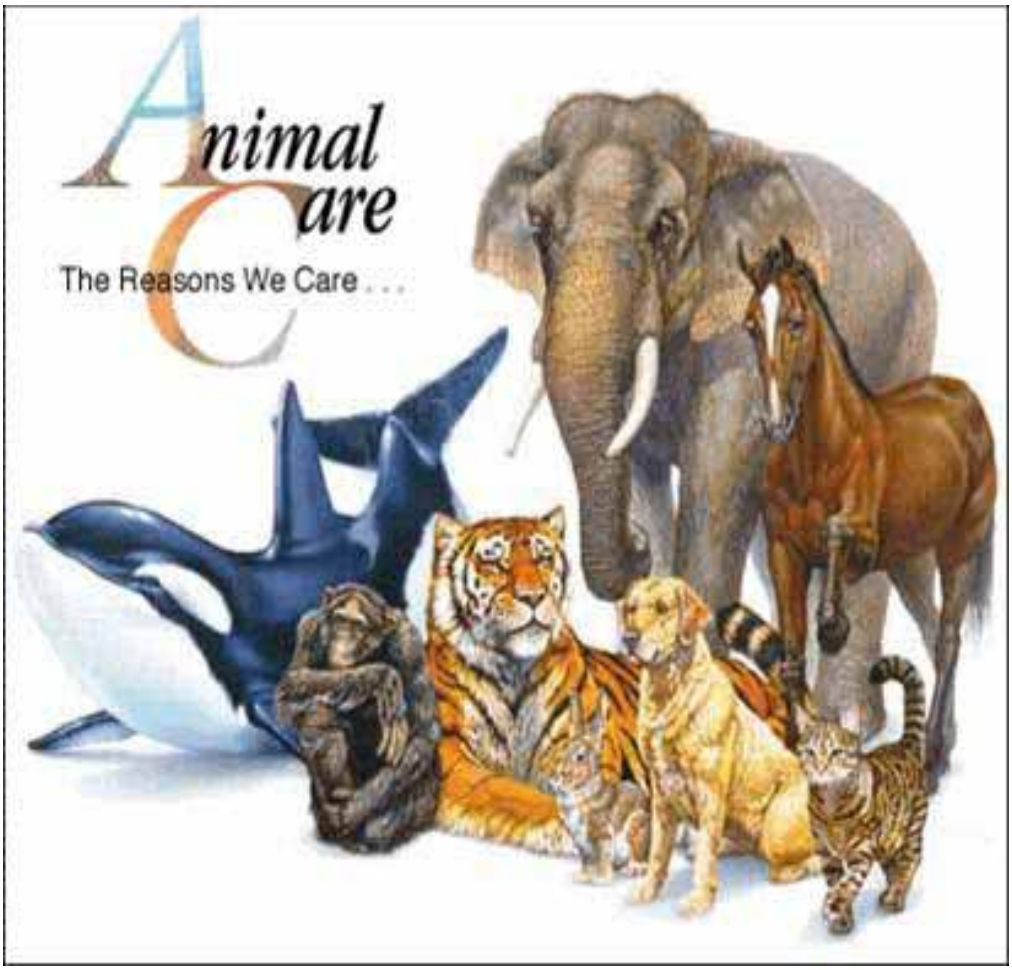
United States Department of Agriculture

Animal and Plant Health Inspection Service

Animal Care

Animal Welfare Inspection Guide



First Edition Issued 2013

Animal Welfare Inspection Guide

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1

Introduction

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Purpose

The purpose of the Animal Welfare Inspection Guide is to provide an aid for APHIS Animal Care personnel when inspecting USDA licensed and registered facilities.

The Inspection Guide is not a regulation and does not rise to the level of policy. It serves as a tool to improve the quality and uniformity of inspections, documentation, and enforcement of the Animal Care Program.

Philosophy

The Inspection Guide is designed to **facilitate** the decision-making process. It **cannot**, nor is it intended to, replace the inspector's professional judgment.

Scope

The Inspection Guide **summarizes** current regulatory and procedural criteria for USDA licensed/registered facilities, and provides examples of inspection processes for verifying compliance. It does **not** add to, delete from, or change current regulatory requirements or standards.

Disclaimer

The Animal Welfare Inspection Guide is intended to be a reference document to assist the inspector. The Inspection Guide does not supersede the Animal Welfare Act (AWA), the AWA Regulations and Standards, the AC Policy Manual, the Required Inspection Procedures, standard procedures, or the inspector's professional judgment. All inspection decisions must be justified by applicable sections of the regulations and standards.

Meaning of Should, May, and Must

The words "should," "may," and "must" are used throughout the Guide as follows:

- **May** is used when the referenced action(s) is **optional**
- **Must** is used when the referenced action is **required** by an Animal Care procedure or by the 9 CFR regulations/standards
- **Should** is used when the referenced action(s) is:
  - Directed by Animal Care Management;

- **Strongly recommended**, but **not** specifically required by an Animal Care procedure, or
- **Strongly recommended**, but **not** specifically required by the Title 9 Code of Federal Regulations (CFR) regulations/standards

Conventions

These conventions are established by custom and are widely recognized and accepted within the USDA. Standard Manuals Unit (MU) language is described in the following pages.

Advisories

Advisories are used throughout MU manuals to bring important information to the user's attention. Please carefully review each advisory. The definitions coincide with the American National Standards Institute (ANSI) with the goal of making the warnings easy to recognize and understand, thus limiting the human and dollar cost of foreseeable errors and accidents,[1] and are in the format shown below.

⚠ CAUTION

Caution Table message is used for tasks involving minor to moderate risk of injury.

⚠ DANGER

Danger Table message is used in the event of imminent risk of death or serious injury.

NOTICE

Notice Table message is used to alert a reader of important information or Agency policy.

SAFETY

Safety Table message is used for general instructions or reminders related to safety.

⚠ WARNING

Warning Table message is used in the event of possible risk of serious injury.

1 TCIF Guideline, *Admonishments (Safety-Related Warning Message)*, TCIF-99-021 Issue 1, p.4

Boldface

Boldface type is used to emphasize important words throughout this Inspection Guide. These words include, but are **not** limited to: **cannot, do not, does not, except, lacks, must, neither, never, nor, not, only, other than**.

Bullets

Bulleted lists indicate that there is **no** order of priority to the information being listed. Bulleted lists should **always** be in alphabetical order.

Change Bar

A black change bar in the left margin is used to indicate a change appearing on a revised page.

Chapters

This Inspection Guide is organized by chapters and appendixes. The chapters contain main topics for Animal Care inspection procedures. The appendixes contain information that is "not essential part of the text but are helpful to a reader seeking further clarification, texts of documents, long lists, survey questionnaires, or sometimes even charts or tables."[1]

1 "The Chicago Manual of Style", The University of Chicago Press, Chicago 60637. The University of Chicago Press, Ltd. London. Sixteenth Edition 2010.

- Index on page Index-1

Contents

Every chapter has a table of contents (mini-TOC) listing only the first- and second-level headings within the chapter.

Control Data

Control data is located at the top and bottom of each page to help users keep track of where they are in the Inspection Guide and to be aware of updates to specific chapters, appendixes, etc. At the top of each page is the chapter title and first-level heading for that page. At the bottom of each page is the transmittal number (month/year/issue or edition number), document title, and page number.

Decision Tables

Decision tables are used throughout the Inspection Guide. The first and middle columns in each table represent conditions, and the last column represents the action to be taken after all conditions listed for that row are considered. Begin with the column headings and move left to right, and if the condition does not apply, then continue one row at a time until you find the condition that does apply (Table 1-1).

Table 1-1 How to Use Decision Tables

If you:	And if the condition applies:	Then:
Read this column cell and row first	Continue in this cell	TAKE the action listed in this cell
Find the previous condition did **not** apply, then read this column cell	Continue in this cell	TAKE the action listed in this cell

Examples

Examples are used to clarify a point by applying it to a real-world situation. Examples always appear in a box as a means of visually separating them from the other information contained on the page.

EXAMPLE Examples are graphically placed boxes within the text as a means of visually separating information from other information contained on the page. Examples always appear in a box like this.

Footnotes

Footnotes comment on or cite a reference to text and are referenced by number. The footnotes used in this Inspection Guide include general text footnotes, figure footnotes, and table footnotes.

General text footnotes are located at the bottom of the page after a thin green line half the width of the page and flow numerically throughout a chapter.

When space allows, figure and table footnotes are located directly below the associated figure or table. However, multi-page tables or tables covering the entire length of a page **cannot** accommodate footnote numbers and footnote text on the same page. If a table continues beyond one page, the associated footnotes will appear on the page following the end of the table.

Heading Levels

Within each chapter there are four heading levels. The first-level heading is indicated by a horizontal line across both the left and right columns with the heading language across the left and right columns directly underneath. The body text after a first-level heading is located **inside** the margined text area, one line after the heading language. The second- and third-level headings are inside the margined text area with the body of text following underneath. The fourth-level heading is inside the margined text area followed by a period and leading into the text. Refer to the "Example" box to see how the headings appear in the text.

EXAMPLE

First-level heading

Text

Second-level heading

Text

Third-level heading

Text

Fourth-level heading. Text

Hyperlinks to Tables, Figures, and Headings

Figures, headings, and tables are cross-referenced in the body of the Inspection Guide and are in hypertext (blue) font.

EXAMPLE

See *Reporting Questions or Concerns With the Inspection Guide* to determine where to report problems with the Inspection Guide.

Italics

The following items are italicized throughout the Inspection Guide.

- Cross-references to headings and figure/table titles

- Publication names
- Scientific names

Numbering Scheme

A two-level numbering scheme is used in this Inspection Guide for pages, tables, and figures. In two-level numbering the first number represents the chapter and the second number represents the page, table, or figure number. Dashes are used in page numbering to differentiate page numbers from decimal points.

Transmittal Number

The transmittal number contains the month, year, and a consecutively issued number (beginning with -01 for the first edition and increasing consecutively for each update to the volume or chapter). The transmittal number is **only** changed when the volume or chapter is updated. If **no** changes are made to a specific volume or chapter, the transmittal number for that volume or chapter remains unchanged. The transmittal number **only** changes for the entire Inspection Guide when a new edition is issued or changes are made to the entire document.

EXAMPLE 10/2012-01 is the transmittal number for this update and is located in the control data in the footer area of the pages in this volume.

10 is the month the update was issued.
2012 is the year the update was issued.
01 is the edition number (the original edition).

Using the Inspection Guide

Review the contents of the Inspection Guide to get a feel for the scope of covered material. Use the table of contents in each chapter (mini TOC) to find the needed information. If the table of contents is **not** specific enough, turn to the index to find the topic and corresponding page number.

Reporting Questions or Concerns With the Inspection Guide

Use Table 1-2 to determine where to report questions or concerns with this Inspection Guide.

Table 1-2 Where to Report Questions or Concerns With the Inspection Guide

If you:	Then:
Are **not** able to access the online Inspection Guide	CONTACT Josie Cooley via email or at 240-529-0358
Have a suggestion for improving the formatting of the content (design, layout, composition), grammar, or spelling	CONTACT Dr. Kay Carter-Corker via email or at 301-851-3751.

Inspection Guide Updates

The Animal Care (AC) Unit issues and maintains this Inspection Guide electronically on the AC web site. The online manual contains the most up-to-date information.

Notification of revisions to the Inspection Guide are distributed via the APHIS Stakeholder Registry to anyone who has subscribed to receive Animal Care program updates. To subscribe to updates, register here.

Each update contains the following information:

- Link to access and download the online Inspection Guide
- List of the revised page numbers
- Purpose of the revision
- Transmittal number

Ordering Additional Inspection Guides and Revisions

Although using the online Inspection Guide is the preferred method, copies of this Inspection Guide on CD may be ordered from the AC Headquarters office in Riverdale, Maryland at 301-851-3751 or via email.

Navigating Adobe® PDF Documents

The *Animal Welfare Inspection Guide* is provided to the user as a portable document format (PDF) file type. Viewing PDF documents require Adobe® Reader software.

With the PDF document open, you can minimize, maximize, or close the document using one of the three buttons in the top right hand corner of the screen. (see Figure 1-1)

Figure 1-1 Adobe Maximize, Minimize, and Close Buttons

Refer to Figure 1-2 to identify the major parts of the document work area:

- The Menu Bar
- The Tool Bar
- Navigation Bar with Bookmarks
- Document Pane

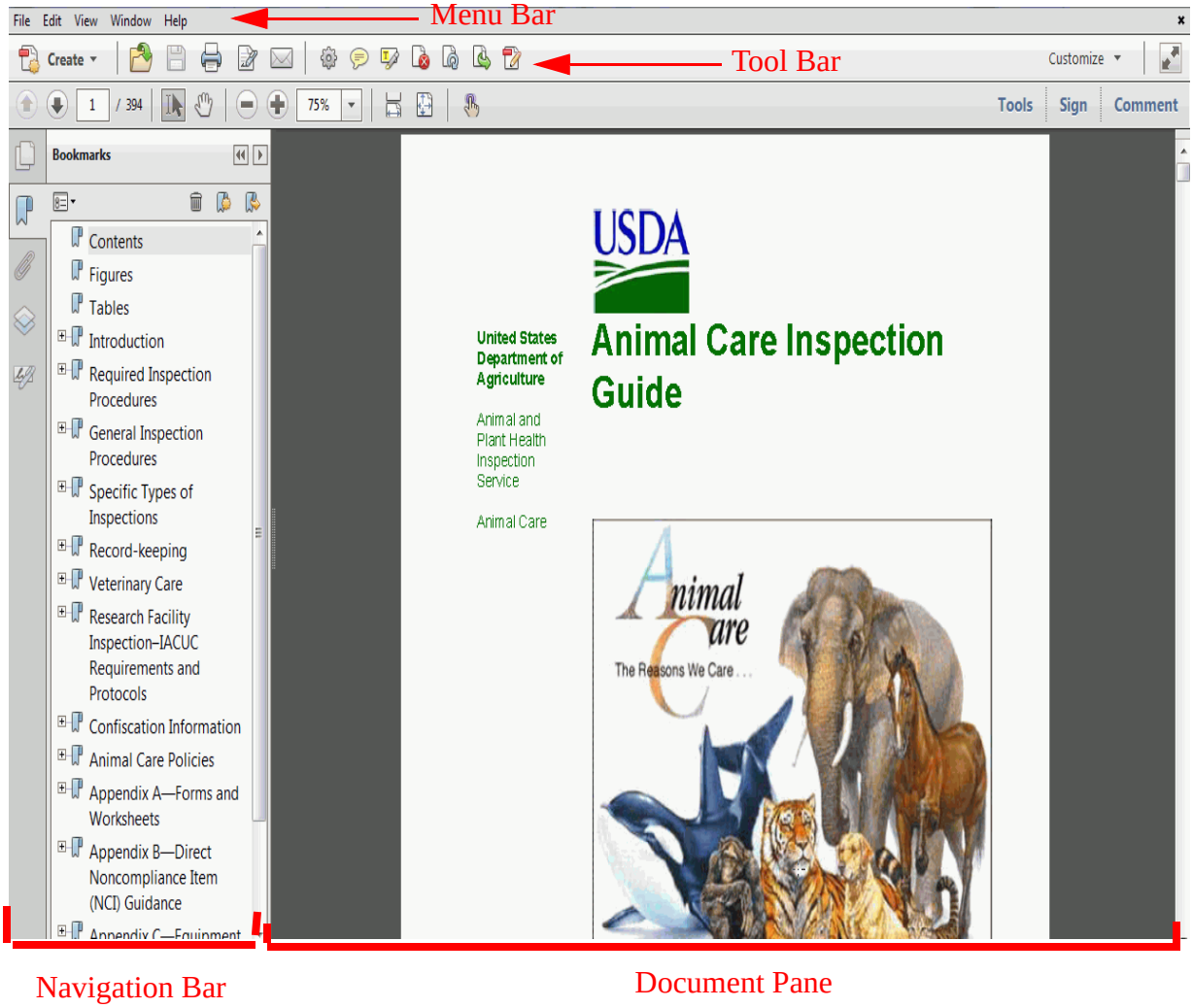

Figure 1-2 Adobe PDF Work Area

The Menu Bar

The menu bar has selections for “File”, “Edit”, and “View” menus listed first. The File menu gives the user the ability to Save, Open, and Print the document. The Edit menu gives the user the ability to Undo, Copy, Paste, Select All, and Find. The View menu gives the user the ability to Zoom, Page Display, and Rotate View. (refer to Figure 1-3)

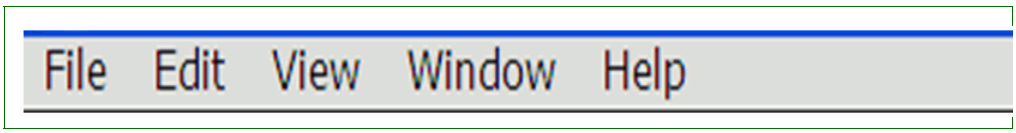

Figure 1-3 Adobe Menu Bar

The Tool Bar

The Tool Bar can be customized to include:

1. File tool bar
   - ❖ Convert File to PDF
   - ❖ Open File
   - ❖ Save File
   - ❖ Print File
   - ❖ Share File as Email Attachment
2. Page Navigation tool bar
   - ❖ Shows previous and next page, Page x of xxx, Previous view, Next view
3. Select and Zoom tool bar
   - ❖ Zoom in and out on the page
   - ❖ Type zoom percentage of your choice or use the drop down menu
4. Page display tool bar
   - ❖ Fit to window width or fit to one full page
5. Find tool bar
   - ❖ Find text in the document
6. Read mode
   - ❖ View the document in read-only mode (To return to the main tool bar, press <Esc> or click 'X' on the bottom center of the document pane)

Refer to the diagram in Figure 1-4. Depending on your system settings, your tool bar may not look like the one in the example below.

Figure 1-4 Adobe Tool Bar

Navigation Bar with Bookmarks

The Navigation Bar is located on the left side of the page. Use it to navigate to specific places in the document. The bookmarks typically represent chapter titles within the document. Click on the bookmark icon beside the topic name to go to that topic in the document. Click on the [+] or [-] key to expand or collapse the bookmark as needed. (Figure 1-5: B and C) Expanding the bookmark enables you to go to more detailed topics within the chapter.

To go to specific pages using thumbnail images or previews, click on the “Page Thumbnail” button.(Figure 1-5: A)

NOTICE

To GO BACK to the previous page in the document, press the <ALT> key together with the left arrow key.

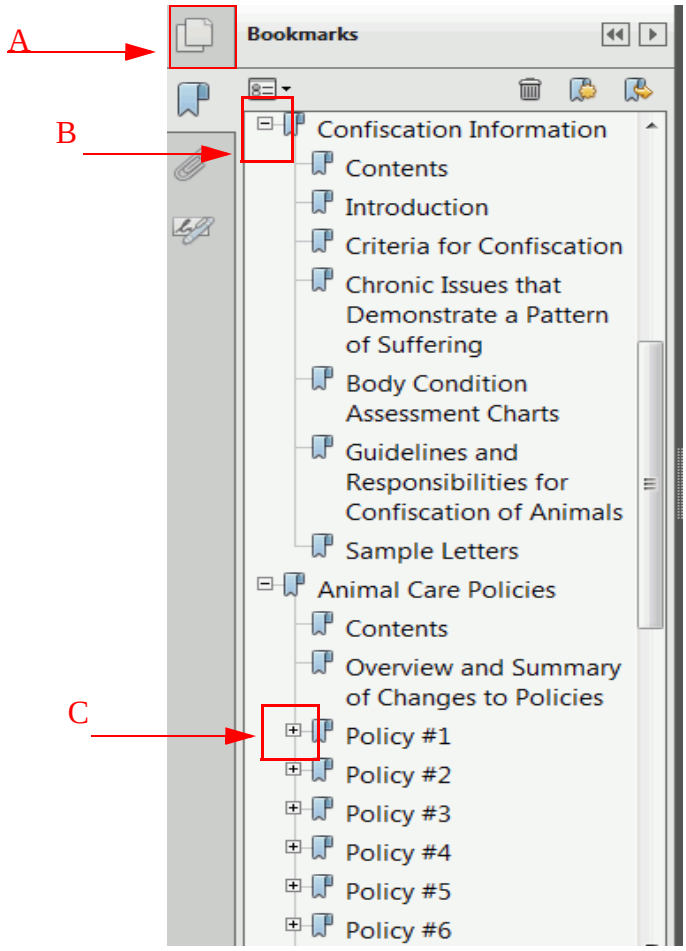

Figure 1-5 Navigation Bar Bookmarks

Document Pane

The document pane displays the entire book. You can view the document in single or two page view. To change the viewing area, go to “View” in the Menu Bar, and select “Page Display”. You can also zoom in or out using the “View” menu.

Navigating the PDF Document

After you open a PDF document, there are several ways to navigate through the document. Refer to Figure 1-4 on page 1-10.

You can turn pages either by pressing the Page Up or Page Down keys on your keyboard, by clicking and dragging the vertical scroll bar in the far right area of the document pane, or by clicking the Previous Page or Next Page button.

To go to a specific page, press Shift-Ctrl-N, type the Adobe page number in the Go To Page dialog box, and then click OK. Refer to Area 2 in Figure 1-4.

NOTICE

To GO BACK to the previous page in the document, press the <ALT> key together with the left arrow key.

Tables of Contents

Each chapter in the book has a table of contents located on the first page. Click on the blue hyperlinks in the contents to go to a specific page.

Searching for Information

You can search the PDF document for key words or phrases. In the menu bar, select “Edit” and “Find” or press Ctrl-F and type in the word you are looking for. You can search on phrases using the Advanced Find feature from the “Edit” menu or by pressing Shft-Ctrl-F.

You can also use the Index located at the end of the book to look up specific topics.

Chapter

2

Required Inspection Procedures

Contents

DISCLAIMER

The Animal Welfare Inspection Guide is intended to be a reference document to assist the inspector. The Inspection Guide does not supersede the Animal Welfare Act (AWA), the AWA Regulations and Standards, the AC Policy Manual, the Required Inspection Procedures, standard procedures, or the inspector's professional judgment. All inspection decisions must be justified by applicable sections of the regulations and standards.

General Requirements

When conducting an inspection, the inspector **must** be accompanied by the licensee, registrant, or the facility's designated representative (who **must** be at least 18 years of age). It is important to remember the following:

- Do **not** enter facilities with locked gates and/or "No Trespassing" signs unless you obtain prior approval from the facility.
- If you do **not** find anyone at the facility, follow the Attempted Inspection procedure to complete an attempted inspection.
- Prior to notifying the facility of your presence, inspectors may observe and record findings **without** being accompanied by a facility representative at facilities that are open to the public. Before documenting findings on an inspection report, the inspector **must** discuss the findings with a facility representative.
- Conduct a complete exit briefing.

Biosafety

In all situations, follow the facility's visitor biosafety procedures, and/or put on recommended protective clothing, gear, and/or boots. Inspectors must wear disposable shoe covers during dog kennel inspections. Inspectors must wear disposable gloves if it is necessary to touch an animal (at all facilities), and change gloves between animals if multiple animals are touched.

Inspector Safety

The licensee is responsible for ensuring the safety of the inspector from the animals. If you feel unsafe, ask the licensee to correct the situation. If the licensee does anything you feel is unsafe, state that you will leave the facility immediately unless the situation is corrected. If you feel you are in imminent danger, promptly leave the area.

Inspection Steps

Basic steps to follow in conducting an inspection of a facility include, but are **not** limited to:

- Consider problems that may occur at other times of the year.
- For big cats, ensure that all primary enclosures can safely contain the cats. Also review the feeding plan to assure adequate nutrition.
- Inspect the animals, premises, building(s), enclosures, equipment, and transportation vehicles/equipment for all pertinent requirements of the regulations and standards.
- Review previous reports with special attention to Veterinary Care and Direct Noncompliant Items (NCIs).
- Review the facility's program of veterinary care, husbandry practices, required records and, when appropriate, the "Exercise plan" for dogs and the "Plan for Environmental Enhancement" for nonhuman primates. When possible, observe the animal handling techniques of facility personnel.

NOTICE

Inspection steps are covered in detail in General Inspection Procedures.

Documenting Inspection Findings

Document inspection findings in the narrative section of the inspection report (USDA, APHIS, Animal Care Inspection Report and Narrative). Do **not** type any personal identifiable information (PII) or confidential or proprietary business information in the narrative of any inspection report, including addresses and phone numbers.

No Noncompliant Items (NCIs) Identified

If all items are in compliance, then the following statement should be automatically generated by Animal Care Information System (ACIS), or if not, typed on the inspection report: "No noncompliant items identified during this inspection."

For inspections in response to an incident or complaint, further review may be needed to determine compliance. If you are uncertain whether noncompliance was involved, do **not** cite "no noncompliance" under those circumstances. After discussing your findings with your Supervisory Animal Care Specialist (SACS), type the following stand-alone statement on the inspection report: "The (incident) is under review."

Problems Addressed by the Facility Before Inspection

If you learn during the course of an inspection that the facility identified and corrected a problem in the past, a citation will **not** be written if all of the following are true:

- the licensee/registrant found and corrected the problem in a timely manner
- the licensee/registrant took steps to prevent the problem from recurring
- there is not an ongoing pattern of violations, and
- there were no serious animal welfare impacts associated with the current problem

If the problem was **not** discovered and/or corrected in a timely manner, and/or there is a regular pattern of ongoing AWA violations, and/or there were serious animal welfare impacts, cite the problem. If the problem results in a citation, the report should include a correction date or indicate that the problem has been corrected.

New NCIs Identified

If a new NCI(s) is identified, cite it in the inspection report narrative. The citation should include the following four parts:

1. The section number and most specific subsection letter/number of each noncompliance
2. A clear, detailed description of the noncompliance including, when appropriate, the number of animals affected.
3. An explanation of why the item is a noncompliance and/or the impact it is having on the animals.
4. A correction deadline and a “general” description of what the licensee/registrant needs to do to correct the problem, and assure that it does **not** continue/recur. This description should **not** be worded in such a way that it could be interpreted that AC is mandating how an NCI is going to be corrected. A correction deadline should be appropriate to the severity of the NCI, and unless animal welfare will be put in jeopardy, be realistic as to what the facility can accomplish.

Use “Direct” NCI designation, if appropriate. Repeat NCIs in the same section and subsection will be automatically tracked in Animal Care Information System (ACIS). Do not include correction dates for repeat NCIs.

If a noncompliant item falls into more than one section or subsection, cite the noncompliance **only** in the most applicable section or subsection for each species affected.

"Direct" NCI Identified

A "Direct" noncompliance is a noncompliance that 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. A prior adverse incident discovered during the inspection that had serious animal welfare consequences is a Direct **only** if there are ongoing risks at the time of the inspection.

The correction deadline for a "Direct" noncompliance should **never** exceed 30 days, and a complete or partial reinspection of a facility with a "Direct" NCI **must** be completed no more than 45 days after the date of the inspection. Conduct the reinspection at the facility even if the "Direct" NCI was corrected during the inspection. 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 to verify the correction and ensure animal welfare. Refer to Appendix B—Direct Noncompliance Item (NCI) Guidance for examples.

"Veterinary Care Direct" NCI Identified

Note the ID and take a photo of each animal cited as part of a 2.40 or 2.33 Direct noncompliance. Licensee and registrants frequently seek veterinary care once the Direct NCI is identified. If the animal(s) has been taken to the veterinarian and care has been provided, the citation remains but you should note that the animal(s) was evaluated and treated by a veterinarian. Humane euthanasia constitutes appropriate veterinary care when directed by a veterinarian. If it occurred, do not mention euthanasia on the inspection report. For further information regarding standards for humane euthanasia, consult a SACS and/or the current version of the AVMA guidelines on euthanasia.

Exit Briefing

An exit briefing is required for all inspections, unless your personal safety is at risk, or harassment, verbal abuse, or other factors are interfering with the inspection process. Take as much time as necessary during the exit briefing to:

- Discuss what the licensee/registrant may do to correct the problem (if asked)
- Educate the licensee/registrant about animal welfare and the AWA regulations and standards
- Make sure the licensee/registrant or facility representative understands what is expected of him/her
- Obtain a signature and/or explain to the licensee/registrant or facility representative how the inspection report will be delivered

- Summarize everything that occurred during the inspection, and provide the licensee or registrant an opportunity to present additional information that may influence the determination of compliance. Discuss each noncompliant item in detail with the licensee/registrant or facility representative. If the licensee, registrant, or applicant provides information or documentation that influences an NCI on the current version of the inspection report, the report must be modified to accurately reflect the compliance of the facility before it is issued.

Unless an exit briefing could not be completed (for example, there may not be an exit briefing for a carrier inspection at an airport), a statement must be included on all inspection reports stating, "Exit interview conducted with the facility representative." Do **not** use names.

A reinspection conducted to evaluate a particular direct NCI only should be identified as a "focused inspection" in the inspection report narrative. A focused inspection must include an exit briefing.

NOTICE

If the inspection report is to be delivered by email or certified mail, you **must** still conduct a detailed and thorough exit briefing. Any item that you will be citing on the inspection report **must** be discussed during the exit briefing.

Signature on the Inspection Report

The inspector and the licensee/registrant or his/her representative should sign all three copies of the inspection report. The signature of the licensee/registrant or his/her representative certifies that the person received a copy of the inspection report. It does not necessarily mean that the person agrees with the findings of the inspection. If the facility representative refuses to sign the inspection report, explain the circumstances in the narrative, leave the signature block blank, and:

- Leave a copy of the inspection report with the representative after noting on the inspection report that you are doing so, or
- Leave a copy of the inspection report with the representative and send a copy via certified mail

Any facility with a disagreement about the inspection findings may follow the inspection appeals process. The inspection appeals process is described in a fact sheet on AC's web site, http://www.aphis.usda.gov/publications/animal_welfare/2012/appeals_process.pdf.

Delivery of the Inspection Report

Unless you obtain supervisory approval to do otherwise, you **must** hand deliver inspection reports with Direct NCIs. Although hand delivery is preferred for other inspections as well, they may be delivered via email or certified mail. For all delivery methods, the inspection report **must** arrive at the facility before the earliest correction deadline or within 5 days post inspection, whichever is earlier. Obtain supervisory approval if you **cannot** meet this deadline.

If sent by email, the inspector **must** request an email reply verifying receipt of the inspection report by the facility. The email receipt **must** accompany the original inspection report into the Regional Office. If an email reply is **not** received within five days, the inspector **must** deliver the report by another method so that receipt can be verified. There is no need to amend the report to remove the email delivery statement; just deliver it by another method. The new delivery method type and "received by" date must be handwritten on the copies of the inspection report that will be delivered to the facility and the Regional Office.

Inspection Photographs

Photographs **must** be taken to document photographable noncompliant item(s) in all of the following situations:

- Direct, Repeats, and Critical NCIs (if photographable)
- Direct NCIs that have been corrected (to document the correction)
- Lion and tiger enclosures that are cited under Section 3.125(a) for fence height and kick-in noncompliance
- NCIs cited at a facility with an ongoing Investigative and Enforcement Services (IES) investigation
- NCIs that are likely to be appealed

NOTICE

Prelicense inspection cannot be appealed. Do not take any photographs at a prelicense inspection.

- All NCIs cited at commercial airline carrier inspections
- Vet Care NCIs involving animals when identified and when reinspected or corrected (do **not** take photos of corrected Vet Care NCIs, such as outdated drugs and unsigned PVCs). Photograph labels must clearly identify the animal.

Records documenting repeat, direct, or transportation noncompliant items must be photocopied, scanned, or photographed. If copies of research facility

records, protocols, or IACUC minutes are going to be photographed and removed from the facility, the facility will be afforded the opportunity to review/redact the records for proprietary business information. The inspector should allow the facility 24 to 48 hours for this purpose.

All photographs that are to be retained **must** be labeled and uploaded into ACIS as soon as possible, but **no** later than 2 weeks after the inspection. Photographs that do **not** need to be retained should be deleted by the inspector. As always, supervisors can have inspectors (individually or as a group) take additional photographs, in addition to the required photos listed above.

Risk Based Inspection System (RBIS)

Inspect the facilities listed in the following bullets on or before the deadline given in ACIS. If you **cannot**, contact your SACS prior to the deadline so that another inspector can be assigned to conduct the inspection:

- Direct NCIs
- Facilities with repeats for which a 90-day reinspection is the enforcement option selected
- High Inspection Frequency (HIF) facilities

All research facilities **must** be inspected at least once every fiscal year.

Attempted Inspection

With the **exception** of prelicense inspections, new site approval inspections, or in special circumstances under the direction of your SACS, conduct all animal welfare inspections unannounced. An attempted inspection occurs when an authorized person is **not** available to accompany the inspector, and **no** inspection is conducted.

NOTICE

The person accompanying the inspector **must** be an adult, i.e., 18 years of age or older.

If an authorized person is **not** present at the facility, call the phone number(s) provided by the licensee/registrant, and determine if an authorized person can be at the facility within 30 minutes. Wait for 30 minutes, and if the authorized person does **not** arrive, leave the facility and cite Section 2.126(b). For registered research facilities, cite section 2.38(b). ACIS will automatically place the prewritten narrative on the inspection report; you will only need to enter the date and time.

Send the inspection report for the first citation of an attempted inspection by regular mail or email only. Send inspection reports citing repeat attempted inspections to the licensee or registrant by **both** regular and certified mail or email.

If there is an adult at the facility, they can sign the attempted inspection report and give it to the licensee or if the inspector returns to conduct an inspection the next day, the licensee can sign the attempted inspection report from the previous day at that time. If there is more than a day between the attempt and the inspection, send the report as above.

Identify the optimal hours of inspection for dealers and exhibitors with a high risk of attempted inspections. Record the hours in the ACIS "Customer" tab comment box. If the licensee is **not** at home during the designated hours, conduct an attempted inspection as above. If you stop by the facility at other times and the licensee is **not** home, record the visit on your Time and Attendance sheet, but do **not** conduct an attempted inspection. Remember, inspections are never announced.

Prelicense Inspection

An applicant's facility **must** meet all applicable regulations and standards to obtain a license. Prelicense inspections are scheduled at a time agreeable to the applicant and the inspector. In addition to determining if a facility is in full compliance, prelicense inspections are the best time to educate the applicant about the AWA regulations and standards. Required written records (e.g., the APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers, the Exercise Plan for Dogs, and the "Plan for Environmental Enhancement" for nonhuman primates) **must** be complete and inspected during a prelicense inspection in order to consider the facility in compliance. There **must** be a written record of animals on hand with as much of the required information completed as possible.

Exhibitors

During the inspection, verify that the number of animals present at the facility matches the number reported on the APHIS Form 7003A–Application for New License to assure the correct fee is assessed.

Dealers

On every prelicense inspection that includes dogs, you must have the applicant pull all dogs showing signs of medical issues so that you can evaluate whether veterinary attention is needed and/or is already being provided. In addition to those dogs, you must also select ten percent of the remaining dogs for the applicant to pull so that you can look for medical issues associated with the dogs' mouths, ears, eyes, skin, general condition, etc. Do **not** just focus on the teeth; take the opportunity to look at the entire dog for medical issues. Remember, a new pair of gloves must be worn after touching each dog. If you identify a veterinary care issue that would normally be cited during a routine inspection, it must be cited on the inspection report for the prelicense inspection.

If the facility is **not** in full compliance, cite all noncompliant items using the first three components of the four-part citation description found in New NCIs Identified on page 2-4, but do **not** give correction dates. Include the following or similar statement in the narrative:

> "All items **must** be in compliance within (*number of prelicense inspections left; one or two*) more inspections or by (*date 90 days from first prelicense inspection*), or the applicant will forfeit the application fee and **must** wait 6 months to reapply. Conducting regulated activities without a valid USDA license is a violation of the Animal Welfare Act."

If a third prelicense inspection is necessary, a second inspector or supervisor **must** be present during the inspection.

For an applicant with large carnivores, elephants, great apes, and/or marine mammals, in addition to any NCIs that are cited, include the following statement on the inspection report:

> "The animal enclosures, handling practices, and employee qualifications are under review."

If the enclosures, handling, or qualifications are under review, the responsible inspector **must** then contact his/her SACS, as well as the appropriate species specialist, to discuss and review the issues.

For an applicant with large carnivores, elephants, great apes, and/or marine mammals that was previously licensed, failed to renew and is now reapplying, there is no requirement for new review of enclosures, or handling or employee qualifications, unless something has changed since the license was valid. If the applicant previously had a variance in place (e.g., perimeter fence), the applicant must reapply for the variance. Cite this on the inspection report.

Refusal of Inspection

If a licensee refuses to allow an inspection, ensure that you have clearly identified yourself as a USDA Animal Care inspector, and that the licensee is aware of the serious nature of this violation of AWA regulations. Unless the situation has escalated to the point at which you don't feel safe, ask the specific question, "Are you refusing to allow the inspection?" If the licensee still refuses to allow an inspection, leave the premises and complete an inspection report designating this as a routine inspection. Cite Section 2.126(a) for licensees or registered transporters, Section 2.38(b) for registered research facilities, or Section 2.3(a) for applicants, and document the specific circumstances of the refusal in the inspection report narrative; be specific as to date, time, and the identification of the person who refused to allow the inspection. Include any pertinent statements made by the licensee or registrant.

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.

Send inspection reports for refusals to the licensee or registrant by both regular and certified mail.

Communicate any "refusal to allow inspection" with your SACS to develop a plan for follow up inspection.

Interference

If you are being harassed, verbally abused, or interfered with in the course of carrying out inspections, inform the licensee, registrant, or applicant that the inspection can only continue if the harassment, verbal abuse, or interference stops. If it continues, discontinue the inspection process and leave the premises. Write a routine inspection report citing Section 2.4 for licensees or applicants, Section 2.25(c) for registered transporters, or Section 2.30(d) for registered research facilities, and in the narrative, be specific as to date, time, and the identification of the person(s) involved, including details of the harassment and/or verbal abuse, and/or interference.

Send the inspection report to the licensee or registrant by regular and certified mail. For any "interference with the inspection," communicate with your SACS to develop a plan for followup inspections.

SAFETY

If you are being threatened, follow procedures to ensure your safety including, but **not** limited to, leaving the premises and calling 911, if necessary. After your personal safety is ensured, consult with your supervisor with regard to future steps.

Correcting, Rescinding, and Amending Inspection Reports

Correcting, rescinding, or amending inspection reports is done on a case-by-case basis under the direction of your SACS or Regional Office.

Chapter

3

General Inspection Procedures

Contents

DISCLAIMER

The Animal Welfare Inspection Guide is intended to be a reference document to assist the inspector. The Inspection Guide does not supersede the Animal Welfare Act (AWA), the AWA Regulations and Standards, the AC Policy Manual, the Required Inspection Procedures, standard procedures, or the inspector's professional judgment. All inspection decisions must be justified by applicable sections of the regulations and standards.

Preparing for the Inspection

Review the appropriate information in order to conduct a thorough inspection.

Prior to inspection, review the following information:

- Applicable sections of the Required Inspection Procedures and this Inspection Guide
- Applicable sections of the regulations and standards
- Current enforcement actions
- Facility's past inspections
- Other relevant resources
- Variances or extensions that may have been granted

NOTICE

For forms and sheets that you may need during or after the inspection, see Appendix A—Forms and Worksheets.

Conducting the Inspection

Each inspector should develop a consistent method of conducting inspections to ensure that his/her inspections are thorough and accurate.

Recommended basic steps for conducting an inspection are outlined below. However, the exact procedure for conducting an inspection is at the discretion of the individual inspector.

General Information

Upon arrival at the facility, be alert for unsafe conditions.

If the facility, e.g. zoo, theme park, or wild animal park has an admission gate or ticket window:

1. Go to the admission gate/ticket window.
2. Identify yourself in a professional manner.
3. State the purpose of your visit.

At most facilities, you will **not** be required to pay admission. However, if an admission fee is requested, you can ask to speak to someone in management. If you need to pay admission, charge the admission fee on your Purchase Visa (preferable), or pay cash and you will be reimbursed.

NOTICE

If you want to enter the facility to observe the exhibitor **without** him/her knowing you are there, pay the entrance fee and you will be reimbursed.

Prior to conducting the actual inspection:

1. Contact the licensee/designated representative or designated research facility representative(s) or other authorized representative.
2. Introduce yourself in a professional manner.
3. State the purpose for the visit.
4. Show your USDA badge and ID, if requested.
5. Provide a business card, if appropriate.

NOTICE

Under certain circumstances, you may want to observe the exhibition, facility, or facility personnel prior to announcing your presence. This should be done from areas accessible to the general public. Immediately after observing the exhibition/facility/personnel, you **must** announce yourself to the licensee/registrant or facility representative and arrange to complete the inspection.

If you do **not** find anyone at the facility, follow procedures for an Attempted Inspection (see Attempted Inspection).

For Traveling Exhibitor Inspections, see Traveling Exhibitor Inspection.

Inspection on Native American Land

If you have to conduct an inspection or search on Native American lands, contact the tribal leader prior to conducting the inspection/search to explain why you are there.

If the tribal leader refuses to allow you to conduct the inspection/search, leave the land, and contact your SACS or Regional Office.

Biosafety Measures

Biosafety measures to follow in conducting an inspection include, but are not limited to the items listed in Table 3-1. Follow the facility's biosafety procedures or put on the recommended protective clothing, gear, and/or boots.

Table 3-1 Biosafety Measures When Conducting an Inspection

If you are inspecting:	Then wear:
Dogs or cats	◆ Disposable or sanitizable boots ◆ Disposable gloves (required if touching any animal; change gloves between each animal) ◆ Ear plugs (optional) ◆ Coveralls (optional)
Elephants (TB positive or TB suspect)	◆ Respirator (level N95 or better)
Macaques	◆ Respirator (level N95 or better) is **required** if within 5 feet or less ◆ Footwear ◆ Coveralls, preferably disposable ◆ Full face shield and eye protection, such as safety glasses or goggles ◆ Disposable gloves
Other nonhuman primates[1]	◆ Respirator (level N95 or better when nonhuman primates and other animals are suspected to be infected with TB indoors, or within 5 feet or less outdoors)

1 Send all questions and suggested changes to the Safety and Health Manual to the current Chair of the Safety and Health Committee.

Animal Inspection

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

- Approach all wild animals quietly and cautiously
- Ask if there are any other animals that you have **not** seen, such as those in quarantine, isolation, holding areas, off-site, or on loan or lease
- Avoid prolonged direct eye contact with animals, especially nonhuman primates
- Avoid prolonged focused attention on an animal
- Be alert for escape routes for yourself in case of a dangerous situation
- Be very cautious when inspecting an elephant - remember that an elephant's trunk can reach out about 8 feet
  - **Never** walk up to an elephant unless accompanied by the owner or trainer

- **Never** get between the owner/trainer and the elephant

- Before approaching an animal, ask the licensee or research facility representative:
  - About the temperament of the animal
  - If the animal is approachable
  - Where is the safest place to be
- Let the person accompanying you open and close gates and doors to prevent escapes
- Make sure all animals are safely secured
- Observe handling techniques of personnel
- Observe the animals for their health and well-being
  - Avoid handling the animals unnecessarily
  - Do **not** engage in diagnostic procedures
  - If a dangerous animal needs close evaluation, ask the facility to make arrangements for the animal to be examined by a veterinarian
  - If you need to closely examine a non-dangerous animal and it can be done safely, have the owner or handler restrain the animal
  - Wear disposable gloves if you **must** handle any animals
- Stay well back from all animal enclosures to avoid species specific behaviors, such as:
  - Chimps, llamas, and camels spitting
  - Elephants reaching out with their trunks
  - Large cats spraying urine
  - Nonhuman primates throwing feces
- Stay behind or next to the licensee/research facility representative
- Review husbandry practices
- Review personnel experience and training
- Review veterinary care practices and records

For additional guidance, see Inspector Safety and Etiquette.

SAFETY

The licensee, registrant, or applicant is responsible for ensuring the safety of the inspector from the animals. If you feel unsafe, ask the facility representative or designated authorized representative to correct the situation. If you feel you are in imminent danger, safely leave the area.

Identification of Unsafe Facility Conditions

Be alert for unsafe facility conditions:

- If the condition(s) adversely affects you, the inspector, leave the facility
- If the condition(s) is noncompliant with the AWA, cite the noncompliance on the inspection report. Examples include, but are not limited to:
  - Bare wiring
  - Electrical wires near water
  - Electrical wires within reach of animals
  - Unprotected heat lamps
- If the condition(s) is **not** a violation of the AWA, report the item to the licensee, research facility representative, or an authorized representative at the facility. Examples include, but are not limited to:
  - Locked emergency exits
  - Unlocked or unsecured controlled substances
- If you feel that you are being threatened, abused, or harassed, leave the facility (see Workplace Violence).

If you have additional concerns, contact your SACS.

Action to Take on Noncompliant Item Noted While Off Duty

If you are off duty and notice a noncompliance at a licensed facility or find an unlicensed exhibitor, you are **not** required to take any action. However, if you choose to take action, listed below are some suggested actions:

- Assess the severity of the noncompliance
- If in your territory, return to the facility when on duty and conduct an inspection or evaluation of the incident
- If **not** in your territory, contact your SACS when on duty to determine a course of action
- Take appropriate immediate action, if required

NOTICE

Remember that you **cannot** work overtime **without** your SACS approval.

If you elect to conduct an inspection or evaluation of the situation, send to your SACS:

- A memo documenting the situation and the action taken
- The inspection report, if appropriate

Life Threatening Situation

If it is a life-threatening situation, such as a dangerous animal escape, then:

1. Leave the area immediately
2. Contact facility personnel/management
3. Call 911, if appropriate

Non-Life Threatening Dangerous Situation

If you believe that the noncompliance results in a non-life threatening but dangerous situation to the animal or the public, speak to the licensee or an authorized representative.

If the licensee does **not** correct the NCI at that time, then:

1. Speak to the management of the venue
2. Call your SACS, the SOTW, or the Regional Office emergency contact number and discuss a course of action
3. Contact local authorities, such as the local police or animal control officer, if appropriate, e.g., a non regulated species is involved

No Immediate Danger

If you believe that the noncompliance results in **no** immediate danger to the animal or the public, you may choose to:

- Speak to the licensee or authorized representative, or
- Take **no** action at that time

Inspector Safety and Etiquette

Animal Care inspectors are asked to evaluate the care of many different types of animals housed in different situations. Many are asked to do on site inspections of circuses, zoos, animal sanctuaries, or other facilities that may house a variety of non-domestic animals. Inspectors should understand how to behave when evaluating non-domestic animals such as primates, big and small non-domestic cats, elephants, marine mammals, or other zoo or wild animals. Owners and trainers of these animals often will not guide the inspector or correct them in regards to appropriate behavior around these animals. Inspectors with little to no experience working around non-domestic animals may be at risk or may leave a poor impression with the licensee. This section outlines some safety pointers and basic etiquette to be used when inspecting non-domestic animals.

Basic rules of inspector behavior around most non-domestic animals:

- Do not reach out or try to pet or feed the animals, no matter how friendly they may seem.
- Do not stand within reach of them (remember most big cats have about a 3 foot reach under most enclosure doors where you might be standing).
- If the animal appears agitated immediately because of your presence, try to make your observations from a greater distance, or use the minimum amount of time necessary in front of the enclosure to make your observations.
- Try not to react if some animals vocalize or hit the fence or enclosure where you are standing. Many animals are looking for a reaction. Make your observations and quickly move on.
- Try to make your observations and move on. Some animals become agitated around strangers. Standing in front of an enclosure and looking, staring, or pointing at an animal while discussing issues with the licensee may cause some animals to become agitated. If this happens, move away to a less threatening position to discuss any issues that may pertain to that animal.

Nonhuman Primates

Primates are social animals and have complex social behaviors. Generally speaking, staring directly at many species of primates is considered a threat to them, and may cause them to be agitated, especially if they are in their behind-the-scenes night quarters. While most zoo primates are accustomed to people staring at them, the public is not allowed behind the scenes and this behavior may be more threatening to them in their off-exhibit areas. Smiling at many species of primates may also be considered a threat, and while a primate may "smile" back, realize he is not smiling, but showing you his teeth, which may indicate a sign of aggression. Try not to point at the animals with your finger, and certainly do not stand close enough to any enclosure that the primate may be able to touch or grab you. If a chimpanzee, gorilla, or orangutan were to grab any part of you with just one finger, it could cause significant injury or damage to your person or your clothing.

Great apes (chimpanzees, gorillas, or orangutans) may also spit water or throw fecal material or other items at strangers or at people they know but don't like, e.g., the veterinary staff. They may be obvious in picking up fecal material or items in their enclosure and throwing it in your direction; however, many wait until you turn your back, and can hit their targets with amazing accuracy. Orangutans have a longer reach than the other great apes, and maintaining an extra distance of greater than 4 feet from them as a margin of safety should be considered.

Beware: Macaques have a high probability of being unapparent carriers of Herpes B virus, which is deadly to humans. One drop of saliva or urine from a macaque shedding the virus splattered into a human eye or mouth has been known to cause the fatal disease. If you are inspecting a facility with macaques, be sure to protect yourself from the possibility of a bite, or spray of urine from these animals. Personal protective equipment such as a clear face guard or safety goggles, a surgical mask, gloves, and protective clothing may be in order when close examination of macaques is required. There is a long-standing Animal Care health and safety policy that any inspector coming within 5 feet of any nonhuman primate is supposed to be wearing safety glasses/goggles or a face shield and a properly fitted respirator.

Big and Small Non-domestic Cats

Cats are sensitive animals and may become agitated in the presence of strangers. Cats of all species will flatten their ears when angry or agitated. Try to recognize this behavior and step away from the enclosure before the cat becomes more agitated and either vocalizes or hits the enclosure fence. Talking to the animals when they are agitated rarely soothes them, as you are a stranger in their environment.

Many cats will spray-mark their environment. Often big cats, especially tigers and lions, will exhibit this behavior, especially those that are accustomed to strangers and are not upset by their presence. Generally the cat will be standing near the front of the enclosure or will calmly walk to the enclosure fence, often near the spot people are standing. They will then turn, lift their tail, and spray urine up to 10 feet away. If you notice this behavior, you will have only a moment to step out of range.

Beware: Many enclosures, especially night quarters or gates to enclosures, have a small space between the bottom of the enclosure and the ground. Big cats (and small non-domestic species) are able to reach through these spaces and have been known to attack unsuspecting persons who are standing too close. A basic rule is to stay a minimum of 3 feet away from all big cat enclosures. Many licensees will have a protocol and an obvious painted “safety line” on the floor or a barrier running adjacent to the big cat enclosures. If entering a narrow hallway between two cages, ensure you know the whereabouts of the cats, and be careful not to back up against one enclosure with a cat present if you are startled by another cat across the hallway. Try to maintain your distance from all enclosures when in tight quarters, and if the situation seems dangerous in any way, ask the keepers to shift the cats to enclosures away from the hallway.

