inspection at that time

If the research facility is at a business location:

- check in at the reception/registration desk
- have the designated research facility representative(s) phoned or paged
- if the designated representative is not available, determine if there is anyone else available to accompany you on the inspection
- wait a reasonable amount of time for someone to become available, if appropriate

If the research facility is not at a business location, determine that no one is available by:

- knocking loudly on the door several times
- ringing door buzzers
- calling out the person's name, if appropriate
- honking your vehicle's horn several times, if appropriate
- checking around the facility for someone, but do not enter animal buildings or pass through closed gates without prior authorization from the research facility
- calling the phone number(s) provided by the research facility to contact the designated representative to determine if he/she can be at the facility within 30 minutes
- waiting a reasonable amount of time for someone to arrive at the facility

Do not conduct an inspection of the facility without being accompanied by a representative of the research facility.

If you are unable to contact anyone, complete an inspection report as follows:

1st attempted inspection: (See example on page 8.1.4)

- designate as an Attempted Inspection in “Inspection Type” in LARIS
- cite under SECTION 2.38(b)-ACCESS AND INSPECTION OF RECORDS AND PROPERTY
- Type in the narrative that “This is the 1st attempted inspection.”
- cite as described on page 7.3.1 for a new noncompliant item identified
- in the narrative, use the following or a similar citation: On *(date)* at *(time)*, registrant/research facility failed to have a responsible person available to conduct an animal welfare inspection.”
- if appropriate, put your (the inspector’s) voicemail number in the narrative with a statement such as “If your hours of availability have changed, please contact me at *(voicemail guest number)* and leave a message.”
- type in the “Received by” line that the inspection report was sent by regular first class mail
- send the Inspection Report to the registrant/research facility by regular mail

2nd and subsequent consecutive or recurring attempted inspections:

- designate as a REPEAT violation
- cite as described on page 7.3.5 for a repeat noncompliant item
- type in the narrative that “This is the *(number)* attempted inspection.”
- type in the “Received by” line that the inspection report was sent by certified mail and the Certified Mail Receipt number (see “Delivery of the Inspection Report -Certified Mail” - page 9.2.2 for instructions)
- send the Inspection Report to the registrant/research facility by certified, return receipt mail
- using your Region’s standard procedure, make a

recommendation for an enforcement action (see Section 9.3
- Enforcement Actions)

Note: Continue to attempt to conduct a routine inspection
after recommending an enforcement action.



United States Department of Agriculture
Animal and Plant Health Inspection Service
Animal Care

INSPECTION REPORT

SMITH UNIVERSITY

**Customer ID: 9999
Certificate: 99-C-0001**

**1 Protocol Lane
Research, NJ 55555**

SAMPLE

Site: 001

**Inspection
Type: Attempted
Date: Feb-01-2006**

NARRATIVE

2.38 (b)

ACCESS AND INSPECTION OF RECORDS AND PROPERTY.

A research facility shall allow APHIS officials to enter its place of business and inspect facilities, property, and animals, and to examine records as necessary to enforce the provisions of the Animal Welfare Act regulations and standards.

On Wednesday February 1, 2006, the research facility did not have a responsible person available to conduct an animal welfare inspection.

This is the first attempted inspection.

The research facility was not able to be inspected for compliance with the Animal Welfare Act regulations and standards and to ensure the health and well-being of the animals

A responsible person must be available to accompany the inspector on an animal welfare inspection.

Correct immediately.

Prepared By: _____
USDA-APHIS-ANIMAL CARE

Date: FEB-01-2006

Title: VMO

Inspector ID: 9999

Received By: SENT BY REGULAR FIRST-CLASS MAIL

Date: FEB-01-2006

Title: _____

BARRIER FACILITY INSPECTION	Animals housed in a barrier facility and/or Specific Pathogen Free (SPF) colony must be maintained in accordance with all Animal Welfare Act regulations and standards. [Policy #9]
Criteria	<p>The inspector must have access to inspect all regulated animals at a research facility's barrier facility to ensure compliance.</p> <p>If it is not possible for the inspector to enter the animal rooms in the barrier facility, due to the possibility of disease exposure and/or contamination of the inspector or the animals, the inspection may be conducted by:</p> <ul style="list-style-type: none">• video viewing from outside the barrier room (see below)• visual inspection through an adequate viewing window (see below)• selecting random animals to be visually inspected, and• analyzing environmental records <p>Entry into the barrier facility The inspector may enter the barrier facility, if he/she determines that entry is necessary to adequately complete the inspection and/or resolve a suspected problem.</p> <p>The inspector must follow the entry procedures normally used by the research facility's personnel. NOTE: The facility must supply a copy of its barrier entry procedures upon request.</p> <p>The research facility must:</p> <ul style="list-style-type: none">• not require more stringent entry standards for the inspector• provide the protective clothing and supplies needed to complete the inspection, such as pen, paper, flashlight, etc. <p>The research facility may ask the inspector to verify that he/she has not been in contact with, or exposed to, certain animals for a specified period of time, generally, this is 72 hours. This verification is acceptable.</p> <p>The inspector must NOT sign any statement in which he/she accepts responsibility for the health of the animals in the barrier facility.</p>

**Alternative Methods
of Inspection**

Video Camera Inspection

If a video camera is to be used for inspecting the barrier facility, the following minimum guidelines should be met by the research facility:

- video camera must be portable enough to get into all parts of all the rooms that will require inspection, such as the animal rooms, food and bedding storage areas, medication storage areas, and cage washing/sanitizing areas
- video camera must have a high enough resolution so that the inspector can clearly see the animals in the cages and see subtle differences, such as being able to distinguish between bedding and feces in or beneath the cages
- there must be a communication system between the person operating the camera and the inspector so that the inspector can direct the person to view different areas or zoom in on an area
- the lighting in the room must be sufficient to allow for good visibility or the facility must have supplemental lighting available
- the monitor must be a color monitor so that color differences can be seen, for example, to distinguish blood from other fluids or see algae/scum growth in water
- if possible, the inspection should be recorded so the inspector and research facility representative can refer back to the tape to review an area if any questions arise after the facility inspection

Through a Viewing Window

If the inspection is to be conducted through a viewing window(s), the following minimum guidelines should be met:

- all parts of all the rooms that will require inspection, such as the animal rooms, food and bedding storage areas, medication storage areas, and cage washing/sanitizing areas, must be visible through the window(s)
- there must be a communication system between the person inside the room and the inspector so that the inspector can direct the person, such as to bring cages or animals to the window, or to open cabinets or containers

Refusal of Inspection

- the lighting in the room must be sufficient to allow for good visibility or the facility must have supplemental lighting available

If a research facility representative refuses to allow the inspector to enter the barrier facility when all standard entry requirements have been met, and fails to provide an acceptable alternative method of inspection, this should be documented as a "Refusal of Inspection."

The inspector must:

- inform the representative that this a violation of the Animal Welfare Act
- leave the facility
- complete an official inspection report
- designate this as a "Routine" inspection on the inspection report
- document the refusal in the inspection report narrative section
- be specific as to date, time, and the name of the person who refused to allow the inspection. An example citation is: SECT 2.38(b)-ACCESS TO PROPERTY AND RECORDS-On *(date)* at *(time)*, *(name of person)* refused to allow an inspection of the barrier facility.
- send the research facility a copy of the inspection report by certified, return receipt mail

NOTE: If a designated research facility representative cannot be contacted and a non-designated person, such as an employee, refuses to allow the inspection, this should be documented as an "Attempted Inspection."

COMPLAINT INSPECTION	A complaint inspection is conducted in response to a concern received by Animal Care.
Sources of Information	<p>Sources of information include, but are not limited to:</p> <ul style="list-style-type: none"> • general public • animal protection group • whistle blower • city, county, or State agency • APHIS personnel • other Federal agency <p>Methods of obtaining information include, but are not limited to:</p> <ul style="list-style-type: none"> • phone calls • letters • e-mail • personal contact • fax <p>NOTE: The complainant does not have to give his/her name. If the complainant does give his/her name, you should not give out the person's name in order to maintain confidentiality. However, the complainant's name may be subject to a FOIA request.</p>
Information Follow-up	<p>Decide if the information applies to the Animal Care program.</p> <p>If it does not apply to the Animal Care Program, refer the complainant to the appropriate office/agency if known. Possible referral agencies include, but are not limited to:</p> <ul style="list-style-type: none"> • US Fish & Wildlife Service • State wildlife agency • local animal control • local or national humane society • State animal welfare agency <p>If it does apply to the Animal Care Program but is not a possible violation:</p> <ul style="list-style-type: none"> • explain regulations and situation to complainant • take no further action

If it **does apply** to the Animal Care program **and is** a possible violation:

- complete a Complaint sheet (see page 8.3.3)
- determine if the complaint applies to someone in your territory

If **not** in your territory,

- forward the Complaint sheet to the Regional Office
- inform the complainant it is not in your area but you are forwarding it to the Regional Office
- give the complainant the Regional Office phone number for follow-up

If **in** your territory,

- contact your Supervisory Animal Care Specialist (SACS) to determine if an inspection or investigation is needed
- conduct an inspection if required. Note: Designate the inspection as a "Routine" inspection.
- complete the Complaint sheet and a memo detailing your findings, if appropriate
- forward the Complaint sheet, inspection report, and memo, if applicable, to your SACS or Regional Office following your standard procedure

Response Time

The time frame for responding to a complaint depends on the severity of the situation. The response time may be:

- within 72 hours when the animal's health and well-being is threatened, e.g., a report from an internal source of animals experiencing excessive pain or distress
- as directed by your SACS or other program official, e.g., a situation with high public attention or Headquarters/Administration involvement
- within 30 days or by the deadline given for all other complaints, e.g., general complaint that a research facility is using stolen animals



USDA, APHIS, Animal Care

ANIMAL WELFARE COMPLAINT

Complaint No. Date Entered Received By

Referred To Reply Due

Facility or Person Complaint Filed Against

Name Customer/License/Registration No.

Address

City State Zip Phone No

Complainant

Name Organization

Address

City State Zip Phone No./Email address

How was complaint received?

Details of Complaint:

Results:

Application packet provided? Yes [] No []

INSPECTOR

DATE

REVIEWED BY

DATE

CONFISCATION PROCEDURES

Any animal not currently being used for research and found by an APHIS official to be suffering as a result of failure to comply with the AWA regulations and standards may be confiscated and euthanized. [2.38(e) and Policy #8]

Criteria

If the research facility takes no action to alleviate the suffering, APHIS may confiscate the animal(s) following the procedures outlined in Policy #8. An animal does not have to be in jeopardy of dying to be in a state of suffering.

You should consider starting confiscation procedures if conditions are such that:

- an animal's health and well being is severely compromised
- an animal is in need of immediate care
- an animal may shortly be in need of immediate care

Conditions which can compromise an animal's health/well-being or require immediate care include, but are not limited to:

- lack of appropriate veterinary care for the medical conditions that you observe
- no food and water
- inadequate shelter or bedding for extreme weather conditions
- enclosures with:
 - ▶ excessive accumulations of feces or old food
 - ▶ dead, decaying animals
 - ▶ extremely soiled or wet bedding

Clinical signs indicative of an animal that is suffering and in need of immediate care include, but are not limited to:

- self-damaging stereotypic behavior, such as:
 - ▶ self-biting
 - ▶ hair pulling
 - ▶ head banging
- poor appearance, such as:
 - ▶ prominent bony processes
 - ▶ loss of hair coat
 - ▶ glassy or sunken eyes

- excessively matted hair resulting in:
 - ▶ skin lesions
 - ▶ difficulty defecating
 - ▶ vision problems
- hypothermia, such as:
 - ▶ shivering
 - ▶ frost-bitten extremities
 - ▶ huddling or piling of animals
 - ▶ loss of interest in surroundings
- severe injuries and wounds
- severe emaciation
- severe dehydration
- severe diarrhea or vomiting
- moribund condition, such as:
 - ▶ inability to stand up
 - ▶ labored breathing
 - ▶ little or no response to stimuli
- agonal respiration

NOTE: Animals may mask the clinical signs of pain and distress, therefore animals may be in more pain and distress than exhibited by their behavior. You should assess both the animal and its conditions carefully.

Procedure

- Before confiscating any animal, the APHIS official must:
1. make a reasonable effort to notify the research facility of the condition of the animal [2.38(e)(1)]
 2. request that the condition be corrected by [2.38(e)(1)]
 - ▶ adequate care being given, or
 - ▶ euthanasia of the animal
 3. if the registrant or a representative of the research facility cannot be located or notified, [2.38(e)(2)]
 - ▶ contact the Regional Office
 - ▶ contact local police or other law officers to accompany him/her to the premises
 - ▶ provide adequate temporary care for the animal

	<p>If the research facility refuses to comply with this request or the condition cannot be corrected by temporary care, you should:</p> <ul style="list-style-type: none">• contact your SACS (or Regional Director, if your SACS is not available)• confiscate the animal following Policy #8 - <i>Guidelines for the Confiscation and Destruction of Animals</i>. [2.38(e)(1)& (e)(2)] <p>NOTE: Take photographs (digital photographs preferred) of the animals to support confiscation actions. These photos should be sent or transmitted to the Regional Office (see Section 6.3 - Inspection Photographs) as soon as possible.</p> <p>The research facility from which the animals were confiscated is responsible for all costs incurred in the placement or euthanasia of the animals. [2.38(e)(3)]</p>
<p>Placement of animals</p>	<p>Confiscated animals may be: [2.38(e)(3)]</p> <ul style="list-style-type: none">• placed, by sale or donation, with other USDA registered research facilities or licensed dealers that:<ul style="list-style-type: none">▸ comply with the AWA regulations and standards, and▸ can provide proper care, or• euthanized

<p>INACTIVE RESEARCH FACILITY INSPECTION</p>	<p>A research facility officially designated as “inactive” should be inspected.</p>
<p>Criteria</p>	<p>A research facility may request to be placed in an inactive status if the research facility has: [2.30(c)(2)]</p> <ul style="list-style-type: none"> • not used, handled, or transported regulated animals for a period of at least 2 years, and • made a written request to the Regional Director for the State in which it is registered <p>An inactive research facility must: [2.30(c)(2)]</p> <ul style="list-style-type: none"> • file an annual report of its status • notify the appropriate Regional Director, in writing, at least 10 days prior to using, handling, or transporting regulated animals again
<p>Inspection Frequency</p>	<p>An inactive research facility should be inspected once per year.</p> <p>However, if you are unable to inspect an inactive research facility due to lack of time or other constraints, you should discuss this with your SACS.</p>
<p>Inspection Procedures</p>	<p>You, the inspector, should:</p> <ul style="list-style-type: none"> • physically inspect the research facility, and • complete an inspection report <p>If there are no covered species present and no covered research being conducted at the research facility at the time of your inspection, you should:</p> <ul style="list-style-type: none"> • document on the inspection report “No regulated activities” • encourage the research facility to cancel its registration • make sure that the research facility has an IACUC in place <p>NOTE: The IACUC is not required to meet nor perform the semi-annual animal facility and program reviews.</p> <ul style="list-style-type: none"> • remind the research facility that it must notify the

appropriate Regional Director, in writing, at least 10 days prior to using, handling, or transporting regulated animals again

If there are covered species present but are not being used for a covered activity at the time of your inspection, you should:

- document on the inspection report “No regulated activities”
- make sure that the research facility has an IACUC in place
- ascertain that the IACUC has reviewed the use of the covered species and determined that the use of the animals is exempt from coverage
- remind the research facility that it must notify the appropriate Regional Director, in writing, at least 10 days prior to using, handling, or transporting regulated animals again for covered purposes

Examples of covered animals being used for a non-covered activity include, but are not limited to:

- agricultural animals used for developing antibodies for agricultural animals
- breeding trials in sheep
- pigs on food conversion studies for pig feed

REFUSAL OF INSPECTION

Sometimes a research facility representative refuses to allow an inspection of the research facility. [2.38(b)]

If a representative of a research facility refuses to allow an inspection, be sure that:

- you have clearly identified yourself as a USDA Animal Care inspector
- the inspection is occurring during legal business hours - 7a.m.-7p.m., Monday through Friday
- the person refusing to allow the inspection is aware of the violation of the AWA regulations
- you ask the specific question: "Are you refusing to allow the inspection?"
- you ask to speak to a person of higher authority at the research facility

If the representative or the person of higher authority still refuses to allow an inspection, leave the premises and:

- complete an official inspection report
- designate this as a "Routine" inspection
- document the refusal in the inspection report narrative section
- be specific as to date, time, and the name of the person who refused to allow the inspection. An example citation is: SECT 2.38(b) ACCESS TO PROPERTY AND RECORDS- On *(date)* at *(time)*, *(name of person)* refused to allow an inspection of the facility and records.
- send the research facility a copy of the inspection report by certified, return receipt mail

NOTE: If two or more APHIS officials are present for the inspection and one is denied entry, document this as a refusal of inspection. Do not conduct an inspection.

<p>RESEARCH FACILITY OPERATING A POUND OR SHELTER</p>	<p>A research facility operating a pound or shelter must have separate premises and records for the two businesses. [2.132(e)]</p>
<p>Criteria</p>	<p>Physically Separate Businesses The pound or shelter must be physically separated from the research facility, that is:</p> <ul style="list-style-type: none"> • the two businesses must not be on the same premises • the animal housing facility of the pound/shelter must not be adjacent to the research facility <p>Records The dog & cat records for the research facility must be maintained separately from the pound/shelter records.</p> <p>For all dogs/cats, EXCEPT lost or stray dogs, the pound or shelter must make, keep and maintain the following records:</p> <ul style="list-style-type: none"> • name and complete address of the seller or donor, [2.75(a)(1)(i)] • USDA license or registration number if seller/donor is USDA licensed or registered [2.75(a)(1)(ii)] • vehicle license number and driver's license number and State of issuance of each if seller/donor is not USDA licensed or registered (see next page) [2.75(a)(1)(iii)] • date dog/cat was acquired [2.75(a)(1)(v)] • name and complete address of the buyer or person to whom dog/cat was given, if applicable [2.75(a)(1)(iv)] • USDA license or registration number if buyer or person to whom dog/cat was given is licensed or registered [2.75(a)(1)(iv)] • date the dog/cat was disposed of [2.75(a)(1)(v)] • method of disposition, such as: [2.75(a)(1)(ix)] <ul style="list-style-type: none"> ▶ sale ▶ donation ▶ death ▶ euthanasia

- official USDA tag number, tattoo, or microchip number, if applicable [2.75(a)(1)(vi)]
- a description of each animal [2.75(a)(1)(vii)]
- the species and breed or type [2.75(a)(1)(vii)(A)]
- the sex [2.75(a)(1)(vii)(B)]
- date of birth or approximate age [2.75(a)(1)(vii)(C)]
- the color and any distinctive markings [2.75(a)(1)(vii)(D)]
- the method of transportation, if applicable, including: [2.75(a)(1)(viii)]
 - ▶ name of the initial carrier or intermediate handler, or
 - ▶ name of the owner of the privately owned vehicle

If the vehicle license number and driver's license number cannot be obtained, the record must contain:

- an acceptable reason for not obtaining this information, and
- at least two of the following:
 - ▶ social security number
 - ▶ phone number
 - ▶ directions to the premises of the seller/donor
 - ▶ official identification card number

For lost or stray dogs/cats, the pound/shelter records must contain the following: [2.132(e)(2)]

- an accurate description of the dog/cat
- how the dog/cat was obtained
- where the dog/cat was found
- from whom the dog/cat was obtained
- when the dog/cat was obtained
- how long the dog/cat was held before being transferred to a dealer, if applicable
- date the dog/cat was transferred to a dealer, if applicable

SEARCH INSPECTION	A search is an investigation of anything relating to unregistered activity.
Subjects of Searches	<p>Subjects of searches include, but are not limited to:</p> <ul style="list-style-type: none">• a research facility whose registration was canceled due to non-renewal without explanation• a non-registered research facility purchasing regulated animals• previously identified violators <p>Use good judgment to decide when you have made a reasonable effort to verify a research facility's activities.</p> <p>Examples of ways to verify a research facility's possible regulated activities are:</p> <ul style="list-style-type: none">• making phone calls• checking broker records• checking dealer records• visiting the facility• communicating with other inspectors
Sources of Information	<p>Sources of information include, but are not limited to:</p> <ul style="list-style-type: none">• anonymous tips• general public• animal protection groups• whistle blowers• APHIS personnel• journal/newspaper articles• dealer records• city, county, or State agency• State health certificates• other Federal agency <p>Sources may provide information by the following methods:</p> <ul style="list-style-type: none">• phone calls• letters• e-mail• personal contact

NOTE: The informant does not have to give his/her name. If the informant does give his/her name, the person's name should not be given out, in order to maintain confidentiality.

**Information
Follow-up**

Decide if the information supplied to the Animal Care program involves a regulated activity or animal.

If the information **does not** involve a regulated activity/animal:

- educate the informant about regulated activities/animals
- thank the informant for his/her interest in the welfare of animals
- refer the informant to the appropriate office/agency, if known. Possible referral agencies include:
 - ▶ NIH - OLAW
 - ▶ AAALAC
 - ▶ US Fish & Wildlife Service
 - ▶ State wildlife agency
 - ▶ State animal welfare agency
- take no further action

If the information **does** involve a regulated activity/animal:

- thank the informant for his/her interest in the welfare of animals
- complete the top portion of a Search sheet (see page 8.8.7)
- determine if the information applies to a research facility in your territory

If the information applies to a research facility **not in your territory**:

- tell the informant that the facility is not in your territory but that you will forward the information to the Regional Office for distribution to the appropriate inspector
- give the informant the Regional Office's phone number for follow-up
- forward the Search sheet and any supplemental information (e.g., copies of records, invoices, sale bills) to the Regional Office

	<p>If the information applies to a research facility in your territory, conduct a search.</p>
Conducting the Search	<p>Verify the information received by:</p> <ul style="list-style-type: none">• contacting the research facility• gathering additional information, such as:<ul style="list-style-type: none">▶ contacting witnesses▶ assessing records▶ reviewing newspaper or journal articles
<i>No Regulated Activity</i>	<p>If regulated activities are not being conducted:</p> <ul style="list-style-type: none">• complete the bottom portion of Search sheet• submit your findings to your SACS or Regional Office
<i>Regulated Activity</i>	<p>If regulated activities are being conducted:</p> <ul style="list-style-type: none">• inform and make available to the responsible person at the research facility all the pertinent aspects of the AWA and regulations/standards• explain that the activity requires a USDA registration• request a decision about the continuation of this activity• give or have the Regional Office send an Application for Registration (APHIS Form 7011), an application packet, and other pertinent forms and information• decide whether or not to request permission to inspect the facility. Situations where you may decide not to request permission to inspect include, but are not limited to:<ul style="list-style-type: none">▶ you are able to see animals and no major problems are observed▶ responsible person is uncooperative and threatening▶ person is not able to make a decision about obtaining a registration at that time
<i>Inspection Allowed</i>	<p>If the responsible person allows an inspection of the facility, the inspection report should be completed as follows:</p> <ul style="list-style-type: none">• classify the inspection as "Routine"• note in the narrative that this was a "Search" inspection<ul style="list-style-type: none">▶ document all noncompliant items <p>NOTE: No correction date(s) should be given.</p>

- ▶ include a citation of "SECTION 2.30(a) - CONDUCTING REGULATED ACTIVITIES WITHOUT A REGISTRATION" and describe the regulated activity
- ▶ state the following at the end of the inspection report:
"NO REGULATED ACTIVITIES MAY BE CONDUCTED UNTIL USDA REGISTRATION IS OBTAINED."

If after the inspection the responsible person refuses to sign the inspection report, send the report to him/her by certified, return receipt mail.

Refusal of Inspection

If the responsible person refuses to allow an inspection of the facility:

- inform the responsible person that the research facility is in violation of the Animal Welfare Act by conducting a regulated activity without a registration
- give or have the Regional Office send an Application for Registration (APHIS Form 7011), application packet, and other pertinent forms and information to the responsible person
- submit a memo with the Search sheet:
 - ▶ describe the regulated activity that is being conducted
 - ▶ indicate that an inspection was not permitted
 - ▶ make a recommendation regarding enforcement action

No Inspection Conducted

If you decide **not to conduct an inspection**:

- inform the responsible person that the research facility is in violation of the Animal Welfare Act by conducting a regulated activity without a registration
- give or have the Regional Office send an Application for Registration (APHIS Form 7011), an application packet and other pertinent forms and information to the responsible person

**Post-Search
Procedures**

- submit a memo to the Regional Office:
 - ▶ describe the regulated activity being conducted
 - ▶ indicate the reason why you did not conduct an inspection

After conducting the search, ALWAYS:

- complete the Search sheet
- submit the Search sheet with the inspection report or memo to your SACS or the Regional Office following your standard procedure
- if an **inspection was conducted**, submit:
 - ▶ the inspection report, AND
 - ▶ a memo with your recommendation for an enforcement action (see Section 9.3)
- for a **refusal of inspection**, submit a memo:
 - ▶ describing the regulated activity being conducted
 - ▶ indicate that an inspection was not permitted
 - ▶ make a recommendation regarding an enforcement action (see Section 9.3)
- if you **decided not to conduct an inspection**, submit a memo:
 - ▶ describing the regulated activity being conducted
 - ▶ indicate the reason why you did not conduct an inspection
 - ▶ if appropriate, make a recommendation for an enforcement action (see Section 9.3)
- submit any photos taken of the regulated activity

If the inspection report was completed using the Microsoft Word inspection report template, then you should:

1. contact an ILA or the Program Specialist at the Regional Office
2. provide the ILA/Program Specialist the following information:
 - ▶ person or business's full name
 - ▶ complete business address
 - ▶ complete site address

- ▶ county, if known
- ▶ business telephone number, including area code
- 3. obtain the customer number, if available
- 4. replicate the LARIS database, after you have been informed that the person has been entered into LARIS
- 5. enter the information exactly as it is on the Word Inspection Report into the LARIS database
NOTE: Date of the actual inspection, date prepared, and date received should be the same as on the Word Inspection Report.
- 6. place the following statement in the narrative section: **“This is an electronic version of the report dated xx/xx/xx.”**
- 7. send a copy of the LARIS Inspection Report to the research facility by regular mail or email
- 8. attach a copy of the LARIS Inspection Report to the Word Inspection Report
- 9. submit the Inspection Reports to your SACS or the Regional Office following your standard procedure

**Follow-up
Procedure**

If the research facility you contacted on a search was conducted a regulated activity and the facility has not applied for a registration within 30 days, you should revisit the facility to determine if it is still conducting the regulated activity.

If the research facility is **no longer** conducting a regulated activity, you should

- complete and send a Search sheet to your SACS or the Regional Office, OR
- send a memo to your SACS or the Regional Office documenting your findings

If the research facility is **still** conducting a regulated activity, you should:

- if safe and appropriate, remind the person that a USDA registration is required to conduct this activity
 - document the regulated activity either by:
 - ▶ conducting another inspection, if possible
- NOTE: Any noncompliances not corrected,

-
- including conducting regulated activities without a registration, should be designated as "REPEAT" noncompliances. OR
 - ▶ completing another Search sheet, OR
 - ▶ writing a memo detailing your findings
 - take photographs, if possible
 - recommend an enforcement action (see Section 9.3)
 - send the information to your SACS or Regional Office
-



SEARCH FOR UNLICENSED ACTIVITY

Search Conducted by _____ Date Conducted _____

Name of Establishment _____ Customer No. if applicable _____

Person Contacted _____

Address _____

City _____ State _____ Zip _____ Phone No _____

Reason for search _____

Regulated activity verified Yes No Non-compliances present Yes No Inspection Report done? Yes No

Application packet and information provided? Yes No

Details of Search:

INSPECTOR	DATE
REVIEWED BY	DATE

**VETERINARY
SCHOOLS &
VETERINARY
TECHNOLOGY
PROGRAMS**

Any veterinary school and veterinary technician training program using regulated animals for regulated teaching activities must meet all the applicable regulations and standards.

Animals

Regulated Animals

Regulated animals used at a veterinary school or veterinary technology program fall under the AWA regulations and standards if the animals are:

- owned by the veterinary school, veterinary technology program or other department within the school/program
- owned by another entity, such as a pound or shelter, but are housed at the veterinary school or veterinary technology program's facility to eventually be returned to the entity or adopted out
- used to teach anything other than agricultural techniques, procedures, husbandry, etc.
- used for teaching in a non-school setting, such as trauma courses at a local hospital

Non-Regulated Animals

Regulated animals used at a veterinary school or veterinary technology program do NOT fall under the AWA regulations and standards if the animals are:

- client-owned
- receiving medical care in a clinic setting
- owned by another department at the school/program but are being used to teach students as part of medical care being provided to the animal
- used to teach the agricultural sciences
- owned by an individual or organization, such as, a farm, ranch or animal shelter, and the students go to the facility to learn certain routine veterinary care procedures

If you are unsure if an animal(s) should be inspected, contact your SACS.

Sites or Locations

Regulated Sites/Locations

Regulated sites/locations in a veterinary school or veterinary technology program's facility which need to be inspected by you and the IACUC include, but are not limited to:

- all facilities within the school/program housing regulated animals used for teaching or research
- off sites/locations, such as farms or ranches, housing regulated animals owned by the veterinary school or veterinary technology program

Non-Regulated Sites/Locations

Sites/locations in a veterinary school or veterinary technology program's facility which do not need to be inspected by you and the IACUC include, but are not limited to:

- facilities within the school/program housing non-regulated species
- facilities within the school/program housing regulated animals used for non-regulated purposes, e.g.:
 - ▶ clinic areas housing client animals
 - ▶ Ag School barns with cows/sheep/goats used for teaching agricultural sciences only
- off sites/locations where students go to assist the veterinarian with required medical treatments, e.g., farm calls, pounds/shelters

NOTE: The IACUC may choose to inspect these sites/locations.

If you are unsure if a site/location should be inspected, contact your SACS.

Protocols

Protocols are required for any procedures involving the use of regulated animals for teaching purposes.

When reviewing teaching protocols, some areas to pay special attention to include, but are not limited to:

- the justification for the number of animals to be used was appropriate, such as the number of students per animal and procedures needed to be learned

Holding Periods

- a consideration of alternatives was conducted, such as, the use of:
 - ▶ veterinary mannequins
 - ▶ live tissue alternatives
 - ▶ mechanical teaching devices
- there is a complete description of the procedures to be used
- the number of procedures to be performed on each animal is clearly stated, such as, injections per animal
- the personnel doing the teaching are qualified and properly trained
- if the teaching procedures cause more than momentary pain or distress, proper methods are used to alleviate the pain/distress

Dogs and cats obtained from dealers, exhibitors or other exempt sources do not have to be held for 5 days prior to their use.

Exempt sources include, but are not limited to:

- individuals selling less than 25 dogs/cats born and raised on their premises per year for teaching or research purposes
- pounds/shelters allowing the school/program to use their dogs/cats but they:
 - ▶ retain ownership of the animals, and
 - ▶ have met all of their holding requirements
- private individuals donating their dog/cat

9.0 Post-Inspection Procedures

Animal Inventory Sheet.....9.1
Delivery of the Inspection Report.....9.2
Enforcement Actions.....9.3
Sending Inspection Reports to the Regional Office.....9.4

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**ANIMAL
INVENTORY
SHEET**

An "Animal Inventory" sheet must be completed for each inspection report that is not entered into LARIS by the inspector.

If you are going to be unable to enter the word processing Inspection Report into LARIS for an extended period of time:

- contact your SACS to determine if someone at the Regional Office will enter the Inspection Report for you
- complete an Animal Inventory sheet (see page 9.1.2) if the Regional Office will be entering the Inspection Report into LARIS

Before sending the inspection report to the Regional Office:

- complete the Animal Inventory sheet with:
 - ▶ research facility's name
 - ▶ research facility's registration number
 - ▶ date of inspection
 - ▶ total number of animals for each category (see List of Species for the Animal Inventory - page 9.1.3)
- attach the sheet to the Inspection Report

NOTE: Do **not** include facility-generated inventory sheets with your inspection report.

ANIMAL INVENTORY

Facility:

Lic. / Reg. #:

Date:

ANIMAL TYPE	# INSPECTED
None	
Adult Dog	
Puppy	
Adult Cat	
Kitten	
Guinea Pig	
Hamster	
Rabbit	
Group 1 Nonhuman Primate (Marmoset, Tamarin)	
Group 2 Nonhuman Primate (Capuchin, Squirrel Monkey)	
Group 3 Nonhuman Primate (Macaque, African Species)	
Group 4 Nonhuman Primate (Male Macaque, Large African Species)	
Group 5 Nonhuman Primate (Baboon)	
Group 6 Nonhuman Primate (Great Ape)	
Group 1 Cetacean (Beluga Whale, Killer Whale, Bottlenose Dolphin)	
Group 2 Cetacean (Common dolphin, White Sided Dolphin)	
Group 1 Pinniped (Fur Seal, Walrus, Harbor Seal, Sea Lion)	
Group 2 Pinniped (Bearded Seal, Ringed Seal, Hooded Seal)	
Polar Bear	
Sea Otter	
Sirenian	
Bear (Other Than Polar Bear)	
Elephant	
Large Wild/Exotic Felid (Lion, Tiger, Leopard, Cheetah, Mountain Lion)	
Small Wild/Exotic Felid (Bobcat, Lynx, Ocelot, Caracal)	
Large Wild/Exotic Canid (Wolf)	
Small Wild/Exotic Canid (Fox, Jackal, Dingo, Coyote, Hyena)	
Pocket Pet (Hedgehog, Sugar Glider, Prairie Dog, Gerbil, Chinchilla)	
Wild/Exotic Hoofed Animal (Tapir, Rhino, Hippo, Giraffe, Antelope)	
Wild/Exotic Other Animal (Kangaroo, Opossum, Bat, Porcupine, Weasel)	
Farm Animal	

SUPPLEMENTARY DATA FOR RBIS

NCI #	Section Number (Exactly as entered on inspection report)	# Animals Affected	NCI Severity (Critical, Direct, or Indirect)	NCI Significance (Low, Medium, or High Risk)	Repeat NCI? (X if yes)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

List of Species for the Animal Inventory

Animal Type	Description and/or list of species*
Adult Dog	16 weeks old or older
Puppy	under 16 weeks
Adult Cat	16 weeks old or older
Kitten	under 16 weeks
Guinea Pig	all varieties
Hamster	Syrian (Russian), long hair, golden, dwarf, etc.
Rabbit	all varieties of rabbits and hares
Group 1 NHP	marmosets, tamarins, fat-tailed dwarf lemurs and infants less than 6 months of age of various species
Group 2 NHP	juveniles (6 months to 3 years of age) of various species, and capuchins, squirrel monkeys and similar size species, such as aye-eyes, Galagos/bush babies, goeldi monkeys, loris, owl monkeys, tarsiers, and titi monkeys
Group 3 NHP	macaques and African species, such as adult crab-eating macaques (Cynomolgus), African green monkeys, Barbary apes, bearded sakis Celebes monkeys, colobus monkeys, De Brazza's, guenons, smaller langurs, lemurs, smaller mangabeys, rhesus monkeys, and vervets
Group 4 NHP	male macaques and large African species, black howler, gueneran, Indri monkeys, larger langurs, mandrills, larger mangabeys, patas, female proboscis, and rhesus
Group 5 NHP	baboons and non-brachiating species larger than 33.0 lbs, such as gelada baboons, hamadryas baboons, and male proboscis
Group 6 NHP	great apes over 55.0 lbs and brachiating species, such as bonobos, chimpanzees, gibbons, gorillas, orangutans, siamangs, snub-nosed monkeys, spider monkeys, and woolly spider monkeys
Group 1 Cetaceans	Amazon porpoise, beluga whale, bottlenose dolphin, Commerson's dolphin, false killer whale, Franciscana, harbor porpoise, killer whale, minke whale, narwhale, pilot whale (long- and short-finned), Risso's dolphin, river dolphin, and Tucuxi
Group 2 Cetaceans	Atlantic white-sided dolphin, common dolphin, Dall's porpoise, duskey dolphin, finless porpoise, hourglass dolphin, melon-headed whale, northern right whale dolphin, Pacific white-sided dolphin, pygmy killer whale, sperm whale (dwarf and pygmy), rough-toothed dolphin, spinner dolphin, spotted dolphin, striped dolphin, and white-beaked dolphin

Group 1 Pinnepeds	American sea lion, Amsterdam Island fur seal, Antarctic fur seal, baikal seal, California sea lion, Cape fur seal, crab-eater seal, elephant seal (northern and southern), gar seal, harbor seal, harp seal, leopard seal, northern fur seal, ribbon seal, Ross seal, South American fur seal, South Caspian seal, Steller's sea lion, walrus, and Weddell seal
Group 2 Pinnepeds	bearded seal, hooded seal, and ringed seal
Polar Bear	
Sea otter	
Sirenian	Amazon manatee, dugong, and West Indian manatee
Bear (other than polar bear)	American black bear, Asian black bear, brown bear, cinnamon bear, Eurasian brown, grizzly bear, Kodiak, sloth bear, spectacled bear, and sun bear
Elephant	African and Asian
Large Wild/Exotic Felid	cheetah, cougar (mt.lion, puma), jaguar, leopard, liger, lion, panther, and tiger (bengal, siberian)
Small Wild/Exotic Felid	bobcat, caracal, geoffroy's cat, jaguarundi, lynx, margay, ocelot, and serval
Large Wild/Exotic Canid	wolf
Small Wild/Exotic Canid	coyote, dingo, fox (arctic, silver, fennec), and jackal
Pocket Pet	chipmunk, deer mice, degus, dormice, flying squirrel, gerbil, hedgehog, jerboas, jird, kangaroo rat, prairie dogs, spiny mice, squirrel, sugar gliders, and vole
Wild/Exotic Hoofed Animals	alpaca, bighorn sheep, bison, blesbok, buffalo, camel, caribou, deer (fallow, red, sika) eland, elk, gazelle, gemsbok, giraffe, impala, javelina, kudu, okapi, oryx, reindeer, watusi, wild pigs, yak, and zebra
Wild/Exotic Other Animals	aardvark, ant eater, armadillo, badger, bat, beaver, binturong, capybara, chinchilla, coatimundi, ferret, fisher, groundhog, hippo, hyena, kangaroo, kinkajou, marten, meerkat, mink, mongoose, opossum, panda (red and giant), platypus, polecat, porcupine, raccoon, river otter, rhinoceros, sloth, tapir, tayra, tree shrew, wallaby, wallaroo, weasel, and woodchuck
Farm Animals	cattle (Dexter, Highlander, Zebu), goats, pygmy goats, llamas, pigs, pot-bellied pigs, sheep (Jacobs sheep), and horses used in research

DELIVERY OF THE INSPECTION REPORT	The inspector may deliver the inspection report to a registrant or designated representative by hand or send the inspection report by certified mail or e-mail, if necessary.
Criteria	<p>Hand delivering and having the registrant or designated representative sign the inspection report is the preferred method of delivery.</p> <p>There may be circumstances where an inspection report has to be sent by certified mail or e-mail. These include, but are not limited to:</p> <ul style="list-style-type: none">• an attempted inspection• refusal by a registrant/representative to allow an inspection• refusal by a registrant/representative to sign the inspection report• having to leave the facility before completion of the inspection or exit briefing due to<ul style="list-style-type: none">▶ threats of physical harm▶ unsafe conditions▶ responsible person not available• when you did not complete the inspection report during the inspection process <p>If you did not complete the inspection report during the inspection process, you must conduct a detailed and thorough exit briefing with the registrant or designated representative before leaving the premises, unless it is unsafe to do so.</p> <p>If the inspection report is mailed, it must arrive at the research facility before the earliest correction date deadline.</p> <p>It is recommended that the inspection report be hand delivered at the exit briefing if there is:</p> <ul style="list-style-type: none">• a direct noncompliant item(s)• an excessive number of noncompliant items• a noncompliant item with a short correction date• possible misunderstandings of the requirements

**Methods of
Delivery**

Hand Delivery

If the inspection report is delivered by hand:

- obtain the registrant/representative's signature
- leave a copy of the inspection report at the facility with the registrant or designated representative

NOTE: If the registrant or designated representative refuses to sign the inspection report:

- type "hand-delivered" in the "Received By" block
- send a copy of the inspection report to the research facility by certified mail

Certified Mail

To send the inspection report by certified, return receipt mail:

1. Complete the "Receipt for Certified Mail" form (see page 9.2.4)
2. Attach the top portion of the "Receipt" to the Regional Office copy of the inspection report. **NOTE:** If you are mailing the letter yourself, put the date on the receipt.
3. Attach the bottom portion of the "Receipt" to the front of the mailing envelope to the right of the return address.
4. Print "Return Receipt Requested" under the "Receipt" on the front of the envelope
5. Complete BOTH sides of the green return receipt postcard: (see page 9.2.5)
 - ▶ in Block 3, include the USDA license number
 - ▶ above Block 3, write the reason for sending the report certified mail, e.g., attempted inspection, or refusal to sign
 - ▶ in Block 4a, write in the number from the "Receipt for Certified Mail"
 - ▶ on the front side of the postcard, put in the Regional Office's address
6. Attach the green postcard to the back of the envelope

NOTE: Some Post Offices do not want the inspector mailing certified letters him/herself, i.e., not mailing at the Post Office desk. Check with your local Post Office.

E-mail

To send the inspection report by e-mail:

1. Verify that the registrant/representative has the capability to open and read the Inspection Report
2. Save the inspection report:
 - ▶ if a Word document, it will have the extension “.doc”
 - ▶ if a LARIS document, save as an Adobe Acrobat file with the extension “.pdf”
3. In your e-mail message accompanying the inspection report, request that the registrant/representative acknowledge receipt of the report via e-mail
4. Attach the inspection report to the e-mail message
5. Print out and save the printed copy of the e-mail acknowledgment of receipt response from the registrant/representative

NOTE: If the registrant/representative does not acknowledge receipt of the inspection report, a copy of the inspection report should be:

- hand delivered, or
- faxed, requesting a return fax with the inspection report signed and dated, or
- sent by certified, return receipt mail

7001 1940 0003 1712 1188

PLACE STICKER AT TOP OF ENVELOPE TO THE RIGHT
 OF THE RETURN ADDRESS. FOLD AT DOTTED LINE.

CERTIFIED MAIL



7001 1940 0003 1712 1188
 7001 1940 0003 1712 1188

U.S. Postal Service
CERTIFIED MAIL RECEIPT
 (Domestic Mail Only; No Insurance Coverage Provided)

OFFICIAL USE

Postage	First Class	Postmark Here or Date Mailed
Certified Fee	Amt	
Return Receipt Fee (Endorsement Required)	Amt	
Restricted Delivery Fee (Endorsement Required)		
Total Postage & Fees	\$ Total	

Sent To

NAME

Street, Apt. No.,
 or PO Box No. ADDRESS OR LICENSE NUMBER

City, State, ZIP+ 4

PS Form 3800, January 2001 See Reverse for Instructions

**Post-Inspection Procedures
Delivery of the Inspection Report**

**Animal Care Resource Guide
Research Facility Inspection Guide**

SENDER: COMPLETE THIS SECTION		COMPLETE THIS SECTION ON DELIVERY	
<ul style="list-style-type: none"> ■ Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired. ■ Print your name and address on the reverse so that we can return the card to you. ■ Attach this card to the back of the mailpiece, or on the front if space permits. 		A. Signature X <input type="checkbox"/> Agent <input type="checkbox"/> Addressee	
		B. Received by (Printed Name)	C. Date of Delivery
1. Article Addressed to: LIC/REG # <div style="text-align: center; margin-top: 20px;"> NAME ADDRESS </div>		D. Is delivery address different from item 1? <input type="checkbox"/> Yes If YES, enter delivery address below: <input type="checkbox"/> No	
		3. Service Type <input checked="" type="checkbox"/> Certified Mail <input type="checkbox"/> Express Mail <input type="checkbox"/> Registered <input type="checkbox"/> Return Receipt for Merchandise <input type="checkbox"/> Insured Mail <input type="checkbox"/> C.O.D.	
2. Article Number (Transfer from service label)		RECEIPT NUMBER	
PS Form 3811, August 2001		Domestic Return Receipt	
		102595-01-M-2500	

UNITED STATES POSTAL SERVICE



First-Class Mail
Postage & Fees Paid
USPS
Permit No. G-10

• Sender: Please print your name, address, and ZIP+4 in this box •

**REGIONAL OFFICE
ADDRESS**

**ENFORCEMENT
ACTIONS**

An enforcement action should be recommended for all multiple, severe or repeat violations of the Animal Welfare Act.

You **must** recommend an enforcement action with any inspection report containing a severe or repeat noncompliant item(s).

You **may** recommend an enforcement action with any inspection report for which you want some action taken, such as:

- a chronic/recurring noncompliant item
- a direct noncompliant item
- multiple noncompliant items

See “Enforcement Action Guidance for Inspection Reports” flowchart on page 9.3.4.

NOTE: The enforcement action that you recommend should be one that you believe will gain compliance.

The enforcement action recommendation should:

- be submitted following your Region’s procedure (**not in the inspection report narrative**)
- contain an explanation as to why you are recommending that action
- include all photographs taken of animal-related noncompliances, if appropriate. **NOTE:** Photos are required for a 7060, stipulation, or OGC prosecution. If the registrant or representative refuses to allow you to take photos of noncompliances, cite under 2.38(b)(v).
- include copies of records for record-related noncompliances, if appropriate, such as:
 - ▶ to document activities requiring a registration or license
 - ▶ when you believe that the records may “lost” or altered after you leave the facility
 - ▶ for traveling exhibitors
 - ▶ at auction markets
 - ▶ at airports

NOTE: You can only request one enforcement action at a time.

