



Privacy Impact Assessment

**License and Registration Information System
(LARIS)**

Revision: Final

Animal and Plant Health Inspection Service (APHIS)

Date: May 28, 2008

Sensitive But Unclassified/Sensitive Security Information – Disseminate on a Need-To-Know Basis Only

USDA PRIVACY IMPACT ASSESSMENT FORM

Agency: Animal and Plant Health Inspection (APHIS), Animal Care (AC)

System Name: License and Registration Information System (LARIS)

System Type: **Major Application**
 General Support System
 Non-major Application

System Categorization (per FIPS 199): **High**
 Moderate
 Low

Description of the System:

The purpose of the system is to provide a standard approach to collect, record, analyze, maintain, and report information to cooperating and regulatory entities. The system is used to collect and manage customer data for license, registration, and facility research which are part of the Animal Care collection and have been reported to the Department for Government Paperwork Elimination Act (GPEA) and e-Authentication purposes. It is used by the Animal Care Regional offices and field inspectors to conduct inspections in accordance with the Animal Welfare Act (AWA).

LARIS allows Animal Care (AC) field inspectors to have direct access to a current copy of the Oracle database and have immediate availability on the current status of any Animal Welfare regulated facility in the United States. The system allows AC to shift its end base away from the regional offices to the various field Inspectors who perform the inspection function. LARIS7 (the current operational version) provides AC with the capability to enter and retrieve licensing and registration data from approximately 100 field agent locations throughout the United States. In meeting AC strategic objectives, the current system enhancements will meet the E-Gov requirements and other program mandates to revise the inspection form so it is automated and customer-oriented.

The LARIS system is a customized Oracle application which resides on an APHIS application server located in Riverdale, MD. The system operates in a global Information Technology (IT) architecture that supports applications and employees worldwide. Key components of this architecture include:

- Desktop systems – Dell Personal computer workstations and laptop computers running Windows 2000 or XP Professional.
- Application Servers -APHIS AIX Servers are located inside government-owned buildings, occupied by APHIS personnel, and are not normally open to the general public. The systems are connected to the Internet via USDA approved

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Internet gateways. In- and outbound Internet connections are secured by USDA provided and maintained firewalls. The LARIS application resides on one of the MDRDS50.APHIS.USDA.GOV (IBM Server) located in the Riverdale, MD facility. The LARIS operational server is running an AIX platform and Oracle 8i.

Who owns this system?

Dr. Chester Gipson
Deputy Administrator
Animal Care
(301) 734-4980
Chester.A.Gipson@aphis.usda.gov

Who is the security contact for this system?

Thay Ly
Chief Information Officer
Animal Care
(301) 734-5189
Thay.ly@aphis.usda.gov

Who completed this document?

COACT, Inc.
9140 Guilford Rd. Suite N
Columbia, MD 21046
(301) 498-0150

DOES THE SYSTEM CONTAIN INFORMATION ABOUT INDIVIDUALS IN AN IDENTIFIABLE FORM?

Indicate whether the following types of personal data are present in the system

QUESTION 1	Citizens	Employee s
Does the system contain any of the following type of data as it relates to individual:		
Name	Yes	Yes
Social Security Number	Yes	Yes
Telephone Number	Yes	Yes
Email address	Yes	Yes
Street address	Yes	No
Financial data	No	No
Health data	No	No
Biometric data	No	No
QUESTION 2	Yes	Yes
Can individuals be uniquely identified using personal information such as a combination of gender, race, birth date, geographic indicator, biometric data, etc.?		
NOTE: 87% of the US population can be uniquely identified with a combination of gender, birth date and five digit zip code ¹		
Are social security numbers embedded in any field?	Yes	Yes
Is any portion of a social security numbers used?	Yes	Yes
Are social security numbers extracted from any other source (i.e. system, paper, etc.)?	No	No

If all of the answers in Questions 1 and 2 are NO,



You do not need to complete a Privacy Impact Assessment for this system and the answer to OMB A-11, Planning, Budgeting, Acquisition and Management of Capital Assets,

¹ Comments of Latanya Sweeney, Ph.D., Director, Laboratory for International Data Privacy Assistant Professor of Computer Science and of Public Policy Carnegie Mellon University To the Department of Health and Human Services On "Standards of Privacy of Individually Identifiable Health Information". 26 April 2002.