Elephants

Consider all elephants to be dangerous. Do not approach elephants unless you are with the trainer, and then be cautious. Always keep the trainer/handler between you and the elephant. Not all elephants are the same, and not all trainers are competent. If you have not worked with a trainer/handler and don’t have a high level of confidence in this person, do not get within reach of the elephant, even if the handler encourages you to do so. Look for signs the handler is ensuring your safety. Facilities with good track records and long-time elephant trainers on staff are likely to have a much safer elephant handling program than facilities with a high turnover of trainers. In general, there is no need to get within reach of an elephant. If you feel you need to get close to the elephant, you should have a very good reason to do so. Always ask the trainer/handler if it is appropriate for you to get closer and to touch (if necessary) the elephant. If you do this, ensure you know your escape route. If the elephant shows signs of agitation or is not responding appropriately to the trainer’s commands, immediately leave the area and let the trainer/handler manage the problem. If there is a safe location to observe the management of that elephant, that would be appropriate.

Elephants are handled in two basic ways: protected contact and free contact. Protected contact involves managing an elephant with a strong wall or barrier between the handler and the elephant. Free contact involves the handlers working directly with the elephant. Often facilities working elephants in free

contact will have the means to place them behind a barrier and work them in protected contact. If you need to get close enough to look at feet or skin, ask that the elephant be placed in a protected contact situation if practical or possible. If there is no protected contact facility available, ask if the handler could have the elephant lie down for this inspection. If not, be very cautious in your approach, remembering to keep the handler between yourself and the elephant. If you aren't confident that it is safe, do not go near the animal. You can see enough from a distance to get an idea of skin, foot, and other husbandry conditions. Remember that you always put yourself at risk when you go near an elephant, no matter how good the trainer/handler and elephant appear to be.

Follow all instructions given by the trainer/handler, and do not venture to various areas in the elephant barn or yard without the trainer present, or without full knowledge of the whereabouts of all the elephants.

Beware: Elephants may reach over or through the bars of a fence with their trunks and could injure a bystander. If on leg chains, they have been known to "sucker" an unsuspecting person to move closer by stretching their trunks out towards a bit of hay or food as if they can't quite reach it, and then rush forward when the unsuspecting person steps forward to try to throw the food item to them.

Hoof Stock

Non-domestic hoof stock (eland, oryx, nilgai, kudu, bison, deer, etc.) may be dangerous. Bison and other bovid-type non-domestic hoof stock, as well as cervids (generally bucks), have been known to charge or butt people without warning. When inspecting non-domestic hoof stock, try to always have a sturdy fence between yourself and the animals, and do not stand within reach of these animals. If it is necessary to enter a hoof stock enclosure, ensure you keep the handler/keeper between yourself and the animals, and consider an escape route before entering the enclosure. Whenever possible, enter veldt-type enclosures (large pens housing multiple species of hoof stock) in a vehicle.

Camels and llamas may spit when upset, and llamas have been known to push upon, and knock over people. Note that llamas will flatten their ears when getting ready to spit. Camels may be dangerous, and intact males are especially so. A male camel has been known to lean over an enclosure fence to bite and lift an adult person by the shoulder and toss them a distance away.

Non-domestic hoof stock, depending on the species, have varying flight distances, which is the distance they will allow someone to approach before they flee or bolt. It is undesirable to upset the hoof stock in an exhibit, and inspectors should be aware of keeping a reasonable distance between

themselves and the hoof stock living in that enclosure. Do not approach the hoof stock. Allow the keepers to suggest a distance for you to observe that is appropriate and non-threatening to the animals.

Beware: Some facilities may house ostriches with their hoof stock. Ostriches, especially males, may also be deadly, and have been known to attack and seriously injure or even kill people, often unprovoked and without warning. Their kick is powerful and they kick high and forward, aiming directly in front of them. They are very fast and will run from another area of the exhibit to attack you, presumably to protect their territory. Under no circumstances should you enter a mixed exhibit on foot that houses male ostriches. Cassowaries are also very dangerous birds, and you should never enter an enclosure housing a cassowary.

Potential Rabies Exposure

If you are inspecting facilities where you will be entering exhibits or enclosures which contain free-roaming (or free-flying) mammals, such as raccoons, skunks, or bats, if you feel there is a potential for being bitten or scratched, or if you feel there is potential for rabies exposure via the aerosol route (no matter how remote), you should either wear personal protective gear, such as a mask or respirator and goggles, or have pre-exposure rabies prophylaxis.

Workplace Violence

A licensee, applicant, research facility representative, or other person must **not** interfere with, threaten, abuse, or harass any APHIS official in the course of carrying out his/her duties.

Interference

No one at the facility is allowed to interfere with the inspection process. You (the inspector) do **not** have to tolerate abusive, threatening, or violent behavior. Take all threatening behavior seriously. If threatened, take reasonable preventive or precautionary measures.

The following are examples 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 facility where you have been threatened, assaulted or abused:

- **without** appropriate resolution of the incident, or
- **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 (licensee, authorized representative, employee, spouse, relative, 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, the SOTW, or the Regional Office as soon as safely possible, but within no more than 12 hours after the incident
4. Complete an inspection report containing the following information within 24 hours:
   A. Any noncompliance identified prior to stopping the inspection
   B. A statement that the inspection was stopped because the person(s) (give his/her name) was interfering with the inspection process
   C. An NCI documenting the interference under the appropriate regulation
5. Complete a separate memo containing the following information, if applicable, within 24 hours:
   A. The names of any witnesses
   B. A detailed, factual description of the person’s behavior

C. Any quotes or threatening statements made

D. The target of the violent or threatening behavior

E. The time and date the incident occurred

6. Send a copy of the inspection report to the licensee, applicant, or research facility by regular **and** certified return receipt mail.

Non-Imminent Danger

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

1. Notify the licensee/applicant/authorized representative that you consider this behavior as interference.
2. Warn the licensee/applicant/authorized representative that if the behavior continues, you will stop the inspection.
3. If the behavior continues, leave the premises immediately and carefully, **in a manner that is not likely to inflame the situation further**.
4. Call your SACS within 12 hours of the incident.
5. Complete an inspection report containing the following information within 24 hours:

   A. Any noncompliance identified prior to stopping the inspection.

   B. 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 containing the following information, if applicable, within 24 hours:

   A. The names of any witnesses

   B. A detailed, factual description of the person's behavior

   C. Any quotes or threatening statements made

   D. The target of the violent or threatening behavior

   E. The time and date the incident occurred

7. Send a copy of the inspection report to the licensee, applicant, or research facility by regular **and** certified return receipt mail.

Bribery Reporting Procedures

If you are offered a bribe, or perceive that you are being offered a bribe, refuse the bribe and report it immediately to the Office of the Inspector General (OIG). **Do not report the bribe to your supervisor.**

It is your duty to report being offered a bribe, or if you perceive that you are being offered a bribe.

Follow these steps if you are offered a bribe, or perceive that you are being offered a bribe:

1. **Do not take the bribe**. Say, "I **cannot** do that." Do **not** discuss the bribe offer any further, and do **not** tell the person who offered it that you are going to report it to law enforcement or other authorities.

SAFETY

If you believe that you are in any danger at this time, leave the facility as quickly and safely as possible.

If you do **not** believe that you are in danger, then assess the situation and use your judgment as to what to do, since you do **not** want the person to think that you are going to report the incident to the authorities. Some possible courses of action include, but are **not** limited to:

   A. Give the person a plausible excuse and leave the facility.

   B. Complete the inspection or exit interview quickly, but not suspiciously so.

   C. Complete the inspection, then tell the person that you are going to complete the inspection report off site.

2. At the first practical moment after you are out of sight and earshot of the person who made the offer, and as soon as privacy permits, **telephone the OIG** using one of the following phone numbers:

   A. **(202) 720-7257** – 24 hour direct line to OIG, Washington, DC, for reporting threats, assaults, and bribery attempts, or

   B. **(800) 424-9121** – OIG Hotline for reporting fraud, waste, and abuse, or

   C. **(202) 690-1622** – Commercial hotline

   Note: Collect calls are accepted.

3. Follow the instructions given to you by the OIG Special Agent. An OIG Special Agent will respond to your telephone call. Based on information that you provide, OIG Agents will evaluate the alleged bribery attempt to determine the appropriate investigative action. OIG needs your full cooperation.

4. Do **not** report the bribery attempt to your supervisor or discuss it with anyone else unless instructed to do so by an OIG Special Agent. Any discussions could compromise the investigation. OIG will ensure that appropriate supervisory personnel are notified in a manner which will not prejudice the investigation.
5. Any subsequent contacts or communication between you and the person who offered the bribe will be controlled and monitored by the OIG.
6. Do **not** be afraid to cooperate with investigators. Even though you would **not** accept a bribe, it is your duty to report such matters and to cooperate fully with investigators to prevent further bribery attempts to you or other USDA employees.

Supervisor's Responsibility

If an employee reports an offer or a perceived offer of a bribe to you:

1. Instruct the employee to call OIG immediately, if he/she has **not** already done so.
2. Do **not** discuss the bribery attempt any further with anyone, including the employee.
3. Do **not** attempt to investigate the incident.

Gifts From Licensee/Registrant

Do **not** accept any "gifts" from licensees or registrants greater than the value of a soft drink or cup of coffee. You do **not** want any perception of impropriety.

Completing the Inspection Report

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 Animal Care Information System (ACIS). ACIS is an electronic database that provides a standard approach to collect, record, analyze, maintain, and report information collected during the course of regulating and enforcing the Animal Welfare Act.

- Inspection reports are to be finalized in ACIS.
- For additional requirements, refer to the Required Inspection Procedures.
- For information and instruction on how to finalize a report, plan an inspection, and enter data, refer to the user documents in the help section of ACIS.

The ACIS Public Search Tool is a public interface to data collected. The public can search for licensing data, inspection data and information contained in the

annual reports submitted by USDA-registered research facilities. The search tool can be accessed via the Animal Care website.

Refer to the following steps to complete the report:

1. Plan the inspection in ACIS online.
2. Upload inspection in ACIS offline.
3. Complete the inspection report and finalize Part 1 at the time you deliver the report.
4. Upload the completed report into ACIS online.
5. Complete Part 2 of ACIS online. Part 2 includes:
   - ❖ Adding animal inventory
   - ❖ Adding inspectors to the report
   - ❖ Adding pictures to the report with a description of the picture
   - ❖ Assigning the number of animals affected to the citation
   - ❖ Assigning the citation to the photo
   - ❖ Finalize Part 2 in ACIS

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

- ◆ Business name
- ◆ Customer ID
- ◆ Date of inspection
- ◆ Licensee, registrant, or applicant's name as listed on Application for License or Registration
- ◆ Mailing address as listed on Application for License or Registration
- ◆ Site name, if applicable
- ◆ Site number or TRA (Traveling on the Road) (see TRA Site) as assigned by ACIS (Make sure that you are in the correct site. Do **not** enter an inspection into an inactivated site.)
- ◆ USDA license or registration number

If any of the above information is incorrect in ACIS, contact the Regional Office regarding how to make indicated changes before you complete the inspection report.

For a prelicense, all information can be corrected at the regional office by phone with either an amended application or a newly created application sent in with the report.

For routine inspection changes to the name, address, management, control/ ownership, and site, addresses must be submitted in writing by the licensee/ registrant. Incorrect customer ID, date of inspection, site name (001, TRA), USDA license or registration number, requires rescinding the inspection report, correcting the error, and sending the licensee/registrant an amended report with an amended report letter.

Type of Inspection

The inspection report **must** specify the type of inspection conducted. Enter the type of inspection into the ACIS Inspection Report template.

The types of inspections are:

- Attempted – situation where an authorized person was **not** available to accompany the inspector. **No** inspection was conducted.
- Prelicense – inspection to determine compliance with the AWA regulations and standards prior to issuance of a USDA license. Indicate whether 1st, 2nd, or 3rd.
- Routine – normal periodic, unannounced inspection including:
  - complaint inspection
  - new site or additional site inspection
  - partial or focused inspection
  - reinspection for direct noncompliant items
  - search inspection

Inspection Report Narrative

Refer to Documenting Inspection Findings on page 2-3 for instructions on documenting inspection findings in the narrative section of the inspection report.

Examples of Citations

The following pages show examples of noncompliance citations. Develop a consistent method of writing citations.

EXAMPLE

Standard: SECTION 2.31(d)(ii) IACUC

Noncompliance: Protocol #06-85 involves a surgical procedure for five adult cats that will cause more than momentary pain and there is **no** documentation in the protocol that a search for alternatives was conducted.

Why a noncompliance: There may be an alternative procedure which will cause less pain or distress to the animals and affect their health and well-being.

How to comply: A search for alternatives should be conducted and reviewed and approved by the IACUC.

Correction date: Correct by (*date*).

EXAMPLE

Standard: SECTION 3.1(a) HOUSING FACILITIES, GENERAL

Noncompliance: The roof in the southeast corner of the kennel building is falling in due to rotting wood. There are pieces of the roof in the pen under that portion of the roof. There are three adult dogs in this pen.

Why a noncompliance: The kennel building is not being kept in good repair and the falling roofing material and wood beams could injure the dogs.

How to comply: The roof should be kept in good repair. Maintenance problems should be identified and fixed in a timely matter to keep the facilities in good repair and protect the animals from injury.

Correction date: Correct by (*date*).

EXAMPLE

Standard: SECTION 3.83 WATERING

Noncompliance: The water receptacle in the adult nonhuman primate enclosure has a layer of debris and scum floating on the top of the water and a thick layer of algae along the sides.

Why a noncompliance: The presence of debris, scum, and algae is an indicator of contamination of the water which can cause illness in the animals.

How to comply: The water receptacles should be kept clean to prevent a build-up of dirt, debris, scum, or algae in the water.

Correction date: Correct by (*date*). Ten macaques affected.

EXAMPLE

Standard: SECTION 3.104(b)(1)(i) SPACE REQUIREMENTS

Noncompliance: Two beluga whales housed in the old pool require an MHD of 28 feet. The pool only provides and MHD of 25 feet.

Why a noncompliance: The proper MHD is required for the whales to make normal postural and social adjustments to ensure their health and well-being.

How to comply: The minimum MHD should be provided for the whales.

Correction date: Correct by (*date*).

EXAMPLE

Standard: Section 3.125(a) FACILITIES, GENERAL

Noncompliance: The wire next to the den in the back of the tiger pen is broken and sharp edges of the wire are sticking into the pen. There are three tigers in the pen.

Why a noncompliance: The pen is not being kept in good repair and the tigers could be injured by the sharp points on the wire.

How to comply: The wire should be repaired. Maintenance problems should be identified and fixed in a timely manner to keep the facilities in good repair and protect the animals from injury.

Correction date: Correct by (*date*).

EXAMPLE

Multiple Sections and Multiple Species: If an NCI involves multiple sections of regulations/standards and 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.

EXAMPLE

Multiple Noncompliances under one Section and Subsection: If multiple noncompliances involve one section and subsection of the regulations/standards, these NCIs may be grouped together.

For example, for farm animals in a petting zoo: 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.

EXAMPLE

Multiple Noncompliances under the Same Section but Different Subsections: 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 four 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 exhibit and it is summer with ambient temperatures over 100 °F.
- SECTION 3.80(a)(2)(ix)–A pen housing four 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.

Information Not to be Put in Narrative

The narrative section should **not** contain:

- Administrative messages to the Regional Office
- Animal inventory
- Comments on public complaints
- Date of last inspection
- Personal comments about the facility
- Personal or proprietary information, such as
  - Addresses, other than the licensee/research facility mailing and/or business address

- ❖ Driver's license numbers
- ❖ Names of animal handlers
- ❖ Names of buyers of animals
- ❖ Name(s) of person(s) accompanying you on the inspection
- ❖ Names of principle investigators or research facility personnel
- ❖ Names of sellers of animals
- ❖ Social security numbers
- ❖ Sources of animals
- ❖ Telephone numbers, other than your contact information, if applicable

- ◆ Recommended enforcement action

NOTICE

Remember that the inspection report is a legal document that may be used by our Office of General Counsel (OGC) as evidence in a court proceeding. The inspection report is a public document and is available to the public through a Freedom of Information Act request or viewed via the Internet at the Animal Care website.

Repeat Noncompliant Item Identified

Refer to "Veterinary Care Direct" NCI Identified on page 2-5 for information on repeat noncompliant items.

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 third and/or a subsequent inspection.

The recurring noncompliance can be:

- ◆ A noncompliance of the same Section of the regulations or standards
- ◆ The same noncompliance, but identified for different species
- ◆ The same or a similar noncompliance as cited earlier

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/registrant?
- ◆ 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?

Use your professional judgment in deciding what action to take, such as:

- Citing the NCI as a new noncompliant item
- Citing the NCI as a Repeat NCI (**Note**: include in the description other inspection dates that this NCI has occurred)
- Discussing the NCI with your SACS

Noncompliant Item with Correction Time Remaining

Focused Inspection

If you are conducting a "focused" inspection, such as to follow up on a Direct or Repeat NCI, and there are previously identified uncorrected NCIs which still have correction time remaining, do **not** re-cite or mention these NCIs on the Inspection Report. These are **not** repeat NCIs. Be sure to specify that this was a focused inspection in the Inspection Report narrative.

Full Inspection

If you are conducting a full inspection and there are previously identified uncorrected NCIs which still have correction time remaining, do **not** re-cite these NCIs. Note on the Inspection Report that the NCIs have **not** been corrected, but that the correction date has **not** passed. These are **not** repeat NCIs.

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:

- Are there areas of the facility that you have **never** inspected before, e.g., a new building?
- Are there records to inspect?
- Are there transportation vehicles to inspect?
- Does this facility have a history of noncompliance?
- Even though there are **no** animals currently at the facility, do regulated animals go in and out of the facility, such as a traveling petting zoo?
- Is the facility due for an inspection?
- Is this a new facility added to your territory?

- Is this an active research registrant that has not been inspected this fiscal year?

After using your best judgment and determining that there is nothing to inspect, you may choose **not** to conduct an inspection.

If you conduct an inspection:

- Cite only NCIs found during the inspection 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
- Classify the inspection as "Routine"
- For the correction date, use the following or a similar statement: "Correct before being used for animals regulated by the Animal Welfare Act."
- If a partial inspection, state which areas were inspected, such as records and/or specific buildings
- State in the narrative, "**No** regulated animals present at this time."

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

Finalizing the Inspection Report

After you have (1) reviewed the inspection findings with the licensee/registrant/applicant, (2) given the facility representative the opportunity to provide additional information pertinent to the findings, and (3) checked the inspection report for accuracy, finalize the report in ACIS before delivering a copy to the licensee/registrant/applicant. (For additional information and instruction, refer to the help section in ACIS.)

NOTICE

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.

Action to Take When a Person, Facility, or Site is Not in the ACIS Database

If the person, facility, or site is **not** in the ACIS database:

1. Complete the inspection report using the Word Inspection Report Template.

2. After the inspection, contact an inspection and licensing assistant (ILA) or the Program Specialist at the Regional Office.
3. Provide the ILA the following information:
   A. Licensee/registrant/applicant's full name, if applicable
   B. Complete mailing or business address
   C. Complete site address
   D. County, if known
   E. Business telephone number, including area code
4. Obtain the customer number, if available.
5. After you have reviewed the inspection findings with the licensee/ registrant/applicant, and checked the inspection report for accuracy, finalize the report in ACIS before delivering a copy to the licensee/ registrant/applicant.

TRA Site

A traveling site is a temporary animal location, housing, or exhibit area, such as:

- A city where the licensee is performing
- An airport
- An auction market

On the inspection report:

1. Make sure that you use the "traveling-on-the-road" (TRA) site designation in ACIS.
   A. If the licensee does **not** have a TRA site already in ACIS, follow the procedures for Action to Take When a Person, Facility, or Site is Not in the ACIS Database.
   B. If the licensee has more than one TRA site, use the correct TRA site if it is in ACIS.
2. Add the location of the inspection, i.e., city and State, in the narrative section of the inspection report.
3. Add the name of the Unit, if applicable, in the narrative section of the inspection report.
4. If the exhibitor is part of a larger circus or traveling group, add the name of the circus or group in the narrative section of the inspection report.

Correction Date

A correction date is the time period in which a noncompliant item **must** be corrected.

A correction date should be:

- Appropriate to the severity of the NCI
- Determined with the concurrence of the licensee/registrant or authorized representative, if appropriate
- Realistic as to what the facility can accomplish

NOTICE

If the inspection report is being sent by certified mail, allow for the mailing time when setting the correction date.

A correction date is given for:

- Newly identified "Direct" NCIs. Give these a short correction period, e.g., immediately, by close of business on (*date*), within 72 hours, within 10 days. The correction date for direct NCIs should **never** exceed 30 days.

NOTICE

Reinspect for correction of a "Direct" noncompliant item **no** later than 45 days after the date of inspection.

- Newly identified "Indirect" NCIs. If reasonable with respect to the welfare of the animals involved, an inspector can allow up to 1 year for some corrections.

A correction date is **not** given for:

- Airline transportation non-compliances
- An NCI corrected during the inspection. The inspector may decide, using his/her own discretion, whether or **not** to cite the NCI. If cited, add "Corrected during the inspection." Documenting this NCI may be necessary to show the facility's history of compliance.
- NCIs identified on a prelicense inspection
- NCIs cited on New Site inspections
- Repeat noncompliant items

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 licensee/registrant may request an extension if he/she will **not** be able to correct the NCI by the correction date.

If, at the time of the inspection, a licensee/registrant anticipates that an extension will be needed:

1. Explain to him/her how to request an extension.
2. Document on the Inspection Report that the procedure for requesting an extension was explained to the licensee.

NOTICE

Extensions are for special circumstances. Do **not** suggest an extension to the licensee for correction of routine noncompliant items.

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

1. In writing
2. Appropriate, i.e., **only** for indirect NCI related to facility maintenance
3. Specific as to the reason/justification for the request

EXAMPLE

- Unexpected delays during the correction process, such as budget or severe weather delays
- Unforeseen special circumstances that prevent completion, such as death or serious illness in the family

4. Sent to the appropriate Animal Care (AC) Regional Office
5. Received by the AC Regional Office **prior** to the original correction date

The Regional Office will notify the licensee/registrant, in writing, whether or **not** the extension was granted.

Inspection Appeals Process

If the licensee/registrant has a concern about any findings on the Inspection Report, use the inspection appeals process to resolve the dispute.

Prior to Finalizing the Inspection Report

If a licensee/registrant/facility representative has questions or concerns about a noncompliant item(s) cited on the Inspection Report, you, the inspector, should explain why the noncompliance was cited and give the facility representative the opportunity to provide additional information pertinent to the findings at the exit briefing. If the concern is resolved, amend the citation. If the concern **cannot** be resolved:

1. Inform the licensee/registrant/facility representative of the next step in the appeals process.
2. Give the licensee/registrant/facility representative a copy of the appeals process fact sheet.

If there was an unresolved disputed noncompliance:

- Finalize the inspection report
- Inform your SACS that there may be an appeal of a noncompliance item(s) cited on the inspection report

After Finalizing the Inspection Report

If a licensee/registrant/facility representative has questions or concerns about a noncompliant item(s) cited on the Inspection Report, meet with the licensee/registrant/facility representative, if requested, to discuss the noncompliance.

If you and the licensee/registrant/facility representative resolve the disagreement on the noncompliance, generate an amended Inspection Report and inform your SACS of the resolution. Give or send (by certified, return receipt mail) a copy of the Inspection Report to the licensee/registrant. Send a copy of the amended Inspection Report to the Regional Office.

If the dispute **cannot** be resolved, inform the licensee/registrant/facility representative of the next step in the appeals process. Give the licensee/registrant/facility representative a copy of the appeals process fact sheet. Inform your SACS that there may be an appeal of a noncompliance item(s) cited on the Inspection Report.

If the licensee/registrant'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 ACIS by the Regional Office with SACS concurrence.

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

NOTICE

Inspection appeals should **not** delay reinspection of direct noncompliances or interfere with efforts to ensure that the immediate welfare needs of the animals are met.

Amended Inspection Report

The amended inspection report should:

1. Be dated the date that the actual inspection was conducted in "Inspection Date" block
2. Be dated the date that the amended inspection report was signed or sent to the licensee/registrant in the "Signature Block."
3. Cite any noncompliances that were modified on appeal.

4. Cite the noncompliances that were **not** appealed or overturned on appeal.

> ***NOTICE***
>
> The citation on the amended Inspection Report **must** be identical to the citation on the unmodified original Inspection Report.

5. Contain the statement: "This is an amended report of inspection report." (*ACIS inspection "d" code of original inspection report located at the top of the inspection report*).

If the inspector generates the amended inspection report, send a copy of the inspection report to the:

- Licensee/registrant by certified, return receipt mail
- SACS or Regional Office.

If the SACS generates the amended inspection report, send a copy of the Inspection Report to the:

- Inspector
- Licensee/registrant by certified, return receipt mail
- Regional Office

Mistakes on the Inspection Report

Read the inspection report carefully before printing and finalizing to ensure that all information and spelling are correct.

Prior to Printing the Final Inspection Report

To make the inspection report as accurate as possible, ensure that:

1. You are entering the inspection:
   A. Under the correct licensee/registrant
   B. Under the correct certificate number
   C. In the correct site
2. All information is entered into the database correctly, such as:
   A. Inspection type
   B. Name and title of person signing the inspection report
3. All information in the narrative is correct, such as:
   A. Citation Section and subsections
   B. Regulation or standard correctly paraphrased, if applicable
   C. Buildings/locations inspected, if appropriate
   D. Location of inspection of a TRA site

E. Names of elephants inspected

4. Repeat NCIs are the same section/subsection cited on the previous inspection(s).

NOTICE

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."

5. The narrative section uses the appropriate wording to describe the problem.
6. Check spelling and grammar and review a draft copy of the inspection report with the licensee/registrant/facility representative.
7. Make the appropriate changes, if necessary, and 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:

- Correction date given for a repeat noncompliance
- Correction date(s) omitted
- Direct or significant noncompliance omitted
- Exit briefing statement not included
- Failure to specify a noncompliance as "direct" or "repeat"
- Incorrect citation
- Incorrect inspection type
- Wrong site

NOTICE

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 inspection report has been finalized, and a copy of the inspection report has **not** been given to the licensee/registrant/ facility representative:

1. Contact your SACS who will contact the Regional Office to have the inspection report reactivated.

NOTICE

You **must** upload to ACIS in order for the Regional Office to reactivate the inspection report.

2. Correct the reactivated inspection report.
3. Provide a copy of the corrected inspection report to the licensee/registrant/ facility representative through the usual delivery methods.

If a major error(s) is noted after the inspection report has been finalized and a copy of the inspection report has been given to the licensee/registrant/facility representative:

1. Notify your SACS.
2. Enter a new inspection report into ACIS (see Mistakes Noted by the Regional Office)
3. Provide a copy of the corrected inspection report to the licensee/registrant/ facility representative through the usual delivery methods.

The new inspection report **must**:

1. Be dated the date that the actual inspection was conducted in "Inspection Date"
2. Be dated at the bottom the date that the amended inspection report was:
   A. "Prepared" by you, and
   B. Signed by or sent to the licensee/registrant

NOTICE

These dates do **not** have to be the same.

3. Correct the major mistake for which the amended inspection report is being generated.
4. Cite the noncompliances that were correct on the incorrect report.

NOTICE

The citations **must** be identical to the citation on the incorrect report.

5. Contain the statement at the end of the narrative: "This is an amended report correcting inspection report (*inspection number*) by (*insert correction*)."

EXAMPLE Examples of corrections are:

- Correcting the site number from 001 to 002
- Correcting the date of the inspection
- Changing the Section of the Veterinary Care citation from 2.40 to 2.33

Mistakes Noted by the Regional Office

If the Regional Office discovers a mistake on an inspection report:

1. The inspector and the SACS will be notified.
2. The inspector **must** correct the inspection report following the procedure outlined above in Correcting or Amending the Inspection Report.
3. 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 **must**, hand write the inspection report.

If you hand write an inspection report, use the blank pre-printed inspection report form (see USDA, APHIS, Animal Care Inspection Report and Narrative). 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:

- Airports where it is difficult to get a computer through security
- Computer failure
- Printer failure
- Unique situations which may arise where the use of the computer is **not** feasible

If you want to give the licensee/registrant/facility representative a copy of the handwritten inspection report at the time of the inspection, either make a carbon copy or photocopy, or complete two reports and sign both copies.

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

REMEMBER:

1. You **must** enter the handwritten inspection report into the ACIS database as soon as possible.

2. The narrative entered into the ACIS database **must** be identical to the handwritten inspection report.

NOTICE

Dates of the actual inspection, Prepared, and Received may be difference due to the automatically generated prepared date in ACIS.

3. Place the following statement in the narrative section: "This is an electronic version of the report dated *xx/xx/xx*."
4. Send or email a copy of the ACIS inspection report to the licensee/ registrant by regular mail if he/she has a copy of the handwritten inspection report or by certified, return receipt mail if he/she does not have a copy of the inspection report.
5. Attach a copy of the ACIS inspection report to the handwritten inspection report.
6. Send the handwritten inspection report and ACIS copy following your standard procedure, i.e., SACS or the Regional Office, after it is entered into ACIS.

In the case of a printer failure, send a copy of the report to the licensee/ registrant/applicant by certified, return receipt mail, and to the Regional Office by regular mail when the printer is repaired.

Nonregulated Animals

Nonregulated animals should **not** be inspected or mentioned on the inspection report unless there is potential for a negative effect on the health or well-being of the regulated animal(s).

EXAMPLE Examples of a potential negative effect are:

- A horse is chasing a deer in a pasture and causing the deer stress or injury
- Rats with an infectious disease are housed in the same room with rabbits
- Ten peafowl are roosting over the animal feed containers and contaminating the food with feces
- The number of nonregulated animals is so large that the current staffing is inadequate to properly care for the regulated animals

Chapter

4

Specific Types of Inspections

Contents

DISCLAIMER

The Animal Welfare Inspection Guide is intended to be a reference document to assist the inspector. The Inspection Guide does not supersede the Animal Welfare Act (AWA), the AWA Regulations and Standards, the AC Policy Manual, the Required Inspection Procedures, standard procedures, or the inspector's professional judgment. All inspection decisions must be justified by applicable sections of the regulations and standards.

Animal Prize Exhibitor Inspection

An exhibitor who gives away regulated animals as prizes, such as at a fair or carnival, **must** meet all applicable regulations and standards, including the transportation standards.

Definition

Typically, these are carnival games giving away small mammals to attract people to play the game. The small mammals usually given as prizes include:

- Gerbils
- Guinea pigs
- Hamsters
- Rabbits

NOTICE

If you find an exhibitor giving away regulated animals **other than** small mammals, contact your SACS.

Exemption

Churches, clubs, or civic organizations raffling an animal as a fund raiser are **not** required to have a license.

Conducting the Inspection

When inspecting the exhibitor on the road, some items to evaluate include, but are **not** limited to:

- Animal housing during exhibit
- Animal housing when **not** on exhibit
- Food storage
- Handling of the animals
- Protection of animals from heat, sun, or inclement weather
- Transport cages and transport vehicle
- Watering and water availability

Records

Acquisition Records [2.75(b)(1)]

Acquisition records of all animals **must** contain the following:

- Complete address of the seller/donor
- Date animal was acquired

- If seller/donor is **not** USDA licensed or registered, then:
  - Vehicle license number and State of issuance, and
  - Driver's license number and State of issuance, or
  - State-issued photographic ID card number for non-drivers and State of issuance (see below)
- Name of the seller/donor
- Number of animals in the shipment, if applicable
- Species
- USDA license or registration number if seller/donor is USDA licensed or registered

If vehicle license number and driver's license number or photographic ID card number **cannot** be obtained, the acquisition record should contain:

- An acceptable reason for **not** obtaining this information, and
- At least two of the following:
  - Directions to the premises of the seller/donor
  - Phone number

Disposition Records [2.75(b)(1)]

Disposition records of all animals **must** contain the following information:

- Date animal(s) was given away or disposed of, including euthanasia
- Number of animals
- Species

NOTICE

The name and address of the person receiving the animal is **not** required.

The APHIS Form 7019–Record of Animals on Hand (Other than Dogs and Cats) on page A-25 or APHIS Form 7020–Record of Acquisition, Disposition or Transport of Animals (Other Than Dogs and Cats) on page A-29 may be used to record and maintain the required information.

Acquisition and disposition records **must** be held and available for inspection for 1 year after an animal is disposed of or euthanized. [2.80, 2.126(a)(2)]

These records **must** be kept and maintained for more than 1 year if: [2.80(b)]

- Necessary to comply with any applicable Federal, State, or local law

- The APHIS Administrator notifies the exhibitor in writing that specified records **must** be retained pending completion of an investigation.

Animal Rides

An exhibitor who uses regulated animals to give rides to the public **must** meet all applicable Animal Welfare Act regulations and standards.

Criteria

Examples of animals used to give rides are:

- Camels
- Cattle
- Elephants
- Llamas

NOTICE

Domestic equine species (horse or pony) are exempt.

Conducting the Inspection

When inspecting animals used for rides, make sure that the exhibitor meets all the applicable regulations [9 CFR Sections 2.40, 2.50, 2.75, 2.78, 2.80, 2.125, 2.126, 2.130, 2.131], and all the standards, including the transportation standards, for the animals being used.

When conducting your inspection, some suggested areas to pay attention to include, but are **not** limited to:

- Animal's locomotion, gait, and uniformity of stride
- Animal's physical condition and behavior
- Appropriateness of the weight load for the animal
- Attentiveness of the handler during the ride, i.e., is the handler distracted in some manner and not paying attention to their duties
- Availability of drinking water
- Availability of shade
- Condition of the equipment, i.e., **no** sharp edges, **no** broken straps, buckles, or fasteners, padding **not** thin or excessively worn
- Plan to provide veterinary care if an animal is injured away from the home facility
- Foot care, especially elephants

- Number of personnel, i.e., are there enough personnel to watch for dangerous behaviors from the animals, the riders, and the viewing public
- Perimeter fence and/or barriers between the animals and the general viewing public
- Proper fit of saddles, riding equipment, halters, or restraint devises. Some signs of improper fit include:
  - Abrasions
  - Hair loss
  - Irritated skin
  - Redness
  - Sores
- Rest for animals between rides and overnight

NOTICE

Animals **must** be allowed a rest period equal to the amount of time that they were giving rides. [2.131(b)(2)]

- Training and handling experience of the handlers and employees
- Willingness of the animal to work

NOTICE

Put the name of the elephant(s) on the inspection report.

Auction Market Inspection

The auction market operator is responsible for compliance with all applicable regulations and standards. [9 CFR Sec. 2.76]

Criteria

At the time of the prelicensing inspection(s) of the auction facility, the inspector ensures that the applicant/auction operator understands all the applicable regulations and standards emphasizing the following:

- A species-appropriate containment area, such as a fence or barrier, is required around the loading and unloading area to prevent the escape of the animals.
- All animals **must** be held in a manner that ensures the safety of the animals and the public.
- Animals may **not** be housed close to other animals that may cause them stress.
- Incompatible animals must **not** be held in the same enclosure.
- Requirements for record keeping, transportation, cleaning, sanitation, and general animal health and well-being are monitored and enforced during the auction.
- The animal enclosures meet the space requirements:
  - If an animal arrives and leaves the auction on the same day, the transport enclosure space requirements apply.
  - If an animal stays overnight at the auction facility, the permanent enclosure space requirements apply.
- The auction operator is responsible for compliance with all regulations and standards, including applicable transportation standards, once the animal is accepted by the auction market.

At the time of the auction, you (the inspector) should:

1. Contact the licensee or his/her representative at the facility.
2. Introduce yourself.
3. Show official ID, if requested.
4. Ask the licensee or representative if:
   A. He/she or a designated person should accompany you around the auction grounds, or
   B. If it is permissible for you to inspect the grounds and the sellers/buyers on your own.

5. Check for regulated animals.
6. If a USDA licensee brings in a regulated animal, conduct an inspection of the animal in transit.
7. If an unlicensed person brings in a regulated animal:
   A. Inform the person of the Animal Welfare Act licensing requirements and regulations.
   B. Give the person an application packet, if appropriate.
8. Answer any applicable questions.
9. Check the animals for any visible signs of illness or distress (see Animals Requiring Veterinary Care).
10. If a licensee purchases and transports a regulated animal, conduct an inspection of the animal in transit prior to the licensee leaving the auction facility, if possible.

NOTICE

If a noncompliant item is noted at the time of consignment, inform the auction operator or representative of this noncompliance.

Animals Requiring Veterinary Care

The auction operator is responsible for obtaining veterinary care for sick animals in his/her custody.

If a licensee has transported a sick animal, he/she should be cited for this non-compliance.

Records

Sale Day

Ensure that licensees who have transported dogs, cats, and nonhuman primates across a state line have health certificates. The auction operator is **not** required to maintain a copy of these records.

After the Sale Day

Conduct an inspection of the records containing all the information for the animals consigned to and sold by the auction operator on a different day than the sale day.

Acquisition Records Follow-Up

A person consigning a regulated animal to an auction market may or may **not** require a USDA dealer's license.

Consignment of regulated animals to an auction is **not** sufficient cause alone for requiring a license, since the consignor may be exempt from licensing under Section 2.1(a)(3) of the regulations.

Sales of wild or exotic mammals **other than** those exempted in Section 2.1(a)(3) require a license.

The inspector should:

1. Collect the names/addresses of persons consigning regulated animals to the auction.

NOTICE

The auction catalog is a good source for this information and should be obtained, if available.

2. As time permits, conduct a search of any person in your area selling regulated animals to determine if he/she is conducting any regulated activities.
3. Send sales information for unlicensed persons **not** in your area to the appropriate SACS or inspector.

NOTICE

If you (the inspector) do **not** attend the auction, inspect the records as a routine inspection.

Barrier Facility Inspection

Animals housed in a barrier facility **must** be maintained in accordance with all Animal Welfare Act regulations and standards. Barrier facilities can include but are not limited to quarantine/isolation areas, areas conducting research with infectious agents, areas housing animals that are Specific Pathogen Free (SPF) or gnotobiotic.

Criteria

The inspector **must** have access to inspect all regulated animals at a licensed barrier facility to ensure compliance.

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:

- Analyzing environmental records.
- Selecting random animals to be visually inspected
- Video viewing from outside the barrier room
- Visual inspection through an adequate viewing window

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.

The inspector should follow the entry procedures normally used by the facility's personnel.

NOTICE

The facility should supply a copy of its barrier entry procedures upon request.

The facility should:

- **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.

The 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 72 hours. This verification is acceptable.

NOTICE

Do **not** sign any statement which places you (the inspector) responsible for the health of the animals in the barrier facility.

Alternative Methods of Inspection

Video Camera Inspection

If a video camera is to be used for inspecting the barrier facility, the facility **must** meet the following minimum guidelines:

- Record the inspection so the inspector and licensee or designated person can refer back to the tape to review an area if any questions arise after the facility inspection.
- Sufficient or supplemental lighting in the room to allow for good visibility.
- Color monitor so that color differences can be seen. For example: to distinguish blood from other fluids, or to see algae/scum growth in water.
- 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.
- High resolution video camera so that the inspector can clearly see the animals in the enclosures and see subtle differences, such as being able to distinguish between bedding and feces in or beneath the enclosures.

- Portable video camera with the ability to video all parts of all the rooms that will require inspection, such as the animals rooms, food and bedding storage areas, medication storage areas, and enclosure washing/sanitizing areas.

Through a Viewing Window

If the inspection is to be conducted through a viewing window(s), the facility **must** meet the following minimum guidelines:

- All parts of all the rooms that will require inspection, such as the animal rooms, food and bedding storage areas, medication storage areas, and enclosure washing/sanitizing areas, must be visible through the window(s).
- The lighting in the room must be sufficient to allow for good visibility or the facility must have supplemental lighting available.
- There must be a communication system between the person inside the room and the inspector, so that the inspector can direct the person to bring enclosures or animals to the window, or to open cabinets or containers.

Refusal of Inspection

If the licensee/registrant or his/her designated person 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, document this as a “Refusal of Inspection” in the inspection report narrative section.

The inspector should:

- Complete an Official Inspection Report designating the inspection as “Routine”
- Document the refusal in the inspection report narrative section
- If safe, ask the person if he/she is refusing to allow the inspection
- Inform the licensee/registrant/designated authorized representative that this is noncompliant with the Animal Welfare Act
- Leave the facility
- Send the licensee/registrant his/her copy of the inspection report by regular mail and certified, return receipt mail
- Specify the date, time, and the name of the person who refused to allow the inspection, and any pertinent comments made by the person

NOTICE

If a non-designated person, such as an employee, refuses to allow the inspection, attempt to contact the licensee/registrant or authorized representative.

Change in Class of License Inspection

A licensee must complete the prelicense process to change his/her class of license. Refer to Chapter 2, Required Inspection Procedures, for information regarding the prelicense process.

A 'Class A' licensee is anyone meeting the definition of "dealer" whose business consists only of animals acquired for the sole purpose of maintaining or enhancing the breeding colony.

A 'Class B' licensee is anyone meeting the definition of "dealer" whose business includes the purchase and/or resale of any animal. Class B licensees include brokers and operators of auction sales, as such individuals negotiate or arrange for the purchase, sale, or transport of animals in commerce.

A 'Class C' licensee is anyone meeting the criteria of "exhibitor" whose business involves the showing or displaying of animals to the public.

Criteria

To change his/her class of license, a licensee **must**:

- Complete an Application for License–New License (APHIS Form 7003A–Application for New License on page A-11).
- Complete a prelicense inspection with **no** noncompliant items cited.
- Send the appropriate license fee and a voluntary cancellation form for the old license to the Regional Office.

If the inspector finds during an inspection, from the Regional Office or other sources, that the licensee has changed or plans to change his/her regulated activity, notify the licensee that he/she needs a different class of license and:

- **Must** complete an Application for License–New License (APHIS Form 7003A–Application for New License on page A-11), complete the TIN form, and pay the application fee
- Must **not** conduct the unlicensed activity until the new license is issued, but may conduct the regulated activities covered under the current license

Request an application packet from the Regional Office, if appropriate.

Conducting the Inspection

Noncompliant Items Identified

If noncompliant items are identified during the inspection:

1. Enter the inspection report into ACIS under the current prelicense site.

A. Make sure no license number is visible in the certificate box in the ACIS screen for that new site.

B. If the licensee does not have a new prelicense site, refer to the steps for creating a new site.

2. Classify the inspection as "Prelicense #1".
3. Inform the licensee that he/she **cannot** conduct the new activity if it is **not** allowed under his/her current license.

EXAMPLE For example, a "Class A" dealer who wants to exhibit animals.

4. Add the statement to the report "NO CLASS __ ACTIVITIES MAY BE CONDUCTED UNTIL A VALID USDA CLASS__ LICENSE IS OBTAINED."
5. Schedule another inspection, if possible.

No Noncompliant Items Identified

If no noncompliant items are identified on the inspection:

1. Enter the inspection report into ACIS under the new prelicense site.

   A. Make sure **no** license number is visible in the certificate box in the ACIS screen for that new site.

   B. If the licensee does **not** have a new prelicense site, refer to the following steps.

2. Classify the inspection as "Prelicense Inspection #1."
3. Follow the procedure for a prelicense inspection as detailed in Chapter 2-Required Inspection Procedures.
4. Add the statement to the report "NO CLASS __ ACTIVITIES MAY BE CONDUCTED UNTIL A VALID USDA CLASS__ LICENSE IS OBTAINED."
5. Have the licensee send the new license fee, and the voluntary cancellation form for the old license to the Regional Office.

NOTICE

If the licensee changes his/her class of license prior to the expiration date of the previous license, **no** refund of the previous license fee is given.

If the licensee does **not** have a new prelicense site:

Option 1:

1. **Must** complete an Application for License–New License (APHIS Form 7003A–Application for New License on page A-11), complete the TIN form, and pay the application fee
2. Complete the Inspection Report using the agency standard word processing system
3. Contact an Inspection and Licensing Assistant (ILA) to create a prelicense site in ACIS
4. Enter the information from the Inspection Report into the ACIS database.
5. Submit the Application for License–New License (APHIS Form 7003A–Application for New License on page A-11), the TIN form, the application fee, the word processing inspection report, and the ACIS inspection report to the Regional Office.

Option 2:

1. **Must** complete an Application for License–New License (APHIS Form 7003A–Application for New License on page A-11), complete the TIN form, and pay the application fee
2. Contact an Inspection and Licensing Assistant (ILA) to create a prelicense site in ACIS.
3. Complete the inspection report in ACIS.
4. Submit the APHIS Form 7003-A, TIN form application fee, and inspection report to the Regional Office.

Complaint Inspection

A complaint inspection is conducted in response to a concern received by Animal Care. Refer to USDA, APHIS, Animal Care Animal Welfare Complaint Sheet on page A-43 for an example of a complaint form.

Sources of Information

Sources of information include, but are **not** limited to:

- APHIS personnel
- City, county, or State agency
- General public
- Non-government organization
- Other Federal agency
- Whistle blower
- You, the inspector

Methods of obtaining information include, but are **not** limited to:

- email
- Fax
- Letter
- Personal contact
- Phone call

NOTICE

The complainant does **not** have to give his/her name. In any case, an inspector cannot reveal, nor confirm, the source of any complaint.
However, the complainant's name may be subject to a Freedom of Information Act (FOIA) request.

Information Follow-Up

If you, the inspector, receive a complaint directly from the public, State or local official, humane society, etc., decide if the complaint information applies to the Animal Care Program.

Table 4-1 Action to Take on a Complaint

If the complaint:	And:	Then:
Does **not** apply to Animal Care	→	REFER to the appropriate agency (i.e., U.S. Fish and Wildlife, State wildlife or animal welfare agency, local animal control, or humane society).
Does apply to Animal Care	It is **not** a possible non-compliance	1. EXPLAIN the AWA regulations and standards. 2. TAKE **no** further action.
	Is a possible non-compliance	INSTRUCT the complainant on how to contact the Regional Office
Originates from the Regional Office	→	1. REVIEW the complaint to determine if inspection is required. 2. CONDUCT the inspection, if required. 3. COMPLETE the lower portion of the Complaint Sheet and a memo detailing findings and specific issues. 4. FORWARD the complaint sheet, inspection report, and memo to SACS for review and approval. If you are unsure how to proceed on the complaint, contact your SACS.

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

1. Within 24 hours when:
   A. The animal's health and well-being is threatened, e.g., an elephant is locked up in a truck on a hot day; or an extremely ill tiger is **not** being cared for properly.
   B. The public's safety is threatened, e.g., unsafe enclosures for dangerous animals, or unsafe handling of non-caged dangerous animals.
2. As directed by your SACS or other program official for a situation with high public attention or Headquarters/Administration involvement.
3. As directed by your Regional Office (usually 10-30 days) for all other complaints, e.g., lions housed in a small enclosure, or a monkey on display in a pet store.

NCI Noted While Off-Duty

Refer to Action to Take on Noncompliant Item Noted While Off Duty on page 3-6 for instructions.

Dead Animal/Parts or Serum/Blood Dealer Inspection

A dealer who sells dead animals, unborn animals, organs, limbs, blood, serum, or other body parts of regulated animals **must** meet all applicable regulations and standards.

General Information

Dogs and Cats

If the animals arrive at the premises dead, specific areas to inspect include, but are **not** limited to:

- Records of acquisition
- Records of disposition

All Animals Other Than Dogs and Cats

If the licensee does not acquire nor take control of the animals prior to the animal's deaths, **no** records are required.

If the animals arrive at the premises alive and are euthanized upon arrival, specific areas to inspect include, but are **not** limited to:

- Animal holding/euthanasia area
- Euthanasia procedures

- Records

If the animals arrive at the premises alive and are held prior to euthanasia, conduct a complete inspection.

Blood and Serum

If the animal is held long-term for collection of blood and/or serum, the program of veterinary care **must** also address:

- Frequency of collection
- Long-term care
- Volume per collection

Species Specific

Dogs and Cats

If the dealer takes possession of the live dogs and/or cats, each dog and/or cat **must** have an official USDA identification.

Rabbits

Carefully observe rabbits being used for antibody production for signs of pain or distress, such as:

- Apprehensive or anxious appearance
- Crying or squealing
- Excessive licking or scratching
- Grinding of teeth
- Hiding
- Hunched appearance

NOTICE

These are possible signs of pain and distress and do **not** necessarily mean the animal is in pain or distress. Also, a **lack** of these signs does **not** mean that the animal is **not** experiencing pain or distress.

Review the facility's bleeding schedule to determine if it is appropriate to ensure the health and well-being of the rabbits.

General recommendations for bleeding of rabbits include, but are **not** limited to:[1]

- National Institute of Health (NIH) recommends a maximum bleeding of:

1 Reference: *Laboratory Animals* (1993) 27, 1-22

- 10 percent TBV (Total Blood Volume) every 3-4 weeks, or
- 7 ml/kg/month

NOTICE

Total blood volume is considered to be 7 percent of body weight with 1 ml of blood equal to 1 gram. Average TBV for a mature, healthy rabbit is approximately 44-70 ml/kg

- Industry recommendations may be:
  - 10 percent TBV every 2 weeks to 15 percent TBV every 4 weeks, or
  - 10 ml/kg/month
- If a facility is drawing more than 7 ml/kg/month, the rabbit should be monitored for physical distress, for example, by periodic hematocrit checks (a rabbit's normal PCV is 30-50).

Refer to Figure 4-1 and Figure 4-2 for species specific sampling rates.