The following are enforcement actions that you may recommend and guidelines to help you choose the appropriate enforcement action:

- **No action**

- ▶ registrant making clear progress toward compliance
- ▶ no critical or direct NCIs
- ▶ a small number of minor repeat NCIs
- ▶ no animals in jeopardy
- ▶ no previous enforcement actions
- ▶ expect registrant to achieve compliance on next inspection

NOTE: A Letter of Information (LOI) may be requested, if used by your Region, if you believe that no action is inappropriate but a 7060 is too harsh. However, an LOI is **not** an enforcement action.

- **Official Warning (APHIS Form 7060):**

- ▶ registrant making slow to no progress toward compliance, i.e., repeat or chronic minor NCIs
- ▶ one or more critical or direct NCIs
- ▶ multiple severe or moderate NCIs
- ▶ animal health not in serious jeopardy
- ▶ no enforcement actions in last three years

- **Stipulation**

- ▶ registrant making no progress toward compliance
- ▶ one or more critical or direct repeat NCIs
- ▶ multiple severe repeat NCIs
- ▶ animals in jeopardy
- ▶ enforcement actions in last three years
- ▶ previous enforcement actions for the noncompliance(s) have not been effective in gaining compliance

Note: Issuance of a stipulation may require an IES investigation.

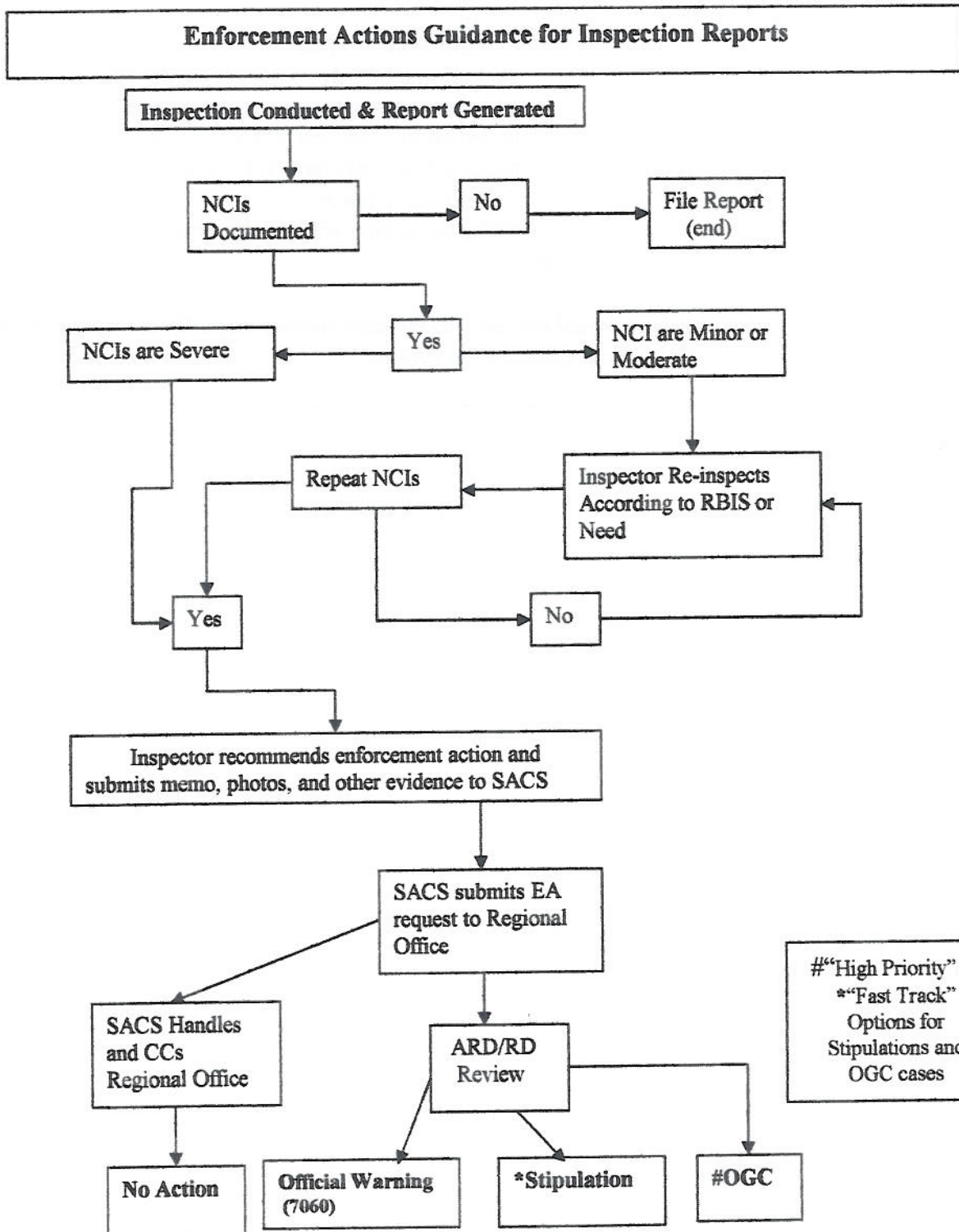
- **OGC Prosecution**

- ▶ registrant blatantly making no progress toward compliance
- ▶ one or more critical or direct repeat NCIs

- ▶ multiple severe repeat NCIs
- ▶ animals in jeopardy
- ▶ enforcement actions in last three years
- ▶ previous enforcement actions for the noncompliance(s) have not been effective in gaining compliance

Note: OGC prosecution will require an IES investigation.

You should continue to conduct routine inspections regardless of on-going enforcement actions.



**SENDING
INSPECTION
REPORTS TO
REGIONAL OFFICE**

All inspection reports must be sent to the Regional Office or your SACS at the end of each work week.

You must attach all appropriate forms, sheets, and memos to the inspection report.

Examples of information that should be attached to the inspection report, when applicable, include, but are not limited to:

- certified mail receipt
- verification of receipt of inspection report sent by email
- change of address information
- site add/delete sheet
- recommendation for enforcement action
- photos
- Animal Inventory sheet
- Application for Registration (APHIS Form 7011)
- complaint form
- search form

Even though you replicate, you must send in the hard copy of the Inspection Report in a timely manner.

Research Facility Registered in a Different Region

If you inspect a site of a research facility which is not registered in your region, you should send the inspection report to your Regional Office for forwarding to the other Regional Office.

10.0 General Facilities

Condition and Site.....10.1

Drainage.....10.2

Lighting.....10.3

Perimeter Fence.....10.4

Physically Separate Businesses.....10.5

Shelter from the Elements.....10.6

Storage.....10.7

Structure and Construction.....10.8

Surfaces.....10.9

Temperature.....10.10

Utilities.....10.11

Ventilation.....10.12

Washing Facilities.....10.13

Waste Disposal.....10.14

**CONDITION
AND SITE**

CONDITION & SITE SECTIONS for **dogs & cats [3.1(b)]** and **nonhuman primates [3.75(b)]** have been incorporated into:

- **STORAGE and**
- **HOUSEKEEPING**

DRAINAGE	Facilities must have a method to eliminate excess water/fluids. [3.1(f), 3.52(e), 3.75(c), 3.101(c), 3.126(d), 3.127(c)]
Criteria	<p>Methods of drainage must:</p> <ul style="list-style-type: none">• rapidly eliminate excess water/fluids• keep the animal dry• minimize:<ul style="list-style-type: none">▶ pest infestation▶ vermin infestation▶ harmful odors▶ disease hazards <p>Methods of eliminating excess water/fluid</p> <p><i>Open drainage systems</i></p> <p>Open drainage systems include, but are not limited to:</p> <ul style="list-style-type: none">• lagoons• sumps• settlement ponds• natural or artificial land contours <p>Open drainage systems must:</p> <ul style="list-style-type: none">• be away from animal areas• have drains which are properly:<ul style="list-style-type: none">▶ constructed▶ installed▶ maintained <p><i>Closed drainage systems</i></p> <p>Closed drainage systems must:</p> <ul style="list-style-type: none">• have traps• prevent back flow of gases• prevent back up of sewage• have drains which are properly:<ul style="list-style-type: none">▶ constructed▶ installed▶ maintained

	<p><i>Manual removal systems</i> Manual removal systems include, but are not limited to:</p> <ul style="list-style-type: none">• mops• squeegee• vacuum
<p>Species Specific</p>	<p>Guinea Pigs & Hamsters Drainage is not specifically addressed in the standards.</p> <p>If there is a drainage problem, cite under the appropriate standard relating to moisture, such as:</p> <ul style="list-style-type: none">• Section 3.26(b)-Ventilation• Section 3.31(a)(2)-Cleaning and Sanitation• Section 3.31(a)(4)-Housekeeping <p>Marine Mammals Drainage must be provided for primary enclosures and areas immediately surrounding pools. [3.101(c)(2)]</p> <p>Drainage systems must effectively remove all water from primary enclosure pools. [3.101(c)(1)]</p> <p>Drains must be placed so as to rapidly eliminate excess water (except in pools where it could harm the animals). [3.101(c)(2)]</p> <p>Drain covers and strainers must be securely fastened to prevent animal entrapment. [3.101(c)(2)]</p> <p>Drainage effluent must be disposed of in a manner that meets all applicable Federal, State and local pollution control laws. [3.101(c)(1) & (2)]</p> <p>Natural water areas, such as tidal basins, bays, and estuaries, are exempt from drainage requirements. [3.101(a)(4)]</p> <p>Other Animals Methods of drainage must meet applicable Federal, State and local laws.</p>

A wallow hole, if present, must:

- be appropriate to the species/number of animals
 - not impede access to the food/water/shelter
 - not be located so as to force animals to go through it
 - be maintained to reduce and/or prevent odors/pest/disease hazards
 - not encompass entire enclosure
 - be appropriate for the season
-

LIGHTING	<p>Facilities must provide sufficient lighting. [3.2(c), 3.3(c), 3.5(c), 3.26(c), 3.51(c), 3.76(c), 3.77(c), 3.79(c), 3.126(c)]</p>
Criteria	<p>Sufficient lighting must:</p> <ul style="list-style-type: none"> • be uniformly distributed • be natural or artificial • permit routine inspection • permit proper cleaning • permit adequate observation of the animals • be appropriate to the species • provide for the animals' well-being <p>Animals must be protected from excessive illumination.</p>
Species Specific	<p>Dogs & Cats <i>Indoor Housing</i> [3.2(c)] Animals must have a regular diurnal lighting cycle of either natural or artificial light.</p> <p><i>Sheltered Housing</i> [3.3(c)] The indoor portion of the sheltered housing facility must have a regular diurnal lighting cycle of either natural or artificial light.</p> <p><i>Mobile/Traveling Housing</i> [3.5(c)] Animals must have a regular diurnal lighting cycle of either natural or artificial light.</p> <p>Nonhuman Primates <i>Indoor Housing</i> [3.76(c)] Animals must have a regular diurnal lighting cycle of either natural or artificial light.</p> <p><i>Sheltered Housing</i> [3.77(c)] The indoor portion of the sheltered housing facility must have a regular diurnal lighting cycle of either natural or artificial light.</p>

Mobile/Traveling Housing [3.79(c)]

Animals must have a regular diurnal lighting cycle of either natural or artificial light.

<p>PERIMETER FENCE</p>	<p>Outdoor facilities housing nonhuman primates, marine mammals, and wild/exotics mammals must be enclosed by a fence of sufficient height to keep unwanted animals and unauthorized persons out. [3.78(d), 3.103(c), 3.127(d)]</p>
<p>Species Specific</p>	<p>Nonhuman Primates Perimeter fence must: [3.78(d)]</p> <ul style="list-style-type: none"> • restrict access by unauthorized humans • restrict access of animals the size of dogs, skunks and raccoons • be at least 6 feet in height • be located at least 3 feet from the primary enclosure <p>NOTE: Fences not meeting the height and distance requirements must have a variance approved by the APHIS AC Administrator or Regional Director. (see page 10.4.3)</p> <p>A perimeter fence is not required if:</p> <ul style="list-style-type: none"> • outside walls of the primary enclosure: [3.78(d)(1)] <ul style="list-style-type: none"> ▶ are made of a sturdy, durable material, such as concrete, wood, plastic, metal or glass ▶ prevent entry of humans and unwanted animals ▶ securely contain the animal housed in the enclosure • housing facility is surrounded by a natural barrier which has been approved by the APHIS AC Administrator or Regional Director [3.78(d)(2)] <p>Marine Mammals Perimeter fence must: [3.103(c)]</p> <ul style="list-style-type: none"> • restrict access by unauthorized humans • restrict access of unwanted animals • be at least 8 feet in height for polar bears • be at least 6 feet in height for other marine mammals • be located at least 3 feet from the primary enclosure <p>NOTE: Fences not meeting the height and distance requirements must have a variance approved by the APHIS AC Administrator or Regional Director. (see page 10.4.3)</p>

Perimeter fence must be constructed so that it: [3.103(c)]

- protects the marine mammals by restricting unwanted animals and unauthorized persons from:
 - ▶ going through it
 - ▶ going under it
 - ▶ having contact with the marine mammals
- can function as a secondary containment system if necessary

For natural seawater facilities, such as lagoons, the perimeter fence must:

- prevent access from adjoining land by unwanted animals and unauthorized persons
- encompass the land portion of the facility from one end of the natural seawater facility shoreline as defined by low tide to the other end of the natural seawater facility shoreline as defined by low tide

Other Animals - Wild/Exotic Animals

Perimeter fence must: [3.127(d)]

- restrict access by unauthorized humans
- restrict access of unwanted animals
- be located at least 3 feet from the primary enclosure
- be at least 8 feet in height for **potentially dangerous animals**, including but not limited to:
 - ▶ large felines, such as:
 - lions
 - tigers
 - leopards
 - cougars
 - ▶ bears
 - ▶ wolves
 - ▶ rhinoceros
 - ▶ elephants
- be at least 6 feet in height for **other wild/exotic animals**, including but not limited to:
 - ▶ lynx
 - ▶ bobcats
 - ▶ raccoons
 - ▶ fox

NOTE: Fences not meeting the height and distance requirements must have a variance approved by the APHIS AC Administrator or Regional Director. (see below)

Perimeter fence must be constructed so that it: [3.127(d)]

- protects the animals by restricting unwanted animals and unauthorized persons from:
 - ▶ going through it
 - ▶ going under it
 - ▶ having contact with the animals
- can function as a secondary containment system, if necessary

A perimeter fence is not required if the outdoor housing facility:
[3.127(d)(5)]

- houses only farm animals, including, but not limited to:
 - ▶ cows
 - ▶ pigs
 - ▶ sheep
 - ▶ goats
 - ▶ donkeys
 - ▶ horses (for regulated purposes)
- houses wild/exotic hoofstock maintained under agricultural farm conditions, such as:
 - ▶ reindeer
 - ▶ elk
 - ▶ caribou
 - ▶ bison
 - ▶ buffalo
- has an effective and customary containment system, and
- has effective security measures in place

Variance Request

A variance from the perimeter fence requirements may be requested if one or more of the following conditions are met:

- outside walls of the primary enclosure are: [3.103(c)(1) & 3.127(d)(1)]
 - ▶ made of a sturdy, durable material, such as concrete, wood, plastic, metal or glass, and
 - ▶ constructed so as to prevent entry of humans and unwanted animals

- housing facility is protected by an effective natural barrier which: [3.103(c)(2) & 3.127(d)(2)]
 - ▶ restricts the animals to the facility, and
 - ▶ prevents entry of unwanted animals and unauthorized persons, and
- appropriate alternative security measures are employed [3.103(c)(3) & 3.127(d)(3)]

Request for a perimeter fence variance should be:

- submitted in writing, preferably on facility letterhead
- signed by a person who has legal authority to request the variance
- sent to the AC Regional Director for the State in which the research facility is located

NOTE: If a facility needs approval for a variance quickly, the responsible official may fax or email the request to the Regional Office but a hard copy with the signature of the responsible official must follow.

The written variance request should include the following information: (see "Perimeter Fence Variance Request Letter" page 10.4.6)

- the research facility's name and address
- the research facility's business name, if applicable
- the research facility's registration number
- a description of the animal's primary enclosure(s), including:
 - ▶ size
 - ▶ wall/fence height
 - ▶ construction materials used for the enclosure walls
- a description of the species of animal in each enclosure, including:
 - ▶ number of animals within each enclosure
 - ▶ age
 - ▶ health status

- a description of the location of the facility, such as:
 - ▶ rural
 - ▶ urban
 - ▶ remote
 - ▶ residential
 - ▶ closeness of neighbors
 - ▶ natural barriers
- a description of the barrier fence, including:
 - ▶ construction materials of the barrier fence
 - ▶ distance from the enclosure walls
 - ▶ height of barrier
- a description of current perimeter fence including:
 - ▶ height
 - ▶ construction material used for the fence
- a description of alternative security measures, such as:
 - ▶ security guards/personnel
 - ▶ cameras
 - ▶ alarms

Supplemental documentation may be included in the variance request, such as:

- pictures
- drawings of the layout of the facility and enclosures



United States
Department of
Agriculture

Marketing and
Regulatory
Programs

Animal and Plant
Health Inspection
Services

Animal Care

Dear Licensee/Registrant

APHIS published a change to the standards which requires all outdoor housing facilities to be enclosed by a perimeter fence that is of sufficient height to keep animals and unauthorized persons out. All facilities must meet this requirement on or before May 17, 2000 or have a variance from this standard.

Potentially dangerous animals require an 8 feet perimeter fence. Examples of these species include, but are not limited to, bears, wolves, rhinoceros, elephants, large felines (lions, tigers, leopards, cougars, jaguars), etc. All other species require a 6 feet perimeter fence. Examples of these species include, but are not limited to, ferrets, raccoons, skunks, elk, deer, antelope, small exotic felines (margay, fishing cat, lynx), etc. The perimeter fence must be located at least 3 feet from the primary enclosure. Fences not meeting these requirements must be approved by the Administrator.

You may request a variance from the perimeter fence requirements if one or more of the following conditions are met:

- the outside walls of the primary enclosures are made of sturdy, durable material and are constructed in a manner that restricts the entry of animals and unwanted persons
- the outdoor housing facility is protected by an effective barrier that restricts the regulated animals to the facility and restricts entry by animals and unwanted persons
- appropriate alternative security measures are used

To request a variance, please submit in writing the following information:

- your name and address
- your business name, if applicable
- license or registration number
- a description of the animal's primary enclosures (size, wall/fence height, construction materials used for the enclosure walls)
- describe the species of animals in each enclosure (number within each enclosure, age, health status)
- describe the location of your facility (rural, urban, remote, residential, closeness of neighbors, etc.)
- description of barrier fence (construction materials of the barrier, distance from enclosure walls, height of barrier)
- description of current perimeter fence (height, construction materials used for the perimeter fence)
- description of alternative security measures, such as security guards/personnel, cameras, alarms, etc.

We recommend you include pictures and/or a drawing of the layout of your facility and enclosures to assist us in evaluating your facility.

10.4.6



Animal Care is a part of the Department of Agriculture's Animal and Plant Health Inspection Service.

Mail your request and supporting documents to:

USDA-APHIS-Animal Care

We appreciate your efforts to comply with the Animal Welfare Act. If you have any questions or concerns, please do not hesitate to call our office at () .

Sincerely,

Regional Director
Animal Care –

10.4.7



Animal Care is a part of the Department of Agriculture's Animal and Plant Health Inspection Service.

PHYSICALLY SEPARATE BUSINESSES	Housing facilities for dogs, cats, or nonhuman primates maintained by a research facility or Federal research facility do not have to be physically separated from other businesses on the same premises. [3.1(b), 3.75(b)]
Examples	Other businesses include, but are not limited to: <ul style="list-style-type: none">• research facility licensed as a dealer• boarding kennel• veterinary hospital• training facility
Exception	If a research facility is also operating a pound or shelter, the two businesses must be on physically separate premises (see Section 8.6).

<p>SHELTER FROM THE ELEMENTS</p>	<p>Animals must be provided with adequate shelter from the elements at all times. [3.3, 3.4, 3.26, 3.51, 3.76, 3.102, 3.126]</p>
<p>Criteria</p>	<p>Adequate shelter must:</p> <ul style="list-style-type: none"> • protect the animal's health and well-being • allow all animals in the enclosure to have access to the shelter at the same time • protect the animal from adverse weather conditions
<p>Species Specific</p>	<p>Dogs & Cats</p> <p><i>Sheltered Housing</i> [3.3(d)] Sheltered portion of the sheltered facility must be large enough to allow each animal to:</p> <ul style="list-style-type: none"> • sit • stand • lie down, and • turn around freely <p><i>Outdoor Housing</i> [3.4(b)] Outdoor facilities must contain one or more sheltered structures.</p> <p>The sheltered structure must:</p> <ul style="list-style-type: none"> • be accessible to each animal [3.4(b)] • be large enough to allow all animals to simultaneously sit, stand, and lie in a normal manner and turn about freely [3.4(b)] • have a roof, floor, and sides [3.4(b)] • provide adequate protection/shelter from cold & heat [3.4(b)(1)] • provide protection from direct rays of the sun [3.4(b)(2)] • provide protection from the direct effects of wind, rain or snow [3.4(b)(2)] • have a wind/rain break at the entrance [3.4(b)(3)] • provide a way for the animal to keep warm, such as: [3.4(b)(4)]

- ▶ clean, dry bedding when ambient temperature is below 50° F
 - additional clean, dry bedding must be added when ambient temperature is 35° F or lower
- ▶ alternate methods for keeping animals warm include, but are not limited to:
 - heat lamp (properly working)
 - heating pad (properly working)
 - insulated shelter structure

NOTE: Ambient temperature is the temperature of the air immediately surrounding the animal. The best method to obtain the ambient temperature is to:

1. confine the animal inside the shelter
2. wait 15 minutes
3. measure the air temperature in the shelter (If using a mercury thermometer, wait approximately 15 minutes for it to stabilize)

Unacceptable shelter structures include, but are not limited to:

- metal barrels
- cars
- refrigerators
- freezers

One or more separate outside areas of shade must:

- be provided in addition to the shelter structure.
- be large enough to contain all the animals in the enclosure
- protect the animal from the direct rays of the sun

Guinea Pigs

Outdoor Housing [3.27(b)]

Guinea pigs must **not** be housed outdoors UNLESS

- the outdoor facility is located in an appropriate climate, and
- prior approval has been obtained from the Animal Care Deputy Administrator

The request to house a guinea pig(s) outdoors must:

- be in writing

- contain a reason/justification for housing the animal outdoors
- contain a description of how the following criteria will be met:
 - ▶ outdoor housing facility will have a temperature range of 45° - 85° F
 - ▶ guinea pig will be acclimated to whatever temperatures it will be encountering within the above range
 - ▶ facility has a means of monitoring and recording the temperature in the animal area
 - ▶ facility has a written procedure delineating what shelter or care is available when the ambient temperature exceeds the permissible range, e.g.:
 - ventilation and/or shade in hot weather
 - shelter and/or bedding in cold weather
 - ▶ animal will be adequately protected from predators
- be submitted to the appropriate Regional Office

The variance will be periodically reviewed and may be rescinded if:

- the above conditions are not met
- the health and well-being of the guinea pig is in danger

Hamsters [3.27(a)]

Hamsters **MUST NOT** be housed outdoors under any circumstances or in any conditions.

Rabbits

Outdoor Housing [3.52]

Sufficient shade must be provided to protect the animal from the direct rays of the sun. [3.52(a)]

If ambient temperature exceeds 90° F, artificial cooling, such as a fan or sprinkler system, must be provided. [3.52(a)]

Access to shelter must be provided:

- to keep animal dry during rain and snow [3.52(b)]
- when ambient temperature falls below 40° F [3.52(c)]

Nonhuman Primates

Sheltered Housing [3.77]

Shelter structures must:

- protect the animal from adverse weather conditions [3.77(d)]
- provide access and protection for all the animals in the enclosure [3.77(e)]

Multiple shelter structures must be provided in enclosures with aggressive or dominant animals. [3.77(e)]

Outdoor Housing [3.78]

Shelter structures must:

- protect the animal from adverse weather conditions [3.78(b)]
- provide access and protection for all the animals in the enclosure [3.78(c)]
- provide heat to prevent the temperature inside the structure from falling below 45° F EXCEPT as directed by the attending veterinarian [3.78(b)]

Multiple shelter structures must be provided in enclosures with aggressive or dominant animals. [3.78(c)]

Marine Mammals

Shelter must be provided from direct sunlight. [3.103(b)]

STORAGE	Food, bedding, toxic substances, and other items must be properly stored. [3.1, 3.25, 3.50, 3.75, 3.101, 3.107, 3.125]
FOOD	
Criteria	<p>Storage methods must protect the food from:</p> <ul style="list-style-type: none">• spoilage (harmful microbial growth)• contamination• deterioration of nutritive value• vermin infestation <p>Perishable food must be stored appropriately.</p> <p>Storage areas for food must be free of any accumulation of trash, waste material, junk, weeds, and other discarded materials. [3.1(b), 3.31(b), 3.56(c), 3.75(b), 3.107(c), 3.131(c)]</p>
Species Specific	<p>Dogs & Cats [3.1(e)] Supplies of food must be stored off the floor and away from the wall.</p> <p>Distance off the floor and away from the wall is adequate if:</p> <ul style="list-style-type: none">• a broom or vacuum cleaner can readily fit underneath and behind the food• can easily see when cleaning is necessary• food can be moved to facilitate cleaning <p>Open bags of food must be stored in leakproof containers with tightly fitting lids.</p> <p>Only food currently being used may be stored in the animal area.</p> <p>Guinea Pigs & Hamsters [3.25(c)] Supplies of food must be stored:</p> <ul style="list-style-type: none">• in containers with tightly fitting lids, or• in the original container

Nonhuman Primates [3.75(e)]

Supplies of food must be stored off the floor and away from the wall.

Distance off the floor and away from the wall is adequate if:

- a broom or vacuum cleaner can readily fit underneath and behind the food
- can easily see when cleaning is necessary
- food can be moved to facilitate cleaning

Open bags of food must be stored in leakproof containers with tightly fitting lids.

Only food currently being used may be stored in the animal area.

Marine Mammals [3.101(d)]

Perishable foods may be stored in:

- refrigerators
- freezers
- chilled or iced coolers for under 12 hours

Food, supplements, and medications may not be used beyond:

- the commonly accepted shelf life, or
- the expiration date listed on the label

BEDDING

Criteria

Examples of bedding include, but are not limited to:

- newspaper/newsprint
- straw/hay/baled bedding products
- cage/tray liners
- towels/blankets/carpet

Storage methods must protect the bedding from:

- spoilage
- contamination
- vermin infestation

Bedding must be:

- neatly stacked
- kept clean and dry

Storage areas for bedding must be free of any accumulation of trash, waste material, junk, weeds, and other discarded materials.
[3.1(b), 3.31(b), 3.56(c), 3.75(b), 3.107(c), 3.131(c)]

Species Specific

Dogs & Cats [3.1(e)]

Supplies of bedding must be stored off the floor and away from the wall.

Distance off the floor and away from the wall is adequate if:

- a broom or vacuum cleaner can readily fit underneath and behind the bedding
- can see when cleaning is necessary
- bedding can be moved to facilitate cleaning

Open bags of bedding must be stored in leakproof containers with tightly fitting lids.

Only bedding currently being used may be stored in the animal area.

Nonhuman Primates [3.75(e)]

Supplies of bedding must be stored off the floor and away from the wall.

Distance off the floor and away from the wall is adequate if:

- a broom or vacuum cleaner can readily fit underneath and behind the bedding
- can easily see when cleaning is necessary
- bedding can be moved to facilitate cleaning

Open bags of bedding must be stored in leakproof containers with tightly fitting lids.

Only bedding currently being used may be stored in the animal area.

**TOXIC
SUBSTANCES**

Criteria

Toxic substances include, but are not limited to:

- cleaning agents
- sanitizing agents
- pesticides

Storage methods of toxic substances must:

- prevent contamination of food & bedding.
- keep the substances safely away from the animals

Only toxic substances which are required for normal husbandry may be stored in the animal area.

Species Specific

Dogs & Cats [3.1(e)]

Toxic substances must not be stored:

- in food storage area
- in food preparation area

Toxic substances should be stored in secured cabinets in animal area.

Nonhuman Primates [3.75(e)]

Toxic substances must not be stored:

- in food storage area
- in food preparation area

Toxic substances should be stored in secured cabinets in animal area.

Marine Mammals [3.101(d), 3.107(b)]

Toxic substances must be stored:

- in properly labeled containers
- in secured cabinets which are designed for toxic substances

	<p>No toxic or harmful substances (except cleaning agents) may be stored or maintained in marine mammal:</p> <ul style="list-style-type: none">• food storage areas• food preparation areas <p>Cleaning agents in food storage/preparation areas must be kept in cabinets that are:</p> <ul style="list-style-type: none">• secured• designed to prevent food contamination• located to prevent food contamination
<p>OTHER ITEMS</p> <p>Criteria</p>	<p>Husbandry-related items may be kept in animal area.</p> <p>Examples of husbandry-related items include, but are not limited to:</p> <ul style="list-style-type: none">• cleaning equipment such as buckets, mops, brooms, gloves• fixtures/equipment such as power washers, bathtubs• bathing/grooming products• capture equipment

STRUCTURE AND CONSTRUCTION	Animal facilities must be structurally sound and in good repair. [3.1, 3.25, 3.50, 3.75, 3.101, 3.125]
Criteria	<p>An animal facility is structurally sound if it:</p> <ul style="list-style-type: none"> • is maintained in good repair (see exception) • protects the animal from injury • contains the animal • restricts entrance of other/unwanted animals
Exception	If a research facility has developed, documented, and followed an effective and appropriate <i>maintenance program</i> for its animal facilities, a violation may not exist.
Species Specific	<p>Nonhuman Primates Furniture-type fixtures or objects must be:</p> <ul style="list-style-type: none"> • sturdily constructed and • safe <p>Marine Mammals Lagoons and similar natural seawater facilities must maintain effective barriers fences: [3.101(a)(1)]</p> <ul style="list-style-type: none"> • on all sides not contained by dry land • above high tide water level <p>NOTE: Other appropriate measures besides a barrier fence may be used but they must fulfill the requirements of these standards.</p> <p>Marine mammals must be protected from abuse and harassment by the viewing public. [3.101(a)(2)]</p> <p>Methods for protecting marine mammals from the viewing public include, but are not limited to: [3.101(a)(2)]</p> <ul style="list-style-type: none"> • sufficient number of uniformed or readily identifiable employees/attendants, and/or • physical barriers e.g. fences, walls, glass partitions, distance

SURFACES	Surfaces must be made of materials that do not cause injury or illness to the animal and must be maintained on a regular basis. [3.1(c), 3.2(d), 3.3(e), 3.4(c), 3.75(c), 3.101(a), 3.125(a)]
Criteria	<p>Surfaces must be made of material that can be:</p> <ul style="list-style-type: none"> • readily cleaned and sanitized, or • removed or replaced if worn or soiled <p>Examples of removable/replaceable surfaces include, but are not limited to:</p> <ul style="list-style-type: none"> • compacted earth/dirt • sand/gravel • grass • ceiling tiles • absorbent bedding
Species Specific	<p>Dogs & Cats</p> <p><i>General Surfaces</i> [3.1(c)] Interior surfaces of indoor housing facilities and all surfaces in contact with the animal must be free of: [3.1(c)(1)]</p> <ul style="list-style-type: none"> • excessive rust [3.1(c)(1)(i)] • jagged edges [3.1(c)(1)(ii)] • sharp points [3.1(c)(1)(ii)] <p><i>Indoor Housing Facilities</i> [3.2(d)] Surfaces that must be impervious to moisture are:</p> <ul style="list-style-type: none"> • floors • walls • surfaces in contact with the animals • ceilings if not replaceable <p><i>Sheltered Housing Facilities</i> [3.3(e)(1)] Surfaces in contact with the animal that must be impervious to moisture are:</p> <ul style="list-style-type: none"> • indoor floor areas [3.3(e)(1)(i)] • hard outdoor floor areas [3.3(e)(1)(ii)] • walls, boxes, houses, dens and other structures [3.3(e)(1)(iii)]

Non-hard surfaces, such as compacted earth/dirt, sand, gravel, absorbent bedding or grass, must be: [3.3(e)(2)]

- exposed to sunlight, or
- replaceable

Outdoor Housing Facilities [3.4(c)]

Surfaces that must be impervious to moisture are:

- building surfaces in contact with the animal
- hard surfaces in contact with the animal

Surfaces that must be replaced when worn or soiled are:

- those which cannot be readily cleaned/sanitized
- floors of compacted earth/dirt, sand, gravel, absorbent bedding, or grass

Guinea Pigs & Hamsters

Indoor Housing Facilities [3.26(d)]

Interior building surfaces must be impervious to moisture.

Rabbits

Indoor Housing Facilities [3.51(d)]

Interior building surfaces must be impervious to moisture.

Nonhuman Primates

General Surfaces [3.75(c)]

Surfaces in contact with the animal must be free of:

- excessive rust [3.75(c)(1)(i)]
- jagged edges [3.75(c)(1)(ii)]
- sharp points [3.75(c)(1)(iii)]

Marine Mammals

General Surfaces [3.101(a)(3)]

Surfaces in the primary enclosure must be constructed of materials that are:

- durable
- non-toxic
- readily cleanable and sanitizable
- sufficient to maintain required water quality

All surfaces must be maintained in good repair as part of a regular,

ongoing maintenance program.

All facilities must have and follow a written protocol for cleaning surfaces to minimize health hazards to the animals.

TEMPERATURE	Animal facilities must protect the animal from temperature extremes to provide for its health and well-being. [For citations-see below]
Species Specific	<p>Dogs & Cats</p> <p><i>Indoor Housing</i> [3.2(a)] Ambient temperatures must not be below 45° F or above 85° F for more than 4 consecutive hours.</p> <p>Ambient temperature must not fall below 50° F for the following:</p> <ul style="list-style-type: none"> • non-acclimated animals • breeds that cannot tolerate lower temperatures • sick, aged, young, and/or infirm animals <p>Attending veterinarian may exempt above animals from the 50° F temperature requirement but only down to 45° F.</p> <p>When ambient temperature falls below 50° F, dry bedding, solid resting boards or other heat-conserving methods must be provided.</p> <p><i>Sheltered Housing</i> [3.3(a)] Ambient temperatures must not be below 45° F or above 85° F for more than 4 consecutive hours.</p> <p>Ambient temperature must not fall below 50° F for the following:</p> <ul style="list-style-type: none"> • non-acclimated animals • breeds that cannot tolerate lower temperatures • sick, aged, young, and/or infirm animals <p>Attending veterinarian may exempt above animals from the 50° F temperature requirement but only down to 45° F.</p> <p>When ambient temperature falls below 50° F, dry bedding, solid resting boards or other heat-conserving methods must be provided.</p> <p><i>Outdoor Housing</i> [3.4(a)(1)] The following dogs & cats must not be housed outdoors:</p> <ul style="list-style-type: none"> • non-acclimated animals [3.4(a)(1)(i)]

- breeds that cannot tolerate low temperatures [3.4(a)(1)(ii)]
- sick, aged, young, and/or infirm animals [3.4(a)(1)(iii)]

Attending veterinarian may approve outdoor housing for these animals.

If the ambient temperature falls below 50° F, dogs/cats of unknown acclimation status must not be housed outdoors. [3.4(a)(2)]

Mobile/Traveling Housing [3.5(a)]

Ambient temperatures must not be below 45° F or above 85° F for more than 4 consecutive hours.

Ambient temperature must not fall below 50° F for the following:

- non-acclimated animals
- breeds that cannot tolerate lower temperatures
- sick, aged, young, and/or infirm animals

When ambient temperature falls below 50° F, dry bedding, solid resting boards or other heat-conserving methods must be provided.

Guinea Pigs & Hamsters

Indoor Housing [3.26(a)]

Ambient temperature must be between 60° - 85° F.

Outdoor Housing [3.27]

Hamsters must **not** be housed outdoors. [3.27(a)]

Guinea Pigs may be housed outdoors if: [3.27(b)]

- climate is appropriate
- prior approval has been obtained from the Animal Care Deputy Administrator

The request to house a guinea pig(s) outdoors should:

- be in writing
- contain a reason/justification for housing the animal outdoors
- contain a description of how the following criteria will be met:

- ▶ outdoor housing facility will have a temperature range of 45° - 85° F
- ▶ guinea pig will be acclimated to whatever temperatures it will be encountering within the above range
- ▶ research facility has a means of monitoring and recording the temperature in the animal area
- ▶ research facility has a written procedure delineating what shelter or care is available when the ambient temperature exceeds the permissible range, e.g.
 - ventilation and/or shade in hot weather
 - shelter and/or bedding in cold weather
- ▶ animal will be adequately protected from predators
- be submitted to the appropriate AC Regional Office

The variance will be periodically reviewed and may be rescinded if:

- the above conditions are not met
- the health and well-being of the guinea pig is in danger

Rabbits

Indoor Housing [3.51(a)]

Facilities do not need to be heated.

Outdoor Housing [3.52]

If ambient temperature exceeds 90° F, artificial cooling, such as fans and sprinkler systems, must be provided. [3.52(a)]

If ambient temperature falls below 40° F, shelter must be provided. [3.52(c)]

Nonhuman Primates

Indoor Housing [3.76(a)]

Ambient temperatures must not be below 45° F or above 85° F for more than 4 consecutive hours.

Sheltered Housing [3.77(a)]

Ambient temperatures must not be below 45° F or above 85° F for more than 4 consecutive hours.

The attending veterinarian may approve housing above 85° F.

Outdoor Housing [3.78]

Nonhuman primates may be housed outdoors if: [3.78(a)]

- acclimated as determined by attending veterinarian, and
- can tolerate temperature range and climatic conditions

Ambient temperatures inside shelters must not fall below 45° F, except as directed by the attending veterinarian. [3.78(b)]

Mobile/Traveling Housing [3.79(a)]

Ambient temperatures must not be below 45° F or above 85° F for more than 4 consecutive hours.

Marine Mammals

Indoor Housing [3.102(a)]

Air and water temperatures must:

- protect the animals from extreme temperatures
- provide for the animals' health and well being
- not change rapidly

Outdoor Housing [3.103]

Marine mammals may be housed outdoors if: [3.103(a)]

- acclimated to the air and water temperature, and
- can tolerate the air and water temperature range and climatic conditions

Cetaceans' outdoor pools must be:

- free of ice [3.103(a)(2)]
- maintained at a temperature range which meets their needs [3.103(a)(3)]

Sirenians' outdoor pools must be maintained at a temperature range which meets their needs. [3.103(a)(3)]

Pinnipeds' (ice/cold water dwelling) outdoor pools must be sufficiently free of ice to allow for entry and exit. [3.103(a)(1)]

Pinnipeds' (warm water dwelling) outdoor pools must be maintained at a temperature range which meets their needs. [3.103(a)(3)]

Polar bears' outdoor pools must be sufficiently free of ice to allow for entry and exit. [3.103(a)(1)]

Sea otters' outdoor pools must be free of ice. [3.103(a)(2)]

Other Animals

Outdoor Housing [3.127(a) & (b)]

Animals must be acclimated to the temperature extremes of their environment.

UTILITIES	Utilities must be available for required husbandry needs. [3.1(d), 3.25(b), 3.50(b), 3.75(d), 3.101(b), 3.125(b)]
WATER SUPPLY	
Criteria	<p>Water must be:</p> <ul style="list-style-type: none"> • clean • non-toxic • free of scum • uncontaminated • suitable for human consumption <p>Sources of water must be:</p> <ul style="list-style-type: none"> • adequate, and • reliable <p>There must be adequate amounts of water for:</p> <ul style="list-style-type: none"> • cleaning • drinking • other husbandry needs
Species Specific	<p>Marine Mammals [3.101(b)]</p> <p>Facilities must have a contingency plan for emergency sources of water which:</p> <ul style="list-style-type: none"> • is in writing • has been submitted to the appropriate Regional Office, and • has been approved by the Animal Care Deputy Administrator <p>The emergency contingency plan must include, but is not limited to:</p> <ul style="list-style-type: none"> • specific animal evacuation plans in the event of a disaster • description of back-up systems • relocation arrangements for marine mammals requiring artificially cooled or heated water • provisions for recall training and retrieval of animals, if they are going to be released

NOTE: Training for recall and retrieval should be done within the confines of the facility. Open water training requires a permit from NMFS.

POWER SUPPLY

Criteria

Power must be available for:

- heating
- cooling
- ventilation
- lighting
- other husbandry requirements

Sources of power must be:

- adequate, and
- reliable

Sources of power include, but are not limited to:

- electric
- oil/coal
- natural gas/propane
- wood
- gasoline
- battery
- electric generator
- wind generator
- solar power

Species Specific

Marine Mammals [3.101(b)]

Facilities must have a contingency plan for emergency sources of water which:

- is in writing
- has been submitted to the appropriate Regional Office, and
- has been approved by the Animal Care Deputy Administrator

The emergency contingency plan must include, but is not limited to:

- specific animal evacuation plans in the event of a disaster

- description of back-up systems
- relocation arrangements for marine mammals requiring artificially cooled or heated water
- provisions for recall training and retrieval of animals, if they are going to be released

NOTE: Training for recall and retrieval should be done within the confines of the facility. Open water training requires a permit from NMFS.

VENTILATION	The enclosed area(s) of animal facilities must be sufficiently ventilated. [3.2(b), 3.3(b), 3.5(b), 3.26(b), 3.76(b), 3.77(b), 3.79(b), 3.102(b), 3.126(b)]
Criteria	<p>Ventilation must:</p> <ul style="list-style-type: none"> • provide for the animal's health and well being • minimize: <ul style="list-style-type: none"> ▶ harmful odors ▶ drafts ▶ ammonia levels ▶ chlorine fumes ▶ noxious fumes ▶ moisture condensation which can cause: <ul style="list-style-type: none"> □ wet bedding □ wetting of the animal <p>Methods of providing ventilation include, but are not limited to:</p> <ul style="list-style-type: none"> • windows • vents • fans • air conditioning • doors
Species Specific	<p>Dogs & Cats <i>Indoor Housing</i> [3.2(b)] Auxiliary ventilation must be provided if ambient temperature is 85° F or higher.</p> <p>Examples of auxiliary ventilation include, but are not limited to:</p> <ul style="list-style-type: none"> • exhaust fans • blowers • air conditioning <p>Relative humidity must be:</p> <ul style="list-style-type: none"> • maintained at a level that ensures the health and well being of the animal • in accordance with the directions of the attending veterinarian, and

- in accordance with generally accepted professional and husbandry practices

Sheltered Housing [3.3(b)]

Auxiliary ventilation must be provided if ambient temperature is 85° F or higher.

Examples of auxiliary ventilation include, but are not limited to:

- exhaust fans
- blowers
- air conditioning

Mobile Housing [3.5(b)]

Animal facility must be sufficiently ventilated to minimize exhaust fumes.

Auxiliary ventilation must be provided if ambient temperature is 85° F or higher.

Examples of auxiliary ventilation include, but are not limited to:

- exhaust fans
- blowers
- air conditioning

Rabbits

Indoor Housing [3.26(b)]

Auxiliary ventilation must be provided if ambient temperature is 85° F or higher.

Examples of auxiliary ventilation include, but are not limited to:

- exhaust fans
- blowers
- air conditioning

Nonhuman Primates

Indoor Housing [3.76(b)]

Auxiliary ventilation must be provided if ambient temperature is

85° F or higher.

Examples of auxiliary ventilation include, but are not limited to:

- exhaust fans
- blowers
- air conditioning

Relative humidity must be:

- maintained at a level that ensures the health and well being of the animal
- in accordance with the directions of the attending veterinarian, and
- in accordance with generally accepted professional and husbandry practices

Sheltered Housing [3.77(b)]

Auxiliary ventilation must be provided if ambient temperature is 85° F or higher.

Examples of auxiliary ventilation include, but are not limited to:

- exhaust fans
- blowers
- air conditioning

Relative humidity must be:

- maintained at a level that ensures the health and well being of the animal
- in accordance with the directions of the attending veterinarian, and
- in accordance with generally accepted professional and husbandry practices

Mobile/Traveling Housing [3.79(b)]

Animal facility must be sufficiently ventilated to minimize exhaust fumes.

Auxiliary ventilation must be provided if ambient temperature is 85° F or higher.

Examples of auxiliary ventilation include, but are not limited to:

- exhaust fans
- blowers
- air conditioning

Marine Mammals

Indoor Housing [3.102(b)]

Ventilation must minimize harmful chlorine fumes.

Vertical air space averaging at least 6 feet (1.83 meters) must be provided in all primary enclosures, including pools of water.