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Part 7, Section E, Question 8c is:

3. No, because the system does not contain, process, or transmit personal identifying information.

If any answer in Questions 1 and 2 is YES, provide complete answers to all questions below.

DATA COLLECTION**3. Generally describe the data to be used in the system.**

The database was designed to support the Animal Welfare Act (AWA) which is a statute mandated by Congress. The LARIS system contains information on licensees, registrants and others who have stated an interest in or applied for a license or registration. AWA inspection reports are generated by the database with entry by field personnel during onsite inspections.

The LARIS system requires input from and sends information back to all USDA personnel identified as users of the system. All users of the system have their access to the data restricted based on their user role(s). These roles include (but are not limited to): Animal Care Inspectors (ACI), Veterinary Medical Officers (VMO), Supervisory Animal Care Specialists (SACS), Regional Animal Care Specialists (RACS), Assistant Regional Directors (ARD), Regional Directors, Program Specialist (PS), Computer Specialist (CS), Inspection and Licensing Assistants (ILA), and Headquarters AC personnel.

The current types of data that are collected, stored, and analyzed by LARIS include:

1. *Customer Data: involves the entry of data for individuals and organizations that contact the USDA APHIS AC Regional offices for information on the licensing or registration process and requirements. These customers are tracked for the purposes of verifying the date(s) on which information was sent to the individual or organization in cases of investigations and/or legal actions taken against these entities. Customer Data Entry involves the entry of data as delineated on the most recent version of the 7003-A (License Application), 7003 (License Renewal), and 7011 (Registration Application and Renewal) forms. Once the customer has submitted a valid application for license and/or registration they are converted to Certificate Holders.*
2. *Inspection Data: involves the entry of data associated with the inspection report that is performed by the field inspector.*
3. *Research Facility Annual Report Data: involves the entry of all data associated with the 7023 and 7023-A forms. Note that samples of all current forms are in Appendix A.*
4. *Complaint Data: involves the entry of data associated with a given complaint against a USDA-licensed or -registered entity.*
5. *Production of licenses, certificates, letters, and other reports as required by the users of the system are included in each business process section in which they are associated. In addition, the ability to generate ad-hoc or impromptu reports from the system must be supported.*

4. Is the collection of the data both relevant and necessary to the purpose for which the system is being designed? In other words, the data is absolutely needed and has significant and demonstrable bearing on the system's purpose as required by statute or by Executive order of the President.

Yes
 No

5. Sources of the data in the system.

- 5.1. What data is being collected from the customer?

Under the AWA, the name of the business, owner's name, address, telephone numbers, social security number or employee identification number, locations of animals, and animals used in research are provided by the customer. The customer also provides: credit card or check number, routing number, account number and banking information via the on-line application system.

- 5.2. What USDA agencies are providing data for use in the system?

Animal and Plant Health Inspection Service (APHIS) / Animal Care (AC) provides information to complete the AWA inspection reports

- 5.3. What state and local agencies are providing data for use in the system?

None

From what other third party sources is data being collected?

The LARIS application collects and stores the entry of data when an individual of the general public files a complaint against a USDA-licensed or -registered entity. Complaints may also be filed against an organization that is in operation and that meets the definition of a regulated entity regardless of whether they are licensed or registered.

6. Will data be collected from sources outside your agency? For example, customers, USDA sources (i.e. NFC, RD, etc.) or Non-USDA sources.

Yes
 No. If NO, go to question 7

- 6.1. How will the data collected from customers be verified for accuracy, relevance, timeliness, and completeness?