For Inspection Guide

MAXIMUM VOLUME FOR SINGLE SAMPLING FOR VARIOUS SPECIES BASED ON RECOVERY PERIOD

SPECIES	*Mean blood volume	AVERAGE WEIGHT	+MAXIMUM VOLUME IN MILLILITERS FOR SINGLE SAMPLING *Based on Recovery Period*		
			Weekly (7.5% of blood volume removed)	Every 14 days (10.0% of blood volume removed)	Every 30days (15.0% of blood volume removed)
Mouse/Dormice (Based on mean blood volume)	72 ml/kg	20g	0.10	0.15	0.20
		30g	0.16	0.23	0.32
		40g	0.20	0.30	0.45
Rat/Cotton Rat (Based on mean blood volume)	64 ml/kg	250g	1.20	1.60	2.40
		500g	2.40	3.20	4.80
Rabbit (Based on mean blood volume)	62 ml/kg	3 kg	13.0	18.0	27.0
		4 kg	18.0	24.0	37.0
		5 kg	23.0	31.0	46.0
Hamster (Based on mean blood volume)	78 ml/kg	100 g	0.50	0.70	1.10
		125 g	0.70	0.90	1.40
		140 g	0.80	1.00	1.60
Guinea Pig (Based on mean blood volume)	75 ml/kg	300 g	1.70	2.20	3.30
		500 g	2.80	3.70	5.60
		800 g	4.50	6.00	9.00
Gerbil (based on mean blood volume)	67 ml/kg	40 g	0.20	0.25	0.40
		50 g	0.25	0.30	0.50
		60 g	0.30	0.40	0.60
Rhesus/Pigtail monkey (based on mean of blood volume)	54 ml/kg	3 kg	12.0	16.0	24.0
		5 kg	20.0	27.0	40.0
		8 kg	32.0	43.0	64.0
Cynomologus monkey (Based on mean blood volume)	65 ml/kg	2 kg	9.0	13.0	19.0
		4 kg	19.0	26.0	39.0
		6 kg	29.0	39.0	58.0
Squirrel/Owl monkey (Based on mean blood volume)*	70ml/kg	0.5 kg	2.0	3.0	5.0
		1.0kg	5.0	7.0	10.0
		1.5 kg	7.0	10.0	15.0

Figure 4-1 Maximum Volume for Single Sampling for Various Species (page 1 of 2)

Common Marmoset Tamarin (based on mean blood Volume	58 ml/kg	350 g	1.50	2.00	3.00
		450 g	1.90	2.60	3.90
		550 g	2.40	3.20	4.80
Ferret (based on mean blood volume)	75 ml/kg	0.5 kg	2.8	3.7	5.6
		1.0 kg	5.6	7.4	11.2
		1.5 kg	8.4	11.1	16.8
Dog (based on mean blood volume)	86 ml/kg	7 kg	45.0	60.0	90.0
		10 kg	64.5	86.0	129.0
		13 kg	83.0	111.0	168.0
Goat(based on mean blood volume)	70 ml/kg	40 kg	210.0	280.0	420.0
		80 kg	420.0	560.0	840.0
		100 kg	525.0	700.0	1050.0
Sheep(based on mean blood volume)	66.4 ml/kg	50 kg	249.0	332.0	498.0
		100 kg	498.0	664.0	996.0
		150 kg	747.0	996.0	1494.0

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References

- Formulary For Laboratory Animals, C. T. Hawk, S. L. Leary, T. M. Morris, Iowa University Press; Ames, Iowa; 2005 page 157;
- A Good Practice Guide to the Administration of Substances and Removal of Blood Including Routes and Volumes. J Appl Toxicol 21 15-23, 2001.
- G. Carmona, R Jufer, S. Goldberg et.al. Butyrylcholinesterase Accelerates Cocaine Metabolism: In Vitro and In Vivo Effects in Nonhuman Primates and Humans. 2000. Drug Metabolism and Disposition 28(3)pp 367-371.

Calculations:
Mean blood volume x Average weight x weekly volume removed = Maximum volume for single sampling

Examples: Gerbil: 67 ml/kg x 0.050 kg x .075 = 0.25 ml in a single sample with 7 day recovery
Goat: 70 ml/kg x 40.0 kg x 0.10 = 280.0 ml in a single sample with 14 day recovery
Dog: 86 ml/kg x 10.0 kg x 0.15 = 129.0 ml in a single sample with a 30 day recovery

[+] Calculated amounts may have been rounded to the most convenient withdrawal volume
[+]Rats and mice are used as comparable species for similar exotic or wild rodents

Figure 4-2 Maximum Volume for Single Sampling for Various Species (page 2 of 2)

Dogs and Cats in Residence Inspection

Inspecting dogs and/or cats that are being kept and/or bred inside the licensee or applicant's home can be challenging. Many of the standards used during routine kennel inspections are not applicable. It is important that the inspector take the overall conditions into account in making a determination and always contact a supervisor if there are questions.

- All regulated dogs and cats **must** be officially identified and listed on the appropriate animal inventory form.
- Do **not** enter or stay in a residence unless you are sure you are safe.
- Do **not** intrude into areas of the home which are not critical to evaluating the conditions for the regulated dogs or cats.
- Do **not** open cabinets, refrigerators, drawers, or doors unless you have the expressed permission of the owner and the contents are directly related to the care of the dogs or cats.
- Do **not** refer to the facility as a "house", "home", or "residence" on an inspection report. Use the term "facility", or some other mutually agreeable term such as "small dog area" or "retired breeder housing area."
- Do **not** use the impervious surfaces standards under sections 3.2(d), 3.26(d), or 3.51(d), unless there is a designated housing or whelping area inside the home. For example, a bathroom used for whelping should have surfaces that can be sanitized but that applies to the bathroom area only. A living room where dogs hang out and watch television cannot be required to have surfaces that are impervious to moisture.
- Focus on the health of the animals and any direct hazards to their health or safety, particularly in areas not dedicated to housing animals. For example, in the living room, you would be looking at the health of the animals and such potential hazards as access to electric wires, bleach, choking or ingestion hazards, or significant waste disposal issues.
- Occasionally, a mudroom, laundry room, enclosed porch, or bathroom is used as a designated whelping or housing area. When animals are present, these areas **must** provide adequate temperature and ventilation and be easily cleaned and sanitized for the health of the animals.
- Wear clean boots or shoe covers to enter the premises. Do **not** use the same boots or shoe covers in which you inspected any other kennel buildings.
- When photographs are required, be extremely careful to only photograph what is necessary to document the noncompliance. Be sensitive to the fact that taking a large number of photographs in someone's house or

photographing personal belongings may add stress to the inspection process. Take the minimum number of photographs needed.

It is important to be sensitive to the fact that this is the licensee's or applicant's home, and act accordingly. There is no limit under the AWA on the number of pets that a person can have in their house. We know from experience that a large number of dogs or cats housed in a residence can create unhealthy conditions. If you encounter an unusually large number of dogs or cats in a residence, or have concerns about general conditions in a residence, postpone the completion of the inspection and contact your supervisor.

Drive-through Zoo Inspection

A zoo or animal park which allows people to drive through, either in their own vehicles or a zoo/park vehicle, **must** meet all applicable regulations and standards.

Conducting the Inspection

When inspecting a drive-through zoo (or park), some recommended items to evaluate include, but are not limited to:

- Access of shelter to all the animals
- Availability of potable water
- Capture methods if veterinary care is needed
- Compatibility of the animals in an area
- Control of feeding of the animals by the public, such as:
  - Action taken if finding people feeding animals or feeding inappropriate food
  - Appearance of the animals, i.e., too thin or too fat
  - Measures for stopping people from bringing in food for the animals
  - Measures to prevent people from feeding animals, if **not** allowed
  - Monitoring animals for adequate food intake
- Death loss, especially among young animals
- Management of the males to prevent fighting during rutting season
- Measures to protect the safety of the public and animals, such as
  - Caution signs reading:
    - Do not get out of car
    - Do not put fingers in cages
  - Monitoring of the zoo/park by employees during their regular duties

- Monitoring of areas **not** readily visible to attendants
- Patrol of zoo/park by attendants
- Posting or distribution of the safety rules
- Speed bumps
- Video monitoring

- Monitoring of large areas of natural habitat for hazards, such as flooding or deep mud which animals could get mired in
- Monitoring of the animal's health and well-being, including meeting the veterinary care daily observation requirement
- Number of employees to patrol the zoo/park
- Off-exhibit areas, if any
- Procedure in the event of an animal escape or attack
- Proper nutrition for carnivores
- Routine veterinary care, such as vaccinations and worming
- Shelter, either artificial or natural, for the zoo/park's climatic conditions
- Size of shelter for the number of animals
- Training of the employees

Suggested topics to discuss with the exhibitor, which may or may **not** be regulatory requirements, include:

- Emergency procedures for:
  - Attacks
  - Escapes
  - Natural disasters
- Enrichment for animals **other than** nonhuman primate, such as:
  - Elevated surfaces for cats
  - Pools for tigers and bears
- Provision and visibility of water for the animals (public perception vs. AWA standards)

Inactive Research Facility Inspection

Inspect a research facility officially designated "inactive."

Inactive Status

A research facility may request to be placed in an inactive status if the research facility has:

- Made a written request to the Regional Director for the State in which it is registered, and
- **Not** used, handled, or transported regulated animals for a period of at least 2 years

An inactive research facility **must**:

- 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

Inspection Frequency

Inspect an inactive research facility once per year.

However, if you are **unable** to inspect an inactive research facility due to time or other constraints, discuss this with your SACS.

Inspection Procedures

You, the inspector, should:

- Physically inspect the research facility, and
- Complete an inspection report

If there are **no** covered species present and **no** covered research being conducted at the research facility at the time of your inspection:

- Document on the inspection report, "**No** regulated activities."
- Encourage the research facility to cancel its registration.
- Ensure that the research facility has an IACUC in place.

NOTICE

The IACUC is **not** required to meet **nor** perform the semi-annual animal facility and program reviews.

- 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 they are **not** being used for a covered activity at the time of your inspection:

- Document on the inspection report, "**No** regulated activities."
- Ensure 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 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

Lion and Tiger Enclosure Heights and Kick-Ins Inspection

This document provides guidance for assessing the height of lion and tiger enclosures (this includes liger enclosures) under commonly found circumstances at stationary facilities for purposes of primary containment. It does not provide guidance for assessing the structural integrity or other factors related to housing facilities.

This guidance is a distillation of a well-established interpretation of the AWA regulations and standards. Section 3.125(a) provides that indoor and outdoor housing facilities must be structurally sound and maintained in good repair to protect the animals from injury and to contain the animals. For lions and tigers and many other animals, this primary containment system must be backed up by a secondary containment system (a perimeter fence) in most outdoor housing facilities to further ensure the safety and well-being of the animals.

The following guidelines are to be used by all inspectors and compliance specialists to assure uniform implementation. These guidelines are based on Animal Care's experience of more than 40 years with inspecting licensees and registrants that house potentially dangerous animals, like lions and tigers, and recent events that highlight instances where animals have escaped, as well as specific species' and animals' capabilities.

Despite our best evaluation of what will contain an animal, there may still be an escape. If an animal escapes from an enclosure, that enclosure will have to be modified to be considered to be in compliance, regardless of the previous determination.

Complete a checklist in ACIS documenting the safety of lion and tiger enclosures for each facility with lions and tigers. All citations must refer back to the language of the regulations; **there are no engineering standards**.

Fencing recommendations regarding the fence height and enhancing structural components like kick-ins and high-tensile electric wire appropriate for the species will be divided into three categories:

- Under Review on page 4-27
- Compliant Requiring No Further Action on page 4-28
- Noncompliant Prompting a Citation on page 4-28

Under Review

This category should be evaluated first to determine if there are any special circumstances associated with animals and/or enclosures that would prevent an enclosure from being considered as "Compliant Requiring No Further Action" or "Non-compliant Prompting a Citation." Some examples of circumstances that would prompt placing an enclosure in the "Under Review" category are listed below (NOTE: this is not an all-inclusive list). For these enclosures, photos and measurements should be submitted to the Big Cat Field Specialist and SACS for review through the use of the "Checklist for Documenting the Safety of Lion and Tiger Enclosures Fencing Height" sheet in ACIS. The Big Cat Field Specialist and SACS will work together to develop a recommendation. If there are no special circumstances, then the enclosure should be assessed to determine if it is "Compliant Requiring No Further Action" or "Non-compliant Prompting a Citation."

Do not cite or note enclosures that are under review on an inspection report.

Examples of enclosures that an inspector could send for review include:

- Enclosure fence 14 feet in height with a kick-in of 2 feet
- Fencing a minimum of 12 feet in height with a species-appropriate high-tensile, smooth electric wire
- An enclosure fence 14 feet in height with a line of electric wire along the top
- An enclosure fence of 12 feet in height with a 2 foot kick-in and an impregnable perimeter fence at a facility the public does not visit
- An enclosure fence of 10 feet with 3 feet or greater kick-ins where animals have lived without incident for over 4 years
- An enclosure containing a lion and tiger that has physical limitations (old/fat/disabled/blind) that may be adequately contained in an enclosure that does not meet the guidance for clearly compliant enclosures
- An enclosure with trees or enclosure furniture that may be too close to the fence

The inspector should consult with the licensee on an appropriate identifier for each enclosure. The identifier may be the: name of the animal in the enclosure; location of the enclosure on the premises; enclosure number, etc. This identifier will be used with the corresponding photos in completing the "Checklist for Documenting the Safety of Lion and Tiger Enclosures Fencing Height" sheet in ACIS and in the subsequent letter from the regional office.

Compliant Requiring No Further Action

Some structures would be considered compliant for meeting the performance-based standards of §3.125(a) absent special circumstances, based on the known physical and behavioral characteristics of Lion and Tiger species and the configuration of the enclosure. Some examples of structures include but are not limited to:

- Fencing a minimum of 12 feet in height with a 3 foot angled kick-in
- Fencing a minimum of 16 feet in height
- Fencing 8 feet in height with a completely covered top (Note: All enclosures with a completely covered top must allow for normal and typical behaviors and postures.)
- A dry moat that is 25 feet wide or greater and at least 16 feet deep if both sides are at the same level and there are no deterrents at either side
- A moat that is at least 20 feet wide if the exhibit side is at least 5 feet or more lower than the public side
- A wet moat that is at least 20 feet wide with water at least 5 feet deep at all times with another 5 foot wall extending beyond the water level

Noncompliant Prompting a Citation

An example of a noncompliant prompting a citation is enclosure fencing that is insufficient to contain the animals housed within.

Completing the Checklist

The inspector will be prompted to review and document the status of the lion/tiger enclosures before finalizing in ACIS your initial inspection on facilities that list lions and/or tigers in the inventory. The three possible responses are:

- All species specific enclosures are in compliance.
  - This completes the checklist and you are taken to the report to review and finalize.
- All species specific enclosures are not in compliance, no help needed.
  - Use this option if there is a combination of compliant and noncompliant enclosures.

- This completes the checklist and you are taken to the report to review and finalize.

◆ One or more species specific enclosures are unsure and help is requested.

- Use this option if there is a combination of compliant and noncompliant enclosures in which one or more is unsure and help is needed.
- Complete the specialist review form where you will provide:
  - Location Name: Use the enclosure identifier determined by you and the licensee
  - Location Description: Describe the animals contained in the enclosure; the height of the fencing; the materials used for the fencing; the approximate dimensions of the enclosure
  - Location Comments: Add any comments or recommendations to the Big Cat Specialist/RO
- Link the photos of the enclosures you uploaded to the inspection report to each enclosure description. Photos must include:
  - Something that provides a reference for the scale of the fencing height; Be sure to get the entire fence from top to bottom in the photograph.
  - The kick-ins with a side view as much as safely possible.
  - Trees or cage furnishings that may be too close to the fence. Try to include two views from different sides.

Field Specialist Review

The big cat field specialist will enter into ACIS a written assessment of the suitability of the enclosure(s) to contain the animals being housed in them. The appropriate personnel will prepare the review response letter for the Regional Director or Assistant Regional Director signature. The review response letter will contain for each reviewed enclosure: the decision regarding each enclosure; a correction deadline, if necessary, and other relevant needed information. The letter will be mailed to the facility. A copy of the final letter will be maintained in the customer files in ACIS and a copy of the letter emailed to the SACS, inspector and the big cat field specialist.

Subsequent Inspections of Reviewed Enclosures

At the next inspection of a facility placed under review, you will receive a prompt to review and document the status of the enclosures that were not in compliance or were found to be compliant based on specific current conditions during the previous inspection. Additional review of the enclosure is dependent on the following criteria:

- Enclosures found not in compliance, current status?
  - In compliance: You will receive no further prompts on subsequent inspections
  - Time still remaining: You will be asked to review the enclosure at the next inspection.
  - If not in compliance, select the applicable NCIs for this enclosure.
- Enclosures found not in compliance based on specific current conditions: are these conditions still true for these enclosures?
  - If the conditions are still true, you will continue to finalize the report and will be asked to review the enclosure at the next inspection.
  - If the enclosure is in compliance now, the process ends and you will receive no further prompts on subsequent inspections.
  - If not in compliance, you will be asked to select the appropriate NCIs on the inspection report citing this enclosure's noncompliance.

Pet Store Inspection

A pet store licensed as a dealer or exhibitor **must** meet all applicable regulations and standards.

Criteria

If a pet store is licensed, all regulated animals in the pet store or under the control of the licensee **must** be inspected.

Regulated animals commonly encountered in a pet store include, but are **not** limited to:

- Traditional pet types, such as:
  - Cat
  - Chinchilla
  - Dog
  - Ferret
  - Gerbil
  - Guinea pig
  - Hamster
  - Rabbit
- Wild/exotic animals or pocket pets, such as:
  - Chipmunk
  - Degu

- Duprasi
- Flying squirrel
- Hedgehog
- Jerboa
- Naked mole rat
- Nonhuman Primate (usually for exhibit)
- Opossum
- Skunk
- Spiny mice
- Sugar glider

Record Requirements

A "Record of Acquisition" is required for all regulated animals acquired by the pet store.

- Information in 2.75(a) is required, but use of APHIS Form 7005–Record of Acquisition of Dogs and Cats on Hand on page A-15 is optional
- Information in 2.75(b) is required, but use of APHIS Form 7020–Record of Acquisition, Disposition or Transport of Animals (Other Than Dogs and Cats) on page A-29 or APHIS Form 7020A-Continuation Sheet for Record of Acquisition, Disposition, or Transport of Animals (Other than Dogs and Cats) on page A-27 is optional
- If animals are found to have been "dropped off" by unknown person(s) at a licensed pet store, the licensed pet store has the option of taking the animals in and selling them retail. In such cases, the licensed pet store would be required to document the available acquisition information.

A "Record of Disposition" is required **only** for the animals that were the basis for licensing, such as wild/exotic pocket pets, raccoons, primates, etc.

- Use APHIS Form 7020–Record of Acquisition, Disposition or Transport of Animals (Other Than Dogs and Cats) on page A-29 or APHIS Form 7020A-Continuation Sheet for Record of Acquisition, Disposition, or Transport of Animals (Other than Dogs and Cats) on page A-27

Exemption

Pet stores are **not** required to have official USDA identification on dogs and cats.

Petting Zoo Inspection

A Class C exhibitor and a Class B dealer who operate a petting zoo as a minor part of his/her business **must** meet all applicable regulations and standards.

Inspection Procedures

Handling

Closely observe the handling of the animals when inspecting a petting zoo.

Proper handling of the animals includes, but is **not** limited to:

- Animals are exhibited **only** for a period of time and under conditions consistent with their good health and well-being
- Dangerous animals, such as lion, tiger, or bear cubs **must** be:
  - Separated from the public by a barrier, and
  - Under the direct control and supervision of a knowledgeable and experienced handler
- During periods of public contact, an employee or attendant is present at all times. This employee/attendant **must** be:
  - Knowledgeable
  - Readily identifiable
  - Responsible
- If public feeding is allowed, food **must** be:
  - Appropriate for the animal's nutritional needs and diet
  - Appropriate to the type of animal
  - Provided by the animal facility
- There are adequate public barriers, when appropriate
- There is minimal risk of harm to the animals and the public

Public Contact

If young or immature animals are being exhibited, they may **not** be:

- Exhibited for periods of time that would be detrimental to their health and well-being
- Exposed to rough or excessive public handling

Drugs may **not** be used to facilitate, allow, or provide for public handling of the animals.

Miscellaneous

Other items to evaluate include, but are **not** limited to:

- Animal areas where the public is **not** allowed
- Cleanliness and sanitation of the enclosures
- Compatibility of the animals in an enclosure
- Condition of the animals
- Enclosure fencing to protect the animals
- Measures being taken to prevent disease transmission to the public

NOTICE

You should recommend that the exhibitor or dealer follow the CDC Guidelines for protecting the public against enteric pathogens, if he/she is **not** already doing so. Click here for the CDC guideline.

- Method(s) for allowing animals time away from public contact, such as:
  - Large enclosures
  - Solid walls on outside of enclosures
- Method(s) for allowing animals time away from view of the public, such as:
  - Barns
  - Burrows or dens
  - Curtained off areas
- Public feed dispensers. Inspect for:
  - Accumulation of old food or feed debris, especially at the bottom of the dispenser
  - Cleanliness
- Security measures if animals left overnight
- Shelter and shade for environmental conditions
- Vehicles used to transport the animals
- Water availability for the environmental conditions

Remember the following housing restrictions:

- Guinea pigs may **not** be housed in outdoor facilities, unless prior approval has been obtained from the Regional Director
- Hamsters may **not** be housed in outdoor facilities

- Rabbits may **not** be housed in the same primary enclosure with any other species, unless prior approval has been obtained from the Regional Director

Traveling Petting Zoo Itinerary

At least 48 hours prior to overnight movement, Regional Office must receive a document identifying the information required below. This means, that if USPS is used, the document must be mailed sufficiently far in advance to arrive at the Regional Office by the deadline. There is no penalty for notifying the Regional Office any time in advance.

Itinerary information is required for all regulated animals that are away from the home site at least overnight for the purpose of exhibition. This does not include animals transported to a veterinary facility for treatment or evaluation; this does not apply to breeding loans or animals relocated during renovations, nor does it apply to animals that are taken home overnight for extensive husbandry care (such as attendants taking very young animals home for overnight feedings and monitoring.)

The following information must be included in the itinerary document submitted to the Regional Office:

Exhibitor information:

1. Name of licensee
   A. Name of person exhibiting
   B. Business name of licensee
   C. USDA AWA license/registration number
2. Name of owner of animal (for leased, borrowed, loaned, etc. animal)

Animal information:

1. Name of animal
2. Identification number of animal or identifying characteristic
3. Species of animal (scientific name or common name)
4. Sex and age of animal

Exhibition and transport information:

1. Name of transporter
2. Name of exhibition location
3. Dates at the exhibition location
4. Name, date, location (address, directions, GPS location, etc.) of all stops and layovers where animals are removed from transport vehicle or crates

If the exhibitor's plans change:

- They may contact the Regional Office to amend their itinerary.
  - If not by email or fax (telephone for example), the change in plans must be followed by written notification as soon as possible.
  - If there is an emergency change after USDA business hours (weekdays, 0800 to 1700), notify the Regional Office by the next business day.

Determine Compliance with the Itinerary Requirements

The Regional Offices (RO) will notify all TRA exhibitors of the requirements. Refer to Table 4-2 for actions to take on itinerary and traveling status.

Table 4-2 Traveling Petting Zoo Itinerary Guidance

Itinerary Status:	Is the exhibitor traveling?	Then:
Received and accurate	→	The exhibitor is in compliance
Received but incomplete	→	The exhibitor is **not** in compliance. The RO will contact the exhibitor to acquire the additional information. If additional information is **not** received, AC will follow the process for "No Itinerary and Traveling"
Received but incorrect	→	The exhibitor is **not** in compliance CITE the licensee for attempted inspection and failure to have an accurate itinerary on file.

Table 4-2 Traveling Petting Zoo Itinerary Guidance

Itinerary Status:	Is the exhibitor traveling?	Then:
None received	Not traveling	The exhibitor is in compliance
	Traveling	AC may confirm that they are traveling: ◆ If a public compliant is received ◆ By conducting an internet search of their exhibitions ◆ By conducting an attempted inspection at the home site ◆ Through direct contact by the home inspector The RO will send a second written request for the itinerary. If the itinerary is still not received and the location of the licensee is unknown, then an AC inspector will go to the home site, inspect, and educate the licensee on the itinerary rule. If the licensee is not home, the AC inspector will CITE for an attempted inspection and failure to have an itinerary on file. If AC knows the whereabouts of the licensee, then: ◆ An AC inspector will go to the TRA site ◆ Conduct an inspection, and ◆ CITE the licensee for failure to have an itinerary on file

Photo Shoot Inspection

Anyone providing or using regulated animals for photo shoots **must** be licensed and meet all the applicable regulations and standards.

NOTICE

Photos of free-living wild animals is an exempt activity.

Types of Photo Shoots

Types of photo shoots include, but are **not** limited to:

- Animal actors/movie animals
- Animals released into a natural setting for the photo
- Holiday photos with lambs or rabbits

NOTICE

Pictures of people with their pets are exempt.

- Photos for advertising

- Photos for calendars
- Photos for magazines
- Photos with people petting or sitting with wild/exotic animals

Conducting the Inspection

When inspecting a photo shoot, recommended items to evaluate include, but are **not** limited to:

- Age of dangerous animals being used for public contact photos
- Availability of potable water
- Availability of veterinary care, if needed
- Housing of the animal(s) when **not** being used for the photo shoot
- Measures to protect the safety of the public and the animal(s)
- Number of employees available to control the animal(s)
- Off-exhibit area, if any
- Procedure in the event of an animal escape or attack
- Public barriers, especially for animals **not** currently being used for photos
- Rest periods for the animals
- Restraint methods for the age and size of the animal(s)
- Safety measures for the movement of the animal from the enclosure to the photo shoot and back

NOTICE

Drugs may **not** be used to control the animals.

- Safety measures if **no** perimeter fence
- Training and handling experience of the employees
- Transport of the animal to and from the photo shoot

Random Source Dog and Cat Dealer Inspection

Only a Class B dealer may acquire random source dogs and cats for resale.

Definition

The definition of “random source” is dogs and cats that have been obtained from animals pounds or shelters, auction sales, or from any person who did **not** breed and raise them on his/her premises.

Acceptable Procurement Sources

A Class B dealer may obtain live random source dogs and cats **only** from the following sources:

- Humane groups and contract pounds organized as legal entities under the laws of their State
- Other USDA licensed dealers
- State, county, or city owned and operated animal pounds or shelters

A Class B dealer may obtain non-random source dogs and cats from persons who have bred and raised the animals on their own premises.

Unacceptable Procurement Sources

A Class B dealer may **not** obtain dogs and cats:

- By use of false pretenses, misrepresentation, or deception
- From a person who did not breed and raise the animal on his/her premises

Holding Period for Pounds, Shelters, and Research Facilities

Random source dogs/cats **must** be held for a period of **not** less than five full days, including a Saturday, but **not** including the day of an acquisition and transit time, by the following entities:

- Pound/shelter owned and operated by a State, county, or city
- Privately owned pound/shelter, such as a humane society, that is under contract with a State, county, or city
- Research facility licensed as a dealer

Table 4-3 Holding Period for Dogs and Cats Held by Random Source Class B Dealers

If the source is:	And the age of the dog/cat is:	Then the holding period is:
A private pound, contract pound, or shelter	Any age	Ten full days, **not** including the day of acquisition and the time in transit
A State, city, or county operated pound or shelter	Any age	Five full days, **not** including the day of acquisition and the time in transit
A private individual who bred and raised the dog/cat on his/her premises	≤ 120 days	24 hours, **not** including the time in transit
A private individual who bred and raised the dog/cat on his/her premises	> 120 days	Five full days, **not** including the day of acquisition and the time in transit

Table 4-3 Holding Period for Dogs and Cats Held by Random Source Class B Dealers

If the source is:	And the age of the dog/cat is:	Then the holding period is:
Another USDA licensed dealer or exhibitor who has already held the dog/cat for the required holding period	Any age	24 hours, **not** including the time in transit
Another USDA licensed dealer or exhibitor who has **not** held the dog/cat for the required holding period	Any age	Five full days, **not** including the day of acquisition and the time in transit

Records

Records of all dogs and cats **must** contain the following information:

- A description of each animal, including:
  - Color and any distinctive markings
  - Date of birth or approximate age
  - Sex
  - Species and breed or type
  - USDA tag number
- Date animal was acquired
- Date animal was disposed of, including euthanasia
- Name and complete address of the seller, buyer, or person to whom the animal is given
- USDA license or registration number if buyer/seller/donee is USDA licensed or registered
- Vehicle license number, driver's license number, and State of issuance of each, if seller/buyer/donee is **not** USDA licensed or registered

Complete and maintain records on APHIS Form 7005–Record of Acquisition of Dogs and Cats on Hand on page A-15 and APHIS Form 7006–Record of Disposition of Dogs and Cats on page A-17.

Exception

A dealer who uses a computerized record keeping system may request a variance from the requirement to use the APHIS Forms 7005 and 7006.

The variance request **must**:

- Be in writing
- Explain why the APHIS Form 7005/7006 is unsuitable to use

- Contain a description and sample of the computerized record keeping system to be used
- Be sent to the appropriate Animal Care Regional Office

If the variance is denied, the dealer may request a hearing for the purpose of showing why the variance should **not** be denied.

The denial of the variance remains in effect until the final legal decision is rendered.

Records Holding Period

Hold records for inspection for 1 year after the animal is disposed of or euthanized.

Keep records for more than 1 year if:

- APHIS Administrator notifies the dealer in writing that specified records **must** be retained pending completion of an investigation
- Necessary to comply with any applicable Federal, State, or local law

Tracebacks

Conduct tracebacks following every inspection of a random source Class B dealer. Refer to Animal Care Traceback Worksheet on page A-53 for an example of the traceback worksheet.

Standard Operating Procedures for Conducting Tracebacks from Random Source B Dealers (July 31, 2009)

A random source B Dealer (RSBD) is a licensed dealer holding a class B license who buys and sells random source dogs and cats. Random source animals are defined in the Animal Welfare regulations as “dogs and cats obtained from animal pounds or shelters, auction sales, or from any person who did not breed and raise them on his or her premises.” These animals are generally sold for research purposes. While the term “random source” applies to both dogs and cats, dogs are the animal primarily involved in this type of activity.

Under the RBIS system, RSBDs are inspected more frequently than other dealers because of the nature of their business. One reason for more frequent inspections is to ensure that the dogs and cats at the RSBD’s facility were acquired in accordance with regulations. The legitimacy of the acquisition of these dogs and cats is assured by conducting tracebacks on a sampling of the dogs and cats acquired within the time period since the last inspection. A major purpose of the traceback is to determine if a dog or cat was obtained from a legitimate source. A RSBD who acquires random source dogs and cats from prohibited sources is subject to enforcement action.

NOTICE

The term “dog” as used throughout this document refers to random source dogs. However, all situations described for dogs also apply to random source cats, since cats may also be involved in random source sales and acquisitions.

The term ‘pound” as used in this document refers to any pound or shelter that is owned and operated by a State, county, or city, as well as any legal entity operating as a contract pound or humane shelter under the laws of the State in which it is located. See Section 2.31(a)(2&3) of the regulations.

Inspecting a RSBD

Inspection Frequency for a RSBD

RBIS requires that all RSBDs be inspected **no** less than quarterly. In practice, this means that inspections of RSBD facilities **must** be conducted **no** more than 90 days apart.

Sources for Random Source Dogs

Section 2.132(a) of the regulations limits the acquisition of random source dogs by class B dealers to the following sources:

1. Another licensed dealer,
2. State, county, or city owned and operated pounds and shelters,
3. Contract pounds or shelters.

Acquiring dogs or cats from sources **other than** those listed above is noncompliant with regulations and the RSBD may be subject to enforcement action.

If someone, such as a hound breeder, sells dogs that he or she has bred and raised to a RSBD, those dogs are **not** random source dogs when they are purchased, since they do **not** meet that definition until the RSBD resells them. The RSBD would be noncompliant with Section 2.132(d) however, if he buys 25 or more dogs within a year from an unlicensed breeder, since that breeder would **no** longer be exempt from the licensing requirement. Section 2.132(d) and Section 2.133 also contain certification requirements that the RSBD **must** comply with.

Examining RSBD Records

During an inspection, the inspector should determine that the acquisition and disposition records for an RSBD contain all the information required by Section 2.75(a). Acquisition records should include the physical address of the seller, **not** just a P.O. Box. Every dog acquired or sold by the RSBD **must** be accounted for and all required information on the seller **must** be included in the records. The RSBD should be cited for noncompliance on the inspection report if any of this information is missing.

If the RSBD has acquired dogs from a pound, the dealer **must** have acquired a signed statement from that pound certifying that the pound has met the holding requirements for that dog as required by Section 2.133(a) of the regulations. The RSBD **must** obtain such a statement for each dog acquired from a pound, though all dogs acquired at any one time may be placed on the same certification statement.

If the records show that an unlicensed person has sold 25 or more dogs and/or cats to the RSBD in a year, that person is **not** exempt from the licensing requirement. The name and address of this unlicensed dealer should be submitted to the Regional Office (RO) by the inspector, and the RO will determine the necessary course of action. If the RSBD acquired one or more dogs from an unlicensed person, but did **not** acquire the certifications required by Section 2.132(d), the RSBD should be cited for this on the inspection report.

Choosing Dogs for Traceback

Following every inspection of an RSBD facility, the inspector **must** conduct tracebacks on a sampling of the dogs acquired by the dealer during the time period since the last inspection. In general, dogs should be chosen for traceback on a random basis. However, all dogs whose acquisition appears suspicious should be traced back. Also, the dogs should **not** all be from the same seller, but dogs sold by different persons should be chosen whenever possible.

The number of tracebacks conducted will depend upon the circumstances.

- If four or fewer dogs were acquired in the quarter, conduct tracebacks on each of those dogs.
- If between 5 and 100 dogs were acquired in the quarter, conduct tracebacks on at least 4 dogs, or 10 percent of all the dogs acquired during that period, whichever is greater.
- The maximum number of tracebacks to conduct under normal circumstances is 10. So if more than 100 dogs were acquired in the quarter, the inspector would still **only** conduct 10 tracebacks.

In some instances, the traceback of 100 percent of the acquired dogs may be required. This will be determined by the RO, and the inspector will receive specific instructions via their supervisor.

SAFETY

Most of the sellers you will be checking on are **not** accustomed to visits by APHIS, and some may resent the imposition of the Federal Government into any area of their life.

If you believe you **cannot** safely conduct a traceback, contact your SACS. With your SACS, a determination can be made whether a second inspector should accompany you to the seller's address, or whether you should attempt to conduct the traceback by telephone **only**. You should **not** place yourself in an unsafe situation.

If you determine that you should conduct the traceback by telephone, enter a brief statement into the "Comments" section of the traceback form explaining that the traceback was conducted (or attempted) by telephone due to employee safety concerns. If you are unable to contact the seller by telephone, the traceback should be documented as "unsuccessful."

Every attempt must be made to trace the dogs to the person who originally sold it. When practical, most tracebacks should be conducted by visiting the seller listed on the RSBD records. However, tracebacks can be conducted by telephone under the following circumstances:

- The seller is a licensed dealer.
- The seller is a person who is known to the inspector, such as a dog breeder that the inspector recognizes from a previous traceback.
- The seller is a pound.

Copies of all tracebacks to be conducted **must** be sent to the RO along with the inspection report on the RSBD. Inspectors should conduct all tracebacks for seller located in their inspection areas. If a traceback leads to an address outside of the inspector's area, the inspector **must** send the traceback form indicating an incomplete traceback to the RO. The RO will then forward this information to the appropriate inspector in whose area the seller is located. In those instances where a seller is in another Region, the RO will send the information to that Region, and information on the traceback will be recorded in the RO in order to follow up on the traceback.

When conducting a traceback, the inspector should ask the seller open-ended questions so as **not** to indicate the answers that are being sought. For example, the inspector should ask: "Where did you obtain this dog?" rather than asking, "Did you breed and raise this dog yourself?"

Obtain the following information from the seller:

1. Did the person listed on the records as the seller actually sell the dog or cat?
2. If that person verifies being the seller, did he or she breed and raise the dog themselves?
3. If the seller says they bred and raised the dog, is there evidence of a kennel on the premises? If **not**, where did the seller raise the dog?
4. Did the seller provide the required certifications to the RSBD?
5. If the seller did **not** breed or raise the dog, where did they get the animal?

If the seller is a **private individual**, the above information **must** be collected and recorded on the traceback form.

If the seller is another **licensed dealer**, the second dealer's records should be examined to verify the sale to the RSBD. If the second dealer is also a RSBD, a traceback now needs to be conducted for this seller listed on this RSBD's records. This information **must** also be recorded on the traceback form.

If the seller is a **pound**, the inspector **must** either call or visit the pound and confirm the sale of the dog. The inspector should also confirm that the certification statement provided to the RSBD for that dog is accurate.

If, while conducting a traceback, the inspector is unable to verify the sale of the dog, e.g., the person listed as the seller did **not** sell the dog, or the address of the seller listed on the records does **not** exist, this information should be included on the traceback form, and the traceback should be listed as unsuccessful.

All tracebacks **must** be completed within 30 days of the inspection of the RSBD, or for referred tracebacks, within 30 days of the time the traceback request is received. The inspector **must** notify his or her SACS if all the tracebacks **cannot** be completed in that time.

The Traceback Form

A separate traceback form **must** be completed by the inspector for each dog or cat that the inspector chooses to have traced. The form must be filled out electronically.

The inspector **must** assign a traceback number to each traceback form, unless otherwise instructed. The traceback number begins with the RSBD's customer number, which is followed by another number assigned in sequential order.

EXAMPLE If the RSBD has customer number 9999, the inspector would assign traceback number 9999-1 for the very first traceback, followed by 9999-2, then 9999-3, etc., in sequence, for each subsequent traceback.

NOTICE

When conducting a 100 percent traceback, the inspector may include on a single traceback form all the dogs sold to the RSBD by one supplier. When doing this, each dogs' ID number **must** be entered, and a sequence of traceback numbers, one for each dog, **must** be included on the form. For example, if a supplier sold 10 dogs to the RSBD, the traceback numbers on the form would run from 9999-1 to 9999-10. The dog ID numbers would be listed as 4263-4272, if sequential. If **not** sequential, each individual dog number should be entered.

The inspector conducting the traceback **must** indicate on the traceback form whether the traceback was successful or unsuccessful.

A successful traceback can be one of the following:

- The seller has confirmed that he sold the dog and that he has bred and raised the dog on his premises. Some confirmation of the seller having actually bred the dog should also be made, e.g., there is a kennel on the premises.
- The seller is a pound and has confirmed the sale.

An unsuccessful traceback can be one of the following:

- The address listed for the seller does **not** exist, the seller's name is fictitious, or the seller is **not** at that address.
- The dog was **not** bred and raised by the seller.
- The seller listed on the records claims he did **not** sell the dog.

The inspector should also indicate in the Comments section how the traceback was conducted, i.e., by phone or visit, and include a brief description of the results of the traceback, i.e., "Mr. Jones told me he did **not** breed and raise the dog, but got it from a local pound." The RO will typically request an investigation by IES for unsuccessful tracebacks.

If the inspector is unable to contact the seller and the traceback **cannot** be completed, the traceback should be listed as unsuccessful, and the inspector should note this in the Comments section on the traceback form and submit it to the RO. The RO will research and check accuracy of the information and consult with the SACS and inspector before determining what course of action to take.

When a traceback is unsuccessful, the RSBD's inspector may need to write an additional inspection report on the RSBD, citing the RSBD for noncompliance with Section 2.132(d) for acquiring the dog or cat from an unlicensed and nonexempt source, and/or citing Section 2.133 for failure to provide the recipient(s) with the appropriate certification. The inspector should contact their SACS to determine if another inspection report with the citation should be written.

Special Circumstances

A random source Class B dealer who operates a private or contract pound or shelter **must** comply with the following:

- Facility
  - Pound/shelter/animal housing facility must **not** be adjacent to the licensed facility, i.e., no common walls, and
  - Pound/shelter **must** be physically separated from the licensed facility
- Records
  - Maintain accurate and complete records separately in accordance with Sections 2.75 and 2.76, unless the animals are lost or stray
  - Provide the following information for lost or stray animals:
    - An accurate description of the animal
    - How, where, when, and from whom the animal was obtained
- Transferring the dog/cat to the "B" dealer:
  - Hold the animal for 10 full days, **not** including the day of acquisition and time in transit
  - The animal record **must** contain all the information listed above, including:
    - How long the animal had been at the pound/shelter before transfer to the dealer's licensed facility, and
    - The date the animal was transferred to the dealer's licensed facility

Certification

A dealer **must** provide the recipient of a random source dog and/or cat certification that contains all the information required by the regulations.

Certification for a random source dog/cat **must** contain the following information:

- Name, complete address, USDA license number, and signature of the dealer

- Name, complete address, USDA license or registration number, if applicable, and signature of the recipient
- A description of each animal which includes:
  - Color and any distinctive markings
  - Date of birth or approximate age
  - Official USDA-approved identification number
  - Sex
  - Species and breed or type (for mixed breeds, estimate the two dominant breeds/types).

NOTICE

If the description information is provided by a prior dealer and attached to the certification, then **only** the official ID number is required.

- Name and complete address of the person, pound, or shelter from which the animal was acquired
- An assurance that the person, pound, or shelter was notified that the animal might be used for research or educational purposes
- Date dealer acquired the dog/cat
- If dog/cat acquired from a pound, shelter, or research facility, a signed statement that the pound or shelter held the animal for the required five days. This statement **must**:
  - Describe the animal by its USDA ID number assigned by the dealer,
  - Be incorporated into the dealer certification at the time of acquisition, or
  - Be made separately and attached to the certification letter. If made separately, it **must** include a description of the animal as required in the certification. A photocopy is regarded as a duplicate original.

The original certification **must** accompany the shipment of any random source dog/cat.

A random Class B dealer who obtains a random source dog/cat from another random Class B dealer **must** obtain and attach the original certification to the certification which he/she provides to the recipient of the animal.

A random Class B dealer **must** keep, maintain, and make available for APHIS inspection, a copy of the certification for at least 1 year following disposition of the animal.

Research Facility Operating a Pound or Shelter

A research facility operating a pound or shelter **must** have separate premises and records for the two businesses.

Physically Separate Businesses

The pound or shelter **must** be physically separated from the research facility. This means:

- The two businesses **must not** be on the same premises, and
- The animal housing facility of the pound/shelter **must not** be adjacent to the research facility.

Records

The dog and cat records for the research facility **must** be maintained separately from the pound/shelter records.

For all dogs and cats, **except** lost or stray dogs, the pound or shelter **must** make, keep, and maintain the following records:

- A description of each animal
- Date dog/cat was acquired
- Date of birth or approximate age
- Disposal date
- Method of disposition, such as:
  - Death
  - Donation
  - Euthanasia
  - Sale
- Name and complete address of the buyer or person to whom the dog/cat was given is licensed or registered
- Name and complete address of the seller or donor, USDA license or registration number if seller/donor is USDA licensed or registered
- Official USDA tag number, tattoo, or microchip number, if applicable
- Vehicle license number, driver's license number, and State of issuance of each if seller/donor is **not** USDA licensed or registered
- 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

- The sex
- The species and breed or type

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:
  - Directions to the premises of the seller/donor
  - Official identification card number
  - Phone number

For lost or stray dogs/cats, the pound/shelter records **must** contain the following:

- An accurate description of the dog/cat
- Date the dog/cat was transferred to a dealer, if applicable
- From whom the dog/cat was obtained
- How long the dog/cat was held before being transferred to a dealer, if applicable
- How the dog/cat was obtained
- Where the dog/cat was found
- When the dog/cat was obtained

Search Inspection

A search is an investigation of anything relating to unlicensed activity.

Subjects of Searches

Subjects of searches include, but are **not** limited to:

- A non-registered research facility purchasing regulated animals
- Involuntarily terminated licensees or registrants (i.e., canceled due to non-renewal, suspended due to consent decisions and orders)

NOTICE

Conduct the search within 60 days of the termination of the license, if possible.

- Persons exhibiting regulated animals
- Persons using regulated animals for rides

- Previously identified violators

Use good judgment to decide when you have made a reasonable effort to verify unlicensed activities.

Examples of possible ways to verify unlicensed activity are:

- Checking dealer or broker records
- Checking newspaper ads
- Checking the Internet
- Communicating with other inspectors
- Making phone calls
- Visiting the facility

Sources of Information

Sources of information include, but are **not** limited to:

- Advertisements
- Animal protection groups
- Anonymous tips
- APHIS personnel
- City, county, or State agency
- General public
- Internet sites
- Newspaper/journal articles
- Other Federal agency
- State health certificates
- Whistle blower

Sources may provide information by the following methods:

- email
- Letters
- Personal contact
- Phone calls

NOTICE

The informant does **not** have to give his/her name. However, if the informant does give his/her name, do **not** give out the person's name 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 or 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:
  - U.S. Fish and Wildlife Service
  - NIH-OLAW
  - AAALAC
  - State wildlife agency
  - Local animal control
  - National, State, or local humane society
  - State animal welfare agency
- Take no further action.

If the information does involve a regulated activity or animal:

- Thank the informant for his/her interest in the welfare of animals.
- Complete the top portion of a Search sheet. (*See* USDA, APHIS, Animal Care Search for Unlicensed Activity Worksheet on page A-47)
- Determine if the information applies to a person in your territory.

If the information applies to a person, business, or research facility not in your territory:

- Tell the informant that the facility is **not** in your area, but that you will forward the information to the Regional Office for distribution to the appropriate inspector.
- Give the informant the Regional Office phone number for follow-up.
- Forward the Search sheet and any supplemental information (e.g., copies of records, invoices, sale bills) to your SACS or Regional Office.

If the information applies to a person in your territory, conduct a search.

Conducting the Search

Verify the information received by:

- Contacting the authorized representative
- Gathering additional information, such as:
  - Contacting witnesses
  - Assessing records
  - Newspaper or journal articles
  - Classified ads
  - Information off the Internet
  - Internet web site addresses

If regulated activities are **not** being conducted, then complete a Search sheet and submit your findings to your SACS or Regional Office.

If regulated activities are being conducted, then:

- Explain that the activity requires a USDA license or registration.
- Discuss with the authorized representative all the pertinent portions of the AWA and regulations and standards.
- Request a decision about the continuation of this activity.
- Decide whether or not to request permission to inspect the facility.

NOTICE

Situations where you may decide **not** to request permission to inspect include, but are **not** limited to:
– The person is **not** able to make a decision about obtaining a license at that time.
– The authorized representative is uncooperative and threatening.

- Give or have the Regional Office send an application packet to the authorized representative.
- If you give the person an application packet, let the Regional Office know.

Dealer or Exhibitor

If the authorized representative allows an inspection of the facility, complete an inspection report using the agency standard word processing application, unless you are able to have the Regional Office enter the person into ACIS, as follows:

- Classify the inspection as “Routine” if the person decides **not** to conduct further regulated activities.
- In the narrative:
  - Note that this was a “Search” inspection.
  - Document all noncompliant items – Do **not** include a correction date(s).

- ❖ Include a citation of Section 2.1(a)(1)–Conducting Regulated Activities Without a License, and describe the regulated activity.
- ❖ State the following at the end of the inspection report: "**No** regulated activities may be conducted until USDA license is obtained."

◆ Classify the inspection as "Prelicense Inspection #1" if the authorized representative decides to apply for a license, and follow procedures for a prelicense inspection (see Required Inspection Procedures).

- ❖ Include a citation of Section 2.1(a)(1)–Conducting Regulated Activities Without a License, and describe the regulated activity.

NOTICE

Have the applicant complete an APHIS Form 7003A–Application for New License on page A-11 and TIN form, and send the application fee to the appropriate Regional Office.

If, after the inspection, the authorized representative refuses to sign the inspection report, send the report to him/her by regular and certified, return receipt mail.

Research Facility

If the authorized representative allows an inspection of the facility, complete an inspection report using the agency standard word processing application, unless you are able to have the Regional Office enter the facility into ACIS, as follows:

◆ Classify the inspection as "Routine" if the research facility decides **not** to conduct further regulated activities.

◆ In the narrative:

- ❖ Note that this was a "Search" inspection.
- ❖ Document all noncompliant items–Do **not** include a correction date(s).
- ❖ 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 the authorized representative refuses to allow an inspection of the facility:

1. Inform the authorized representative that he/she or the research facility is noncompliant with the Animal Welfare Act by conducting a regulated activity **without** a license/registration.
2. Leave an application packet with the person, if possible.

3. Take photographs documenting the regulated activity, if you can do so safely.
4. Discuss how to proceed with your SACS.

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

1. Inform the authorized representative that he/she or the research facility is noncompliant with the Animal Welfare Act by conducting a regulated activity without a license/registration.
2. Give or have the Regional Office send an application packet, if applicable, to the authorized representative.
3. Take photographs documenting the regulated activity, if you can do so safely.
4. Discuss how to proceed with your SACS.

Post Search Procedures

After conducting a search, ALWAYS:

1. Complete a Search sheet.
2. Enter the word processing inspection report into ACIS.
3. Submit the Search sheet with the word processing and ACIS inspection reports and/or memo to your SACS or the Regional Office following standard procedures.
4. If an inspection was conducted:
   A. Submit the inspection reports, and
   B. Discuss with your SACS if an enforcement action would be appropriate.
5. For a refusal of inspection:
   A. Submit a memo describing the regulated activity being conducted and that an inspection was **not** permitted.
   B. Discuss with your SACS if an enforcement action would be appropriate.
6. If you decided **not** to conduct an inspection:
   A. Submit a memo describing the regulated activity being conducted and indicating the reason why you did **not** conduct an inspection.
   B. Discuss with your SACS if an enforcement action would be appropriate.
7. Submit any photos taken of the regulated activity.

If the inspection report was completed using the word processing inspection report template, then you should:

1. Contact an ILA at the Regional Office.
2. Provide the ILA with the following information:
   A. Person, business, or research facility's full name
   B. Complete business address
   C. Complete site address
   D. County, if known
   E. Business telephone number, including area code
3. Obtain the customer number, if available.
4. Replicate the ACIS database after you have been informed that the person/business/research facility has been entered into ACIS.
5. Enter the information exactly as it is on the word processing Inspection Report into the ACIS database.

NOTICE

Date of the actual inspection, date prepared, and date received should be the same as on the word processing 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 ACIS Inspection Report to the person/research facility by regular mail or email.
8. Attach a copy of the ACIS Inspection Report to the word processing report.
9. Submit the Inspection Reports following your standard procedure.

Follow-Up Procedure

If a person/business/research facility you contacted on a search was conducting a regulated activity and he/she has **not** applied for a license/registration within 30 days, revisit the facility to determine if a regulated activity is still being conducted.

If the person is **no** longer conducting a regulated activity:

1. Complete and send a Search sheet to the Regional Office, or
2. Send a memo to the Regional Office documenting your findings.

If the person/business/research facility is still conducting a regulated activity:

1. If safe and appropriate, remind the authorized representative that a USDA license is required to conduct this activity.
2. Document the regulated activity by either:

A. Conducting another inspection, if possible, or

NOTICE

Any noncompliances **not** corrected, including conducting regulated activities **without** a license, should be designated as "Repeat" noncompliances.