WASHING FACILITIES	Washing facilities must be provided and conveniently located for research facility personnel to maintain cleanliness. [3.1(d), 3.25(e), 3.50(e), 3.75(d), 3.101(f), 3.125(b)]
Criteria	Washing facilities include, but are not limited to: <ul style="list-style-type: none">• washrooms• basins• sinks• tubs• showers• buckets
Species Specific	Marine Mammals Washing facilities must be cleaned and sanitized daily. [3.101(f)]

<p>WASTE DISPOSAL</p>	<p>Provisions must be made for the removal and disposal of animal and food wastes, bedding, dead animals, trash and debris [3.1(f), 3.25(d), 3.50(d), 3.75(f), 3.101(e), 3.125(d), 3.126(d), 3.127(c)]</p>
<p>Criteria</p>	<p>Disposal facilities must be provided and operated to minimize:</p> <ul style="list-style-type: none"> • pest infestation • vermin infestation • harmful odors • disease hazards
<p>Species Specific</p>	<p>Dogs & Cats [3.1(f)] Trash containers in housing facilities, food storage areas, and food preparation areas must</p> <ul style="list-style-type: none"> • be leakproof • have tightly fitted lids on them at all times <p>Dead animals, animal parts, and animal waste must NOT be kept in:</p> <ul style="list-style-type: none"> • food storage areas • food preparation areas • food freezers • food refrigerators • animal areas <p>Nonhuman Primates [3.75(f)] Trash containers in housing facilities, food storage areas, and food preparation areas must</p> <ul style="list-style-type: none"> • be leakproof • have tightly fitted lids on them at all times <p>Dead animals, animal parts, and animal waste must NOT be kept in:</p> <ul style="list-style-type: none"> • food storage areas • food preparation areas • food freezers • food refrigerators • animal areas

Marine Mammals [3.101(e)]

Disposal facilities and any disposal of animal and food wastes, bedding, dead animals, trash and debris must comply with Federal, State and local pollution/environmental protection/public health laws and regulations.

Other Animals [3.125(d), 3.126(d), 3.127(c)]

Disposal facilities and any disposal of animal and food wastes, bedding, dead animals, trash and debris must comply with Federal, State and local pollution/environmental protection laws and regulations.

11.0 Primary Enclosure

Cleaning.....	11.1
Compatible Grouping.....	11.2
Sanitation.....	11.3
Space Requirement.....	11.4
Structure and Construction.....	11.5

CLEANING	Primary enclosures must be cleaned as often as necessary to ensure the animal's health and well-being. [3.11, 3.31, 3.56, 3.75(c), 3.84, 3.107, 3.131]
Criteria	<p>Primary enclosures must be cleaned as often as necessary to:</p> <ul style="list-style-type: none"> • prevent contamination of the animal • minimize disease hazards • reduce odors
Species Specific	<p>Dogs & Cats [3.11(a)] Excreta & food waste must be removed <i>daily</i> from the primary enclosure. Methods for removing excreta/food waste include:</p> <ul style="list-style-type: none"> • cleaning entire primary enclosure • cleaning soiled areas only (spot-cleaning) <p>An animal must not be harmed, wetted, contaminated, or distressed during the cleaning process. Methods for protecting the animal during cleaning include, but are not limited to, the following:</p> <ul style="list-style-type: none"> • removal from enclosure • housing enclosure large enough for animal to avoid contact • separation from area being cleaned, such as <ul style="list-style-type: none"> ▸ lock outs ▸ raised floors ▸ resting boards <p>Standing water must be removed from primary enclosures.</p> <p>Excreta & food waste must be removed as often as necessary <i>from under the primary enclosure</i> to prevent or reduce:</p> <ul style="list-style-type: none"> • soiling of the animal • disease hazard • pests and insects • odors <p>Guinea Pigs & Hamsters [3.31(a)] Primary enclosures must be cleaned often enough to prevent the accumulation of excreta and/or debris. [3.31(a)(1)]</p>

An animal must be transferred to a clean enclosure when the primary enclosure becomes soiled or wet to a harmful or uncomfortable degree due to: [3.31(a)(2)]

- leakage of the watering system
- discharge from dead or dying animals
- spoiled perishable food

Rabbits [3.56(a)]

Primary enclosures must be kept reasonably free of: [3.56(a)(1)]

- excreta
- hair
- cobwebs
- other debris

An animal must not get wet during the cleaning process.

Enclosures with solid floors must have the bedding changed at least weekly. [3.56(a)(2)]

Troughs and pans under mesh floor cages must be cleaned at least weekly. [3.56(a)(3)]

Worm bins must be maintained to: [3.56(a)(3)]

- prevent excessive odors
- prevent overflow of excreta into walkways
- properly degrade excreta

Methods of evaluating worm bins include, but are not limited to:

- evidence of worms in a random shovelful of dirt
- evidence of processed material being removed on a regular basis

Nonhuman Primates [3.75(c), 3.84]

Hard Surfaces [3.75(c)(3), 3.84(a)]

Excreta & food waste must be removed *daily* from the primary enclosure. Methods for removing excreta/food waste include:

- cleaning entire primary enclosure
- cleaning soiled areas only (spot-cleaning)

Perches, bars and shelves must be:

- kept clean, and
- replaced when worn

An animal must not be harmed, wetted, contaminated, or distressed during the cleaning process. Methods for protecting the animal include, but are not limited to: [3.84(a)]

- removal from enclosure
- housing enclosure large enough for animal to avoid contact
- separation from area being cleaned, such as
 - ▶ lock outs
 - ▶ raised floors

Excreta & food waste must be removed as often as necessary *from under the primary enclosure* to prevent or reduce:

- soiling of the animal
- disease hazard
- pests and insects
- odors

Non-hard surfaces [3.75(c)(3), 3.84(b)(4)]

Non-hard surfaces include, but are not limited to:

- dirt floors
- floors with absorbent bedding
- planted areas

Non-hard surfaces must be **spot-cleaned, raked, removed, or replaced** as often as necessary to:

- allow the animal to avoid contact with excreta
- prevent or reduce:
 - ▶ disease hazard
 - ▶ pests and insects
 - ▶ odors

Scent-marked Surfaces [3.75(c)(3)]

Certain species of nonhuman primates scent-mark their habitat.

Examples of scent-marking species are:

- tamarins
- marmosets
- capuchins

- owl (night) monkeys
- lemurs
- bush babies
- squirrel monkeys

Hard scent-marked surfaces must be spot-cleaned daily.

Non-hard scent-marked surfaces must be spot-cleaned daily or replaced when soiled.

Marine Mammals

Pools

Animal waste, food waste, trash, or debris must be removed:

[3.107(a)(2)]

- to maintain required water quality, and
- to minimize health and disease hazards, and
- at least daily or more often if necessary

Walls and bottom surfaces must be cleaned as often as necessary to maintain proper water quality. [3.107(a)(3)]

Natural organisms, such as algae, coelenterates (e.g., coral, jelly fish, sea anemones) and molluscs are not necessarily contaminants UNLESS they:

- degrade water quality
- prevent proper maintenance, or
- pose a health or disease hazard

Areas Adjacent to Pools [3.107(a)(1)]

Animal and food wastes must be removed:

- to provide a clean environment, and
- to minimize health and disease hazards, and
- at least daily or more often if necessary

Other Animals [3.131(a)]

Animal waste, food waste, trash, or debris must be removed from primary enclosures often enough to:

- minimize odors
- minimize health and disease hazard
- allow the animal to avoid contact with excreta/debris

- prevent food/food debris from becoming contaminated or rotten

During the cleaning process, adequate measures must be taken to prevent the animal from being:

- sprayed with a stream of water, or
- involuntarily wetted

COMPATIBLE GROUPING	Animals housed in the same primary enclosure or near other primary enclosures must be compatible. [3.7, 3.33, 3.58, 3.81 3.109, 3.133]
Animals housed in same primary enclosure	Animals housed in the same primary enclosure must be compatible.
Criteria	<p>Animals are incompatible if one or more of the following criteria are present:</p> <ul style="list-style-type: none"> • sick animals with communicable diseases, such as upper respiratory infections or ringworm, housed with healthy animals • overly aggressive or vicious behavior • evidence of extensive wounds, especially around neck and face • ruffled or thin hair coat with signs of skin trauma, e.g., scratches or bites • access to food, water and/or shelter restricted by another animal
Species Specific	<p>Dogs & Cats The following animals may be housed together:</p> <ul style="list-style-type: none"> • females in heat with males for the purpose of breeding [3.7(a)] • puppies or kittens 4 months of age or less with adults if: [3.7(c)] <ul style="list-style-type: none"> ▶ with the dam, or ▶ with a foster dam, or ▶ in a permanent compatible breeding colony <p>Dogs and cats may be housed with other species only if all the animals are compatible. [3.7(d)]</p> <p>Guinea Pigs & Hamsters <i>Guinea Pigs</i> Guinea pigs must not be housed in the same primary enclosure with any other species of animal. [3.33(b)]</p>

Preweanling guinea pigs must be housed **only**: [3.33(a)]

- with the dam alone, or
- in harem breeding colonies

Guinea pigs under quarantine or treatment for a communicable disease must be housed separately from other guinea pigs, hamsters or susceptible animals to minimize dissemination of the disease. [3.33(c)]

Examples of separate housing include, but are not limited to:

- different cages
- different parts of the room
- separate rooms

Hamsters

Hamsters must **NOT** be housed in the same primary enclosure with any other species. [3.33(b)]

Nursing females with litters must **not** be housed with other hamsters. [3.28(b)(3)(ii)]

Hamsters under quarantine or treatment for a communicable disease must be housed separately from other hamsters, guinea pigs, or susceptible animals to minimize dissemination of the disease. [3.33(c)]

Examples of separate housing include, but are not limited to:

- different cages
- different parts of the room
- separate rooms

Rabbits

Rabbits must **NOT** be housed in the same primary enclosure with any other species **except** if: [3.58(a)]

- scientifically justified in a protocol, and
- approved by the IACUC

Nonhuman Primates

Social grouping must be addressed in the facility's Environmental Enhancement Plan. [3.81(a)]

When possible, nonhuman primates must be housed in compatible social groups.

Exception: The following nonhuman primates may be housed separately: [3.81(a)(1) and 3.81(a)(2)]

- animals exhibiting vicious or overly aggressive behavior [3.81(a)(1)]
- debilitated animals, e.g., aged, arthritic, sick and/or infirmed [3.81(a)(1)]
- animals with contagious disease [3.81(a)(2)]

Individually housed nonhuman primates must be able to see and hear other nonhuman primates. [3.81(a)(3)]

NOTE: This requirement may be modified by:

- attending veterinarian for the health, safety, or well-being of the animal [3.81(a)(3)]
- the IACUC for scientific reasons set forth in a protocol [3.81(e)(2)]

Marine Mammals [3.109]

Captive marine mammals which are social in the wild must be housed with at least one compatible animal of:

- the same species, or
- a biologically related species.

NOTE: Attending veterinarian in consultation with the husbandry/training staff may modify this requirement for the health, or well-being of the animal.

Animals housed separately must have a written plan:

- approved by the attending veterinarian
- developed in consultation with the husbandry and training staff
- including the following:
 - ▶ justification for the length of time that the animal will be kept separated or isolated
 - ▶ the type and frequency of enrichment and interaction, if appropriate
 - ▶ provisions for periodic review of the plan by the attending veterinarian

	<p>Marine mammals separated for nonmedical purposes must be held in facilities that meet required minimum space requirements.</p>
<p>Animals housed near other animals</p> <p>Criteria</p>	<p>Animals housed near each other must be compatible. [3.133]</p> <p>Animals housed near other animals may be incompatible if the following behaviors are noted:</p> <ul style="list-style-type: none"> • cowering in corner or hiding • excessive pacing • excessive vocalization • off feed • self-mutilation such as biting • lack of normal socialization with other animals <p>Animals that can see or have access to each other may be incompatible if there is interference with any animal's health and well-being including, but not limited to:</p> <ul style="list-style-type: none"> • disease transmission, such as bordetella between guinea pigs and rabbits, or pseudomonas between dogs and primates • fighting through common barriers, such as chain link fences • inadequate space for flight, comfort, or hiding <p>NOTE: Inspector should use professional judgment in determining incompatibility in a specific situation, such as a predatory species being housed near a prey species.</p>
<p>Species Specific</p>	<p>Marine Mammals [3.109]</p> <p>Marine mammals must not be housed near other animals that:</p> <ul style="list-style-type: none"> • cause them unreasonable stress • cause them discomfort • interfere with their good health

SANITATION	Primary enclosures must be sanitized as often as necessary to minimize disease hazards. [3.11, 3.31, 3.56, 3.84, 3.107, 3.131]
Criteria	<p><i>Hard Surfaces, Food/Water Receptacles, and Watering Systems</i> Hard surfaces include, but are not limited to:</p> <ul style="list-style-type: none"> • sealed concrete • sealed wood • ceramic tile • stainless steel or other metals • glass board • Formica <p>Acceptable methods of sanitation are:</p> <ul style="list-style-type: none"> • washing with hot water of at least 180° F (82.2° C) and soap or detergent • washing with a detergent solution, followed by a safe and effective disinfectant • live steam or pressurized live steam <p><i>Non-hard/Porous Surfaces</i> Non-hard or porous surfaces include, but are not limited to:</p> <ul style="list-style-type: none"> • dirt • sand • gravel • grass <p>Acceptable methods of sanitation are:</p> <ul style="list-style-type: none"> • removal of contaminated materials • exposure to direct sunlight
Species Specific	<p>Dogs & Cats [3.11(b)] Used primary enclosures and food/ water receptacles must be sanitized:</p> <ul style="list-style-type: none"> • before being used for another animal(s) [3.11(b)(1)] • at least once every 2 weeks, or [3.11(b)(2)] • more often as needed to prevent an accumulation of : [3.11(b)(2)] <ul style="list-style-type: none"> ▸ dirt

- ▶ debris
- ▶ food waste
- ▶ excreta
- ▶ algae
- ▶ mineral deposits
- ▶ other disease hazards

Non-sanitizable materials such as gravel, sand, grass, or compacted earth used in primary enclosures must be removed when contaminated. [3.11(b)(4)]

Guinea Pigs & Hamsters [3.31(a)]

Used primary enclosures and food/ water receptacles must be sanitized:

- before being used for another animal(s) [3.31(a)(3)]
- at least once every 2 weeks, or [3.31(a)(1)]
- more often as needed to prevent an accumulation of:
[3.31(a)(2)]
 - ▶ excreta
 - ▶ debris

Rabbits [3.56(b)]

Used primary enclosures must be sanitized:

- before being used for another animal(s) [3.56(b)(2)]
- at least once every 30 days [3.56(b)(1)]

Used food/water receptacles must be sanitized: [3.54, 3.55]

- before being used for another animal(s)
- at least once every 2 weeks [3.54(b)]

NOTE: Flaming is an acceptable method for sanitizing empty primary enclosures.

Nonhuman Primates [3.84(b)]

Used primary enclosures and food/ water receptacles must be sanitized:

- before being used for another animal(s) [3.84(b)(1)]

- at least once every 2 weeks, or [3.84(b)2]
- more often as needed to prevent an accumulation of :
 - ▶ dirt
 - ▶ debris
 - ▶ food waste
 - ▶ excreta
 - ▶ algae
 - ▶ mineral deposits
 - ▶ other disease hazards

Non-sanitizable materials such as gravel, sand, grass, or compacted earth used in primary enclosures must be removed when contaminated. [3.84(b)(4)]

Scent-marking Species [3.75(c)(3)]

Certain species of nonhuman primates scent-mark their habitat.

Examples of scent-marking species are:

- tamarins
- marmosets
- capuchins
- owl (night) monkeys
- lemurs
- bush babies
- squirrel monkeys

Scent-marked surfaces must be sanitized or replaced on a regular basis:

- as determined by the attending veterinarian
- in accordance with generally accepted professional and husbandry practices

NOTE: A pattern of sequential sanitation should be used to leave some of the habitat scent-marked, e.g., the walls are sanitized one week, and the cage furniture, perches, nest boxes are sanitized the next week

Marine Mammals [3.107(b)]

Equipment and utensils used in food preparation must be sanitized after each use.

Food-preparation areas must be sanitized at least once a week.

Other Animals [3.131(b)]

Pens and runs housing an animal(s) with an infectious or transmissible disease must be sanitized prior to being used for another animal.

Pens and runs using porous materials must be sanitized according to instructions by the attending veterinarian.

SPACE REQUIREMENTS	Adequate space must be provided for all animals. [3.6, 3.28, 3.53, 3.80, 3.104, 3.128, Policy #24]
Criteria	<p>Adequate space must provide for:</p> <ul style="list-style-type: none"> • freedom of movement • normal postural adjustment
Species Specific	<p>Dogs & Cats [3.6] Adequate space must allow each dog and cat: [3.6(a)(2)(xi)]</p> <ul style="list-style-type: none"> • to turn about freely • to sit, stand and lie in a comfortable manner • to walk in a normal manner <p>No more than 12 adult <i>nonconditioned</i> dogs or cats may be housed in the same primary enclosure. [3.6(b)(2), 3.6(c)(3)]</p> <p><i>Food & Water Bowls</i> Floor space taken up by food and/or water bowls must be subtracted from the available floor space.</p> <p><i>Dogs only</i> Interior height of the primary enclosure must be at least 6 inches higher than the head of the tallest dog in the enclosure. [3.6(c)(1)(iii)]</p> <p>Resting shelves in dog cages may be counted as floor space if:</p> <ul style="list-style-type: none"> • the shelf and floor of the cage are contiguous • the dog can easily step up onto and off of the resting shelf • the area above the resting shelf meets the interior height requirement • the resting shelf does not appreciably affect the dog's ability to make postural adjustments <p>Innovative primary enclosures which do not precisely meet the height and floor space requirements for dogs may be used if they: [3.6(d)]</p> <ul style="list-style-type: none"> • provide the dog with an adequate volume of space, and • provide the opportunity to express species-typical behavior, and

- are approved by the IACUC

Calculation of Floor Space

Floor space for each **dog and weaned puppy** is calculated as follows: [3.6(c)(1)(i)]

- 1) measure the dog in inches from tip of nose to base of tail (see page 11.4.25)
- 2) add 6 inches to this number
- 3) multiply the number in line two by itself (i.e., square it). This is required floor space in square inches.
- 4) divide by 144 to calculate square feet (see page 11.4.26)

Example:

For a dog measuring 14 inches:

- 1) 14 inches + 6 = 20 inches
- 2) 20 x 20 = 400 square inches
- 3) 400 sq. in. divided by 144 sq. in./sq. ft. = 2.8 sq. ft.

Additional floor space for each **bitch with nursing puppies** is determined by: [3.6(c)(1)(ii)]

- bitch's breed, such as:
 - ▶ rottweilers
 - ▶ boxers
 - ▶ dalmations
- bitch's behavioral characteristics, such as:
 - ▶ extreme nervousness
 - ▶ high strung
 - ▶ overly protective
- the attending veterinarian, and
- the minimum space formula shown below

The minimum space requirement is calculated as follows:

- 1) determine the required floor space in square inches for the bitch as shown above
- 2) multiply this number by 0.05
- 3) multiply the number obtained in line two by the number of puppies. This is the amount of additional floor space required.
- 4) add the additional floor space for the puppies to the required floor space for the bitch

5) divide by 144 to calculate square feet

Example:

For a bitch measuring 14 inches with 5 puppies:

- 1) 14 inches + 6 = 20 inches
- 2) 20 inches x 20 inches = 400 square inches (bitch's floor space)
- 3) 400 sq. in. x 0.05 = 20 sq. in. (additional floor space per puppy)
- 4) 20 sq. in./puppy x 5 puppies = 100 sq in (total additional floor space)
- 5) 400 sq. in. + 100 sq. in. = 500 sq. in.
- 6) 500 sq in divided by 144 sq in/sq ft = 3.5 sq. ft. (total floor space for bitch and puppies)

If the available floor space does not meet the minimum required as calculated for the bitch and her nursing puppies, then the housing must be approved by the research facility's attending veterinarian.
[3.6(c)(1)(ii)]

Cats only

Interior height of primary enclosure containing cats and/or weaned kittens must be at least 24 inches high. [3.6(b)(1)(ii)(A)]

Innovative primary enclosures which do not precisely meet the height and floor space requirements for cats may be used if they:
[3.6(d)]

- provide the cat with an adequate volume of space, and
- provide the opportunity to express species typical behavior, and
- are approved by the IACUC

Calculation of Floor Space

Floor space for cats and weaned kittens is determined as follows:

- 1) cats up to and including 8.8 lbs (4 kg) require at least 3.0 sq. ft.
[3.6(b)(1)(ii)(B)]
- 2) cats over 8.8 lbs (4 kg) require 4.0 sq. ft. [3.6(b)(1)(ii)(C)]
- 3) area taken up by food and water pans is not considered part of the minimum required floor space [3.6(b)(1)(ii)(A)]

- 4) litter pans may be considered part of the minimum floor space if kept cleaned and sanitized [3.6(b)(1)(iv)]
- 5) resting surfaces that do not allow the space under them to be used by the cat are counted as floor space but may not be counted as elevated resting surfaces [3.6(b)(4)]

Additional floor space for **queens and nursing kittens** is determined by: [3.6(b)(1)(iii)]

- the queen's breed
- the queen's behavioral characteristics, such as:
 - ▶ extreme nervousness
 - ▶ high strung
 - ▶ overly protective
- minimum space formula as shown below

The minimum space requirement is calculated as follows:

- 1) determine the required floor space for the queen as above
- 2) multiply this number by 0.05
- 3) multiply the number obtained in line two by the number of kittens. This is the amount of additional floor space required.
- 4) add the required floor space for the kittens to the required floor space for the queen

Example

For an 8 pound queen with 5 kittens:

- 1) queen requires 3 sq. ft.
- 2) $3 \text{ sq. ft.} \times 0.05 = 0.02 \text{ sq. ft.}$ (additional floor space per kitten)
- 3) $0.02 \text{ sq. ft.} \times 5 \text{ kittens} = 0.1 \text{ sq. ft.}$ (total additional floor space)
- 4) $3.0 \text{ sq. ft.} + 0.1 \text{ sq. ft.} = 3.1 \text{ sq. ft.}$ (total floor space for queen and kittens)

If the available floor space does not meet the minimum required as calculated, then the housing must be approved by the research facility's attending veterinarian. [3.6(b)(1)(iii)]

Guinea Pigs & Hamsters

Guinea Pigs [3.28(b)]

Primary enclosures acquired before August 15, 1990:

Interior height of primary enclosures must be at least 6.5 inches.
[3.28(b)(2)(i)]

Minimum floor space for each guinea pig is determined as follows:

[3.28(b)(2)(ii)]

Weaning to 350 grams.....60 sq in
 350 grams or more.....90 sq in
 Breeders.....180 sq in

Primary enclosures acquired on or after August 15, 1990:

Interior height of primary enclosures must be at least 7.0 inches.

[3.28(c)(1)(ii)]

Minimum floor space for each guinea pig is determined as follows:

[3.28(c)(1)(iii)]

Weaning to 350 grams.....60 sq in
 350 grams or more.....101 sq in
 Nursing female with litter..... 101 sq in

Innovative primary enclosures which do not precisely meet the height and floor space requirements may be used if they:

[3.28(c)(3)]

- provide the guinea pig with an adequate volume of space, and
- provide the opportunity to express species typical behavior, and
- are approved by the IACUC

Hamsters

Primary enclosures acquired before August 15, 1990:

Interior height of primary enclosures for:

- *dwarf hamsters* must be at least 5.0 inches. [3.28(c)(3)(i)]
- *other hamsters* must be at least 5.5 inches. [3.28(c)(3)(i)]

Minimum floor space for each hamster is determined as follows:

[3.28(c)(3)(ii) and (iii)]

	Dwarf	Other	Max # /enc
Weaning to 5 wks.....	5.0 sq in	10.0 sq in	20
5 to 10 wks.....	7.5 sq in	12.5 sq in	16
10 wks or more.....	9.0 sq in	15.0 sq in	13
Nursing female with litter....	25 sq in(total)	121 sq in(total)	--

Nursing female hamsters with litters may not be housed with any other hamsters. [3.28(c)(3)(ii)]

Primary enclosures acquired on or after August 15, 1990:
Interior height of primary enclosures must be at least 6.0 inches.
[3.28(c)(2)(ii)]

Minimum floor space for each hamster is determined as follows:
[3.28(c)(2)(iii) and (iv)]

<60 grams.....	10 sq in
60 to 80 grams.....	13 sq in
80 to 100 grams.....	16 sq in
>100 grams.....	19 sq in
Nursing female with litter.....	25 sq in total for dwarf 121 sq in total for other

Nursing female hamsters with litters may not be housed with any other hamsters. [3.28(c)(2)(iv)]

Innovative primary enclosures which do not precisely meet the height and floor space requirements may be used if they:
[3.28(c)(3)]

- provide the hamster with an adequate volume of space, and
- provide the opportunity to express species typical behavior, and
- are approved by the IACUC

Rabbits [3.53]

Primary enclosures acquired before August 15, 1990

Minimum floor space for each rabbit, exclusive of space taken up by food and water receptacles, is determined as follows: [3.53(b)]

	Weight		Space/rabbit	
	lbs	kgs	in ²	ft ²
Groups.....	3-5	1.2-2.6	144	1.0
	6-8	2.7-4.0	288	2.0
	≥ 9	≥ 4.1	432	3.0
Individual Adults.....	3-5	1.2-2.6	180	1.25
	6-8	2.7-4.0	360	2.5
	9-11	4.1-5.4	540	3.75
	≥ 12	≥ 5.5	720	5.0

	Weight		Space/rabbit	
	lbs	kgs	in ²	ft ²
Nursing Females.....	3-5	1.2-2.6	576	4.0
	6-8	2.7-4.0	720	5.0
	9-11	4.1-5.4	864	6.0
	≥ 12	≥ 5.5	1080	7.5

Primary enclosures acquired on or after August 15, 1990
 Interior height of primary enclosures must be at least 14 inches.
 [3.53(c)(2)]

Minimum floor space for each rabbit, exclusive of space taken up by food and water receptacles, is determined as follows:
 [3.53(c)(2)]

	Weight		Space/rabbit
	lbs	kgs	ft ²
Individual (weaned)....	< 4.4	< 2.0	1.5
	4.4-8.8	2.0-4.0	3.0
	8.8-11.9	4.0-5.4	4.0
	> 11.9	> 5.4	5.0
Females with litters.....	<4.4	<2.0	4.0
	4.4-8.8	2.0-4.0	5.0
	8.8-11.9	4.0-5.4	6.0
	>11.9	>5.4	7.5

Innovative primary enclosures which do not precisely meet the height and floor space requirements may be used if they:
 [3.53(c)(3)]

- provide the rabbit with an adequate volume of space, and
- provide the opportunity to express species typical behavior, and
- are approved by the IACUC

Nonhuman Primates [3.80]

Primary enclosures must provide sufficient space for the nonhuman primate to make normal postural movements, such as lying down, stretching out, or hanging by the tail.

The minimum floor space for each nonhuman primate is determined as follows: [3.80(b)(2)(i)]

Group*	Weight		Space/animal(sq. ft.)	Height(in)
	lb	kg		
1	<2.2	<1	1.6	20
2	2.2-6.6	1-3	3.0	30
3	6.6-22	3-10	4.3	30
4	22-33	10-15	6.0	32
5	33-55	15-25	8.0	36
6	>55	>25	25.1	84

*Nonhuman primates in each Group include, but are not limited to:
Group 1 - marmosets, tamarins, and infants <6 months of age of various species

Group 2 - capuchins, squirrel monkeys and similar size species, and juveniles 6 months to 3 years of age of various species

Group 3 - macaques and African species

Group 4 - male macaques and large African species

Group 5 - baboons and nonbrachiating species larger than 33.0 lbs

Group 6 - great apes over 55.0 lbs and brachiating species

NOTE: Great apes weighing over 110.0 lbs must be provided an additional volume of space to allow for normal postural adjustments. [3.80(b)(2)(ii)]

Mothers with infants less than 6 months of age may be housed together in primary enclosures that meet the floor space and height requirements for the mother. [3.80(b)(2)(iv)]

Low perches and ledges that do not allow the space underneath them to be occupied by the nonhuman primate must be counted as part of the floor space. [3.80(b)]

Any exemptions from the floor space requirements must be: [3.80(b)(2)(iii)]

- approved by the IACUC, and
- required by a protocol, or
- necessary in the judgment of the attending veterinarian

Innovative primary enclosures which do not precisely meet the height and floor space requirements may be used if they:

[3.80(c)]

- provide the nonhuman primate with an adequate volume of space, and
- provide the opportunity to express species typical behavior, and
- are approved by the IACUC

Marine Mammals [3.104]

Space requirements for marine mammals are based on the following factors:

- species
- horizontal and vertical distances
- normal postural adjustments in and out of the water
- normal social adjustments in and out of the water
- training requirements
- veterinary requirements

Each marine mammal requires its own minimum space regardless of age.

NOTE: When calculating the minimum space requirements for a marine mammal, do not measure the actual animal. Use the average adult lengths listed in Table III.

Only enclosures that meet the minimum space requirements may be used for permanent housing purposes. [3.104(a)]

Examples of enclosures that may not meet the minimum space requirements include, but are not limited to:

- medical pools or enclosures
- holding pools or enclosures
- gated side pools

Enclosures smaller than required by the standards may be temporarily used for: [3.104(a)]

- isolation or separation for medical treatment or medical training (See Adequate Veterinary Care - page 15.1.3)

- nonmedical training
- breeding
- holding
- transfer purposes

The use of smaller than required enclosures for nonmedical training, breeding, or holding for more than 2 weeks requires a justification: [3.104(a)]

- in writing
- written by the attending veterinarian
- renewed weekly

The use of smaller than required enclosures for transfer purposes for more than 1 week requires a justification: [3.104(a)]

- in writing
- written by the attending veterinarian
- renewed weekly

Rotating animals between enclosures that meet and do not meet the minimum space requirements is not an acceptable means of complying with the minimum space requirements. [3.104(a)]

Cetaceans [3.104(b)]

Cetaceans require only a pool and no dry resting surface.

POOL AREA

The minimum space requirement is based on:

- species
- minimum horizontal dimension (MHD)
- depth
- volume
- surface area

Species

Cetaceans are divided into Group I cetaceans and Group II cetaceans as shown in Table III.

Minimum Horizontal Dimension (MHD) [3.104(b)(1)]

The MHD is the diameter of a circular pool of water.

Group I cetaceans require an MHD of: [3.104(b)(1)(i)]

- 24 feet OR
- two times the average adult length of the longest species housed in the pool, whichever is greater (see Tables I and III)

Group II cetaceans require an MHD of: [3.104(b)(1)(ii)]

- 24 feet OR
- four times the average adult length of the longest species housed in the pool, whichever is greater (see Tables II and III)

In a pool containing both Group I and Group II cetaceans, the MHD must be the longest length required for any cetacean housed therein. [3.104(b)(1)(iii)]

In irregularly shaped or rectangular pools, the MHD may be reduced 20% in one direction if it is enlarged 20% in the other direction at a 90 degree angle. [3.104(b)(1)(i)]

EXAMPLE: MHD for a cetacean has been calculated to be 24ft. If the pool were round, a pool 24ft in diameter would meet this requirement. To determine the minimum size of a rectangular-shaped pool, increase the calculated MHD by 20% to find the length and decrease the calculated MHD by 20% to find the width:

20%	$24\text{ft} \times 0.2 = 4.8\text{ft}$
Length	$24\text{ft} + 4.8\text{ft} = 28.8\text{ft}$
Width	$24\text{ft} - 4.8\text{ft} = 19.2\text{ft}$

Pool must be 28.8ft by 19.2ft.

Depth [3.104(b)(2)]

The minimum depth for both Group I and Group II cetaceans is:

- 6 feet OR
- $\frac{1}{2}$ the average adult length of the longest species in the pool, whichever is greater (see Tables I, II, and III)

Any part of the pool which does not meet the minimum depth requirement cannot be included in the minimum space requirement calculation.

Volume [3.104(b)(3)]

If the pool meets the MHD and the depth requirements, then the pool will have sufficient volume to house:

- two Group I cetaceans, or
- four Group II cetaceans

Volume of the pool is calculated using the following formula:

$$\text{Volume} = (\text{MHD}/2)^2 \times 3.14 \times \text{depth}$$

If the pool houses **more than two Group I cetaceans**, see Table I for the volume of water required for each additional cetacean.

If the pool houses **more than four Group II cetaceans**, see Table II for the volume of water required for each additional cetacean.

Surface Area [3.104(b)(4)(i)]

A pool containing up to 2 Group I or 4 Group II cetaceans that meets the required MHD and depth will have the required amount of surface area.

In a mixture of Group I and Group II cetaceans:

- 1) the MHD, depth and volume must be met, AND
- 2) any additional surface area required must be met using Table IV

Sirenians [3.104(c)]

Sirenians require only a pool and no dry resting surface.

POOL AREA

The minimum space requirement is based on: (see Table V)

- minimum horizontal dimension (MHD)
- depth
- volume
- surface area

Minimum Horizontal Dimension [3.104(c)(1)]

The MHD is the diameter of a circular pool of water.

The required MHD is two times the average adult length of the longest species housed in the pool. (see Table III)

Depth [3.104(c)(2)]

The minimum depth of the pool must be:

- 5 feet OR
- $\frac{1}{2}$ the average adult length of the longest species housed therein, whichever is greater (see Table III)

Volume [3.104(c)(3)]

If the pool meets the MHD and the depth requirements, then the pool will have sufficient volume to house one or two sirenians.

The volume requirement for additional animals is calculated using the following formula:

$$\text{Volume} = (\text{MHD}/2)^2 \times 3.14 \times \text{depth} \text{ [see above for depth requirement]}$$

Surface Area [3.104(c)(3)]

If the pool meets the MHD and the depth requirements, then the pool will have sufficient surface area for one or two sirenians.

The surface area requirement for additional animals is calculated using the following formula:

$$\text{Surface Area} = (\text{average adult body length}/2)^2 \times 3.14 \times \text{depth} \text{ [see above for depth requirement]}$$

Pinnipeds [3.104(d)]

Pinnipeds require: [3.104(d)(1)] (see Table V)

- a pool, and
- a dry resting or social activity area which is close enough to the surface of the water to allow easy access to and from the pool

POOL AREA

Minimum Horizontal Dimension [3.104(d)(3)(ii)]

$$\text{MHD} = 1.5 \times \text{average adult length of the longest species of pinniped housed in the enclosure}$$

NOTE: The MHD may be reduced up to 20% if the amount of the reduction is added to the MHD at the 90-degree angle.

EXAMPLE: MHD for a pinniped has been calculated to be 24ft. If the pool were round, a pool 24ft in diameter would meet this requirement. To determine the minimum size of a rectangular-shaped pool, increase the calculated MHD by 20% to find the length and decrease the calculated MHD by 20% to find the width:

20%	$24\text{ft} \times 0.2 = 4.8\text{ft}$
Length	$24\text{ft} + 4.8\text{ft} = 28.8\text{ft}$
Width	$24\text{ft} - 4.8\text{ft} = 19.2\text{ft}$

Pool must be 28.8ft by 19.2ft.

Depth [3.104(d)(3)(iii)]

Depth of the pool must be at least 3.0 feet or $\frac{1}{2}$ the average adult length of the longest pinniped in the pool, whichever is greater.

NOTE: Any part of the pool which meets the depth requirement may be used in calculating the required dry resting/social area, or as part of the MHD or required surface area.

Surface Area [3.104(d)(3)(i)]

The surface area of the pool must be at least equal to the required dry resting/social area

DRY RESTING AREA (DRA) [3.104(d)(2)]

Group I Pinnipeds (see Table III) - [3.104(d)(2)(i)]

Single-housed animal -

$$\text{DRA} = 2 \times (\text{average adult length})^2$$

Group-housed animals-

$$\text{DRA} = \text{sum of the } [(\text{average adult length})^2] \text{ for each pinniped in the enclosure}$$

Group II Pinnipeds (see Table III) [3.104(d)(2)(ii)]

Single-housed animal-

Dry resting area must be computed for a minimum of two pinnipeds:

$$\text{DRA} = [(\text{average adult length})^2 \times 1.5] + [(\text{average adult length})^2 \times 1.4]$$

Group-housed animals-

The dry resting area is calculated as follows:

- 1) list all the pinnipeds in the enclosure by average adult length in descending order from the longest to the shortest
- 2) square the average adult length of each pinniped
- 3) multiply the squared average length of the longest pinniped by 1.5
- 4) multiply the squared average length of the second longest pinniped by 1.4
- 5) multiply the squared average length of the third longest pinniped by 1.3
- 6) multiply the squared average length of the fourth longest pinniped by 1.2
- 7) multiply the squared average length of the fifth longest pinniped by 1.1
- 8) for the 6th and additional pinnipeds only square the average adult length as instructed in Step 2.
- 9) add the figures obtained above

NOTE: If two or more sexually mature males are housed together in the same primary enclosure, the dry resting/social area must be divided into two or more separate areas with sufficient visual barriers, such as fences, rocks, or foliage, to provide relief from aggressive animals.

Mixed Group I and II Pinnipeds [3.104(d)(2)(iii)]

Dry resting area is calculated as for Group II pinnipeds.

The dry resting/social area must be divided into two or more separate areas with sufficient visual barriers, such as fences, rocks, or foliage, to provide relief from aggressive animals.

NOTE: A small portion of the dry resting area may have up to 4 inches of water.

Polar Bears [3.104(e)]

Primary enclosures housing polar bears must consist of:

- a pool of water
- a dry resting/social activity area
- a den

POOL AREA [3.104(e)]

Minimum Horizontal Dimension

The MHD of the pool must be 8.0 feet or greater.

Depth

The minimum depth of the pool must be 5.0 feet with the exception of any entry or exit area.

Surface Area

The minimum surface area for one or two polar bears must be at least 96.0 square feet.

For each additional polar bear, the surface area must be increased by 40.0 square feet.

NOTE: Any part of the pool which meets the depth requirement may be counted in the surface area measurement.

DRY RESTING AREA [3.104(e)]

The dry resting/social activity area must provide:

- at least 400 square feet of area for up to 2 polar bears
- at least 40 square feet of surface area for each additional polar bear
- enough shade to accommodate all the polar bears in the enclosure at the same time

DEN [3.104(e)]

The den must be:

- at least 6.0 feet in width and depth
- at least 5.0 feet in height
- positioned so that the viewing public is not visible from the interior of the den

A separate den must be provided for each adult female of breeding age which is permanently housed in the same enclosure with an adult male of breeding age.

Sea Otters [3.104(f)]

The primary enclosures housing sea otters must consist of: (see Table V)

- a pool of water
- a dry resting area

POOL AREA [3.104(f)]

Minimum Horizontal Dimension [3.104(f)(1)]

The MHD must be at least 3 times the average adult length of the sea otter housed therein.

Depth [3.104(f)(1)]

The minimum depth of the pool must be 3.0 feet.

Volume [3.104(f)(2)]

For one or two sea otters:

$$\text{Volume} = [3.14 \times (\text{average adult length})^2] \times 3.0 \text{ ft}$$

NOTE: Average adult length of a sea otter is 4.1 feet.

For **each additional** sea otter in excess two, add 79.17 cubic feet to the above total.

DRY RESTING AREA [3.104(f)(3)]

For one or two sea otters:

$$\text{DRA} = 3.14 \times (\text{average adult length})^2$$

NOTE: Average adult length of a sea otter is 4.1 feet.

For **each additional** sea otter in excess of two, add 6.44 square feet to the above total.

SEE TABLES STARTING ON NEXT PAGE

Table I- Group I Cetaceans			
Average adult lengths (ft)	Minimum horizontal dimension [MHD] (ft)	Minimum required depth (ft)	Volume of water required for each additional cetacean in excess of two (cubic feet)
5.5	24	6	284.95
7.5	24	6	529.87
9.0	24	6	763.02
10.0	24	6	942.00
11.5	24	6	1,245.79
12.0	24	6	1,356.48
14.0	28	7	2,154.04
18.0	36	9	4,578.12
18.5	37	9.25	4,970.33
19.0	38	9.50	5,384.32
22.0	44	11	8,358.68
22.5	45	11.25	8,941.64
24.0	48	12	10,851.84
28.0	56	14	17,232.32

Table II- Group II Cetaceans			
Average adult lengths (ft)	Minimum horizontal dimension [MHD] (ft)	Minimum required depth (ft)	Volume of water required for each additional cetacean in excess of two (cubic feet)
5.0	24	6	471.00
5.5	24	6	569.91
6.0	24	6	678.24
7.0	28	6	923.16
7.5	30	6	1,059.75
8.0	32	6	1,205.79
8.5	34	6	1,361.19
9.0	36	6	1,526.04

**Table III--Average Adult Lengths of Marine Mammals
 Maintained in Captivity \1**

Species	Common Name	Average adult length (ft)
Group I Cetaceans:		
<i>Balaenoptera acutorostrata</i>	Minke whale	27.9
<i>Cephalorhynchus commersonii</i>	Commerson's dolphin	5.0
<i>Delphinapterus leucas</i>	Beluga whale	14.0
<i>Monodon monoceros</i>	Narwhale	13.0
<i>Globicephala melaena</i>	Long-finned pilot whale	19.0
<i>Globicephala macrorhynchus</i>	Short-finned pilot whale	18.0
<i>Grampus griseus</i>	Risso's dolphin	12.0
<i>Orcinus orca</i>	Killer whale	24.0
<i>Pseudorca carassidens</i>	False killer whale	14.3
<i>Tursiops truncatus</i> (Atlantic)	Bottlenose dolphin	9.0
<i>Tursiops truncatus</i> (Pacific)	Bottlenose dolphin	10.0
<i>Inia geoffrensis</i>	Amazon porpoise	8.0
<i>Phocoena phocoena</i>	Harbor porpoise	5.5
<i>Pontoporia blainvillei</i>	Franciscana	5.0
<i>Sotalia fluviatilis</i>	Tucuxi	5.5
<i>Platanista</i> , all species	River dolphin	8.0
Group II Cetaceans:		
<i>Delphinus delphis</i>	Common dolphin	8.5
<i>Feresa attenuata</i>	Pygmy killer whale	8.0
<i>Kogia breviceps</i>	Pygmy sperm whale	13.0
<i>Kogia simus</i>	Dwarf sperm whale	9.5
<i>Lagenorhynchus acutus</i>	Atlantic white-sided dolphin	9.5
<i>Lagenorhynchus cruciger</i>	Hourglass dolphin	5.6
<i>Lagenorhynchus obliquidens</i>	Pacific white-sided dolphin	7.5
<i>Lagenorhynchus albirostris</i>	White-beaked dolphin	9.0
<i>Lagenorhynchus obscurus</i>	Duskey dolphin	7.0
<i>Lissodelphis borealis</i>	Northern right whale dolphin	9.0
<i>Neophocaena phocaenoides</i>	Finless porpoise	6.0
<i>Peponocephala electra</i>	Melon-headed whale	9.0
<i>Phocoenoides dalli</i>	Dall's porpoise	6.5
<i>Stenella longirostris</i>	Spinner dolphin	7.0
<i>Stenella coeruleoalba</i>	Striped dolphin	7.5
<i>Stenella attenuata</i>	Spotted dolphin	7.5
<i>Stenella plagiodon</i>	Spotted dolphin	7.5
<i>Steno bredanensis</i>	Rough-toothed dolphin	8.0

Species	Common Name	Average adult length (ft)	
		Male	Female
Group I Pinnipeds:			
<i>Arctocephalus gazella</i> **	Antarctic Fur Seal	5.9	3.9
<i>Arctocephalus tropicalis</i> **	Amsterdam Island Fur Seal	5.9	4.75
<i>Arctocephalus australis</i> **	South American Fur Seal	6.2	4.7
<i>Arctocephalus pusillus</i> **	Cape Fur Seal	8.96	6.0
<i>Callorhinus ursinus</i> **	Northern Fur Seal	7.2	4.75
<i>Eumetopias jubatus</i> **	Steller's Sea Lion	9.4	7.9
<i>Hydrurga leptonyx</i>	Leopard Seal	9.5	10.8
<i>Mirounga angustirostris</i> **	Northern Elephant Seal	13.0	8.2
<i>Mirounga leonina</i> **	Southern Elephant Seal	15.3	8.2
<i>Odobenus rosmarus</i> **	Walrus	10.3	8.5
<i>Otaria flavescens</i> **	South American Sea Lion	7.9	6.6
<i>Phoca caspica</i>	Caspian Seal	4.75	4.6
<i>Phoca fasciata</i>	Ribbon Seal	5.7	5.5
<i>Phoca larga</i>	Harbor Seal	5.6	4.9
<i>Phoca vitulina</i>	Habor Seal	5.6	4.9
<i>Zalophus californianus</i>	California Sea Lion	7.3	5.7
<i>Halichoerus grypus</i> **	Grar Seal	7.5	6.4
<i>Phoca sibirica</i>	Baikal Seal	5.6	6.1
<i>Phoca groenlandica</i>	Harp Seal	6.1	6.1
<i>Leptonychotes weddelli</i> **	Weddell Seal	9.5	10.3
<i>Lobodon carcinophagus</i> **	Crabeater Seal	7.3	7.3
<i>Ommatophoca rossi</i> **	Ross Seal	6.5	7.0
Group II Pinnipeds:			
<i>Erignathus barbatus</i>	Bearded Seal	7.6	7.6
<i>Phoca hispida</i>	Ringed Seal	4.4	4.3
<i>Cystophora cristata</i>	Hooded Seal	8.5	6.6
NOTE:** Any Group I animals maintained together will be considered as Group II when the animals maintained together include two or more sexually mature males from species marked with a double asterisk (**) regardless of whether the sexually mature males from the same species.			
Species	Common name	Average adult length (ft)	
Sirenia:			
<i>Dugong dugong</i>	Dugong	11.0	
<i>Trichechus manatus</i>	West Indian Manatee	11.5	
<i>Trichechus inunguis</i>	Amazon Manatee	8.0	
Mustelidae:			
<i>Enhydra lutris</i>	Sea Otter	4.1	
\ \ This table contains the species of marine mammals known by the Department			

to be presently in captivity or that are likely to become captive in the future. Anyone who is subject to the Animal Welfare Act having species of marine mammals in captivity which are not included in this table should consult the Deputy Administrator with regard to the average adult length of such animals.