Data collected from individuals on application and renewal forms is reviewed by Animal Care prior to being entered into the database. On routine field

inspections and audits for AWA, spot-checks are done to validate accuracy of records maintained in the database.

- 6.2. How will the data collected from USDA sources be verified for accuracy, relevance, timeliness, and completeness?

Not applicable.

- 6.3. How will the data collected from non-USDA sources be verified for accuracy, relevance, timeliness, and completeness?

See Section 6.1 for verification of complaint data from the general public.

DATA USE

7. Individuals must be informed in writing of the principal purpose of the information being collected from them. What is the principal purpose of the data being collected?

The system is used to collect and manage customer data for license, registration, and facility research which are part of the Animal Care collection and have been reported to the Department for Government Paperwork Elimination Act (GPEA) and e-Authentication purposes. It is used by the Animal Care Regional offices and field inspectors to conduct inspections in accordance with the Animal Welfare Act.

8. Will the data be used for any other purpose?

Yes
 No. If NO, go to question 9

- 8.1. What are the other purposes?

9. Is the use of the data both relevant and necessary to the purpose for which the system is being designed? In other words, the data is absolutely needed and has significant and demonstrable bearing on the system's purpose as required by statute or by Executive order of the President

Yes
 No

10. Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected (i.e. aggregating farm loans by zip codes in which only one farm exists.)?

Yes
 No. If NO, go to question 11

- 10.1. Will the new data be placed in the individual's record (customer or employee)?

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- Yes
- No

10.2. Can the system make determinations about customers or employees that would not be possible without the new data?

- Yes
- No

10.3. How will the new data be verified for relevance and accuracy?

11. Individuals must be informed in writing of the routine uses of the information being collected from them. What are the intended routine uses of the data being collected?

To assist Animal Care in ensuring enforcement of the AWA is completed in an accurate, thorough and efficient manner.

12. Will the data be used for any other uses (routine or otherwise)?

- Yes
- No. If NO, go to question 13

12.1. What are the other uses?

13. Automation of systems can lead to the consolidation of data – bringing data from multiple sources into one central location/system – and consolidation of administrative controls. When administrative controls are consolidated, they should be evaluated so that all necessary privacy controls remain in place to the degree necessary to continue to control access to and use of the data. Is data being consolidated?

- Yes
- No. If NO, go to question 14

13.1. What controls are in place to protect the data and prevent unauthorized access?

The system is employing role-based access control requiring user authentication (a User ID and password) to gain access to the system. Access is based on a predetermined role that allows least privilege access to LARIS data. The user also needs a USDA approved VPN module and Oracle DB Personal on their laptop in order to use the LARIS application.

14. Are processes being consolidated?

- Yes

No. If NO, go to question 15

- 14.1. What controls are in place to protect the data and prevent unauthorized access?
LARIS uses Oracle Database authentication and authorization are being used to guard against unauthorized access.

DATA RETENTION

15. Is the data periodically purged from the system?

Yes
 No. If NO, go to question 16

- 15.1. How long is the data retained whether it is on paper, electronically, in the system or in a backup?

Retention period for most information in the database is three years. APHIS retains the authority to maintain data longer if needed for enforcement purposes.

- 15.2. What are the procedures for purging the data at the end of the retention period?

AWA data is archived after three years unless identified to be retained in the database. The Regional offices and Headquarters are responsible for monitoring proper record retention. Animal Care's procedures on record keeping are used as a reference (AC DISPOSAL AUTHORITY NCI-310-77-2).

Currently, all data is kept in the secured archive system in-house and off-site. The archiving of data is performed on a daily, weekly, and monthly schedule.

- 15.3. Where are these procedures documented?

*The Computer Operational Document is kept at the following location:
APHIS Computer Room
4700 River Road, Second Floor
Riverdale Maryland, 20737*

16. While the data is retained in the system, what are the requirements for determining if the data is still sufficiently accurate, relevant, timely, and complete to ensure fairness in making determinations?