B. Completing another Search sheet, or

C. Writing a memo detailing your findings

3. Take photographs, if possible.
4. Discuss how to proceed with your SACS.

On the Road Inspection

If you find an unlicensed exhibitor on-the-road, inform the exhibitor that:

1. A USDA license is required for the activity he/she is conducting.
2. All applicable AWA regulations and standards **must** be met at all sites.
3. He/she **cannot** exhibit until licensed.

Obtain the following information from the exhibitor:

1. Location of the home base or permanent facility which he/she returns to between tours.

NOTICE

A traveling exhibitor **must** have a home base or permanent site in order to get a license.

2. Animals currently housed at the home base or permanent site.
3. Name of any other Animal Care inspectors that the exhibitor has been in contact with and the results of that contact.
4. Ways to contact the exhibitor while on-the-road.
5. An itinerary.

If the exhibitor refuses to give you any information:

- Get vehicle license tag number, if possible, to obtain follow-up information
- Try to get contact information and itinerary from the manager, if applicable

Licensing Process Started

If the exhibitor chooses to start the licensing process, perform a prelicense inspection. During the prelicense inspection, be sure to:

- Collect the application fee or have the exhibitor send to the Regional Office
- Discuss all records required by the regulations, such as:
  - Acquisition and disposition records
  - Dog Exercise Plan
  - Health certificates
  - Nonhuman Primate Environmental Enhancement Plan
  - Program of Veterinary Care
- Document all pertinent information discussed on the inspection report
- Follow the procedure outlined in Dealer or Exhibitor
- Have the exhibitor complete an application and TIN form
- Inform exhibitor that the home base/permanent site **must** be inspected and be in compliance before a license will be issued
- Obtain itinerary (*See* Submission of Itineraries on page A-73)
- Obtain on-the-road contact information
- Obtain location of home base/permanent base
- Use TRA as the Site designation

If noncompliances are identified during the prelicense inspection, be sure to:

- Determine with the exhibitor when and where the next inspection will be conducted.
- Inform the exhibitor that he/she **cannot** exhibit until a license is obtained.
- Inform the exhibitor that all noncompliances **must** be corrected prior to the next inspection.

Send the inspection report and all related paperwork with your weekly paperwork to the Regional Office.

If another prelicense inspection is required:

- Contact your SACS with this information
- Determine with your SACS who will contact the next inspector, if required

Licensing Process Not Started

If the exhibitor chooses **not** to start the licensing process:

- Inform the exhibitor that any further exhibition could result in an enforcement action

- Notify your SACS or Regional Office
- Obtain contact information and itinerary (if necessary, check with manager of venue)
- Reemphasize that he/she **cannot** legally exhibit without a USDA license

Home Base or Permanent Site

The exhibitor **must** have a home base or permanent facility.

If a home base or permanent facility has **not** yet been inspected, contact your SACS or Regional Office with the location and other pertinent information.

You should:

- Discuss the facilities available at this site
- Include the following or a similar statement on the Inspection Report: "All sites must be in compliance before a license will be issued."
- Inform the exhibitor that a license will not be issued until all sites are in compliance with the regulations and standards
- **Not** complete the prelicensing process. (Do **not** state on the Inspection Report that "Applicant meets all requirements to be licensed" or accept the license fee.)
- Obtain contact information for the inspector at the home base/permanent site
- Obtain the location of this facility

Final Prelicense Inspection

If another prelicense inspection is **not** required, i.e., **no** noncompliances were cited and the exhibitor's home base/permanent site has already passed inspection, then follow the standard procedure for completing the licensing process.

Traveling Exhibitor Inspection

Each inspector should develop a consistent method of conducting inspections of traveling exhibitors that ensures a thorough and accurate inspection.

General Information

Inspections of traveling exhibitors are different from inspections at the home facility. However, all of the applicable AWA regulations and standards **must** be met.

If you become aware that a traveling exhibitor is, or will be, performing in your territory:

- Check ACIS for the date and results of the last TRA inspection.
- Do **not** conduct an inspection if:
  - An inspection has been conducted within 90 days
  - The inspection had **no** noncompliances, and
  - There is no open complaint on the exhibitor
- If the traveling exhibitor was **not** inspected within 90 days and/or has a noncompliance, or there is an open complaint on the exhibitor, contact your SACS to determine if an inspection is needed.

NOTICE

Traveling exhibitors with elephants will be inspected by the Elephant Inspection Team at the travel site and at the home site.

Admission to the Venue

If the venue, e.g., theme park, State/county fair, Renaissance festival, or craft show has an admission gate:

1. Go to the admission gate.
2. Identify yourself in a professional manner.
3. State the purpose of your visit.

At most venues, you will **not** be required to pay admission. However, if an admission fee is requested ask to speak to someone in management.

If you need to pay admission charge the admission fee on your Purchase Visa (preferable), or pay cash/personal credit card (you will be reimbursed).

NOTICE

If you want to enter the venue to observe the exhibitor **without** him/her knowing your are there, pay the entrance fee in cash or personal credit card and you will be reimbursed.

Conducting the Inspection

Prior to the conducting the inspection:

- Contact the home inspector or the inspector who conducted the last TRA inspection if you have questions.
- Review prior inventories.
- Review several past inspections, including photos if available, in ACIS to determine the compliance history.

General Inspection Requirements

When inspecting a traveling exhibitor, some recommended items to evaluate/ observe include, but are not limited to:

- A performance/act
- Adequate shelter and shade for animals housed outdoors
- Availability and use of exercise areas
- Chained or tethered animals for restraints which are too tight. If you have concerns about an animal, ask to see the animal up close, if you can do so safely.
- Plans for veterinary care if an animal becomes sick or is injured on the road
- Enclosures for adequate space during travel and at the temporary location (see Policy #6)
- Feeding schedules

NOTICE

Food deprivation may **not** be used for training.

- Food preparation and storage areas
- Fresh meat if required, ask about:
  - Sources of the meat while on the road
  - Storage
  - Method(s) of thawing
- Handling of the animals before contacting the authorized representative
- Health and well-being of all the animals, such as:
  - Alertness and activity level
  - Behavior
  - Foot and hoof care
  - Normal appearance
  - Presence of wounds
  - Signs of abuse
- Loading and unloading of animals
- Qualifications and training of the animal handlers
- Records (see Records)
- Security measures to protect the animals and the public, such as:
  - Barrier fences or electric fences

- ❖ Night security
- ❖ Uniformed attendants

- ◆ Source and quality of the drinking water to make sure it is potable
- ◆ Sufficient number of employees to provide for the animal's care
- ◆ Transport vehicles (see Transport Vehicles)
- ◆ Veterinary care and vet records (Veterinary Care (see Policy #3))

For animals in transit, go to Animals in Transit.

⚠ CAUTION

Be alert and cautious around the animals. Remember that big cats spray, nonhuman primates spit and throw feces, and animals may be able to get their legs, paws/feet, trunk, etc. through the bars of their enclosures.

Dogs and Cats

If the dogs or cats live loose in the licensee's traveling home, such as a house trailer or camper:

- ◆ Ask how the dogs/cats are transported in the conveyance to ensure that the travel standards are being met.
- ◆ Check the room(s) that the dogs/cats live in to ensure that it meets all primary enclosure standards.

Other Animals

When inspecting other wild and exotic animals, ensure that:

- ◆ All animals in the enclosure are able to make normal postural adjustments (stand on all fours, turn around, and 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, have sufficient vertical space available to accommodate these postures
- ◆ Animals have adequate freedom of movement, which includes the ability to exercise
- ◆ The opportunity to exercise includes, but is **not** limited to, the release of the animal(s):
  - ❖ At least once a day for an appropriate length of time, unless otherwise justified
  - ❖ Into a secure exercise pen, ring, or corral, or
  - ❖ Into an area enclosed by an electric wire if monitored at all times, or

- Walked by a qualified handler, such as one trained for camels and domestic hoof stock

NOTICE

Periods of exercise should be in addition to regular performance and practice time. (see Policy #6 Space and Exercise Requirements for Traveling Exhibitors)

- The opportunity to exercise should be provided for animals whose on-the-road primary enclosures do **not** provide:
  - Adequate height for animals that occasionally exhibit vertical postures
  - Adequate space for sufficient freedom of movement
- The primary enclosures for other animals should have adequate space for each animal to express all non-injurious species-typical:
  - Behaviors
  - Grooming
  - Postures/movement
  - Social adjustments

Some information to remember when inspecting certain species:

- **Baboons and chimps** have sexual swellings that may resemble tumors.
- **Camels**:
  - When males become excited, they may blow up a sac-like extension of the soft palate into a red "balloon" which hangs out from the corner of their mouth.
  - Males in a "musth/rut" may:
    - Dribble urine
    - Drool, slobber, and froth at the mouth
    - Have rough/scaly hair coats
    - Lose a significant amount of weight
    - Make gurgling sounds
- **Flying species** should have sufficient unobstructed volume to enable movement by flying, and sufficient roosting space to allow all individuals to rest simultaneously. (see Policy #9)
- **Large cats**–females in heat:
  - Become very vocal
  - Roll around
- **Pygmy hippos**:
  - Like to wallow in mud

- ❖ Secrete a clear, pink or brown viscous substance on the skin
- ❖ Skin should appear soft and flexible
- ❖ Skin should **not** be cracking or scaling
- ❖ Should have a pond, or be wetted down regularly

- ◆ **Species that, under natural conditions, spend a significant portion of time in water**, such as capybaras, beavers, river otters, hippopotami, and tapirs, should have both dry and aquatic portions of the primary enclosure. Each portion should provide, at a minimum, sufficient space for normal postural and social adjustments.
- ◆ **Tethered hoof stock** should have tethers of sufficient length and arrangement to be able to comfortably lie down, get up, self-groom, and move about within a reasonable distance.

Veterinary Care (see Policy #3)

When inspecting traveling exhibitors, check for the following:

- ◆ A complete and current Program of Veterinary Care
- ◆ Plan for veterinary care if an animal becomes sick or is injured while on the road
- ◆ Documentation of chronic medical problems and the treatment, if applicable
- ◆ Environmental enhancement plan for nonhuman primates, which may need to be different than the plan at the home facility
- ◆ Exercise plan for dogs while in travel status, which may need to be different than the exercise plan at the home facility
- ◆ Expired medications
- ◆ Health and well-being of the animals
- ◆ Health certificates, if required
- ◆ Noncommercial diet approved for the large felids
- ◆ Medical records for any animal that was sick or injured while on the road
- ◆ Medical records for other animals, if kept by the exhibitor
- ◆ Required medical records for marine mammals

Records

A traveling exhibitor should have the records with him/her on the road. However, if the records are at another site or location, it is acceptable for the records to be emailed or faxed to the site of the inspection during the inspection. It is **not** recommended that the inspector allow the records to be faxed to him/her at a later date.

If the required records are not available, cite as a noncompliance under the appropriate Section.

A traveling exhibitor must have all the appropriate records for the regulated animals for up to 1 year from the disposal or euthanasia of the animals.

The following records, when applicable, **must** be available for review during an inspection on the road, as required by the regulations and standards:

- Acquisition records or a record of animals on hand for all regulated animals present
- Disposition records for all regulated animals that have left the current tour since it began

NOTICE

If an animal dies or is euthanized on the road, the date of death **must** be recorded, and details of the death should be maintained.

- Exercise plan for dogs
- Health certificates for dogs, cats, and nonhuman primates (if required see Policy #18)

NOTICE

It is recommended that an exhibitor in continuous travel obtain a new health certificate every 6 months.

- Individual medical records for marine mammals
- Necropsy records for marine mammals
- Nonhuman primate environmental enhancement plan
- Program of veterinary care appropriate for the animals being exhibited
- Water quality records for marine mammals

NOTICE

Copies of the original records are acceptable.

A traveling exhibitor should have the following records available, but should **not** be cited for a lack of them, or as stand alone citations:

- Health certificates for all other regulated species

NOTICE

This may be a State requirement. Refer the exhibitor to the proper State agency if he/she has questions.

- Health/medical records for all regulated animals present, such as:
  - Necropsy records (other than marine mammals)

- Preventive medical treatments
- Records pertinent to current problems and treatments
- Records pertinent to existing chronic conditions

- Itinerary
- Last on-the-road inspection report
- License certificate
- Noncommercial diet approval for large felids (see Policy #16)

Transport Vehicles

Inspect transport vehicles for:

- Cleanliness
- Condition of the floor, i.e., rotting areas which could give way and/or allow entry of exhaust fumes
- Food storage areas
- Separation of species while in transit
- Space and height for the species transported

NOTICE

Trailers can **only** be 8 feet wide by Department of Transportation regulation. Therefore, the interior space will be 7 to 7.5 feet. Ask which animals are transported in the trailer and how they are arranged.

- Structural strength, such as:
  - Bent or warped surfaces
  - Loose fittings or grates
  - Protruding edges
- Vehicle safety features, such as:
  - Door latches and locks
  - Good tires
  - Proper hitches
  - Tires rated for the weight load carrying
  - Vehicle rated for the weight load carrying
- Ventilation and temperature when doors are closed
- Working temperature control systems, such as heaters, fans, and air conditioners

Animals in Transit

When in transit, regulated animals must be housed in enclosures that meet the transportation requirements for that species.

An animal is considered "in transit" when it is moving in a conveyance from:

- The home facility to a temporary location
- A temporary location to another temporary location
- A temporary location to the home facility

Stopping for short rest periods and food breaks for the drivers, handlers, and other people accompanying the animals is still considered "in transit."

NOTICE

When stopped at a temporary location, the animals may be housed in enclosures that meet or exceed the applicable primary enclosure space requirement standards for **permanent** enclosures.

Animal Races

Examples of animals used for staged animal races include, but are **not** limited to:

- Camels
- Dogs (non-competitive), such as dachshund or Jack Russell Terrier races

NOTICE

Professional dog races, such as greyhound races, field trials, and tracking events are exempt.

- Gerbils
- Hamsters
- Pigs

While conducting your inspection, areas to pay special attention to include, but are **not** limited to:

- Availability of drinking water
- Plan to provide veterinary care if an animal becomes sick or is injured on the road
- For animals with riders, e.g., camel races, check for:
  - Condition of the equipment, i.e., **no** sharp edges, **no** broken straps, padding **not** thin or excessively worn, **no** broken buckles or fasteners
  - Proper fit of saddles, riding equipment, halters, or restraint devices. Some signs of improper fit include:

- ⇨ Hair loss
- ⇨ Irritated skin
- ⇨ Redness
- ⇨ Sores or abrasions

- Housing of the animals between races and overnight
- Individual tolerances of the animals
- Length of race for species being raced
- Methods used to make the animals run, i.e., are they methods used injurious to the animals, such as cattle prods, excessive physical force, or food/water deprivation
- Number of races per day for each animal
- Protective measures for climatic conditions
- Public barriers
- Rest periods for animals between races
- Security measures at night
- Species and age of animals being raced

NOTICE

If you have questions, or are unsure about a situation, use your professional judgment and/or call your SACS.

Animal Rides

See Animal Rides on page 4-6.

Circus and Performing Animal Inspections

Performing animal shows include, but are not limited to:

- Carnivals
- Commercials
- Educational exhibits
- Kangaroo boxing
- Magic shows
- Marine mammal shows
- Movies
- Promotional exhibits
- Stage shows
- Television shows

- Tricks
- Variety acts

Some areas to pay special attention to include, but are not limited to:

- Amount of time animals perform and are rested
- Plan for providing veterinary care if an animal becomes sick or is injured while on the road
- Handling of the animals
- Housing for animals between shows
- Methods or types of restraints used to control the animals

NOTICE

Drugs may **not** be used to control the animals.

- Methods used to make the animals perform
- Procedure for moving animals from housing to the performance area
- Procedure in the event of an animal escape or attack
- Public barriers
- Training and handling experience of the handlers and employees
- Transport enclosures and transportation vehicles
- Type and safety of public contact with dangerous animals

NOTICE

If you have questions or are unsure about a situation, use your professional judgment and/or call your SACS.

Circuses may be:

- Covered under one exhibitor's license
- Composed completely of individually licensed exhibitors who work for the circus. In this case, a separate inspection report must be completed for each licensee.
- Composed of a combination of a licensed circus and individually licensed exhibitors. In this case:
  - Complete one inspection report for the licensed circus itself and include all the regulated animals covered under the circus's license, and

- ❖ Complete separate inspection reports for each individually licensed exhibitor

NOTICE

It is important to know which exhibitor's license covers the particular animal you are inspecting. It is common for exhibitors/animal acts to travel with more than one circus in a touring season.
If you have questions or are unsure about a situation, call your SACS.

Observing the Circus or Performing Animal Show

Prior to announcing your presence, you may want to watch an actual performance to observe the handling of the animals and the types of acts/tricks the animals are performing.

Animal Inspection

Areas to pay special attention to include, but are **not** limited to:

- ◆ Animal activities conducted between performances, such as rides or photo shoots
- ◆ Behavior of the animals
- ◆ Enclosures used to contain the dangerous animals
- ◆ Plan to provide veterinary care if an animal becomes sick or is injured while on the road
- ◆ Food and water
- ◆ Foot care
- ◆ Frequency and length of exercise provided to the animals whose enclosures do not meet the space requirements
- ◆ Health and well-being of the animals
- ◆ Housing for animals that are in quarantine, isolation, holding, or in off-exhibit areas
- ◆ Methods of restraint used to control the animals

NOTICE

Drugs may **not** be used to control the animals.

- ◆ Methods used to make the animals perform
- ◆ Pre-performance activities involving the public
- ◆ Procedure for moving animals in and out of the rings
- ◆ Public barriers and security during the performance
- ◆ Shade or other shelter for animals housed outdoors

- Space requirements for the animals, i.e., are animals house in their transport enclosures? If so, do these enclosures meet the space requirements when **not** in actual transit?
- Training and handling experience of the handlers and employees
- Vertical space for animals that require it, such as bears, large cats, and nonhuman primates

Facility Inspection

Areas to pay special attention to include, but are **not** limited to:

- Diets being fed (quality, quantity, wholesomeness)
- Food preparation areas and storage facilities for the food
- Public barriers
- Security devices on the enclosures, such as locks, latches, or hinges
- Security measures at night
- Structural strength of the primary enclosures, exercise pens, and transport enclosures

NOTICE

Never enter a pen or enclosure unless absolutely necessary and the animal(s) are secured.

- Transport enclosures and vehicles, such as trucks and train cars, especially space and ventilation

Petting Zoos

See Petting Zoo Inspection.

Photo Shoots

See Photo Shoot Inspection.

Inspection Reports

When entering an inspection report for a traveling exhibitor **not** at his/her home site, ensure that:

- In the narrative section, insert:
  - Location of the inspection, i.e., city and State
  - Name of the circus, unit, or group, if applicable
- You use the TRA site designation in ACIS:
  - If the licensee does **not** have a TRA site already in ACIS, follow the procedure for having the Regional Office add a site

- ❖ If the licensee has more than one TRA site, use the correct TRA site if it is in ACIS, such as the “Blue Unit” or the “Red Unit”

After the inspection, send a copy of the inspection report to your Regional Office or SACS, according to your Region’s administrative procedures.

Itinerary

See Traveling Petting Zoo Itinerary.

Chapter

5

Record-keeping

Contents

DISCLAIMER

The Animal Welfare Inspection Guide is intended to be a reference document to assist the inspector. The Inspection Guide does not supersede the Animal Welfare Act (AWA), the AWA Regulations and Standards, the AC Policy Manual, the Required Inspection Procedures, standard procedures, or the inspector's professional judgment. All inspection decisions must be justified by applicable sections of the regulations and standards.

Computerized Records for Dogs and Cats

A licensee who uses a computerized record-keeping system may request a variance from the requirement to use APHIS Form 7005–Record of Acquisition of Dogs and Cats on Hand on page A-15 and APHIS Form 7006–Record of Disposition of Dogs and Cats on page A-17.

A licensee **cannot** distribute his/her approved form for use by any other licensee. Each licensee with a computerized record-keeping system **must** request his/her own variance.

The variance request **must**:

- Be in writing
- Be sent to the appropriate Animal Care Regional Office
- Contain a description and sample of the computerized record-keeping system to be used
- Explain why the APHIS Form 7005/7006 is unsuitable to use

If the variance is denied, the licensee may request a hearing for the purpose of showing why the variance should **not** be denied. The denial remains in effect until a final legal decision is rendered.

The format of the computerized record-keeping form should:

- Be user friendly
- Contain all the required USDA information in a format similar to the APHIS 7005 or 7006
- Have limited types of other information which may **not** interfere with the USDA requirements
- **Not** use buyer and/or seller codes to meet the USDA requirements

The inspector may:

1. Review records on the computer screen or request a hard copy.

NOTICE

Presentation of the records by only a computer disc is unacceptable unless approved by the Regional Office.

2. Observe the retrieval and printing of the records.

If the inspector is unable to review the records for proper inspection, cite it on the inspection report under Section 2.126(a)(2).

Microchip Approval

The licensee/registrant **must** request and receive approval from the appropriate Regional Office to use a microchip implant as the official form of identification for dogs and cats.

The licensee/registrant must complete a Request to Use Microchipping as a Method of Identification (*See* Request to Use Microchipping as a Method of Identification on page A-67) with the following information:

- 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 licensee or registrant **must** have an official tag/tattoo if a compatible scanner is **not** available at the receiving facility
- Location of the microchip on the animals

NOTICE

The placement of the microchip **must** be consistent from animal to animal.

- Manufacturer and/or model of the microchip and reader

You, the inspector, should follow these steps to complete the Request sheet:

1. The licensee completes the Request sheet.
2. The inspector reviews the Request sheet for accuracy.
3. The inspector recommends approval for the use of microchips for ID by signing the Request sheet.
4. Inspector or licensee sends the Request sheet to the regional office for final approval.
5. The Request sheet is approved by regional office.
6. A copy of the final approved Request sheet is maintained in the official file, a copy sent to the licensee, and a copy sent to the home inspector.

Records

A dealer, exhibitor, or research facility **must** have all required records for regulated animals purchased or otherwise acquired, owned, held, in his/her possession or control, transported, or disposed of.

Required Dealer and Exhibitor Records

Dealers and exhibitors **must** have the following records, when applicable, for review during an inspection:

- Acclimation statements for transportation
- Acquisition and disposition records
- Approved variances
- Attending veterinarian approved exceptions to the regulations or standards
- Documentation for all covered animals showing that current medical problems and existing chronic conditions are being addressed, and/or receiving proper veterinary care
- Health certificates for all covered animals when transported across State lines
- Program of veterinary care
- Record of animals on hand

NOTICE

Lack of this documentation may **not** be cited as a stand alone noncompliance, but **must** be related to the regulations and the condition of the animal.

For Dogs and Cats

- Certification for exempt sources of dogs/cats
- Certification for random source dog/cat disposition
- Exercise plan for dogs

For Marine Mammals

- Approved water and power emergency contingency plans for marine mammals
- Documentation of training of attendants or employees working with marine mammals
- Medical records for marine mammals
- Necropsy records for marine mammals
- Water quality records for marine mammals

For Nonhuman Primates

- Environmental enhancement plan for nonhuman primates

Recommended Dealer and Exhibitor Records

It is recommended that dealers and exhibitors have the following records, but they cannot be cited for lack of them:

- Current TB records for elephants (see Policy #1)
- Documentation of preventive medical treatments as listed in the program of veterinary care
- Documentation of training for all handlers of dangerous animals
- Emergency plan for dealing with animal attacks or escapes
- Microchip identification approval for dogs/cats
- Necropsy reports for elephants
- Noncommercial diet approval for large felids (see Policy #16)
- Health certificates for all other covered species (see Policy #18)

NOTICE

These reports **must** exist, but the dealer does **not** have to make them available to you.

A traveling exhibitor should have these additional records with him/her on the road, but may **not** be cited for a lack of them:

- Copy of license certificate
- Last inspection
- Last renewal application

NOTICE

These records are **not** specifically required by the AWA regulations and standards, **except** where applicable for marine mammals. Therefore, a lack of any of these records or inadequacy of these records may **not** be cited as a stand alone non-compliance, **except** for marine mammals, but may be cited in conjunction with related non-compliances identified. If unsure, discuss with SACS.

Required Research Facility Records

IACUC Records

A research facility **must** have the following records, if applicable, for review during inspection:

- Approved exemptions/exceptions to the regulations or standards (Annual Report requirement)
- Complaint investigations
- Minutes of the IACUC meetings, including:
  - A list of members who were and were **not** present
  - All the activities conducted by the IACUC at the meeting
  - Any minority views (recommended, **not** required)
  - Approval of the minutes (usually of the previous meeting) by the IACUC (recommended, **not** required)
  - Substance of the deliberations of the IACUC, **not** just the decisions made
- Program of humane care and use
- Recommendations to the Institutional Official
- Records relating to animal activities, including:
  - Annual review of protocols
  - IACUC decisions on protocols and proposed changes
  - Notification of Principal Investigator of decisions on protocols and proposed changes
  - Notification of suspension of protocol
  - Proposed significant changes to protocols
  - Protocols
- Semi-annual reports, including:
  - Facility inspection
  - Report of program review to the Institutional Officer (IO), including minority views
  - Review of humane care and use program
  - Significant deficiency reports
- Verification of appointment of IACUC members by the Chief Executive officer (CEO)

Personnel Records

The research facility **must** adequately document the qualifications and training of personnel which may include, but **not** be limited to:

- Certificates of attendance at formal meetings
- Certificates of completion from relevant continuing education programs
- Curriculum vitae/resumes
- Diplomas or certificates from educational institutions
- Sign-up sheets from in-house training programs

Animal Records

A research facility **must** have the following records, if applicable, available for review during an inspection:

- Acclimation statements for transportation
- Acquisition and disposition records for dogs and cats
- Approved water and power emergency plans for marine mammals
- Attending veterinarian approved exceptions to the regulations or standards, usually part of an animal's medical records
- Record of animals on hand for dogs and cats
- Certification for acquired random source dogs and cats
- Certification for exempt sources of dogs and cats
- Documentation for all other covered animals showing that current medical problems and existing chronic conditions are:
  - being addressed, and/or
  - receiving proper veterinary care

NOTICE

Lack of this documentation may **not** be cited as a stand alone noncompliance, but **must** be related to the regulations and the condition of the animal.

- Documentation of training of attendants or employees working with marine mammals
- Environmental enhancement plan for nonhuman primates
- Exercise plan for dogs
- Health certificates for dogs, cats, and nonhuman primates when transported across State lines
- Medical records for marine mammals
- Necropsy records for marine mammals

- Program of veterinary care
- Water quality records for marine mammals

Annual Report

Both you and the research facility should have a copy of the Annual Report.

You (the inspector) should verify that the research facility's annual report is accurate, that is:

- All animal facilities are reported.
- Animals are reported in the correct column.
- IACUC-approved exceptions are reported.
- The number of animals reported is correct.
- There are justifications for all Column E animals.

Methods of verifying the animal numbers include, but are **not** limited to:

- Asking the research facility representative to demonstrate how the number of animals was determined
  - A particular species, or
  - A column from the annual report
- Counting the animals, if appropriate or feasible
- Review of:
  - Acquisition 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
  - Protocol medical or animal-usage records

Animals reported in Column B of APHIS Form 7023-Annual Report, should be those animals being bred, conditioned, or held for use in teaching, experiments, research, or surgery, but not yet used for such purposes.

All animals contained on the facility's inventory on September 30 or the reporting year that were not used in a research project that year should be reported in Column B as being held for research purposes. Animals that were held but died during the year without being used for research purposes should also be reported in this column. Other animals held during the reporting year

but not present at the facility on September 30 should not be reported in this column. They should be reported by the facility which possesses them on September 30.

Facilities with breeding colonies should report their breeding animals and any offspring which are not being used for research purposes in Column B. This number should include those animals intended for sale but not used in a research project. Animals present at the facility which were used for research in previous years but were not used in the current year (e.g., retired animals) would also be reported in Column B.

Animals actually used for research purposes during the reporting year must be reported in Column C, D, or E, as appropriate, whether or not they are only being held on September 30 or are no longer at the facility on that date.

Refer to the following documents for additional information about the annual report:

- APHIS Form 7023–Annual Report of Research Facility on page A-31
- APHIS Form 7023–Instructions for Completion of APHIS Form 7023 on page A-33
- Assistance with Accurate Annual Reporting for Research Facilities on page A-39
- Figure A-21 on page A-34–Guidelines for Reporting Animals in Column B of APHIS Form 7023
- Figure A-22 on page A-35–Column E Explanation of APHIS Form 7023

Recommended Research Facility Records

A research facility should have the following records, if applicable, available for review during an inspection:

- Acquisition and disposition records for animals, **other than** dogs and cats
- Animal logs
- Approval for large felid noncommercial diet
- Cage wash validation sheets
- Documentation of preventive medical treatments as listed in the Program of Veterinary Care
- General surgery records
- Health records
- Medical records related to protocols
- Microchip identification approval for dogs and cats

- Necropsy records
- Necropsy records for regulated animals, other than marine mammals
- Record of animals on hand for animals **other than** dogs and cats
- Record of attending veterinarian visits
- Room maintenance logs
- Standard operating procedures, if available
- Surgical records related to protocols

NOTICE

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 non-compliance, **except** for marine mammals, but may be cited in conjunction with related noncompliances identified. If unsure, discuss with SACS.

Chapter

6

Veterinary Care

Contents

DISCLAIMER

The Animal Welfare Inspection Guide is intended to be a reference document to assist the inspector. The Inspection Guide does not supersede the Animal Welfare Act (AWA), the AWA Regulations and Standards, the AC Policy Manual, the Required Inspection Procedures, standard procedures, or the inspector's professional judgment. All inspection decisions must be justified by applicable sections of the regulations and standards.

Attending Veterinarian

A licensee or research facility **must** have an attending veterinarian to provide adequate veterinary care to their animals. (see Policy #3)

Criteria

A licensee or research facility **must**:

- Communicate to the attending veterinarian timely and accurate information on the health, well-being, and behavior of the animals
- Employ an attending veterinarian under formal arrangements
- Ensure the attending veterinarian has the appropriate authority to:
  - Oversee the adequacy of other aspects of animal husbandry
  - Provide adequate veterinary care

A licensee or research facility may use more than one veterinarian, if necessary, to provide adequate veterinary care for all the species housed at the facility. For a research facility the attending veterinarian **must** be a voting member of the IACUC.

Responsibilities

The licensee or research facility **must** consult with the attending veterinarian to:

- Determine the program of veterinary care
- Determine the method(s) of euthanasia for the animals, which **should** be consistent with the current *AVMA Guidelines on Euthanasia* (https://www.avma.org/KB/Policies/Documents/euthanasia.pdf)
- Develop a schedule of regular visits to the premises, if the attending veterinarian is part-time or a consultant
- Develop a written program of veterinary care, if the attending veterinarian is part-time or a consultant
- Develop guidelines for personnel, including principal investigators, on all animal-related activities

NOTICE

Gunshot is **not** considered an acceptable method of routine euthanasia, but may be used in emergency or field situations where other more acceptable methods of euthanasia are **not** feasible, such as a dangerous animal attack or escape.

The licensee or research facility should consult with the attending veterinarian to determine:

- Adequacy of routine animal husbandry practices, such as:
  - Cleaning and sanitation
  - Dental care
  - Grooming
  - Hoof/foot care
- The design of facility's surgical facilities
- The facility's policy on necropsies (see Policy #4)
- The facility's policy on the use of expired drugs, fluids, and other medical material, which **must** include either:
  - Disposing of outdated drugs, fluids, and medical supplies, or
  - Separating and appropriately labeling outdated drugs, fluids, and medical supplies from non-expired medical materials to be used in the following situations:
    - For acute terminal procedures on regulated animals, with the **exception** of drugs to relieve pain or distress, and emergency drugs
    - For non-regulated animals
    - For non-regulated activities
- The facility's use of drugs, fluids, and other medical supplies or equipment
- The procedure for surgeries on regulated animals performed at the facility by the attending veterinarian or other veterinarian, which **must** require that:
  - Food handling areas **not** be used for surgeries
  - Major operative procedures for non-rodents be performed **only** in dedicated surgical facilities using aseptic technique
  - **No** eating, drinking, or smoking be allowed in the surgery areas
  - Non-major operative procedures be performed using aseptic technique
  - Operative procedures conducted at field sites be performed using aseptic technique
  - Survival surgeries be performed using aseptic technique

- ❖ Surgery on regulated rodents be performed using aseptic technique

NOTICE

A survival surgery is when the animal regains consciousness during or after the procedure.

Approvals

The approval of the attending veterinarian is required on the licensee or research facility's:

- ◆ Environmental enhancement plan for nonhuman primates
- ◆ Exercise plan for dogs
- ◆ Program of veterinary care
- ◆ Statement of exemptions to marine mammal housing requirements
- ◆ 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

The signature of a veterinarian is required on:

- ◆ Health certificates
- ◆ Marine mammal necropsy reports
- ◆ Temperature acclimation certificates for transport

NOTICE

If you, the inspector, have a concern with the instructions or guidance the licensee or research facility has received from the attending veterinarian, discuss your concerns with your SACS.

Dogs and Cats

The licensee or research facility **must** have approval of the attending veterinarian for:

- ◆ The exercise plan for dogs
- ◆ The outdoor housing for dogs/cats in temperatures below 50 °F

Nonhuman Primates (NHPs)

The licensee or research facility **must** have approval of the attending veterinarian for the:

- ◆ Acclimation status of nonhuman primates housed outdoors
- ◆ Environmental enhancement plan

- Exemptions from the environmental enhancement plan

NOTICE

The IACUC may also exempt nonhuman primates from the environmental enhancement plan for scientific reasons set forth in an approved research protocol.

- Sanitation schedule of enclosure surfaces for scent-marking species

Marine Mammals

The licensee or research facility **must** have approval of the attending veterinarian for the:

- Application of insecticides and other similar chemical agents in the primary enclosure
- Single housing of marine mammals
  - Approval **must** be in medical records and contain justification for time and circumstances
  - Space requirements **must** be met
- Transport plan for any transport longer than 2 hours
- Use of smaller than required enclosures for any of the following reasons:
  - Medical treatment and training
  - Nonmedical training, breeding, or holding
  - Transfer purposes
    - Approval **must** be in medical records and contain justification
    - **Must** be updated every 2 weeks

Other Animals–Large Felids

The licensee or research facility should have approval of the attending veterinarian for the use of noncommercial diets for large felids. (see Policy #16)

NOTICE

This approval is **not** specifically required by the AWA regulations and standards. Therefore, a lack of this approval may **not** be cited as a stand-alone non-compliance, but may be cited in conjunction with a related non-compliance identified. If unsure, discuss with SACS.

Veterinary Care Records

A licensee or research facility **must** maintain records relating to the veterinary care of their animals, and health records for marine mammals.

Required Records

A licensee or research facility must maintain the following veterinary care records for all regulated animals, when applicable:

- Acclimation statements for transportation
- Attending veterinarian approved exemptions
- Written program of veterinary care for part-time or consulting attending veterinarian

Dogs and 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
- Health certificate for transport
- Outdoor housing approval

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
- Health certificates for transport
- Outdoor housing approval

Marine Mammals

In addition to the required records listed above, the following veterinary care records are required for marine mammals, when applicable:

- Health certificates for transport
- Individual marine mammal health records
- Necropsy records

Individual marine mammal medical health records **must** be kept, and include the following information, at a minimum:

- Age

- Animal identification/name
- A physical description, such as:
  - Identifying markings
  - Scars
- Physical examination information including, but **not** limited to: [3.110(d)(2)]
  - All diagnostic test results
  - Documentation of treatment
  - Identification of all medical and physical problems
  - Length
  - Physical examination results by body system
  - Proposed plan of action for medical/physical problems
  - Weight
- Visual examination information

Individual animal medical/health records **must** be kept at the facility where the marine mammal is housed, and available for APHIS inspection. [3.110(d)]

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.

Marine Mammal Necropsy Reports

The preliminary necropsy report **must**:

- Be prepared by the veterinarian conducting the necropsy
- List all pathological lesions observed

The final necropsy report **must** include:

- All gross findings
- All histopathology findings
- A pathological diagnosis
- Results of all laboratory tests performed

Necropsy reports **must** be:

- Available for APHIS inspection
- Kept for 3 years

- Maintained at the facility where the marine mammal died, if different than the home facility
- Maintained at the home facility of the marine mammal

Recommended Records

A licensee/research facility should maintain the following records as a part of good animal husbandry practices, when applicable:

- Attending veterinarian approval of noncommercial diet for large felids
- Elephant TB test records
- Elephant TB treatment records
- Health records
- Necropsy records
- Proof that all attendants, handlers, and/or trainers are being TB tested (You do not have to review the TB test results of attendants, handlers, and/or trainers.)
- Surgery records

NOTICE

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 non-compliance, **except** for marine mammals, but may be cited in conjunction with a related noncompliance identified. If unsure, check with SACS.

The citation of inadequate veterinary care for a sick animal may include a reference to the lack or inadequacy of veterinary care records, when 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
- Room maintenance logs
- Standard operating procedures, if available

Availability

Required veterinary care records **must** be readily available to APHIS officials for review.

Required veterinary records **must** be held:

- By dealers and exhibitors for at least 1 year after the animal's disposition or death
- By research facilities for at least 3 years after the animal's disposition or death
- Longer than required, if required by other applicable laws or policies

Traveling Exhibitors

Traveling exhibitors should have the appropriate veterinary care records for animals, and medical/health records for marine mammals with them on the road, as detailed in this Section. Refer to Traveling Exhibitor Inspection on page 4-58 for more information.

Traveling exhibitors should retain all required veterinary care and health/ medical records for 1 year after the disposal or euthanasia of the animal(s).

Written Program of Veterinary Care

A licensee or research facility that has a part-time or consultant attending veterinarian **must** have a written Program of Veterinary Care.

Requirements

The Program of Veterinary Care **must**:

- Be written on APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers on page A-5, or in an equivalent format
- Be reviewed and updated as needed for situations, such as:
  - A change in the preventive medical program
  - A new attending veterinarian
  - The addition of a new species of animal
- Be initialed and dated by the attending veterinarian and the licensee or research facility's Institutional Officer, or his/her designee whenever it is changed, or reviewed without a change
- Include regularly scheduled visits to the licensee's or research facility

NOTICE

The supplemental Program of Veterinary Care Instructions sheet (see APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers) may be used to document the attending veterinarian's visit.

Veterinary Care Questions and Answers

1. If the PVC has a vaccination regimen listed and the licensee is **not** following it, is it the inspector's responsibility to go to the AV and ask them if the change in the Vx schedule is ok with them, or can the licensee be cited? Is it the inspector's responsibility to go to the vet and ask if he is ok with the changes? If he says yes, then is this **not** a citation?

   There are a number of different vaccination regimens that are considered "acceptable" and are in accordance with current professional standards. If the licensee is using a vaccination regimen that is in accordance with current professional standards, we should not write a citation, as that citation would not be supported as part of a case at an administrative law hearing.

2. If a procedure or treatment is **not** on the PVC, is it the inspector's responsibility to go to the AV and ask them if they are aware of it, and if they say "no, but I'm fine with it" - is there **no** citation? Is it the inspector's responsibility to be the go-between for the AV and the licensee? That relationship is between them. They should be the ones communicating, that is what a VVCPR is.

   This will be dependent on what the treatment or procedure is. But in general, if you have a question about care that is being provided, you should contact a VMO local to you, your SACS, the appropriate Specialist, and/or the Regional Director to get clarification.

3. Is it acceptable to have PVC that has a statement from the veterinarian saying "I am responsible for all the veterinary care at this facility" with his signature and nothing else?

   No.

4. Can expired medications be cited as a stand alone citation or **must** they be tied in with other vet care issues?

   If the expired medications are being stored with other medications that are being used, then they are "ready for use" and said medications can be cited as a stand alone citation under 2.40(b)(2) and/or 2.33(b)(2).

5. If the AV states that he wants to come yearly and signs a plan that states he will come out yearly and he does **not**, can this be cited as **not** following the PVC?

   If it states on the PVC that the AV will make annual visits, and the AV confirms he/she wants/needs to make annual visits, this should be cited under 2.40(a)(1) or 2.33(a)(1). When cited, this must be worded appropriately. You cannot merely state, "The veterinarian has not been there in a year." If you are unsure how to cite this, discuss the appropriate language with your SACS.

6. If the AV is required to make regularly scheduled visits, how long is too long? It was stated that every 3 years might be fine, but every 5 years is excessive. What is this based on?

   If the PVC documents that the frequency of the AV's regularly scheduled visits are to be greater than once a year, the AV should be able to explain why he/she is comfortable with that frequency. Then a VMO local to you, your SACS, the appropriate Specialist, and/or Regional Office should be consulted to determine if the frequency is "too long."

7. If there are a few dogs with clinical signs of illness, but the licensee states that they are being address in the herd health plan, it that a citation?

   This depends upon the illness (e.g., mild cherry eye vs. vomiting/ diarrhea), but in general, if there are dogs with clinical signs of illness, the AV should have been contacted at the time the clinical signs began, or shortly thereafter. If that communication with the veterinarian has not taken place, then a citation should likely be written. If it is not a clear-cut situation, a VMO local to you, your SACS, the appropriate Specialist, and/or the Regional Office should be contacted.

8. Inspectors were instructed to "make up their own reasons for why long nails are bad, why matted hair is bad, why expired drugs are bad." The inspectors should **not** make up their own reasons; they should be given direction and training so that they are comfortable with a valid and supportable reason why these things are bad for the animals. Perhaps AC should come up with some routine supportable reasons, i.e., long nails can cause discomfort or make it difficult for the dog to make normal postural adjustments, normal walking or standing.

   If you are unsure if or why a specific condition is a problem, you should contact a VMO local to you, your SACS, the appropriate Specialist, and/or the Regional Office.

9. When is it justifiable to instruct a licensee to take an animal to a veterinarian? Such as, a dog that has an open wound. It has been there for a week. It has been identified by the licensee and they are treating it themselves.

   The answer to question seven also applies here. If you are unsure whether a condition is severe enough to require the licensee to contact a veterinarian, you should contact a VMO local to you, your SACS, the appropriate Specialist, and/or the Regional Office.

   A. Or, a dog that has a serious injury. It occurred several days ago and the licensee tells the inspector that they have a vet appointment that afternoon. Is that a citable condition?

Yes. The licensee should have contacted the AV when the serious injury occurred.

10. Extra-label medications

    A. These still need to be approved by a veterinarian, correct?

    Yes.

    B. If it is **not** a veterinarian that the licensee has a relationship with, is that acceptable, or **must** the AV be the one to approve them?

    A licensed veterinarian must approve.

NOTICE
Citing a veterinary article is **not** getting "approval" from a veterinarian.

    C. Do they have to have written instruction on how to use these medications?

    Yes, from the veterinarian.

11. If the AV gives unusual instructions for vet care (i.e., pour motor oil on the dog, or dip the dog in cattle dip for skin issues), or recommends **no** treatment with **no** diagnostics or exam ("just watch him" for a dog with a non-weight bearing limb), **must** the inspector accept that as adequate veterinary care?

No. We have successfully challenged vet care that is clearly contrary to industry standards. If you have a question about care that is being provided, you should contact a VMO local to you, your SACS, the appropriate Specialist, and/or Regional Office.

Chapter

7

Research Facility Inspection–IACUC Requirements and Protocols

Contents

DISCLAIMER

The Animal Welfare Inspection Guide is intended to be a reference document to assist the inspector. The Inspection Guide does not supersede the Animal Welfare Act (AWA), the AWA Regulations and Standards, the AC Policy Manual, the Required Inspection Procedures, standard procedures, or the inspector's professional judgment. All inspection decisions must be justified by applicable sections of the regulations and standards.

Institutional Animal Care and Use Committee (IACUC) Review–General Information

All IACUC responsibilities, functions, and activities **must** be completely and thoroughly reviewed.

The information below represents supplemental information and materials that the facility can provide which can help verify or assess IACUC function. Areas that can be reviewed to assess IACUC function may include, but are **not** limited to:

- Approved protocols (the term "protocol" in this chapter, refers to "animal use activity")
- Audio tapes provided by the research facility
- Cage wash water temperature certification records
- Emails and email records
- IACUC facility inspection reports
- IACUC-related correspondence
- Interviews with IACUC members
- Maintenance records
- Medical/surgical records
- Memos and notes
- Program of humane care and use
- Room temperature logs
- Standard operating procedures
- Written meeting minutes

Membership

In assessing IACUC membership, you should look for verification that:

- All required positions are filled.

NOTICE

If a required position(s) is unfilled, there is **not** a properly constituted IACUC. An improperly constituted IACUC cannot perform the required official AWA functions.

- 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, and is **not** personally involved with animal research at any other institution.

- There are **no** more than three 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:
  - The Animal Welfare Act
  - Protocol review
  - Facility inspection

NOTICE

While **not** prohibited by the AWA, the inspector should strongly discourage the same person from filling multiple required positions.

Meetings

In assessing meetings, you should look for verification that:

- All members are informed of all meetings
- Meetings are held at a time when all members, especially the nonaffiliated member, can attend.
- Required members (committee chair, nonaffiliated member, and attending veterinarian) are in attendance at most meetings.

NOTICE

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 email, all members **must** have email.
- 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.
- 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 is conducted.

Minutes

The IACUC meeting minutes should include:

- A list of members who attended and/or who did **not** attend

- All the activities conducted by the IACUC at the meeting
- Any minority views
- Approval of the minutes (usually of the previous meeting) by the IACUC (recommended, but **not** required)
- Substance of the deliberations of the IACUC, **not** just the decisions reached

NOTICE

For requirements for conducting meetings using telecommunications, see Telecommunications for IACUC Meetings and Electronic Communication.

Program of Humane Care and Use Review

In assessing the program review, you should look for verification that:

- The review is being conducted at least once every 6 months.
- If the IACUC adopted the AAALAC International Program Assessment report as its semiannual program review, the following requirements were met:
  - The report complied with Section 2.31(c)
  - At least two 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 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.
- 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
- 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.

Facility Inspection

In assessing the facility inspection, you should look for verification that:

- 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 two 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 committee 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
- 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 minority views
  - Is sent to the Institutional Official
- Any uncorrected significant deficiency was properly reported to Animal Care and other appropriate Federal agencies

Reports to the Institutional Official

In assessing the reports to the Institutional Officer (IO), you should look for verification that:

- 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
- 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:

- Notice of suspension of a protocol
- Uncorrected significant deficiencies

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

NOTICE

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 suspension of protocol activities, you should look for verification that:

- The activity was reviewed and suspended at a convened meeting with a quorum of the IACUC present

NOTICE

A quorum means a majority of the voting members.

- 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 or Concerns

In assessing the IACUC's responsibility for addressing complaints or concerns, you should look for verification that:

- Adequate methods are in place for receiving complaints or concerns from sources outside the research facility.
- Adequate, confidential methods are in place for receiving complaints or concerns from sources inside the facility.
- Complaints or concerns were reviewed and, if appropriate, investigated for validity.
- Appropriate action was taken on valid complaints or 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.

Records

In addition to the reports listed above, the following IACUC records **must** be available for review and in compliance with the AWA regulations:

- Protocols
- Proposed significant changes to protocols
- IACUC approval or non-approval of protocols or proposed significant changes to protocols
- Any other protocol-related information

Telecommunications for IACUC Meetings

Methods of telecommunications (e.g., telephone or video conferencing) are acceptable for the conduct of official IACUC business requiring a quorum, provided the following criteria are met:

- 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 forum 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. A mail ballot or individual telephone polling **cannot** substitute for a convened meeting.
- Opinions of absent members that are transmitted by mail, telephone, fax, or email may be considered by the convening 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.

Appointment of the IACUC

The Chief Executive Officer of the research facility must appoint an Institutional Animal Care and Use Committee (IACUC). [2.31]

Criteria

People appointed as IACUC members **must** have the experience and expertise needed to assess the research facility's: [2.31(a)]

- Animal program
- Facilities
- Procedures

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)]

- Prescribing methods for the design or performance of research or experimentation
- Setting standards for the design or performance of research or experimentation

Membership

The Institutional Animal Care and Use Committee (IACUC) **must** be composed of a Chairperson and at least two additional members. [2.31, see Policy #15]

Members

The IACUC **must** be composed of: [2.31(b)(2)]

- A Chairperson
- At least one Doctor of Veterinary Medicine (DVM)
- At least one nonaffiliated member

NOTICE

To be a properly constituted IACUC, all three positions **must** be filled.

IACUC members must be qualified to assess the research facility's animal program, facilities, and procedures. The research facility is responsible for: [Policy #15]

- Ensuring the qualifications of the members
- Providing training and instruction to the members in areas such as:
  - The Animal Welfare Act
  - Facility inspection
  - Protocol review

Although **not** specifically prohibited by the AWA, APHIS strongly discourages one person from filling more than one of those positions, such as: [Policy #15]

- The DVM being the Chairperson
- The nonaffiliated member being the Chairperson

NOTICE

APHIS also strongly discourages the research facility's Institutional Officer from being the Chairperson or DVM.

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)]

- A specific laboratory
- Biology Department
- Cardiology Department

Chairperson

The Chairperson is responsible for all activities of the IACUC including, but **not** limited to:

- Ensuring the research facility's compliance with the AWA and its regulations and standards
- Informing the Principal Investigator of the IACUC's decisions regarding his/her protocol
- Keeping records of activities
- Moderating the meetings
- Sending a list of protocols to be reviewed to members
- Sending the required reports to the Institutional Official
- Setting the agenda for meetings
- Scheduling meetings

NOTICE

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)]

- Ability to critically review a protocol for veterinary care issues, and
- Direct or delegated responsibility for activities involving animals at the research facility, and
- Training or experience in laboratory animal science or medicine

NOTICE

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 laboratory animal user at any research facility
- A member of the immediate family of a person who is affiliated with the research facility
- A person with 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]

- Meals
- Modest monetary payment which does **not**:
  - Become an important source of income
  - Influence voting on the IACUC
- Parking
- Travel expenses

Examples of nonaffiliated members include, but are **not** limited to:

- Bioethicists
- Biologists
- Clergy
- Humane society volunteers or employees
- Non-research staff members from other institutions
- Physicians
- Practicing veterinarians
- Retirees

Program Review

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 #17]

Method

The IACUC is responsible for determining the best method for conducting the review of the humane care and use program. [2.31(c)(3)]

The IACUC may: [2.31(c)(3)]

- Conduct a full committee review
- Appoint a subcommittee of at least two members to conduct the review.