Table IV-Minimum Surface Area Required for Each Cetacean

Average adult length of each cetacean (ft)	Surface area required for each cetacean (square ft)
5.5	33.62
7.0	57.70
7.5	66.23
8.5	85.07
9.0	95.38
10.0	117.75
11.5	155.72
12.0	169.56
14.0	230.79
18.0	381.51
18.5	403.00
19.0	425.08
22.0	569.91
22.5	596.11
24.0	678.24
28.0	923.16

TABLE V-Minimum Enclosure Requirements for One Sirenian, Pinniped, or Sea Otter							
Species	Common Name	Depth		MHD		DRA	
		M	F	M	F	M	F
Group I Pinnipeds: <i>Arctocephalus gazella</i> **	Atlantic Fur Seal	3	3	8.85	5.85	69.62	30.42
<i>Arctocephalus tropicalis</i> **	Amsterdam Island Fur Seal	3	3	8.85	5.85	69.62	45.12
<i>Arctocephalus australis</i> **	South American Fur Seal	3.1	3	9.3	7.05	76.88	44.18
<i>Arctocephalus pusillus</i> **	Cape Fur Seal	4.48	3	13.49	9	160.56	72
<i>Callorhinus ursinus</i> **	Northern Fur Seal	3.6	3	10.81	7.13	103.68	45.12
<i>Eumetopias jubatus</i> **	Steller's Sea Lion	4.7	3.95	14.1	11.85	176.72	124.82
<i>Hydrurga leptonyx</i>	Leopard Seal	4.75	5.4	14.25	16.2	180.50	233.28
<i>Mirounga angustirostris</i>	Northern Elephant Seal	6.5	4.1	19.5	12.3	338	134.48
<i>Mirounga leonina</i> **	Southern Elephant Seal	7.65	4.1	22.95	12.31	468.18	134.48
<i>Odobenus rosmarus</i> **	Walrus	5.2	4.3	15.45	12.75	212.18	144.50
<i>Otaria flavescens</i> **	South American Sea Lion	3.95	3.3	11.85	9.9	124.82	87.12
<i>Phoca caspica</i>	Caspian Seal	3	3	7.13	6.9	45.12	42.32
<i>Phoca fasciata</i>	Ribbon Seal	3	3	8.55	8.25	64.98	60.50
<i>Phoca largia</i>	Harbor Seal	3	3	8.4	7.35	62.72	48.02
<i>Phoca vitulina</i>	Harbor Seal	3	3	8.4	7.35	62.72	48.02
<i>Zalophus californianus</i>	California Sea Lion	3.65	3	10.95	8.55	106.58	64.98
<i>Halichoerus grypus</i> **	Gray Seal	3.75	3.2	11.25	9.6	112.50	81.92
<i>Phoca sibirica</i>	Baikal Seal	3	3.1	8.4	9.15	62.72	74.42
<i>Phoca groenlandica</i>	Harp Seal	3.1	3.1	9.15	9.15	74.42	74.42
<i>Leptonychotes weddelli</i> **	Weddell Seal	4.75	5.15	14.25	15.45	180.50	212.18
<i>Lobodon carcinophagus</i>	Crabeater Seal	3.65	3.65	8.55	8.55	106.58	106.58
<i>Ommatophoca rossi</i> **	Ross Seal	3.25	3.5	9.75	10.5	84.50	98
Group II Pinnipeds: <i>Erignathus barbatus</i>	Bearded Seal	3.8	3.8	11.4	11.4	86.64	86.64
<i>Phoca hispida</i>	Ringed Seal	3	3	6.6	6.45	29.04	27.74
<i>Cystophora cristata</i>	Hooded Seal	4.3	3.3	12.75	9.9	108.38	65.34

Species	Common Name	Depth M or F	MHD M or F	VOLUME	DRA M or F	SURFACE AREA
Sirenia: <i>Dugong dugong</i>	Dugong	5.5	22	2489		142.48
<i>Trichechus manatus</i>	West Indian Manatee	5.75	23	2600		155.72
<i>Trichechus inunguis</i>	Amazon Manatee	5	16	3617		75.36
Mustelidae: <i>Enhydra lutris</i>	Sea Otter (up to two animals) *For each additional animal add	3	3X animal length	158.35 *79.17	52.78 *6.44	

Other Animals [3.128, Policy #24]

Primary enclosures must be large enough to allow **each** animal to make normal postural and social adjustments with adequate freedom of movement.

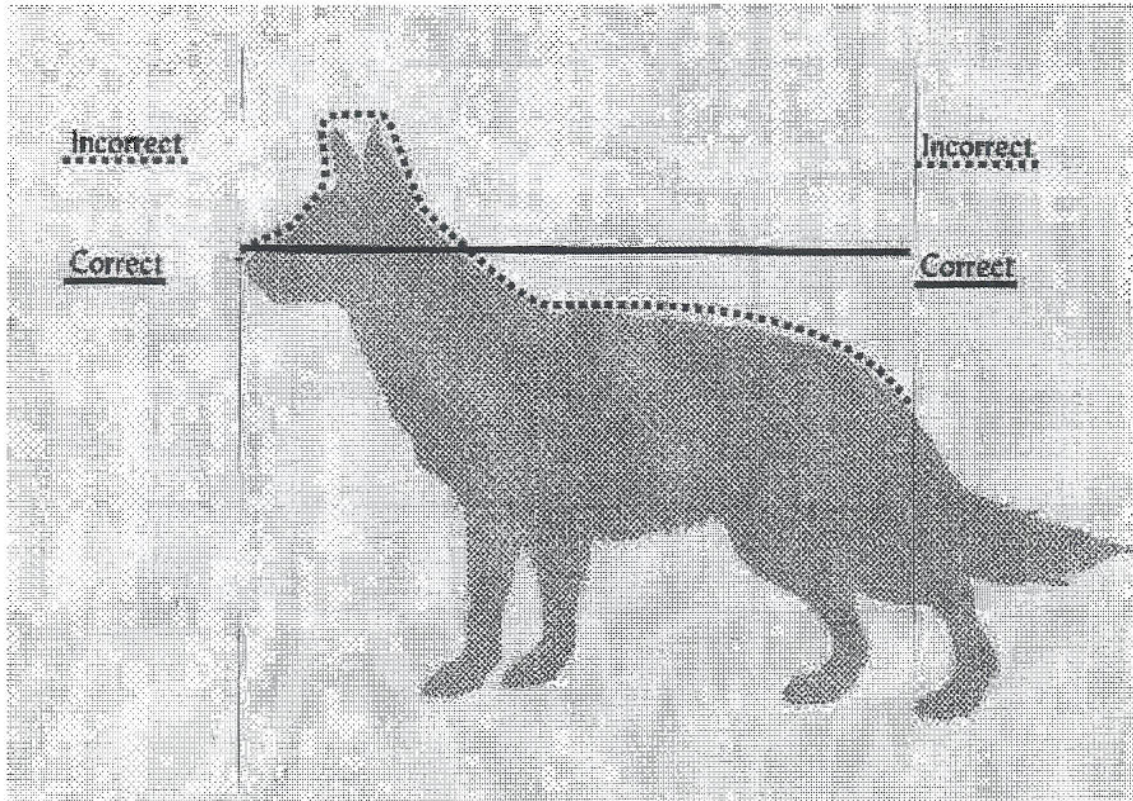
Criteria for determining adequate space include, but are not limited to:

- **all animals** must be able to lie down with limbs extended in a normal manner without obstruction from enclosure sides or having to extend feet through bars or feeder doors
- **animals that normally engage in occasional vertical postures**, such as bears and many felines, must have sufficient vertical space available to accommodate these postures
- **elephants housed on chains** must have chains of sufficient length and arrangement to be able to comfortably lie down, get up, self-groom, and move about within a reasonable distance
- **flying species** must have sufficient unobstructed volume to enable movement by flying and sufficient roosting space to allow all animals to rest simultaneously [Policy #24]
- **species that, under natural conditions, spend a significant portion of time in water**, such as capybaras, beavers, river otters, hippopotami, and tapirs, must have both dry and aquatic portions of the

	<p>primary enclosure. Each portion must provide, at a minimum, sufficient space for normal postural and social adjustments. [Policy #24]</p> <p>Signs of inadequate space include, but are not limited to: [3.128]</p> <ul style="list-style-type: none">• malnutrition• poor condition• debility• stress• abnormal behavior patterns
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MEASUREMENT OF DOG LENGTH

Below is a diagram with instructions to determine the length of a dog for the purpose of computing the minimum cage size required under the Animal Welfare Act standards.



WITH THE DOG IN A NORMAL STANDING POSITION OR WITH THE DOG HELD LYING FLAT ON ITS SIDE, MEASURE THE DOG IN A STRAIGHT LINE FROM THE TIP OF THE NOSE TO THE BASE OF THE TAIL. DO NOT FOLLOW THE CONVOLUTION OF THE DOG'S BODY WHEN MEASURING THE LENGTH OF THE DOG. SEE DIAGRAM ABOVE FOR THE CORRECT AND INCORRECT WAYS OF MEASURING A DOG'S LENGTH.

MINIMUM SQUARE FEET PER DOG

(length of the dog in inches + 6) x (length of the dog in inches + 6) / 144

DOG LENGTH	SQ FT NEEDED	DOG LENGTH	SQ FT NEEDED	DOG LENGTH	SQ FT NEEDED
10	1.78	21	5.06	32	10.03
11	2.01	22	5.44	33	10.56
12	2.25	23	5.84	34	11.11
13	2.51	24	6.25	35	11.67
14	2.78	25	6.67	36	12.25
15	3.06	26	7.11	37	12.84
16	3.36	27	7.56	38	13.44
17	3.67	28	8.03	39	14.06
18	4.00	29	8.51	40	14.69
19	4.34	30	9.00	41	15.34
20	4.69	31	9.51	42	16.00

STRUCTURE AND CONSTRUCTION	Primary enclosures must be structurally sound and maintained in good repair. [3.6, 3.28, 3.53, 3.80, 3.104, 3.125]
Criteria:	Primary enclosures must: <ul style="list-style-type: none">• protect the animal from injury• contain the animal securely• restrict entrance of other animals
Species Specific:	Dogs & Cats Primary enclosures must: <ul style="list-style-type: none">• have no sharp points or edges that could injure the animal [3.6(a)(2)(I)]• keep the animal clean and dry [3.6(a)(2)(v)]• provide shelter and protection from extreme temperature and weather conditions [3.6(a)(2)(vi)]• provide sufficient shade to shelter all the animals in the enclosure at one time [3.6(a)(2)(vii)]• provide access to clean food and water [3.6(a)(2)(viii)]• enable all surfaces in contact with the animal to be cleaned and sanitized, or replaced when worn or soiled [3.6(a)(2)(ix)] Floors of primary enclosures must: [3.6(a)(2)(x)] <ul style="list-style-type: none">• protect the animal's feet and legs from injury• not allow the animal's feet to pass through it If floor of primary enclosure is of mesh or slatted construction, it must: [3.6(a)(2)(xi)] <ul style="list-style-type: none">• have floors that do not sag or bend between the structural supports• have metal rods >1/8 of an inch in diameter• have metal rods <1/8 of an inch in diameter coated with a material such as plastic or fiberglass

Dogs only [3.6(c)(4)]

Permanent tethering is prohibited for use as a primary enclosure.

Temporary tethering is allowed if:

- 3 days or fewer with the approval of the APHIS inspector (verbal or written)
- longer than 3 days with written approval from APHIS Animal Care (AC) Regional Office

An approval request for tethering a dog longer than 3 days must:

- be in writing
- contain the reason/justification for tethering the dog
- contain the length of time the dog will be tethered
- be sent to the appropriate AC Regional Office

Factors to consider when approving or disapproving temporary tethering include, but are not limited to:

- reason for tethering, i.e., routine cleaning and/or maintenance
- availability of shelter
- length of tether
- type and strength of tether
- length of time on tether
- method of attachment of tether to animal
- possible entanglements with other animals or objects
- access to food and water
- breed and behavioral characteristics
- protection from predators
- safety of the animal from the public
- safety of the public from the animal

Electric Fencing

Electric fencing should **NOT** be used as the containment fence for primary enclosures for dogs. If the electric current fails:

- the dogs could escape, or
- other animals could enter the enclosure

NOTE: If electric fencing is being used, this should be cited under Section 3.6(a)(2)(iii) and (iv).

Other uses of electric fencing, such as separation of dogs within a primary enclosure or as an adjunct to the containment fencing, should be evaluated on a case-by-case basis for compliance.

Some factors to consider when evaluating electric fencing used to separate dogs within an enclosure include, but are not limited to:

- safety for the dogs
- reliability
- effectiveness
- number of strands
- space between the strands
- closeness of the bottom strand to the ground
- back-up systems in case of power failure

If you are unsure of whether an electric fence is in compliance, you should contact your SACS.

Cats only [3.6]

Primary enclosures must contain:

- a receptacle with sufficient clean litter [3.6(b)(3)]
- a resting surface which is: [3.6(b)(4)]
 - ▶ elevated
 - ▶ impervious to moisture
 - ▶ easily cleaned and sanitized
 - ▶ replaced when soiled or worn
 - ▶ large enough to hold all the cats in the enclosure

Mobile Housing for dogs & cats [3.6(c)(4), 3.6(b)(5)]

While traveling, dog/cat primary enclosures must meet all the transportation requirements (see Transportation Section).

When not traveling, dog/cat primary enclosures must meet all minimum requirements for permanent primary enclosures.

Guinea Pigs & Hamsters

Primary enclosures must:

- be constructed of smooth material which is impervious to moisture, including racks, shelving and other accessories [3.28(a)(1)]
- provide access to food and water [3.28(a)(2)]
- have floors that:
 - ▶ have clean bedding if solid [3.28(a)(3)]
 - ▶ allow feces to pass through if mesh or wire [3.28(a)(4)]
 - ▶ protect the animal's feet and legs from injury if mesh or wire [3.28(a)(4)]

Rabbits

Primary enclosures must:

- enable the animal to remain clean and dry [3.53(a)(2)]
- provide access to food and water [3.53(a)(3)]
- have floors that:
 - ▶ protect the animal's feet and legs from injury
 - ▶ have litter if solid [3.53(a)(4)]
- have a nest box with clean nesting material if housing a female with a litter <1 month of age [3.53(a)(5)]

Nonhuman Primates

Primary enclosures must:

- have no sharp points or edges that could injure the animal [3.80(a)(2)(i)]
- prevent accidental opening of the enclosure [3.80(a)(2)(iii)]
- prevent physical contact by unwanted animals [3.80(a)(2)(iv)]
- keep the animals clean and dry [3.80(a)(2)(v)]
- provide shelter and protection from extreme temperatures and weather conditions [3.80(a)(2)(vi)]
- provide sufficient shade to shelter all the animals in the enclosure at one time [3.80(a)(2)(vii)]
- provide access to clean food and water [3.80(a)(2)(viii)]

- enable all surfaces in contact with the animal to be cleaned and sanitized, or replaced when worn or soiled [3.80(a)(2)(ix)]
- have floors that protect the animal from injury [3.80(a)(2)(x)]

Marine Mammals

Nonfood items provided for environmental enrichment in the primary enclosure or pool must: [3.101(g)]

- be cleanable, sanitizable and/or replaceable
- be large enough and strong enough to prevent ingestion
- not be readily breakable
- not be likely to cause injury to the animal

Other Animals

Electric fencing may be acceptable for use as the primary enclosure for other animals. The use of electric fencing should be evaluated on a case by case basis.

Some criteria to evaluate when determining if electric fencing is an adequate primary enclosure include, but are not limited to:

- type of animal in the enclosure, such as:
 - ▶ dangerous or non-dangerous
 - ▶ large or small
 - ▶ old or young
 - ▶ ability to jump over the fencing
- height of the electric fencing
- number of strands
- space between the strands
- closeness of the bottom strand to the ground
- back-up system in event of a power failure
- location of the enclosure, such as:
 - ▶ near a house or facility where it can be viewed
 - ▶ rural location
- other security measures

NOTE: Electric wire may also be used as an adjunct to conventional fencing.

12.0 Husbandry

Environment Enhancement for Nonhuman Primates.....12.1
Exercise for Dogs.....12.2
Feeding.....12.3
Handling.....12.4
Housekeeping.....12.5
Identification.....12.6
Marine Mammal Water Quality.....12.7
Pest Control.....12.8
Watering.....12.9

ENVIRONMENTAL ENHANCEMENT	A nonhuman primate must have adequate environmental enhancement to promote psychological well-being which is outlined in an appropriate plan.[3.81]
Criteria	<p>A research facility must develop, document and follow an environmental enhancement plan for its nonhuman primates.</p> <p>The environmental enhancement plan must be:</p> <ul style="list-style-type: none">• in writing• in accordance with currently accepted professional standards as cited in appropriate professional journals or reference guides• directed and approved by the attending veterinarian• available for review by:<ul style="list-style-type: none">▸ APHIS officials▸ officials of any pertinent funding agency <p>The environmental enhancement plan must address the following:</p> <ul style="list-style-type: none">• social grouping• environmental enrichment• special considerations• restraint devices• exemptions <hr/> <p>Social Grouping [3.81(a)]</p> <p>The specific social needs of nonhuman primates (NHPs) known to exist in social groups in nature must be addressed in the plan.</p> <p>The specific provisions for social needs must be:</p> <ul style="list-style-type: none">• in accordance with currently accepted professional standards as cited in appropriate professional journals or reference guides• directed and approved by the attending veterinarian <p>Exemptions:</p> <p>An incompatible nonhuman primate is exempt from social grouping and may be housed individually if the NHP:</p> <ul style="list-style-type: none">• exhibits vicious or overly aggressive behavior <p>[3.81(a)(1)]</p>

- is debilitated as a result of age or other conditions, such as arthritis [3.81(a)(1)]
 - prevents access to food, water and shelter by other animals [3.81(a)(3)]
 - is hazardous to the health and well-being of other animals [3.81(a)(3)]
 - is suspected of having a contagious disease and must be isolated from the other animals as directed by the attending veterinarian [3.81(a)(2)]
- NOTE: When an entire group or room of NHPs is known to have or believed to be exposed to an infectious agent, the group may be kept intact during the process of diagnosis, treatment and control.

Incompatibility must be determined: [3.81(a)(3)]

- in accordance with generally accepted professional practices
- by actual observation, and
- under the direction of the attending veterinarian

An individually housed NHP must be able to see and hear other NHPs unless:

- the attending veterinarian determines that it would be harmful to the animal's health, safety and well-being [3.81(a)(3)]
- the IACUC modifies this requirement for scientific reasons set forth in a protocol [3.81(e)(2)]

Environmental Enrichment [3.81(b)]

The physical environment of the nonhuman primate must be enriched.

Enrichment types and methods must:

- be appropriate for expressing noninjurious species-typical behavior, and
- take into account species differences

Examples of types or methods of environmental enrichment include, but are not limited to:

- cage complexities, such as perches, swings, mirrors ropes, etc.
- objects to manipulate, such as Kong toys, puzzles, balls, paper bags, boxes, etc.
- varied food items, such as fruits, vegetables, raisins, marshmallows, etc.
- foraging or task-oriented feeding machines, such as puzzle feeders, fleece boards, artificial grass boards, termite mounds, etc.
- interaction with knowledgeable research facility personnel

Note: Interaction must be consistent with personnel safety precautions.

Special Considerations [3.81(c)]

The environment of certain NHPs must be given special consideration based on:

- the needs of the individual species
- the instructions of the attending veterinarian

Special attention is required for the following:

- infants and young juveniles [3.81(c)(1)]
 - animals that show signs of being in psychological distress through behavior or appearance [3.81(c)(2)]
 - NHPs with restricted activity required by an IACUC-approved protocol [3.81(c)(3)]
 - individually housed NHPs that are unable to see and hear other NHPs [3.81(c)(4)]
 - great apes weighing over 110 pounds [3.81(c)(5)]
- NOTE: These NHPs must have additional opportunities to express species-typical behavior.

Restraint Devices [3.81(d)]

A nonhuman primate must not be maintained in a restraint device.

Examples of restraint devices are:

- chairs
- squeeze chutes
- short tethers

Exemption:

Nonhuman primates may be maintained in restraint devices ONLY when required:

- for health reasons as determined by the attending veterinarian
- by an IACUC-approved protocol

The nonhuman primate must be:

- restrained for the shortest period possible, and
- released daily for at least one continuous hour of activity if restrained for more than 12 hours

NOTE: Continuous restraint required by a protocol must be approved by the IACUC.

Exemptions [3.81(e)]

An individual nonhuman primate may be exempted from the environmental enhancement plan:

- by the attending veterinarian. [3.81(e)(1)]
- by the IACUC as part of a protocol [3.81(e)(2)]

Attending Veterinarian Exemption:

The exemption must be: [3.81(e)(1)]

- in writing by the attending veterinarian
- based on the animal's health, condition, or well-being
- reviewed every 30 days by the attending veterinarian if the condition warranting the exemption is not permanent
- available for review by: [3.81(e)(3)]
 - ▶ APHIS officials
 - ▶ officials of any pertinent Federal funding agency

IACUC Exemption

The exemption must be: [3.81(e)(2)]

- justified for scientific reasons in the protocol

- reviewed at least annually or more often at the discretion of the IACUC
 - available for review by: [3.81(e)(3)]
 - ▶ APHIS officials
 - ▶ officials of any pertinent Federal funding agency
-

EXERCISE FOR DOGS	Dogs greater than 12 weeks of age must be provided opportunity for exercise by acceptable methods which are outlined in a plan. [3.8]
Criteria	<p>Acceptable methods of exercise include, but are not limited to, providing: [3.8(c)(3)]</p> <ul style="list-style-type: none"> • an individually housed dog with at least 200% of its minimum required floor space [3.8(c)(3)(ii)] • group housed dogs with at least 100% of the minimum required floor space for each animal [3.8(c)(3)(i)] • access to a run or open area at the frequency and duration: prescribed by the attending veterinarian [3.8(c)(3)(iii)] • positive physical interaction with humans, e.g., walking on a leash, playing ball, or grooming [3.8(c)(2)] <p>Unacceptable methods of exercise include, but are not limited to: [3.8(c)(4)]</p> <ul style="list-style-type: none"> • forced swimming • use of devices, such as treadmills or carousels
Exemptions	<p>Dogs are exempted from the exercise requirement if:</p> <ul style="list-style-type: none"> • less than 12 weeks of age [3.8(a)] • a female with a litter [3.8(a)] • determined inappropriate by the attending veterinarian [3.8(d)] <ul style="list-style-type: none"> ▶ in writing and [3.8(d)(1)] ▶ based on the animal's health, condition or well-being and [3.8(d)(1)] ▶ reviewed every 30 days if not a permanent condition and [3.8(d)(1)] ▶ written exemption is available for review by APHIS officials [3.8(d)(3)] • scientifically justified in a research protocol which must be: <ul style="list-style-type: none"> ▶ approved by the IACUC [3.8(d)(2)] ▶ reviewed by the IACUC at least annually or more often at its discretion [3.8(d)(2)]

	<ul style="list-style-type: none">▶ available for review by: [3.8(d)(3)]<ul style="list-style-type: none">□ APHIS officials□ any pertinent Federal funding agency
Exercise Plan	<p>A research facility must develop and follow an appropriate exercise plan for the dogs. [3.8]</p> <p>The exercise plan is appropriate if it:</p> <ul style="list-style-type: none">• is in writing• is approved and signed by the attending veterinarian• has been developed in consultation with the IACUC• has been approved by the IACUC• is available for review by:<ul style="list-style-type: none">▶ APHIS officials▶ any pertinent Federal funding agency• states that the dogs have the required exercise space listed above, or• includes the frequency, method and duration of additional exercise if the exercise space requirements are not met <p>Exercise Plan for Dogs sheet (see page 12.2.3) may be used.</p>

Licensee/Registrant Name (Type or Print legibly)

Licensee/Registrant #

The Animal Welfare Act Regulations, Title 9, CFR, Subpart A, Part 3, Section 3.8, requires all licensees and registrants to develop, document, and follow an appropriate exercise plan for their dogs. In addition, the exercise plan must be approved by the attending veterinarian. In developing an exercise plan, you should consider providing positive physical contact with humans that encourages exercise through play or similar activities. If dogs are maintained without sensory contact with other dogs, they must be provided with daily physical contact with humans. Forced methods of exercise, such as treadmills, swimming, or carousels are unacceptable for meeting the exercise requirements.

Please check the appropriate box and, if necessary, describe below:

My dogs are over 12 weeks of age (except bitches with litters), and are housed individually in a cage, pen, or run that provides at least two times the floor space required for that dog, as described in Section 3.6(c)(1).

My dogs are over 12 weeks of age and are housed in compatible groups in a cage, pen, or run that provides, in total, at least 100 percent of the required space for each dog if it were maintained separately.

Other: Please describe the exercise provided to your dogs to meet these requirements (type or print legibly).

A. Frequency:

B. Method:

C. Duration:

I. I have read the regulations pertaining to the need and requirements for a written exercise plan for my dogs and hereby submit this completed "Exercise Plan for Dogs" to meet that requirement.

Licensee/Registrant Signature

Date

II. I have read and approve this exercise plan.

Veterinarian's Name (Type or Print legibly)

Veterinarian's Signature

Date 12.2.3

INSTRUCTIONS FOR EXERCISE PLAN

Each dealer, exhibitor, and research facility must have a written plan of exercise that has been approved by your veterinarian. This written plan must be kept at your facility and must be made available to the USDA inspector upon request.

The following two examples do not require additional opportunity for exercise:

1. Individually housed dogs: Dogs with two times the minimum required floor space do not require additional exercise. Calculate your floor space as follows:

Measure dog from tip of nose to base of tail, add 6 inches to this number.

Multiply: (length of dog ÷ 6 inches) X length of dog ÷ 6 inches).

Answer = minimum floor space in square inches.

DOUBLE the amount of this answer to meet exercise requirements.

2. Dogs in Groups: Dogs maintained in cages or pens that provide each dog with 100% of the minimum required floor space do not require additional exercise.

Multiply: (length of dog ÷ 6 inches) X length of dog ÷ 6 inches).

Answer = minimum floor space in square inches.

DO NOT DOUBLE this answer to meet the exercise requirement space for group housed dogs.

If your dogs are not kept in space that fits into the examples above, you need to develop an additional plan that provides opportunity for exercise. We encourage you to provide positive physical contact with humans that encourages exercise through play or other activities. Allowing access to runs or open areas or leash walking are two more examples of ways to provide exercise. Whatever method you elect to provide, make sure the exercise is provided to the dogs often enough to be beneficial.

Document your exercise plan in writing, have your attending veterinarian approve and sign it, and keep the form available for USDA review along with your other records. Do not send this plan into the Regional Office.

FEEDING	Animals must be fed an adequate diet to support their normal condition and weight. [3.9, 3.29, 3.54, 3.82, 3.105, 3.107, 3.129, Policy #25]
Criteria	<p>Dietary regimens must be discussed with and approved by the attending veterinarian.</p> <p>A diet is adequate if :</p> <ul style="list-style-type: none"> • fed in sufficient quantities • contains sufficient nutritive value • appropriate for an individual animal's age, species, size and condition <p>Animals must be fed at least once a day except:</p> <ul style="list-style-type: none"> • as required for veterinary care • during hibernation • during normal fasting • as required as part of an IACUC-approved protocol • for other professionally accepted feeding practices • juveniles and infants who may require more than once a day feedings
Species Specific	<p>Marine Mammals</p> <p>Marine mammals must be fed once a day, EXCEPT as directed by the attending veterinarian. [3.105(a)]</p> <p>Inappetence exceeding 24 hours must be reported immediately to the attending veterinarian. [3.105(c)]</p> <p>Attendants or employees feeding marine mammals individually must be able to: [3.105(c)]</p> <ul style="list-style-type: none"> • determine quality and quantity of food • recognize deviations from a normal state of good health • adjust the diet according to the animal's health needs <p>Public feeding must be done in the presence and under the supervision of a sufficient number of attendants or employees who are:</p> <ul style="list-style-type: none"> • knowledgeable, and • uniformed

	<p>Public feeding must be done</p> <ul style="list-style-type: none"> • with the proper amount of food • with the proper type of food • only with food supplied by the facility <p><i>Feeding records</i> [3.105(c)] Feeding records must be kept on the daily food consumption of each marine mammal.</p> <p>An accurate account of food intake must be maintained for marine mammals that are:</p> <ul style="list-style-type: none"> • individually fed, and • not subject to public feeding <p>An estimated account of food intake must be maintained for marine mammals that are fed:</p> <ul style="list-style-type: none"> • in large, group colonies, and/or • in part, by the general public <p>Feeding records must be:</p> <ul style="list-style-type: none"> • maintained at the facility for 1 year • available for APHIS inspection
FOOD	[3.9, 3.29, 3.54, 3.82, 3.105, 3.129, Policy #25]
Criteria	<p>Feed must be:</p> <ul style="list-style-type: none"> • wholesome • uncontaminated • palatable • of sufficient nutritive value • of appropriate size and consistency for the animal's age, species, size and condition • digestible - feed may not be digestible if the following conditions are observed: <ul style="list-style-type: none"> ▸ excessive quantities of feces ▸ feces resembles the food product

Methods for determining wholesomeness of meat or chicken obtained from a packing plant include, but are not limited to:

- meat marked with charcoal is wholesome for animals
- meat marked with green or blue dye is unwholesome
- chicken marked with red dye is unwholesome

Species Specific

Guinea Pigs

Guinea pig diets require Vitamin C either as a component of the feed or as a supplement to meet the animal's daily nutritional requirement. [3.29(a)]

The guinea pig's Vitamin C requirement is:

- 10-15mg per day under normal conditions
- 15-25mg per day if pregnant, lactating, or growing

Vitamin C can be provided by: [3.29(c)]

- commercially-prepared feeds with a Vitamin C additive if within 90 days of manufacturing date
- commercially-prepared diets with manufacturer's documentation of Vitamin C viability longer than 90 days, such as:
 - ▶ Harlan Teklab Guinea Pig Diet #7006 (6 months)
 - ▶ Harlan Global High Fiber Guinea Pig Diet #2041 (6 months)
 - ▶ Purina Mills LabDiet® (6 months)
 - ▶ Purina Mills Prolab® (6 months)
- commercially-prepared Vitamin C supplements added to the water
- fresh fruits and vegetables containing Vitamin C (see below)

NOTE: Guinea pigs eat approximately 39 grams of feed per day.

Examples of fruits and vegetables high in Vitamin C include:

- citrus fruits
- broccoli
- mustard greens
- kale
- parsley
- water cress

- turnip greens
- cabbage
- leafy greens

Scurvy is caused by an inadequate amount of Vitamin C.

Signs of inadequate Vitamin C include, but are not limited to:

- posterior paresis
- abortion
- poor hair coat
- respiratory distress
- excessive bleeding during births or abortions
- sudden death

Nonhuman Primates

Diets must: [3.82(a)]

- be appropriate for the type of nonhuman primate, i.e., prosimians, Old and New World monkeys, and apes (see list of "Commonly Seen Nonhuman Primates" on page 12.3.10)
- contain Vitamin D supplementation for New World monkeys
- contain Vitamin C supplementation for leaf-eaters

Vitamin C can be provided by:

- commercially-prepared feeds with a Vitamin C additive if within 90 days of manufacturing date
- commercially-prepared diets with manufacturer's documentation of Vitamin C viability longer than 90 days, such as:
 - ▶ Harlan's Global Primate Diet #2050 (6 months)
 - ▶ Purina Mills LabDiet® (6 months)
 - ▶ Purina Mills Prolab® (6 months)
 - ▶ Purina Mills Mazuri® (6 months)
- fresh vegetables high in Vitamin C (see below)

Examples of vegetables high in Vitamin C include:

- broccoli
- mustard greens
- kale

- parsley
- water cress
- turnip greens
- cabbage
- leafy greens

Multiple feeding sites must be provided for: [3.82(c)]

- group-housed primates with a dominant individual
- primates fed with other species

Animals must be observed to determine that each animal receives a sufficient quantity of food. [3.82(c)]

Marine Mammals

Food preparation and handling must be conducted so as to assure the wholesomeness and nutritive value of the food. [3.105(d)]

Fish fed to marine mammals must be wholesome and palatable. [3.105(a)]

Signs of wholesome, palatable fish include, but are not limited to:

- fresh, fishy smell
- firm, elastic flesh
- eyes which are clear and not sunken
- pink or bright red gills
- an abdomen which cannot be opened by running finger down midline
- internal organs which are discernable

Signs of unwholesome fish include, but are not limited to:

- sour odor
- soft, slimy, flabby flesh
- scales that fall off easily
- opaque, sunken eyes
- dry, brown gills
- an abdomen which can be opened by running finger down midline
- internal organs which are indistinct and mushy

Frozen fish or other frozen food must be: [3.105(d)]

- stored, thawed, and maintained until fed in a manner which:
 - ▶ minimizes contamination
 - ▶ retains the food's nutritive value
 - ▶ retains the wholesome quality of the food
- stored in a freezer at a maximum temperature of 0° F (-18° C)
- covered or stored in a manner to prevent freezer burn
- thawed before feeding
- thawed in cold water when standing or running water is used
- fed within 24 hours of:
 - ▶ thawing if thawed under refrigeration, or
 - ▶ removal from the freezer if thawed by any other method

Other Animals

Large Felids [Policy #25]

Commercially prepared diets should be used to feed large felids, such as:

- lions
- tigers
- cougars/pumas/mountain lions
- leopards

Non-commercially prepared diets **must be approved**, in writing, by the attending veterinarian.

The written diet must specify:

- the contents of the diet
- the amount of each ingredient
- any nutritional supplements added, including:
 - ▶ type
 - ▶ quantity
 - ▶ frequency of addition
- amount of food fed routinely
- feeding schedule

Unacceptable diets include, but are not limited to:

- diets composed exclusively of the following without appropriate supplementation:
 - ▶ poultry necks
 - ▶ meat
 - ▶ fish
 - exclusively bakery products
 - spoiled food of any kind
 - unwholesome, spoiled road kill
 - sick animals
 - animals that died of illness or unknown causes
 - animals euthanized with chemical euthanizing agents
 - animals euthanized by gunshot if the lead pellets were not removed prior to feeding
 - downer animals exhibiting signs of central nervous system disorders
- NOTE: Downer animals with physical injuries only may be used for food if properly processed.
- animals known or suspected of having Johne's disease
 - outdated meat from grocery stores if not kept refrigerated or frozen until used

Uneaten food must be removed from pens:

- within 12 hours of feeding, or
- sooner, if the food spoils

In order to mimic their natural feeding behavior, felids may be fasted for 1 or 2 nonconsecutive days per week, if **approved in writing** by the attending veterinarian.

NOTE: During this fasting, the felids should be provided with long, femur bones, oxtails, horsetails, or rawhides.

Young felids not kept with their dams until weaned must be fed a diet **approved in writing** by the attending veterinarian. This diet should be:

- a balanced formula, and
- fed on an appropriate schedule

	<p><i>Other Animals</i></p> <p>For animals being fed hay in bales, be sure to check the bales to assess the quality of the hay. Some guidelines for assessing hay include, but are not limited to:</p> <ul style="list-style-type: none"> • hay should smell fresh • interior hay should be green • hay should not be moldy or smell musty/moldy • hay should not be excessively covered with dust or be caked • hay should be free of foreign matter <p>If appropriate, check for mineral blocks or other nutritional supplements.</p>
<p>FOOD RECEPTACLES</p>	<p>[3.9, 3.29, 3.54, 3.82, 3.105, 3.129]</p>
<p>Criteria</p>	<p>Food receptacles must be:</p> <ul style="list-style-type: none"> • accessible to all animals • located to minimize contamination • kept clean and sanitary • maintained to prevent molding, caking, deterioration, contamination, and wetting of food <p>Non-disposable receptacles must be:</p> <ul style="list-style-type: none"> • made of durable material • cleaned and sanitized regularly • replaced if no longer properly sanitizable i.e., rough, chewed edges <p>Disposable receptacles must be discarded after one use.</p> <p>Self-feeder receptacles must be:</p> <ul style="list-style-type: none"> • used for dry food only • kept clean and sanitary

<p>Species Specific</p>	<p>Dogs & Cats [3.9(b)] Food receptacles must be:</p> <ul style="list-style-type: none"> • used to feed the animals • protected from rain and snow • sanitized at least once every 2 weeks if not disposable <p>Guinea Pigs & Hamsters [3.29(d)] Food receptacles:</p> <ul style="list-style-type: none"> • are optional • must be sanitized at least once every 2 weeks if used and not disposable <p>Rabbits [3.54(b)] Food receptacles must be sanitized at least once every 2 weeks if not disposable.</p> <p>Nonhuman Primates [3.82(d)] Food receptacles must be sanitized:</p> <ul style="list-style-type: none"> • before being used for other primates • at least once every 2 weeks if not disposable <p>Marine Mammals [3.105(b)] Food receptacles must be:</p> <ul style="list-style-type: none"> • cleaned after each use, and • sanitized after each use
<p>FOOD PREPARATION</p>	<p>[3.107]</p>
<p>Species Specific</p>	<p>Marine Mammals [3.107(b)] <i>Food Preparation Areas</i> Kitchens and other food preparation areas must be:</p> <ul style="list-style-type: none"> • cleaned at least once daily, and • sanitized at least once a week <p><i>Equipment and Utensils</i> Equipment and utensils used in food preparation must be:</p> <ul style="list-style-type: none"> • cleaned after each use, and • sanitized after each use

COMMONLY SEEN NONHUMAN PRIMATES

PROSIMIANS	OLD WORLD MONKEYS	NEW WORLD MONKEYS	APES
Aye-ayes	African green monkeys	Capuchins**	Bonobos*
Galagos/Bush-babies**	Baboons	Goeldi monkeys	Chimpanzees*
Lemurs**	Barbary apes	Howler monkeys	Gibbons*
Loris	Celebes monkeys	Marmosets**	Gorillas (young*)
Tarsiers	Colobus monkeys	Owl monkeys**	Orangutans*
	Gelada baboons	Saki monkeys	Siamangs*
	Guenons	Spider monkeys*	
	Langurs	Squirrel monkeys**	
	Macaques	Tamarins**	
	Mandrills	Titi monkeys	
	Mangabeys	Woolly monkeys*	
	Patas	Woolly spider monkey*	
	Proboscis monkeys		
	Rhesus monkeys		
	Vervets		

* - Brachiating species ** - Scent-marking species

NOTE: Tree shrews have been reclassified into the order Scandentia and are no longer considered nonhuman primates.

HANDLING OF ANIMALS	An animal must be handled as expeditiously and carefully as possible. [2.38(f), 2.131(d)]
Criteria	<p>Handling includes, but is not limited to:</p> <ul style="list-style-type: none">• petting• feeding/watering• cleaning• manipulating• loading/crating• shifting/transferring• immobilizing/restraining• treating• training• working• moving• any similar activity <p>Research facility personnel must handle an animal(s) in a manner to prevent: [2.38(f)(1)]</p> <ul style="list-style-type: none">• trauma• overheating• excessive cooling• behavioral stress• physical harm• unnecessary discomfort <p>Physical abuse must not be used to: [2.38(f)(2)(i)]</p> <ul style="list-style-type: none">• train animals• work animals• handle animals <p>Deprivation of food or water must not be used to: [2.38(f)(2)(ii)]</p> <ul style="list-style-type: none">• train animals• work animals• handle animals

Short-term withholding of food and water is permitted if required as part of a protocol which must: [2.38(f)(2)(ii)]

- contain a description of the monitoring procedures to be used
- be approved by the IACUC

Possible evidence of improper handling includes:

- excessive pacing
- cowering in the corner
- excessive vocalization
- visible injuries or wounds
- excessive shivering or panting
- wild-eyed/apprehensive look
- open-mouthed breathing
- hissing/spitting/bar charging

When climatic conditions present a threat to an animal's health and well-being, appropriate measures must be taken to alleviate the impact of those conditions. [2.131(d)]

An animal may **not** be subjected to any combination of the following climatic conditions that is detrimental to its health and well-being:

- temperature
- humidity
- time

When determining if climatic conditions are detrimental to an animal's health and well-being, the following factors must be taken into consideration:

- age
- species
- breed
- overall health status
- acclimation

HOUSEKEEPING	Premises must be kept clean and in good repair. [3.1, 3.11, 3.31, 3.56, 3.84, 3.107, 3.131]
Criteria	<p>Premises, e.g., buildings, grounds, exhibit areas, must be kept clean and in good repair to:</p> <ul style="list-style-type: none"> • protect the animal(s) from injury • facilitate husbandry practices • reduce/eliminate breeding and living areas for vermin, rodents and other pests • prevent an accumulation of trash, junk, waste products, and discarded matter <p>Trash must be placed in a designated area and removed frequently.</p>
Species Specific	<p>Dogs & Cats [3.1(b), 3.11(c)] Weeds, grasses, and bushes must be controlled both inside and outside the primary enclosure based on the:</p> <ul style="list-style-type: none"> • species' needs • ability to monitor animal(s) visually • inspector's discretion <p>Nonhuman Primates [3.84(c)] Weeds, grasses, and bushes must be controlled both inside and outside the primary enclosure based on the:</p> <ul style="list-style-type: none"> • species' needs • ability to monitor animal(s) visually • inspector's discretion <p>Marine Mammals [3.107(c)] Fences must be maintained in good repair.</p> <p>Primary enclosures may not have any of the following which may cause injury or trauma to the marine mammal:</p> <ul style="list-style-type: none"> • loose objects • sharp projections • sharp edges

IDENTIFICATION	<p>All live dogs and cats must be identified by the research facility. [2.38(g), Policy #13, Policy #20]</p> <p>NOTE: If a research facility is also licensed as a dealer, then all the requirements of Section 2.50 apply (see Dealer Inspection Guide).</p>
Criteria	<p>All live dogs and cats must be identified if:</p> <ul style="list-style-type: none"> • held on the premises • purchased or otherwise acquired, such as: <ul style="list-style-type: none"> ▶ donation ▶ from pounds/shelters ▶ from breeders ▶ from private individuals • sold or otherwise disposed of • removed from the premises for delivery to: <ul style="list-style-type: none"> ▶ another research facility ▶ a dealer ▶ a person for use as a pet <p>Unweaned puppies or kittens do not need to be individually identified if: [2.38(g)(3)]</p> <ul style="list-style-type: none"> • maintained as a litter with their dam in the same primary enclosure, AND • the dam has been individually identified
Methods of Identification	<p>A live dog or cat, including a weaned puppy or kitten, must be identified by:</p> <ul style="list-style-type: none"> • tag affixed to the animal's neck with a collar [2.38(g)(1)(i) & (ii)] • tattoo [2.38(g)(1)(i) & (ii)] • collar [2.38(g)(1)(ii)] • approved microchip [Policy #13] <p>If a research facility acquires a live dog or cat which is already identified by an official method, the research facility may: [2.38(g)(1)(i)]</p> <ul style="list-style-type: none"> • continue to use the identification, such as: <ul style="list-style-type: none"> ▶ official USDA tag ▶ official USDA tattoo

- ▶ microchip if a compatible scanner is available
NOTE: If the microchip is located in a different location from where the research facility routinely places its microchips, the location of the microchip must be noted in the animal's record.
- replace the identification with its own tag, tattoo, collar, or microchip.

If a research facility uses the official tag, tattoo, or microchip on the dog/cat at the time it was acquired, the official identification numbers must be listed in the records of:

[2.38(g)(3)]

- purchase
- acquisition
- sale
- disposal

Official USDA Tag

If a research facility chooses to use an official USDA tag for identification of its dogs or cats, the tag must meet the following requirements:

Construction [2.38(g)(4)]

An official USDA tag may be made of:

- durable plastic
- durable alloy, such as:
 - ▶ brass
 - ▶ bronze
 - ▶ steel
- aluminum of a sufficient thickness to assure the tag is durable and legible

Size and Shape [2.38(g)(4)]

The tag must be one of the following shapes:

- circular-not less than 1¼ inches in diameter
- oblong and flat-not less than 2 inches by ¾ inch AND riveted to an acceptable collar

Contents [2.38(g)(5)]

Each tag must have the following information embossed or stamped on it:

- the letters "USDA" [2.38(g)(5)(i)]
- research facility's registration number which consists of: [2.38(g)(5)(ii)]
 - ▶ the two digit State or territory identification code (see State/Territory Codes on page 12.6.8)
 - ▶ the letter "R" for a registered facility
 - ▶ the four digit number assigned to the facility
- number identifying the dog or cat [2.38(g)(5)(iii)]

Tag Numbers [2.38(g)(6)]

Official identification tag numbers must be:

- consecutive and non-repetitive
- applied to the dogs/cats in as close to consecutive numerical order as possible

A tag number must not be used:

- to identify more than one dog or cat.
- within a 5-year period following its previous use
For example, if dog #5 died on January 1, 2000, the identification #5 must not be used on another dog or cat until after January 1, 2005.