The fact that customers are required to renew their license and registration every one to three years will help ensure the data that is maintained is current and up-to-date. The system provides many different reporting mechanisms to validate the integrity of the data housed in the database, and to ensure data in it is current. The system

administrator requires all field inspectors synch their laptops with LARIS weekly to ensure that all information is kept up to date.

17. Is the data retained in the system the minimum necessary for the proper performance of a documented agency function?

- Yes
 No

DATA SHARING

18. Will other agencies share data or have access to data in this system (i.e. international, federal, state, local, other, etc.)?

- Yes
 No. If NO, go to question 19

18.1. How will the data be used by the other agency?

18.2. Who is responsible for assuring the other agency properly uses of the data?

19. Is the data transmitted to another agency or an independent site?

- Yes
 No. If NO, go to question 20

19.1. Is there the appropriate agreement in place to document the interconnection and that the PII and/or Privacy Act data is appropriately protected?

20. Is the system operated in more than one site?

- Yes
 No. If NO, go to question 21

20.1. How will consistent use of the system and data be maintained in all sites?

The system is used by the Regional staff and AC field inspectors to enter and collect the data. Data is synchronized by the field inspectors with the central database weekly to update the server database repository and to update the client database. All users are trained to use LARIS and receive periodic review training. Animal Care computer specialists along with program assistants daily review the processes by which data is entered, retrieved, used, and synchronized. There is also an LARIS manual that aids in maintaining consistency.

DATA ACCESS

21. Who will have access to the data in the system (i.e. users, managers, system administrators, developers, etc.)?

Animal Care’s IT staff and AC Headquarters and Regional staff include directors, assistant directors, supervisory animal care specialists, animal care inspectors and veterinary medical officers.

22. How will user access to the data be determined?

Access to data is determined by user roles. The access controls are assigned and documented with appropriate levels of authority.

22.1. Are criteria, procedures, controls, and responsibilities regarding user access documented?

- Yes
- No

If criteria, procedures, controls, and responsibilities regarding user access are documented, please verify.

The access controls/user roles are defined and documented in the LARIS system user guide.

23. How will user access to the data be restricted?

Users have access to the data based on the role assigned, which restricts users to data that is permitted. Animal Care employees and other APHIS employees as delegated by Animal Care’s Deputy Administrator have access to all the data.

23.1. Are procedures in place to detect or deter browsing or unauthorized user access?

LARIS is a client/server application that is not browser based application. Not applicable to LARIS.

- Yes (*e-Authentication will be used to detect and unauthorized user access*)
- No

24. Does the system employ security controls to make information unusable to unauthorized individuals (i.e. encryption, strong authentication procedures, etc.)?

- Yes
- No

The SSN used by the LARIS application are encrypted in the database. Only authorized users are allowed to view the information within the LARIS application.

CUSTOMER PROTECTION

- 25.** Who will be responsible for protecting the privacy rights of the customers and employees affected by the interface (i.e. office, person, departmental position, etc.)?

The Animal Care Deputy Administrator is ultimately responsible for protecting the privacy rights of the customers' and employees' information in LARIS. For now, the application enforces role based access to determine who has a need-to-know right to view data stored by the application.

All users of the system have their access to the data restricted based on their user role(s). All users are expected to be trained in and follow USDA guidelines on protecting private information.

- 26.** How can customers and employees contact the office or person responsible for protecting their privacy rights?

Customers can contact Animal Care at:

*Animal Care Headquarters
4700 River Road, Unit 84; Riverdale, MD 20737
(301) 734-7833
ace@aphis.usda.gov*

- 27.** A “breach” refers to a situation where data and/or information assets are unduly exposed. Is a breach notification policy in place for this system?

Yes. If YES, go to question 28
 No

27.1. If NO, please enter the POAM number with the estimated completion date:

- 28.** Consider the following:

- Consolidation and linkage of files and systems
- Derivation of data
- Accelerated information processing and decision making
- Use of new technologies

Is there a potential to deprive a customer of due process rights (fundamental rules of fairness)?