NOTICE

No IACUC member wishing to participate in the review may be excluded.

1. May invite an ad hoc consultant(s) to assist with the program review

The IACUC may adopt the AAALAC International Program Assessment report as its semi-annual program review if:

- The report complies with Section 2.31(c)
- At least two 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

Criteria

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), see Policy #17]

Additional resources which may be used include, but are **not** limited to:

- *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching*, published by the Federation of Animal Science Societies (most current edition)
- *Guide for the Care and Use of Laboratory Animals*, published by the Institute of Laboratory Animal Resources (most current edition)

Areas which should (but **not** required) be addressed in the program of humane care and use include, but are **not** limited to:

- Animal care, such as:
  - Cleaning/sanitation
  - Environment
  - Environmental enrichment for nonhuman primates
  - Exercise for dogs
  - Food/water
  - Housing
- IACUC-approved departures/exceptions/exemptions (Annual Report requirement which may or may **not** be in the program of humane care and use), such as:
  - Exemptions from the environmental enhancement plan for nonhuman primates
  - Exemptions from the exercise plan for dogs
  - 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)
  - Food/water deprivation or restriction
  - Maintaining animals at temperatures outside the ranges specified by the standards
  - Use of an animal in more than one major survival surgery (see Policy #14)
- IACUC functions, such as:
  - Attendance at meetings, especially nonaffiliated member
  - Complaint review
  - Dissemination of protocols to members
  - IACUC meeting minutes
  - IACUC records
  - Protocol review
  - Recommendations to the Institutional Official
  - Reports to the Institutional Official
  - Required meetings
  - Review of humane care and use program
  - Review of standard operating procedures (SOPs)
  - Suspended activities

- Identification
- Personnel issues, such as:
  - Qualifications
  - Training
- Records
- Veterinary care, such as:
  - Anesthesia and surgery
  - Emergency, weekend, and holiday care
  - Euthanasia
  - Pain/distress management (see Policy #11)
  - Pre/post-procedural care

The findings of the program review **must** be included in a report to the Institutional Official. [2.31(c)(3)]

Facility Inspection

The IACUC **must** inspect the research facility's animal facilities at least once every 6 months. [2.31]

Facilities

Animal facilities which must be inspected include, but are not limited to:

- All animal study areas, including equipment, where animals are housed for more than 12 hours, such as:
  - Cages
  - Monitoring devices
  - Restraint chairs
  - Slings

NOTICE

It is strongly recommended that the IACUC inspect areas where animals are housed for less than 12 hours.

- All sites (including remote sites) where animals are housed for more than 12 hours or used (including laboratories)
- Cage cleaning areas
- Drug storage areas, including investigators' labs and offices, if appropriate
- Food and bedding storage areas
- Holding areas

NOTICE

Animals may be held **without** being on a protocol, but are subject to compliance with the AWA regulations and standards, and IACUC inspection.
The research facility may choose to have a holding protocol for the animals that are held but not used.

- Housing areas
- 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
- Loading docks and transport equipment, such as:
  - Transport cages
  - Vehicles
- Study areas where animals are confined for a prolonged period of time

NOTICE

Field study areas are **not** required to be inspected. [2.32(c)(4)]

- Surgical suites and prep areas

In addition to inspecting the facilities, the IACUC should conduct:

- A review of management practices
- A review of the mechanism for animal users and caretakers to report animal health problems or concerns
- An assessment of animal users and caretakers ability to recognize problems of animal health and behavior
- An assessment of the care of the animals
- An assessment of the condition of the animals

Animal facilities which do **not** need to be inspected are:

- Areas containing free-living wild animals in their natural habitat
- Areas used exclusively for non-regulated animals
- Housing areas at another research facility if the IACUC has delegated responsibility for the animals housed in those areas to the IACUC of the other facility

NOTICE

The IACUC should document that it has delegated the facility inspection responsibility to the IACUC of the other research facility.

- Sites which are **not** in the United States or U.S. territories (foreign sites)

NOTICE

The IACUC may choose to inspect these areas.

Method

The IACUC is responsible for determining the best method for conducting the facility inspection. [2.31(c)(3)]

The IACUC may:

- Appoint a subcommittee of at least two members to conduct the inspection

NOTICE

No IACUC member wishing to participate in the inspection may be excluded.

- Conduct a full committee inspection
- Invite an ad hoc consultant(s) to assist with the facility inspection

The IACUC may adopt the AAALAC International Program Assessment report as its semi-annual program review if:

- The report complies with Section 2.31(c)
- At least two 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

Criteria

The inspection **must** be based on the AWA regulations and standards (Title 9, Chapter I, subchapter A–Animal Welfare). [2.31(c)(2)]

Additional resources which may be used include, but are **not** limited to:

- *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching*, published by the Federation of Animal Science Societies (most current edition)
- *Guide for the Care and Use of Laboratory Animals*, published by the Institute of Laboratory Animal Resources (ILAR) (most current edition)

The findings of the facility inspection **must** be included in a report to the Institutional Official. [2.31(c)(3)]

IACUC Protocol Review

The IACUC must review all protocols and significant changes to approved protocols. [2.31, see Policy #11, Policy #12, and Policy #14]

Criteria

In order to approve a protocol or significant change to an approved protocol, the IACUC **must**:

- 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, unless the IACUC approves scientific justifications for the departures

General Protocol Requirements

A protocol to conduct an activity involving animals **must** contain and comply with the requirements/assurances detailed below.

Protocols **must** meet the following requirements:

- Provide the rationale for using animals [2.31(e)(2)]
- Identify the species of animals to be used [2.31(e)(1)]
- Provide a rationale for the appropriateness of the species [2.31(e)(2)]
- Provide the approximate number of animals to be used [2.31(e)(1)]
- Provide a rationale for 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), see Policy #12]
- Medical care will be provided when necessary
- The animal's living conditions, housing, feeding, and nonmedical care will be: [2.31(d)(1)(vi)]
  - Appropriate
  - In accordance with 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) and 2.31(e)(4)]

- Contain a complete description of procedures designed to assure the pain/distress/discomfort are minimized [2.31(e)(4)]
- Describe the method(s) of euthanasia to be used [2.31(e)(5)]

Painful/Distressful Procedures

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.

Some procedures that can be expected to or may cause more than momentary pain or distress include, but are **not** limited to: (see Policy #11)

- Electrical shock, thermal stress, large doses of radiation
- Food or water deprivation
- Forced exercise
- Ocular or skin irritancy testing
- Paralysis or immobility in a conscious animal
- Surgery (survival or terminal)
- Use of Freund's Complete Adjuvant

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)]

NOTICE

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), see Policy #12]
  - Date of the search
  - Databases searched
  - Years covered by the search
  - Search strategy(ies) 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), see Policy #12]
  - Years covered by the search
  - Search strategy(ies) 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 with be humanely euthanized [2.31(d)(1)(v)]

Surgical Procedures

Pre- and 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)]

- Adequate monitoring of recovery until sternal
- Adequate post-procedural observation and monitoring
- Placing animal in appropriate recovery or post-recovery environment

For pain/distress-relieving drugs, the protocol should clearly specify: [2.31(e)(4)]

- Anticipated signs of pain and distress
- Dosages and routes of administration

- Drugs to be used
- Frequency of administration
- Person(s) who is responsible for determining when pain-relieving drugs are needed, if appropriate
- When drugs should be administered
- When drugs should **not** be administered, if required for scientific reasons

NOTICE

A pro re nata (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:

- Aseptic technique
- Masks
- Sterile instruments
- Surgical gloves

NOTICE

Surgery is survival if the animal regains consciousness during or after the operative procedure.

Non-Survival Surgery

Non-survival surgery:

- Does **not** require a dedicated surgical facility
- **Must** be performed in accordance with established veterinary medical and nursing practices

Major Operative Procedure [2.31(d)(1)(ix)]

Major operative procedures on regulated non-rodent animals **must** be performed in a dedicated surgical facility which **must** be operated and maintained under aseptic procedures.

Some major operative procedures include, but are **not** limited to:

- Amputation
- Craniotomy
- Joint replacement

- Laparotomy
- Thoracotomy
- Thyroidectomy

Non-major Operative Procedure [2.31(d)(1)(ix)]

Non-major operative procedures on regulated animals:

- Do **not** require a dedicated surgical facility
- **Must** be performed using aseptic procedures

Some minor operative procedures include, but are not limited to:

- Peripheral vessel cannulation
- Tooth extraction
- Wound suturing

Rodent Surgery [2.31(d)(1)(ix)]

Surgery on rodents:

- Does **not** require a dedicated surgical facility
- **Must** be performed using aseptic procedures

Field Site Surgery [2.31(d)(1)(ix)]

Surgeries conducted at field sites:

- Do **not** require a dedicated surgical facility
- **Must** be performed using aseptic procedures

Multiple Survival Surgeries [2.31(d)(1)(x), see 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, or
- An exception is approved by the APHIS Administrator

The request for approval of the exemption by the APHIS Administrator should:

- 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 research proposal for which the procedure(s) is requested
  - A means by which to uniquely identify the research proposal
  - The species and the approximate number of animals involved in the exemption request
  - A method of permanently identifying the individual animals involved
  - The time frame for the proposed exempt procedure
  - The number of major operative procedures to be performed on a given animal, the frequency of such procedures, and the period of time between each major operative procedure
  - Measures to be taken to ensure that pain/distress are minimized
  - A complete scientific justification for the exemption. Cost is not an acceptable justification.
  - An assurance that all other stipulated requirements of the AWA and regulations will be met in consideration of this exemption
  - An assurance that the facility's IACUC has approved the exemption
- Be sent to the appropriate Animal Care Regional Office

NOTICE

An animal that has a veterinary procedure, such as spaying, neutering, or de-scenting, or an emergency major operative procedure for health reasons, may be used in a protocol that requires a major survival surgery.

Exceptions/Exemptions

Exceptions or exemptions to a particular AWA regulation or standard must be:

- Approved by the IACUC
- For scientific reasons
- Justified in writing

Some exceptions/exemptions include, but are **not** limited to:

- Continuous restraint, i.e., for over 12 hours, of a nonhuman primate

- Exemptions from the exercise plan for dogs
- Exemptions from the psychological well-being plan for nonhuman primates
- Failure to clean and/or sanitize at required frequency
- Failure to provide a diurnal light cycle
- 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 animal in smaller than required caging, such as cages in animal study areas or metabolism cages
- Use of a method of euthanasia **other than** one approved in the most current *Report of the AVMA Panel on Euthanasia*
- Use of an animal in more than one protocol involving a major operative procedure from which it is allowed to recover

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)]

- Harm the animals under study
- Involve an invasive procedure
- Materially alter the behavior of the animals under study

Inspection Protocol Review

Protocols and the IACUC approval and monitoring of protocols should be completely and thoroughly reviewed during an inspection.

Method

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 protocol review. 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:

- Determine the number of protocols subject to your review, including:
  - Active protocols, and
  - Inactive protocols from the past 3 years, and
  - Protocols where no regulated species are present at the facility
- If the number is small, review all of the research facility's protocols for regulated animals, or
- 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 on page 7-30
  - For different principle investigators (PIs)
  - For each category with animals listed on the past 3 years Annual Reports
  - Protocols involving invasive procedures, e.g., skull cap replacement, laparotomy, or thoracotomy
  - Food and/or water restriction protocols
  - Antibody production protocols
- Review all Column E protocols

NOTICE

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. You may need to ask for a list of inactive protocols.

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

- Audio meeting minutes
- Compliance Office/Officer activities, if the facility has a Compliance Office
- Correspondence
- Email correspondence and email records
- Interviews with IACUC members
- Memos/notes
- Protocols
- Protocol submission forms
- Written meeting minutes

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

NOTICE

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 email, all members have email, or an alternate method of distribution is used for members without email.
- 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
- If the protocol was reviewed by the full IACUC:
  - 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 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

NOTICE

An institution may decline to proceed with an IACUC-approved protocol, but may **not** override the IACUC's denial of a protocol or change. 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

In assessing the protocol notification requirement, you should look for verification that:

- The Principal Investigator is notified in writing of the IACUC decision on his/her protocol
- If the protocol approval was denied, the IACUC:
  - Notified the Principal Investigator of the reason for the denial
  - Gave the Principal Investigator the opportunity to respond

Protocol Review–General Requirements

In assessing the IACUC review of a protocol, you should look for verification that:

- The rationale for using animals is clearly stated and acceptable
- 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 sown, 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
- ◆ An exemption/exception to the AWA regulations or standards is adequately justified

NOTICE

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 (see Policy #12)

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

- ◆ 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
- Measures used to alleviate the pain/distress are clearly stated, including:
  - Drugs, dosages, and frequency of administration
  - Other methods, including but not limited to:
    - Acupuncture
    - Hydrotherapy
    - Hot/cold packs
- Measures used to relieve pain/distress are adequate, i.e., correct drug, dose, frequency, etc.
  - A pro re nata (PRN or "as needed") frequency of administration is **not** acceptable unless there are detailed instructions and criteria for determining administration of the drug
- 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
- The principal investigator has consulted and involved the attending veterinarian and 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 sever or chronic pain/distress that **cannot** be relieved will be humanely euthanized
- The endpoint has been determined and identified

NOTICE

If the research facility has written, IACUC-approved standard operating procedure(s) (SOPs) for such things as (but not limited to) surgical procedures, pain/distress relief, antibody production, routine veterinary care, housing, euthanasia, etc., and those specific procedures are not specifically described in a PI's submitted protocol, the PI's protocol **must** reference and follow the applicable SOP(s).

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 http://www.nal.usda.gov/awic/pubs/antibody/overview.htm

- An alternative 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
- A search for alternatives, if done, was properly conducted and reviewed for possible alternatives to procedures that may cause more than momentary pain or distress
- 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, if required by the protocol, Program of Veterinary Care, or Institutional policy
- 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 and 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

NOTICE

Pain withdrawal response is **not** an appropriate measure of level of anesthesia as this response would be prevented by the NMB. The use of a peripheral nerve stimulator is strongly recommended as part of the monitoring procedure when NMB's are being used on an animal.

- 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 animals are reversed from the NMB when reversal agents are available 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 procedures, such as analgesics, tranquilizers, and 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.
- 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:
  - When drugs are to be administered
  - Drug, dose, route, and frequency of administration
  - Signs of pain/distress
  - Contact person(s)
  - Other or additional methods of pain/distress relief

Teaching Protocols

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

- The rationale 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 for procedures that might cause more than momentary pain or distress 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 (reduction, replacement, or refinement) for procedures that might cause more than momentary pain or distress was properly conducted and reviewed for possible alternative procedures, such as, but not limited to:
  - Revised up-and-down procedure (UDP) as a refinement to LD50 studies (refinement, reduction)
  - Use of cell cultures and tissue assays
  - Use of fewer animals to identify ocular chemical hazards (reduction)
  - The Interagency Coordinating Committee on the Validation of Alternative Methods provides a list of some alternative tests
- The rationale 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

Continuing Review

In assessing the continuing review of protocols, you should look for verification that:

- All active protocols are reviewed not less than annually by the IACUC or a subcommittee
- 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

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.

NOTICE

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
- Ask about weekend staffing, animal observation, and medical care
- Determine if the medical or emergency contact 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
- ❖ 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

Table 7-1 Species-Typical Signs of Pain

Species	Possible Signs of Pain[1] [2]
Dogs	Quiet, unwilling to move, lack of alertness, whimpering or howling, loss of appetite, increased respiration, growl or exhibit apprehension when approached, *groaning*
Cats	Quiet, apprehensive facial expression, loss of appetite, crying, hissing, hiding, crouching or hunching, ungroomed appearance
Guinea Pigs and Hamsters	Decreased activity, piloerection, ungroomed appearance, excessive licking and scratching, rapid/shallow respiration, loss of appetite, grunting or chattering, does 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, *droopy ears, rough hair coat, hunched appearance*
Pigs	Changes in social behavior, gait and posture, *excessive* squealing when handled, unwilling to move, hiding

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

2 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 AC manual team)

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

A written protocol, i.e., a proposal for animals use activities, **must** be submitted to and approved by the IACUC prior to the start of any animal use activity.

The IACUC **must** review all submitted protocols and decide to: [2.31(c)(6)]

- Approve the protocol, or
- Require modifications in the protocol to secure approval, or
- Withhold approval of the protocol

The IACUC review **must** be conducted by: [2.31(d)(2)]

- Full Committee review, or
- A subcommittee of at least one member of the IACUC designated by the IACUC chair who:
  - Is qualified to conduct the review, and
  - Has the authority to:
    - Approve
    - Require modifications in the protocol to secure approval, or
    - Request a full IACUC review of the protocol

NOTICE

This person or subcommittee might be referred to as the Designated Reviewer(s) or Designated Member(s).

Prior to IACUC review, each member of the IACUC **must** be provided the following: [2.31(d)(2)]

- A list from the IACUC chair or his/her designee of the protocols to be reviewed
- A copy of any protocol, upon request

NOTICE

Any member of the IACUC may request, and **must** be granted, a full Committee 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

NOTICE

The member may provide information about the activity proposed in the protocol.

Full Committee Review

If a protocol is reviewed by the full committee: [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.

NOTICE

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

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)]

Unless the consultant is a member of the IACUC, he/she must **not**: [2.31(d)(3)]

- Approve or withhold approval of a protocol
- Vote with the IACUC

Notification

The IACUC **must** notify the principal investigator(s) and the appropriate person(s) at the research facility (usually the Institutional Official or his/her designee) in writing of its decision regarding the approval of the protocol. [2.31(d)(4)]

If the IACUC decides to withhold approval or require modifications in the protocol, it **must**: [2.31(d)(4)]

- Include in its written notification the reason for the decision
- Give the principal investigator(s) an opportunity to respond in person, or in writing

The IACUC may reconsider its decision to withhold approval if the principal investigator corrects the deficiencies in the protocol to the satisfaction of the IACUC. Any change in the IACUC's decision **must** be documented in the minutes. [2.31(d)(4)]

Continuing Review

The IACUC **must** review all active protocols at least once a year, or more often, at the discretion of the IACUC. [2.31(d)(4)]

The continuing review should be documented in writing.

Changes in Protocols

The principal investigator(s) **must** inform the IACUC of any proposed significant changes to an approved protocol **prior to** the changes being implemented. The IACUC or a designated subcommittee **must** review and approve these changes. [2.31(c)(7)]

Examples of significant changes include, but are **not** limited to:

- Addition of a new species
- Change from terminal to survival surgery
- Change in pain classification of the procedure
- Change in personnel conducting the procedures
- Increase or decrease in the number of animals
- Major/critical change in post-procedural pain management
- New procedure or change in a procedure being used

NOTICE

If a proposed change to a protocol is minor, it may be handled administratively or at the annual review.

Non-IACUC Review

IACUC-approved protocols and IACUC-approved significant changes may be further reviewed and approved by officials of the research facility, such as the: [2.31(d)(8)]

- Department Head
- Grants and Funding Committee
- Institutional Official
- Radiation Safety Committee
- 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)]

NOTICE

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.

Suspension of a Protocol Activity

The IACUC may suspend a previously-approved protocol activity. [2.31]

Criteria

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)]

- Described by the principal investigator, and
- Approved by the IACUC

The IACUC may suspend an activity **only**: [2.31(d)(6)]

- 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

If the IACUC suspends an activity involving animals, the Institutional Official, in consultation with the IACUC, **must**: [2.31(d)(7)]

- Review the reasons for the suspension
- Take appropriate corrective action
- Report that action with a full explanation to the appropriate Animal Care Regional office, and any Federal agency funding that activity

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

NOTICE

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 exceptions and include:
  - A description of the exemption/exception, and
  - Reason for the exemption/exception
- 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)]

NOTICE

This report may be submitted separately or in combination with the Facility Inspection Report.

Facility Inspection Report

The Facility Inspection 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 – Animals 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

NOTICE

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

An updated Facility Inspection Report **must** be submitted to the Institutional Official at least once every 6 months. [2.31(c)(3)]

NOTICE

This report may be submitted separately or in combination with the Program Review Report.

Uncorrected Significant Deficiency

If a significant deficiency remains uncorrected due to failure to adhere to the correction plan or date, the IACUC, through the Institutional Official, **must**: [2.31(c)(3)]

- Prepare a written report describing:
  - The uncorrected deficiency
  - The reason why the deficiency was **not** corrected
  - The research facility's plan of action
- Send the written report:
  - Within 15 business days of the correction date

- To the appropriate Animal Care Regional Office and any Federal agencies funding this activity

Records

The research facility **must** maintain records of the IACUC's activities. [2.35] Refer to Required Research Facility Records on page 5-6 for information regarding research facility records.

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

NOTICE

The APHIS Administrator will inform the research facility, in writing, when the records may be disposed of.

Records **must** be held for 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 funding Federal 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 non-compliance
  - The records are needed to investigate a possible non-compliance
  - The records are needed for enforcement purposes

NOTICE

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 IACUC Functions

The IACUC is responsible for other activities related to animals at the research facility. [2.31, 2.32]

Concerns/Complaints

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)]

- Animal use activities **not** approved by the IACUC
- Inadequate pain relief
- Inadequate veterinary care
- Use of stolen animals

Sources of these concerns/complaints may include, but are **not** limited to:

- Laboratory or research facility personnel or employees
- The general public, such as:
  - Animal protection groups
  - Another Federal agency
  - APHIS personnel
  - City, county, or State agency

The IACUC should develop a mechanism for handling these concerns or complaints.

Reprisal Allegations

The IACUC is responsible for investigating any allegation of discrimination or reprisal for reporting non-compliances to the AWA regulations and standards by a: [2.32(c)(4)]

- Facility employee
- IACUC member
- Laboratory personnel

Recommendations

The IACUC is responsible for making recommendations to the Institutional Official regarding any aspect of the research facility's: [2.31(c)(5)]

- Animal facilities

- Animal Program
- Personnel training

Animal Use Activity Monitoring

The IACUC is responsible for the appropriate monitoring of animal use activity at the research facility. [2.31(d)(5)]

This may include:

- Detecting any non-IACUC-approved use of animals
- Detecting changes **not** approved by the IACUC in protocol animal use activities
- Detecting deviations from the AWA regulations and standards
- Ensuring investigator compliance with the IACUC-approved protocol
- Ensuring proper care and use of the animals

Electronic Communication

Some forms of electronic communication systems may be used to conduct IACUC functions.

IACUC Meetings

The IACUC meetings should 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.

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:

- 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.

NOTICE

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 email 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

All activities conducted via electronic communication **must** be documented in writing and original signatures obtained, when required.

Examples of electronic communication systems include, but are **not** limited to:

- Audio-visual conferencing
- Conference calls

Fax, email, and one-on-one communication via telephone are **not** acceptable methods for conducting IACUC functions which require a convened meeting, such as:

- Approving a protocol
- Protocol review
- Review and endorsement of semi-annual program review and facility inspection reports being sent to the Institutional Official
- Suspension of activity

The use of email or one-on-one communication via telephone for these activities is citable under 2.31(d)(2), 2.31(c)(3), or 2.31(d)(6).

Distribution of Information

Fax or email is an acceptable method for the recipient, or distribution of information by the IACUC, such as:

- Agenda
- Correspondence
- Meeting handouts
- Meeting notifications
- Minutes of meetings
- Proposed changes to approved protocols from principal investigators
- Protocols/changes to protocols to IACUC members
- Protocols from principal investigators
- Reports
- Request for a full committee review of a protocol
- Standard operating procedures (SOPs)

Chapter

8

Confiscation Information

Contents

Introduction

DISCLAIMER

The Animal Welfare Inspection Guide is intended to be a reference document to assist the inspector. The Inspection Guide does not supersede the Animal Welfare Act (AWA), the AWA Regulations and Standards, the AC Policy Manual, the Required Inspection Procedures, standard procedures, or the inspector's professional judgment. All inspection decisions must be justified by applicable sections of the regulations and standards.

This chapter provides some criteria to help inspectors determine if a situation warrants a possible confiscation. When an animal is determined to be suffering and relief is **not** provided by the facility, and there is **no** evidence relief will be provided in the immediate future, confiscation should always be considered.

The New Merriam-Webster Dictionary defines suffering as: pain, misery, or hardship; and the term suffer: to feel or endure pain, to bear loss, damage, or injury. Animals are deemed to be suffering when they are forced to endure conditions which cause pain or distress, severe discomfort or which could directly impact the health and well-being of the animal if actions are **not** taken to remedy the situation. Animals do **not** need to be in imminent danger of dying to be considered suffering.

Although conditions at a facility can change dramatically over a short period of time, there are some red flags that could indicate this facility might be a potential candidate for confiscation at a later date.

Common red flags include:

- Facilities that require three or more prelicense inspections before they come into compliance, especially if the issues relate to basic husbandry practices and/or veterinary care
- Facilities that are remote and have difficulty obtaining veterinary services or do **not** have a strong working relationship with their attending veterinarian (AV)
- Facilities that operate on a limited budget or have financial difficulties
- Facilities that have limited employees and/or have questionable knowledge about the care of one or more species they keep
- Facilities that are frequently cited for access issues because there is **no** one routinely at home to take care of the animals
- Facilities that acquire dangerous animals, such as big cats, when their license was issued when they only owned non-dangerous animals

Being aware of these red flags can mentally prepare you for the possibility that the facility may **not** be able to quickly or adequately remedy issues related to animal suffering.

Being mentally prepared for a possible confiscation may directly impact the efficiency of the whole process. Mentally going through the steps of a confiscation in the early planning stages may make the difference between the success or failure of the operation.

Criteria for Confiscation

The following information pertains to situations where confiscation should be considered for exotic or wild animals.

Veterinary Care Issues

Veterinary care issues include, but are not limited to:

- Animals are found with broken bones or open wounds
- Animals are found with matted hair causing skin problems
- Animals are found to be dead or dying
- Animals are found to have severe chronic skin or eye issues
- Animals are observed to have chronic, untreated intestinal issues
- Animals are severely lethargic with no veterinary attention
- Animals are severely malnourished and/or emaciated
- Animals are found to have severe chronic skin or eye issues

The photos below are samples of veterinary care issues to be considered for confiscation, including emaciation or evidence of malnourishment.

Source: USDA-APHIS

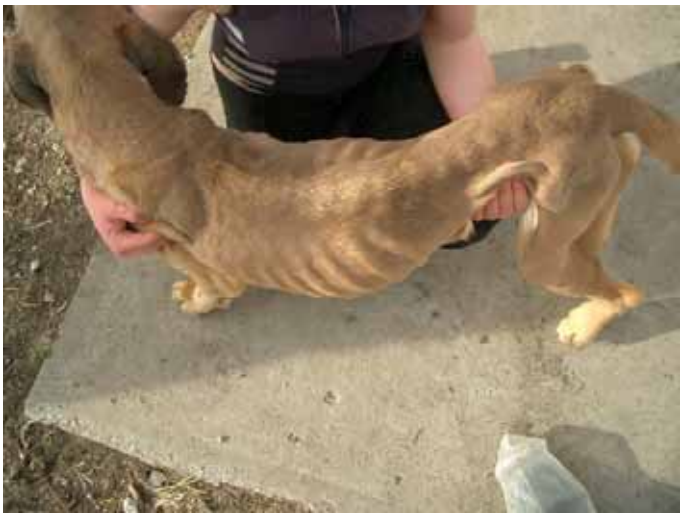
Figure 8-1 Emaciated Asian Elephant

Source: USDA-APHIS

Figure 8-2 Emaciated Lion

Source: USDA-APHIS

Figure 8-3 Thin Tiger with Chronic Poor Hair Coat



Source: USDA-APHIS

Figure 8-4 Emaciated Dog, Dorsal View

Other chronic or untreated veterinary problems are shown below.

Source: USDA-APHIS

Figure 8-5 Chronic Untreated Eye Problems

Source: USDA-APHIS

Figure 8-6 Eye Problems

Source: USDA-APHIS

Figure 8-7 Serious Untreated Tail Injury of Cougar

Source: USDA-APHIS

Figure 8-8 Ruptured Abscess on Dog

Source: USDA-APHIS

Figure 8-9 Bloody Feces

Source: USDA-APHIS

Figure 8-10 Dead Dog in Enclosure

Source: USDA-APHIS

Figure 8-11 Overgrown Hooves

Source: USDA-APHIS

Figure 8-12 Mutilated Front Leg of Dog

Source: USDA-APHIS

Figure 8-13 Untreated Skin Problems

Shelter/Housing

Examples of shelter and housing issues include, but are not limited to:

- **No** bedding is provided for the animals and the temperatures are below 50 °F and the animals are showing clear signs of stress or discomfort (shivering, huddled in corners, etc.)
- **No** shelter/shade is provided for the animals with extreme temperatures (high or low)
- Shelter provided for the animal has excessive accumulation of feces and waste

- Shelter provided has accumulations of wet and/or dirty bedding
- Shelter provided is too small for the animals

The following photos are examples of shelter and housing issues to be considered for confiscation.

Source: USDA-APHIS

Figure 8-14 Chained With No Access to Shade

Source: USDA-APHIS

Figure 8-15 Inadequate Sized Shelter for Four Wolves

Source: USDA-APHIS

Figure 8-16 Shelter Not Structurally Sound

Source: USDA-APHIS

Figure 8-17 No Bedding, Rusted Enclosure

Source: USDA-APHIS

Figure 8-18 Dogs With No Shelter or Shade

Source: USDA-APHIS

Figure 8-19 Dogs With No Shade

Separation/Behavior

Examples of separation/behavior issues include, but are not limited to:

- Animals are housed in incompatible groups and fighting
- Social animals are housed alone and showing signs of stress

Feed/Water

Feed and water issues include, but are not limited to:

- Food/water is contaminated
- Insufficient and poor quality food
- **No** food or water available to the animals
- Water and food receptacles are **not** being kept clean and sanitized

The following photos depict feed and water issues.

Source: USDA-APHIS

Figure 8-20 Poor Quality Rotting Chicken

Source: USDA-APHIS

Figure 8-21 Rotting Carcass in Cougar Enclosure

Source: USDA-APHIS

Figure 8-22 Poor Quality Chicken and Meat

Source: USDA-APHIS

Figure 8-23 Self Feeder with Moldy Food

Source: USDA-APHIS

Figure 8-24 Mouse Feces in Feeder

Source: USDA-APHIS

Figure 8-25 Filthy Water Receptacle

Husbandry/Cleaning

Examples of husbandry and cleaning issues include, but are not limited to:

- Enclosures containing animals are extremely wet or covered with excessive accumulations of feces
- Severe pest infestation
- Water and food receptacles are **not** being kept clean and sanitized
- Ventilation is poor and air quality is affected

The following photos depict husbandry/cleaning situations to consider for confiscation.

Source: USDA-APHIS

Figure 8-26 Grossly Inadequate Space

Source: USDA-APHIS

Figure 8-27 Extremely Soiled, Overcrowded Hamster Enclosure

Source: USDA-APHIS

Figure 8-28 Extremely Soiled Rabbit Enclosure

Source: USDA-APHIS

Figure 8-29 Excessive Accumulation of Feces in Trays Under Dog Run

Source: USDA-APHIS

Figure 8-30 Layers of Moist, Filthy Bedding

Ventilation/Air Quality

The bar for states or counties is typically "neglect." Each state or county can view the level of ammonia needed to indicate neglect as they deem appropriate. Our bar for confiscation is "suffering." So we either have to be able to photograph the current conditions and interpret that as suffering, or when conditions **cannot** be photographed, document that the animals showed clinical signs of suffering. With ventilation there is nothing to photograph, and there is **no** accepted measurement of ammonia that is considered too high for a given species. We have to be able to document the animals showing clinical signs, such as squinting, conjunctivitis, weeping eyes, coughing, sneezing, etc. If we have two veterinarians state that one or more of those signs were observed (along with the description of the smell and human discomfort), we can confiscate.

Handling

- Licensee does **not** have appropriate experience to care for animals
- Licensee is **not** physically able to care for the animals any longer
- Licensee is observed abusing or mistreating the animals

NOTICE

It is very important to document all of the noncompliant items with photographs.

Photographs should:

- Accurately and clearly depict the noncompliant items, as well as the animals of concern
- Be accurately labeled with a description that is complete and detailed in order to prompt your memory should you be asked to testify about the inspection/confiscation years after the fact

- Be taken before and during the confiscation
- If the issue includes the weight of the animal, try to get a good side (lateral) view, and a view of the back, either from the front or rear of the animal, or from above the animal looking down (dorsal view)

Source: USDA-APHIS

Figure 8-31 View from Front of Cougar

Source: USDA-APHIS

Figure 8-32 Side View (Lateral) of Cougar

Source: USDA-APHIS

Figure 8-33 Dorsal View of Cougar

Chronic Issues that Demonstrate a Pattern of Suffering

Veterinary Care

Veterinary care issues are a frequent source of chronic suffering for the animals inspected. These include, but are not limited to:

- Infectious disease processes:
  - Inadequate or nonexistent treatment of minor respiratory or other disease processes that progress to a more severe infection
  - Resulting from lack of ventilation, such as shipping fever, Parvovirus in puppies, distemper, and many other diseases
  - Untreated wounds that become infected
- Trauma/Injuries
  - Bumps and bruises may progress to hematomas, fluid-filled cysts, and other painful chronic injuries
  - Foot or hoof foreign bodies may lead to a chronic source of suffering
  - Fractures, sprains, and strains, if left untended, may become chronic sources of suffering to the affected animal
  - Halters, collars, and other restraint devices that are too tight or poorly fitted that are creating injury to the animals, especially those permanently left on the animals
  - Untreated skin ulcerations or sunburn
- Certain husbandry requirements may become veterinary care issues:
  - Failure to trim hooves will cause pain and discomfort
  - Sheep and certain goats, if **not** sheared for an extended period of time, can be in a chronic state of suffering. This is especially true in warm weather. This may also apply to long-haired breeds of dogs, cats, and other species. Coats which remain unshorn for long periods of time may be infested with maggots.

Source: USDA-APHIS

Figure 8-34 Sheep Suffering from Unshorn Coat in Hot Weather

Source: USDA-APHIS

Figure 8-35 Overgrown Hooves

- Feeding practices which may cause serious, life-threatening harm to the animals:
  - A chronic insufficiency of feed
  - Providing adequate amounts of food that is seriously contaminated, decomposing, maggot infested, or in some other way inedible
  - Providing food that is inappropriate for the species, such as feeding dog food to any species of cat
- Watering
  - Inadequate water is a critical and potentially life-threatening problem that may cause chronic suffering for the animals involved
  - Poor quality water may create chronic health problems, such as internal parasite loads, giardiasis, bacterial or fungal infections
  - Standing water may harbor disease-carrying insects, such as mosquitoes

Shelter

- Lack of shade in bright conditions causing animals to squint or have chronic eye discomfort
- Lack of shade in hot weather, especially if animals are showing signs of discomfort, such as panting, heat stress, etc.
- Lack of shelter in cold weather, especially if animals appear to be shivering or showing other signs of discomfort from the cold

Sanitation

Examples of sanitation issues include, but are not limited to:

- Enclosures maintained so the animals **cannot** escape the filth (can be a combination of feces, water, mud, or other filth, such as rotted foodstuffs, creating a chronic pattern of suffering for animals trapped in such enclosures)

Source: USDA-APHIS

Figure 8-36 Guinea Pigs in Filthy Enclosure

Source: USDA-APHIS

Figure 8-37 Filth in an Animal Enclosure

Feed

- Animals being fed contaminated feed that can create chronic low grade intestinal flux
- Improperly stored feed that is unsafe for the animals or that has deteriorated to the point of being nutritionally inadequate

Source: USDA-APHIS

Figure 8-38 Milk and Cottage Cheese in Pig Trough that is Never Cleaned

Water

- Inadequate water to provide for good health. The animals may have marginally enough for survival, but insufficient for good health. Lack of water may cause suffering and death.

Source:

Figure 8-39 Evidence of Inadequate Water (Dry Bucket)

Separation

This can include physical separation, as well as visual and scent barriers.

- Animals that are known to be social should be housed together in compatible groups
- Animals isolated may become stressed from lack of an appropriate social grouping
- Animals of the same species should be separated if they are **not** compatible
- Animals that are constantly feeling threatened by other animals, whether in the same enclosure or from adjoining enclosures, are under constant stress and suffering. Animals may become so stressed that they die.

EXAMPLE At one facility, there was a wallaby penned between two tigers that collapsed and died from the stress. Before it died, it spent its whole existence tucked tightly in one corner as far as it could get from the tigers. The cage bars were hardly adequate separation in this case.

Guidelines and Responsibilities for Confiscation of Animals

Recognition of Suffering by Animal Care

Animals may be found to be suffering from any condition which causes pain or distress if action is **not** taken to alleviate the condition. Examples of conditions which can cause suffering include, **without** limitation:

- Animals with serious medical problems that are **not** receiving adequate veterinary care
- Animals **without** adequate food or water
- Animals exposed to temperature extremes **without** adequate shelter or bedding
- Animals held in enclosures that are filthy

Animals do **not** need to be in jeopardy of dying to be in a state of suffering. Veterinary Medical Officers (VMO) and Animal Care Inspectors (ACI) are qualified to recognize animal suffering.

Animal Care Inspector Responsibilities

1. Promptly recognize animals suffering and initiate confiscation procedures in accordance with the regulations and resource material.
2. Involve and coordinate all on-site efforts with your SACS.
3. Clearly communicate to the authorized representative, verbally and in writing, all conditions that are causing animal suffering and the actions necessary for providing relief of that suffering. This includes writing a detailed inspection report that accompanies the Notice of Intent to Confiscate, and includes the following:
   A. Number and species of animal(s) found to be suffering and the individual identification numbers (for dogs and cats); also include the name of the animal (if verifiable), and/or a brief description of each animal, and/or the location of each animal (i.e., provide as much descriptive information as you can).
   B. Identification of deficiencies or conditions causing the suffering.
   C. Steps that **must** be taken to correct the problem and alleviate the suffering; e.g., examination and treatment by a qualified veterinarian.
   D. The time period in which the animal is to be given relief and adequate care. This time period **must** be as soon as possible after determining the animal is suffering, but typically **no** more than 24 hours.
   E. Current location of the premises or transport conveyance holding the affected animal.

F. A statement that the animal(s) shall **not** be removed from the premises or location **without** prior approval from Animal Care.

G. The signature of the authorized representative receiving this notification. If the authorized representative refuses to sign, the Animal Care representative **must** document the issuance of this notification by a sworn statement.

4. Take good photographs of conditions and animals involved. Take movies of lameness or neurologic problems, if possible.
5. Clearly communicate to the authorized representative Animal Care's authority and intent to confiscate animals if the suffering is **not** relieved within the prescribed time frame, using the Notice of Intent to Confiscate form.
6. Keep the SACS informed of the situation and current on all pertinent facts and issues. This includes providing inspection reports, photographs, and other relevant documents.
7. When discussing the situation with owners, be clear about what can and **cannot** be agreed upon prior to the actual confiscation or voluntary relinquishing of the animals. If you are unsure about this, contact your SACS. Any agreements should be put in writing and signed by the authorized representative.
8. If the suffering animal subject to confiscation is an endangered species or a marine mammal, notify the RD, who will then ensure coordination with appropriate government agencies.
9. Should any injury or illness occur during the course of a confiscation, ensure delivery of prompt emergency care, as needed. Refer to the AC Occupational Health and Safety Manual, or contact the Collateral Duty Safety and Health Officer (CDSHO) for assistance. Also, promptly notify your SACS and/or the RD.
10. Consider weather conditions and have a tarp/canopy available for shelter, tables, chairs, and other equipment, as needed, during the actual confiscation or in the staging area.

SACS Responsibilities

1. Ensure all inspection resources needed for the confiscation are assigned and present.
2. Work with the assigned inspector and Regional Office to ensure that suitable location(s) for the confiscated animal(s) are lined up.
3. On site responsibility for:

   A. Operational decisions involving the confiscation

   B. Ensure inspectors conduct themselves professionally

C. Address any media situations

D. Ensure good communication and coordination with State or local officials with animal welfare responsibility at the facility

4. Make sure cell phone is functional to answer calls from the Regional Office, as well as to keep the Regional Office regularly apprised of the status of the confiscation.
5. Based on what is happening at the facility, notify the Regional Office of any on site concerns and/or changes in procedures.

Regional Director Responsibilities

1. Promptly notify the Deputy Administrator (DA) and the Administrator's Office that confiscation procedures have, or will be, initiated.
2. If it is deemed necessary, obtain the opinion of a second Animal Care VMO or a private veterinarian with appropriate expertise with the species involved.
3. Request assistance and coordinate confiscation procedures with the IES Regional Director (IESRD).
4. Contact Ken Vail to have an OGC attorney assigned to the confiscation for legal guidance.
5. Arrange for appropriate transportation of confiscated animal(s), including trained animal handlers, if needed.
6. Ensure Legislative and Public Affairs (LPA) has all necessary information, and is on board to provide media assistance, if needed.
7. Ensure the availability and/or presence of a veterinarian knowledgeable in the species involved.
8. Provide the DA and the Administrator’s Office with the most current information, to include a summary email or memo listing the number and species of animals to be confiscated, the location of the animals, and the reason(s) for the confiscation action. Digital photographs of the animals and conditions should be included.
9. Advise the DA if the suffering animal subject to confiscation is an endangered species or a marine mammal, so that coordination with the appropriate government agencies can be initiated.
10. Coordinate all proposed legal actions (subpoenas, etc.) with the IES RD, and ensure through the assigned OGC attorney that said actions are legal and/or legally supportable.
11. Notify LPA and provide information for the press releases and arrange media assistance on site, if indicated. This may be especially important if animals will be euthanized.

12. Document anticipated expensed in advance, and send written estimates of costs for products or services to AC Headquarters.
13. When working with animals with contagious diseases, e.g., dogs infected with or exposed to brucellosis, establish a plan to deal with the disease. Determine APHIS' financial responsibility to test or treat any infected or exposed animals, or humans, if the disease is zoonotic.
14. Consider a temporary staging area to triage process large numbers of animals.
15. Promptly review and forward the IES investigative report to the IES Headquarters' staff.

Security

Confiscation involves Federal officials (USDA) entering and seizing the property (animals) of regulated members of the public. It can quickly turn into a violent situation. The USDA **must** have adequate law enforcement present at every confiscation. If there is inadequate law enforcement, the USDA cannot continue with the confiscation. If law enforcement is present but needs to leave before the operation is completed, the USDA must also leave.

The Security Branch of Emergency Management Safety and Security Division (EMSSD-SB) is responsible for coordinating security for confiscations. Typically, the RD or ARD will initiate contact with EMSSD-SB, but that initial contact can also be made by a SACS or member of AC's Program Response Team. EMSSD-SB can also delegate security to another person at the confiscation site.

Investigative Enforcement Services (IES) is the Agency's liaison with the Office of Inspector General (OIG). There may be times during a confiscation operation when IES needs to involve OIG in the acquisition or service of a subpoena or warrant. If at any point during the confiscation, OIG will have some or all responsibility for the safety of AC employees, the point person for communication with the OIG agents immediately becomes EMSSD-SB.

In cases where dangerous or potentially dangerous animals are involved, the law enforcement personnel on site must have weapons that are capable of bringing down the animals on site, should an escape happen. Wildlife Services has expertise with determining the appropriate weaponry for various species of animals.

Coordinate a pre-confiscation logistics meeting the day before the confiscation in order to ensure that all members of the confiscation team (AC, IES, EMSSD, law enforcement) understand the security plans and expectations before anyone goes on site.

Confiscation Timeliness

If the licensee states that he/she **cannot**, or will **not** correct the non-compliances causing the suffering, we will immediately confiscate the animals. Insufficient and/or incomplete corrections will also result in immediate confiscation. On the Notice of Intent to Confiscate, correction deadlines should **never** be more than 24 hours, but typically should be before the end of the day.

Authorized Representative is Unavailable

When the AC and IES representatives have reason to believe that an animal is suffering and the authorized representative for the animal **cannot** be found after a reasonable time (24 hours or less), the EMSSD-SB shall contact local law enforcement for assistance, and the AC veterinarian shall contact a qualified private veterinarian to accompany them to the premises. The veterinarian and the AC representative shall determine whether or **not** the animal is suffering, diagnose the problem and probable cause, and document the finding and recommendations in writing. The AC representative shall ensure that adequate care is provided to the animal. If the condition of the animal **cannot** be corrected by this temporary care, the AC representative shall confiscate the animal in accordance with this policy.

Sample Letters

TO:

FROM:

DATE:

SUBJECT: **Notice of Intent to Confiscate Animals**

PLEASE TAKE NOTICE

THEREFORE, the U.S. Department of Agriculture, Animal and Plant Health Inspection Service (APHIS) requires that these conditions be corrected immediately and that adequate care be given to alleviate the animals' suffering as directed in the attached inspection report. In the event you fail or refuse to comply with this request by 8:00 A.M. on May 27, 2010, APHIS may confiscate the animals, pursuant to section 16 of the Animal Welfare Act (7 U.S.C._2146) and Title 9, Code of Federal Regulations, Section 2.129 (9 C.F.R._2.129).

Should you need further information, you may contact me at 919-855-7100.

Animal Care
Animal and Plant Health Inspection Service
U.S. Department of Agriculture

_____
Administrator
Animal Care Regional Director

Received By: _____ Date:_____

Title: _____

9.5.47

Figure 8-40 Notice of Intent to Confiscate Animals

United States Department of Agriculture

Marketing and Regulatory Programs

Animal and Plant Health Inspection Service

Animal Care

920 Main Campus Drive
Suite 200
Raleigh, NC 27606

Tel No. 919-855-7100
Fax No. 919-855-7123

TO:

FROM:
Administrator
Animal and Plant Health Inspection Service
U.S. Department of Agriculture

DATE:

SUBJECT: **Notice of Confiscation of Animals**

PLEASE TAKE NOTICE that the following animals

Are hereby confiscated by the U.S. Department of Agriculture, Animal and Plant Health Inspection Service, pursuant to section 16 of the Animal Welfare Act (7 U.S.C. _ 2146) and Title 9, Code of Federal Regulations, section 2.129 (9 C.F.R. _ 2.129), for the failure to provide the adequate and necessary care to an animal.

_____
Administrator
Animal and Plant Health Inspection Service
U.S. Department of Agriculture

9.5.48

Figure 8-41 Notice of Confiscation of Animals

Chapter

9

Animal Care Policies

Contents

Overview and Summary of Changes to Policies

The Animal Health Inspection Service (APHIS) has revised and updated the policies contained in the Animal Care Resource Guide.

Summary

On July 24, 2007, APHIS announced on Regulations.gov that it was conducting a review of the policies contained in its Animal Care Resource Guide and welcomed comments from the public. After careful review of the public comments as well as information gathered from stakeholder presentations at industry and interest group meetings held annually since 2007, APHIS has revised and updated Animal Care's policies. Specifically, we eliminated five policies that are no longer necessary and removed mandatory language from the remaining policies. We also made substantive revisions to select policies, including the policies that provide guidance on: declawing and defanging of wild or exotic carnivores and nonhuman primates; licensing of hoofstock dealers; major survival surgeries; the role of Institutional Officials in the Animal Care and Use Program at research facilities; proper diets for nondomestic felids; and capture methods of prairie dogs. Finally, we have made several editorial changes for clarity and to make the policies easier to read.

Background

On July 24, 2007, APHIS announced on Regulations.gov that it was conducting a review of the policies contained in its Animal Care Resource Guide ("the policies") and welcomed comments from the public on them. The policies provide guidance for USDA Animal Care field inspectors and owners and handlers of animals subject to the Animal Welfare Act stating how certain provisions of the Animal Welfare regulations should be interpreted. APHIS undertook this review to ensure that the policies are consistent with the standards set out in OMB's bulletin on agency good guidance practices and to update the policies, some of which have not been revised in over 12 years.

APHIS received 64 comments from the public on the policies contained in the Animal Care Resource Guide. Among other members of the public, the comments we received were submitted on behalf of:

- Research committees and associations (including the National Association for Biomedical Research and the Federation of American Societies for Experimental Biology)
- Universities and colleges (including Johns Hopkins University, Cornell University, Stanford University, and the University of California system)
- Regulated entities, such as research facilities (GlaxoSmithKline Laboratory Animal Science and Sanofi-Aventis), exhibitors (including Feld Entertainment, Inc.), and breeders
- Animal welfare and protection organizations (including the Humane Society of the United States, People for the Ethical Treatment of Animals, the American Society for the Prevention of Cruelty to Animals, and the Animal Protection Institute)

- Animal sanctuaries and conservation organizations (including the Alliance of Marine Mammal Parks and Aquariums).

The commenters made general recommendations that apply to all policies in the Animal Care Resource Guide, as well as specific comments that refer to select policies in the Guide. The general comments supported Animal Care's review of the policies in accordance with the OMB bulletin and recommended that the program make clear that alternatives for complying with the suggested course of action are permissible. Several commenters also recommended that the Guide include a preface and page headers that clearly identify the policies as nonbinding guidance documents. Specific comments recommended changes to virtually every policy and addressed, among other things, the following issues: Denial of AWA license applications; submission of traveling exhibitor itineraries; veterinary care; regulations of wild/exotic animal auctions under the AWA; space and exercise requirements for traveling exhibitors; procedures involving animals that cause pain or distress and consideration of alternatives to painful/distressful procedures; animal identification; and regulation of agricultural animals.

After careful review of the existing policies and the comments we received from the public, APHIS has revised and updated the policies contained in its Animal Care Resource Guide. These changes can be broken down into three broad topics: (1) Policies that have been eliminated from the Animal Care Resource Guide; (2) general, across-the-board updates and revisions made to the remaining policies; and (3) substantive changes made to specific policies. These topics are discussed below.

Policies Eliminated from the Guide

APHIS has eliminated old Policies #1, 4, 8, 9, and 17 from the Animal Care Resource Guide. Old Policy #1, "Denial of AWA License Applications," contained guidance on when a license application can be denied, and when and what it means for a license to be invalid. This guidance is no longer necessary because of revisions made to the AWA regulations in a final rule published on July 14, 2004 (Docket No. 97-121-3, 69 FR 42089-42102). Among other changes, our July 2004 final rule amended 9 CFR 2.1 and 2.11 by clarifying the procedures for license applications and renewals, including the circumstances that make an applicant unsuitable for a license.

Old Policy #4, "Use of Leased Animals by Licensees," summarizes the responsibilities of lessees and lessors of animals, as set out in the AWA regulations. Because these responsibilities are now clearly described in 9 CFR 2.6, old Policy #4 is unnecessary.