Acquisition of Tags [2.38(g)(7)]

If the research facility chooses to use official tags, it must obtain the tags at its own expense. (see "List of Commercial Tag Manufacturers" on page 12.6.9)

Lost/Destroyed/Illegible Tags

If an official tag is *lost*, the research facility must try to find the tag and: [2.38(g)(8)]

- if found, reapply the tag
- if not found:
 - ▶ affix a new tag to the animal, and
 - ▶ record the new ID number on the official records

If a tag is *destroyed or becomes illegible*, the research facility must:

- affix a new tag to the animal, and
- record the new ID number on the official records
- keep the old tag: [2.38(g)(11)]
 - ▶ for a period of one year from the date of its removal from the animal, OR
 - ▶ for longer than one year if requested by an APHIS official

Tags on Dogs/Cats when Acquired

If a dog or cat arrives at the research facility wearing an official tag, the research facility may: [2.38(g)(9)]

- use the official tag on the animal, or
- replace the tag with its own tag, tattoo, collar or microchip

If the official tag is removed, it must be retained: [2.38(g)(11)]

- for a period of one year from the date of its removal from the animal, OR
- for longer than one year if requested by an APHIS official

Tags from Dead Dogs/Cats

If a dog/cat is euthanized or dies from other causes, the research facility must: [2.38(g)(10)]

- remove the tag
- retain the tag: [2.38(g)(11)]
 - ▶ for a period of one year from the date of its removal from the animal OR
 - ▶ for longer than one year if requested by an APHIS official
- dispose of the tag after the required retention period [2.38(g)(12)]

NOTE: The ID number may be reused after 5-years from the date of the death of the animal.

Collars Used to Affix Official Tags to the Dog/Cat

Collars must be made of materials which will not injure the animals and are generally acceptable to pet owners.

Examples of acceptable materials for collars include, but are not limited to:

- leather
- plastic
- metal chains with smooth even-sized links

Examples of unacceptable materials for collars include, but are not limited to:

- wire
- elastic
- sharp metal
- any material that would cause injury or discomfort to the dog/cat

Official USDA Tattoo

A research facility may choose to use the official USDA tattoo affixed to a dog or cat when it was received.

[2.38(g)(1)(ii)]

The official tattoo must be listed on all the dog or cat's acquisition and disposition records. [2.38(g)(1) & (2)]

Microchip

Approval [Policy #13]

The research facility must request and receive approval to use a microchip implant from its Animal Care inspector or appropriate Regional Office.

The research facility should complete a "Request to Use Microchipping as a Method of Identification" sheet (see page 12.6.10) with the following information:

- manufacturer and/or model of the microchip and reader
- location of the microchip on the animals

Note: The placement must be consistent from animal to animal.

- an assurance that the following requirements will be met:
 - ▶ the microchip scanner must be readily available to the APHIS representative
 - ▶ animal identification records must indicate the microchip number, location on the animal, and the name of the microchip manufacturer
 - ▶ any animal with a microchip that goes to another USDA registrant or licensee must have an official tag/tattoo if a compatible scanner is not available at the receiving facility

The Request sheet should be submitted to the appropriate Animal Care inspector or Regional Office.

If you (the inspector) are approving the microchip request, you must:

- review the Request sheet for accuracy and completeness of information
- sign and date the sheet
- send the original sheet to the Regional Office
- give a copy of the signed sheet to the research facility

**Other Forms of
Identification**

A research facility can develop its own identification system. [2.38(g)(1)(ii)]

Forms

The forms of identification which may be used by a research facility are: [2.38(g)(1)(ii)]

- tag
- tattoo
- collar
- microchip [Policy #13]

NOTE: A cage card or a tag on the primary enclosure is not an acceptable form of routine identification.

Content

Each dog or cat must be identified with a unique identification, such as:

- a number or numbers
- a letter or combination of letters
- a combination of letters and numbers

The individual dog/cat must be traceable through the records.

State and Territory Identification Codes National Uniform Tag Code Numbers

Arranged Alphabetically			
Alabama	64	Montana	81
Alaska	96	Nebraska	47
Arizona	86	Nevada	88
Arkansas	71	New Hampshire	12
California	93	New Jersey	22
Colorado	84	New Mexico	85
Connecticut	16	New York	21
Delaware	50	North Carolina	55
Dist. Of Columbia	10	North Dakota	45
Florida	58	Ohio	31
Georgia	57	Oklahoma	73
Guam	97	Oregon	92
Hawaii	95	Pennsylvania	23
Idaho	82	Puerto Rico	94
Illinois	33	Rhode Island	15
Indiana	32	South Carolina	56
Iowa	42	South Dakota	46
Kansas	48	Tennessee	63
Kentucky	61	Texas	74
Louisiana	72	Utah	87
Maine	11	Vermont	13
Maryland	51	Virginia	52
Massachusetts	14	Virgin Islands	98
Michigan	34	Washington	91
Minnesota	41	West Virginia	54
Mississippi	65	Wisconsin	35
Missouri	43	Wyoming	83

Arranged Numerically			
10	Dist. of Columbia	56	South Carolina
11	Maine	57	Georgia
12	New Hampshire	58	Florida
13	Vermont	61	Kentucky
14	Massachusetts	63	Tennessee
15	Rhode Island	64	Alabama
16	Connecticut	65	Mississippi
21	New York	71	Arkansas
22	New Jersey	72	Louisiana
23	Pennsylvania	73	Oklahoma
31	Ohio	74	Texas
32	Indiana	81	Montana
33	Illinois	82	Idaho
34	Michigan	83	Wyoming
35	Wisconsin	84	Colorado
41	Minnesota	85	New Mexico
42	Iowa	86	Arizona
43	Missouri	87	Utah
45	North Dakota	88	Nevada
46	South Dakota	91	Washington
47	Nebraska	95	Oregon
48	Kansas	93	California
50	Delaware	94	Puerto Rico
51	Maryland	95	Hawaii
52	Virginia	96	Alaska
54	West Virginia	97	Guam
55	North Carolina	98	Virgin Islands

LIST OF COMMERCIAL TAG MANUFACTURERS

METAL IDENTIFICATION TAGS

Ketchum Manufacturing Company
1285 Avenue of the Americas
New York, NY 10019
646-935-4499

Keyes-Davis Company
Box 1557
74 Fourteenth Street
Battle Creek, MI 49016
269-962-7505
fax: 269-962-4411
sales@keyesdavis.com

National Band & Tag Company
721 York St.
PO Box 72430
Newport, KY 41072-0430
859-261-2035
fax: 1-800-261-8247
tags@nationalband.com

St. Paul Stamp Works
87 Empire Drive.
St. Paul, MN 55103-1856
651-222-2100
fax: 651-228-1314
spsw@stpstamp.com

PLASTIC IDENTIFICATION BANDS

Hollister Company
2000 Hollister Drive
Libertyville, IL 60048
1-800-323-4060

Products International Company
2320 West Holly Street
Phoenix, AZ 85009
602-257-0141

Request to Use Microchipping as a Method of Identification

(Submit completed form to appropriate regional office)

Name of Business: _____ Name of Owner: _____

Address: _____

City _____ State _____ Zip _____

USDA Lic./Reg. Number _____ USDA Tattoo# (if any) _____

Microchip Information:

Manufacturer and/or Model of Microchip and Reader _____

Location of Microchip (For example: left side of neck)

* The location of the chip must be consistent from animal to animal

I accept and understand that:

- The microchip scanner must be readily available to APHIS officials.
- Animal identification records must indicate the microchip number, the manufacturer of the chip, and the approximate location of the microchip in the animal.
- When sold or given to another regulated facility, animals with a microchip must have an official tag or tattoo if the new facility does not have a compatible scanner.
- APHIS may revoke an approval at any time if the microchipping system is discovered to be ineffective.

Licensee/Registrant Signature _____

Date _____

Approved by APHIS Official _____

Date _____

**MARINE MAMMAL
WATER QUALITY**

The water contained in primary enclosures housing marine mammals must be clean, uncontaminated and appropriate for the species of marine mammal housed therein. [3.106]

Criteria

The research facility is responsible for testing and for maintaining water quality.

Factors for evaluating water in primary enclosures include, but are not limited to:

- coliform count
- pH
- chemical additives
- filtration and water flow
- salinity for salt water marine mammals

Coliform Count [3.106(b)]

Weekly water tests must be conducted for coliform counts. [3.106(b)(3)]

The coliform bacterial count of the primary enclosure pool must not exceed 1,000 MPN (most probable number) per 100 ml. of water. [3.106(b)(1)]

If the coliform count exceeds 1,000 MPN per 100ml., then: [3.106(b)(1)]

- the pool may be drained, refilled and tested, or
- the pool may be treated with a sterilizing agent, such as chlorine, bromine or ozone, and retested, or
- the following procedure may be conducted:
 - ▶ two subsequent bacterial counts must be taken at 48-hour intervals
 - ▶ the results of these two counts are averaged with the first count
 - ▶ if the averaged count does not fall below 1,000 MPN per 100ml., then the pool must be emptied or treated

Two tests are generally accepted for testing for coliforms and are roughly equivalent:

- the multiple tube fermentation test
- the membrane filter test

Non-acceptable tests for coliform counts are:

- dip stick type tests
- tests giving only "fecal coliforms"

Water samples should be taken:

- at least 2-3 feet below the surface of the water near the middle of the pool or the drain
- at the same place and same time of the day
- just prior to emptying the pool rather than just after filling the pool

A recommended technique for collecting water is:

- use a sterile sample bottle
- open the bottle just before inserting it into the water
- submerge the bottle rapidly into the water with a forward sweeping motion

Water samples should be:

- refrigerated if not tested within one hour of collection
- processed within 30 hours of collection
- maintained at 50°F

pH [3.106(b)(3)]

Daily water tests must be conducted for pH.

NOTE: Research facilities using natural seawater are exempt from pH testing.

Chemical Additives [3.106(b)]

Daily water tests must be conducted for concentrations of chemical additives. [3.106(b)(3)]

Any chemical added to the pool water must not cause harm or discomfort to the marine mammal. [3.106(b)(2)]

NOTE: Research facilities using natural seawater are exempt from testing for chemical additive concentrations UNLESS chemicals are added to maintain water quality. [3.106(b)(3)]

Salinity [3.106(c)]

Primary enclosure pools must be salinized for cetaceans and other marine mammals requiring salinized water.

The salinity of the water must be maintained within a range of 15-36 parts per thousand.

Filtration and Water Flow [3.106(d)]

A filtration system may be used to maintain water quality.

Records [3.106(b)(3)]

Records of coliform counts, pH and chemical additive concentrations must:

- be kept
- document the time when all samples were taken
- record the results of the sampling
- be held for a 1-yr period
- be available for inspection upon request

Inspection Procedures

The inspector must review the records carefully to verify the validity of the records.

Indicators of questionable validity of the records include, but are not limited to:

- all recordings in the same ink or handwriting
- no change in readings
- results posted on the same date and time

If the facility appears to have a problem with water quality, questions to ask include, but are not limited to:

- where are samples taken
- how deep are samples taken
- what time of day are samples taken

- where is testing done, i.e., in house, sent to lab
- if samples sent out, is lab qualified to test samples
- how soon after collection are samples tested
- what is the storage method of the samples

If the testing methods, sampling techniques or test results do not appear to be valid or representative of the water conditions, you (the inspector) should check with your SACS about having samples run to check the accuracy of the facility's tests.

PEST CONTROL

A safe and effective program for the control of pests must be established and maintained. [3.11, 3.31, 3.56, 3.84, 3.107, 3.131]

Criteria

Pests include, but are not limited to:

- mammalian pests, such as
 - ▶ rats
 - ▶ mice
 - ▶ moles
- avian pests, such as
 - ▶ starlings
 - ▶ pigeons
 - ▶ sparrows
- ectoparasites, such as
 - ▶ fleas
 - ▶ ticks
 - ▶ mites
 - ▶ lice
- arthropods, such as
 - ▶ flies
 - ▶ mosquitos
 - ▶ gnats
- arachnids, such as
 - ▶ spiders
 - ▶ scorpions

Signs of an ineffective pest control program include, but are not limited to:

- mammalian pests
 - ▶ sighting of the pest
 - ▶ droppings
 - ▶ rodent holes
 - ▶ chewed insulation on floors, walls, ceilings, and other surfaces
- avian pests
 - ▶ sighting of the pest
 - ▶ droppings
 - ▶ nests
 - ▶ feathers

	<ul style="list-style-type: none">• ectoparasites<ul style="list-style-type: none">▶ animal scratching▶ open sores▶ areas of hair loss• arthropods<ul style="list-style-type: none">▶ sighting of the pest▶ droppings▶ egg packets▶ food covered with flies▶ sores on animal due to flies and other insects▶ animal swatting/twitching/scratching• arachnids<ul style="list-style-type: none">▶ sighting of the pest▶ webs
Species Specific	Marine Mammals [3.107(d)] The attending veterinarian must decide when insecticides or other similar chemical agents are applied in the primary enclosure.

WATERING

Animals must be provided an adequate amount of potable water for their health and well-being. [3.10, 3.30, 3.55, 3.83, 3.106, 3.130]

**DRINKING WATER
Criteria**

Potable water provided to animals should be:

- suitable for human consumption
- clean
- non-toxic
- free of scum
- uncontaminated
- acceptable for animal husbandry needs

Tests to determine potability of water which may be requested at the inspector's discretion include, but are not limited to:

- coliform count
- toxin analysis
- mineral content

Methods of providing water to the animals include, but are not limited to:

- receptacles, such as
 - ▶ buckets
 - ▶ bowls
 - ▶ water bottles
- continuous flow systems, such as
 - ▶ gravity flow
 - ▶ Lixits
- natural sources, such as
 - ▶ rivers
 - ▶ ponds
 - ▶ streams
 - ▶ lakes

Inadequate amounts of water

Factors to consider in determining if an animal is receiving an adequate amount of water include, but are not limited to:

- ambient temperature
- animals's condition, such as

- ▶ sunken eyes
- ▶ skin tenting
- animal's behavior, such as nosing at water bowl

If you are concerned that an animal is not receiving an adequate amount of water, you should assess the animal's thirst level.

To determine if the animal is thirsty:

- have fresh water placed in the enclosure
- the animal is considered thirsty if it drinks:
 - ▶ rapidly
 - ▶ copious amounts
 - ▶ the entire amount offered and looks for more

NOTE: Most animals will investigate new items placed in the enclosure. A cursory lap or sniff of the water is not indicative of thirst.

If you determine that an animal is not being provided an adequate amount of water, cite on the inspection report under the appropriate "Watering" Section of the standards.

NOTE: Excessive thirst may also be due to a disease condition and the animal may need veterinary care.

Modification of Watering Requirements

The watering requirements detailed below may be modified:

- by the attending veterinarian, or
- as required by an IACUC-approved protocol

Species Specific

Dogs & Cats [3.10]

Water must be provided:

- at least twice a day for a minimum of 1 hour, or
- on a continuous basis

Guinea Pigs & Hamsters [3.30]

Water must be provided:

- daily, or
- through food supplements

	<p>Rabbits [3.55] Water must be provided daily.</p> <p>Nonhuman Primates [3.83] Water must be provided:</p> <ul style="list-style-type: none"> • at least twice a day for a minimum of 1 hour, or • continuously <p>Marine Mammals [3.106] Drinking water is provided through the food source.</p> <p>Sick animals may require supplemental fresh water as directed by the attending veterinarian.</p> <p>Other Animals [3.130] Water must be provided:</p> <ul style="list-style-type: none"> • continuously, or • as often as necessary for the animals' health and comfort
<p>WATERING SYSTEMS Criteria</p>	<p>Water receptacles or continuous flow systems, if used, must be:</p> <ul style="list-style-type: none"> • accessible to all animals • located to minimize contamination • kept clean and sanitary
<p>Species Specific</p>	<p>Dogs & Cats [3.10] Water receptacles must be sanitized:</p> <ul style="list-style-type: none"> • at least once every two weeks, and • before being used for another animal <p>Guinea Pigs & Hamsters [3.30] Water receptacles/continuous flow systems must be sanitized:</p> <ul style="list-style-type: none"> • at least once every two weeks, or • more often if necessary <p>Rabbits [3.55] Water receptacles/continuous flow systems must be sanitized:</p> <ul style="list-style-type: none"> • at least once every two weeks, or • more often if necessary

Nonhuman Primates [3.83]

Water receptacles/continuous flow systems must be sanitized:

- at least once every two weeks, and
- before being used for another animal

13.0 Transportation

Accompanying Documents and Records.....	13.1
Care in Transit.....	13.2
Food and Water.....	13.3
Health Certificates.....	13.4
Markings and Labeling.....	13.5
Minimum Age Requirement.....	13.6
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Primary Enclosure - Construction.....	13.8
Primary Enclosure - Handling.....	13.9
Primary Enclosure - Space.....	13.10
Primary Enclosure - Ventilation.....	13.11
Shelter from the Elements.....	13.12
Transported Groups - Compatibility.....	13.13

ACCOMPANYING DOCUMENTS AND RECORDS	Shipments of transport enclosures must contain informational documents. [3.13, 3.14, 3.35, 3.36, 3.60, 3.61, 3.87, 3.112, 3.113, 3.137]
Criteria	<p>Shipping documents include but are not limited to:</p> <ul style="list-style-type: none">• carrier waybill• food and water instructions• acclimation certificate <p>Shipping documents must be attached to a primary enclosure:</p> <ul style="list-style-type: none">• securely• in a readily accessible manner• on the outside of any primary enclosure in the shipment <p>A plastic pocket or sleeve on the enclosure may contain the shipping documents.</p>
Species Specific	<p>Dogs and Cats [3.14(h)] For surface transportation, the shipping documents must be:</p> <ul style="list-style-type: none">• held by the operator of the primary conveyance, or• attached to a primary enclosure for:<ul style="list-style-type: none">▶ easy detachment for examination▶ easy and secure re-attachment <p>Additional information to provide with the shipment includes, but is not limited to, instructions for the administration of:</p> <ul style="list-style-type: none">• medications• drugs• other special care <p>Guinea Pigs and Hamsters [3.35(b)] Shipping documents must include a certificate of compliance if the transport enclosure does not conform to the structural strength requirements.</p> <p>A certificate of compliance must be provided by :</p> <ul style="list-style-type: none">• the registered research facility, or• any department, agency or instrumentality of the United States having laboratory animal facilities

The certificate of compliance must contain:

- the signature of the consignor
- a certifying statement (e.g., "I hereby certify that the (*number*) primary enclosure(s) which is/are used to transport the animal(s) in this shipment complies (comply) with the USDA standards for primary enclosures (9 CFR Section 3.36).")

NOTE: The certificate of compliance is **not** valid if:

- the primary enclosure is obviously defective or damaged and
- it is apparent that the primary enclosure cannot reasonably be expected to contain the live guinea pig/hamster without causing suffering or injury

Rabbits [3.60(b)]

Shipping documents must include a certificate of compliance if the transport enclosure does not conform to the structural strength requirements.

A certificate of compliance must be provided by :

- the registered research facility, or
- any department, agency or instrumentality of the United States having laboratory animal facilities

The certificate of compliance must contain:

- the signature of the consignor
- a certifying statement (e.g., "I hereby certify that the (*number*) primary enclosure(s) which is/are used to transport the animal(s) in this shipment complies (comply) with the USDA standards for primary enclosures (9 CFR Section 3.36).")

NOTE: The certificate of compliance is **not** valid if:

- the primary enclosure is obviously defective or damaged and
- it is apparent that the primary enclosure cannot reasonably be expected to contain the live rabbit without causing suffering or injury

Nonhuman Primates [3.87(g)]

For surface transportation, the shipping documents must be:

- held by the operator of the primary conveyance, or
- attached to a primary enclosure for:
 - ▶ easy detachment for examination
 - ▶ easy and secure re-attachment

Additional information to provide with the shipment includes, but is not limited to, instructions for administration of:

- medications
- drugs
- other special care

Marine Mammals

Documents accompanying the shipment must be: [3.113(g)]

- in the possession of the shipping attendant, or
- attached to the primary enclosure:
 - ▶ on the outside
 - ▶ in an easily accessible manner

Shipping documents must include a certificate of compliance if the transport enclosure does not conform to the structural strength requirements of Section 3.113. [3.112(b)]

The certificate of compliance must:

- be provided by : [3.112(b)]
 - ▶ the registered research facility, or
 - ▶ any department, agency or instrumentality of the United States having laboratory animal facilities
- accompany the shipment to its destination

The certificate of compliance must contain: [3.112(b)]

- the name and address of the consignor
- the number, age and sex of the animals in the primary transport enclosure
- a certifying statement [e.g., "I hereby certify that the (*number*) primary transport enclosure(s) that are used to transport the animal(s) in this shipment complies (comply) with USDA standards for primary transport enclosures (9 CFR part 3)."]

- the signature of the consignor, and
- the date the certificate was signed

NOTE: The certificate of compliance is **not** valid if:

- the primary enclosure is obviously defective or damaged and
- it is apparent that the primary enclosure cannot reasonably be expected to contain the marine mammal without causing suffering or injury

CARE IN TRANSIT	An animal in transit must be cared for properly. [3.17, 3.39, 3.64, 3.90, 3.116, 3.140]
Species Specific	Dogs and Cats <i>Surface Transportation</i> [3.17(a)] The dog/cat must be observed at least once every 4 hours by: <ul style="list-style-type: none">• the operator of the conveyance• a person accompanying the operator An animal must be observed to ensure: <ul style="list-style-type: none">• there is sufficient air for normal breathing• the ambient temperature in the cargo space is not greater than 85° F or less than 45° F for more than 4 hours• there are no signs of obvious physical distress, such as:<ul style="list-style-type: none">▶ labored breathing▶ excessive salivation▶ vomiting/diarrhea▶ frantic scratching, chewing, or biting on the transport enclosure <p>NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.</p> <i>Air Transportation</i> [3.17(b)] The carrier must observe the dog/cat: <ul style="list-style-type: none">• at least once every 4 hours if the animal cargo area is accessible during flight• if the cargo area is not accessible during flight<ul style="list-style-type: none">▶ whenever the animal is being loaded and unloaded▶ whenever the animal cargo area is accessible An animal must be observed to ensure: <ul style="list-style-type: none">• there is sufficient air for normal breathing• the ambient temperature in the cargo space not greater than 85° F or less than 45° F for more than 4 hours• there are no signs of obvious physical distress, such as:<ul style="list-style-type: none">▶ labored breathing▶ excessive salivation▶ vomiting/diarrhea

- ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

If a dog/cat is obviously ill, injured, or in physical distress, it must not be transported in commerce, except to receive veterinary care. [3.17(c)]

A dog/cat may ONLY be removed from its primary transport enclosure: [3.17(d)]

- for cleaning of the enclosure
- for veterinary care
- in an emergency
- to be transferred to another primary enclosure or facility that meets the AWA primary enclosure standards

The Care in Transit regulations are in effect until: [3.17(e)]

- the consignee takes physical delivery of the animal, or
- the animal is returned to the consignor

Guinea Pigs and Hamsters

Surface Transportation [3.39(a)]

The guinea pigs or hamsters must be observed at least once every 4 hours by:

- the operator of the conveyance
- a person accompanying the operator

An animal must be observed to ensure:

- there is sufficient air for normal breathing
- the ambient temperature in the cargo space is not greater than 85° F or less than 45° F for more than 4 hours.
NOTE: Hamsters accompanied by an acclimation certificate may be transported at less than 45° F for more that 4 hours. [3.37(g)]

- there are no signs of obvious physical distress, such as:
 - ▶ labored breathing
 - ▶ excessive salivation
 - ▶ vomiting/diarrhea

- ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

Air Transportation [3.39(a)]

The carrier must observe the guinea pig/hamster:

- at least once every 4 hours if the animal cargo area is accessible during flight
- if the cargo area is not accessible during flight
 - ▶ whenever the animal is being loaded and unloaded
 - ▶ whenever the animal cargo area is accessible

An animal must be observed to ensure: [3.39(a)]

- there is sufficient air for normal breathing
- the ambient temperature in the cargo space is not greater than 85° F or less than 45° F for more than 4 hours.

NOTE: Hamsters accompanied by an acclimation certificate may be transported at less than 45° F for more that 4 hours.

[3.37(g)]

- there are no signs of obvious physical distress, such as:
 - ▶ labored breathing
 - ▶ excessive salivation
 - ▶ vomiting/diarrhea
 - ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

No guinea pig or hamster in obvious physical distress may be transported in commerce. [3.39(a)]

A guinea pig or hamster may not be removed from its primary transport enclosure, UNLESS placed in another primary enclosure or facility that meets the AWA primary enclosure standards.

[3.39(b)]

Rabbits

Surface Transportation [3.64(a)]

The rabbits must be observed at least once every 4 hours by:

- the operator of the conveyance
- a person accompanying the operator

An animal must be observed to ensure:

- there is sufficient air for normal breathing
 - the ambient temperature in the cargo space is not greater than 85° F or less than 45° F for more than 4 hours
- NOTE: Rabbits accompanied by an acclimation certificate may be transported at less than 45° F for more than 4 hours.

[3.62(g)]

- there are no signs of obvious physical distress, such as:
 - ▶ labored breathing
 - ▶ excessive salivation
 - ▶ vomiting/diarrhea
 - ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

Air Transportation [3.64(a)]

The carrier must observe the rabbit:

- at least once every 4 hours if the animal cargo area is accessible during flight
- if the cargo area is not accessible during flight
 - ▶ whenever the animal is being loaded and unloaded
 - ▶ whenever the animal cargo area is accessible

An animal must be observed to ensure: [3.39(a)]

- there is sufficient air for normal breathing
 - the ambient temperature in the cargo space is not greater than 85° F or less than 45° F for more than 4 hours.
- NOTE: Rabbits accompanied by an acclimation certificate may be transported at less than 45° F for more than 4 hours.

[3.37(g)]

- there are no signs of obvious physical distress, such as:
 - ▶ labored breathing

- ▶ excessive salivation
- ▶ vomiting/diarrhea
- ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

No rabbit in obvious physical distress may be transported in commerce. [3.64(a)]

A rabbit may not be removed from its primary transport enclosure, UNLESS placed in another primary enclosure or facility that meets the AWA primary enclosure standards. [3.64(b)]

Nonhuman Primates

Surface Transportation [3.90(a)]

The nonhuman primates must be observed at least once every 4 hours by:

- the operator of the conveyance
- a person accompanying the operator

An animal must be observed to ensure:

- there is sufficient air for normal breathing
- the ambient temperature in the cargo space is not greater than 85° F or less than 45° F for more than 4 hours
- there are no signs of obvious physical distress, such as:
 - ▶ labored breathing
 - ▶ excessive salivation
 - ▶ vomiting/diarrhea
 - ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

Air Transportation [3.90(b)]

The carrier must observe the nonhuman primate:

- at least once every 4 hours if the animal cargo area is accessible during flight

- if the cargo area is not accessible during flight
 - ▶ whenever the animal is being loaded and unloaded
 - ▶ whenever the animal cargo area is accessible

An animal must be observed to ensure:

- there is sufficient air for normal breathing
- the ambient temperature in the cargo space is not greater than 85° F or less than 45° F for more than 4 hours
- there are no signs of obvious physical distress, such as:
 - ▶ labored breathing
 - ▶ excessive salivation
 - ▶ vomiting/diarrhea
 - ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

If a nonhuman primate is obviously ill, injured, or in physical distress, it must **not** be transported in commerce, except to receive veterinary care. [3.90(c)]

A nonhuman primate must not be removed from its primary transport enclosure, **UNLESS** it is placed in another primary enclosure or facility that meets the AWA primary enclosure standards. [3.90(d)]

Only the following persons may remove a nonhuman primate from its transportation enclosure **unless** required for the health and well being of the animal: [3.90(d)]

- persons experienced and authorized by the shipper
- persons authorized by the consignor
- persons authorized by the consignee

The Care in Transit regulations are in effect until: [3.90(e)]

- the consignee takes physical delivery of the animal, or
- the animal is returned to the consignor

Marine Mammals

All marine mammal shipments must be accompanied by: [3.116(a)]

- a licensed veterinarian, and/or
- an employee and/or attendant of:
 - the shipper, or
 - the receiver

The person accompanying the shipment must: [3.116(a)]

- be knowledgeable about marine mammal care and transport
- be experienced in marine mammal care and transport
- provide for the good health and well-being of the marine mammal
- observe the marine mammal to determine when it needs veterinary care
- obtain any needed veterinary care as soon as possible

Ways to assess if the person accompanying the shipment is knowledgeable and experienced in marine mammal care and transport include, but are not limited to, asking the person:

- how many years of experience he/she has working with marine mammals
- how long has he/she worked with the specific marine mammal(s) being transported
- how many years of experience he/she has transporting marine mammals
- what type of experience he/she has transporting marine mammals
- to describe the procedures to be followed before, during, and after transit

Any transport of greater than 2 hours duration requires a transport plan which: [3.116(a)]

- has been approved by the attending veterinarian
- specifies if a veterinarian is required to accompany the animal

If the attending veterinarian does not accompany the marine mammal, communication with the veterinarian must be

maintained to provide timely and accurate information on:
[3.116(a)]

- problems of animal health
- behavior
- well-being of the animal

Note: This communication must be maintained in accordance with Sections 2.33(b)(3) and 2.40(b)(3) of the AWA regulations.

The following marine mammals may be transported in commerce ONLY with the approval of the attending veterinarian: [3.116(b)]

- a pregnant female in the last half of pregnancy
- a dependent unweaned young animal
- a nursing mother with young
- an animal with a medical condition requiring veterinary care that would be compromised by the transport.

NOTE: The attending veterinarian must:

- note the existence of any of the above conditions on the health certificate
- determine whether a veterinarian should accompany the shipment

Carriers must: [3.116(c)]

- inform the crew as to the presence of marine mammals aboard the craft
- inform the individual accompanying the animal of any unexpected delays as soon as they become known
- if a delay occurs, accommodate (except as precluded by safety considerations) requests by the shipper or his/her agent:
 - ▶ to provide access to the animals
 - ▶ to take other necessary actions for the welfare of the animal

A marine mammal may **only** be removed from its primary transport enclosure by: [3.116(g)]

- its trainer, or
- other persons capable of handling the animal safely

Cetaceans and Sirenians

A sufficient number of employees or attendants of the shipper/receiver must accompany the marine mammal(s) to: [3.116(d)]

- keep the skin moist or prevent drying by such methods as
 - ▶ intermittent spraying of water
 - ▶ application of a nontoxic emollient
- assure that the pectoral flippers have freedom of movement at all times
- make adjustments in the position of the animal when necessary to prevent skin necrosis at weight pressure points
- keep the animal cooled or warmed sufficiently to prevent:
 - ▶ overheating
 - ▶ hypothermia
 - ▶ temperature related stress
- calm the animal to avoid:
 - ▶ struggling
 - ▶ thrashing
 - ▶ any unnecessary activity that may cause overheating or physical trauma

Pinnipeds and Polar Bears

A sufficient number of employees or attendants of the shipper or receiver must accompany the marine mammal(s) to: [3.116(e)]

- keep the animal cooled or warmed sufficiently to prevent:
 - ▶ overheating
 - ▶ hypothermia
 - ▶ temperature related stress
- calm the animal to avoid:
 - ▶ struggling
 - ▶ thrashing
 - ▶ any unnecessary activity that may cause overheating or physical trauma

Sea Otters

Sea otters must be transported in primary enclosures that contain false floors which: [3.116(f)]

- allow water and waste to freely pass through
- keep the interior of the enclosure free from waste materials

Moisture must be provided during transport by: [3.116(f)]

- ice, or
- water sprayers

Other Animals

Surface Transportation [3.140(a)]

The animals must be observed at least once every 4 hours by:

- the operator of the conveyance
- a person accompanying the operator

An animal must be observed to ensure:

- there is sufficient air for normal breathing
- the ambient temperature in the cargo space is within prescribed limits for the species
- there are no signs of obvious physical distress, such as:
 - ▶ labored breathing
 - ▶ excessive salivation
 - ▶ vomiting/diarrhea
 - ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

Air Transportation [3.140(a)]

The carrier must observe the animal:

- at least once every 4 hours if the animal cargo area is accessible during flight
- if the cargo area is not accessible during flight
 - ▶ whenever the animal is being loaded and unloaded
 - ▶ whenever the animal cargo area is accessible

An animal must be observed to ensure:

- there is sufficient air for normal breathing
- the ambient temperature in the cargo space is within prescribed limits for the species
- there are no signs of obvious physical distress, such as:
 - ▶ labored breathing

- ▶ excessive salivation
- ▶ vomiting/diarrhea
- ▶ frantic scratching, chewing, or biting on the transport enclosure

NOTE: If any veterinary care is need, it must be obtained at the closest available veterinary facility.

No animal in obvious physical distress may be transported in commerce. [3.140(a)]

A wild or dangerous animal may **only** be removed from its transportation primary enclosure: [3.140(b)]

- when extreme emergency conditions exist, and
- a temporary primary enclosure is available which is strong enough to prevent the escape of the animal

An animal must not be removed from its primary transport enclosure, **UNLESS** it is placed in another primary enclosure or facility that meets the AWA primary enclosure standards. [3.140(b)]

**FOOD AND
WATER**

Animals in transit must be provided food and water.
[3.16, 3.38, 3.63, 3.89, 3.115, 3.139]

Species Specific

Dogs & Cats

Food

Dogs/cats must be offered food: [3.16(a)]

- within 4 hours before being transported
- *if 16 weeks of age or older*, then at least once every 24 hours while in-transit
- *if less than 16 weeks of age*, then at least once every 12 hours while in-transit

Water

Dogs/cats must be offered potable water: [3.16(a)]

- within 4 hours before being transported
- at least once every 12 hours while in-transit

These time periods begin from the time the dog/cat was last offered food and water prior to beginning transport.

Any dog/cat consigned to a carrier or intermediate handler by a research facility, including a Federal research facility must:

- be accompanied by a certification statement containing the following information: [3.16(a)]
 - ▶ a statement that the dog/cat was offered food and water within 4 hours of delivery
 - ▶ the date and time the food and water was offered
- have easily noticed written instructions for the in-transit food and water requirement for a 24-hour period securely attached to the transport enclosure [3.16(b)]

Food and water receptacles must be: [3.16(c)]

- securely attached to the inside of the transport enclosure
- placed so that the receptacles can be filled from outside the enclosure
- designed, constructed and installed so that the dog/cat cannot leave the enclosure through the food and water openings

Guinea Pigs & Hamsters

Any guinea pig or hamster being transported by the research facility for more than 6 hours requires: [3.38(a)]

- access to food and potable water, or
- access to a type of food, which provides the food and water requirements, such as apples, potatoes, specially-prepared gel packs

Any guinea pig or hamster consigned to a carrier or intermediate handler must have: [3.38(b)]

- an adequate supply of food/potable water in the transport enclosure, or
- an adequate supply of a type of food, which provides the food and water requirements, in the transport enclosure

Rabbits

Any rabbit being transported by the research facility for more than 6 hours requires: [3.63(a)]

- access to food and potable water, or
- access to a type of food, which provides the food and water requirements, such as apples, potatoes, specially-prepared gel packs

Any rabbit consigned to a carrier or intermediate handler must have: [3.63(b)]

- an adequate supply of food/potable water in the transport enclosure, or
- an adequate supply of a type of food, which provides the food and water requirements, in the transport enclosure

Nonhuman Primates

The following food and water requirements apply to both registered research facilities and Federal research facilities.

Food

Nonhuman primates must be offered food: [3.89(a)]

- within 4 hours before being transported
- *if 1 year of age or older*, then at least once every 24 hours while in-transit
- *if less than 1 year of age*, then at least once every 12 hours while in-transit

Water

Nonhuman primates must be offered potable water: [3.89(a)]

- within 4 hours before being transported
- at least once every 12 hours while in-transit

These time periods begin from the time the nonhuman primate was last offered food and water prior to beginning transport.

Any nonhuman primate consigned to a carrier or intermediate handler must:

- be accompanied by a certification statement containing the following information: [3.89(a)]
 - ▶ a statement that the animal was offered food and water within 4 hours of delivery
 - ▶ the date and time the food and water was offered
- have easily noticed written instructions for the in-transit food and water requirement for a 24-hour period securely attached to the transport enclosure [3.89(b)]

Food and water receptacles must be: [3.89(c)]

- securely attached to the inside of the transport enclosure
- placed so that the receptacles can be filled from outside the enclosure
- designed, constructed and installed so that the animal cannot leave the enclosure through the food and water openings

Marine Mammals

Food

Marine mammals must be offered food: [3.115(b)]

- as often as necessary and appropriate for the species, or
- as determined by the attending veterinarian

Water

Marine mammals that require drinking water must be offered potable water: [3.115(a)]

- within 4 hours of being placed in the transport primary enclosure

- as often as necessary and appropriate to the species to prevent dehydration which would jeopardize the animal's health and well being

Other Animals

Food

Animals must be fed: [3.139(b)]

- at least once every 24 hours while in-transit, or
- as often as required by standard husbandry practices, hibernation, veterinary treatment or other professionally accepted practices

Water

Animals must be offered potable water: [3.139(a)]

- within 4 hours prior to being transported
- at least once every 12 hours during transport in the dealer's primary conveyance, or
- as often as required by standard husbandry practices, hibernation, veterinary treatment or other professionally accepted practices

NOTE: Some species do not drink water and get fluid requirements from their food.

A sufficient quantity of food and potable water for a period of at least 24 hours must accompany the animal. [3.139(c)]

Any animal consigned to a carrier or intermediate handler must have written food/water instructions affixed to the outside of the transport enclosure. [3.139(d)]

<p>HEALTH CERTIFICATES</p>	<p>A dog, cat, nonhuman primate, or marine mammal delivered for transportation in commerce by a research facility, including a Federal research facility, must be accompanied by a health certificate. [2.38, 3.112, Policy #18]</p>
<p>Species Specific</p>	<p>Dogs and Cats A health certificate is required when a research facility, including a Federal research facility: [2.38(h)(1)]</p> <ul style="list-style-type: none"> • delivers a dog or cat to a carrier or intermediate handler • transports a dog or cat across a state line <p>NOTE: A dog/cat transported within the State and in the research facility's private vehicle does not require a health certificate. [Policy #18]</p> <p>The health certificate must: [2.38(h)(1)]</p> <ul style="list-style-type: none"> • be issued by a licensed veterinarian • state that the animal was inspected on a specific date NOTE: This date must be within 10 days prior to delivery of the animal for transport. • state that the animal appeared to be free of any infectious disease or physical abnormality that would endanger the animal, other animals or the general public <p>NOTE: If a health certificate contains a stamped veterinarian's signature, a copy should be forwarded to the Regional Office. The stamped signature may be a violation of a State law.</p> <p>The U.S. Interstate and International Certificate of Health Examination for Small Animals (APHIS Form 7001) may be used for the health certification (see page 13.4.4). [2.38(h)(3)]</p> <p>Nonhuman Primates A health certificate is required when a research facility, including a Federal research facility: [2.38(h)(1)]</p> <ul style="list-style-type: none"> • delivers a nonhuman primate to a carrier or intermediate handler • transports a nonhuman primate across a state line

NOTE: A nonhuman primate transported **within** the State and in the research facility's private vehicle does not require a health certificate. [Policy #18]

The health certificate must: [2.38(h)(1)]

- be issued by a licensed veterinarian
- state that the animal was inspected on a specific date
NOTE: This date must be within 10 days prior to delivery of the animal for transport.
- state that the animal appeared to be free of any infectious disease or physical abnormality that would endanger the animal, other animals or the general public

NOTE: If a health certificate contains a stamped veterinarian's signature, a copy should be forwarded to the Regional Office. The stamped signature may be a violation of a State law.

The U.S. Interstate and International Certificate of Health Examination for Small Animals (APHIS Form 7001) may be used for the health certification (see page 13.4.4). [2.38(h)(3)]

Marine Mammals

A health certificate is required when a research facility, including a Federal research facility, delivers a marine mammal to a carrier or intermediate handler. [3.112(a)]

The health certificate must: [3.112(a)]

- be signed by the attending veterinarian
- state that the animal was examined within the prior 10 days
- state that the animal was found to be in acceptable health for transport

NOTE: If a health certificate contains a stamped veterinarian's signature, a copy should be forwarded to the Regional Office. The stamped signature may be a violation of a State law.

Exemption

Dogs, Cats and Nonhuman Primates

The Secretary of Agriculture may provide an exemption to the health certificate requirement on an individual basis for a dog/cat or

nonhuman primate shipped to a research facility when the research facility requires an animal not eligible for a health certificate. [2.38(h)(2)]

Requests for an exemption must:

- be in writing
- contain the reason/justification for the exemption
- be sent to:

USDA, APHIS, AC
4700 River Road, Unit 84
Riverdale, MD 20737-1234

1. TYPE OF ANIMAL SHIPPED
 Dog Cat Other
 Nonhuman Primate

2. TOTAL NUMBER OF ANIMALS

WARNING: Anyone who makes a false, fictitious, or fraudulent statement on this document or uses such document knowing it to be false, fictitious or fraudulent may be subject to a fine of not more than \$10,000 or imprisonment of not more than 5 years, or both (18 U.S.C. 1001)

**U.S. DEPARTMENT OF AGRICULTURE
 ANIMAL AND PLANT HEALTH INSPECTION SERVICE
 UNITED STATES INTERSTATE AND INTERNATIONAL
 CERTIFICATE OF HEALTH EXAMINATION
 FOR SMALL ANIMALS**

3. NAME, ADDRESS AND TELEPHONE NUMBER OF OWNER/CONSIGNOR

4. NAME, ADDRESS AND TELEPHONE NUMBER OF CONSIGNEE

USDA Licensor Registration No. if applicable	Telephone			
5. ANIMAL IDENTIFICATION (To be completed by owner/consignor)				
COMPLETE USDA TAG, COLLAR AND/OR TATTOO NUMBER	BREED - COMMON OR SCIENTIFIC NAME	AGE	SEX	COLOR OR DISTINCTIVE MARKS
(1)				
(2)				
(3)				
(4)				
(5)				
(6)				
(7)				
(8)				
(9)				
(10)				

6. VACCINATION HISTORY (To be completed by veterinarian)

USDA Licensor Registration No. if applicable

Telephone

attach original signature rabies certificate here

RABIES		D-H-1		OTHER VACCINATIONS, TESTS OR TREATMENT	
<input type="checkbox"/> Killed Virus	<input type="checkbox"/> Live Virus	Date	Product	Date	Type/Result

VETERINARY CERTIFICATION: I certify that the animals described in item 5 have been examined by me this date, that the information provided in item 6 is true and accurate to the best of my knowledge, and that the following findings have been made. "I" applicable statements.

I certify that the animals described above, and on continuation sheet(s) if applicable, have been inspected by me this date and appear to be free of any infectious or contagious diseases and to the best of my knowledge, exposure thereto, which would endanger the animal or other animals or would endanger public health.

I certify that the animals described above, and on continuation sheet(s) if applicable, have been inspected by me this date and appear to be free of physical abnormalities which would endanger the animal.

To my knowledge, the animals described above, and on continuation sheet(s) if applicable, originated from an area not quarantined for rabies and have not been exposed to rabies.

OWNER/CONSIGNOR CERTIFICATION: I certify that the information concerning the animals described above in item 3 is true and correct, and that I have physical and legal custody of such animals.

I hereby certify that the animal(s) in this shipment is (are), to the best of my knowledge, acclimated to air temperatures lower than 7.2° C. (45° F.).

SIGNATURE

DATE

ENDORSEMENT FOR INTERNATIONAL EXPORT (WARNING: International shipments require certification by an accredited veterinarian. States may also require such certification)

Apply USDA Seal or stamp here

NAME, ADDRESS AND TELEPHONE NUMBER

LICENSE NO.

Accredited Yes No

LICENSING STATE

SIGNATURE

DATE

Telephone

SIGNATURE OF USDA VETERINARIAN

DATE

13.4.5

Public reporting burden for this collection of information is estimated to average .03 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information, and 6 annual hours for recordkeeping. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, Room 404-W, Washington, D.C. 20250; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

APHIS FORM 7001 (REVERSE)

MARKINGS AND LABELING	Transport enclosures must be properly labeled. [3.14, 3.36, 3.61, 3.81, 3.113, 3.137]
Criteria	A removable transport enclosure is properly labeled for all covered animals if it contains: <ul style="list-style-type: none">• markings on the top and one or more sides of the enclosure• directional arrows indicating the upright position• the words "Live Animal" (see page 13.5.2)<ul style="list-style-type: none">▶ in letters at least 1" in height▶ on top of the enclosure and on one or more sides
Species Specific	Nonhuman Primates [3.87(f)] Removable and permanently affixed transport enclosures must contain the words "Wild Animal" or "Live Animal" in English. Marine Mammals [3.113(f)] The transport enclosure, when not permanently affixed to the cargo space, must be marked with the words "Live Animal" or "Wild Animal": <ul style="list-style-type: none">• on top (when present), and• on at least one side, or• on all sides whenever possible Other Animals [3.137(e)] <ul style="list-style-type: none">• The words "Wild Animal" may also be used.

**↑ LIVE ↑
ANIMALS**

Pet travel questions? Call (800) 545-USDA.

**LIVE
ANIMALS**

Pet travel questions? Call (800) 545-USDA.

MINIMUM AGE REQUIREMENT	Dogs and cats must be at least eight (8) weeks of age and have been weaned to be transported in commerce. [2.130]
Criteria	<p>Transporting a dog/cat in commerce includes, but is not limited to, delivering a dog/cat to a:</p> <ul style="list-style-type: none">• carrier or intermediate handler for transport• broker or pet store• private individual <p>The eight weeks of age, i.e., 56 days, does not include the day of birth. (see chart on page 13.6.2)</p>
Exception	<p>Dogs and cats less than 8 weeks of age may be transported in commerce:</p> <ul style="list-style-type: none">• directly to a registered research facility• directly to a Federal research facility• by a private individual who acquired the dog/cat directly from a research facility at the research facility premises

Minimum Age Requirements for Transporting Dogs and Cats

9CFR 2.130 minimum age requirements:

No dog or cat shall be delivered by any person to any carrier or intermediate handler for transportation, in commerce, or shall be transported in commerce by any person, except to a registered research facility, unless such dog or cat is at least eight (8) weeks of age and has been weaned.

