14.0 Records

ANNUAL REPORT	Each registered research facility, including Federal research facilities, must submit an annual report to APHIS Animal Care. [2.36, Policy #17]
Criteria	The annual report: [Policy #17] • 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 The annual report must:[2.36(a)] • 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 See "The Top Ten Tips for Completing the USDA Annual Report" on page 14.1.11.
Content	***Assurance Statements*** The annual report must contain the following assurances (as found on Form 7023) from the research facility: • 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

	• deprivation of food or water, such as:
	  ▸ 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	You (the inspector) should verify that the Research Facility's Annual Report is accurate, that is:
	• 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
	
	Methods of verifying the animal numbers include, but are not limited to:
	• counting the animals, if appropriate or feasible
	• asking Research Facility representative to demonstrate how the number of animals was determined for:
	  ▸ a particular species, or
	  ▸ a Column from the Annual Report
	• review of:
	  ▸ 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

This report is required by law (7 USC 2143). Failure to report according to the regulations can result in an order to cease and desist and to be subject to penalties as provided for in Section 2150.

See reverse side for additional information.

Interagency Report Control No 0180-DOA-AN

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

ANNUAL REPORT OF RESEARCH FACILITY
(TYPE OR PRINT)

1. REGISTRATION NO.

FORM APPROVED
OMB NO. 0579-0036

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					

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

APHIS FORM 7023 (AUG 91) (Replaces VS FORM 18-23 (OCT 88), which is obsolete.)

PART 1 - HEADQUARTERS

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.

This report is required by law (7 USC 2143). Failure to report according to the regulations can result in an order to cease and desist and to be subject to penalties as provided for in Section 2158.

See reverse side for additional information.

Interagency Report Control No. 0188-DOA-AM

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

1. REGISTRATION NO.

FORM APPROVED
OMB NO. 0579-0036

CONTINUATION SHEET FOR ANNUAL REPORT OF RESEARCH FACILITY

(TYPE OR PRINT)

2. HEADQUARTERS RESEARCH FACILITY *(Name and Address, as registered with USDA, include Zip Code)*

REPORT OF ANIMALS USED BY OR UNDER CONTROL OF RESEARCH FACILITY *(Attach additional sheets if necessary or use this form.)*

A. Animals Covered By The Animal Welfare Regulations 12. &/OR 13. Other *(List by species)*	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)

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

APHIS FORM 7023A
(AUG 91)

PART 1 - HEADQUARTERS

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.

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.

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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.

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.

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.

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:

Records must be kept on live dogs/cats which are: [2.35(b) & (c)]

- 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

The record of acquisition for each live dog and cat must contain the following information:

- 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)]
  - 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)]
  - 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

- 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

Records of acquisition may be kept and maintained on: [2.35(d)(1)]

- 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

The record of disposition for each live dog and cat must contain the following information:

- 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)]
  - death, including euthanasia
  - sale
  - donation
  - transfer
  - breeding loan
  - exchange
- the method of transportation, if applicable, including: [2.75(c)(3)]
  - name of the initial carrier or intermediate handler, or
  - name of the owner of the privately owned vehicle

Records of disposition may be kept and maintained on: [2.35(d)(2)]

- 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

This record is required by law (7 USC 2131-2166). (9 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. 0579-0036

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.
☐ Dealer ☐ Holding Facility (Submit copy to Dealer) ☐ Other ☐ Exhibitor (Dogs and Cats only)			FROM (Mo, Day, Yr.)	TO (Mo., Day, Yr.)	

IDENTIFICATION OF EACH ANIMAL BEING DELIVERED (See reverse for Breed Abbreviations)							ACQUIRED FROM		DISPOSITION	
A. TATTOO OR USDA TAG NO.	B. DOG "X" M or F	C. CAT "X" M or F	D. AGE OR DATE OF BIRTH	E. WT.	F. BREED OR TYPE (If mixed breed, list 2 dominant breeds)	G. DESCRIPTION OF ANIMAL (Color, Distinctive Marks, Hair, Tail Tattoos, etc.)	H. DATE ACQUIRED	I. NAME AND ADDRESS USDA LICENSE OR REGISTRATION NUMBER, OR DRIVER'S LICENSE NUMBER AND STATE, VEHICLE LICENSE NUMBER AND STATE,	J. Date Removed or Sold	K. Date Died or Euthanized (Specify)
	M F	M F								
	M F	M F								
	M F	M F								
	M F	M F								
	M F	M F								
	M F	M F								

14.2.5

APHIS FORM 7005 (JUN 95)	INSPECTOR USE ONLY	LAST INSPECTION (Date)	TOTAL NO. ANIMALS ENTERED SINCE LAST INSPECTION	COUNT TOTAL NO. ANIMALS ACTUALLY ON PREMISES	DIFFERENCE (+ OR -)	DATE	INITIALS

14.2.6

BREED ABBREVIATIONS - DOGS (Column F)

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

CATS (Col F)

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

TYPE (Column F)

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

This record is required by law (7 USC 2131-2156) (9 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

See reverse side for additional informat

U S DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

RECORD OF DISPOSITION OF DOGS AND CATS

☐ SALE ☐ EXCHANGE OR TRANSFER ☐ DONATION

FORM APPROVED OMB NO. 0579-0036

1. DATE OF DISPOSITION

2. PAG

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 "X" M OR F		AGE OR DATE OF BIRTH	WT.	BREED OR TYPE *	DESCRIPTION OF ANIMAL *(Color, Distinctive Marks, Hair, Tail, Tattoos, etc.)*
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				
	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

APHIS FORM 7006 (Previous edition may be used.)

14.2.7

BREED ABBREVIATIONS - DOGS (Col. F)

Afghan 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 Shepherd	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
Bluetick	BK	Great Pyreness	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	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	Wermaraner	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
Sheperd Crossbreed	SX
Spaniel crossbreed	PX

APHIS FORM 7006 REVERSE

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	**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.** The citation of inadequate veterinary care for a sick animal may include a reference to the lack or inadequacy of health records, if appropriate. Health records, if maintained, should be: • current • legible • sufficiently comprehensive to demonstrate the delivery of adequate veterinary care • consistent with professional standards 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.
Contents	Health records should include, but are not limited to: • identity of the animal • description of any: ▸ illness ▸ injury ▸ distress ▸ behavioral abnormality • dates, details, and results (if appropriate) of all medically-related: ▸ 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: • minutes of the IACUC meetings, including: ▸ 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: ▸ 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: ▸ 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.

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.

You should review any acquisition, disposition and transportation records which are available. NOTE: Some of this information may be in the investigators' logs.

Information from these records may be used to:

- verify the number of animals reported on the facility's Annual Report
- search for unlicensed dealers, or unregistered carriers and intermediate handlers

Acquisition Records

Information on the acquisition records may include:

- 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:
  - 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: • 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	A research facility must maintain the following veterinary care records for all regulated animals, **when applicable**: • 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	**Dogs & Cats** In addition to the required records listed above, the following veterinary care records are required for dogs and cats, when applicable: • exercise plan for dogs [3.8] • outdoor housing approval [3.4(a)] • health certificate for transport [2.38(h)] **Nonhuman Primates** In addition to the required records listed above, the following veterinary care records are required for nonhuman primates, when applicable: • environmental enhancement plan [3.81] • outdoor housing approval [3.78(a)] • health certificates for transport [2.38(h)] **Marine Mammals** In addition to the required records listed above, the following veterinary care records are required for marine mammals, when applicable: • 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)