Extensive instructions have been provided to inspectors and responsible officials in the Inspection Guide, contained in the Animal Care Resource

Guide, concerning the confiscation and destruction of animals (Appendix 5: New Confiscation Guidance), barrier facilities and specific pathogen-free (SPF) colony inspections (Sec. 6.4), and annual report requirements for research facilities (Appendix 4: Guidance on Column E). To eliminate redundant information in the policies, we have removed old Policies #8, 9, and 17, from the Animal Care Resource Guide.

General Changes

APHIS has made several overarching changes to the remaining policies in the Animal Care Resource Guide. First, we have removed mandatory language, with certain exceptions (such as where such language is used to describe a statutory or regulatory requirement or is addressed to agency staff) consistent with OMB's bulletin on good guidance practices. Second, we have updated the references to the policies' statutory and regulatory authorities. Third, we have revised the titles of several policies to more accurately reflect the subject matter contained therein. Fourth, we have merged policies that are topically related to make the Animal Care Resource Guide more user-friendly. Finally, we have made several editorial changes for clarity, including adding clarifying definitions where appropriate, adding and revising examples of regulated and exempt activities under the AWA, and revising discussions of our regulatory and statutory authorities.

Policy-Specific Changes

In addition to the overarching changes we are making to the policies, APHIS is making several policy-specific changes. These changes include the following:

Policy #3. Veterinary Care

Policy #3 provides guidance on the AWA's requirement that all regulated animals must be provided adequate veterinary care. Among other things, this policy clarifies that the declawing of wild or exotic carnivores and the removal of canine teeth of nonhuman primates and wild or exotic carnivores do not constitute appropriate veterinary care, with certain exceptions. This policy has been revised to clarify our guidance on tooth reduction in nonhuman primates and wild or exotic carnivores. The revised policy states that tooth reduction that exposes the pulp cavity does not constitute appropriate veterinary care as it may result in oral pathologic conditions and pain. However, reduction that does not expose the pulp cavity may be acceptable in some instances, such as a behavioral study or breeding situation.

Policy #8: Criteria for Licensing Hoofstock Dealers

Policy #8 provides guidance on when a dealer's license is required for persons selling hoofstock for regulated purposes under the AWA. Among other examples, this policy explains that a dealer's license is required when a person sells the majority of their domesticated farm hoofstock (such as sheep, cattle,

goats, pigs and llamas) for regulated purposes and more than ten animals are sold for regulated purposes in a twelve-month period. This policy has been revised by adding a similar requirement for wild hoofstock. Under the revised policy, a person who sells more than ten wild hoofstock (such as deer, bison, or elk) for regulated purposes in a twelve-month period must obtain a dealer's license. This does not apply to exotic animals such as zebra, hippopotami, ibex, camel, and giraffe.

Policy #14. Major Survival Surgery; Dealers Selling Surgically-Altered Animals to Research

The AWA regulations prohibit the use of animals in more than one major operative experiment, with certain exceptions. When seeking an exemption from this requirement, Policy #14 recommends that the Institutional Official of the research facility submit a request to the appropriate Animal Care Regional Director. Information that should be included in the request includes an outline of the research proposal for which the procedure(s) is requested, the timeframe of the proposed exempt procedure, and other information. APHIS has revised this policy by recommending the inclusion of additional information in such an exemption request. Specifically, the information request should also include a means by which to uniquely identify the research proposal and a method of permanently identifying the individual animals involved. This information will ensure that APHIS will be able to evaluate and respond to requests appropriately.

Policy #15. Institutional Official and IACUC Membership

Policy #15 provides clarification of specified individual roles in the Animal Care and Use Program at research facilities. This policy has been expanded to provide guidance on the role of the Institutional Official. In the regulations, the Institutional Official is defined as the person authorized to legally commit on behalf of the facility that the requirements of the regulations will be met. To accomplish this goal, the revised policy clarifies that the Institutional Official should be someone with the authority to promulgate, implement, and enforce policies across department lines and the fiscal authority to provide for adequate staffing, program improvements, facility repairs, and renovations that meet the needs of the institution's program.

Policy #16. Proper Diets for Nondomestic Felids

We have made several changes to Policy #16, which provides guidance on acceptable nutritious food for nondomestic felids (including big cats, such as lions, tigers, cougars, and pumas). First, we expanded our recommendations concerning the feeding of roadkill to nondomestic felids. While the policy continues to discourage the feeding of roadkill and advises that, when used, it must be fresh and wholesome, the revised policy also states that the roadkill must be free of certain types of contamination that can be visually observed,

such as pus, maggots, or worms. Second, we added that swine from herds that have been identified with pseudorabies should not be fed to any species of felid. Third, we revised our guidance that animals may be fasted for one or two nonconsecutive days per week by clarifying that the recommendation only applies to animals that fall within a normal weight range. Normal weight range means that the animal would not be considered too thin by the attending veterinarian or another knowledgeable big cat expert. Finally, we revised this policy by recommending that, if any puppy milk replacer products are used to feed young felids, then taurine must be added to the formula daily to meet the needs of the young felids. These changes are necessary to ensure appropriate guidance on proper diets for nondomestic felids.

Policy #19. Capture Methods of Prairie Dogs

Policy #19 provides clarification regarding methods of capturing prairie dogs. APHIS has made three substantive changes to this policy. First, we removed the requirement that capture methods for prairie dogs must be approved by the AC Regional Director and that an Animal Care Inspector or Veterinary Medical Officer must validate that the method does not cause unnecessary discomfort, harm, or behavioral distress to the animals. Second, we revised our recommendations concerning the use of water and vacuum equipment in the capture of prairie dogs. The revised policy provides that such methods, as well as the use of noxious gas in prairie burrows, are not in compliance with Sec. 2.131(a)(1), which requires the humane handling of all regulated animals. Live trapping of prairie dogs must only be done with humane traps that do not injure the prairie dog upon capture. The traps must be checked with sufficient frequency to assure that the animal does not go without food, water, or shelter for an unnecessary period of time. Finally, we revised this policy by removing the requirement that an itinerary of capture dates and sites must be provided to the appropriate AC Regional Office at least 2 days prior to collection. No such notice is required under the revised policy.

Conclusion

The forgoing revisions and updates to the policies in the Animal Care Resource Guide help to ensure greater consistency with the OMB bulletin. These changes also help to ensure that the policies properly describe and interpret our statutory and regulatory authorities and make the policies easier to read and understand. Based on the comments we received from the public on Regulations.gov and information gathered from stakeholder presentations at industry and interest group meetings, we believe the changes to the policies are clear and understandable. Overall, we expect that the revised policies will be well-received by our stakeholders and other interested members of the public.

Policy #1 Control of Tuberculosis in Regulated Elephants

References

Animal Welfare Act (AWA) Section 2143

9 Code of Federal Regulations (CFR) Part 2, Section 2.40(b)(2)

History

Replaces policy dated April 1, 1998 and previously identified as Policy #21.

Justification

Tuberculosis is a contagious disease that affects elephants, other animals, and humans. If left untreated or if treated improperly, it can cause death. Several elephants owned by licensed exhibitors have either tested culture positive for tuberculosis or have died due to this disease. In addition, elephants with tuberculosis can transmit the disease to other elephants, other animals, and, potentially, to humans. The Animal and Plant Health Inspection Service (APHIS), Animal Care (AC) is requiring the periodic testing of all Animal Welfare Act regulated elephants. Testing will help us to identify those elephants that are infected and ensure that appropriate quarantine and/or treatment measures are instituted.

Policy

As part of the adequate veterinary care standard in the U. S. Department of Agriculture's (USDA) animal welfare regulations, all captive elephants in the United States must be periodically tested for tuberculosis. Any animals found positive on culture will be required to undergo quarantine and/or treatment.

In conjunction with this policy, USDA, APHIS, AC is offering "Guidelines for the Control of Tuberculosis in Elephants", a protocol that specifies criteria for the testing, surveillance, and treatment of elephants for tuberculosis. Copies of this protocol are available from all AC Regional Offices and on the AC website.

Licensees must either follow the recommended guidelines or provide a comparable testing and monitoring program that is consistent with AC's goals of ensuring the welfare of captive elephants and minimizing the potential spread of tuberculosis. Any protocol other than the recommended guidelines should be reviewed and approved by AC prior to implementation. Alternate

plans should be submitted to the appropriate AC Regional Office. During the course of routine inspections, AC inspectors will review documentation that assures that elephants are being tested, and, if the animals test positive or are diseased, are treated according to the recommended guidelines or other APHIS approved protocol. In addition, due to the possibility of humans transmitting tuberculosis to elephants, AC's guidance is that all attendants, handlers, and/or trainees who have direct contact with elephants should be tested for tuberculosis on at least an annual basis. It is the responsibility of each licensee, in consultation with a physician or other appropriate medical authority, to determine how this procedure should be satisfied.

Policy #2 Submission of Traveling Exhibitor Itinerary

References

AWA Sections 2143, 2147

9 CFR, Part 2, Sections 2.8, 2.125, 2.126

History

Replaces policy dated April 14, 1997

Justification

The Animal and Plant Health Inspection Service (APHIS), Animal Care (AC) has been provided the authority to require records or reports that are needed to effectively enforce the Animal Welfare Act (AWA). In order for licensed traveling facilities to comply with the requirement of readily available access to the premises by the APHIS inspector, APHIS must be kept apprised of the location of the facility.

Policy

Exhibitors who are in continuous travel status should update their itinerary as often as necessary to ensure AC knows their whereabouts at all times.

Circuses, petting zoos, and animal acts with an established route should notify AC in advance of departing their home facility and update travel information as needed.

Exhibitors who take animals from their facilities from time to time should notify AC when any animal is gone more than four (4) consecutive days. Upon request, a licensee shall provide an itinerary of absences of less than four (4) days.

Providing notification ensures the opportunity for access for an unannounced inspection, eliminates unnecessary AC visits when a licensee has been inspected recently, and minimizes resources needed to locate the exhibitor. The itinerary should provide the following:

1. Dates away from home facility
2. City and State for all stops

3. Site name or address of all stops

Similar information should be provided for all periods of "lay-over" while traveling.

The licensee may provide this information to AC by any of the following methods:

A. Mail information to the Regional office or inspector
B. Fax information to the Regional office or inspector
C. Email information to the Regional office or inspector

Notice should be made in advance of travel and updated as changes or additions occur.

Policy #3 Veterinary Care

References

AWA Section 2143

9 CFR, Part 2, Section 2.31, 2.32, 2.33, 2.40

9 CFR, Part 3, Section 3.110

History

Replaces memoranda dated May 31, 1990; November 29, 1991; April 6, 1992; and September 25, 1992. Replaces policies dated April 14, 1997; January 14, 2000; August 18, 2006; and July 17, 2007.

Justification

Provides requested guidance. The Animal Welfare Act (AWA) requires that all regulated animals be provided adequate veterinary care.

Policy: Expired Medical Materials

The use of expired medical materials such as drugs, fluids, or sutures on regulated animals is not considered to be acceptable veterinary practice and is not consistent with adequate veterinary care as required by the regulations promulgated under the Animal Welfare Act. The facility should either dispose of all such materials or segregate them in an appropriately labeled, physically separate location from non-expired medical materials. The Animal and Plant Health Inspection Service (APHIS), Animal Care (AC) has no jurisdiction over facilities using expired medical materials for non-regulated animals or non-regulated activities.

For acute terminal procedures, where an animal is put under anesthesia, the research is carried out (surgery or testing of a compound) and the animal is euthanized without ever waking up, medical materials may be used beyond their “to be used by” date if such materials use does not adversely affect the animal’s wellbeing or compromise the validity of the scientific study. Anesthesia, analgesia, emergency drugs and euthanasia drugs that are within their expiration dates are required for all such procedures. Facilities allowing the use of expired medical materials in acute terminal procedures should have a policy covering the use of such materials and/or require investigators to describe in their animal activity proposals the intended use of expired

materials. The attending veterinarian and the Institutional Animal Care and Use Committee (IACUC) are responsible for ensuring that proposed animal activities avoid or minimize discomfort, distress, and pain to the animal. APHIS has determined that these responsibilities cannot be met unless the veterinarian and the IACUC maintain control over the use of expired medical materials.

Pharmaceutical-Grade Compounds in Research

Investigators are expected to use pharmaceutical-grade medications whenever they are available, even in acute procedures. Non-pharmaceutical- grade chemical compounds should only be used in regulated animals after specific review and approval by the IACUC for reasons such as scientific necessity or non-availability of an acceptable veterinary or human pharmaceutical-grade product. Cost savings is not a justification for using non-pharmaceutical grade compounds in regulated animals.

Surgery

Survival Surgeries: AWA regulations require that survival surgeries be performed using aseptic techniques and that major operative procedures on nonrodents be performed only in dedicated surgical facilities. For the purposes of this policy, designated surgical facilities are those that are set up to be cleaned and maintained in an aseptic condition, and are not used for other purposes when they are not being used for surgery. They must be maintained in good repair to meet aseptic requirements. APHIS has determined that motel meeting rooms and auditoriums do not qualify as dedicated surgical facilities.

Nonsurvival Surgeries. Nonsurvival surgeries do not require aseptic techniques or dedicated facilities but should be performed in a clean area, free of clutter, and using acceptable veterinary sanitation practices equivalent to those used in a standard examination/treatment room. Personnel present in the area should observe reasonable cleanliness practices for both themselves and the animals.

Current professional standards preclude eating, drinking, or smoking in surgery areas, and locations used for food handling purposes do not qualify as acceptable areas for performing surgeries.

Pre- and Post-Procedural Care

All animal activity proposals involving surgery must provide specific details of pre- through post-procedural care and relief of pain and distress. The principal investigator must involve the attending veterinarian or his/her designee in planning the type of care that may be provided. The appropriate use of drugs to relieve pain and/or distress should be specified in the animal activity proposal to avoid possible delays due to investigator concerns that a treatment regimen may interfere with the study. Furthermore, the specified drugs for relief of pain and/or distress must be readily available for use as described in the proposal. However, the attending veterinarian retains the authority to alter post-operative care if unexpected pain and/or distress occur in an animal. The IACUC must approve a significant change to the protocol if the attending veterinarian requests to alter post-operative care for the remaining animals. The withholding of pain and/or distress relieving care must be scientifically justified in writing and approved by the IACUC.

While an animal is under post-surgical care, the ownership of the animal is not to change. If the animal is taken to an off-site location, such as a farm, for post-operative care, that location should be identified as a site of the research facility or a site of another registered research facility in order for AC to conduct an inspection. To comply with adequate veterinary care requirements and in accordance with currently accepted standards of practice, an animal is not to be taken to an off-site location before it fully recovers from anesthesia unless justified in the animal activity proposal. Appropriate post-operative records should be maintained in accordance with professionally accepted veterinary procedures regardless of the location of the animal.

Program of Veterinary Care

Facilities which do not have a full-time attending veterinarian must have a written Program of Veterinary Care (PVC). This Program must consist of a properly completed APHIS Form 7002 or an equivalent format. The attending veterinarian must visit the facility on a regular basis, i.e., often enough to provide adequate oversight of the facility's care and use of animals. APHIS recommends this visit occur at least annually. Records of visits by the attending veterinarian should be kept to include dates of the visits and comments or recommendations of the attending veterinarian or other veterinarians.

The PVC should be reviewed and updated whenever necessary (e.g., as a new species of animal or a new attending veterinarian is obtained, or the preventive medical program changes). APHIS recommends that the PVC be initialed and dated by both the attending veterinarian and the facility representative whenever it is changed or reviewed without change. The preventive medical program described in the PVC is expected to be in accordance with professionally accepted veterinary practice (e.g., appropriate vaccinations,

diagnostic testing). It should include zoonotic disease prevention measures and, if necessary, special dietary prescriptions.

Declawing and Defanging Practices in Wild or Exotic Carnivores or Nonhuman Primates

Declawing of wild and exotic carnivores and the removal or reduction of canine teeth in nonhuman primates and wild and exotic carnivores have been used in the past in an attempt to minimize dangers presented during human interaction with these species. These procedures are not innocuous and can cause ongoing pain, discomfort, or other pathological conditions in the animals. In addition, they do not prevent predatory behaviors, safeguard the general public, or prevent biting in nonhuman primates and carnivores.

The declawing of any wild or exotic carnivore does not constitute appropriate veterinary care. Any medical treatment of a paw should be limited to the affected digit(s) or area and should not require bilateral declawing.

The removal of the canine teeth of a nonhuman primate, or wild or exotic carnivore, unless for the immediate medical needs of the animal does not constitute appropriate veterinary care.

Tooth reduction that exposes the pulp cavity does not constitute appropriate veterinary care as it may result in oral pathologic conditions and pain. Reduction that does not expose the pulp cavity may be acceptable in some instances such as a behavioral study or breeding situation.

The American Veterinary Medical Association (AVMA) has developed a policy statement on these issues that supports APHIS' recommendation. It also suggests alternatives to dental surgery such as behavioral modification, environmental enrichment, and changes in group composition. A full text of AVMA policies can be found on www.avma.org.

Health Records

Health records are needed to convey necessary information to all people involved in an animal's care. Every facility should have a system of health records sufficiently comprehensive to demonstrate the delivery of adequate health care.

For traveling exhibitors, information on any chronic or ongoing health problems and information on the most current preventive medical procedures should accompany any traveling animals, but the individual medical history records may be maintained at the home site.

Euthanasia

The method of euthanasia should be consistent with the current AVMA Guidelines on Euthanasia, the American Association of Zoo Veterinarians (AAZV) Guidelines for Euthanasia of Nondomestic Animals, or the European Commission Working Party documents.

Gunshot as a routine method of euthanasia endangers surrounding animals, buildings, and personnel, and it is likely to cause distress to other animals. It should only be used in situations where other forms of acceptable euthanasia cannot be used (such as emergency or field conditions where the animal cannot be appropriately restrained) or in cases where gunshot will reduce danger to other animals or humans. Only personnel skilled in the use of firearms, using appropriate firearms, and familiar with the "kill point" of an animal should perform the euthanasia. If the firearm is not aimed so that the projectile enters the brain and causes rapid unconsciousness and subsequent death without evidence of pain or distress, this method does not meet the definition of euthanasia. (All State and local laws relevant to gunshot must also be met.)

Also note that in accordance with the "Expired Medical Materials" section of this policy, the use of expired euthanasia drugs is considered inadequate veterinary care.

Policy #4 Necropsy Requirements

References

AWA Section 2143

9 CFR, Part 2, Section 2.33 and 2.40(b)(2)

History

Replaces policy dated October 13, 1998 and previously identified as Policy #22.

Justification

Current regulatory and policy requirements for the performance of a necropsy have focused on elephants and marine mammals. Notwithstanding these requirements, there are times when the performance of one or more necropsies is necessary to provide adequate veterinary care for a facility by providing diagnoses of conditions, thereby allowing for adequate prevention, control, and treatment of the disease.

Policy

When warranted by circumstances including--but not limited to--the list below, and at the discretion of the attending veterinarian, regulated facilities should perform necropsies as part of providing adequate veterinary care. Similarly, the Animal and Plant Health Inspection Service (APHIS) inspector, in consultation with their supervisor, may require a facility to perform necropsies on selected regulated animals which die (including by euthanasia) at that licensed or registered facility. Necropsy records, like other medical information, should be maintained at the facility for at least 1 year or as otherwise specified in the Animal Welfare Act (AWA) regulations and standards, and be made available on request to APHIS personnel. Necropsies should be conducted within an appropriate interval after the death, and/or the body should be kept at appropriate refrigerated temperatures to ensure a meaningful examination. All necropsy reports should be signed and dated by the veterinarian preparing the report.

Circumstances which may warrant a necropsy:

- The facility is undergoing a high death loss.
- There are a significant number of unexplained deaths at the facility.

- There exists a strong chance that an undiagnosed infectious disease is present at the facility (with or without potential zoonoses).
- Circumstances around a death indicate a violation of the AWA may have contributed to the situation.

For the purposes of this policy, a "necropsy" means an appropriate postmortem examination (which complies with currently acceptable professional standards) of the animal performed by or under the direct supervision of a veterinarian experienced with that species. It may include, but is not limited to, a systemic gross pathology examination (internal and external), appropriate microbiological culture and histopathology of lesions, and other indicated testing. All results should be recorded in the animal's medical record.

Note: For marine mammals, see the requirements relating to necropsies at 9 CFR 3.110(g).

For elephants, see the requirements in the TB Guidelines document.

Policy #5 Regulation of Wild/Exotic Animal Auctions Under AWA

References

AWA Section 2142

9 CFR, Part 2, Section 2.1, 2.6, 2.75, 2.76, and 2.100

9 CFR, Part 3, Subpart F

History

Replaces memorandum dated February 1, 1991, and policy dated April 14, 1997.

Justification

Provides needed guidance regarding these activities.

Policy

All regulatory requirements pertaining to exotic animal auctions must be met by the operator of the auction as well as the consignor (if the consignor is licensed or required to be licensed). The following provides clarification for some of those requirements.

Licensing Requirements at Wild/Exotic Animal Auctions

Animal Welfare regulations require that persons selling exotic or wild animals for covered purposes be licensed. Therefore, operators of wild/exotic animal auctions must hold a current USDA Class B license. Some but not all persons consigning animals to these auctions need to be licensed. While some exotic or wild animals consigned at auctions are clearly sold only for covered purposes, others are often sold for non-covered purposes such as for food or fiber, or for hunting on game ranches. The three categories below are intended to help determine whether consignors need a USDA license.

Table 9-1 Categories of Animals Needing Licenses

Never need a license	May need a license	Always need a license
Birds	Alpacas and llamas	Coatis
Horses, donkeys, mules	Farm-type animals not used for agriculture purposes	Kinkajous
Reptiles	Foxes and mustelids[1]	Wild/exotic canids
Farm-type animals used for agriculture purposes	Wild or exotic hoofstock	Megaherbivores (elephants, rhinos, hippos, giraffes)
	Opossums	Primates
	Rabbits, raccoons, squirrels	Wallabies and kangaroos
	Zebras	Wild/exotic cats[1]
	Camels	Bears
	Common pet-type animals	Pocket pets
	Cavies	

1 Animals used for fur, food, or hunting are exempt.

The above listings are intended as guidance only. Persons selling animals listed in the middle column, or animals not listed may wish to contact the appropriate Animal Care regional office for guidance.

Animal Enclosures

Animals are often maintained at an auction ground in transport enclosures. These animals are considered to be “in transit” and may remain in these enclosures while at the auction as long as all requirements for transport enclosures are met or exceeded. Only the enclosure requirements from the Transportation Standards for the appropriate species will be used to determine compliance. However, if an animal shows obvious physical distress, including signs of behavioral stress, physical harm or unnecessary discomfort while held for long periods in a transport enclosure, the auction owner (and the consignor, if licensed) will be cited for a handling violation. Incompatible animals should not to be held in the same enclosure or close to other animals that may cause them stress.

Handling of Animals

Auction employees must be properly trained and experienced to handle animals during a sale. If the auction does not have any personnel qualified to handle certain animals, those animals should only be handled by the consignor, assuming that person is qualified. Being transferred from a transport enclosure to another larger enclosure can be stressful for many animals and must be accomplished by persons trained in making such transfers. There can be disastrous results if animals are moved by untrained and/or inexperienced persons. If an individual enters the auction facility with an animal (e. g. a primate) that is not consigned, and becomes involved in an incident with that animal, the auction (and the individual, if licensed) may be cited for a handling violation.

Regulatory Responsibilities

Responsibility for care of the animals rests with the consignor (if the consignor is licensed or required to be licensed) as well as the operator of the auction. All regulatory requirements for the animals' care, including the provision of veterinary care when necessary, must be met. The auction's responsibility does not extend to animals kept in transport vehicles in auction parking lots, etc. Animals are then the sole responsibility of the persons transporting them. Every covered animal that the auction consigns will be regulated while it is within the auction facility.

Public Exhibition of Animals

Animals are often kept on display for public viewing during an auction. In fact, many members of the public go to auctions simply to see the animals with no intention of bidding on them. Therefore, operators of auctions should utilize appropriate barriers and/or distance so as to ensure the safety of the animals and public. A sufficient number of readily identifiable attendants should be present at all periods of public contact with the animals.

Policy #6 Space and Exercise Requirements for Traveling Exhibitors

References

AWA Section 2143

9 CFR, Part 3, Sections 3.6, 3.8, 3.28, 3.53, 3.80, 3.104, 3.128

History

Replaces memorandum dated June 6, 1984, and policies dated March 5, 1998, and October 13, 1998.

Justification

Some traveling exhibitors maintain animals long term in transport cages during "travel status." This policy clarifies when the licensee is required to meet full primary enclosure space requirements and/or provide sufficient exercise space and time for animals in traveling exhibits.

Policy

Animals exhibited in traveling shows may be transported in enclosures that meet the space requirements for transport as specified in Sections 3.14, 3.36, 3.61, 3.87, 3.113, and 3.137 ONLY during actual transport, i.e., movement in a conveyance between temporary locations. At all other times, they must be provided with space as described below.

- Dogs, cats, rabbits, guinea pigs, hamsters, nonhuman primates, and marine mammals must be housed in primary enclosures that meet the space requirements described in Sections 3.6, 3.28, 3.53, 3.80, and 3.104, respectively.
- Primary enclosures for all other animals must allow space for each animal to express all species-typical postures, social adjustments, behaviors, and movements. For example, 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 feeder doors or bars. Animals that normally engage in occasional vertical postures, such as bears and many felines, must have sufficient vertical space available to accommodate these postures. Bears often stand upright on their rear legs and must be allowed sufficient vertical space within their housing enclosure to do so. Many

felines also stand on their rear legs, for example, when using scratching posts. If enclosures used while "on the road" (i.e., when away from permanent quarters but not actually in transit) do not provide adequate height for animals that occasionally exhibit vertical postures to engage in such activities, this requirement may be satisfied through release of the affected animals into an exercise pen or equivalent. If a pen is used for this purpose, animals should be released at least once per day and allowed to remain for a reasonable length of time unless otherwise justified. These periods should be in addition to regular performance and practice time.

- When elephants are housed on chains while not in transport, chains must be of sufficient length and arrangement so as to permit each elephant to comfortably lie down, get up, self-groom, and move about within a reasonable range. If elephants are kept unchained in a truck or railway car, each elephant must have enough space to make these postural adjustments as well. This also applies to tethered hoofstock.
- When more than one animal is kept in an enclosure at one time, all animals must simultaneously have sufficient space to accommodate the postures and movements described above.
- Subpart F animals (for example, elephants, hoofstock, and exotic cats) are required to have "sufficient space to allow each animal to make normal postural and social adjustments with adequate freedom of movement." Enclosures that allow only postural adjustments are inadequate to meet this requirement. APHIS has determined that "adequate freedom of movement" includes the ability to exercise. Since it is sometimes difficult for a traveling exhibitor to provide a primary enclosure large enough to allow an animal sufficient exercise, an enclosure that allows only "normal postural and social adjustments" will be considered acceptable if the animal contained therein is released regularly from the primary enclosure into a secure space, such as a ring or corral, that provides the opportunity for species-appropriate exercise. This release should occur at least once per day for an appropriate length of time unless otherwise justified. These periods will be in addition to regular performance and practice time. For some species, an area enclosed by an electrical fence is acceptable for this purpose if monitored at all times. Trained elephants and domestic hoofstock may be walked by a qualified handler for this purpose. These provisions apply only to the need for additional space for exercise. Other than to satisfy the vertical posturing needs of animals that occasionally exhibit such movement, the requirement for "sufficient space to allow each animal to make normal postural and social adjustments" cannot be met by periodic release into a larger enclosure. When a traveling exhibitor is not actually in transit (i.e., when he/she is set/setting up for a show or in a holding location), animals must be kept in enclosures which allow them to express postural adjustments typical of their species.

Policy #7 Brachiating Species of Nonhuman Primates

References

AWA Section 2143

9 CFR, Part 3, Section 3.80

History

Replaces memorandum dated July 31, 1991; letter dated June 30, 1992; and policy dated April 14, 1997.

Justification

Clarification is needed to specify brachiating species of nonhuman primates in order to determine proper space requirements.

Policy

In reference to space requirements under Section 3.80, APHIS has determined that brachiating species include:

A. spider monkeys (*Ateles* spp.)
B. woolly spider monkeys (*Brachyteles* spp.)
C. woolly monkeys (*Lagothrix* spp.)
D. gibbons and siamangs (*Hylobates* spp.)
E. chimpanzees, bonobo, and young gorillas and orangutans

Brachiating means any primate whose form of locomotion involves using its arms, legs, and/or tail while its body is suspended. The intent of the space regulations is to provide sufficient space for all species-typical postural and locomotive behaviors. Since each of these species engages in brachiating type movement, the larger space provided for Group 6 primates is appropriate.

Policy #8 Criteria for Licensing Hoofstock Dealers

References

AWA Section 2133

9 CFR, Part 1, Section 1.1

9 CFR, Part 2, Section 2.1

History

Replaces memoranda dated Feb. 6, 1991; April 4, 1991; June 19, 1991; July 1, 1991; and Sept. 26, 1994. Replaces policies dated October 13, 1998 and August 26, 2002 and previously identified as Policy #23.

Justification

Provides needed clarification.

Policy

The following criteria are examples of when a dealer's license is required for people selling hoofstock:

- Sells animals only for regulated purposes such as biomedical research, exhibition or as pets
- Sells the majority of their domesticated farm hoofstock (sheep, cattle, goats, pigs, llamas) for regulated purposes and more than ten animals are sold for regulated purposes in a 12-month period
- Sells more than 10 wild hoofstock (such as deer, bison, or elk) for regulated purposes in a 12-month period or one or more exotic animals such as a zebra, hippopotami, ibex, camel, giraffe, etc.

The following criteria are examples of activities which we believe do not warrant our inspection of the premises or require the issuance of a license:

- Sales to game ranches, or to private collectors
- Sales for breeding purposes only
- Sales for agricultural purposes or to improve food and fiber production

Generally, farm animals are regulated only for purposes of biomedical research, nonagricultural exhibit, or dealing as defined above. Horses are regulated only when used for biomedical research.

Policy #9 Adequate Enclosures for Flying and Aquatic Species

References

AWA Section 2143

9 CFR, Part 3, Section 3.128

History

Replaces policy dated October 13, 1998 and previously identified as Policy #24.

Justification

The unique biological and physiological needs of these species require clarification of their space requirements as set forth under the general language of Section 3.128.

Policy

To meet the requirement for sufficient space for normal social and postural adjustments with adequate freedom of movement, Subpart F species that fly (i.e., bats) should be provided with sufficient unobstructed enclosure volume to enable movement by flying and sufficient roosting space to allow all individuals to rest simultaneously.

For Subpart F species that, under natural conditions, spend a significant portion of their time in water (such as capybaras, beavers, river otters, hippopotami, tapirs, etc.,), compliance with space requirements means there should be both dry and aquatic portions of the primary enclosure, each of which must, at a minimum, provide sufficient space to allow each animal therein to make “normal postural and social adjustments with adequate freedom of movement.” “Normal postural and social adjustments” and “adequate freedom of movement” are to be determined according to what is normal for that species under natural conditions.

For example, hippopotami are known to be aquatic during daylight hours and often submerge completely for long periods, sometimes walking underwater, often floating without standing. At night they become terrestrial and graze on the ground. An amount of space that permits “adequate freedom of movement” and “normal postural and social adjustments” should consist of dry and aquatic

areas that each allow for at least minimal locomotion of the kind that hippos would normally engage in within that medium. Aquatic areas of primary enclosures should not contain water which would be detrimental to the health of the animals in those enclosures. This policy is not meant to cover marine mammals, whose requirements are delineated in Subpart E.

Policy #10 Specific Activities Requiring a License or Registration

References

AWA Section 2132

9 CFR, Part 1, Section 1.1

9 CFR, Part 2, Section 2.6(c)

History

Replaces policy dated April 14, 1997, and March 7, 2006.

Justification

Provides clarification on the licensing and/or registration of producers of antibodies, sera or other animal parts, producers of genetically engineered and cloned animals, and licensed exhibitors. Production of Pregnant Mare Urine (PMU) is not covered by the Animal Welfare Act (AWA).

Policy

Producers of Antibodies, Sera and/or Other Animal Parts

APHIS has determined that a facility that produces antibodies or antisera is "testing" animals for their immune response and selects animals for production based on the results of this testing. Therefore, the facility must be registered as a research facility. A facility which harvests or produces only normal blood or sera for regulated purposes is not testing. The facility is selling parts of the animal which is maintained for this purpose. Therefore, the facility may meet the definition of a dealer and require licensing as such, unless exempted for other reasons.

A research facility selling antibodies, antisera, or other body parts for research, teaching, testing, or experimentation, would require a dealer's license in addition to its registration. This is not intended to apply to legitimate collaboration between researchers and their exchange and/or transfer of body parts, antibodies, and antisera. The class B dealer's license fee will be based on the total amount of blood (or other body part) product sales in a year. The cost of the animals will not be deducted from this figure, unless new animals are

obtained for every batch of product. The table in 9 CFR, Part 2, Section 2.6(c) determines the correct fee.

A license would not be required if the research facility only produces antibodies/antisera on a contract basis for particular investigators, not for resale.

Producers of Genetically Engineered and Cloned Animals

APHIS has determined a facility that produces novel genetically engineered animals is using such animals in research, tests or experiments to determine the effect of the unconventional introduction of synthetic, species-foreign, or other such genetic material on the phenotype of the animal. Therefore, the facility must be registered as a research facility.

A facility which produces cloned animals for regulated purposes utilizing standard veterinary medical practices is considered to be breeding animals, and must be licensed as a dealer. Other activities conducted by cloning companies will be reviewed on a case-by-case basis to determine whether they are covered by the AWA.

Activities at Licensed Exhibitors

Licensed exhibitors occasionally collect information on their animals with the intent to improve the nutrition, breeding, management, or care of such animals. APHIS has determined these programs may be exempted from the registration requirements of the regulations as long as the collection methods:

- are performed as an adjunct to normal husbandry or veterinary procedures for the benefit of the animal or species (e.g., routine veterinary care, embryo transfer, artificial insemination, electroejaculation); or
- are not invasive (feed studies); or
- do not cause pain or distress to the animal (behavioral observations).

However, if the licensed exhibitor is conducting biomedical research (using the animals as models for human applications), conducting invasive or painful/ distressful procedures for nonhusbandry purposes or if the research involves domestic dogs or cats, then the licensee is not exempt from the need for registration.

Producers of Pregnant Mare Urine

Horses used for the production of PMU are not covered by the AWA. This activity is not defined as research, teaching, or testing. People who deal in horses or horse parts are not required to be licensed.

Policy #11 Painful and Distressful Procedures

References

AWA Section 2143

9 CFR, Part 2, Sections 2.32(d)(1)(i,ii,iv), 2.31(e)(4), 2.33(b)(4), 2.36(b)(5,6,7)

History

Replaces letters dated March 1, 1990; November 9, 1990; November 7, 1991; and May 8, 1992. Replaces policy dated April 14, 1997.

Justification

Inspectors and the regulated community have requested guidance on procedures to avoid or minimize discomfort, distress and/or pain involving animals.

Policy

A painful procedure is defined as "any procedure that would reasonably be expected to cause more than slight or momentary pain or distress in a human being to which that procedure is applied, that is, pain in excess of that caused by injections or other minor procedures". The Institutional Animal Care and Use Committee (IACUC) is responsible for ensuring that investigators have avoided or minimized discomfort, distress and pain to the animals; appropriately considered alternatives to any procedures that may cause more than slight or momentary pain or distress; and consulted with the attending veterinarian in the planning of the procedures.

Examples of procedures that may cause more than momentary or slight pain include, but are not limited to, the following:

Surgery (survival or terminal). considered a painful procedure in which pain is alleviated by anesthesia. Survival surgery may also require the use of peri-operative analgesia.

Freund's Complete Adjuvant. may cause a severe inflammatory reaction depending on the species and route of administration.

Ocular or Dermal Toxicity Testing. the dosing procedure itself is generally not painful but the reaction caused by the product being tested may cause pain.

Examples of procedures that may cause more than momentary or slight distress include, but are not limited to, the following:

- Food and/or water deprivation or restriction beyond that necessary for normal presurgical preparation.
- Noxious electrical shock or thermal stress that is not immediately escapable.
- Paralysis or immobility in a conscious animal.
- Forced exercise (e.g., swimming or treadmill protocols).
- Infectious and inflammatory disease models.

Some procedures, including any of those in the lists above, may cause both pain and distress. Examples of procedures that may cause more than momentary or slight pain as well as distress would include studies involving extensive irradiation, inhalation toxicity studies or those involving tumor growth.

Animals exhibiting signs of pain, discomfort, or distress such as weight loss, decreased appetite, abnormal activity level, adverse reactions to touching inoculated areas, open sores/necrotic skin lesions, abscesses, lameness, conjunctivitis, corneal edema, and photophobia are expected to receive appropriate relief unless written scientific justification is provided in the animal activity proposal and approved by the IACUC.

Policy #12 Consideration of Alternatives to Painful/Distressful Procedures

References

AWA Section 2143(a)(3)(B)

9 CFR, Part 2, Sections 2.31(d)(1)(ii) and (e); Section 2.32(c)(2) and (5)(ii)

Principles of Humane Experimental Techniques, William Russell and Rex Burch, 1959

Public Health Service Policy on Humane Care and Use of Laboratory Animals (IV, C, 5)

Animal Welfare Information Center

History

Replaces policies dated April 14, 1997, and June 21, 2000.

Justification

The Animal Welfare Act (AWA) regulations require principal investigators to consider alternatives to procedures that may cause more than momentary or slight pain or distress to the animals and provide a written narrative of the methods used and sources consulted to determine the availability of alternatives, including refinements, reductions, and replacements.

Policy

Alternatives or alternative methods, as first described by Russell and Burch in 1959, are generally regarded as those that incorporate some aspect of replacement, reduction, or refinement of animal use in pursuit of the minimization of animal pain and distress consistent with the goals of the research. These include methods that use non-animal systems or less sentient animal species to partially or fully replace animals (for example, the use of an in vitro or insect model to replace a mammalian model), methods that reduce the number of animals to the minimum required to obtain scientifically valid data, and methods that refine animal use by lessening or eliminating pain or distress and, thereby, enhancing animal well-being (for example, the use of appropriate anesthetic drugs). However, methods that do not allow the attainment of the goals of the research are not, by definition, alternatives.

Alternatives should be considered in the planning phase of the animal use proposal. As indicated when these regulations were finalized in 1989, APHIS continues to recommend a database search as the most effective and efficient method for demonstrating compliance with the requirement to consider alternatives to painful/distressful procedures. However, in some circumstances (as in highly specialized fields of study), conferences, colloquia, subject expert consultants, or other sources may provide relevant and up-to-date information regarding alternatives in lieu of, or in addition to, a database search. Sufficient documentation, such as the consultant's name and qualifications and the date and content of the consult, should be provided to the IACUC to demonstrate the expert's knowledge of the availability of alternatives in the specific field of study. For example, an immunologist cited as a subject expert may or may not possess expertise concerning alternatives to *in vivo* antibody production.

When a database search is the primary means of meeting this requirement, the narrative should include:

1. the name(s) of the databases searched (due to the variation in subject coverage and sources used, one database is seldom adequate);
2. the date the search was performed;
3. the time period covered by the search; and
4. the search strategy (including scientifically relevant terminology) used.

The Animal Welfare Information Center (AWIC) is an information service of the National Agricultural Library specifically established to provide information about alternatives. AWIC offers expertise in formulation of the search strategy and selection of terminology and databases, access to unique databases, on- and off-site training of institute personnel in conducting effective alternatives searches, and is able to perform no-cost or low-cost

electronic database searches. AWIC can be contacted at (301) 504-6212, via email at awic@nal.usda.gov, or via its web site at http://awic.nal.usda.gov. Other excellent resources for assistance with alternative searches are available and may be equally acceptable.

Regardless of the alternatives source(s) used, the written narrative should include adequate information for the IACUC to assess that a reasonable and good faith effort was made to determine the availability of alternatives or alternative methods. If a database search or other source identifies a bona fide alternative method (one that could be used to accomplish the goals of the animal use proposal), the IACUC may and should ask the PI to explain why an alternative that had been found was not used. The IACUC, in fact, can withhold approval of the study proposal if the Committee is not satisfied with the procedures the PI plans to use in his study.

The rationale for federally-mandated animal testing (for example, testing product safety/efficacy/potency) should include a citation of the appropriate government agency's regulation and guidance documents. Mandating agency guidelines should be consulted since they may provide alternatives (for example, refinements such as humane endpoints or replacements such as the Murine Local Lymph Node Assay) that are not included in the Code of Federal Regulations. If a mandating agency-accepted alternative is not used, the IACUC must review the proposal to determine adequate rationales have been provided, and pain and discomfort limited to that which is unavoidable.

Significant changes are subject to prior review by the IACUC. If those changes include a painful or distressful procedure, a consideration of alternatives or a revision of the prior search may be required.

Although additional attempts to identify alternatives or alternative methods are not required by Animal Care at the time of each annual review of an animal protocol, Animal Care would normally expect the principal investigator to reconsider alternatives at least once every 3 years, consistent with the triennial de novo review requirements of the Public Health Service Policy on Humane Care and Use of Laboratory Animals (IV,C,5).

Policy #13 Animal Identification

References

AWA Section 2141

9 CFR, Part 2, Sections 2.38(g), 2.35(b), 2.50, 2.75(a)

History

Combines previous policies 13, 19 and 20, and replaces those policies dated April 14, 1997, and July 17, 2000.

Justification

All dogs and cats must be identified. This policy provides guidance, clarification and recognizes significant advances and effectiveness of alternatives concerning identification methods.

Policy

Microchip Implants

For Animal Care to approve use of a microchip implantation identification system in breeding stock or research animals, the following requirements must be met:

1. The microchip must be placed in a standard anatomical location.
2. The microchip scanner device must be readily available to the Animal and Plant Health Inspection Service (APHIS) representative and/or the facility employee accompanying the APHIS representative.
3. The animal identification records must indicate the microchip number, the location on the animal, and the name of the microchip manufacturer.
4. Any animal with a microchip that goes to another licensee/registrant must have a tag/tattoo if a compatible scanner is not available at the receiving facility.

The Animal Care Regional Director can revoke an approval if the system is found to be ineffective and corrections are not made promptly.

Tattoo Identification of Dogs and Cats

Each licensee who wishes to use a tattoo to identify his/her animals should contact the appropriate Animal Care Regional Office to obtain a code for identification. This code includes the type of business (Class A or Class B) and the State in which he/she is licensed. Examples of the system are as follows:

- Class A dealer from Maryland: MDAA through MDAZZ
- Class B dealer from Maryland: MDBAA through MDBZZ

In addition to the dealer's code assigned, the dealer will be required to add the necessary numbers to uniquely identify each animal. Dealers of purpose-bred dogs and cats sold only for research purposes may have special tattoos approved by the Administrator.

Identification of Puppies Less than 16 Weeks of Age

Puppies less than 16 weeks of age do not require individual identification if the following requirements are met:

1. The puppies are maintained as distinct litters at the facility where they were whelped.
2. The enclosure containing the puppies is identified with the information required by 9 CFR Section 2.50 until the puppies are sold or moved from the facility where they were whelped or reach the age of 16 weeks, which ever comes first.

Policy #14 Major Survival Surgery

Dealers Selling Surgically-Altered Animals to Research

References

AWA Section 2143(a)(3)(A, B, C, D, E)

9 CFR, Part 2, Sections 2.31(d)(1)(i, ii, iv, viii, ix, x)

History

Combines previous policies 14 and 16. Replaces letters dated June 5, 1990, and April 21, 1992, and policies dated April 14, 1997.

Justification

No animal is to be used in more than one major survival operative procedure except in cases of scientific necessity, veterinary care or other special circumstances as determined by APHIS. The Institutional Animal Care and Use Committee (IACUC) must ensure that survival surgery will avoid or minimize pain and is aseptically performed by qualified personnel.

Policy

No animal assigned to a proposal is to be used in more than one major survival operative procedure unless the multiple procedures are required to meet the objective of a single animal study activity, justified for scientific reasons by the Principal Investigator, and approved by the Institutional Animal Care and Use Committee (IACUC). A dealer performing surgery on animals as a necessary part of a proposed animal activity at a research facility must also register as a research facility or be a site of the research facility requesting the altered animals.

However, an animal that has a major operative procedure as part of a facility's veterinary care program (unrelated to research), or as an emergency surgery, may still be used in a research proposal that requires a major survival operative procedure. An approved research proposal is not required for routine veterinary care or animal husbandry that involves surgery.

A 2nd major survival operative procedure must not be performed on an animal in a separate animal study activity. In order to comply with the intent of the Animal Welfare Act (AWA), animals surviving major operative procedures in

one animal study activity must be identified in a manner that effectively precludes their use in additional animal study activities involving major survival operative procedures.

Under special circumstances, the AWA allows for exemptions to the limitation that only one major operative procedure be performed on an animal. The Institutional Official of the research facility should make the exemption request to the appropriate Animal Care Regional Director, who will forward it to the Animal Care Deputy Administrator. The request for exemption should include the following information:

1. An outline of the research proposal for which the procedure(s) is requested;
2. A means by which to uniquely identify the research proposal;
3. The species and the approximate number of animals involved in the exemption request;
4. A method of permanently identifying the individual animals involved;
5. The time frame for the proposed exempt procedure;
6. The number of major operative procedures to be performed on a given animal, the frequency of such procedures, and the period of time between each major operative procedure;
7. Measures to be taken to ensure that pain/distress are minimized;
8. A complete scientific justification for the exemption. Cost is not an acceptable justification.
9. An assurance that all other stipulated requirements of the AWA and regulations will be met in consideration of this exemption; and
10. An assurance that the facility's IACUC has approved the exemption.

The Animal and Plant Health Inspection Service (APHIS) may respond to the formal request by approving the request as written, requesting further information, imposing additional limitations, or denying the request. An annual IACUC evaluation of the exemption is required, which consists of an IACUC assessment of the animals and the effectiveness and soundness of the methods and procedures used. This information is to be included in the report of the IACUC submitted to the Institutional Official. Considerations for the renewal or continuation of the exemption will be based on the IACUC's recommendations following their review. The exemption must be included in the Annual Report (APHIS Form 7023).

Policy #15 Institutional Official and IACUC Membership

References

AWA Section 2143(b)(1) and (d)

9 CFR, Part 2, Sections 2.31(a), (b)(2,3), and Section 2.32(a)

Office of Laboratory Animal Welfare (OLAW) Guidance Documents re Alternates and Electronic Meetings

History

Replaces policies dated April 14, 1997 and March 7, 2006.

Justification

Provides clarification of specified individual roles in the Animal Care and Use Program at research facilities.

Policy

The regulations provide for four specific roles within the Animal Care and Use Program:

1. Institutional Official
2. IACUC Chairperson
3. Attending Veterinarian
4. Nonaffiliated Member

These positions are meant to provide a system of checks and balances which is not normally achieved if any one person fills more than one of these roles. While the regulations do not specifically prohibit one person from filling more than one role, the Animal and Plant Health Inspection Service (APHIS) strongly discourages such assignments because of the potential for conflicts of interest and/or undue influence by one person over the facility's program. However, a veterinarian who is not the attending veterinarian may assume any one of the other program positions.

The Institutional Official (IO) at a research facility is the person authorized to legally commit on behalf of the facility that the requirements of the regulations will be met. The IACUC reports its inspection findings and recommendations

to the IO to ensure the IO is aware of deficiencies at the facility and commits facility resources to making corrections. The IO should therefore be someone with the authority to promulgate, implement, and enforce policies across departmental lines. The IO should also have the fiscal authority to provide for adequate staffing, program improvements, facility repairs, and renovations that meet the needs of the institution's program.

The Institutional Animal Care and Use Committee shall be composed of a Chairman and at least two additional members, for a total minimum of at least three persons.

For Animal Welfare Act (AWA) enforcement purposes, the nonaffiliated member of the Institutional Animal Care and Use Committee (IACUC) is to "provide representation for general community interests in the proper care and treatment of animals." The person filling this position is intended to represent society's "less specialized" nonscientific concerns regarding the welfare of the animal subjects. APHIS has determined the nonaffiliated member should not be a laboratory animal user at any research facility.

Compensation of the nonaffiliated member is permissible only when it does not jeopardize the member's status as a nonaffiliated member. Compensation varies but is normally limited to payment for travel and related expenses, such as parking and meals, to modest monetary payments for participation. The dollar amount of compensation, if any, should not be so substantial as to be considered an important source of income or to influence voting on the IACUC.

IACUC members must be qualified to assess the research facility's animal program, facilities and procedures. The research facility is responsible for ensuring their qualification, and this responsibility is filled in part through the provision of training and instruction. For example, IACUC members should be trained in understanding the Animal Welfare Act, protocol review, and facility inspections.

No IACUC member can review his/her own proposal.

Policy #16 Proper Diets for Nondomestic Felids

References

AWA Section 2143

9 CFR, Part 2, Section 2.40

9 CFR, Part 3, Section 3.129

History

Replaces policy dated October 13, 1998 and previously identified as Policy #25.

Justification

To clarify what is considered acceptable nutritious food for non-domestic felids (including large felids such as lions, tigers, cougars, pumas, jaguars, leopards, snow leopards, clouded leopards, and cheetahs, and smaller felids such as ocelots, fishing cats, bobcats, lynx, caracals, and servals).

Policy

The diet for non-domestic (i.e., wild or exotic) felids must be wholesome, palatable, and free from contamination. A number of commercially prepared diets are available which are appropriate for the varying needs of exotic or wild felids. If such diets are not used, the attending veterinarian--preferably in consultation with a nutritionist- should approve, in writing, a nutritionally complete alternative diet. The written diet should specify the type, quantity, and frequency of any nutritional supplements. A diet composed exclusively of poultry necks or red muscle meat is nutritionally incomplete, and will result in skeletal structural damage, neurologic problems, or other potentially irreversible health problems including death. A diet based on muscle meat alone will result in a dietary imbalance of calcium, phosphorus and Vitamin D, leading to a nutritional bone disease, as well as potentially leading to a Vitamin A or Vitamin B1 deficiency. These disease processes are manifested more readily in lactating or growing animals. A diet based on muscle meat requires 5 to 6 grams of calcium carbonate per pound of muscle meat fed to provide an appropriate calcium: phosphorous ratio and to prevent metabolic bone disease. Vitamin A deficiencies are most commonly seen in young growing lions and often present as neurologic disorders.