This chart shows the first day dogs and/or cats may be sold [56 days (8 weeks) from the date of birth]. The day of birth is NOT included as part of 56 days.

		Month Kittens/Puppies were Born											
Day of Birth	Jan*	Feb*	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	
1	Feb 26	Mar 29	Apr 26	May 27	Jun 26	Jul 27	Aug 26	Sep 26	Oct 27	Nov 26	Dec 27	Jan 26	
2	Feb 27	Mar 30	Apr 27	May 28	Jun 27	Jul 28	Aug 27	Sep 27	Oct 28	Nov 27	Dec 28	Jan 27	
3	Feb 28	Mar 31	Apr 28	May 29	Jun 28	Jul 29	Aug 28	Sep 28	Oct 29	Nov 28	Dec 29	Jan 28	
4	Mar 1	Apr 1	Apr 29	May 30	Jun 29	Jul 30	Aug 29	Sep 29	Oct 30	Nov 29	Dec 30	Jan 29	
5	Mar 2	Apr 2	Apr 30	May 31	Jun 30	Jul 31	Aug 30	Sep 30	Oct 31	Nov 30	Dec 31	Jan 30	
6	Mar 3	Apr 3	May 1	Jun 1	Jul 1	Aug 1	Aug 31	Oct 1	Nov 1	Dec 1	Jan 1	Jan 31	
7	Mar 4	Apr 4	May 2	Jun 2	Jul 2	Aug 2	Sep 1	Oct 2	Nov 2	Dec 2	Jan 2	Feb 1	
8	Mar 5	Apr 5	May 3	Jun 3	Jul 3	Aug 3	Sep 2	Oct 3	Nov 3	Dec 3	Jan 3	Feb 2	
9	Mar 6	Apr 6	May 4	Jun 4	Jul 4	Aug 4	Sep 3	Oct 4	Nov 4	Dec 4	Jan 4	Feb 3	
10	Mar 7	Apr 7	May 5	Jun 5	Jul 5	Aug 5	Sep 4	Oct 5	Nov 5	Dec 5	Jan 5	Feb 4	
11	Mar 8	Apr 8	May 6	Jun 6	Jul 6	Aug 6	Sep 5	Oct 6	Nov 6	Dec 6	Jan 6	Feb 5	
12	Mar 9	Apr 9	May 7	Jun 7	Jul 7	Aug 7	Sep 6	Oct 7	Nov 7	Dec 7	Jan 7	Feb 6	
13	Mar 10	Apr 10	May 8	Jun 8	Jul 8	Aug 8	Sep 7	Oct 8	Nov 8	Dec 8	Jan 8	Feb 7	
14	Mar 11	Apr 11	May 9	Jun 9	Jul 9	Aug 9	Sep 8	Oct 9	Nov 9	Dec 9	Jan 9	Feb 8	
15	Mar 12	Apr 12	May 10	Jun 10	Jul 10	Aug 10	Sep 9	Oct 10	Nov 10	Dec 10	Jan 10	Feb 9	
16	Mar 13	Apr 13	May 11	Jun 11	Jul 11	Aug 11	Sep 10	Oct 11	Nov 11	Dec 11	Jan 11	Feb 10	
17	Mar 14	Apr 14	May 12	Jun 12	Jul 12	Aug 12	Sep 11	Oct 12	Nov 12	Dec 12	Jan 12	Feb 11	
18	Mar 15	Apr 15	May 13	Jun 13	Jul 13	Aug 13	Sep 12	Oct 13	Nov 13	Dec 13	Jan 13	Feb 12	
19	Mar 16	Apr 16	May 14	Jun 14	Jul 14	Aug 14	Sep 13	Oct 14	Nov 14	Dec 14	Jan 14	Feb 13	
20	Mar 17	Apr 17	May 15	Jun 15	Jul 15	Aug 15	Sep 14	Oct 15	Nov 15	Dec 15	Jan 15	Feb 14	
21	Mar 18	Apr 18	May 16	Jun 16	Jul 16	Aug 16	Sep 15	Oct 16	Nov 16	Dec 16	Jan 16	Feb 15	
22	Mar 19	Apr 19	May 17	Jun 17	Jul 17	Aug 17	Sep 16	Oct 17	Nov 17	Dec 17	Jan 17	Feb 16	
23	Mar 20	Apr 20	May 18	Jun 18	Jul 18	Aug 18	Sep 17	Oct 18	Nov 18	Dec 18	Jan 18	Feb 17	
24	Mar 21	Apr 21	May 19	Jun 19	Jul 19	Aug 19	Sep 18	Oct 19	Nov 19	Dec 19	Jan 19	Feb 18	
25	Mar 22	Apr 22	May 20	Jun 20	Jul 20	Aug 20	Sep 19	Oct 20	Nov 20	Dec 20	Jan 20	Feb 19	
26	Mar 23	Apr 23	May 21	Jun 21	Jul 21	Aug 21	Sep 20	Oct 21	Nov 21	Dec 21	Jan 21	Feb 20	
27	Mar 24	Apr 23	May 22	Jun 22	Jul 22	Aug 22	Sep 21	Oct 22	Nov 22	Dec 22	Jan 22	Feb 21	
28	Mar 25	Apr 24	May 23	Jun 23	Jul 23	Aug 23	Sep 22	Oct 23	Nov 23	Dec 23	Jan 23	Feb 22	
29	Mar 26	Apr 25	May 24	Jun 24	Jul 24	Aug 24	Sep 23	Oct 24	Nov 24	Dec 24	Jan 24	Feb 23	
30	Mar 27		May 25	Jun 25	Jul 25	Aug 25	Sep 24	Oct 25	Nov 25	Dec 25	Jan 25	Feb 24	
31	Mar 28		May 26		Jul 26		Sep 25	Oct 26		Dec 26		Feb 25	

* During a leap year, animals born from Jan 4 to Feb 28 can be sold one day earlier than the chart reading. Animals born on Feb 29 may be sold April 25.

To use the chart:

1. Find the month the animals were born at the top of the chart.
2. Find the day of the month the animals were born on the left side of the chart.
3. Move down from the month and across from the day until the rows intersect. This is the day the animals become 8 wks. old and may be sold legally under USDA regulations.

Example: A puppy born on Aug 18 can be sold on or after Oct 13.

**PRIMARY
 CONVEYANCE**

The animal cargo space of a primary conveyance used to transport an animal(s) must be constructed so that the animal(s) is protected and its health and comfort is ensured at all times.
 [3.15, 3.37, 3.62, 3.88, 3.114, 3.138]

Criteria

An animal is protected and its health and comfort ensured if:

- it is protected from temperature extremes
- it is protected from exhaust fumes
- the animal cargo space has sufficient air supply for normal breathing
- the primary enclosure is positioned:
 - ▶ to assure each animal has sufficient air for normal breathing
 - ▶ so that the animal can be removed in an emergency
- the interior cargo space is kept clean

Animals must be protected if transported with materials that may be harmful, such as:

- cleaning solutions
- fertilizer
- propane tanks
- dry ice
- human remains

During surface transportation, animals must be easily accessible.

Criteria for determining accessibility include, but are not limited to:

- number and placement of doors on vehicles
- width of aisles so animals can be seen
- space between stacked crates for adequate air movement

Species Specific

Dogs & Cats

During surface transportation, animal areas must be: [3.15(e)]

- temperature regulated to not exceed 85° F or fall below 45° F for more than 4 hours
- vented by auxiliary means, such as fans, blowers or air conditioning when the cargo space ambient temperature is 85° F or warmer

During air transportation, animal areas must be: [3.15(d)]

- pressurized while above 8,000 feet
- heated or cooled as necessary to ensure the animal's health and well-being

Guinea Pigs & Hamsters

Animal areas must be: [3.37(g)]

- mechanically sound and provide fresh air by means of windows, doors, vents, etc.
- maintained below 85° F and above 45° F **except** hamsters may be shipped at a lower temperature if accompanied by an acclimation certificate
- vented by auxiliary means when the ambient temperature is 75° F or warmer

Rabbits

Animal areas must: [3.62(g)]

- be mechanically sound and provide fresh air by means of windows, doors, vents, etc.
- maintained below 85° F and above 45° F **except** rabbits may be shipped at a lower temperature if accompanied by an acclimation certificate
- vented by auxiliary means when the ambient temperature is 75° F or warmer

Nonhuman Primates

Animal areas must:

- *during surface transportation*, maintain a temperature gradient between 45° to 85° F [3.88(e)]
- *during air transportation*, maintain an ambient temperature that ensures the health and well-being of the animal, in accordance with accepted professional husbandry practices [3.88(d)]
- provide that primary enclosures containing nonhuman primates can be positioned far enough away from their natural enemies so that the nonhuman primate cannot touch or see the other animals [3.88(f)]

Marine Mammals

The primary conveyance used must be sufficiently temperature controlled: [3.114(a)]

- to provide an appropriate environmental temperature for the species being transported
- to provide for the safety and comfort of the marine mammal

If the primary conveyance cannot be sufficiently temperature controlled, other safeguards must be employed to maintain the animal at an appropriate temperature, including, but not limited to: [3.114(a)]

- cooling the animal with cold water
- adding ice to water-filled enclosures
- using fans

Adequate lighting for marine mammal attendants to properly inspect the animals at any time must be available and provided by:

[3.114(g)]

- the carrier, or
- the shipper

PRIMARY ENCLOSURE-CONSTRUCTION	An animal transported in commerce must be contained in an adequately ventilated, properly constructed primary enclosure. [3.14, 3.36, 3.61, 3.87, 3.113, 3.137]
Criteria	<p>A primary enclosure, such as a compartment, transport cage, carton, or crate, used to transport an animal in commerce must be properly constructed.</p> <p>The transport primary enclosure must:</p> <ul style="list-style-type: none"> • be strong enough to contain the animal securely and comfortably • be able to withstand the normal rigors of transportation • have an interior without any sharp points, edges, or protrusions that could injure the animal • be designed so that the animal can be quickly and easily removed in an emergency • have adequate devices, such as handles or handholds, on the exterior to: <ul style="list-style-type: none"> ▶ enable the enclosure to be lifted without tilting ▶ ensure that anyone handling the enclosure can avoid contact with the animal unless necessary • be constructed to prevent leakage of fluids during transit • be constructed of a material that is: <ul style="list-style-type: none"> ▶ cleanable and sanitizable, or ▶ disposable <p>Non-disposable primary enclosures must be cleaned and sanitized prior to reuse.</p>
Species Specific	<p>Dogs & Cats</p> <p>The primary enclosure must be designed and constructed to: [3.14(a)(9)]</p> <ul style="list-style-type: none"> • prevent seepage of waste products by having a: <ul style="list-style-type: none"> ▶ solid, leakproof bottom containing unused litter, or ▶ removable leakproof collection tray under a slatted or wire mesh floor

- prevent any part of the animal from protruding outside the enclosure in a way that could result in injury to the animal or to any nearby person or animal

A slatted or wire mesh floor must be designed and constructed:
[3.14(a)(9)]

- to protect the animal's feet and legs from injury
- to not allow the animal's feet to pass through the openings

Any material, treatment, paint, preservative or other chemical used in or on the primary enclosure must be safe and non-toxic to the animal. [3.14(a)(7)]

Nonhuman Primates

The primary enclosure must be designed and constructed to:
[3.87(a)(10)]

- prevent seepage of waste products by having a:
 - ▶ solid, leakproof bottom containing unused litter, or
 - ▶ removable leakproof collection tray under a slatted or wire mesh floor
- prevent any part of the animal from protruding outside the enclosure in a way that could result in injury to the animal or to any nearby person or animal

A slatted or wire mesh floor must be designed and constructed:
[3.87(a)(10)]

- to protect the animal's feet and legs from injury
- to not allow the animal's feet to pass through the openings

Doors or other means of access into the enclosure must be secured with animal-proof devices that prevent accidental opening of the enclosure. [3.87(a)(5)]

Any material, treatment, paint, preservative or other chemical used in or on the primary enclosure must be safe and non-toxic to the animal. [3.87(a)(7)]

Two or more primary enclosures may be connected or attached to each other. [3.87(a)]

Marine Mammals

Primary enclosures used to transport all marine mammals must:

[3.113(e)]

- have solid bottoms to prevent leakage in shipment
- maintain the animal on floors that are:
 - ▶ sturdy
 - ▶ rigid
 - ▶ solid
 - ▶ provided with adequate drainage
- be cleaned and sanitized between uses

Polar Bears, Pinnipeds, Sea Otters

The primary enclosure must:

- be constructed from material that: [3.113(a)(2)]
 - ▶ is durable
 - ▶ is nontoxic
 - ▶ cannot be chewed
 - ▶ cannot be swallowed
- not allow the animal to put any body part(s) outside the enclosure that would result in injury to: [3.113(a)(5)]
 - ▶ the animal itself
 - ▶ nearby persons
 - ▶ persons handling the enclosure
- have openings that:
 - ▶ provide access into the enclosure [3.113(a)(6)]
 - ▶ are secured with locking devices of a type that cannot be accidentally opened [3.113(a)(6)]
 - ▶ are located to provide easy access to the marine mammal at all times for: [3.113(a)(7)]
 - emergency removal
 - potential treatment
- have air inlets that: [3.113(a)(8)]
 - ▶ are at heights which provide cross ventilation at all levels (particularly when the marine mammal is in a prone position)
 - ▶ are located on all four sides of the enclosure
 - ▶ cover not less than 20 percent of the total surface area of each side of the enclosure

- have projecting rims or other devices: [3.113(a)(9)]
 - ▶ on any ends or sides of the enclosure that have ventilation openings
 - ▶ that provide a minimum air circulation space of 3.0 inches (7.6cm) between the enclosure and any adjacent cargo/conveyance wall
- be constructed to provide sufficient air circulation to maintain the temperatures required by the transportation standards [3.113(a)(10)]

Cetaceans & Sirenians

Straps, slings, harnesses, or other devices used for body support or restraint must: [3.113(b)]

- be designed so as not to cause injury to the animal
- be designed to allow access to the animal by attendants to administer care during transit
- be equipped with special padding to prevent injury or trauma at critical weight pressure points
- prevent the animal from thrashing about and injuring itself or the attendants

<p>PRIMARY ENCLOSURE-HANDLING</p>	<p>The primary enclosure must be handled in such a manner as to avoid physical trauma, or distress to the animal. [3.19, 3.41, 3.66, 3.92, 3.118, 3.142]</p>
<p>Criteria</p>	<p>The primary enclosure must not be: [3.19(b)(2), 3.41(c), 3.66(c), 3.92(b)(2), 3.118(c), 3.142(c)]</p> <ul style="list-style-type: none"> • dropped, tossed or needlessly tilted • stacked in such a manner that it may fall
<p>Species Specific</p>	<p>Dogs & Cats A primary enclosure containing an animal must:</p> <ul style="list-style-type: none"> • be attended when placed on conveyer belts, baggage claim conveyer belts, or inclined conveyer ramps that lead to baggage claim areas [3.19(b)(1)] • may be placed on conveyer ramps used to load and unload aircraft if attendants are located at each end of the ramp [3.19(b)(1)] • must be handled and positioned according to written instructions and arrow markings on the enclosure [3.19(b)(2)] <p>This section applies to the movement of an animal: [3.19(c)]</p> <ul style="list-style-type: none"> • from primary conveyance to primary conveyance • within a primary conveyance • within a terminal facility • to or from a terminal facility • to or from a primary conveyance <p>Nonhuman Primate A primary enclosure containing an animal must</p> <ul style="list-style-type: none"> • be attended when placed on conveyer belts, baggage claim conveyer belts, or inclined conveyer ramps that lead to baggage claim areas [3.92(b)(1)] • may be placed on conveyer ramps used to load and unload

aircraft if attendants are located at each end of the ramp
[3.92(b)(1)]

- must be handled and positioned according to written instructions and arrow markings on the enclosure
[3.92(b)(2)]

This section applies to the movement of an animal: [3.92(c)]

- from primary conveyance to primary conveyance
- within a primary conveyance
- within a terminal facility
- to or from a terminal facility
- to or from a primary conveyance

**PRIMARY
 ENCLOSURE-
 SPACE**

Animals in transport enclosures must have adequate space.
 [3.14, 3.36, 3.61, 3.87, 3.113, 3.137]

Species Specific

Dogs & Cats [3.14]

The transport enclosure must be positioned in the primary conveyance so as to protect the animal from inclement weather. [3.14(e)(2)]

The transport enclosure must be large enough for each animal to: [3.14(e)(1)]

- turn about normally
- stand normally
- sit erect, and
- lie in a natural position

IF TRANSPORTED BY AIR: [3.14(f)]

IF dog or cat	THEN the maximum number of animals per transport enclosure is
6 months of age or older	one
8 weeks to 6 months of age, and weighs over 20 lbs	one
8 weeks to 6 months of age, and each weighs 20 lbs or less, and of comparable size	two
less than 8 weeks of age, and of comparable size, and weaned, and shipped to a research facility	unlimited
less than 8 weeks of age, and unweaned, and litter mates, and accompanied by their dam, and shipped to a research facility	unlimited

IF TRANSPORTED BY SURFACE VEHICLE OR PRIVATELY OWNED AIRCRAFT: [3.14(g)]	
IF dog or cat	THEN the maximum number of animals per transport enclosure is
8 weeks of age or older, and of comparable size, and other requirements in this section met	four
less than 8 weeks of age, and of comparable size, and weaned, and shipped to a research facility, and other requirements in this section met	unlimited
less than 8 weeks of age, and unweaned, and litter mates, and accompanied by their dam, and shipped to a research facility, and other requirements in this section met	unlimited

Guinea Pigs and Hamsters [3.36]

The transport enclosure must be large enough for each animal to:
[3.36(c)]

- turn about freely and
- make normal postural adjustments.

Guinea Pigs

The transport enclosure must

- contain no more than 15 live guinea pigs [3.36(d)]
- have an interior height of at least [3.36(e)(1)(i)]
 - 6 inches for guinea pigs weighing up to 500 grams
 - 7 inches for guinea pigs weighing over 500 grams

- provide a minimum amount of floor space according to the table below: [3.36(e)(1)(ii)]

Weight (grams)	Square centimeters	Square inches
Up to 350	193.6	30
350 to 600	290.3	45
Over 600	354.8	55

Hamsters

The transport enclosure must:

- contain no more than 50 live hamsters [3.36(d)]
- have an interior height of at least [3.36(e)(2)(i)]
 - ▶ 5 inches for dwarf hamsters
 - ▶ 6 inches for larger hamsters
- provide a minimum amount of floor space for each hamster according to the table below: [3.36(e)(2)(ii)]

Age	Dwarf		Other	
	cm ²	in ²	cm ²	in ²
Weaning to 5 wks	32.2	5.0	45.2	7
5 to 10 wks	48.3	7.5	71.0	11
Over 10 wks	58.1	9.0	96.8	15

Rabbits [3.61]

The transport enclosure must

- contain no more than 15 rabbits [3.61(d)]
- be large enough for each animal to: [3.61(c)]
 - ▶ turn about freely
 - ▶ make normal postural adjustments

EXCEPTION: The common industry transfer cages, i.e., the wire cages with solid metal bottoms and partial solid metal sides and with small individual compartments which do not allow the rabbits to turn around, may be acceptable

transport enclosures if:

- they are being used for short term transport, usually not over 8-12 hours
- the rabbits are not showing any signs of distress
- the rabbits fit comfortably into the individual compartments

If in your professional judgment the rabbits' health and well-being are being jeopardized, you should cite the research facility for using these cages and the research facility must come into compliance with the transportation enclosure space requirements.

Nonhuman Primates [3.87]

The transport enclosure must be large enough for each animal to:
[3.87(e)]

- turn about freely in a normal manner
- sit in an upright, hands down position without its head touching the top of the transport enclosure

NOTE: An animal's movement may be restricted: [3.87(e)]

- according to professionally accepted standards
- if movement constitutes a danger to:
 - ▶ the animal
 - ▶ the handlers, or
 - ▶ other persons

Marine Mammals

Pinnipeds, Polar Bears, & Sea Otters

Primary enclosures must be large enough that each animal has sufficient space to: [3.113(c)(1)]

- turn about freely in a stance whereby all four feet or flippers are on the floor
- sit in an upright position
- lie in a natural position

Cetaceans & Sirenians

Primary enclosures must be large enough for support of the marine mammal's body in slings, harnesses or other

supporting devices (see below) without causing injury due to contact with the primary transport enclosure. [3.113(c)(2)]

Straps, slings, harnesses, or other devices used for body support or restraint must: [3.113(b)]

- be designed so as not to cause injury to the animal
- be designed to allow access to the animal by attendants to administer care during transit
- be equipped with special padding to prevent injury or trauma at critical weight pressure points
- prevent the animal from thrashing about and injuring itself or the attendants

A marine mammal's movement may be restricted: [3.113(c)(2)]

- according to professionally accepted standards
- if movement constitutes a danger to:
 - ▶ the animal
 - ▶ the handlers, or
 - ▶ other persons

Other Animals

The transport enclosure must be large enough for each animal to: [3.137(c)]

- turn about freely, and
- make normal postural adjustments

NOTE: An animal's movement may be restricted: [3.137(c)]

- according to professionally accepted standards
- if movement constitutes a danger to:
 - ▶ the animal
 - ▶ the handlers, or
 - ▶ other persons

PRIMARY ENCLOSURE-VENTILATION

A transport primary enclosure, such as a compartment, transport cage, carton, or crate, used to transport an animal in commerce must be adequately ventilated.
 [3.14, 3.36, 3.61, 3.87, 3.113, 3.137]

Criteria

For transport enclosures permanently affixed to the primary conveyance with the front opening as the only source of ventilation, the enclosure ventilation area must:

- be positioned to prevent blockage of front opening
- open directly to:
 - the outside
 - an unobstructed aisle way or passageway inside the conveyance
- be at least 90% of the total surface area
- be covered with bars, wire mesh, or smooth expanded metal having air space

Species Specific

Dogs & Cats
 Transport enclosures that are removable from the primary conveyance, such as crates, cartons, or cages, must have walls with ventilation openings that meet the following requirements: [3.14(c)]

Number of ventilated walls	Position of the walls	Required ventilation area
1	front	90%
2	opposing walls	16% of each wall
3	2 opposing walls	8% of total surface area of the two opposing walls
	3 rd wall	50% of the 3 rd wall
4	4 opposing	8% of each wall

The ventilated surface area must:

- be 14% of the total combined surface area of all the walls for the whole enclosure, and [3.14(c)(1)]
- have at least 1/3 of the total ventilation area located on the upper 1/2 of the enclosure [3.14(c)(1)(iv)]

Each wall with a ventilation opening must have a projecting rim to:

- prevent obstruction of openings
- provide a minimum of 0.75" air circulation space between the enclosure and any wall or object

Guinea Pigs & Hamsters

Transport enclosures that are removable from the primary conveyance, such as crates, cartons, or cages, must have walls with ventilation openings that meet the following requirements: [3.36]

Number of ventilated walls	Position of the walls	Required ventilation area
1	front	90%
2	opposing walls	16% of each wall
4	4 opposing	8% of each wall

The ventilated surface area must have [3.36(a)(5)]

- at least 1/3 of the total ventilation area located on the upper 1/2 of the enclosure, and
- at least 1/3 of the total ventilation area located on the lower 1/2 of the enclosure

Each wall with a ventilation opening must have a projecting rim to [3.36(a)(6)]

- prevent obstruction of openings
- provide a minimum of 0.75" air circulation space between the enclosure and any wall or object

Rabbits

Transport enclosures that are removable from the primary conveyance, such as crates, cartons, or cages, must have walls with ventilation openings that meet the following requirements: [3.61]

Number of ventilated walls	Position of the walls	Required ventilation area
1	front	90%
2	opposing walls	16% of each wall
4	4 opposing	8% of each wall

The ventilated surface area must have: [3.61(a)(4)]

- at least 1/3 of the total ventilation area located on the upper 1/2 of the enclosure, and
- at least 1/3 of the total ventilation area located on the lower 1/2 of the enclosure

Each wall with a ventilation opening must have a projecting rim to: [3.61(a)(5)]

- prevent obstruction of openings
- provide a minimum of 0.75" air circulation space between the enclosure and any wall or object

Nonhuman Primates

Transport enclosures that are removable from the primary conveyance, such as crates, cartons, or cages, must have walls with ventilation openings that meet the following requirements: [3.87(c)]

Number of ventilated walls	Position of the walls	Required ventilation area	Location of openings
1	front	90%	
2	opposing walls	16% of each wall	above midline of each wall
4	4 opposing	8% of each wall	above midline of each wall

Each wall with a ventilation opening must have a projecting rim to [3.87(c)(2)]

- prevent obstruction of openings
- provide a minimum of 0.75" air circulation space between the enclosure and any wall or object

Marine Mammals

Pinnipeds, Polar Bears, & Sea Otters

Transport primary enclosures that are removable must have:

- air inlets that: [3.113(a)(8)]
 - ▶ are at heights which provide cross ventilation at all levels (particularly when the marine mammal in a prone position)
 - ▶ are located on all 4 sides of the enclosure
 - ▶ cover not less than 20% of the total surface area of each side of the enclosure
- projecting rims or other spacing devices: [3.113(a)(9)]
 - ▶ placed on any ends and sides with ventilation openings
 - ▶ provide a minimum air circulation space of 3.0 inches (7.6 cm) between the enclosure and any adjacent cargo/conveyance wall
- sufficient air circulation space to maintain the temperatures required by the transportation standards [3.113(a)(10)]

Other Animals

Transport enclosures that are removable from the primary conveyance, such as crates, cartons, or cages, must have walls with ventilation openings that meet the following requirements:

[3.137(a)(4), 3.137(g)]

Number of ventilated walls	Position of the walls	Required ventilation area
1	front	90%
2	opposing walls	16% of each wall
4	4 opposing	8% of each wall

The ventilation area must: [3.137(a)(4)]

- have at least $\frac{1}{3}$ of the total ventilation area located on the **upper** $\frac{1}{2}$ of the enclosure, and
- have at least $\frac{1}{3}$ of the total ventilation area located on the **lower** $\frac{1}{2}$ of the enclosure

Each wall with a ventilation opening must have a projecting rim to:
[3.137(a)(5)]

- prevent obstruction of openings
- provide a minimum of 0.75" air circulation space between the enclosure and any wall or object

**SHELTER FROM
THE ELEMENTS**

A research facility which moves a live animal in transit must provide adequate shelter from the elements. [3.19, 3.41, 3.66, 3.92, 3.142]

Criteria

Adequate shelter includes, but is not limited to:

- shelter from sunlight
 - ▶ sufficient shade to protect the animal from the direct rays of the sun [3.19(a)(1), 3.41(a)(1), 3.66(a)(1), 3.92(a)(1), 3.142(a)(1)]
- shelter from the extreme heat
 - ▶ an animal cannot be exposed to surrounding ambient temperatures which exceed 85° F for more than 45 minutes [3.19(a)(1), 3.41(a)(1), 3.66(a)(1), 3.92(a)(1), 3.142(a)(1)]
 - ▶ ambient temperature is measured at a point not more than 3 feet from an outside wall of the primary enclosure and approximately midway up the side of the enclosure [3.18(d), 3.40, 3.65, 3.91(d), 3.141]
- shelter from rain & snow
 - ▶ sufficient protection must be provided to allow the animal to remain dry during rain, snow, sleet, etc. [3.19(a)(2), 3.41(a)(2), 3.66(a)(2), 3.92(a)(2), 3.142(a)(2)]
- shelter from cold temperature (see page 13.12.2)

When climatic conditions present a threat to an animal's health and well-being, appropriate measures must be taken to alleviate the impact of those conditions. [2.131(d)]

An animal may not be subjected to any combination of the following climatic conditions that is detrimental to its health and well-being: [2.131(d)]

- temperature
- humidity
- time

When determining if climatic conditions are detrimental to an animal's health and well-being, the following factors must be taken into consideration: [2.131(d)]

- age
- species
- breed
- overall health status
- acclimation

**SHELTER
FROM COLD
TEMPERATURES**

Species Specific

Dogs & Cats

- transporting devices used to move an animal must be covered to protect the animal when the outdoor temperature falls below 50° F [3.19(a)(3)]
- an animal must not be exposed to an ambient temperature below 45° F for a period of more than 45 minutes **unless** accompanied by an acclimation certificate [3.19(a)(3)]
- ambient temperature is measured at a point not more than 3 feet from an outside wall of the primary enclosure and approximately midway up the side of the enclosure [3.18(d)]

Guinea Pigs & Hamsters

- transporting devices used to move an animal must be covered to protect the animal when the outdoor temperature falls below 50° F [3.41(c)(3)]
- a *guinea pig* must not be exposed to an ambient temperature below 45° F for a period of more than 45 minutes [3.41(a)(3)]
- a *hamster* must not be exposed to an ambient temperature below 45° F for a period of more than 45 minutes **unless** accompanied by an acclimation certificate [3.37(g), 3.41(a)(3)]

- ambient temperature is measured at a point not more than 3 feet from an outside wall of the primary enclosure and approximately midway up the side of the enclosure [3.40]

Rabbits

- transporting devices used to move an animal must be covered to protect the animal when the outdoor temperature falls below 50° F [3.66(a)(3)]
- an animal must not be exposed to an ambient temperature below 45° F for a period of more than 45 minutes **unless** accompanied by an acclimation certificate [3.66(a)(3)]
- ambient temperature is measured at a point not more than 3 feet from an outside wall of the primary enclosure and approximately midway up the side of the enclosure [3.65]

Nonhuman Primates

- transporting devices used to move an animal must be covered to protect the animal when the outdoor temperature falls below 45° F [3.92(a)(3)]
- an animal must not be exposed to an ambient temperature below 45° F for a period of more than 45 minutes **unless** accompanied by an acclimation certificate [3.92(a)(3)]
- ambient temperature is measured at a point not more than 3 feet from an outside wall of the primary enclosure and approximately midway up the side of the enclosure [3.91(d)]

Other Animals

- transporting devices used to move an animal must be covered to protect the animal when the outdoor temperature falls below 50° F [3.142(a)(3)]
- an animal must not be exposed to an ambient temperature below 45° F for a period of more than 45 minutes **unless** accompanied by an acclimation certificate [3.142(a)(3)]

- ambient temperature is measured at a point not more than 3 feet from an outside wall of the primary enclosure and approximately midway up the side of the enclosure [3.141]

TRANSPORTED GROUPS - COMPATIBILITY	Live animals transported in the same primary enclosure must be compatible. [3.14, 3.36, 3.61, 3.87, 3.113, 3.137]
Criteria	Animals transported in the same enclosure must be: <ul style="list-style-type: none"> • of the same species • of comparable size • non-aggressive toward each other
Exception	Dogs and cats that are private pets, compatible, and of comparable size may be transported in the same primary enclosure
Species Specific	<p>Dogs & Cats Acceptable groups for transportation include, but are not limited to, puppies and kittens 4 months of age or less: [3.14(d)(2)]</p> <ul style="list-style-type: none"> • as a litter, or • with their dam <p>Unacceptable groupings for transportation include, but are not limited to:</p> <ul style="list-style-type: none"> • overly aggressive or vicious dogs or cats with other animals [3.14(d)(3)] • female dogs or cats in heat with any male animal [3.14(d)(4)] <p>Nonhuman Primates Only one nonhuman primate must be placed in a transport enclosure except for: [3.87(d)(1)]</p> <ul style="list-style-type: none"> • a mother and her nursing infant • an established male-female pair • an established family group • a compatible pair of juveniles that have not reached puberty <p>Nonhuman primates must be of the same species if transported in adjacent or connected primary enclosures. [3.87(d)(2)]</p>

A female nonhuman primate in estrus may **not** be transported with a male. [3.87(d)(1)(ii)]

Marine Mammals [3.113(d)]

Sexually immature marine mammals must only be transported with:

- their dams, or
- other juvenile marine mammals

Socially dependant animals, e.g., sibling, dam, or other member of a family group, must be allowed visual and olfactory contact whenever reasonable.

A female marine mammal must **not** be transported with any mature male marine mammal.

Other Animals [3.137(b)]

Sexually immature animals must only be transported with:

- their dams, or
- other juvenile animals

Socially dependant animals must be allowed visual and olfactory contact whenever reasonable.

A female animal in season must **not** be transported with any mature male animal.

14.0 Records

Annual Report.....	14.1
Dogs & Cats.....	14.2
Health Records.....	14.3
IACUC Records.....	14.4
Other Animals.....	14.5
Personnel Records.....	14.6
Veterinary Care Records.....	14.7

<p>ANNUAL REPORT</p>	<p>Each registered research facility, including Federal research facilities, must submit an annual report to APHIS Animal Care. [2.36, Policy #17]</p>
<p>Criteria</p>	<p>The annual report: [Policy #17]</p> <ul style="list-style-type: none"> • must be submitted on APHIS Form 7023 (Annual Report of Research Facility) and APHIS Form 7023A (Continuation Sheet for Annual Report of Research Facility) (see 14.1.6 and 14.1.8) • forms will be sent to the research facility by the appropriate AC Regional Office on or before September 15th of each year <p>The annual report must: [2.36(a)]</p> <ul style="list-style-type: none"> • cover the previous Federal fiscal year (October 1st through September 30th) • be signed by the CEO or Institutional Official • be submitted by December 1st of each calendar year • be submitted to the Animal Care Regional Director for the State where the research facility is registered <p>See “The Top Ten Tips for Completing the USDA Annual Report” on page 14.1.11.</p>
<p>Content</p>	<p><i>Assurance Statements</i></p> <p>The annual report must contain the following assurances (as found on Form 7023) from the research facility:</p> <ul style="list-style-type: none"> • professionally acceptable standards governing the care, treatment and use of the animals, including appropriate use of anesthetic, analgesic, and tranquilizing drugs, were followed prior to, during, and following actual research, teaching, testing, surgery, or experimentation [2.36(b)(1)] • each principal investigator has considered alternatives to painful procedures [2.36(b)(2)] • the research facility is adhering to the standards and regulations under the AWA [2.36(b)(3)]

- the research facility has required that exceptions to the standards and regulations: [2.36(b)(3)]
 - be specified and explained by the principal investigator
 - be approved by the IACUC
- NOTE: See *Reporting Exceptions* on page 14.1.4.

Reporting Facilities

The research facility must report all locations, i.e. Sites, where animals were: [2.36(b)(4)]

- housed
- held
- used in research, teaching, testing, or experimentation

NOTE: Specific addresses are not required; location (Site) descriptions, such as Biology Department, are acceptable.

Reporting Animals - Pain Categories

The annual report must state the **common names** and the numbers of animals upon which research, teaching, testing, or experimentation was conducted involving:

- no pain, distress or need to use pain-relieving drugs (Column C) Note: Animals undergoing routine procedures, such as injections, tattooing, and blood sampling should be reported in this Category. [2.36(b)(5)]
- pain or distress to the animals for which appropriate anesthetic, analgesic or tranquilizing drugs were administered (Column D) [2.36(b)(6)]
- pain or distress to the animals for which the use of anesthetic, analgesic or tranquilizing drugs would have adversely affected the procedures, results, or interpretation of the research, teaching, testing, surgery, or experimentation (Column E) [2.36(b)(7)]

NOTE: An explanation of the procedures producing pain or distress and the reasons pain/distress relieving drugs were not used must be attached to the annual report. (See

Optional Column E Explanation Form - page 14.1.10)

The annual report must state the **common names** and numbers of animals not used for research but being: (Column B)

- bred
- conditioned
- held

Note: Column B colony animals used for a research protocol during a fiscal year are counted as research animals, not as colony animals, that fiscal year.

Unusual Circumstances

Occasionally, unexpected pain/distress or animal incidents occur which may result in questions on how best to report these animals on the annual report. The following examples are provided for guidance:

Example 1 - An animal experiences unexpected pain due to the research procedures during a study. The pain is recognized and appropriately treated. - Column D

Example 2 - An animal experiences unexpected pain due to the research procedures during a study. The pain is recognized but the principal investigator determines that the use of analgesics, anesthetics or tranquilizers would adversely affect the study. - Column E

Example 3 - An animal experiences unexpected pain or distress due to the research procedures during a study. The pain is recognized and the animal is euthanized in a timely manner. - Column D

Example 4 - An animal unexpectedly dies during a study. The animal had been monitored appropriately and there were no pre- or post-mortem signs of pain or distress. The animal had not experienced pain as part of the study. - Column C

Example 5 - An animal incident occurs where an animal experiences pain or distress which is completely unrelated to the study. The animal is treated with appropriate analgesia. - Animal should be reported in the column appropriate to the study.

Example 6 - An animal develops a medical condition and experiences pain or distress entirely unrelated to the study. Analgesics, anesthetics or tranquilizers would adversely affect the study so the animal is treated with palliative husbandry methods. - Column E (because pain relief must be withheld due to the study)

Reporting Animals - Numbers

An animal is counted:

- only once per year, even if it was used in more than one protocol
- in the most painful/distressful Category, if used in more than one protocol
- every year if it is on a multi-year protocol

Non-regulated Animals

Animals exempt from regulation under the AWA should not be reported on the annual report. Examples of non-regulated animals are:

- birds
- reptiles
- amphibians
- laboratory mice of the genus *Mus*
- laboratory rats of the genus *Rattus*

NOTE: Wild rodents are regulated under the AWA and must be reported.

Reporting Exceptions

A summary of the IACUC-approved exceptions must be attached to the annual report and include: [2.36(b)(3)]

- the IACUC-approved exceptions
- a brief explanation of the exceptions
- the species and number of animals affected

Examples of reportable exceptions include, but are not limited to:

- use of an animal in more than one protocol involving a major operative procedure from which it is allowed to recover

	<ul style="list-style-type: none">• deprivation of food or water, such as:<ul style="list-style-type: none">▶ inadequate nutrition▶ feeding less than once a day▶ watering less than twice a day for an hour each time• maintaining animals at temperatures outside the ranges specified by the standards• not cleaning and/or sanitizing at required frequencies• not providing diurnal lighting as required• not meeting space requirements (including innovative enclosures)• exceptions from the exercise plan for dogs• exceptions from the psychological well-being plan for primates
Inspector Verification	<p>You (the inspector) should verify that the Research Facility's Annual Report is accurate, that is:</p> <ul style="list-style-type: none">• all animal facilities are reported• the number of animals reported is correct• animals are reported in the correct Column• IACUC-approved exceptions are reported• there are justifications for all Column E animals <p>Methods of verifying the animal numbers include, but are not limited to:</p> <ul style="list-style-type: none">• counting the animals, if appropriate or feasible• asking Research Facility representative to demonstrate how the number of animals was determined for:<ul style="list-style-type: none">▶ a particular species, or▶ a Column from the Annual Report• review of:<ul style="list-style-type: none">▶ acquisition records▶ protocol medical or animal-usage records▶ animal ordering information, such as invoices or computer animal tracking systems▶ animals ordered in comparison to number of animals approved for a particular protocol▶ facility animal census records▶ internal billing records to PIs for animal housing/care

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

1. REGISTRATION NO.

FORM APPROVED
OMB NO. 0579-0036

**ANNUAL REPORT OF RESEARCH FACILITY
(TYPE OR PRINT)**

2. HEADQUARTERS RESEARCH FACILITY (Name and Address, as registered with USDA, include Zip Code)

3. REPORTING FACILITY (List all locations where animals were housed or used in actual research, testing, teaching, or experimentation, or held for these purposes. Attach additional sheets if necessary.)

FACILITY LOCATIONS (Sites)

REPORT OF ANIMALS USED BY OR UNDER CONTROL OF RESEARCH FACILITY (Attach additional sheets if necessary or use APHIS FORM 7023A.)

A. Animals Covered By The Animal Welfare Regulations	B. Number of animals being bred, conditioned, or held for use in teaching, testing, experiments, research, or surgery but not yet used for such purposes.	C. Number of animals upon which teaching, research, experiments, or tests were conducted involving no pain, distress, or use of pain-relieving drugs.	D. Number of animals upon which experiments, teaching, research, surgery, or tests were conducted involving accompanying pain or distress to the animals and for which appropriate anesthetic, analgesic, or tranquilizing drugs were used.	E. Number of animals upon which teaching, experiments, research, surgery or tests were conducted involving accompanying pain or distress to the animals and for which the use of appropriate anesthetic, analgesic, or tranquilizing drugs would have adversely affected the procedures, results, or interpretation of the teaching, research, experiments, surgery, or tests. (An explanation of the procedures producing pain or distress in these animals and the reasons such drugs were not used must be attached to this report.)	F. TOTAL NO OF ANIMALS (Cols. C + D + E)
4. Dogs					
5. Cats					
6. Guinea Pigs					
7. Hamsters					
8. Rabbits					
9. Non-human Primates					
10. Sheep					
11. Pigs					
12. Other Farm Animals					
13. Other Animals					

SAMPLE

ASSURANCE STATEMENTS

- 1) Professionally acceptable standards governing the care, treatment, and use of animals, including appropriate use of anesthetic, analgesic, and tranquilizing drugs, prior to, during, and following actual research, teaching, testing, surgery, or experimentation were followed by this research facility.
- 2) Each principal investigator has considered alternatives to painful procedures.
- 3) This facility is adhering to the standards and regulations under the Act, and it has required that exceptions to the standards and regulations be specified and explained by the principal investigator and approved by the Institutional Animal Care and Use Committee (IACUC). A summary of all such exceptions is attached to this annual report. In addition to identifying the IACUC-approved exceptions, this summary includes a brief explanation of the exceptions, as well as the species and number of animals affected.
- 4) The attending veterinarian for this research facility has appropriate authority to ensure the provision of adequate veterinary care and to oversee the adequacy of other aspects of animal care and use.

**CERTIFICATION BY HEADQUARTERS RESEARCH FACILITY OFFICIAL
(Chief Executive Officer or Legally Responsible Institutional Official)**

I certify that the above is true, correct, and complete (7 U.S.C. Section 2143).

SIGNATURE OF C.E.O. OR INSTITUTIONAL OFFICIAL

NAME & TITLE OF C.E.O. OR INSTITUTIONAL OFFICIAL (Type or Print)

DATE SIGNED

INSTRUCTIONS FOR COMPLETION OF APHIS FORM 7023

(Refer to 9 CFR Part 2, Subpart C, Sections 2.33 and 2.36)

- ITEM 1 - Enter registration number as assigned to the Research Facility by United States Department of Agriculture (USDA).
- ITEM 2 - Enter the complete name and address of the Headquarters Research Facility as registered with USDA.
- ITEM 3 - List location of each Facility or Site where animals were housed or used in actual research, testing, teaching, or experimentation, or held for these purposes. (Attached additional sheets if necessary.)
- ITEM 4 - 13 - DO NOT enter numbers in Column A. DO NOT add numbers entered in Column B into the total in Column F. Column F is to show total of numbers entered in Columns C + D + E. Entries in Column E must be explained on attached sheet(s).
- ITEM 12 - List by common name all other farm animal species.
- ITEM 13 - Other: List, by common name, all other warm-blooded animal species covered by the Regulations. (This will include all wild or exotic species.) Attach additional sheets if necessary or use APHIS Form 7023A.
- CERTIFICATION:** Must be signed by the Chief Executive Officer (C.E.O.) of the Registered Research Facility or other Institutional Official (I.O.) having authority to legally commit on behalf of the Registered Research Facility. Sign, Print or type Name and Title, and Date.

RETURN COMPLETED FORM WITH AN ORIGINAL SIGNATURE OF C.E.O. OR I.O. TO APPROPRIATE SECTOR OFFICE.

SAMPLE

INSTRUCTIONS FOR COMPLETION OF APHIS FORM 7023A

(Refer to 9 CFR Part 2, Subpart C, Sections 2.33 and 2.36)

ITEM 1 - Enter registration number as assigned to the Research Facility by United States Department of Agriculture (USDA).

ITEM 2 - Enter the complete name and address of the Headquarters Research Facility as registered with USDA.

ITEM 12/13 - Other: List, by common name, all other warm-blooded animal species covered by the Regulations. (This will include farm species used in biomedical or non-agricultural research, and all wild or exotic species.)

DO NOT enter numbers in Column A. **DO NOT** add numbers entered in Column B into the total in Column F. Column F is to show total of numbers entered in Columns C + D + E. Entries in Column E must be explained on attached sheet(s).

CERTIFICATION: Must be signed by the Chief Executive Officer (C.E.O.) of the Registered Research Facility or other Institutional Official (I.O.) having authority to legally commit on behalf of the Registered Research Facility. Sign, Print or type Name and Title, and Date.

RETURN COMPLETED FORM WITH AN ORIGINAL SIGNATURE OF C.E.O. OR I.O. TO APPROPRIATE SECTOR OFFICE.

SAMPLE

Optional Column E Explanation Form

This form is intended as an aid to completing the Column E explanation. It is not an official form and its use is voluntary. Names, addresses, protocols, veterinary care programs, and the like, are not required as part of an explanation. A Column E explanation must be written so as to be understood by lay persons as well as scientists.

1. Registration Number: _____
2. Number _____ of animals used in this study.
3. Species (common name) _____ of animals used in this study.
4. Explain the procedure producing pain and/or distress.

5. Provide scientific justification why pain and/or distress could not be relieved. State methods or means used to determine that pain and/or distress relief would interfere with test results. (For Federally mandated testing, see question 6 below)

6. What, if any, federal regulations require this procedure? Cite the agency, the Code of Federal Regulations (CFR) title number and the specific section number (e.g., APHIS, 9 CFR 113.102):

Agency _____ CFR _____

The Top Ten Tips for Completing the USDA Annual Report

Robert A. Willems, DVM and
Joseph A. Nelson

From choosing the wrong pain categories, to sloppy arithmetic, there are a number of potential pitfalls when completing and filing a USDA annual report. The authors offer clarification and guidance to make the process easier.