- Yes
 No. If NO, go to question 29

28.1. Explain how this will be mitigated?

29. How will the system and its use ensure equitable treatment of customers?

All forms, reports, menus, screens, and presentations within the LARIS application comply with:

- *American with Disabilities Act and Rehabilitation Act (Section 508)*
- *Privacy Act*
- *USDA E-Government Strategic Plan – E-auth system*

30. Is there any possibility of treating customers or employees differently based upon their individual or group characteristics?

- Yes
 No. If NO, go to question 31

30.1. Explain

LARIS is employing role-based access so the level of access to data is different based on the perceived need of the “user”/customer/employee.

SYSTEM OF RECORD

31. Can the data be retrieved by a personal identifier? In other words, does the system actually retrieve data by the name of an individual or by some other unique number, symbol, or identifying attribute of the individual?

- Yes
 No. If NO, go to question 32

31.1. How will the data be retrieved? In other words, what is the identifying attribute (i.e. employee number, social security number, etc.)?

The data base contains addresses, phone numbers, and other unique identifiers such as Social Security Number or Federal Tax ID number that allow Animal Care to identify and locate individuals. The only monitoring done is of the individual’s compliance with the AWA.

31.2. Under which Systems of Record notice (SOR) does the system operate? Provide number, name and publication date. (SORs can be viewed at www.access.GPO.gov)

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All USDA Systems of Record notices are available on-line at: http://www.ocio.usda.gov/ocio_sor.html. The SOR specific to Animal Care is called "APHIS-8, Veterinary Services—Animal Welfare (Document ID: agri_000-22) and is available at: <http://www.ocio.usda.gov/APHIS-8.txt>

31.3. If the system is being modified, will the SOR require amendment or revision?

Yes.

TECHNOLOGY

32. Is the system using technologies in ways not previously employed by the agency (e.g. Caller-ID)?

- Yes
 No. If NO, the questionnaire is complete.

32.1. How does the use of this technology affect customer privacy?

Upon completion of this Privacy Impact Assessment for this system, the answer to OMB A-11, Planning, Budgeting, Acquisition and Management of Capital Assets, Part 7, Section E, Question 8c is:

1. Yes.

PLEASE SUBMIT A COPY TO
THE OFFICE OF THE ASSOCIATE CHIEF INFORMATION OFFICE/CYBER
SECURITY

**Privacy Impact Assessment Authorization
Memorandum**

I have carefully assessed the Privacy Impact Assessment for the License and Registration Information System (LARIS).

This document has been completed in accordance with the requirements of the EGovernment Act of 2002.

We fully accept the changes as needed improvements and authorize initiation of work to proceed. Based on our authority and judgment, the continued operation of this system is authorized.

_____ System Manager/Owner OR Project Representative OR Program/Office Head.	_____ Date
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_____ Agency's Chief FOIA officer OR Senior Official for Privacy OR Designated privacy person	_____ Date
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_____ Agency OCIO	_____ Date
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APPENDIX A

1. APHIS FORM 7003

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, CPM, Room 404-R, 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. 0579-0036

No license may be issued unless a completed application has been received (7 U.S.C. 2133-2145), and the applicant is in compliance with the standards and regulations, Section 2133.

<p align="center">U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE</p> <p align="center">APPLICATION FOR LICENSE (TYPE OR PRINT)</p> <p align="center">LICENSE RENEWAL</p>	<p align="center">DO NOT USE THIS SPACE - OFFICIAL USE ONLY</p> <p>SEND THE COMPLETED FORM TO: 920 Main Campus Drive Suite 203, Unit 3040 Raleigh, NC 27605 Telephone: (919) 855-7101</p>		
	CERTIFICATE / CUSTOMER NO.	RENEWAL DATE	FEES
		AMOUNT	DATE RECEIVED

1. NAME(S) OF LICENSEE(S) AND MAILING ADDRESS	2. ALL BUSINESS (Site) LOCATIONS HOUSING ANIMALS; INCLUDE DIRECTIONS TO EACH LOCATION (P.O. Box not acceptable)
Telephone: _____	