The feeding of roadkill should be discouraged. When used, it must be fresh, wholesome and free of certain types of contamination that can be visually observed (such as pus, maggots or worms). Carcasses or meat should be fed promptly. Carcasses or portions of carcasses should be removed when spoilage begins, or, at a maximum, 12 hours after being placed into the enclosure. If not immediately fed, a carcass must be processed into smaller pieces and frozen for future use in order to meet the requirement of being wholesome and free from contamination. Sick animals, or animals that have died of illness or unknown causes are considered unwholesome and must not be used for food. Animals euthanized with chemical euthanizing agents must not be used for food because of the danger of poisoning. When food animals have been euthanized by gunshot, the lead shot should be removed to prevent lead poisoning from ingestion of the pellets. Downer animals exhibiting signs of central nervous system disorders, including dairy and beef cows, horses, other livestock (particularly sheep), and wildlife species, must not be used for food because of the risk of transmissible spongiform encephalopathies. This includes animals suffering from scrapie and any chronic wasting disease. If the downer animals were clearly harvested because of physical injuries only, they may be used for food when properly processed. In addition, animals known or suspected of being affected with Johnne's disease should not be fed to felids. Likewise swine from herds identified with pseudorabies should not be fed to any species of felid.

Adherence to a strict feeding schedule is strongly recommended. Scheduled feedings will result in the animals consuming the meal more quickly, and decreasing the time for potential spoilage. Meals should be of proper proportions, to facilitate consumption before they spoil or become contaminated. If spoilage (contamination) does not require earlier removal, food not consumed within 12 hours should be removed and disposed of properly. After this time, APHIS would not consider the food to be wholesome. Likewise, to be considered wholesome, stored meat should be refrigerated, or wrapped and frozen. Frozen meats must be handled appropriately to prevent contamination (e.g., thawed under refrigeration). Grains, cereals, or bakery products are not to be fed since felids do not have the enzymes necessary to digest food with high carbohydrate content. Feeding of such products would be detrimental to the health of the animal and would not be considered to have sufficient nutritive value. Outdated meats from grocery stores may be fed if they are wholesome when acquired and are kept refrigerated or frozen until used. If fish is provided as a part of the diet, it should comprise no more than 20% of the diet, should not be fed daily, and appropriate vitamin E and thiamine supplementation is needed to compensate for thiaminase and high polyunsaturated fatty acid content.

In order to mimic natural feeding behaviors and when approved by the attending veterinarian, animals that fall within a normal weight range may be

fasted for 1 or 2 nonconsecutive days per week. Normal weight range means that the animal would not be considered too thin by the attending veterinarian or another knowledgeable big cat expert. Underweight animals should not be fasted. During fasting, long femur bones, oxtails, horsetails, or rawhides should be fed in order to promote periodontal health and provide an opportunity for the animals to engage in more natural feeding behaviors. This is a good practice even when the animals (such as those that are underweight) are not fasted. The exclusive feeding of soft diets has become a significant problem for nondomestic cats, and may result in oral disease. Diet formulations that require no chewing or tearing may contribute to excessive dental plaque and calculus formation when fed for prolonged periods. This, in turn, may lead to gingivitis, loose teeth, abscesses in the oral cavity and, ultimately bacteremia.

If young felids are not kept with the dam until weaned, a balanced formula and an appropriate feeding schedule should be approved in writing by the attending veterinarian. If any puppy milk replacer products are selected, then taurine must be added to the formula daily to meet the needs of the neonates. If taurine is not added to puppy milk replacer products, the result could be death to the felid.

Policy #17 Regulation of Agricultural Animals

References

AWA Sections 2132, 2143

9 CFR, Part 3, Subpart F

History

Combines previous policies 26 and 29 and replaces policies dated November 17, 1998, and February 11, 2000.

Justification

The Animal Welfare Act (AWA) regulations cover farm animals that are used in activities that are regulated by the AWA.

Policy

Farm animals, such as domestic cattle, horses, sheep, swine, and goats that are used for traditional, production agricultural purposes are exempt from coverage by the AWA. Traditional production agricultural purposes include use as food and fiber, for improvement of animal nutrition, breeding, management, or production efficiency, or for improvement of the quality of food or fiber.

The following criteria should be used to determine whether the activities require licensing or registration:

Farm Animals in Research

Regulated

- Farm animals used to manufacture or test biologics for nonagricultural or nonproduction animals, or humans. This includes biologics that are produced or tested for possible use in either agricultural or nonagricultural species, such as multispecies rabies vaccines.
- Farm animals that are used as models for human subjects or nonagricultural animals (e.g., using calves to develop an artificial heart for humans).
- Farm animals used for biomedical teaching; that is, the training of human or veterinary medical personnel in medical methods and procedures, such as surgery, diagnostic techniques, anesthesia and analgesia.

Exempt

- Farm animals used to manufacture or test veterinary biological products intended for use in the diagnosis, treatment, or prevention of diseases in agricultural animals.
- Farm animals used in agricultural teaching, such as farm or ranch management procedures (e.g., hoof trimming, shearing), handling practices and breeding techniques.

Farm Animals in Exhibition

Regulated

- Farm animal exhibit intended to draw or entice customers to a nonagricultural enterprise, such as a petting zoo at a restaurant.
- Farm animal exhibit whose main purpose is to allow public contact with the animals, such as a petting zoo or photo op setting.
- "Agricultural" exhibits that also exhibit nonagricultural animals.
- Nonagricultural animals exhibited at an agricultural venue, such as a county fair.

Exempt

- Farm animal exhibits intended to advance the agricultural arts and sciences.
- Agricultural animals in livestock shows, fairs, FFA or 4-H venues, or rodeos.
- Incidental exhibition of farm animals, such as public access (viewing) of a working bison farm, where people driving by can see the animals. They are not being kept for the intent of exhibition, nor are they advertised for viewing purposes.
- Historic farm parks that are accurate representations of the farm setting and are intended to educate the public as to that way of life.

All farm (agricultural) animals being used for regulated purposes must be handled and maintained in accordance with the AWA regulations and standards. There are reference materials available, such as the "Guide for the Care and Use of Laboratory Animals," published by the Institute for Laboratory Animal Research (ILAR) and the "Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching", published by the Federation of Animal Science Societies (FASS), that may provide supplemental information. However, it should be noted that not all sections of these guides are applicable under the AWA. Further, nothing in the guides shall be used to reduce or lessen any of the requirements in the AWA regulations and standards.

Policy #18 Health Certificate for Dogs, Cats, and Nonhuman Primates

References

AWA Sections 2132, and 2143(f)—Veterinary Certificate

9 CFR, Part 2, Section 2.78

History

Replaces letter dated March 6, 1992, and policy dated April 14, 1997.

Justification

Provides guidance for intrastate transport.

Policy

A health certificate issued within 10 days of shipment must accompany any dog, cat, or nonhuman primate that is transported in commerce by a licensee or registrant. Regulated dogs, cats, and nonhuman primates transported intrastate by commercial carrier, transported interstate, or in foreign commerce, are required to have properly executed health certificates. However, dogs, cats, and nonhuman primates transported within the State and in the licensee's/ registrant's private vehicle may be transported without a health certificate.

Policy #19 Capture Methods of Prairie Dogs

References

AWA Section 2143

9 CFR, Part 2, Section 2.131(a)(1), and Section 2.126

History

Replaces policies dated February 23, 1999; November 17, 2000; February 9, 2001; and September 21, 2001 and previously identified as Policy #27.

Justification

Provides clarification for capturing prairie dogs.

Policy

As required by Section 2143 of the Animal Welfare Act (AWA) and further explained in 9 CFR, Part 2, Section 2.131(a)(1), handling of animals must be done as expeditiously and carefully as possible in a manner that does not cause trauma, overheating, excessive cooling, behavioral stress, physical harm, or unnecessary discomfort. Methods used to capture prairie dogs from natural habitats for covered purposes must be done in a humane manner.

The introduction of water, chemicals or noxious gas into prairie dog burrows and the use of vacuum equipment are not in compliance with Section 2.131(a)(1).

Live trapping of prairie dogs must only be done with humane traps that do not injure the prairie dog upon capture. The traps must be checked with sufficient frequency to assure that the animal does not go without food, water or shelter for an unnecessary period of time.

Policy #20 Licensing Sales of Dead Animals

References

AWA Sections 2131 and 2132(f)

9 CFR, Part 1

History

Replaces policy dated September 30, 1999 and previously identified as Policy #28.

Justification

The definition of "dealer" in the Animal Welfare Act (AWA) states that a dealer "is any person who . . . buys or sells . . . any dog or other animal whether alive or dead for research, teaching, exhibition, or use as a pet . . . ." This policy provides clarification regarding the licensing requirements for persons who sell dead animals and/or animal parts.

Policy

The following persons who sell dead animals or animal parts require a license:

- Any person who acquires any live covered animal and subsequently euthanizes that animal to sell for a covered purpose.
- Any person who acquires a dead dog or cat (or parts) from private, unlicensed sources, to sell for covered purposes.

The following persons who sell dead animals do not require a license:

- Any person who acquires a dead animal (other than a dog or cat) and then sells it.

- Any person who acquires a dead dog or cat (or parts) from a USDA licensed dealer or municipal, county, or state pound/shelter and then sells it.

Appendix

A

Appendix A—Forms and Worksheets

Contents

The USDA APHIS forms in this Appendix are only to be used as examples. Do **not** reproduce and use these forms in an official capacity. Use only the official approved Office of Management and Budget (OMB) form or the USDA APHIS Animal Care program worksheets.

Ordering Animal Care Forms

You can order Animal Care forms by completing the information in Figure A-1 and mailing it to the appropriate Animal Care Regional Office. In addition, you can also order forms from the following web site:

http://acissearch.aphis.usda.gov/LPASearch/faces/AC_Forms.jspx

ANIMAL WELFARE FORMS ORDER

# of Forms	or	# of Pkgs	Form #	Title & Description
_____		N/A	7002	Program of Veterinary Care (PVC) one per licensee/with insert NOTE: 7002 only necessary if change vets and/or protocols or move.
_____		_____	7005	Record of Dogs & Cats on Hand – 100/pkg **also available on our website at http://www.aphis.usda.gov/animal_welfare/downloads/forms/aph7005.pdf
_____		_____	7006	Record of Disposition of Dogs/Cats – 100/pkg **also available on our website at http://www.aphis.usda.gov/animal_welfare/downloads/forms/aph7006.pdf
_____		_____	7006A	Continuation Sheet of Disposition of Dogs/Cats – 100 pkg **also available on our website at http://www.aphis.usda.gov/animal_welfare/downloads/forms/aph7006a.pdf
_____		_____	7019	Record of Animals on Hand (other than dogs/cats) – 50/pkg
_____		_____	7020	Record of Disposition of Animals (other than dogs/cats) – 50/pkg **also available on our website at http://www.aphis.usda.gov/animal_welfare/downloads/forms/aph7020.pdf
_____		_____	7020A	Continuation Sheet of Record of Disposition of Animals (other than dogs/cats) – 50/pkg
_____				Live Animal sticker for pet transportation
_____				Animal Welfare Act Regulation (blue) Book
_____			N/A	Other: _____

****These are 3-part forms. If you print from the website, two copies must be made after the forms are filled in.**

Ordered by:
License #: _____ or Customer #: _____
Name: _____
Business Name: _____
Address: _____
City, State, Zip: _____
Area Code & Phone #: _____

Order taken by: _____ Date: _____
Order filled by: _____ Date: _____

Note: This is an optional document to assist licensees/registrants in meeting the requirements of of the regulations. Licensees/Registrants may develop their own formats if desired.

04/01/2013

Figure A-1 Animal Care Forms—Ordering Information

APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these information collections are 0579-0036 and 0579-0093. The time required to complete these information collections 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.

OMB Approved
0579-0036
0579-0093

The Animal Welfare Regulations, Title 9, Subchapter A, Part II, Subpart C, Section 2.33 and Subpart D, Section 2.40 require a Program of Veterinary Care.

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

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 NAME:
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 NUMBER *(Home):*	TELEPHONE NUMBER *(Business):*	6. TELEPHONE NUMBER *(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 the 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:

APHIS 7002
JUN 2011

Page 1 of 4

Figure A-2 APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers (1 of 4)

CHECK IF N/A ☐ **SECTION II. DOGS AND CATS**

A. VACCINATIONS – SPECIFY THE FREQUENCY OF VACCINATION FOR THE FOLLOWING DISEASES:

CANINE	JUVENILE	ADULT	FELINE	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

APHIS 7002 **Page 2 of 4**
JUN 2011

Figure A-3 APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers (2 of 4)

CHECK IF N/A ☐ **SECTION III. WILD AND EXOTIC ANIMALS**

A. VACCINATIONS – LIST THE DISEASES FOR WHICH VACCINATIONS ARE PERFORMED AND THE FREQUENCY OF THE 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:

Figure A-4 APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers (3 of 4)

CHECK IF N/A ☐ **SECTION IV. OTHER WARMBLOODED 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:

☐ Pasteurellosis	☐ Species Separation
☐ Pododermatitis	☐ Malocclusion/Overgrown Incisors
☐ Cannibalism	☐ Pest Control and Product Safety
☐ Wet Tail	☐ Handling

☐ Other *(Specify)*_____

_____

APHIS 7002
JUN 2011

Page 4 of 4

Figure A-5 APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers (4 of 4)

Program of Veterinary Care Instructions

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 this 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. 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

Note: This is an optional document to assist licensees/registrants in meeting the requirements of the regulations. Licensees/Registrants may develop their own formats if desired.

04/01/2013

Figure A-6 Program of Veterinary Care Instructions

APHIS Form 7003A–Application for New License

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not 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.

OMB APPROVED 0579-0036

No license may be issued unless a completed application has been received (7 U.S.C. 2132-2143), and the applicant is in compliance with the standards and regulations Section 2133.

DO NOT USE THIS SPACE - OFFICIAL USE ONLY

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

APPLICATION FOR LICENSE

(TYPE OR PRINT)

NEW LICENSE

SEND THE COMPLETED FORM TO:

LICENSE/CUSTOMER NUMBER	EXPIRATION DATE	AMOUNT	DATE RECEIVED

1. NAME OF APPLICANT AND MAILING ADDRESS: *(See Instructions)*

COUNTY: TELEPHONE NUMBER:

2. ALL BUSINESS NAMES AND LOCATION ADDRESSES HOUSING ANIMALS:
INCLUDE DIRECTIONS TO EACH LOCATION *(P.O. Box not acceptable)*

☐ Use additional sheet, if necessary

COUNTY: TELEPHONE NUMBER:

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.

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:

☐ Class A – Breeder ☐ Class B – Dealer ☐ Class C – Exhibitor

6. LIST YOUR 12 MONTH BUSINESS YEAR: *(Calendar or Fiscal)*

FROM MO	FROM DAY	FROM YEAR	TO MO	TO DAY	TO YEAR

7. TYPE OF ORGANIZATION:

☐ Individual ☐ Corporation ☐ Partnership

☐ Other _____

8. DEALERS ONLY - CLASS A OR CLASS B LICENSES MUST COMPLETE THIS BLOCK. *(Class C Licenses go to Block 9)*

CLASS A (BREEDER) – LINE "D" = ½ 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)*

A.	ESTIMATE TOTAL NUMBER OF ANIMALS TO BE PURCHASED IN THE NEXT BUSINESS YEAR	
B.	ESTIMATE TOTAL NUMBER OF ANIMALS TO BE SOLD IN THE NEXT BUSINESS YEAR	
C.	ESTIMATE GROSS DOLLAR AMOUNT DERIVED FROM REGULATED ACTIVITIES (*SALES, COMMISSIONS, ETC.*)	$
D.	ESTIMATE DOLLAR AMOUNT ON WHICH FEE IS BASED	$

9. EXHIBITORS ONLY - 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)*

DOGS		NONHUMAN PRIMATES		RODENTS *(Do not include lab rats or mice)*	
CATS		MARINE MAMMALS		WILD/EXOTIC HOOFSTOCK	
GUINEA PIGS		FARM ANIMALS		BEARS	
HAMSTERS		WILD/EXOTIC CANINES		WILD/EXOTIC MAMMALS *(Not listed elsewhere)*	
RABBITS		WILD/EXOTIC FELINES		TOTAL *(All animals listed in Block 9)*	

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.

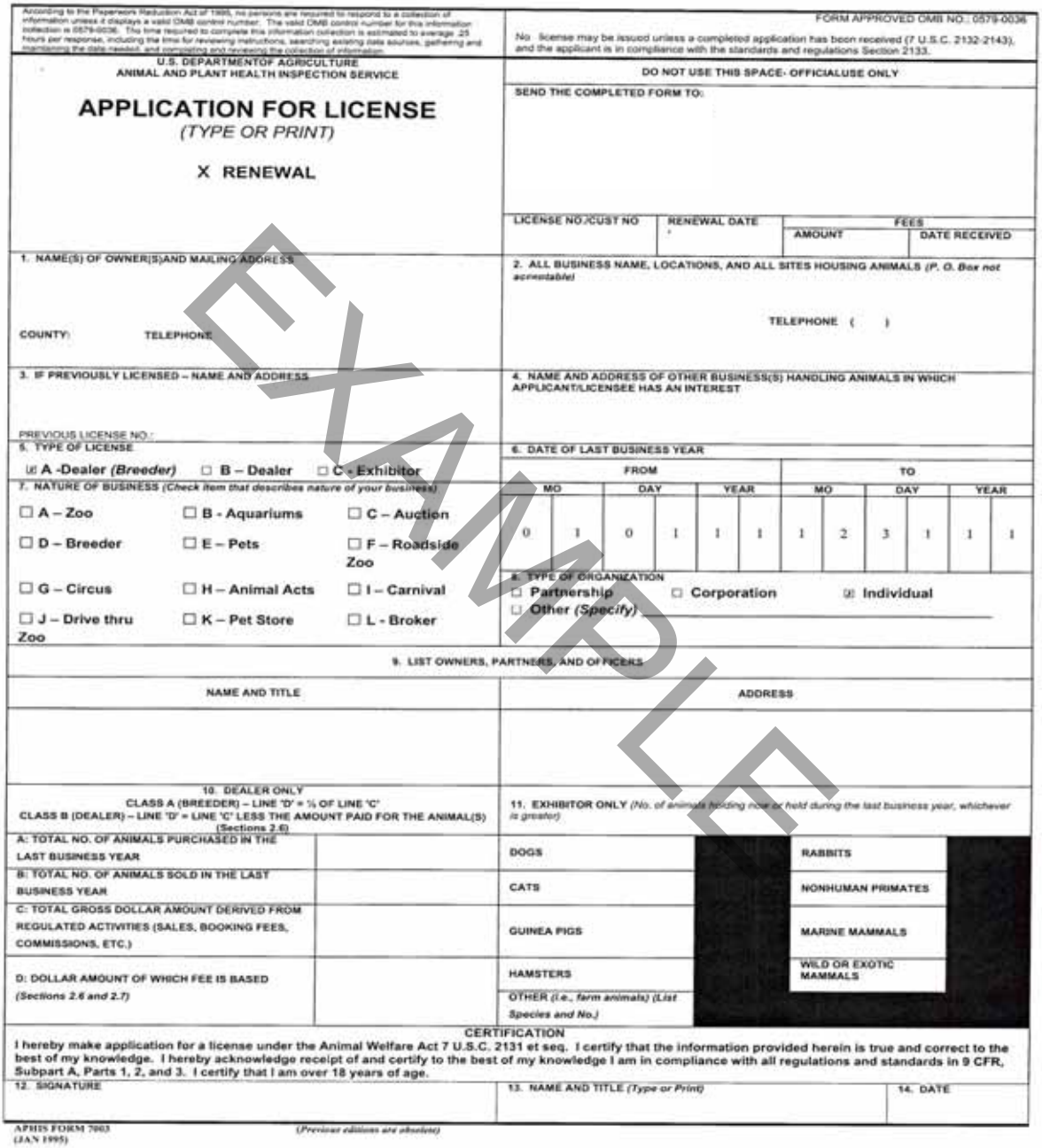
10. SIGNATURE:	11. PRINT NAME AND TITLE:	12. DATE:

APHIS FORM 7003A
AUG 2011

(*Previous editions are obsolete*)

Figure A-7 APHIS Form 7003A–Application for New License

APHIS Form 7003–Application for License Renewal



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. This 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. 2132-2143), and the applicant is in compliance with the standards and regulations Section 2133.

U.S. DEPARTMENTOF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

APPLICATION FOR LICENSE
(TYPE OR PRINT)

X RENEWAL

DO NOT USE THIS SPACE- OFFICIALUSE ONLY

SEND THE COMPLETED FORM TO:

LICENSE NO./CUST NO	RENEWAL DATE	FEES	
		AMOUNT	DATE RECEIVED

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

COUNTY: TELEPHONE

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

TELEPHONE ( )

3. IF PREVIOUSLY LICENSED – NAME AND ADDRESS

PREVIOUS LICENSE NO.:

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

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
	01	01	11	12	31	11

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
CLASS A (BREEDER) – LINE 'D' = ¼ OF LINE 'C'
CLASS B (DEALER) – LINE 'D' = LINE 'C' LESS THE AMOUNT PAID FOR THE ANIMAL(S) (Sections 2.6)

A: TOTAL NO. OF ANIMALS PURCHASED IN THE LAST BUSINESS YEAR	
B: TOTAL NO. OF ANIMALS SOLD IN THE LAST BUSINESS YEAR	
C: TOTAL GROSS DOLLAR AMOUNT DERIVED FROM REGULATED ACTIVITIES (SALES, BOOKING FEES, COMMISSIONS, ETC.)	
D: DOLLAR AMOUNT OF 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
GUINEA 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 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 1995) *(Previous editions are obsolete)*

EXAMPLE

Figure A-8 APHIS Form 7003–Application for License Renewal

APHIS Form 7005–Record of Acquisition of Dogs and Cats on Hand

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not 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 2 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.

OMB APPROVED
0579-0036

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

RECORD OF ACQUISITION OF DOGS AND CATS ON HAND

This record is required by law (7 U.S.C. 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.

1. RECORD FOR ("X")	USDA LICENSE OR REGISTRATION NUMBER	2. NAME AND ADDRESS OF LICENSEE, REGISTRANT, OR HOLDING FACILITY	3. BUSINESS YEAR		4. PAGE NUMBER
			FROM (*Mo., Day, Yr.*)	TO (*Mo., Day, Yr.*)	

☐ **Dealer** ☐ **Holding Facility** (*Submit copy to Dealer*)
☐ **Other** ☐ **Exhibitor** (*Dogs and Cats only*)

IDENTIFICATION OF EACH ANIMAL BEING DELIVERED *(See reverse for Breed Abbreviations)*									ACQUIRED FROM		DISPOSITION	
A. TATTOO OR USDA TAG NUMBR	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								

APHIS 7005 JUL 2009	INSPECTOR USE ONLY	LAST INSPECTION (*Date*)	TOTAL NUMBER ANIMALS ENTERED SINCE LAST INSPECTION	COUNT TOTAL NUMBER ANIMALS ACTUALLY ON PREMISES	DIFFERENCE (+ OR -)	DATE	INITIALS

Previous edition may be used. Replaces VS 18-5 which may be used.

Figure A-9 APHIS Form 7005–Record of Acquisition of Dogs and Cats on Hand (front)

BREED ABBREVIATIONS – DOGS (*Column F*)

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

BREED ABBREVIATIONS – CATS (*Column F*)

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

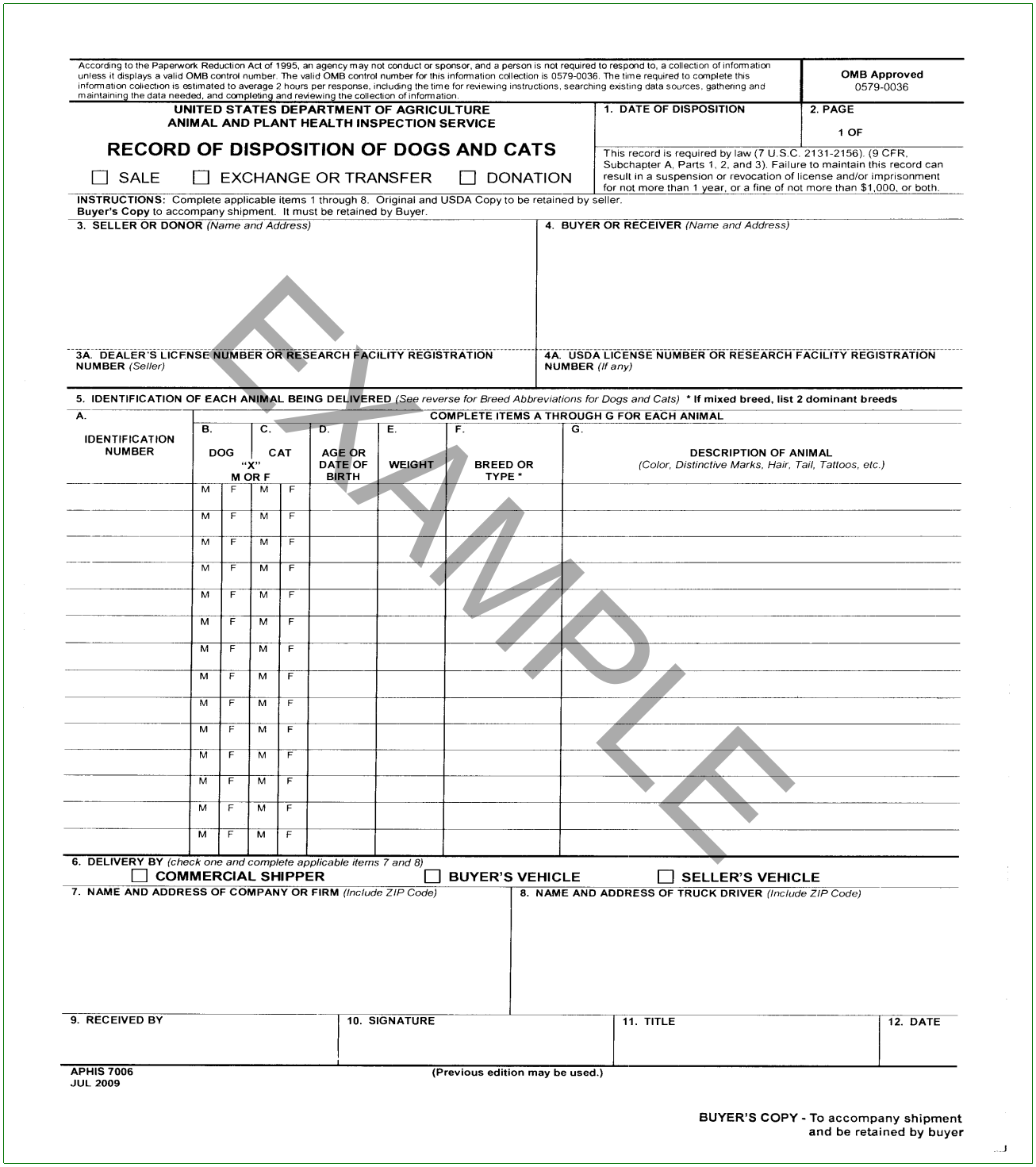
TYPE (*Column F*)

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

APHIS 7005 (REVERSE)
JUL 2009

Figure A-10 APHIS Form 7005–Record of Acquisition of Dogs and Cats on Hand (reverse)

APHIS Form 7006–Record of Disposition of Dogs and Cats



According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not 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 2 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.

OMB Approved
0579-0036

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

1. DATE OF DISPOSITION

2. PAGE 1 OF

RECORD OF DISPOSITION OF DOGS AND CATS

☐ SALE ☐ EXCHANGE OR TRANSFER ☐ DONATION

This record is required by law (7 U.S.C. 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.

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 and Address)*

4. BUYER OR RECEIVER *(Name and Address)*

3A. DEALER'S LICENSE NUMBER OR RESEARCH FACILITY REGISTRATION NUMBER *(Seller)*

4A. USDA LICENSE NUMBER OR RESEARCH FACILITY REGISTRATION NUMBER *(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**

A.	COMPLETE ITEMS A THROUGH G FOR EACH ANIMAL							
IDENTIFICATION NUMBER	B. DOG "X" M OR F		C. CAT "X" M OR F		D. AGE OR DATE OF BIRTH	E. WEIGHT	F. BREED OR TYPE *	G. DESCRIPTION OF ANIMAL *(Color, Distinctive Marks, Hair, Tail, Tattoos, etc.)*
	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 ADDRESS OF TRUCK DRIVER *(Include ZIP Code)*

9. RECEIVED BY	10. SIGNATURE	11. TITLE	12. DATE

APHIS 7006
JUL 2009

(Previous edition may be used.)

BUYER'S COPY - To accompany shipment and be retained by buyer

EXAMPLE

Figure A-11 APHIS Form 7006–Record of Disposition of Dogs and Cats (front)

BREED ABBREVIATIONS – DOGS (*Column 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 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	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	Weimaraner	- WI
Collie	- CL	Malamute	- MM	Welsh Corgi	- WC
Coonhound (*Specify*)	- CH	Mastiff	- MA	Whippet	- WH
Dachshund	- DH	Maltese	- MT	Yorkshire Terrier	- YT
Dalmatian	- DL	Miniature Pinscher	- MP	Other (*Specify*)	
Doberman	- DB	Newfoundland	- NF		
Elkhound	- EH	Old English Sheepdog	- OE		
English Bulldog	- EB	Pekingese	- PK		

BREED ABBREVIATIONS – CATS (*Column 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 (*Column F*)

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

APHIS 7006 (REVERSE)
JUL 2009

Figure A-12 APHIS Form 7006–Record of Disposition of Dogs and Cats (reverse)

APHIS Form 7006A–Continuation Sheet for Record of Disposition of Dogs and Cats

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 information.

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

CONTINUATION SHEET FOR RECORD OF DISPOSITION OF DOGS AND CATS

☐ SALE ☐ EXCHANGE OR TRANSFER ☐ DONATION

FORM APPROVED OMB NO. 0579-0036

1. DATE OF DISPOSITION | 2. PAGE ____ OF

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 ANIMALS BEING DELIVERED * If mixed breed, list 2 dominant breeds

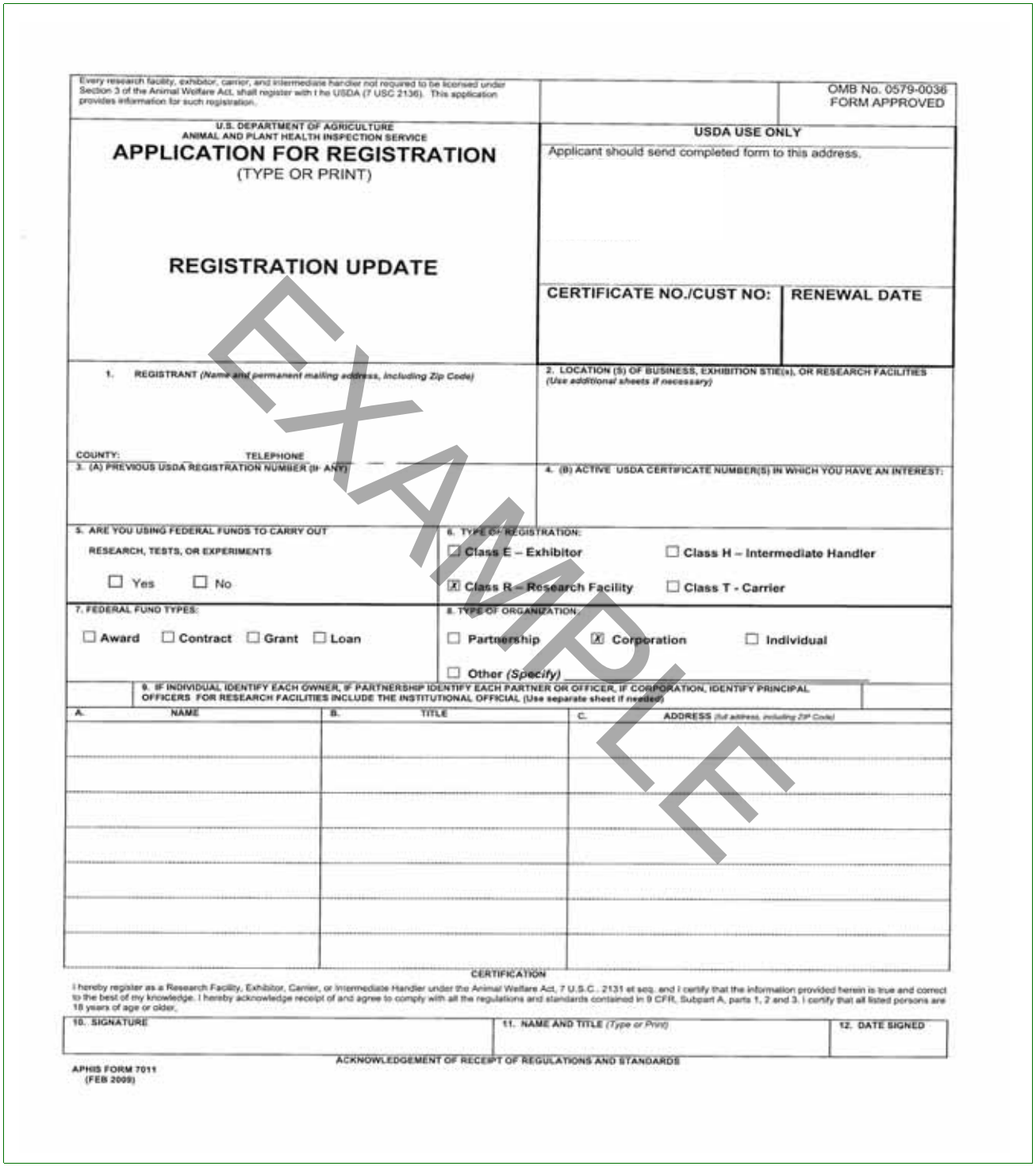
COMPLETE ITEMS A THRU G FOR EACH ANIMAL

IDENTIFICATION NUMBER.	DOG "X" M OR F	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				
	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				

APHIS FORM 7006A (JUN 95) (Previous edition may be used.) ORIGINAL - Seller's Record

Figure A-13 APHIS Form 7006A–Continuation Sheet for Record of Disposition of Dogs and Cats

APHIS Form 7011–Application for Registration Update



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.

OMB No. 0579-0036
FORM APPROVED

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

APPLICATION FOR REGISTRATION
(TYPE OR PRINT)

REGISTRATION UPDATE

USDA USE ONLY
Applicant should send completed form to this address.

CERTIFICATE NO./CUST NO: | **RENEWAL DATE**

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

COUNTY: TELEPHONE

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

3. (A) PREVIOUS USDA REGISTRATION NUMBER (If ANY)

4. (B) ACTIVE USDA CERTIFICATE NUMBER(S) IN WHICH YOU HAVE AN INTEREST:

5. ARE YOU USING FEDERAL FUNDS TO CARRY OUT RESEARCH, TESTS, OR EXPERIMENTS
☐ Yes ☐ No

6. TYPE OF REGISTRATION:
☐ Class E – Exhibitor ☐ Class H – Intermediate Handler
☒ Class R – Research Facility ☐ Class T - Carrier

7. FEDERAL FUND TYPES:
☐ Award ☐ Contract ☐ Grant ☐ Loan

8. TYPE OF ORGANIZATION:
☐ Partnership ☒ Corporation ☐ Individual
☐ Other *(Specify)*

9. IF INDIVIDUAL IDENTIFY EACH OWNER, IF PARTNERSHIP IDENTIFY EACH PARTNER OR OFFICER, IF CORPORATION, IDENTIFY PRINCIPAL OFFICERS FOR RESEARCH FACILITIES INCLUDE THE INSTITUTIONAL OFFICIAL (Use separate sheet 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. I hereby acknowledge receipt of and agree to comply with all the regulations and standards contained in 9 CFR, Subpart A, parts 1, 2 and 3. I certify that all listed persons are 18 years of age or older.

10. SIGNATURE	11. NAME AND TITLE *(Type or Print)*	12. DATE SIGNED

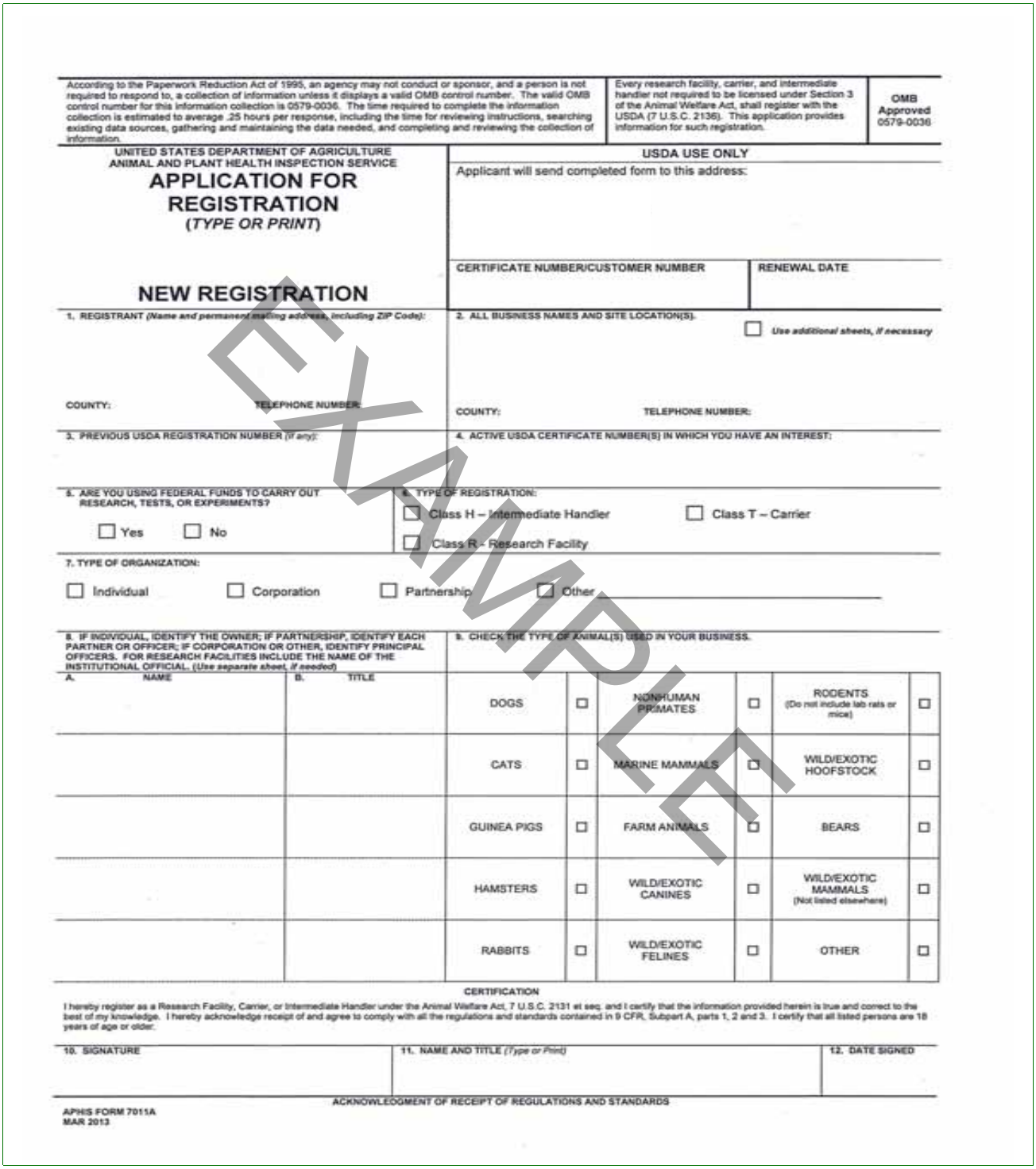
ACKNOWLEDGEMENT OF RECEIPT OF REGULATIONS AND STANDARDS

APHIS FORM 7011
(FEB 2009)

EXAMPLE

Figure A-14 APHIS Form 7011–Application for Registration Update

APHIS Form 7011A–Application for New Registration



According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not 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 the 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.

Every research facility, carrier, and intermediate handler not required to be licensed under Section 3 of the Animal Welfare Act, shall register with the USDA (7 U.S.C. 2136). This application provides information for such registration.

OMB Approved 0579-0036

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

APPLICATION FOR REGISTRATION
(TYPE OR PRINT)

NEW REGISTRATION

USDA USE ONLY

Applicant will send completed form to this address:

CERTIFICATE NUMBER/CUSTOMER NUMBER

RENEWAL DATE

1. REGISTRANT *(Name and permanent mailing address, including ZIP Code)*:

COUNTY: TELEPHONE NUMBER:

2. ALL BUSINESS NAMES AND SITE LOCATION(S). ☐ *Use additional sheets, if necessary*

COUNTY: TELEPHONE NUMBER:

3. PREVIOUS USDA REGISTRATION NUMBER *(if any)*:

4. ACTIVE USDA CERTIFICATE NUMBER(S) IN WHICH YOU HAVE AN INTEREST:

5. ARE YOU USING FEDERAL FUNDS TO CARRY OUT RESEARCH, TESTS, OR EXPERIMENTS?
☐ Yes ☐ No

6. TYPE OF REGISTRATION:
☐ Class H – Intermediate Handler ☐ Class T – Carrier
☐ Class R - Research Facility

7. TYPE OF ORGANIZATION:
☐ Individual ☐ Corporation ☐ Partnership ☐ Other _____

8. IF INDIVIDUAL, IDENTIFY THE OWNER; IF PARTNERSHIP, IDENTIFY EACH PARTNER OR OFFICER; IF CORPORATION OR OTHER, IDENTIFY PRINCIPAL OFFICERS. FOR RESEARCH FACILITIES INCLUDE THE NAME OF THE INSTITUTIONAL OFFICIAL. *(Use separate sheet, if needed)*

A. NAME	B. TITLE

9. CHECK THE TYPE OF ANIMAL(S) USED IN YOUR BUSINESS.

DOGS	☐	NONHUMAN PRIMATES	☐	RODENTS (Do not include lab rats or mice)	☐
CATS	☐	MARINE MAMMALS	☐	WILD/EXOTIC HOOFSTOCK	☐
GUINEA PIGS	☐	FARM ANIMALS	☐	BEARS	☐
HAMSTERS	☐	WILD/EXOTIC CANINES	☐	WILD/EXOTIC MAMMALS (Not listed elsewhere)	☐
RABBITS	☐	WILD/EXOTIC FELINES	☐	OTHER	☐

CERTIFICATION

I hereby register as a Research Facility, 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. I hereby acknowledge receipt of and agree to comply with all the regulations and standards contained in 9 CFR, Subpart A, parts 1, 2 and 3. I certify that all listed persons are 18 years of age or older.

10. SIGNATURE

11. NAME AND TITLE *(Type or Print)*

12. DATE SIGNED

ACKNOWLEDGMENT OF RECEIPT OF REGULATIONS AND STANDARDS

APHIS FORM 7011A
MAR 2013

EXAMPLE

Figure A-15 APHIS Form 7011A–Application for New Registration

APHIS Form 7019–Record of Animals on Hand (Other than Dogs and Cats)

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

RECORD OF ANIMALS ON HAND
(*Other than Dogs and Cats*)

1. USDA LICENSE NUMBER	2. NAME AND ADDRESS OF DEALER	3. BUSINESS YEAR FROM (Mo., Day, Yr.)	3. BUSINESS YEAR TO (Mo., Day, Yr.)	4. PAGE NUMBER

CONTAINER TAG NUMBER CRATE OR PEN NUMBER A	NUMBER ANIMALS B	INDIVIDUAL IDENTIFICATION TATTOOS OR TAG NUMBERS (*if applicable*) C	SPECIES D	AGE - SEX E: NUMBER YOUNG M	NUMBER YOUNG F	NUMBER ADULT M	NUMBER ADULT F	ARRIVAL AT PREMISES: INVOICE NUMBER F	DATE (*Mo., Day, Year*) G	From (*Name and Address*) (*Give License Number, If Licensee*) H	DISPOSITION: DATE SOLD, EXCHANGED OR DONATED — INVOICE NUMBER I	MO., DAY, YEAR J	DATE DIED (Mo., Day, Yr.) 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						
				M	F	M	F						
				M	F	M	F						
				M	F	M	F						
				M	F	M	F						

APHIS Form 7019
AUG 2011

INSPECTOR'S INITIALS | DATE

Figure A-16 APHIS Form 7019–Record of Animals on Hand (Other than Dogs and Cats)

APHIS Form 7020A-Continuation Sheet for Record of Acquisition, Disposition, or Transport of Animals (Other than Dogs and Cats)

This record is authorized by law (7 U.S.C. 2131-2156). Failure to maintain this record can result in a suspension or 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 information.

FORM APPROVED
OMB NO. 0579-0036

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)*

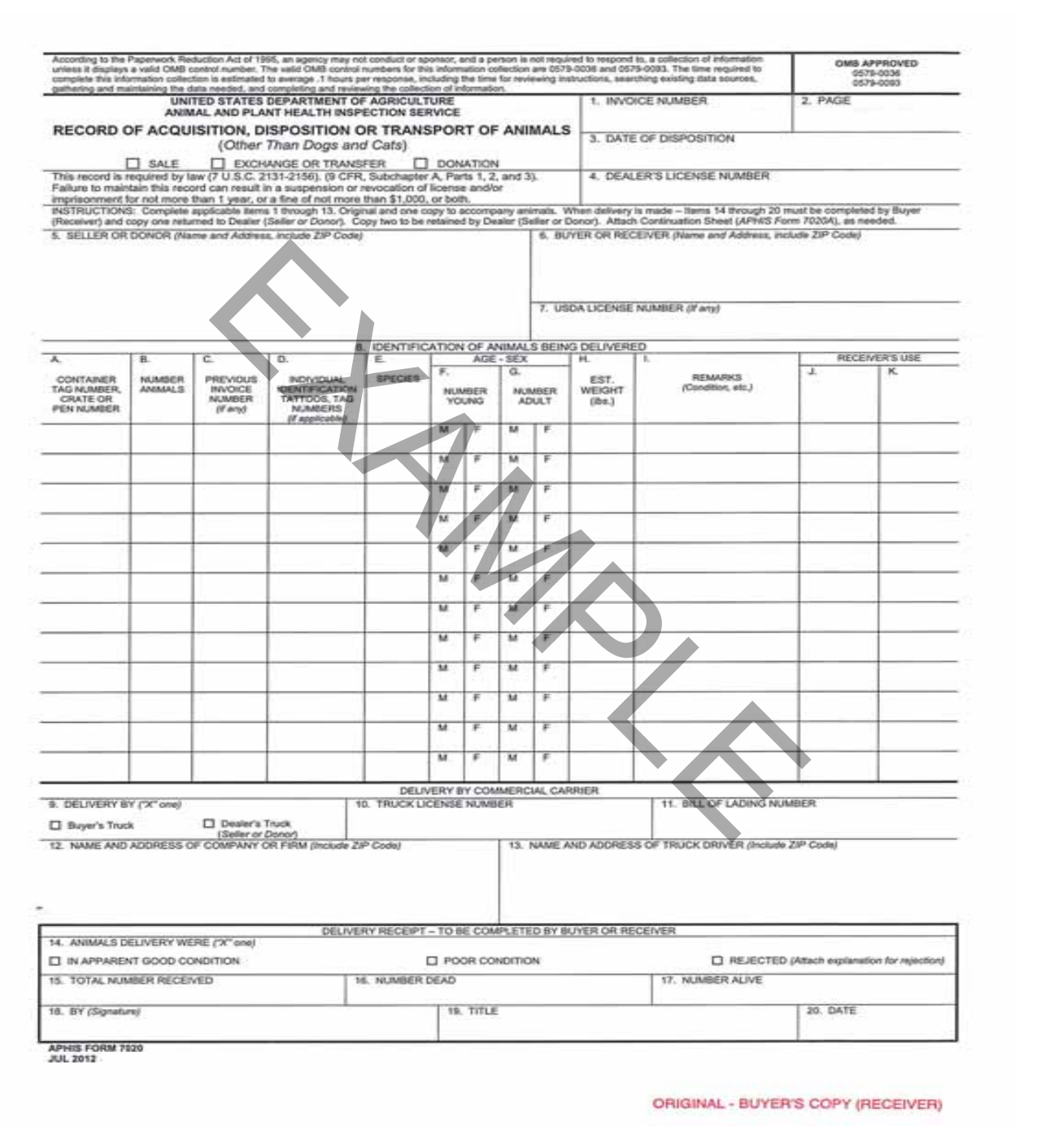
8. IDENTIFICATION OF ANIMALS BEING DELIVERED

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				
					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				
					M F	M F				

APHIS FORM 7020A
(JAN 90)
Replaces VS Form 18-20A (9-88) which may be used.

Figure A-17 APHIS Form 7020A–Continuation Sheet for Record of Acquisition, Disposition or Transport of Animals (Other than Dogs and Cats)

APHIS Form 7020–Record of Acquisition, Disposition or Transport of Animals (Other Than Dogs and Cats)



According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for this information collection are 0579-0036 and 0579-0093. The time required to complete this information collection is estimated to average .1 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.

OMB APPROVED
0579-0036
0579-0093

UNITED STATES 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

1. INVOICE NUMBER
2. PAGE
3. DATE OF DISPOSITION
4. DEALER'S LICENSE NUMBER

This record is required by law (7 U.S.C. 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.

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 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.

5. SELLER OR DONOR *(Name and Address, include ZIP Code)*
6. BUYER OR RECEIVER *(Name and Address, include ZIP Code)*
7. USDA LICENSE NUMBER *(If any)*

8. IDENTIFICATION OF ANIMALS BEING DELIVERED

A. CONTAINER TAG NUMBER, CRATE OR PEN NUMBER	B. NUMBER ANIMALS	C. PREVIOUS INVOICE NUMBER *(If any)*	D. INDIVIDUAL IDENTIFICATION TATTOOS, TAG NUMBERS *(If applicable)*	E. SPECIES	AGE - SEX F. NUMBER YOUNG		AGE - SEX G. NUMBER ADULT		H. EST. WEIGHT (lbs.)	I. REMARKS *(Condition, etc.)*	RECEIVER'S USE J.	RECEIVER'S USE 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				
					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				

DELIVERY BY COMMERCIAL CARRIER

9. DELIVERY BY *("X" one)*
☐ Buyer's Truck ☐ Dealer's Truck *(Seller or Donor)*
10. TRUCK LICENSE NUMBER
11. BILL OF LADING NUMBER
12. NAME AND ADDRESS OF COMPANY OR FIRM *(Include ZIP Code)*
13. NAME AND ADDRESS OF TRUCK DRIVER *(Include ZIP Code)*

DELIVERY RECEIPT – TO BE COMPLETED BY BUYER OR RECEIVER

14. ANIMALS DELIVERY 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

APHIS FORM 7020
JUL 2012

ORIGINAL - BUYER'S COPY (RECEIVER)

EXAMPLE

Figure A-18 APHIS Form 7020–Record of Acquisition, Disposition or Transport of Animals (Other Than Dogs and Cats)

APHIS Form 7023–Annual Report of Research Facility

The APHIS Form 7023 is available as an electronic fillable form from the Animal Welfare website.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not 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 2 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.