Every year each research facility registered with the United States Department of Agriculture (USDA) under the Animal Welfare Act (AWA) must submit an annual report to the USDA listing the number of animals used in studies by that institution during the previous year. Here are ten suggestions to help the research community properly fill out the report and avoid some of the more common mistakes. We hope that these tips will make it easier for researchers to fulfill their annual reporting requirements.

1. If you are using the paper form of the annual report, please use the Animal and Plant Health Inspection Service (APHIS) Form 7023 provided to you. Do not submit your own version of the form. Submit the original only. Copies are not necessary.

2. If you choose to use the electronic version of the annual report from the internet, you must request a new password each year from APHIS's Animal Care (AC) staff. Passwords from previous years will not work. Either AC Regional Office in Raleigh, NC (tel: 919-855-7100) or Ft. Collins, CO (tel: 970-494-7480) can assist you with instructions on how to submit your Annual Report via the internet.

3. It is not necessary to include animals on the report that are not regulated under the AWA, such as laboratory rats and mice, birds, fish, amphibians, reptiles, farm animals used in agricultural research, or free-living wild animals involved in research meeting the definition of a field study. If you wish to include these animals voluntarily, please do so at the end of the report, and label that section "Nonregulated Animals."

4. Consolidate the numbers to be reported from the various sites operated by your registered facility on a single submitted form. Do not send in a separate form for each site at which the facility used animals in the previous year. Instead, attach to the report a statement listing the location

of all facilities or sites at which animals were used during the previous year.

5. Check your arithmetic. The totals listed in column F should equal the sum of those animals listed in columns C, D, and E. Do not include the numbers from column B in these totals.

6. Enter animals into the correct columns for their pain category. For example, you should enter in column D, not column E, animals for which pain relief was provided during the study. Enter in column C animals that experienced no pain or only slight or momentary pain, as from an injection.

7. All animals listed in column E require both a description of the procedure causing the pain and/or distress and an explanation of why relief from the pain and/or distress was not provided. A description of the procedure alone is not sufficient. Attach the description and explanation to the reporting form.

8. If your Institutional Animal Care and Use Committee (IACUC) has approved any exceptions to the AWA standards during the previous year, you must attach a summary of those exceptions to the annual report. For example, if the IACUC approved the temporary housing of an animal in a cage with smaller floor space than that required by the regulations for that animal so as to meet the scientific requirements of the study, then that is an exception to the standards and you must report it.

9. The annual report should be signed and dated by the Chief Executive Officer (CEO) or Institutional Official (IO) of the institution, as listed on the institution's USDA registration form. The submitted form must bear the original signature of the IO or CEO.

10. Be sure your annual report is submitted each year to the appropriate Animal Care Regional Office by the 1 December deadline.

The authors are in the USDA/APHIS/AC Eastern Region Office, 920 Main Campus Dr., Ste. 200, Raleigh, NC 27606. Please address correspondence to Willems at Robert.A.Willems@aphis.usda.gov.

DOGS & CATS	Each research facility must make, keep, and maintain records or forms for all live dogs and cats which disclose required information on acquisitions, dispositions, births, and deaths. [2.35]
Criteria:	<p>Records must be kept on live dogs/cats which are: [2.35(b) & (c)]</p> <ul style="list-style-type: none"> • purchased or otherwise acquired such as donations • owned • held • in the research facility's possession or control • transported • euthanized • sold or otherwise disposed of • offspring born of any dog/cat in the research facility's possession or control
Acquisition	<p>The record of acquisition for each live dog and cat must contain the following information:</p> <ul style="list-style-type: none"> • name and complete address of the seller or donor [2.35(b)(1)] • USDA license or registration number if seller/donor is USDA licensed or registered [2.35(b)(2)] • if seller/donor is not USDA licensed or registered: [2.35(b)(3)] <ul style="list-style-type: none"> ▶ vehicle license number and State, and ▶ driver's license number and State, or ▶ ID number and State of a State-issued photographic identification card for nondrivers (see next page) • date animal was acquired through: [2.35(b)(4)] <ul style="list-style-type: none"> ▶ birth ▶ purchase ▶ donation ▶ transfer ▶ breeding loan ▶ exchange • official USDA tag, tattoo, or microchip number, if applicable [2.35(b)(5)] NOTE: If the microchip is located in a different location from where the research facility places its microchips, the location of the microchip must be noted in the animal's record.

- a description of each animal [2.35(b)(6)]
- the species and breed or type [2.35(b)(6)(i)]
- the sex of the animal(s) [2.35(b)(6)(ii)]
- date of birth or approximate age [2.35(b)(6)(iii)]
- the color and any distinctive markings [2.35(b)(6)(iv)]
- any identification number or mark assigned to the dog or cat by the research facility [2.35(b)(7)]
- if seller is not USDA licensed or registered and not a pound or shelter, a written certification that: [2.35(b)(8)]
 - ▶ the dogs/cats were born and raised on the person's premises, and
 - ▶ the person has sold fewer than 25 dogs and/or cats that year

If the vehicle license number and/or driver's license/official identification card number cannot be obtained, the record must contain:

- an acceptable reason for not obtaining this information, and
- at least two of the following:
 - ▶ social security number
 - ▶ phone number
 - ▶ directions to the premises of the seller/donor

Donated Animals

An individual may donate his/her dog(s) or cat(s) to a research facility, even if the dog/cat was not born and raised on his/her property. Donation of an animal is not considered a covered activity.

The research facility must have the required acquisition information for the animal.

Although a certification statement is not required, it is recommended that the research facility obtain one from the owner which may include, but not be limited to:

- name of the donor
- a statement that the dog/cat was voluntarily donated to the research facility
- reason for the donation, e.g., dog/cat has a rare disease

	<ul style="list-style-type: none">• a statement that the dog/cat was not born and raised at the person's property, if applicable• date the person obtained the animal, or• the length of time the person owned the dog/cat if he/she cannot remember exact acquisition date <p>Records of acquisition may be kept and maintained on: [2.35(d)(1)]</p> <ul style="list-style-type: none">• APHIS Form 7005-Record of Acquisition and Dogs and Cats on Hand (see page 14.2.5), and• APHIS Form 7001-The USDA Interstate and International Certificate of Health Examination for Small Animals (see page 13.4.3)
Disposition	<p>The record of disposition for each live dog and cat must contain the following information:</p> <ul style="list-style-type: none">• name and complete address of the buyer or person to whom the animal was transported to or given [2.35(c)(1)]• date animal was disposed of through: [2.35(c)(2)]<ul style="list-style-type: none">▶ death, including euthanasia▶ sale▶ donation▶ transfer▶ breeding loan▶ exchange• the method of transportation, if applicable, including: [2.75(c)(3)]<ul style="list-style-type: none">▶ name of the initial carrier or intermediate handler, or▶ name of the owner of the privately owned vehicle <p>Records of disposition may be kept and maintained on: [2.35(d)(2)]</p> <ul style="list-style-type: none">• APHIS Form 7006 - Record of Disposition of Dogs and Cats (see page 14.2.7), and• APHIS Form 7001-The USDA Interstate and International Certificate of Health Examination for Small Animals (see page 13.4.3)

All Records

A copy of the record containing all the required acquisition and disposition information must: [2.35(e)]

- be kept by the research facility
- accompany each shipment of a live dog/cat
- given to the receiver of each animal

NOTE: Record accompanying the shipment or given to the receiver does not have to contain the source and date of acquisition of the dog/cat, except as required for random source dogs and cats.

Records must be held for 3 years after an animal is disposed of or euthanized. [2.35(f)]

Records must be kept and maintained for more than 3 years if: [2.35(f)]

- necessary to comply with any applicable Federal, State, or local law
- the APHIS Administrator notifies the research facility, in writing, that specified records must be retained pending completion of an investigation or proceeding.

NOTE: The APHIS Administrator will inform the research facility, in writing, when the records may be disposed of.

Records must be available for inspection and copying by: [2.35(f)]

- any APHIS official
- any Federal funding agency representative

APHIS inspectors will:

- maintain the confidentiality of the information
- not remove the records from the research facility's premises

UNLESS:

- ▶ there has been an alleged violation
- ▶ the records are needed to investigate a possible violation
- ▶ the records are needed for enforcement purposes

Public reporting burden for this collection of information is estimated to average 1.8 annual hours per recordkeeper, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, AG Box 7630, Washington, D.C. 20250, and to the office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

BREED ABBREVIATIONS - DOGS (Columb F)

Afghan Hound	- AH	Dachshund	- DH	Komondor	- KM	Shih-tzu	- SI
Airedale Terrier	- AD	Dalmation	- DL	Labrador Retriever	- LR	Silky Terrier	- ST
Akita	- AK	Doberman	- DB	Lhasa Apso	- LA	Spitz	- SZ
American Bull Terrier	- AB	Eikhound	- EH	Malamute	- MM	Springer Spaniel	- SR
Basset Hound	- BH	English Bulldog	- EB	Mastiff	- MA	Staffordshire Bull Terrier	- SA
Beagle	- BE	English Setter	- ES	Maltese	- MT	Walker	- WK
Bedlington Terrier	- BL	Esimo Dog	- ED	Miniature Pinscher	- MP	Weimaraner	- WI
Bichon Frise	- BF	Foxhound	- FH	Newfoundland	- NF	Welsh Corgi	- WC
Black and Tan Coonhound	- BT	Fox Terrier	- FT	Old English Sheepdog	- OE	Whippet	- WH
Bluetick	- BK	French Bulldog	- FB	Pekingese	- PK	Yorkshire Terrier	- YT
Boston Terrier	- BO	German Shepherd	- GS	Pomeranian	- PM	Other (Specify)	
Boxer	- BX	German Short Haired Pointer	- SH	Poodle	- PU		
Bulmastiff	- BM	Golden Retriever	- GR	Pug	- PB		
Cairn Terrier	- CT	Gordon Setter	- GO	Redbond Coonhound	- RB		
Catahoula	- CU	Great Dane	- GD	Rhodesian Ridgeback	- RR		
Chihuahua	- CA	Great Pyrenees	- GP	Rottweiler	- RW		
Chinese Crested Dog	- CD	Greyhound	- GH	Saint Bernard	- SB		
Chow-Chow	- CC	Husky	- HK	Samoyed	- SM		
Cocker Spaniel	- CK	Irish Setter	- IS	Schipperkee	- SK		
Collie	- CL	Jack Russel Terrier	- JR	Schnauzer	- SN		
Coonhound (Specify)	- CH	Keeshond	- KH	Scottish Terrier	- SC		
		King Charles Spaniel	- KC	Shar-pei	- SP		
				Shetland Sheepdog	- SS		

TYPE (Columb F)

Hound Crossbreed	- HX
Terrier Crossbreed	- TX
Shepard Crossbreed	- SX
Spaniel Crossbreed	- PX

CATS (C-d F)

Abyssinian	- AH	Persian	- PR
Burmese	- BU	Russian Blue	- RB
Domestic Long Hair	- DL	Rex	- RE
Domestic Short Hair	- DS	Siamese	- SI
Himalayan	- HM	Other (Specify)	
Maine Coon	- MC		
Manx	- MX		

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Agriculture, Clearance Officer, OIRM, Room 404-W, Washington, D.C. 20250, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503

BREED ABBREVIATIONS - DOGS (Col. F)

Alghan Hound	- AH	English Setter	- ES	Pomeranian	- PM
Airedale Terrier	- AD	Eskimo Dog	- ED	Poodle	- PO
Akita	- AK	Foxthound	- FH	Pug	- PU
American Bull Terrier	- AB	Fox Terrier	- FT	Redbone Coonhound	- RB
Basenji	- BS	French Bulldog	- FB	Rhodesian Ridgeback	- RR
Basenji Hound	- BH	German Shepherd	- GS	Rotweiler	- RW
Beagle	- BE	German Short Haired Pointer	- SH	Saint Bernard	- SB
Bedlington Terrier	- BL	Golden Retriever	- GR	Samoyed	- SM
Bichon Frise	- BF	Gordon Setter	- GO	Schapperkiee	- SK
Black and Tan Coonhound	- BT	Great Dane	- GD	Schnauzer	- SN
Bluetick	- BK	Great Pyrenees	- GP	Scottish Terrier	- SC
Boston Terrier	- BO	Greyhound	- GH	Shar-pei	- SP
Boxer	- BX	Husky	- HK	Shetland Sheepdog	- SS
Bulldog	- BM	Irish Setter	- IS	Shih-tzu	- SI
Cairn Terrier	- CT	Jack Russell Terrier	- JR	Silky Terrier	- ST
Catahoula	- CU	Keeshond	- KH	Spitz	- SZ
Chihuahua	- CA	King Charles Spaniel	- KC	Springer Spaniel	- SR
Chinese Crested Dog	- CD	Komondor	- KM	Staffordshire Bull Terrier	- SA
Chow-Chow	- CC	Labrador Retriever	- LR	Walker	- WK
Cocker Spaniel	- CK	Lhasa Apso	- LA	Werneraner	- WI
Collie	- CL	Malamute	- MA	Welsh Corgi	- WC
Coonhound (Specify)	- CH	Mastiff	- MA	Whippet	- WH
Dachshund	- DH	Maltese	- MT	Yorkshire Terrier	- YT
Dalmation	- DL	Miniature Pinscher	- MP	Other (specify)	
Doberman	- DB	Newfoundland	- NF		
Elkhound	- EH	Old English Sheepdog	- OE		
English Bulldog	- EB	Pekingese	- PK		

BREED ABBREVIATIONS - CATS (Col. F)

Abyssinian	- AB	Manx	- MX	Other (specify)	
Burmese	- BU	Persian	- PR		
Domestic Long Hair	- DL	Russian Blue	- RB		
Domestic Short Hair	- DS	Rex	- RE		
Himalayan	- HM	Siamese	- SI		
Maine Coon	- MC				

TYPE (Col. F)

Hound Crossbreed	- HX
Terrier Crossbreed	- TX
Shepard Crossbreed	- SX
Spaniel crossbreed	- PX

HEALTH RECORDS	Research facilities must maintain specific health records for marine mammals and should maintain health records for all regulated animals. [3.110, Policy #3, Policy #21]
Requirement	<p>Health records are not specifically required by the AWA regulations, except for marine mammals. Therefore, a lack of health records or inadequacy of the health records may not be cited as a stand-alone violation, except for marine mammals.</p> <p>The citation of inadequate veterinary care for a sick animal may include a reference to the lack or inadequacy of health records, if appropriate.</p> <p>Health records, if maintained, should be:</p> <ul style="list-style-type: none">• current• legible• sufficiently comprehensive to demonstrate the delivery of adequate veterinary care• consistent with professional standards <p>The system of health records may be described in the written Program of Veterinary Care for those research facilities not employing a full time veterinarian.</p>
Contents	<p>Health records should include, but are not limited to:</p> <ul style="list-style-type: none">• identity of the animal• description of any:<ul style="list-style-type: none">▶ illness▶ injury▶ distress▶ behavioral abnormality• dates, details, and results (if appropriate) of all medically-related:<ul style="list-style-type: none">▶ observations▶ examinations▶ tests

- ▶ procedures, such as:
 - vaccinations
 - fecal examinations
 - radiographs
 - surgeries
 - necropsies
- treatment plans which should include:
 - ▶ diagnosis
 - ▶ prognosis, when appropriate
 - ▶ type of treatment
 - ▶ frequency of treatment
 - ▶ duration of treatment
 - ▶ criteria and/or schedule for re-evaluation by the attending veterinarian
 - ▶ allowable activity level for the animal
 - ▶ restriction, if any, for the animal
- treatment history which should include:
 - ▶ dates of all treatment
 - ▶ names of drugs or other medications given
 - ▶ dose & route
 - ▶ frequency
 - ▶ duration of treatment
- resolution of any noted problem(s)

Record-keeping

Health records may be kept in any format that the research facility chooses as long as all required information is readily available.

Group health records

Routine husbandry and preventive medical procedures performed on a group of animals may be recorded on herd-health type records.

Individual health records

Treatment of an individual animal should be on an entry specific for that animal.

Availability

Health records should be readily available for review.

Health records at a research facility may be held by:

- the attending veterinarian
- investigator(s)
- other designated employee(s)

NOTE: Health records must be readily available.

If health records are divided between personnel, the records should be:

- appropriately cross-referenced
- complete

Health records should be held:

- for at least 1 year after the animal's disposition or death
- longer than 1 year as required by other applicable laws or policies

A copy of an animal's health records should accompany the animal when it is transferred to another research facility, person or location.

The transferred health record should contain:

- the animals's medical history
- information on any ongoing or chronic problems
- most current preventive medical procedures, such as:
 - ▶ vaccinations
 - ▶ deworming

Species Specific

Marine Mammals [3.110]

Individual marine mammal medical/health records **must** be kept and include the following information, at a minimum:

- animal identification/name [3.110(d)(1)]
- a physical description, such as: [3.110(d)(1)]
 - ▶ identifying markings
 - ▶ scars
- age [3.110(d)(1)]
- sex [3.110(d)(1)]

- physical examination information, including, but not limited to: [3.110(d)(2)]
 - ▶ length
 - ▶ weight
 - ▶ physical examination results by body system
 - ▶ identification of all medical and physical problems
 - ▶ all diagnostic test results
 - ▶ proposed plan of action for medical/physical problems
 - ▶ documentation of treatment
- visual examination information

Individual animal medical/health records must be: [3.110(d)]

- kept at the facility where the marine mammal is housed
- available for APHIS inspection

A copy of the individual marine mammal's medical/health record must accompany the animal if it is transferred to another facility, including contract and satellite facilities. [3.110(e)]

Necropsy Reports [3.110(g)]

The preliminary necropsy report must: [3.110(g)(1)]

- be prepared by the veterinarian conducting the necropsy
- list all pathological lesions observed

The final necropsy report must include: [3.110(g)(1)]

- all gross findings
- all histopathology findings
- results of all laboratory tests performed
- a pathological diagnosis

Necropsy reports must be: [3.110(g)(2)]

- maintained at the marine mammal's home facility
- maintained at the facility where the marine mammal died, if different than the home facility
- kept for 3 years
- available for APHIS inspection

IACUC RECORDS	The research facility must maintain records of the IACUC's activities. [2.35]
Records	The IACUC records which must be maintained include, but are not limited to: <ul style="list-style-type: none">• minutes of the IACUC meetings, including:<ul style="list-style-type: none">▶ a list of members who attended and/or did not attend▶ all the activities conducted by the IACUC at the meeting▶ substance of the deliberations of the IACUC, not just the decisions reached▶ any minority views▶ approval of the minutes (usually of the previous meeting) by the IACUC• verification of appointment of IACUC members by the Chief Executive Officer (CEO)• records relating to animal activities, including:<ul style="list-style-type: none">▶ protocols▶ proposed significant changes to protocols▶ IACUC decisions on protocols and proposed changes▶ notification of Principal Investigator and Institutional Official of IACUC decisions on protocols and proposed changes▶ notification of suspension of protocol▶ annual review of protocols• program of humane care and use• semi-annual reports, including:<ul style="list-style-type: none">▶ review of humane care and use program▶ facility inspection▶ report of program review to the Institutional Official, including minority views▶ significant deficiency reports• recommendations to the Institutional Official• complaint investigations• approved exemptions/exceptions to the regulations or standards

Retention

All records and reports must be maintained: [2.35(f)]

- at least 3 years, or
 - longer if:
 - ▶ necessary to comply with any applicable Federal, State, or local law
 - ▶ the APHIS Administrator notifies the research facility, in writing, that specified records must be retained pending completion of an investigation or proceeding
- NOTE: The APHIS Administrator will inform the research facility, in writing, when the records may be disposed of.

Records must be held at least 3 years from the date: [2.35(f)]

- an animal is disposed of or euthanized
- of completion of the IACUC-approved protocol
- of completion of the IACUC-approved significant change to a protocol

Availability

Records must be available for inspection and copying by: [2.35(f)]

- any APHIS official
- any Federal funding agency representative

APHIS inspectors will: [2.35(f)]

- maintain the confidentiality of the information
 - not remove the records from the research facility's premises
- UNLESS:
- ▶ there has been an alleged violation
 - ▶ the records are needed to investigate a possible violation
 - ▶ the records are needed for enforcement purposes

NOTE: Release of any materials removed from the facility that contain trade secrets, or commercial or financial information that is privileged or confidential will be governed by applicable sections of the Freedom of Information Act.

OTHER ANIMALS	Records of acquisition or disposition are not required by the AWA regulations for animals other than dogs and cats.
Acquisition Records	<p>Although there are no specific record keeping requirements for animals other than dogs and cats, acquisition, disposition and transportation records should be available as business information.</p> <p>You should review any acquisition, disposition and transportation records which are available. NOTE: Some of this information may be in the investigators' logs.</p> <p>Information from these records may be used to:</p> <ul style="list-style-type: none">• verify the number of animals reported on the facility's Annual Report• search for unlicensed dealers, or unregistered carriers and intermediate handlers <p>Information on the acquisition records may include:</p> <ul style="list-style-type: none">• name and complete address of the seller or donor• USDA license or registration number if seller/donor is USDA licensed or registered• date animal was acquired through:<ul style="list-style-type: none">▶ birth▶ purchase▶ donation▶ transfer▶ breeding loan▶ exchange• any identification number or mark on the animal• the species and breed or type• a description of each animal• the sex of the animal• date of birth or approximate age• the color and any distinctive markings• the dollar amount of animals purchased from each source

Disposition Records

Information on the disposition records may include:

- name and complete address of the buyer or person to whom the animal was given or transported
- date animal was disposed of through:
 - ▶ death, including euthanasia
 - ▶ sale
 - ▶ donation
 - ▶ transfer
 - ▶ breeding loan
 - ▶ exchange
- any identification number or mark on the animal
- the species and breed or type
- a description of each animal
- the sex of the animal
- date of birth or approximate age
- the color and any distinctive markings
- the method of transportation, if applicable, including:
 - ▶ name of the initial carrier or intermediate handler, or
 - ▶ name of the owner of the privately owned vehicle

**Transportation
Records**

See Section 13 - Transportation

PERSONNEL RECORDS	The research facility must maintain records relating to the training and qualifications of its animal care and use personnel. [2.32]
	The research facility must adequately document the qualifications and training of personnel which may include, but not be limited to: <ul style="list-style-type: none">• curriculum vita/résumés• diplomas or certificates from educational institutions• sign-up sheets from in-house training programs• certificates of attendance at formal meetings• certificates of completion from relevant continuing education programs

VETERINARY CARE RECORDS	The research facility must maintain records relating to the veterinary care of the animals at the facility.
Required Records	<p>A research facility must maintain the following veterinary care records for all regulated animals, when applicable:</p> <ul style="list-style-type: none"> • written Program of Veterinary Care for part-time or consulting attending veterinarian [2.33(a)(1)] • attending veterinarian or IACUC approved exceptions/exemptions to the regulations/standards • acclimation statements for transportation
Species Specific	<p>Dogs & Cats In addition to the required records listed above, the following veterinary care records are required for dogs and cats, when applicable:</p> <ul style="list-style-type: none"> • exercise plan for dogs [3.8] • outdoor housing approval [3.4(a)] • health certificate for transport [2.38(h)] <p>Nonhuman Primates In addition to the required records listed above, the following veterinary care records are required for nonhuman primates, when applicable:</p> <ul style="list-style-type: none"> • environmental enhancement plan [3.81] • outdoor housing approval [3.78(a)] • health certificates for transport [2.38(h)] <p>Marine Mammals In addition to the required records listed above, the following veterinary care records are required for marine mammals, when applicable:</p> <ul style="list-style-type: none"> • water quality records [3.106] • individual marine mammal health records [3.110(d)] • necropsy records [3.110(g)] • health certificates for transport [3.112(a)]

**Recommended
Records**

A research facility should maintain the following records as a part of good animal husbandry practices:

- health records [Policy #3]
- surgery records [2.33(b)(2)]
- necropsy records [2.33(b)(2), Policy 21 & Policy 22]
- large felids non-commercial diet approval by attending veterinarian [Policy #25]

NOTE: These records are not specifically required by the AWA regulations and standards, except for marine mammals. Therefore, a lack of any of these records or inadequacy of these records may not be cited as a stand-alone violation, except for marine mammals.

The citation of inadequate veterinary care for a sick animal may include a reference to the lack or inadequacy of veterinary care records, if appropriate.

Additional non-required records which may be helpful in assessing veterinary care include, but are not limited to:

- animal logs
- cage wash validation sheets
- medical records related to protocols
- room maintenance logs
- standards operating procedures, if available
- surgical records related to protocols
- record of attending veterinarian's visits (see sample signature sheet on page 15.6.6)

15.0 Veterinary Care

Adequate Veterinary Care.....15.1
Attending Veterinarian.....15.2
Health Records.....15.3
Necropsy Requirements.....15.4
Veterinary Care Records.....15.5
Written Program of Veterinary Care..... 15.6

**ADEQUATE
VETERINARY
CARE**

A research facility must establish and maintain a program of adequate veterinary care. [2.33, 3.110, Policy #3 and Policy #22]

Criteria

An adequate program of veterinary care must include, but not be limited to:

- availability of appropriate:
 - ▶ facilities [2.33(b)(1)]
 - ▶ personnel [2.33(b)(1)]
 - ▶ equipment [2.33(b)(1)]
 - ▶ emergency, weekend, and holiday care [2.33(b)(2)]
- use of appropriate methods to prevent, control, diagnose, and treat diseases and injuries [2.33(b)(2)]
- daily observation of the animals to assess their health by the attending veterinarian or other research facility personnel [2.33(b)(3)]
- a mechanism for direct and frequent communication with the attending veterinarian on problems of animal health, well-being and behavior [2.33(b)(3)]
- pre-procedural and post-procedural care in accordance with established veterinary medical and nursing procedures, such as: [2.33(b)(5)]
 - ▶ wound care
 - ▶ drugs/dosages
 - ▶ activity level
- guidance for principal investigators and other personnel on: [2.33(b)(4)]
 - ▶ handling
 - ▶ immobilization
 - ▶ anesthesia
 - ▶ analgesia
 - ▶ tranquilization
 - ▶ euthanasia

- a preventive medical program, if necessary, for
 - ▶ zoonotic disease prevention
 - ▶ dietary considerations
 - a treatment/management plan for conditions requiring long term care, such as:
 - ▶ arthritis or lameness
 - ▶ stereotypic behaviors
 - ▶ under or over weight animals
 - ▶ foot care for elephants
 - a method of euthanasia consistent with the current *Report of the AVMA Panel on Euthanasia*
 - proper storage of drugs, biologicals, fluids, and other medical supplies and equipment
 - guidelines for performing necropsies which should include, but not be limited to:
 - ▶ all marine mammals
 - ▶ all elephants
 - ▶ at the discretion of the attending veterinarian
 - ▶ when a high death loss is occurring
 - ▶ when a significant number of unexplained deaths is occurring
 - ▶ when a strong chance exists that an undiagnosed infectious disease is present (with or without potential zoonoses)
 - ▶ when the circumstances around a death indicate that a violation of the AWA may have contributed to the death
- Note: If circumstances warrant, you (the inspector), in consultation with your Supervisory Animal Care Specialist, may request a research facility to conduct necropsies on selected regulated animals.

Species Specific

Marine Mammals [3.110]

Isolation

Newly acquired marine mammals must be isolated from the

resident marine mammals, using the following requirements:

[3.110(a)]

- animals with a **known** medical history must be isolated *unless or until* they can be reasonably determined by the attending veterinarian to be in good health
- animals with an **unknown** medical history must be isolated *until* they can be reasonably determined by the attending veterinarian to be in good health
- animals with **communicable diseases** must be treated and the disease remedied before they can be placed with the resident marine mammals. NOTE: The attending veterinarian may exempt an animal from this requirement if the potential benefits of a resident animal as a companion to the newly acquired animal outweigh the risks to the resident animal.

Holding Facilities

Holding facilities must be in place and available to meet the needs of marine mammals for: [3.110(b)]

- isolation
- separation
- medical treatment
- medical training

Marine mammals isolated or separated for nonmedical purposes must be held in enclosures that meet the minimum space requirements as outlined in Section 3.104 of the standards. (See Section 11.4 - Space Requirements) [3.110(b)]

Marine mammals isolated or separated for medical purposes may be held in enclosures that do **not** meet the minimum space requirements. [3.110(b)]

If an animal is to be held for medical purposes in an enclosure that does not meet the minimum space requirement for longer than 2 weeks, there must be: [3.110(b)]

- a notation in the animal's medical record
- a justification by the attending veterinarian in the medical record

After 2 weeks, if an animal is held for medical purposes in an enclosure that does not meet the minimum space requirement, there must be a justification: [3.110(b)]

- in writing
- written by the attending veterinarian
- renewed weekly

In natural lagoon or coastal enclosures where isolation cannot be accomplished, separation of newly acquired animals must be accomplished using separate enclosures that are situated within the facility to: [3.110(b)]

- prevent direct contact with resident animals
- minimize the risk of potential airborne and water cross-contamination between newly acquired and resident animals

A medical holding facility used for a marine mammal with an infectious or contagious disease must be: [3.110(c)]

- cleaned and sanitized as prescribed by the attending veterinarian
- cleaned and sanitized prior to use for a healthy animal

A marine mammal exposed to a contagious animal must be: [3.110(c)]

- evaluated by the attending veterinarian, and
- monitored and/or
- isolated for an appropriate time as determined by the attending veterinarian

All marine mammals must be: [3.110(f)]

- visually examined:
 - ▶ by the attending veterinarian
 - ▶ at least semiannually
- physically examined:
 - ▶ under the supervision of the attending veterinarian
 - ▶ when determined to be necessary by the attending veterinarian

All cetaceans and sirenians must be physically examined:

[3.110(f)]

- by the attending veterinarian
- at least annually

NOTE: The facility may request an exemption to this requirement from APHIS-AC based on considerations related to the health and safety of the animal.

The physical examination of the cetaceans and sirenians must include, but is not limited to: [3.110(f)]

- hands-on physical examination
- hematology and blood chemistry
- other diagnostic tests as determined by the attending veterinarian

A complete necropsy must: [3.110(f)]

- be performed on all marine mammals that die in captivity
- be conducted by or under the supervision of the attending veterinarian
- include, but not be limited to:
 - ▶ histopathology sample
 - ▶ microbiological cultures
 - ▶ other tests as appropriate

Individual marine mammal health records and necropsy reports must be kept and maintained at the facility. (see Section 14.3 - Health Records)

<p>ATTENDING VETERINARIAN</p>	<p>A research facility must have an attending veterinarian to provide adequate veterinary care to its animals. [2.33, 3.110, Policy #3]</p>
<p>Criteria</p>	<p>A research facility must:</p> <ul style="list-style-type: none"> • employ an attending veterinarian under formal arrangements [2.33 (a)(1)] • assure the attending veterinarian has the appropriate authority to: [2.33(a)(2)] <ul style="list-style-type: none"> ▶ ensure adequate veterinary care ▶ oversee the adequacy of other aspects of animal husbandry • communicate to the attending veterinarian timely and accurate information on the animal's health, well-being and behavior [2.33(b)(3)] <p>The attending veterinarian must be a voting member of the IACUC.</p> <p>A research facility with more than one veterinarian may appoint to the IACUC another veterinarian with delegated program responsibility involving animals.</p>
<p>Responsibilities</p>	<p>The research facility must consult with the attending veterinarian to:</p> <ul style="list-style-type: none"> • determine the program of veterinary care • develop a schedule of regular visits to the premises, if a part-time or consultant attending veterinarian • develop guidelines for principal investigators and other personnel on all animal-related activities • determine the method(s) of euthanasia for the animals which must be consistent with the current <i>Report of the AVMA Panel on Euthanasia</i> <p>NOTE: Gunshot is not considered an acceptable method of <i>routine</i> euthanasia but may be used in</p>

emergency or field situations where other more acceptable methods of euthanasia are not feasible.

The research facility should consult with the attending veterinarian to:

- determine adequacy of routine animal husbandry practices, such as:
 - ▶ hoof/foot care
 - ▶ grooming
 - ▶ cleaning and sanitation
 - ▶ dental care
- design the facility's surgical facilities
- determine the facility's procedure for surgeries on regulated animals which must require that:
 - ▶ survival surgeries be performed using aseptic technique. NOTE: A surgery is a survival surgery if the animal regains consciousness during or after the procedure.
 - ▶ major operative procedures for non-rodents be performed only in dedicated surgical facilities using aseptic technique
 - ▶ non-major operative procedures must be performed using aseptic technique
 - ▶ surgery on regulated rodents must be performed using aseptic technique
 - ▶ operative procedures conducted at field sites must be performed using aseptic technique
 - ▶ no eating, drinking or smoking be allowed in the surgery areas
 - ▶ food handling areas not be used for surgeries
- determine the research facility's policy on necropsies
- determine the facility's use of drugs, fluids and other medical supplies or equipment

- determine the facility's policy on the use of expired drugs, fluids and other medical material which must include **either**
 1. disposing of outdated drugs, fluids, and medical supplies **or**
 2. separating and appropriately labeling outdated drugs, fluids and medical supplies from non-expired medical materials to be used in the following situations:
 - ▶ for non-regulated animals
 - ▶ for non-regulated activities
 - ▶ for acute terminal procedures on regulated animals with the **exception** of drugs to relieve pain or distress and emergency drugs

The attending veterinarian's approval and signature is required on the research facility's:

- program of veterinary care
- exercise plan for dogs
- environmental enhancement plan for nonhuman primates
- statements of exemptions from participation in the environmental enhancement plan for individual nonhuman primates
- temperature acclimation statement for animals housed in sheltered or outdoor facilities
- statements of exemptions to marine mammal housing requirements
- noncommercial diets for large felids

A veterinarian's signature is required on:

- temperature acclimation certificates for transport
- health certificates
- necropsy reports

NOTE: A research facility may use more than one veterinarian,

if necessary, to provide adequate veterinary care for all the species housed at the facility.

NOTE: If you, the inspector, have a concern with the instructions or guidance the research facility has received from the attending veterinarian, you should contact the Regional Office and discuss the concerns with a Supervisory Animal Care Specialist.

Species Specific

Dogs and Cats

The research facility must have the attending veterinarian's approval for:

- the exercise plan for dogs
- the outdoor housing for dogs/cats in temperatures below 50° F
- the relative humidity level in the indoor housing facility

Nonhuman Primates

The research facility must have the attending veterinarian's approval for:

- the acclimation status of nonhuman primates housed outdoors
- environmental enhancement plan
- exemptions from the environmental enhancement plan for individual nonhuman primates for medical reasons. Note: The IACUC may also exempt NHPs from the environmental enhancement plan for scientific reasons set forth in an approved research protocol.
- temperature range for nonhuman primates' housing facility
- the relative humidity level for nonhuman primates' housing facility
- the sanitation schedule of enclosure surfaces for scent-marking species

Marine Mammals

The research facility must have the attending veterinarian's approval for:

- the single housing of marine mammals
- the use of smaller than required enclosures for:
 - ▶ nonmedical training, breeding or holding
 - ▶ medical treatment and training
 - ▶ transfer purposes
- the provision of supplemental fresh water to a sick marine mammal
- a method of sanitizing enclosures with porous materials
- the application of insecticides and other similar chemical agents in the primary enclosure
- the food and feeding regimen for marine mammals in transit

Other Animals

The research facility must have the attending veterinarian's approval for the use of noncommercial diets for large felids.

HEALTH RECORDS	Research facilities must maintain specific health records for marine mammals and should maintain health records for all regulated animals. [3.110, Policy #3, Policy #21]
Requirement	<p>Health records are not specifically required by the AWA regulations, except for marine mammals. Therefore, a lack of health records or inadequacy of the health records may not be cited as a stand-alone violation, except for marine mammals.</p> <p>The citation of inadequate veterinary care for a sick animal may include a reference to the lack or inadequacy of health records, if appropriate.</p> <p>Health records, if maintained, should be:</p> <ul style="list-style-type: none">• current• legible• sufficiently comprehensive to demonstrate the delivery of adequate veterinary care• consistent with professional standards <p>The system of health records may be described in the written Program of Veterinary Care for those research facilities not employing a full time veterinarian.</p>
Contents	<p>Health records should include, but are not limited to:</p> <ul style="list-style-type: none">• identity of the animal• description of any:<ul style="list-style-type: none">▶ illness▶ injury▶ distress▶ behavioral abnormality• dates, details, and results (if appropriate) of all medically-related:<ul style="list-style-type: none">▶ observations▶ examinations▶ tests

- ▶ procedures, such as:
 - vaccinations
 - fecal examinations
 - radiographs
 - surgeries
 - necropsies
- treatment plans which should include:
 - ▶ diagnosis
 - ▶ prognosis, when appropriate
 - ▶ type of treatment
 - ▶ frequency of treatment
 - ▶ duration of treatment
 - ▶ criteria and/or schedule for re-evaluation by the attending veterinarian
 - ▶ allowable activity level for the animal
 - ▶ restriction, if any, for the animal
- treatment history which should include:
 - ▶ dates of all treatment
 - ▶ names of drugs or other medications given
 - ▶ dose & route
 - ▶ frequency
 - ▶ duration of treatment
- resolution of any noted problem(s)

Record-keeping

Health records may be kept in any format that the research facility chooses as long as all required information is readily available.

Group health records

Routine husbandry and preventive medical procedures performed on a group of animals may be recorded on herd-health type records.

Individual health records

Treatment of an individual animal should be on an entry specific for that animal.

Availability

Health records should be readily available for review.

Health records at a research facility may be held by:

- the attending veterinarian
- investigator(s)
- other designated employee(s)

NOTE: Health records must be readily available.

If health records are divided between personnel, the records should be:

- appropriately cross-referenced
- complete

Health records should be held:

- for at least 1 year after the animal's disposition or death
- longer than 1 year as required by other applicable laws or policies

A copy of an animal's health records should accompany the animal when it is transferred to another research facility, person or location.

The transferred health record should contain:

- the animals' medical history
- information on any ongoing or chronic problems
- most current preventive medical procedures, such as:
 - vaccinations
 - deworming

Species Specific

Marine Mammals [3.110]

Individual marine mammal medical/health records **must** be kept and include the following information, at a minimum:

- animal identification/name [3.110(d)(1)]
- a physical description, such as: [3.110(d)(1)]
 - identifying markings
 - scars
- age [3.110(d)(1)]
- sex [3.110(d)(1)]

- physical examination information, including, but not limited to: [3.110(d)(2)]
 - ▶ length
 - ▶ weight
 - ▶ physical examination results by body system
 - ▶ identification of all medical and physical problems
 - ▶ all diagnostic test results
 - ▶ proposed plan of action for medical/physical problems
 - ▶ documentation of treatment
- visual examination information

Individual animal medical/health records must be: [3.110(d)]

- kept at the facility where the marine mammal is housed
- available for APHIS inspection

A copy of the individual marine mammal's medical/health record must accompany the animal if it is transferred to another facility, including contract and satellite facilities. [3.110(e)]

Necropsy Reports [3.110(g)]

The preliminary necropsy report must: [3.110(g)(1)]

- be prepared by the veterinarian conducting the necropsy
- list all pathological lesions observed

The final necropsy report must include: [3.110(g)(1)]

- all gross findings
- all histopathology findings
- results of all laboratory tests performed
- a pathological diagnosis

Necropsy reports must be: [3.110(g)(2)]

- maintained at the marine mammal's home facility
- maintained at the facility where the marine mammal died, if different than the home facility
- kept for 3 years
- available for APHIS inspection

<p>NECROPSY REQUIREMENTS</p>	<p>A research facility should perform necropsies as part of providing adequate veterinary care. [3.110, Policy #21 and Policy #22]</p>
<p>Criteria</p>	<p>A necropsy must be performed on all marine mammals [3.110]</p> <p>It is strongly recommended but not required that a necropsy be performed on all elephants [Policy #21]</p> <p>A necropsy should be performed: [Policy #22]</p> <ul style="list-style-type: none"> • at the discretion of the attending veterinarian • when a high death loss is occurring • when a significant number of unexplained deaths is occurring • when a strong chance exists that an undiagnosed infectious disease is present (with or without potential zoonoses) • when the circumstances around a death indicate that a violation of the AWA may have contributed to the death • when warranted by circumstances <p>NOTE: If circumstances warrant, you (the inspector), in consultation with your SACS, may request a research facility to conduct necropsies on selected regulated animals. [Policy #22]</p> <p>The necropsy should be conducted within an appropriate interval after the animal's death.</p> <p>The animal's body should be kept at an appropriate refrigerated temperature to ensure meaningful necropsy results.</p> <p>The necropsy must be performed by or under the direct supervision of a veterinarian experienced with the species being necropsied.</p> <p>The necropsy should include, but is not limited to:</p> <ul style="list-style-type: none"> • an internal and external systemic gross pathology examination • appropriate microbiological cultures of lesions • histopathology of lesions • other indicated tests

	<p>All necropsy reports must be:</p> <ul style="list-style-type: none">• signed and dated by the attending veterinarian, and• maintained at the facility:<ul style="list-style-type: none">▶ for at least one year, or▶ longer as required by APHIS• be available for review by APHIS personnel
<p>Species Specific</p>	<p>Marine Mammals [3.110]</p> <p>A complete necropsy must: [3.110(f)]</p> <ul style="list-style-type: none">• be performed on all marine mammals that die in captivity• be conducted by or under the supervision of the attending veterinarian• include, but not be limited to:<ul style="list-style-type: none">▶ histopathology sample▶ microbiological cultures▶ other tests as appropriate <p>The preliminary necropsy report must: [3.110(g)(1)]</p> <ul style="list-style-type: none">• be prepared by the veterinarian conducting the necropsy• list all pathological lesions observed <p>The final necropsy report must include: [3.110(g)(1)]</p> <ul style="list-style-type: none">• all gross findings• all histopathological findings• the results of all laboratory tests performed• a pathological diagnosis <p>Necropsy reports must be: [3.110(g)(2)]</p> <ul style="list-style-type: none">• maintained at the marine mammal's home facility• maintained at the facility where the marine mammal died, if different than the home facility• kept for 3 years• available for APHIS inspection

VETERINARY CARE RECORDS	The research facility must maintain records relating to the veterinary care of the animals at the facility.
Required Records	A research facility must maintain the following veterinary care records for all regulated animals, when applicable: <ul style="list-style-type: none">• written Program of Veterinary Care for part-time or consulting attending veterinarian [2.33(a)(1)]• attending veterinarian or IACUC approved exceptions/exemptions to the regulations/standards• acclimation statements for transportation
Species Specific	<p>Dogs & Cats In addition to the required records listed above, the following veterinary care records are required for dogs and cats, when applicable:</p> <ul style="list-style-type: none">• exercise plan for dogs [3.8]• outdoor housing approval [3.4(a)]• health certificate for transport [2.38(h)] <p>Nonhuman Primates In addition to the required records listed above, the following veterinary care records are required for nonhuman primates, when applicable:</p> <ul style="list-style-type: none">• environmental enhancement plan [3.81]• outdoor housing approval [3.78(a)]• health certificates for transport [2.38(h)] <p>Marine Mammals In addition to the required records listed above, the following veterinary care records are required for marine mammals, when applicable:</p> <ul style="list-style-type: none">• water quality records [3.106]• individual marine mammal health records [3.110(d)]• necropsy records [3.110(g)]• health certificates for transport [3.112(a)]

**Recommended
Records**

A research facility should maintain the following records as a part of good animal husbandry practices:

- health records [Policy #3]
- surgery records [2.33(b)(2)]
- necropsy records [2.33(b)(2), Policy 21 & Policy 22]
- large felids non-commercial diet approval by attending veterinarian [Policy #25]

NOTE: These records are not specifically required by the AWA regulations and standards, except for marine mammals. Therefore, a lack of any of these records or inadequacy of these records may not be cited as a stand-alone violation, except for marine mammals.

The citation of inadequate veterinary care for a sick animal may include a reference to the lack or inadequacy of veterinary care records, if appropriate.

Additional non-required records which may be helpful in assessing veterinary care include, but are not limited to:

- animal logs
- cage wash validation sheets
- medical records related to protocols
- room maintenance logs
- standards operating procedures, if available
- surgical records related to protocols
- record of attending veterinarian's visits (see sample signature sheet on page 15.6.6)

WRITTEN PROGRAM OF VETERINARY CARE	A research facility which has a part-time or consultant attending veterinarian must have a written Program of Veterinary Care. [2.33]
Requirements	The Program of Veterinary Care (PVC) must: <ul style="list-style-type: none">• be written: [2.33(a)(1)]<ul style="list-style-type: none">▶ on the Animal Care Program of Veterinary Care for Research Facilities or Exhibitors/Dealers form (APHIS Form 7002) (see page 15.6.2), or▶ in an equivalent format• include regularly scheduled visits to the research facility [2.33(a)(1)]• be reviewed annually and updated as needed for situations such as:<ul style="list-style-type: none">▶ the addition of a new species of animal▶ a new attending veterinarian▶ a change in the preventive medical program• be initialed and dated by the attending veterinarian AND the research facility's Institutional Official or his/her designee:<ul style="list-style-type: none">▶ whenever it is changed, or▶ reviewed without change <p>Note: The supplemental "Program of Veterinary Care Instructions" sheet (page 15.6.6) may be used.</p>

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

FORM APPROVED OMB NO. 0579-0038

OFFICE USE ONLY

DATE RECEIVED

ANIMAL CARE

(Program of Veterinary Care for Research Facilities or Exhibitors/Dealers)

SECTION I. A PROGRAM OF VETERINARY CARE (PVC) HAS BEEN ESTABLISHED BETWEEN:

A. LICENSEE/REGISTRANT		B. VETERINARIAN
1. NAME		1. NAME
2. BUSINESS NAME		2. CLINIC
3. USDA LICENSE/REGISTRATION NUMBER		3. STATE LICENSE NUMBER
4. MAILING ADDRESS		4. BUSINESS ADDRESS
5. CITY, STATE AND ZIP CODE		5. CITY, STATE AND ZIP CODE
6. TELEPHONE NO. (Home)	TELEPHONE NO. (Business)	6. TELEPHONE NO. (Business)

This is a form that may be used for the Program of Veterinary Care. Also, this form may be used as a guideline for the written Program of Veterinary Care as required.