3. LIST PERSONS 18 YEARS OF AGE OR OLDER AUTHORIZED TO CONDUCT BUSINESS. RESPONSIBLE OFFICIAL SIGNING BLOCK 10 SHOULD BE LISTED IN THIS BLOCK.	4. (A) PREVIOUS USDA LICENSE NUMBER (if any) -- (B) ACTIVE USDA CERTIFICATE NUMBER IN WHICH YOU HAVE AN INTEREST:
	5. TYPE OF LICENSE <input type="checkbox"/> Class A - Breeder <input type="checkbox"/> Class B - Dealer <input checked="" type="checkbox"/> Class C - Exhibitor

6. DATE OF LAST 12-MONTH BUSINESS YEAR (CALENDAR OR FISCAL)	7. TYPE OF ORGANIZATION
FROM _____ TO _____	<input type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input checked="" type="checkbox"/> Other (Specify) _____

8. DEALERS ONLY. Class A or Class B licensees must complete this block. (Class C Exhibitors go to Block 9)	9. CLASS C EXHIBITORS ONLY. (Number of animals holding now or held during the last business year, whichever is greater.)			
CLASS A (BREEDER) - LINE 'D' = 1/2 OF LINE 'C' CLASS B (DEALER) - LINE 'D' = LINE 'C' LESS THE AMOUNT PAID FOR THE ANIMAL(S)	DOGS	NONHUMAN PRIMATES	RODENTS (Do not include lab rats or mice)	WILD/EXOTIC HOOFSTOCK
A. TOTAL NO. OF ANIMALS PURCHASED IN THE LAST BUSINESS YEAR	CATS	MARINE ANIMALS		BEARS
B. TOTAL NO. OF ANIMALS SOLD IN THE LAST BUSINESS YEAR	GUINEA PIGS	FARM ANIMALS		WILD/EXOTIC MAMMALS (NOT LISTED ELSEWHERE)
C. TOTAL GROSS DOLLAR AMOUNT DERIVED FROM REGULATED ACTIVITIES (SALES, BOOKING FEES, COMMISSIONS, ETC.)	HAMSTERS	WILD/EXOTIC CANINES		TOTAL (ALL ANIMALS LISTED IN BLOCK 9)
D. DOLLAR AMOUNT ON WHICH FEE IS BASED (SECTIONS 2.6 AND 2.7)	RABBITS	WILD/EXOTIC FELINES		

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 _____

10. SIGNATURE	11. PRINT NAME	12. SOCIAL SECURITY OR TAX	13. DATE

APHIS FORM 7003

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2. APHIS FORM 7003-A

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0036. The time required to complete this information collection 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.

FORM APPROVED OMB NO. 0579-0036

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) NEW LICENSE		DO NOT USE THIS SPACE - OFFICIAL USE ONLY SEND THE COMPLETED FORM TO: <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:25%;">LICENSE/CUSTOMER NO.</th> <th style="width:25%;">EXPIRATION DATE</th> <th style="width:25%;">AMOUNT</th> <th style="width:25%;">DATE RECEIVED</th> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </table>		LICENSE/CUSTOMER NO.	EXPIRATION DATE	AMOUNT	DATE RECEIVED														
LICENSE/CUSTOMER NO.	EXPIRATION DATE	AMOUNT	DATE RECEIVED																		
1. NAME OF APPLICANT AND MAILING ADDRESS (See Instructions) COUNTY: _____ TELEPHONE: () _____		2. ALL BUSINESS NAMES AND LOCATION ADDRESSES HOUSING ANIMALS; INCLUDE DIRECTIONS TO EACH LOCATION (P.O. Box not acceptable) <input type="checkbox"/> Use additional sheet if necessary. COUNTY: _____ TELEPHONE: () _____																			
3. IF THE APPLICANT IS A CORPORATION, PARTNERSHIP OR OTHER BUSINESS ENTITY, LIST THE ENTITY'S PARTNERS OR OFFICERS AND AGENT FOR SERVICE OF PROCESS. <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; border-bottom: 1px solid black;">NAME</td> <td style="width:50%; border-bottom: 1px solid black;">TITLE</td> </tr> </table>		NAME	TITLE	4. (A) PREVIOUS USDA LICENSE NUMBER (If any) (B) ACTIVE USDA LICENSE NUMBER IN WHICH YOU HAVE AN INTEREST: 5. TYPE OF LICENSE <input type="checkbox"/> Class A - Breeder <input type="checkbox"/> Class B - Dealer <input type="checkbox"/> Class C - Exhibitor																	
NAME	TITLE																				
6. LIST YOUR 12 MONTH BUSINESS YEAR (CALENDAR OR FISCAL) <table border="1" style="width:100%; border-collapse: collapse; text-align: center;"> <tr> <th colspan="3">FROM</th> <th colspan="3">TO</th> </tr> <tr> <th>MO</th> <th>DAY</th> <th>YEAR</th> <th>MO</th> <th>DAY</th> <th>YEAR</th> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </table>		FROM			TO			MO	DAY	YEAR	MO	DAY	YEAR							7. TYPE OF ORGANIZATION <input type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other (University, State, Municipality, LLC, Trust) _____	
FROM			TO																		
MO	DAY	YEAR	MO	DAY	YEAR																
8. APPLICANTS FOR CLASS A OR CLASS B LICENSES MUST COMPLETE THIS BLOCK. (Applicants for Class C licenses go to Block 9) CLASS A (BREEDER) - LINE "D" = 1/2 OF LINE "C" CLASS B (DEALER) - LINE "D" = LINE "C" LESS THE PURCHASE COST OF THE ANIMALS SOLD. (9 CFR Sections 2.6 and 2.7)		9. List the largest number of animals that you have held, owned, leased, or exhibited at any one time during the previous business year. (9 CFR Sections 2.6 and 2.7)																			
A. ESTIMATE TOTAL NO. OF ANIMALS TO BE PURCHASED IN THE NEXT BUSINESS YEAR		DOGS	NONHUMAN PRIMATES	RODENTS <small>(Do not include lab rats or mice)</small>	WILD/EXOTIC HOOFSTOCK																
B. ESTIMATE TOTAL NO. OF ANIMALS TO BE SOLD IN THE NEXT BUSINESS YEAR		CATS	MARINE MAMMALS	WILD/EXOTIC MAMMALS <small>(Do not include lab rats or mice)</small>	BEARS																
C. ESTIMATE GROSS DOLLAR AMOUNT DERIVED FROM REGULATED ACTIVITIES (SALES, COMMISSIONS, ETC.)		GUINEA PIGS	FARM ANIMALS	WILD/EXOTIC CANINES <small>(Not listed elsewhere)</small>	TOTAL <small>(All animals listed in Block 9)</small>																
D. ESTIMATE DOLLAR AMOUNT ON WHICH FEE IS BASED		HAMSTERS	WILD/EXOTIC FELINES																		
\$ _____		RABBITS																			
\$ _____																					
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 the applicant is 18 years of age or older.																					
10. SIGNATURE		11. PRINT NAME AND TITLE		12. SOCIAL SECURITY OR TAX IDENTIFICATION NUMBER	13. DATE																

APHIS FORM 7003-A
(JAN 2007)

(Previous editions are obsolete)

USDA PRIVACY IMPACT ASSESSMENT FORM

3. APHIS FORM 7011

Every research facility, exhibitor, carrier, and intermediate handler not required to be licensed under Section 3 of the Animal Welfare Act, shall register with the USDA (7 USC 2136). This application provides information for such registration. See reverse side for additional OMB information.

See reverse for additional OMB information

FORM APPROVED OMB NO 0579-0036

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

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.)

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)

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

APHIS FORM 7011 (MAY 91) (Replaces VS FORM 18-11 (SEP 77), which is obsolete.)