The attending veterinarian shall establish, maintain and supervise programs of disease control and prevention, pest and parasite control, pre-procedural and post-procedural care, nutrition, euthanasia and adequate veterinary care for all animals on the premises of the licensee/registrant. A written program of adequate veterinary care between the licensee/registrant and the doctor of veterinary medicine shall be established and reviewed on an annual basis. By law, such programs must include regularly scheduled visits to the premises by the veterinarian. Scheduled visits are required to monitor animal health and husbandry.

Pages or blocks which do not apply to the facility should be marked N/A. If space provided is not adequate for a specific topic, additional sheets may be added. Please indicate Section and Item Number.

I have read and completed this Program of Veterinary Care, and understand my responsibilities.

Regularly scheduled visits by the veterinarian will occur at the following frequency: _____ (minimum annual).

C. SIGNATURE OF LICENSEE/REGISTRANT

DATE

D. SIGNATURE OF VETERINARIAN

DATE

CHECK IF N/A

SECTION II. DOGS AND CATS

A. VACCINATIONS - SPECIFY THE FREQUENCY OF VACCINATION FOR THE FOLLOWING DISEASES

	CANINE			FELINE	
	JUVENILE	ADULT		JUVENILE	ADULT
PARVOVIRUS			PANLEUK		
DISTEMPER			RESP. VIRUSES		
HEPATITIS			RABIES		
LEPTOSPIROSIS			OTHER (Specify)		
RABIES					
BORDETELLA					
OTHER (Specify)					

B. PARASITE CONTROL PROGRAM - DESCRIBE THE FREQUENCY OF SAMPLING OR TREATMENT FOR THE FOLLOWING:

1. ECTOPARASITES (Fleas, Ticks, Mites, Lice, Flies)

2. BLOOD PARASITES (Heartworm, Babesia, Ehrlichia, Other)

3. INTESTINAL PARASITES (Fecals, Deworming)

C. EMERGENCY CARE - DESCRIBE PROVISIONS FOR EMERGENCY, WEEKEND AND HOLIDAY CARE

D. EUTHANASIA

1. SICK, DISEASED, INJURED OR LAME ANIMALS SHALL BE PROVIDED WITH VETERINARY CARE OR EUTHANIZED. EUTHANASIA WILL BE IN ACCORDANCE WITH THE AVMA RECOMMENDATIONS AND WILL BE CARRIED OUT BY THE FOLLOWING:

VETERINARIAN

LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

E. ADDITIONAL PROGRAM TOPICS - THE FOLLOWING TOPICS HAVE BEEN DISCUSSED IN THE FORMULATION OF THE PROGRAM OF VETERINARY CARE

Congenital Conditions

Quarantine Conditions

Nutrition

Anthelmintic alternation

Other (Specify) _____

Exercise Plan (Dogs)

Proper Handling of Biologics

Venereal Diseases

Pest Control and Product Safety

Proper Use of Analgesics and Sedatives

CHECK IF N/A

SECTION III. WILD AND EXOTIC ANIMALS

A. VACCINATIONS - LIST THE DISEASES FOR WHICH VACCINATIONS ARE PERFORMED AND THE FREQUENCY OF VACCINATIONS (Enter N/A if not applicable)

CARNIVORES

HOOFED STOCK

PRIMATES

ELEPHANTS

MARINE MAMMALS

OTHER (Specify)

B. PARASITE CONTROL PROGRAM - DESCRIBE THE FREQUENCY OF SAMPLING OR TREATMENT FOR THE FOLLOWING

1. ECTOPARASITES (Fleas, Ticks, Mites, Lice, Flies)

2. BLOOD PARASITES

3. INTESTINAL PARASITES

C. EMERGENCY CARE

1. DESCRIBE PROVISIONS FOR EMERGENCY, WEEKEND AND HOLIDAY CARE

2. DESCRIBE CAPTURE AND RESTRAINT METHOD(S)

D. EUTHANASIA

1. SICK, DISEASED, INJURED OR LAME ANIMALS SHALL BE PROVIDED WITH VETERINARY CARE OR EUTHANIZED. EUTHANASIA WILL BE IN ACCORDANCE WITH THE AVMA RECOMMENDATIONS AND WILL BE CARRIED OUT BY THE FOLLOWING:

VETERINARIAN

LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

E. ADDITIONAL PROGRAM TOPICS - THE FOLLOWING TOPICS HAVE BEEN DISCUSSED IN THE FORMULATION OF THE PROGRAM OF VETERINARY CARE

Pest Control and Product Safety

Quarantine Procedures

Zoonoses

Other (Specify) _____

Environment Enhancement (Primates)

Water Quality (Marine Mammals)

Species-specific Behaviors

Proper Storage and Handling of Drugs and Biologics

Proper Use of Analgesics and Sedatives

F. LIST THE SPECIES SUBJECTED TO TB TESTING, AND THE FREQUENCY OF SUCH TESTS

CHECK IF N/A

SECTION IV. OTHER WARBLOODED ANIMALS

A. INDICATE SPECIES

B. VACCINATIONS - LIST THE DISEASES FOR WHICH VACCINATIONS ARE PERFORMED AND THE FREQUENCY OF VACCINATIONS
(Enter N/A if not applicable)

C. PARASITE CONTROL PROGRAM - DESCRIBE THE FREQUENCY OF SAMPLING OR TREATMENT FOR THE FOLLOWING

1. ECTOPARASITES (Fleas, Ticks, Mites, Lice, Flies)

2. INTERNAL PARASITES (Helminths, Coccidia, Other)

D. EMERGENCY CARE - DESCRIBE PROVISIONS FOR EMERGENCY, WEEKEND AND HOLIDAY CARE

E. EUTHANASIA

1. SICK, DISEASED, INJURED OR LAME ANIMALS SHALL BE PROVIDED WITH VETERINARY CARE OR EUTHANIZED. EUTHANASIA WILL BE IN ACCORDANCE WITH THE AVMA RECOMMENDATIONS AND WILL BE CARRIED OUT BY THE FOLLOWING.

VETERINARIAN

LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

F. ADDITIONAL PROGRAM TOPICS - THE FOLLOWING TOPICS HAVE BEEN DISCUSSED IN THE FORMULATION OF THE PROGRAM OF VETERINARY CARE

Pasture/colloids

Pododermatitis

Cannibalism

Wet Tail

Other (Specify) _____

Species Separation

Malocclusion/Overgrown Incisors

Pest Control and Product Safety

Handling



Program of Veterinary Care Instructions



- The enclosed Program of Veterinary Care (PVC) should be completed and signed by your attending veterinarian and must be signed by you.
- Keep the properly completed PVC as part of your records that will be reviewed by your USDA inspector.
- **DO NOT** send the completed PVC form to USDA Regional Office.
- You need a new PVC form only if you change your attending veterinarian.
- You need to update your PVC form and have it re-signed by your attending veterinarian any time you add a new species of animal to your facility or make any other changes in the veterinary care you are providing.
- This sheet may be used as a means to document your attending veterinarian's visit to your facility. If you choose to use it for that purpose, have your attending veterinarian sign and date this sheet during each visit to your facility. Your attending veterinarian must visit your facility at least once each year. This sheet should be kept with your PVC.

_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date
_____ Veterinarian Signature	_____ Date

16.0 Personnel

Employees.....16.1
Qualifications.....16.2

EMPLOYEES	<p>Each research facility must have a sufficient number of trained employees to provide the husbandry and care required for the animals. [3.12, 3.32, 3.57, 3.85, 3.108, 3.132]</p>
Criteria	<p>Factors for evaluating the appropriateness of the number of employees include, but are not limited to:</p> <ul style="list-style-type: none"> • maintenance requirements of the animals • construction and design of animal facilities Example: All wood facilities require frequent maintenance. • routine condition of the animal facilities Example: If always in compliance, there may be enough employees. If always out of compliance in areas related to husbandry/care, there may not be enough employees. • an employee's area of responsibility Example: An employee is responsible for the care of both regulated and non-regulated animals and the care of the non-regulated animals takes most of his/her time, so the care of the regulated animals is adversely affected. <p>Factors in determining an adequately trained employee include, but are not limited to:</p> <ul style="list-style-type: none"> • background and experience • demonstration of proper handling of the animal • facility-provided training • formal training, i.e., apprenticeships/certification • training by the attending veterinarian <p>Indicators of inadequately trained employees include, but are not limited to:</p> <ul style="list-style-type: none"> • high incidence of injury to: <ul style="list-style-type: none"> ▸ personnel ▸ animals • inadequate cleanliness of facility <p>Employees must be supervised by an individual who has a background in animal husbandry or care.</p>

Species Specific

Marine Mammals

A sufficient number of employees and attendants working with marine mammals must be utilized to maintain the level of husbandry required by the regulations and standards. [3.108(a)]

These employees/attendants must be: [3.108(a)]

- be adequately trained
- be responsible to management
- work in concert with the attending veterinarian
- be under the supervision of a caretaker with demonstrable experience in marine mammal husbandry and care

The research facility must: [3.108(b)]

- provide a training course for employees/attendants
- document participation in the training course
- document successful completion of the training course

The training course must include, but is not limited to:
[3.108(b)]

- species appropriate husbandry techniques
- animal handling techniques
- information on proper reporting procedures, such as:
 - ▶ recordkeeping
 - ▶ notification of the veterinary staff for medical concerns

Training of marine mammals must be done by or under the direct supervision of experienced trainers. [3.108(c)]

Trainers and handlers must meet professionally recognized standards for experience and training. [3.108(d)]

QUALIFICATIONS	The research facility is responsible for ensuring that all personnel are qualified to perform their duties in the care, treatment, or use of animals. [2.32, Policy 15]
Criteria	<p>The research facility must:</p> <ul style="list-style-type: none">• provide adequate training and instruction• review personnel qualifications as often as necessary to ensure the proper performance of duties <p>Personnel who must be qualified and trained in the proper care, treatment and use of animals include, but are not limited to:</p> <ul style="list-style-type: none">• animal caretakers• veterinary assistants• principal investigators• laboratory technicians/assistants <p>The training and instruction of personnel must include, but is not limited to:</p> <ul style="list-style-type: none">• humane methods of animal maintenance and experimentation, including:<ul style="list-style-type: none">▶ basic needs of each species of animals used by the research facility▶ proper handling and care of the various species▶ proper pre-procedural and post-procedural care▶ aseptic surgical methods and procedures• the concept, availability, and use of research or teaching methods that:<ul style="list-style-type: none">▶ limit the use of animals, or▶ minimize animal distress• proper use of anesthetics, analgesics, and tranquilizers• methods for reporting deficiencies in animal care and treatment <p>NOTE: No facility employee, IACUC member, or laboratory personnel shall be discriminated against or be subject to any reprisal for reporting violations of the regulations or standards of the AWA.</p>

- utilization of services available to provide information:
 - ▶ on appropriate methods of animal care and use
 - ▶ on alternatives to the use of live animals in research
 - ▶ that could prevent unintended and unnecessary duplication of research involving animals
 - ▶ regarding the intent and requirements of the AWA

The research facility must adequately document the qualifications and training of personnel which may include, but not be limited to:

- curriculum vita/résumés
- diplomas or certificates from educational institutions
- sign-up sheets from in-house training programs
- certificates of attendance at formal meetings
- certificates of completion from relevant continuing education programs

IACUC members must have the experience and expertise needed to assess the research facility's: [2.31(a), Policy 15]

- animal program
- facilities
- procedures

**Assessing the
Training Program**

A research facility should have an appropriate training program.

The training program may vary from one research facility to the next depending on:

- the type of research being conducted
- the needs of the facility

When assessing the adequacy of a research facility's training program, you should use:

- the regulation requirements
- observation of the facility's personnel
- your professional judgement

Some questions to ask while assessing the training program include, but are not limited to:

- Is training and instruction available to all personnel involved in animal care, treatment, and use?
- Does the training program include all areas listed in Section 2.32(c) of the regulations?
- Is there adequate documentation of qualifications and training of personnel?
- Has the IACUC been provided sufficient documentation to properly review the qualifications and training of all personnel involved in all proposed or ongoing activities?
- Does the semi-annual program review include personnel qualifications and training?
- Has there been input and oversight by the attending veterinarian toward an effective training program?
- Are procedures being adequately monitored to insure the competency of new or inexperienced personnel?
- How does the facility assess training needs of personnel on an ongoing basis?
- Is there a training program for the IACUC members, especially the non-affiliated member?
- Are there written guidelines and training for animal pain or distress assessment that is relevant to the research work at the facility?
- Are investigators adequately trained on how to conduct and document a search for alternatives to painful or distressful procedures?
- Have protocols been developed for animals being used for training technicians or investigators?

17.0 IACUC Membership

Appointment of IACUC.....17.1
Membership.....17.2

APPOINTMENT OF IACUC	The Chief Executive Officer of the research facility must appoint an Institutional Animal Care and Use Committee (IACUC). [2.31]
Criteria	<p>People appointed as IACUC members must have the experience and expertise needed to assess the research facility's: [2.31(a)]</p> <ul style="list-style-type: none">• animal program• facilities• procedures <p>There should be some form of verification that the Chief Executive Officer has appointed the IACUC members, such as:</p> <ul style="list-style-type: none">• written letters of appointment• documentation in the IACUC minutes• periodic letter/memo of reappointment <p>NOTE: Except as specifically authorized by law or the Animal Welfare Act regulations, the Animal Welfare Act and its regulations do NOT authorize a research facility's IACUC to dictate to a researcher how to conduct his/her research by: [2.31(a)]</p> <ul style="list-style-type: none">• <i>prescribing methods</i> for the design or performance of research or experimentation• <i>setting standards</i> for the design or performance of research or experimentation

MEMBERSHIP	<p>The Institutional Animal Care and Use Committee (IACUC) must be composed of a Chairperson and at least two additional members. [2.31, Policy #15]</p>
Members	<p>The IACUC must be composed of: [2.31(b)(2)]</p> <ul style="list-style-type: none"> • a Chairperson • at least one Doctor of Veterinary Medicine (DVM) • at least one nonaffiliated member <p>NOTE: To be a valid IACUC, all three positions must be filled.</p> <p>IACUC members must be qualified to assess the research facility's animal program, facilities, and procedures. The research facility is responsible for: [Policy #15]</p> <ul style="list-style-type: none"> • ensuring the qualifications of the members • providing training and instruction to the members in areas such as: <ul style="list-style-type: none"> ▶ the Animal Welfare Act ▶ protocol review ▶ facility inspection <p>Although not specifically prohibited by the AWA, APHIS strongly discourages one person from filling more than one of these positions, such as: [Policy #15]</p> <ul style="list-style-type: none"> • the DVM being the Chairperson • the nonaffiliated member being the Chairperson <p>Note: APHIS also strongly discourages the research facility's Institutional Official from being the Chairperson or DVM.</p> <p>If the IACUC consists of more than three members, not more than three members can be from the same administrative unit of the research facility, such as: [2.31(b)(4)]</p> <ul style="list-style-type: none"> • Biology Department • Cardiology Department
Chairperson	<p>The Chairperson is responsible for all activities of the IACUC including, but not limited to:</p> <ul style="list-style-type: none"> • scheduling meetings • setting the agenda for meetings

- sending a list of protocols to be reviewed to members
- moderating the meetings
- ensuring the research facility's compliance with the AWA and its regulations and standards
- keeping records of activities
- informing the Principal Investigator of the IACUC's decisions regarding his/her protocol
- sending the required reports to the Institutional Official

Note: The Chairperson may delegate one or more of these activities to other IACUC members or research facility staff.

**Doctor of
Veterinary Medicine**

The Doctor of Veterinary Medicine must have: [2.31(b)(3)(i)]

- training or experience in laboratory animal science or medicine, and
- direct or delegated responsibility for activities involving animals at the research facility, and
- ability to critically review a protocol for veterinary care issues

NOTE: A research facility's Attending Veterinarian may fulfill the role of the DVM on the IACUC or the position may be filled by another veterinarian.

Nonaffiliated Member

The nonaffiliated or outside member represents the interests of the general public and must NOT be: [2.31(b)(3)(ii), Policy #15]

- a member of the immediate family of a person who is affiliated with the research facility
- a laboratory animal user at any research facility
- a person with a financial interest in the facility, such as an animal supplier
- compensated to an amount which jeopardizes the member's status as a nonaffiliated member

Compensation for the nonaffiliated member may include:
[Policy #15]

- travel expenses
- parking

- meals
- a modest monetary payment which does not:
 - ▶ become an important source of income
 - ▶ influence voting on the IACUC

Examples of nonaffiliated members include, but are not limited to:

- clergy
- retirees
- humane society volunteers or employees
- practicing veterinarians
- physicians
- biologists not conducting animal research
- bioethicists
- non-research staff members from other institutions

18.0 IACUC Functions

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<p>PROGRAM REVIEW</p>	<p>The IACUC must review and evaluate the research facility's program for humane care and use of animals at least once every 6 months. [2.31, Policy #29]</p>
<p>Method</p>	<p>The IACUC is responsible for determining the best method for conducting the review of the humane care and use program. [2.31(c)(3)]</p> <p>The IACUC may: [2.31(c)(3)]</p> <ul style="list-style-type: none"> • conduct a full committee review • appoint a subcommittee of at least two members to conduct the review. Note: NO IACUC member wishing to participate in the review may be excluded. • may invite an <i>ad hoc</i> consultant(s) to assist with the program review <p>The IACUC may adopt the AAALAC International Program Assessment report as its semi-annual program review if:</p> <ul style="list-style-type: none"> • the report complies with Section 2.31(c) • at least 2 members of the IACUC participated in the evaluation • no IACUC member wishing to participate was excluded • the report was signed by a majority of IACUC members • the report included any minority views
<p>Criteria</p>	<p>The review of the program of humane care and use must be based on the AWA regulations and standards (title 9, chapter I, subchapter A - Animal Welfare). [2.31(c)(1), Policy #29]</p> <p>Additional resources which may be used include, but are not limited to:</p> <ul style="list-style-type: none"> • "Guide for the Care and Use of Laboratory Animals" published by the Institute of Laboratory Animal Resources, 1996 Edition • "Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching" published by the Federation of Animal Science Societies, 1999 Edition

Areas which should be addressed in the program of humane care and use include, but are not limited to:

- IACUC functions, such as:
 - ▶ required meetings
 - ▶ attendance at meetings, especially non-affiliated member
 - ▶ dissemination of protocols to members
 - ▶ review of humane care and use program
 - ▶ review of standard operating procedures (SOPs)
 - ▶ protocol review
 - ▶ suspended activities
 - ▶ complaint review
 - ▶ recommendations to the Institutional Official
 - ▶ reports to the Institutional Official
 - ▶ IACUC meeting minutes
 - ▶ IACUC records
- IACUC-approved departures/exceptions/exemptions, such as:
 - ▶ food/water deprivation or restriction
 - ▶ exemptions from the exercise plan for dogs
 - ▶ exemptions from the environmental enhancement plan for nonhuman primates
 - ▶ use of an animal in more than one major survival surgery
 - ▶ maintaining animals at temperatures outside the ranges specified by the standards
 - ▶ exceptions to the cleaning or sanitation requirements
 - ▶ exceptions to the diurnal lighting cycle requirement
 - ▶ exceptions to the space requirement (including innovative enclosures and metabolism cages)
- animal care, such as:
 - ▶ housing
 - ▶ environment
 - ▶ environmental enrichment for nonhuman primates
 - ▶ exercise for dogs
 - ▶ food/water
 - ▶ cleaning/sanitation

- veterinary care, such as:
 - ▶ emergency, weekend, and holiday care
 - ▶ anesthesia and surgery
 - ▶ pre/post-procedural care
 - ▶ pain/distress management
 - ▶ euthanasia
- identification
- records
- personnel issues, such as:
 - ▶ qualifications
 - ▶ training

The findings of the program review must be included in a report to the Institutional Official. [2.31(c)(3)]

<p>FACILITY INSPECTION</p>	<p>The IACUC must inspect the research facility's animal facilities at least once every 6 months. [2.31]</p>
<p>Facilities</p>	<p>Animal facilities which must be inspected include, but are not limited to:</p> <ul style="list-style-type: none"> • all sites (including remote sites) where animals are housed or used (including laboratories) • field study areas where animals are confined Note: Free range areas are not required to be inspected. • housing areas • holding areas NOTE: Animals may be held without being on a protocol but are subject to compliance with the AWA regulations and standards and IACUC inspection. • all animal study areas, including equipment, where animals are housed for more than 12 hours, such as: <ul style="list-style-type: none"> ▶ cages ▶ restraint chairs ▶ slings ▶ monitoring devices NOTE: It is strongly recommended that the IACUC inspect areas where animals are housed for less than 12 hours. • food & bedding storage areas • cage cleaning areas • surgical suites and prep areas • drug storage areas, including investigators' labs and offices, if appropriate • loading docks and transport equipment, such as: <ul style="list-style-type: none"> ▶ transport cages ▶ vehicles • housing areas at another research facility, if the IACUC is responsible for the animals housed in those areas, such as in joint studies or leasing of housing areas <p>In addition to inspecting the facilities, the IACUC should conduct:</p> <ul style="list-style-type: none"> • an assessment of the condition of the animals • an assessment of the care of the animals • a review of management practices

	<ul style="list-style-type: none"> • an assessment of animal users and caretakers ability to recognize problems of animal health and behavior • a review of the mechanism for animal users and caretakers to report animal health problems or concerns <p>Note: The IACUC should encourage employees to bring any questions, problems or concerns about the care or use of the animals to its attention.</p> <p>Animal facilities which do not need to be inspected are:</p> <ul style="list-style-type: none"> • areas used exclusively for non-regulated animals • areas containing free-living wild animals in their natural habitat • housing areas at another research facility if the IACUC has delegated responsibility for the animals housed in those areas to the other research facility's IACUC. NOTE: The IACUC should document that it has delegated the facility inspection responsibility to the other research facility's IACUC. • sites which are not in the United States or U.S. territories (foreign sites) <p>NOTE: The IACUC may choose to inspect these areas.</p>
<p>Method</p>	<p>The IACUC is responsible for determining the best method for conducting the facility inspection. [2.31(c)(3)]</p> <p>The IACUC may: [2.31(c)(3)]</p> <ul style="list-style-type: none"> • conduct a full committee inspection • appoint a subcommittee of at least two members to conduct the inspection. NOTE: NO IACUC member wishing to participate in the inspection may be excluded. • invite an <i>ad hoc</i> consultant(s) to assist with the facility inspection <p>The IACUC may adopt the AAALAC International Program Assessment report as its semi-annual program review if:</p> <ul style="list-style-type: none"> • the report complies with Section 2.31(c) • at least 2 members of the IACUC participated in the evaluation

	<ul style="list-style-type: none">• no IACUC member wishing to participate was excluded• the report was signed by a majority of IACUC members• the report included any minority views
Criteria	<p>The inspection must be based on the AWA regulations and standards (title 9, chapter I, subchapter A - Animal Welfare). [2.31(c)(2)]</p> <p>Additional resources which may be used include, but are not limited to:</p> <ul style="list-style-type: none">• “Guide for the Care and Use of Laboratory Animals” published by the Institute of Laboratory Animal Resources (ILAR), 1996 Edition• “Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching” published by the Federation of Animal Science Societies, 1999 Edition <p>The findings of the facility inspection must be included in a report to the Institutional Official. [2.31(c)(3)]</p>

REPORTS TO THE INSTITUTIONAL OFFICIAL

The IACUC must prepare and submit reports of its program review and facility inspection to the Institutional Official. [2.31(c)(3)]

Program Review Report

The Program Review Report must: [2.31(c)(3)]

- describe how and to what extent the research facility meets the AWA regulations and standards (title 9, chapter I, subchapter A - Animal Welfare)
- describe in detail any departure from the AWA regulations and standards and include:
 - ▶ the reason for the departure
 - ▶ a classification of the departure as a significant deficiency or a minor deficiency. Note: A significant deficiency is one which is or may be a threat to the health or safety of the animal.
 - ▶ a reasonable and specific plan for correcting the deficiency
 - ▶ a schedule with dates for correcting the deficiency
- identify any IACUC-approved exemptions and variances and include:
 - ▶ a description of the exemption/variance, and
 - ▶ reason for the exemption/variance
- describe any recommendations to the Institutional Official regarding any aspect of the research facility's:
 - ▶ animal program
 - ▶ personnel
- include any minority views
- be reviewed and signed by a majority of the IACUC members

An updated Program Review Report must be submitted to the Institutional Official at least once every 6 months. [2.31(c)(3)]

NOTE: This report may be submitted separately or in combination with the Facility Inspection Report.

Facility Inspection Report	<p>The Facility Inspection Report must: [2.31(c)(3)]</p> <ul style="list-style-type: none">• describe how and to what extent the research facility meets the AWA regulations and standards (title 9, chapter I, subchapter A - Animal Welfare)• describe in detail any departure from the AWA regulations and standards and include:<ul style="list-style-type: none">▶ the reason for the departure▶ a classification of the departure as a significant deficiency or a minor deficiency. Note: A significant deficiency is one which is or may be a threat to the health or safety of the animal.▶ a reasonable and specific plan for correcting the deficiency▶ a schedule with dates for correcting the deficiency• describe any recommendations to the Institutional Official regarding the animal facilities• include any minority views• be reviewed and signed by a majority of the IACUC members <p>An updated Facility Inspection Report must be submitted to the Institutional Official at least once every 6 months. [2.31(c)(3)] NOTE: This report may be submitted separately or in combination with the Program Review Report.</p>
Uncorrected Significant Deficiency	<p>If a significant deficiency remains uncorrected due to failure to adhere to the correction plan or date, the IACUC, through the Institution Official, must: [2.31(c)(3)]</p> <ul style="list-style-type: none">• prepare a written report describing:<ul style="list-style-type: none">▶ the uncorrected deficiency▶ the reason why the deficiency was not corrected▶ the research facility's plan of action• send the written report:<ul style="list-style-type: none">▶ within 15 business days of the correction date▶ to the appropriate Animal Care Regional Office and any Federal agencies funding this activity

PROCEDURE FOR PROTOCOL REVIEW	The IACUC is responsible for the review and approval of all proposed activities related to the care and use of animals. [2.31]
Procedure	<p>A written protocol, i.e., a proposal for animal use activities, must be submitted to and approved by the IACUC prior to the start of any animal use activity.</p> <p>The IACUC must review all submitted protocols and decide to: [2.31(c)(6)]</p> <ul style="list-style-type: none">• approve the protocol, OR• require modifications in the protocol to secure approval, OR• withhold approval of the protocol <p>The IACUC review must be conducted by: [2.31(d)(2)]</p> <ul style="list-style-type: none">• the full IACUC, or• a subcommittee of at least one member of the IACUC designated by the IACUC chair who:<ul style="list-style-type: none">▶ is qualified to conduct the review, and▶ has the authority to:<ul style="list-style-type: none">□ approve□ require modifications in the protocol to secure approval, or□ request a full IACUC review of the protocol <p>Note: This person or subcommittee might be referred to as the Designated Reviewer(s) or Designated Member(s).</p> <p>Prior to IACUC review, each member of the IACUC must be provided: [2.31(d)(2)]</p> <ul style="list-style-type: none">• a list by the IACUC chair or his/her designee of the protocols to be reviewed• upon request, a copy of any protocol <p>NOTE: Any member of the IACUC may request</p>

and must be granted a full IACUC review of a protocol.

NO member of the IACUC or subcommittee may grant approval of a protocol UNTIL the entire IACUC has been informed that the protocol is to be reviewed and members are given the opportunity to read the protocol.

If an IACUC member has a conflicting interest with a protocol being reviewed, e.g., is personally involved, that member may **NOT**: [2.31(d)(2)]

- contribute to the constitution of a quorum
 - participate in the review or approval of the protocol
- NOTE: The member may provide information about the activity proposed in the protocol.

Full Committee Review

If a protocol is reviewed by the full IACUC: [2.31(d)(2)]

- the review must be conducted at a convened meeting with a quorum of the IACUC, AND
- approval must be by a majority vote of the quorum present

Subcommittee Review (Designated Reviewer)

The Designated Reviewer(s) has the authority to:

- approve a protocol
- approve a significant change(s) to a protocol
- require modifications to a protocol/significant changes
- request a full IACUC review

A protocol or significant change approved by the Designated Reviewer does **not** need to be reviewed and approved by the full IACUC.

NOTE: Only after all members of the IACUC have decided that a full committee review of a protocol is not necessary, can the protocol be reviewed by the Designated Reviewer.

Consultants	<p>The IACUC may confer with a consultant(s) or the principal investigator(s) to aid in understanding complex areas of a protocol. [2.31(d)(3)]</p>
	<p>Unless the consultant is a member of the IACUC, he/she must NOT: [2.31(d)(3)]</p> <ul style="list-style-type: none">• approve or withhold approval of a protocol• vote with the IACUC
Notification	<p>The IACUC must notify in writing the principal investigator(s) and the appropriate person(s) at the research facility (usually the Institutional Official or his/her designee) of its decision regarding the approval of the protocol. [2.31(d)(4)]</p>
	<p>If the IACUC decides to withhold approval or require modifications in the protocol, it must: [2.31(d)(4)]</p> <ul style="list-style-type: none">• include in its written notification the reason for the decision• give the principal investigator(s) an opportunity to respond in person or in writing
	<p>The IACUC may reconsider its decision to withhold approval if the principal investigator corrects the deficiencies in the protocol to the IACUC's satisfaction. Any change in the IACUC's decision must be documented in the minutes. [2.31(d)(4)]</p>
Annual Review	<p>The IACUC must review all active protocols at least once a year or more often, at the discretion of the IACUC. [2.31(d)(5)]</p>
	<p>The annual reviews should be documented in writing.</p>
Changes in Protocols	<p>The principal investigator(s) must inform the IACUC of any proposed significant changes to an approved protocol prior to the changes being implemented.</p>
	<p>The IACUC or a designated subcommittee must review and approve these changes. [2.31(c)(7)]</p>

Non-IACUC Review

Examples of significant changes include, but are not limited to:

- increase or decrease in the number of animals
- addition of a new species
- new procedure or change in a procedure being used
- change in pain classification of the procedure
- major/critical change in post-procedural pain management
- change from terminal to survival surgery
- change in personnel conducting the procedures

NOTE: If a proposed change to a protocol is minor, it may be handled administratively or at the annual review.

IACUC-approved protocols and IACUC-approved significant changes may be further reviewed and approved by officials of the research facility, such as: [2.31(d)(8)]

- the Institutional Official
- the Department Head
- Grants and Funding Committee
- Safety Committee
- Radiation Safety Committee

HOWEVER, these officials may NOT approve a protocol or significant change that has not been approved by the IACUC. [2.31(d)(8)]

NOTE: The research facility may have an internal policy requiring further approval of a protocol or significant change by a non-IACUC official for the protocol or significant change to be implemented BUT this is an internal issue, not an AWA/Animal Care issue.

PROTOCOL REVIEW	The IACUC must review all protocols and changes to approved protocols. [2.31, Policies #11, #12, #14]
Criteria	<p>In order to approve a protocol or significant change to an approved protocol, the IACUC must:</p> <ul style="list-style-type: none"> • review those components of the activities related to the care and use of animals, and • determine that the proposed activities meet and comply with the AWA regulations and standards
<p>Protocol Requirements</p> <p>General Requirements</p>	<p>A protocol to conduct an activity involving animals must contain and comply with the requirements/assurances detailed below.</p> <p>Protocols must meet the following requirements::</p> <ul style="list-style-type: none"> • provide the rationale for using animals [2.31(e)(2)] • identify the species of animals to be used [2.31(e)(1)] • justify the appropriateness of the species [2.31(e)(2)] • provide the approximate number of animals to be used [2.31(e)(1)] • justify the number of animals to be used [2.31(e)(2)] • describe the proposed use of the animals, including final disposition of the animal [2.31(e)(3)] • contain a written assurance from the principal investigator that the proposed activities do not unnecessarily duplicate previous experiments [2.31(d)(1)(iii)] • medical care will be: [2.31(d)(1)(vii)] <ul style="list-style-type: none"> ▸ available when necessary, and ▸ provided by a qualified veterinarian • the animals' living conditions, housing, feeding, and nonmedical care will be: [2.31(d)(1)(vi)] <ul style="list-style-type: none"> ▸ appropriate ▸ in accordance with the AWA standards ▸ directed by the attending veterinarian or other qualified scientist • all personnel who will be conducting the proposed activities on the animals are qualified and trained [2.31(d)(1)(viii)] • pain/distress/discomfort are minimized [2.31(d)(1)(i) & 2.31(e)(4)]

**Painful/Distressful
Procedures**

- contain a complete description of procedures designed to assure that pain/distress/discomfort are minimized [2.31(e)(4)]
- describe the method(s) of euthanasia to be used [2.31(e)(5)]

Procedures that may cause more than momentary or slight pain or distress to the animal must contain and comply with assurances that the pain/distress is necessary and will be relieved or minimized.

Examples of procedures that can be expected to or may cause more than momentary pain or distress include, but are not limited to:

[Policy #11]

- surgery (survival or terminal)
- use of Freund's Complete Adjuvant
- ocular or skin irritancy testing
- food or water deprivation
- electrical shock, thermal stress, large doses of radiation
- paralysis or immobility in a conscious animal
- forced exercise

Protocols with procedures that may cause pain or distress must meet the following requirements:

- the principal investigator(s) has considered alternatives to the painful/distressful procedure [2.31(d)(1)(ii)]
NOTE: Refinement and reduction as well as replacement should be considered in minimizing pain and distress.
- **for electronic database searches:** a written narrative describing the methods and sources used to determine that alternatives were not available, including, but not limited to: [2.31(d)(1)(ii), Policy #12]
 - ▶ date of the search
 - ▶ databases searched
 - ▶ years covered by the search
 - ▶ key words used
 - ▶ search strategy(s) used

- **for non-electronic searches:** a written narrative describing the methods and sources used to determine that alternatives were not available, including, but not limited to:
[2.31(d)(1)(ii), Policy #12]
 - ▶ years covered by search
 - ▶ search strategy(s) used
 - ▶ sources consulted, including, if applicable:
 - reliable unpublished research data
 - expert consultation (list credentials)
- painful/distressful procedures will be performed with appropriate: [2.31(d)(1)(iv)(A)]
 - ▶ sedatives
 - ▶ analgesics
 - ▶ anesthetics
- a justification for not using pain/distress relief which must:
[2.31(d)(1)(iv)(A)]
 - ▶ be in writing, and
 - ▶ detail the scientific reasons for withholding the relief, and
 - ▶ state the period of time (if known) that the pain/distress relief will be withheld, or
 - ▶ have an assurance statement that the pain/distress relief will be withheld for the shortest period of time necessary
- the research facility's attending veterinarian or his/her designee was consulted and involved in the planning of the procedure and pain/distress relief
[2.31(d)(1)(iv)(B)]
- paralytics (if used) will not be used without anesthesia
[2.31(d)(1)(iv)(C)]
- animals experiencing severe or chronic pain/distress that cannot be relieved will be humanely euthanized
[2.31(d)(1)(v)]

**Surgical
Procedures**

Pre- & Post-Surgical Care

Protocols that involve surgery must detail the provisions for pre- and post-operative care of the animals in accordance with

accepted veterinary and nursing practices, such as: [2.31(d)(1)(ix), Policy #3]

- adequate post-procedural observation and monitoring
- adequate monitoring of recovery until sternal
- placing animal in appropriate recovery or post-recovery environment

For *pain/distress-relieving drugs*, the protocol must clearly specify: [2.31(e)(4)]

- anticipated signs of pain and distress
- when drugs should be administered
- when drugs should not be administered, if required for scientific reasons
- drugs to be used
- dosages and routes of administration
- frequency of administration
- person(s) who is responsible for determining when pain-relieving drugs are needed, if appropriate

NOTE: A “PRN” or “as needed” frequency of administration is not acceptable unless there are detailed instructions and criteria for determining administration of the drug.

Survival Surgery [2.31(d)(1)(ix)]

All survival surgery must be performed using aseptic procedures including, but not limited to:

- surgical gloves
- masks
- sterile instruments
- aseptic technique

NOTE: Surgery is survival if the animal regains consciousness during or after the operative procedure.

Non-Survival Surgery

Non-survival surgery:

- must be performed in accordance with established veterinary medical and nursing practices
- does not require a dedicated surgical facility

Major Operative Procedure [2.31(d)(1)(ix)]

Major operative procedures on regulated animals must be performed in a dedicated surgical facility which must be operated and maintained under aseptic procedures.

Examples of major operative procedures include, but are not limited to:

- thoracotomy
- laparotomy
- craniotomy
- thyroidectomy
- joint replacement
- amputation

Non-major Operative Procedure [2.31(d)(1)(ix)]

Non-major operative procedures on regulated animals:

- must be performed using aseptic procedures
- do not require a dedicated surgical facility

Examples of minor operative procedures include, but are not limited to:

- peripheral vessel cannulation
- wound suturing
- tooth extraction

Rodent Surgery [2.31(d)(1)(ix)]

Surgery on rodents:

- must be performed using aseptic procedures
- does not require a dedicated surgical facility

Field Site Surgery [2.31(d)(1)(ix)]

Surgeries conducted at field sites:

- must be performed using aseptic procedures
- do not require a dedicated surgical facility

Multiple Survival Surgeries [2.31(d)(1)(x), Policy #14]

An animal may **not** be used in more than one major operative survival procedure **UNLESS** the multiple procedures are:

- **within one protocol, and**
- **justified, in writing, for scientific reasons, and**
- **approved by the IACUC**

An animal may **not** be used in **two separate protocols** with major operative survival procedures **UNLESS**:

- **approved by the IACUC, and**
- **an exemption is approved by the APHIS Administrator**

The request for approval of the exemption by the APHIS Administrator must: [Policy #14]

- **be made by the research facility's Institutional Official**
- **be in writing**
- **contain the research facility's USDA registration number**
- **contain an outline of the proposal for which the procedure is requested**
- **specify:**
 - ▶ **species of animals involved**
 - ▶ **approximate number of animals involved**
 - ▶ **time frame for the proposed procedure**
 - ▶ **number of major operative procedures to be performed on a given animal**
 - ▶ **frequency of the major operative procedures**
 - ▶ **period of time between each major operative procedure**
 - ▶ **measures to be taken to ensure that pain/distress are minimized**
- **contain a complete scientific justification for the exemption**
- **contain an assurance that all other requirements of the AWA regulations and standards are met**
- **contain an assurance that the IACUC has approved the exemption**
- **be sent to the appropriate Animal Care Regional Office**

NOTE: An animal that has a routine veterinary procedure, such as

**Exceptions/
Exemptions**

spaying, neutering or descenting, or an emergency major operative procedure for health reasons may be used in a protocol that requires a major survival surgery.

Protocol exceptions or exemptions to a particular AWA regulation or standard must be:

- justified in writing
- for scientific reasons
- approved by the IACUC

Examples of exceptions/exemptions include, but are not limited to:

- use of a method of euthanasia other than one approved in the most current *Report of the AVMA Panel on Euthanasia*
- continuous restraint, i.e. for over 12 hours, of a nonhuman primate
- use of an animal in more than one protocol involving a major operative procedure from which it is allowed to recover
- food or water deprivation or restriction (i.e. inadequate nutrition and/or feeding less than once a day and/or watering less than twice a day for an hour each time)
- maintaining animals at temperatures outside the ranges specified in the standards
- housing an animals in smaller than required caging, such as cages in animal study areas or metabolism cages
- failure to clean and/or sanitize at required frequency
- failure to provide a diurnal light cycle
- exceptions from the exercise plan for dogs
- exceptions from the psychological well-being plan for nonhuman primates

NOTE: Field studies which meet the following criteria are exempt from the regulations and do not require a written, approved exemption. The study does not: [1.1, 2.31(d)(1)]

- involve an invasive procedure
- harm the animals under study
- materially alter the behavior of the animals under study

Pilot Studies

Protocols approved as **pilot studies** should be followed up with:

- ▶ a review of the results of the pilot study
- ▶ re-submission of the protocol by the principal investigator, if appropriate
- ▶ evaluation and approval/denial of the re-submitted protocol

SUSPENSION OF A PROTOCOL ACTIVITY	The IACUC may suspend a previously-approved protocol activity. [2.31]
Criteria	<p>The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted as: [2.31(d)(6)]</p> <ul style="list-style-type: none">• described by the principal investigator, AND• approved by the IACUC <p>The IACUC may suspend an activity only: [2.31(d)(6)]</p> <ul style="list-style-type: none">• after review of the matter at a convened meeting, and• if a quorum of the IACUC is present, and• with a vote for suspension by a majority of the quorum present <p>If the IACUC suspends an activity involving animals, the Institutional Official, in consultation with the IACUC, must: [2.31(d)(7)]</p> <ul style="list-style-type: none">• review the reasons for the suspension• take appropriate corrective action• report that action with a full explanation to:<ul style="list-style-type: none">▶ the appropriate Animal Care Regional Office, and▶ any Federal agency funding that activity

OTHER FUNCTIONS	The IACUC is responsible for other activities related to animals at the research facility. [2.31, 2.32]
Concerns/Complaints	<p>The IACUC is responsible for reviewing and, if warranted, investigating concerns/complaints involving the care and use of animals at the research facility, such as: [2.31(c)(4)]</p> <ul style="list-style-type: none"> • inadequate pain relief • inadequate veterinary care • animal use activities not approved by the IACUC • use of stolen animals <p>Sources of these concerns/complaints may include, but are not limited to:</p> <ul style="list-style-type: none"> • general public • animal protection groups • laboratory or research facility personnel or employees • city, county, or State agency • APHIS personnel • another Federal agency <p>The IACUC should develop a mechanism for handling these concerns or complaints.</p>
Reprisal Allegations	<p>The IACUC is responsible for investigating any allegation of discrimination or reprisal for reporting violations to the AWA regulations and standards by a: [2.32(c)(4)]</p> <ul style="list-style-type: none"> • facility employee • IACUC member • laboratory personnel
Recommendations	<p>The IACUC is responsible for making recommendations to the Institutional Official regarding any aspect of the research facility's: [2.31(c)(5)]</p> <ul style="list-style-type: none"> • animal program • animal facilities • personnel training

**Animal Use Activity
Monitoring**

The IACUC is responsible for the appropriate monitoring of animal use activity at the research facility to: [2.31(d)(5)]

- detect deviations from the AWA regulations and standards
- ensure proper care and use of the animals
- ensure investigator compliance with the IACUC-approved protocol
- detect changes not approved by the IACUC in protocol animal use activities
- detect any non-IACUC-approved use of animals

ELECTRONIC COMMUNICATION	Some forms of electronic communication systems may be used to conduct IACUC functions. [2.31(d)(2)]
IACUC Meetings	<p>IACUC meetings must allow members to be in direct communication to consider, deliberate, and vote on areas of their responsibility. This is traditionally done by face-to-face meetings.</p> <p>The IACUC may conduct its activities using electronic communication systems which allow all members to be in direct communication, if all of the following criteria are met:</p> <ul style="list-style-type: none">• all members are given notice of the meeting• documents normally provided to members during a physically-convened meeting are provided to all members in advance of the meeting• all members have access to the documents and the technology necessary to fully participate• a quorum of voting members is convened when required• the communication system allows for real time verbal interaction equivalent to that occurring in a physically-convened meeting (i.e., members can actively and equally participate and there is simultaneous communication)• if a vote is called for, the vote occurs during the meeting and is taken in a manner that ensures an accurate count of the vote. Note: A mail ballot or individual phone polling cannot substitute for a convened meeting.• opinions of absent members that are transmitted by mail, telephone, fax, or e-mail may be considered by the convened IACUC members BUT may not be counted as votes or considered as part of the quorum• written minutes of the meeting are maintained as required by the AWA regulations <p>All activities conducted via electronic communication must be documented in writing and original signatures obtained when</p>

	<p>required.</p> <p>Examples of electronic communication systems include, but are not limited to:</p> <ul style="list-style-type: none">• conference calls• audio-visual conferencing <p>Fax, e-mail, and one-on-one communication via telephone are not acceptable methods for conducting IACUC functions which require a convened meeting, such as:</p> <ul style="list-style-type: none">• protocol review• approving a protocol• review and endorsement of semi-annual program review and facility inspection reports being sent to the Institutional Official• suspension of an activity
<p>Distribution of Information</p>	<p>Fax or e-mail is an acceptable method for the receipt or distribution of information by the IACUC, such as:</p> <ul style="list-style-type: none">• protocols from principal investigators• proposed changes to approved protocols from principal investigators• meeting notifications• agendas• meeting handouts• protocols/changes to protocols to IACUC members• request for a full committee review of a protocol• minutes of meetings• correspondence• reports• standard operating procedures (SOPs)

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