OMB APPROVED 0579-0036

This report is required by law (7 U.S.C. 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.

Interagency Report Control No. 0180-DOA-AN

Fiscal Year 2013

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

ANNUAL REPORT OF RESEARCH FACILITY
(TYPE OR PRINT)

1. REGISTRATION NUMBER

2. HEADQUARTERS RESEARCH FACILITY *(Name, address, and telephone number 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 on these animals and the reasons such drugs were not used must be attached to this report.)*	F. TOTAL NUMBER OF ANIMALS **(Cols. C + D + E)**
4. Dogs					0
5. Cats					0
6. Guinea Pigs					0
7. Hamsters					0
8. Rabbits					0
9. Non-human Primates					0
10. Sheep					0
11. Pigs					0
12. Other Farm Animals					
					0
13. Other Animals					
					0
					0
					0

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 provisions 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 (C.E.O.) or Legally Responsible Institutional Official (I.O.)*)
I certify that the above is true, correct, and complete (7 U.S.C. Section 2143).

SIGNATURE OF C.E.O. OR I.O.	NAME AND TITLE OF C.E.O. OR I.O. *(Type or Print)*	DATE SIGNED

APHIS FORM 7023
JUL 2013

EXAMPLE

Figure A-19 APHIS Form 7023-Annual Report of Research Facility

APHIS Form 7023–Instructions for Completion of APHIS Form 7023

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 and used in actual research, testing, teaching, or experimentation, or held for these purposes. *(Attach 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 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.

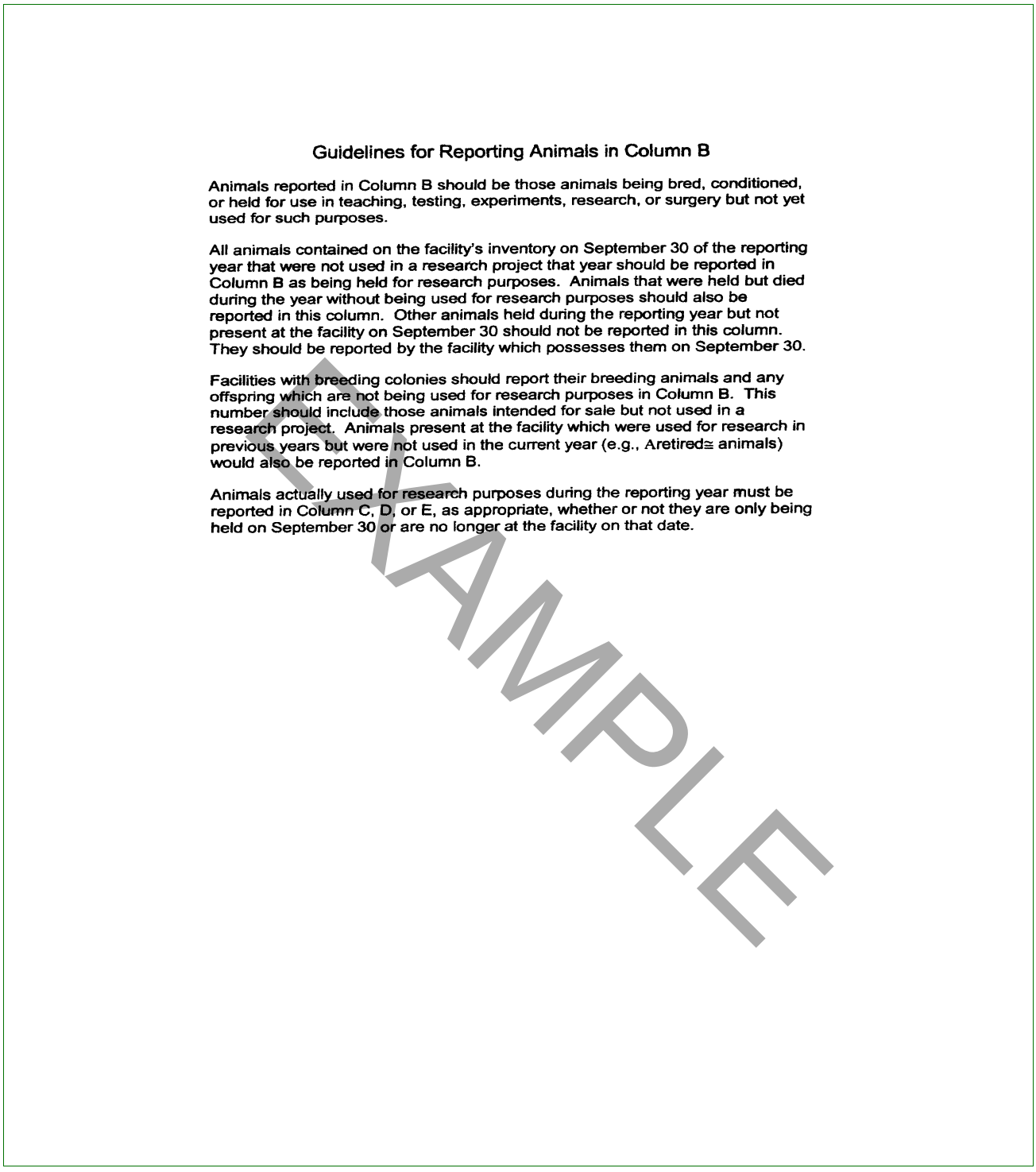
ITEM 13 - **Other:** List, by common name, all other warm-blooded animal species covered by the Regulations. *(This will include all wild or exotic species.)* Attach additional sheets if necessary or use APHIS Form 7023A.

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 REGIONAL OFFICE.

APHIS FORM 7023(Reverse)
JUL 2013

Figure A-20 APHIS Form 7023-Instructions for Completion of APHIS Form 7023 (reverse)



Guidelines for Reporting Animals in Column B

Animals reported in Column B should be those animals being bred, conditioned, or held for use in teaching, testing, experiments, research, or surgery but not yet used for such purposes.

All animals contained on the facility's inventory on September 30 of the reporting year that were not used in a research project that year should be reported in Column B as being held for research purposes. Animals that were held but died during the year without being used for research purposes should also be reported in this column. Other animals held during the reporting year but not present at the facility on September 30 should not be reported in this column. They should be reported by the facility which possesses them on September 30.

Facilities with breeding colonies should report their breeding animals and any offspring which are not being used for research purposes in Column B. This number should include those animals intended for sale but not used in a research project. Animals present at the facility which were used for research in previous years but were not used in the current year (e.g., Aretired≅ animals) would also be reported in Column B.

Animals actually used for research purposes during the reporting year must be reported in Column C, D, or E, as appropriate, whether or not they are only being held on September 30 or are no longer at the facility on that date.

Figure A-21 APHIS Form 7023 Annual Report Guidelines for Reporting Animals In Column B

Column E Explanation

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 the 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 Item 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_

Figure A-22 APHIS Form 7023 Annual Report Column E Explanation

Annual Reports—Important Information

ANNUAL REPORTS

From the AWA Regulations – Sec. 2.36

"The reporting facility shall be that segment of the research facility, or that department, agency, or instrumentality of the United States that uses or intends to use live animals in research, tests, experiments, or for teaching. Each reporting facility shall submit an annual report to the AC Regional Director for the State where the facility is located on or before December 1 of each calendar year. The report shall be signed and certified by the CEO or Institutional Official, and shall cover the previous Federal fiscal year."

What this means to you

* Preprinted Annual Report packets, including APHIS FORM 7023, are sent to each active and inactive registrant ("R", "F", "V") engaged in research, testing, experimenting, or teaching on or about September 15, of each year.

* Facilities whose registrations are cancelled during the fiscal year are still required to submit an Annual Report (up to date of cancel), even if they did not use any regulated species during that year.

IMPORTANT

We ask that you provide, with your annual report, an updated list of personnel who are authorized to legally act on behalf of the registrant. Please identify the Institutional Official, as s/he is responsible for signing the annual report. If the printed name and signature on the report does not match a name in our records, the report will be returned to you, causing delays.

Figure A-23 Annual Reports Important Information

Assistance with Accurate Annual Reporting for Research Facilities

USDA

Animal Care

Assistance with Accurate Annual Reporting for Research Facilities

September 2012

In order to assist research facilities in accurately reporting animal use on the Annual Report, APHIS Form 7023, Animal Care is providing the following information and examples as guidance only. Research activities are often unique and specific questions not covered by these examples should be directed to the appropriate Regional Office.

Animal Care and Use Review

When an Animal Care and Use Proposal is reviewed, the IACUC must make a determination as to whether the procedure could potentially cause more than slight or momentary pain or distress. If the IACUC determines that the procedures could potentially cause more than slight or momentary pain or distress, the investigator must search for alternatives to all the procedures in that study that may cause pain or distress.

At that time, the IACUC must also review the scientific explanation for justifying the withholding of analgesics, anesthetics or tranquilizing drugs that could be used to relieve the pain or distress animals on the study might experience. If the animals do experience pain which cannot be relieved with appropriate anesthetics, analgesics or tranquilizing drugs, because they would adversely affect the study, those animals are reported in column E and this explanation must accompany the annual report.

Annual Report of the Research Facility

Occasionally, during the course of a research project unforeseen events involving animals occur, and questions arise as to how best to report these animals on the APHIS Form 7023. Unexpected pain or distress and animal incidents unrelated to ongoing research should be brought to the attention of the IACUC for purposes of adequate protocol and program review.

The following examples are not intended to address protocol review, veterinary care, or training and qualification requirements. Animal Care is providing the following examples as guidance for annual reporting purposes only.

Example 1) An animal experiences unexpected pain due to the research procedures, during the course of a study. The pain is recognized and treated with appropriate analgesics in a timely manner.

Answer: Reported in Column D.

Figure A-24 Assistance with Accurate Annual Reporting for Research Facilities, Sept 2012 (1 of 2)

USDA

Animal Care

Example 2) An animal experiences unexpected pain due to a research procedure but when the pain is recognized, the investigator determines that analgesics, anesthetics or tranquilizers would adversely affect the study.

Answer: Reported in Column E.

Example 3) An animal is unexpectedly found dead in the cage during the course of a study. The animal had been monitored appropriately and there were no pre or post mortem sign of pain or distress. The animal had not experienced pain as part of the study prior to its death.

Answer: Reported in Column C.

Example 4) An animal experiences unexpected pain or distress due to the research procedures during the course of a study. The pain is recognized and the animal is euthanized in a timely manner.

Answer: Reported in Column D.

Example 5) An animal accidentally becomes caught in a cage and experiences pain and distress which is completely unrelated to the study. The injuries are treated and appropriate analgesia is provided.

Answer: This animal should be reported in the pain category appropriate to its experiences in the study. The accident does not affect the reporting category. If the animal did not experience any pain or distress as part of the approved study it would be reported in Column C.

Example 6) An animal develops an ear infection 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.

Answer: This is a tough one and does not fit easily into any of the classifications. Because the pain relief must be withheld due to the study, even though the pain is not caused by a research procedure, report this animal in Column E and provide a justification for not providing pain relieving analgesics.

Figure A-25 Assistance with Accurate Annual Reporting for Research Facilities, Sept. 2012 (2 of 2)

Annual Report Checklist

Annual Report Checklist

Note: The intent of this checklist is to aid in the completion of the APHIS Form 7023 (Annual Report of Research Facility). It is not intended to be the only reference. Please check with your Animal Care inspector or Regional Office if you have further questions or concerns. For your information: annual reports will become available through the Freedom of Information Act.

Only one Annual Report submission is authorized per facility. Consolidate all the numbers from all sites on one report. Consolidate all animal numbers from all sites on one report.

Report must be legible and all applicable blanks must be completed.

The certification signature, by the legally responsible official, must be completed. If the printed name and signature on the report does not match a name in our records, the report will not be accepted.

Animals used in more than one protocol are counted in the most painful/distressful category.

Common names of animals must be used under "Other Animals" and "Other Farm Animals"

Report wild rodents. Do not report the use of laboratory rats, laboratory mice, birds, reptiles or other animals which are exempt from regulation under the AWA.

If applicable, a summary of exceptions to the regulations and standards, specified and explained by the principal investigator and approved by the IACUC, must be attached.

Column E explanations (see attached format example) must contain the following
- Facility registration name and certificate number
- Number and species of animal for each column E study
- Description/explanation/purpose of study
- Scientific or regulatory justification for withholding of pain/distress relief and multiple column E explanations must state the number and species or animal used in each one
- Studies involving "death as an endpoint" or LDxx studies must be well documented and justified.

Facilities whose registrations are canceled during the fiscal year are still required to submit an annual report of animal usage up to the date of the cancellation even if they did not use animals in research.

The deadline for submitting an Annual Report is December 1 of the current year.

If you have any questions concerning the completion of the annual report, contact your regional office.

Figure A-26 Annual Report Checklist

USDA, APHIS, Animal Care Animal Welfare Complaint Sheet

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:

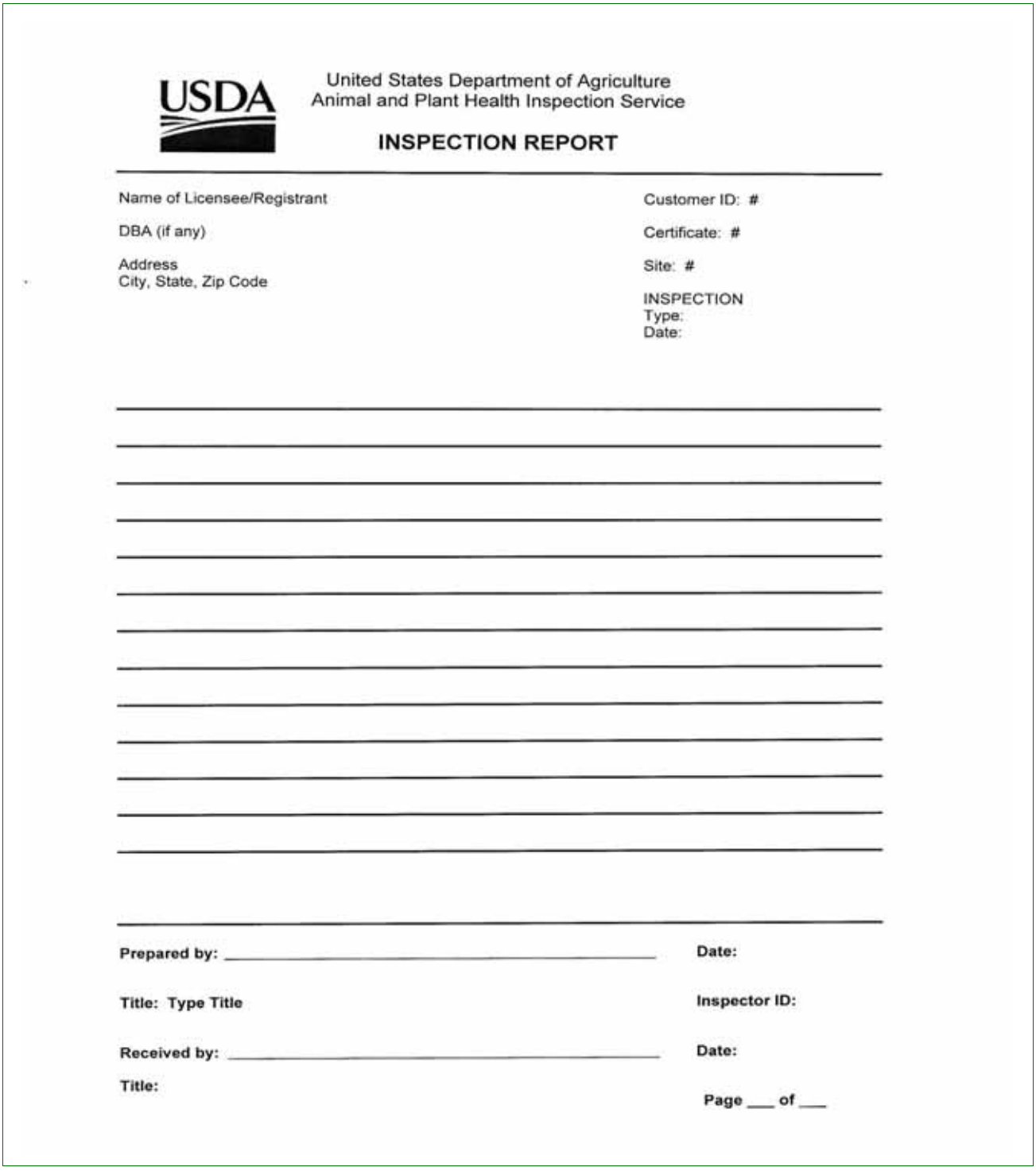
Application packet provided? Yes ☐ No ☐

INSPECTOR DATE

REVIEWED BY DATE

Figure A-27 USDA, APHIS, Animal Care Animal Welfare Complaint Sheet

USDA, APHIS, Animal Care Inspection Report and Narrative



United States Department of Agriculture
Animal and Plant Health Inspection Service

INSPECTION REPORT

Name of Licensee/Registrant

DBA (if any)

Address
City, State, Zip Code

Customer ID: #

Certificate: #

Site: #

INSPECTION
Type:
Date:

Prepared by: _____ **Date:**

Title: Type Title **Inspector ID:**

Received by: _____ **Date:**

Title:

Page ___ of ___

Figure A-28 USDA, APHIS, Animal Care Inspection Report and Narrative

USDA, APHIS, Animal Care Search for Unlicensed Activity Worksheet

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

Figure A-29 USDA, APHIS, Animal Care Search for Unlicensed Activity Worksheet

USDA Examples of Personally Identifiable Information (PII)

Personally Identifiable Information (PII) is information that can be used to uniquely identify an individual. The following are some examples of data which when combined with an individual's name constitute PII. For a decision on other data elements not indicated on this list, contact the USDA Chief Privacy Officer. Examples include:

- Social security number
- Place of birth
- Date of birth
- Mother's maiden name
- Biometric record (such as fingerprint, iris scan, DNA)
- Medical history information (including medical conditions and metric information, e.g. weight, height, blood pressure)
- Criminal history
- Employment information to include ratings, disciplinary actions, performance elements and standards
- Financial information
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

The identification of PII requires an analysis of material in context.[1] The following examples, taken alone, would generally not constitute PII. Please consult the USDA Chief Privacy Officer for additional guidance.

- An individual's name
- EIN/TIN as a business identifier
- Phone numbers (work, home, cell)
- Street addresses (work and personal)

1 OMB's Memorandum, M-07-16 (of May 22, 2007, "Safeguarding and Responding to the Breach of Personally Identifiable Information") requires an analysis of PII in context: "For example, an office rolodex contains personally identifiable information (name, phone number, etc.). In this context the information probably would not be considered sensitive; however, the same information in a database of patients at a clinic which treats contagious disease probably would be considered sensitive information. Similarly, using a best judgment standard, discarding a document with the author's name on the front (and no other personally identifiable information) into an office trashcan likely would not warrant notification to US-CERT.

- Email addresses (work and personal)
- Digital pictures
- Resumes, unless they include a SSN
- Employee present and past position titles and occupational series[1]
- Employee present and past grades (and salary privacy)[2]
- Security clearances held
- Written biographies (like the ones used in pamphlets or speakers)
- Academic information (credentials, areas of study)

1 OPM Regulation, 5 C.F.R. § 293.311 states that the following information "about most present and former Federal employees, is available to the public: (1) Name; (2) Present and past position titles and occupational series; (3) Present and past grades; (4) Present and past annual salary rates … (5) Present and past duty stations; and (6) Position descriptions, identification of job elements, and those performance standards (but not actual performance appraisals) that the release of which would not interfere with law enforcement programs or severely inhibit agency effectiveness …"

Amended Report Letter

United States Department of Agriculture

Marketing and Regulatory Programs

Animal and Plant Health Inspection Services

Animal Care

920 Main Campus Drive
Suite 200
Raleigh, NC 27606

Tel No. 919-855-7100
Fax No. 919-855-7123

Dear _____: Date_____

This amended inspection report, dated _____by the signature block, replaces the previous inspection report dated _____by the signature block. The previous inspection report is no longer valid.

Respectfully,

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

An Equal Opportunity Provider and Employer

Figure A-30 Amended Report Letter

Animal Care Traceback Worksheet

ANIMAL CARE TRACEBACK WORKSHEET

TRACEBACK NUMBER	NAME OF INSPECTOR	DATE OF INSPECTION	DATE RECEIVED IN REGIONAL OFFICE

B DEALER INFORMATION

NAME		ADDRESS
PHONE NUMBER	USDA LICENSE NUMBER	

DESCRIPTION OF DOG/CAT

☐ Dog ☐ Cat	USDA TAG NO.	AGE / DOB	BREED / TYPE
☐ Male ☐ Female	COLOR		MARKINGS

B DEALER ACQUISITION INFORMATION

NAME OF SELLER/SOURCE	ADDRESS	TELEPHONE NUMBER
DRIVERS LICENSE NUMBER STATE		USDA LICENSE NUMBER OF SELLER, IF AVAILABLE
VEHICLE LICENSE NUMBER STATE	DATE OF DOG/CAT ACQUISITION	

TRACEBACK INSPECTOR

NAME OF INSPECTOR CONDUCTING TRACEBACK	DATE SENT TO TRACEBACK INSPECTOR	DATE TRACEBACK COMPLETED

TRACEBACK RESULTS

☐ SUCCESSFUL (All data verified) ☐ UNSUCCESSFUL	UNSUCCESSFUL TRACEBACK (Explain in comments)
INSPECTOR CONTACT WITH SELLER/SOURCE: ☐ BY PHONE ☐ IN PERSON	☐ SOURCE LOCATED: Dealer record data incorrect. ☐ SOURCE LOCATED: Seller operating as unlicensed dealer ☐ SOURCE NOT LOCATED ☐ OTHER

COMMENTS

Figure A-31 Animal Care Traceback Worksheet

Exercise Plan for Dogs

EXERCISE PLAN FOR DOGS

_____ _____
Licensee/Registrant Name (type or print legibly) License/Registration #

The Animal Welfare Regulations, Title 9, CFR, Part 3, Subpart A, 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(es) 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 each 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). Attach additional sheets, if necessary.

A. Frequency: _____

B. Method: _____

_____

C. Duration: _____

I have read the regulations pertaining to the requirement 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

I have read and approve this exercise plan.

_____
Veterinarian's name (type or print legibly)

_____ _____
Veterinarian's signature Date

Note: This is an optional document to assist licensees/registrants in meeting the requirements of Section 3.8 of the regulations. Licensees/Registrants may develop their own formats if desired.

Figure A-32 Exercise Plan for Dogs

Handling of Dangerous Animals Letter

United States Department of Agriculture

Animal and Plant Health Inspection Service

Animal Care
Western Region

2150 Centre Ave.
Building B
Mail Stop # 3W11
Ft. Collins, CO 80526
Phone: 970/494-7478
Fax: 970/494-7461

(Date)

(name)
(Address)
(city, state, zip)

Customer #

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 adult large felines (e.g., lions, tigers, jaguars, leopards, cougars),[1] 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.

Figure A-33 Handling of Dangerous Animals Letter (1 of 2)

Options for Identification of Dogs and Cats

Options for Identification of Dogs & Cats

Tag: USDA # (48-A-0000) & Individual # (personal ID #: 1, 27, 32, etc.)
NOTE: Tags must include the letters USDA

Tattoo: The tattoo letters will be issued by this office after a written request from the licensee.

Microchip: The use of microchips will be approved by this office after a written request from the licensee is received.

ID Tags:

Metal

Ketchum Mfg. Co.
Lake Luzerne, NY 12846
518-696-3331
800-222-0460
Round Tags Only

Nat'l Band & Tag Co.
721 York St.
New Port, KY 41072
859-261-2035 or Fax 800-261-8247
http://www.nationalband.com

The Keyes-Davis Co.
74 14th St.
Battle Creek, MI 49015
269-962-7505

Plastic

Nat'l Band & Tag Co.
721 York St.
New Port, KY 41072
859-261-2035 or Fax 800-261-8247
http://www.nationalband.com

Microchips

AVID
155 Woodside Dr.
Mandville, LA 70448
800-434-2843

Home-Again: AKC Companion Animal Recovery
5580 Centerview Dr.
Raleigh, NC 27606
800-252-7894 or 800-313-5737
Fax: 919-233-1290
found@akc.org.

Infopet
5404 Mark Court
Agoura Hills, CA 91301
818-707-9942

Revival
913 8th St. South West
Orange City, IA 51041
712-737-5555

USDA does not endorse the specific companies listed here.
Many other companies supply tags that will comply with USDA standards.

Figure A-34 Options for Identification of Dogs and Cats

Perimeter Fence Variance Request Letter

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.

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

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Figure A-35 Perimeter Fence Variance Request Letter (1 of 2)

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
920 Main Campus Drive, Suite 200
Raleigh, NC 27606

OR

USDA-APHIS-Animal Care
2150 Centre Ave., Building B
Mailstop 3W11
Ft. Collins, CO 80526-8117

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.

Sincerely,

Regional Director
Animal Care

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

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Figure A-36 Perimeter Fence Variance Request Letter (2 of 2)

Procedure for Obtaining a Tattoo Code

USDA APHIS Animal Care

_____
NAME

_____
ADDRESS

_____
CITY STATE ZIP CODE

_____
LICENSE NUMBER PHONE NUMBER

I would like to request an official tattoo identification prefix. In accordance with the Animal Welfare Act, Subpart E-Identification of Animals; I will place the tattoo identification prefix and the animal's individual identification number on/in the _____ of each animal. The individual number will be serially numbered and may not be duplicated or used more than once in a 5-year period.

I understand that the tattoo must be distinctive and legible.

It must be approved by the Administrator.

_____ _____
SIGNATURE DATE

Figure A-37 Procedure for Obtaining a Tattoo Code

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.

Please send all information to this office. If you have any questions, please call this office at 970/494-7478 during the hours of 7:30 am to 4:00 pm, Monday through Friday.

Sincerely,

Robert M. Gibbens, DVM
Director, Western Region
USDA, APHIS, Animal Care

[1]over 3 months of age.

12/20/01

APHIS *Safeguarding American Agriculture*
APHIS is an agency of USDA's Marketing and Regulatory Programs

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Figure A-38 Handling of Dangerous Animals Letter (2 of 2)

Request to Cancel License/Registration

Dr. Robert Gibbens, DVM
Western Regional Director
USDA, APHIS, Animal Care
2150 Centre Avenue, Building B
Mail Stop 3W11
Fort Collins, CO 80526

Date: _____

Dear Dr. Gibbens:

I, _____,

doing business as _____,
(business name)

at _____,
(address)

do hereby voluntarily surrender my license, number _____.

I am no longer engaged in business using regulated animals under the jurisdiction of the Animal Welfare Act (7U.S.C. 2131-2156).

I am aware that if I should become actively engaged in dealing or exhibiting animals regulated by the Animal Welfare Act, that it is my responsibility to notify the APHIS Animal Care Regional Supervisor so that I may reapply for licensing.

_____ My license certificate is attached.

_____ I cannot return my license certificate because

_____

_____

_____

Signature: _____

Complete and return to:
USDA, APHIS, Animal Care
2150 Centre Avenue, Building B
Mail Stop 3W11
Fort Collins, CO 80526

Figure A-39 Request to Cancel License/Registration

Request to Use Microchipping as a Method of Identification

Request to Use Micro chipping as a Method of Identification

Submit completed form to: USDA-APHIS-AC
2150 Centre Ave.
Building B, Mailstop 3W11
Fort Collins, CO 80526

Name of Business: _____

Name of Owner: _____

Address: _____

City: _____ State: _____ Zip: _____

USDA License 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 micro chipping system is discovered to be ineffective.

Licensee/Registrant Signature: _____

Date: _____

Inspector concurrence: _____

Date: _____

Regional Director Approval: _____

Note: This is an optional document to assist licensees/registrants in meeting the requirements of of the regulations. Licensees/Registrants may develop their own formats if desired.

12/21/11

Figure A-40 Request to Use Microchipping as a Method of Identification

Request for Federal Taxpayer Identification Number

CUSTOMER #:

IMPORTANT

THE FEDERAL DEBT COLLECTION ACT **of 1996 requires us to obtain your Federal Taxpayer Identification Number (FTIN). This would be either your Federal Employer Identification Number (EIN) or your Social Security Number(s) (SSN's).**

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

Our computer system will not allow processing of your application or renewal without this number.

You must submit your SSN or EIN number on the attached sheet, titled, IMPORTANT. If the number submitted does not match your previously submitted number, you will be contacted for clarification.

If you change the SSN, Tax Id Number, and /or Type of Organization we have on file, you may have to apply for a new License/Registration.

Thank you for your cooperation.

Corporation Name:_____
EIN:_____

Or

Partnership Legal Name:_____
EIN:_____

Or

Individual: Name: _____ SSN: __ __ __ __ __ __ __ __ __

Or

Partnership:
Partner Name: _____ SSN: __ __ __ __ __ __ __ __ __
Partner Name: _____ SSN: __ __ __ __ __ __ __ __ __
Partner Name: _____ SSN: __ __ __ __ __ __ __ __ __
Partner Name: _____ SSN: __ __ __ __ __ __ __ __ __

1 April 2013

Figure A-41 Request for Federal Taxpayer Identification Number

State and Territory Identification Codes

64	ALABAMA - AL	11	MAINE
96	ALASKA - AK	12	NEW HAMPSHIRE
86	ARIZONA - AZ	13	VERMONT
71	ARKANSAS AR	14	MASSACHUSETTS
93	CALIFORNIA - CA	15	RHODE ISLAND
84	COLORADO - CO	16	CONNECTICUT
16	CONNECTICUT - CT	21	NEW YORK
50	DELAWARE - DE	22	NEW JERSEY
58	FLORIDA - FL	23	PENNSYLVANIA
67	GEORGIA - GA	31	OHIO
97	GUAM - GU	32	INDIANA
95	HAWAII - HI	33	ILLINOIS
82	IDAHO - ID	34	MICHIGAN
33	ILLINOIS - IL	35	WISCONSIN
32	INDIANA - IN	41	MINNESOTA
42	IOWA - IA	42	IOWA
48	KANSAS - KS	43	MISSOURI
61	KENTUCKY - KY	45	NORTH DAKOTA
72	LOUISIANA - LA	46	SOUTH DAKOTA
11	MAINE - ME	47	NEBRASKA
69	MARIANA ISLANDS - MP	48	KANSAS
51	MARYLAND - MD	50	DELAWARE
14	MASSACHUSETTS - MA	51	MARYLAND
34	MICHIGAN - MI	52	VIRGINIA
41	MINNESOTA - MN	54	WEST VIRGNIA
65	MISSISSIPPI - MS	55	NORTH CAROLINA
43	MISSOURI - MO	56	SOUTH CAROLINA
81	MONTANA - MT	57	GEORGIA
47	NEBRASKA - NE	58	FLORIDA
88	NEVADA - NV	61	KENTUCKY
12	NEW HAMSHIRE - NH	63	TENNESSEE
22	NEW JERSEY - NH	64	ALABAMA
85	NEW MEXICO - NM	65	MISSISSIPPI
21	NEW YORK - NY	69	MARIANA ISLANDS
55	NORTH CAROLINA = NC	71	ARKANSAS
45	NORTH DAKOTA - ND	72	LOUISIANA
31	OHIO - OH	73	OKLAHOMA
73	OKLAHOMA - OK	74	TEXAS
92	OREGON - OR	81	MONTANA
23	PENNSYLVANIA - P	82	IDAHO
94	PUERTO RICO - PR	83	WYOMING
15	RHODE ISLAND - RI	84	COLORADO
56	SOUTH CAROLINA - SC	85	NEW MEXICO
46	SOUTH DAKOTA - SD	86	ARIZONA
63	TENNESSEE - TN	87	UTAH
74	TEXAS - TX	88	NEVADA
87	UTAH - UT	91	WASHINGTON
13	VERMONT - VT	92	OREGON
52	VIRGINIA - VA	93	CALIFORNIA
91	WASHINGTON - WA	94	PUERTO RICO
54	WEST VIRGINIA - WV	95	HAWAII
35	WISCONSIN - WI	96	ALASKA
83	WYOMING - WY	97	GUAM
	DARK color is EASTERN REGION		LIGHT color is WESTERN REGION

Figure A-42 State and Territory Identification Codes

Submission of Itineraries

Submission of Itineraries – Optional Form

Licensee Name_____ Business Name_____ Certificate Number_____
Animal Owner _____ Date(s) of exhibition_____

Animal Name	Animal ID	Animal Description	Type of Animal (common name)	Type of Animal (Scientific name)	Age of Animal	Gender of Animal

Name of Transporter_____

	Stop/Layover#1	Stop/Layover#2	Stop/Layover#3	Exhibition
Date(s)				
Location Name				
Location Address (building name, street address, GPS coordinates, landmarks, etc., as applicable)				

Submit information to Regional Office of Licensee Home Site

Eastern Regional Office
USDA, APHIS, Animal Care
920 Main Campus Drive, Suite 200
Raleigh, NC 27606
TEL: 919-855-7100 FAX: 919-855-7123
E-MAIL: aceast@aphis.usda.gov
Must have "Itinerary" in subject line

Western Regional Office
USDA, APHIS, Animal Care
2150 Centre Avenue, Bldg B, Mail Stop #3W11
Fort Collins, CO 80526-8117
TEL: 970-494-7478 FAX: 970-494-7461
E-MAIL: acwest@aphis.usda.gov
Must have "Itinerary" in subject line

Figure A-43 Itinerary for Traveling Facilities (optional form)

Appendix

B

Appendix B—Direct Noncompliance Item (NCI) Guidance

(9 CFR Parts 2-3)

Contents

Direct NCI Guidance

Table B-1 Direct Noncompliance Item Guidance[1]

9 CFR Section Number	Example of Direct NCI
Section 2.40 Attending Veterinarian and Adequate Veterinary Care **NOTE**: If a licensee or registrant can demonstrate via records or other means that he/she has taken the proper steps to mitigate the injury and/or death of the animal, a noncompliance has **not** occurred. These proper steps include, but are **not** limited to: 1. Identifying the condition requiring veterinary care in a timely manner; 2. Acquiring veterinary care and/or initiating treatment in a timely manner; and/or 3. Following the treatment instructions of the Attending Veterinarian	Cherry eye, eye opacity or enlarged eye globe with inflammation and abnormal discharge
	Overgrown toenails causing mal-positioned digits or embedded in pad causing open lesions or gait problems
	Heavy tick/flea infestation (i.e., a high number of external parasites are visible) with associated lethargy, pale mucous membranes, labored breathing
	Fly bite ears with associated inflammation, discharge, scratching, hematoma
	Stools that are loose, bloody associated with emaciated and/or lethargic dog
	Ongoing respiratory condition with severe cough and/or abnormal nasal discharge
	Presence of contagious disease, such as Parvovirus infection, and **no** isolation area to seclude the affected dogs from the rest of the kennel
	Any untreated, prolapsed, open lesion/wound where the skin is pulled back to expose underlying tissue, muscle, bone
	Severe ear infection with scratching and rubbing of ears, plus an associated moist ear canal discharge, inflammation, or ear hematoma
	Interdigital cysts with discharge, inflammation, and lameness
Section 2.129(a) and (b) Confiscation and Destruction of Animals	A confiscation would be the result of a situation that involved animal suffering due to AWA non-compliances and would therefore be considered a Direct NCI; this would typically be cited in the associated sections (vet care, feeding, shelter, etc.), but if 2.129 is cited, it is a direct NCI.
Section 2.130 Minimum Age Requirements	Transportation of a dog or cat that has **not** been weaned, **without** their dam or queen, and **without** appropriate variances or exceptions (if required)

Table B-1 Direct Noncompliance Item Guidance[1] (continued)

9 CFR Section Number	Example of Direct NCI
Section 2.131 Handling of Animals	Death or severe injury to animal as a result of handling procedures; also behavioral stress due to handling non-compliances
	Use of items that cause physical injury, harm, or distress to the animals, such as the excessive use of the ankus, hot shot, or any tool used to train or work the animal
	Public exhibition that allows direct contact of a dangerous animal (big cat, bear, wolves, elephant, great ape, etc.) with the general public **without** sufficient or adequate barriers, such as use of a juvenile or adult big cat in photo shoots, elephant rides **without** an attendant
	Use of tranquilizers to facilitate public handling of animals
	Failure to provide appropriate measures to alleviate any climatic weather condition that is a threat to the health and welfare of the animal, such as failing to provide sufficient heating or cooling to an animal barn or housing facility, when conditions and the species of the animal require it for the health and welfare of the animal
	Exhibition/performance of an animal that would be detrimental to its health or well-being, such as an immature/young animal that is handled excessively by the public in a petting zoo and is unable to get away from the public, or baby tigers used for photo shoots with excessive public handling showing distress
	Facility that obtains a dangerous animal **without** having a person knowledgeable and experienced about the species on staff
Section 3.1(a) Housing Facilities General	Structure deterioration, such as rusted support posts, where the structure is in danger of falling on dogs
	Facilities **not** maintained; animals escape
Section 3.1(b) Housing Facilities General	Live electric wire exposed to and within easy reach of dogs (insulation removed and/or bare ends of cord exposed)
Sections 3.2(a), 3.3(a), 3.5(a) Indoor Housing Facilities, Sheltered Housing Facilities, Mobile or Traveling Housing Facilities	Temperature outside of allowable ranges, animal showing signs of distress
	Temperature below allowable lower ranges; dry bedding or other methods of conserving body heat **not** present
Sections 3.2(b), 3.3(b), 3.5(b) Indoor Housing Facilities, Sheltered Housing Facilities, Mobile or Traveling Housing Facilities	Lack of ventilation to the point where there are noxious fumes (e.g., your eyes burn) at the level of the animal's eyes and nose; dogs are showing signs of discomfort and/or distress, such as squinting, coughing, sneezing, nasal discharge, etc.
Sections 3.2(c), 3.3(c), 3.5(c) Indoor Housing Facilities, Sheltered Housing Facilities, Mobile or Traveling Housing Facilities	Absence of lighting and absence of diurnal cycle (**no** windows and **no** broad spectrum lighting with appropriate cycling of light and dark)
Sections 3.3(d), 3.4(b) Sheltered Housing Facilities, Outdoor Housing Facilities	Sheltered area **not** large enough for all dogs to sit, stand, lie in a normal manner, and to turn about freely, and temperature under 45 °F or over 85 °F; dogs showing signs of discomfort and/or distress
Section 3.4(a) Outdoor Housing Facilities	Dogs and cats maintained in areas in which they are **not** acclimated to the temperatures prevalent in the area, and/or breeds of dogs and cats maintained in areas in which they **cannot** tolerate the prevalent temperatures **without** stress

Table B-1 Direct Noncompliance Item Guidance[1] (continued)

9 CFR Section Number	Example of Direct NCI
Section 3.4(b) Outdoor Housing Facilities	Shelter **without** sufficient bedding and temperature under 35 °F, or between 35 and 50 °F with dogs showing signs of discomfort (shivering)
	Insufficient wind/rain break and temperature under 50 °F; water in shelter with wet dogs
Section 3.6(a)(1) Primary Enclosure	Enclosure **not** designed to enable dogs to remain dry, wet dogs, temperature under 45 °F
	Food situation where one dog does **not** let other dog(s) eat and there are signs of distress and/or emaciation
Section 3.6(c)(1) Primary Enclosure	Enclosure does **not** meet minimum floor space requirements and dog has behavioral and/or medical issues (example: lick granuloma)
Section 3.7 Compatible Grouping	Incompatible dogs housed together with injuries and/or signs of distress
Section 3.8 Exercise	Insufficient floor space and **no** opportunity for exercise (**no** written plan, **no** evidence of exercise area)
Section 3.9(a) Feeding	Food contaminated with feces, urine, mold, mildew, pest waste
	Emaciated dogs with **no** feed or inappropriate feed
Section 3.10 Watering	**No** water or frozen water—dogs offered fresh water and drink voraciously and/or in a manner that demonstrates they are extremely thirsty
	Water contaminated with feces, urine, pest waste, mud
Section 3.11(a) Cleaning	Accumulation of excreta and food waste in the primary enclosure; animals have excreta and/or food waste on their fur, and/or **cannot** find adequate areas in their enclosure where they can stand or walk **without** being in waste
	Excessive feces and food waste are attracting an accumulation of pests (flies/mosquitoes)
Section 3.11(b)(3) Sanitation	Using cold water **without** a disinfectant or detergent, and animals are getting ill from a contagious disease.
Section 3.11(c) Housekeeping	Weeds/brush are growing up and around dog pens. Vermin are seen in the dog pens, eating/defecating and/or getting into the food supply. Holes large enough to allow dogs to escape or other animals to enter, covered by the brush.
Section 3.11(d) Pest Control	The presence of pests with signs of infestation such as contaminated feed, contaminated water, intense odor, fly strike, and little or **no** pest control in place
Section 3.12 Employees	The lack of an adequate number of employees; numerous repeat and/or direct noncompliances identified on the inspection
Sections 3.13(a)(b)(c) Consignments to Carriers and IH	A carrier/IH accepts an animal more than 4 hours before the scheduled flight departure, and there was **no** documentation as to when the animal was last fed or watered; and the animal either voraciously goes for food/water when offered, or it becomes ill and needs vet attention, or dies.
Section 3.13(d) Consignments to Carriers and IH	Carrier/IH accepts dog for transport in an inadequate primary enclosure; dog breaks out of the transport enclosure and is lost, injured, or killed.
Section 3.13(f) Consignments to Carriers and IH	**No** documentation is made that the consignee was notified when the shipment arrived, nor every 6 hours thereafter. The animal becomes ill due to the delay in notifying the consignee.

Table B-1 Direct Noncompliance Item Guidance[1] (continued)

9 CFR Section Number	Example of Direct NCI
Section 3.14(a) Primary Enclosure Used to Transport Live Dogs and Cats	1. Animal was able to escape the transport enclosure. 2. Emergency presented itself and the animal enclosure could **not** be moved in a timely manner. 3. Limbs protruding from the enclosure. 4. **Not** enough ventilation openings on the enclosure. All resulting in injury, distress, or death.
Section 3.14(c) Primary Enclosure Used to Transport Live Dogs and Cats	The transport enclosure does **not** meet the ventilation requirements.
Section 3.14(d) Primary Enclosure Used to Transport Live Dogs and Cats	A large puppy or dog is put into a transport enclosure with a small puppy or dog, and the smaller dog is seriously injured or dies. There is a disregard for the 20 pound rule. An overly aggressive dog is shipped with another dog and the submissive dog is seriously injured or killed.
Section 3.15(a-h) Primary Conveyances	Primary conveyance is structurally unsound—exhaust fumes enter the cargo space and/or air flow is hindered, and/or animals are exposed to too cold or too hot temperatures, and/or dry ice is in the cargo space, etc. The result is injury, distress, or death.
Section 3.16 Food and Water Requirements	Animals are transported for more than 12 hours and are **not** fed or offered water (if under 16 weeks), and are now in distress and/or dehydrated and/or needing veterinary care and/or die.
Section 3.17(a) Care in Transit	Animals are either in a truck or in a plane, and are **not** observed every 4 hours (if applicable), and the animals become severely ill, injured, distressed, and/or die.
Section 3.17(c) Care in Transit	Animal is obviously ill, injured, or in physical distress, but is transported anyway.
Section 3.17(d) Care in Transit	Animal is removed from the transport enclosure resulting in injury, escape, and/or death.
Section 3.18(c) Terminal Facilities	Lack of ventilation to the point where there are noxious fumes (e.g., your eyes burn) at the level of the animal's eyes and nose; dogs are showing signs of discomfort and/or distress.
Section 3.18(d) Terminal Facilities	Temperatures are allowed to fall below 45 °F or above 85 °F, which results in the animals showing signs of discomfort, distress, or death.
Section 3.18(e) Terminal Facilities	Animals are **not** provided shelter to extreme elements, which results in the animals being injured, or showing signs of discomfort, distress, or death.
Section 3.19(a) Handling	When moving animals from the terminal facility to plane side, the animals were exposed to prolonged time out in the sun, extreme heat, rain, snow, or extreme cold, and now show signs of injury, discomfort, distress, or death.
Section 3.19(b) Handling	A transport enclosure is put on an unattended conveyor belt, or is haphazardly put onto an unattended belt and the enclosure falls off.

1 Version = September 9, 2010

Appendix

C

Appendix C—Equipment and Supplies

Contents

Equipment

The following equipment is highly recommended:

- Blank inspection report forms (in case of computer/printer failure)
- Business cards
- Camera/video camera and extra batteries
- Disposable boots and/or rubber boots
- Ear plugs
- Extra printer cartridge
- Film/memory card
- First-aid kit
- Flashlight and extra batteries
- Kestrel Weather Meter
- Laptop computer
- Note pad
- Official badge and identification
- Pail and scrub brush for rubber boots
- Paper
- Pen/pencil
- Printer
- Raytek MiniTemp Thermometer
- Reference material, such as:
  - Animal Welfare Inspection Guide
  - Required Inspection Procedures
  - Reference texts
  - Subpart A – Animal Welfare
- Soap/disinfectant
- Tape measure
- Thermometer

The following equipment is optional:

- Binoculars
- Calculator

- Copy machine
- Coveralls
- Hand counter
- Inspection checklists
- Towels/paper towels

Special Equipment

Nonhuman Primates

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

- Biological waste bag
- Coveralls – preferably disposable
- Disinfectant
- Disposable gloves
- Exposure kit
- Full face shield and eye protection, such as safety glasses or goggles
- Respirator

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

NOTICE

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 facility and general public by the inspector:

- The Animal Welfare Act
- Ordering Animal Care Forms on page A-3
- APHIS fact sheets
- APHIS Forms for record keeping:
  - APHIS Form 7002–Program of Veterinary Care for Research Facilities or Exhibitors/Dealers on page A-5
  - APHIS Form 7005–Record of Acquisition of Dogs and Cats on Hand on page A-15
  - APHIS Form 7006–Record of Disposition of Dogs and Cats on page A-17
  - APHIS Form 7006A–Continuation Sheet for Record of Disposition of Dogs and Cats on page A-19
  - APHIS Form 7019–Record of Animals on Hand (Other than Dogs and Cats) on page A-25
  - APHIS Form 7020A-Continuation Sheet for Record of Acquisition, Disposition, or Transport of Animals (Other than Dogs and Cats) on page A-27
  - APHIS Form 7020–Record of Acquisition, Disposition or Transport of Animals (Other Than Dogs and Cats) on page A-29
- AWA Regulations and Standards
- Exercise Plan for Dogs on page A-55
- Handling of Dangerous Animals Letter on page A-57
- Options for Identification of Dogs and Cats on page A-59
- Procedure for Obtaining a Tattoo Code on page A-63
- Request to Use Microchipping as a Method of Identification on page A-67
- Request for Federal Taxpayer Identification Number on page A-69
- Request to Cancel License/Registration on page A-65

Reference Texts and Materials

You should have the following texts and materials for reference. If you do not have them, you should check with your supervisor about ordering them (see Table C-1 for ordering information). If you are unable to find any of these books, contact your Regional Office.

Industry Standards Related Texts

- *American Zoological Association Standards*

NOTICE

Information from the AZA 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)
- *AVMA Guidelines for the Euthanasia of Animals*, 2013 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*
- *The Pinnipeds: Seals, Sea Lions, and Walruses*
- *Recognition and Alleviation of Pain and Distress in Laboratory Animals* (National Research Council)
- *The Sierra Club Handbook of Seals and Sirenians*
- *The Sierra Club Handbook of Whales and Dolphins*
- *Simon & Schuster's Guide to Cats*
- *Simon & Schuster's Guide to Dogs*
- *Simon & Shuster'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*

Optional Reference Texts

- *Biosafety in Microbiological and Biomedical Laboratories*
- *Merck Veterinary Manual*
- *Veterinary Drug Handbook*

Miscellaneous

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

- Annual Report Checklist on page A-41
- Complaint sheets
- Prelicense packets
- USDA, APHIS, Animal Care Search for Unlicensed Activity Worksheet on page A-47
- State and Territory Identification Codes on page A-71
- USDA Examples of Personally Identifiable Information (PII) on page A-49

Ordering Information for Reference Texts and Materials

Check with SACS before ordering any book.

Table C-1 Industry Standards Related Texts and Materials

Title	Author	Publisher	ISBN or Ordering Information
AZA Standards	American Zoological Association		Obtain from Regional Office
Guide for the Care and Use of Animals in Agricultural Research and Teaching	Federation of Animal Social Societies (FASS)	Federation of Animal Social Societies 1111 N. Dunlap Avenue Savoy, IL 61874	Obtain from FASS at (217) 356-3182
Guide for the Care and Use of Laboratory Animals	Institute of Laboratory Animal Resources	National Academy Press Washington, DC	ISBN: 0309053773
Live Animal Regulations 25th Edition	International Air Transport Association (IATA)	IATA 800 Place Victoria Montreal, Quebec Canada H4Z 1M1	ISBN: 921710776
The Psychological Well-Being of Nonhuman Primates	National Research Council	National Academy Press Washington, DC	ISBN: 0309052335
Report of the AVMA Panel on Euthanasia – 2000 Edition	American Veterinary Medical Association		Obtain from AVMA at www.avma.org
Cat Owner's Home Veterinary Handbook	D.G. Carlson J. M. Griffin	Howell Book House New York, NY	ISBN: 0876057962
Don't Shoot the Dog!	Karen Pryor	Bantom Books New York, NY	ISBN: 0553253883
Encyclopedia of Mammals (The)	David Macdonald (editor)	Facts on File, Inc. New York, NY	ISBN: 0871968711
Handling Fish Fed to Fish-Eating Animals	Susan Crissey	National Agricultural Library 10301 Baltimore Avenue Beltsville, MD	National Technical Information Service (800) 553-6847
Handling Frozen/Thawed Meat and Prey Items Fed to Captive Exotic Animals	Susan Crissey Kerri Slifka Pam Shumway Susan Spencer	National Agricultural Library 10301 Baltimore Avenue Beltsville, MD	National Technical Information Service (800) 553-6847
Information Resources for Adjuvants and Antibody Production	Cynthia Smith (editor)	National Agricultural Library 10301 Baltimore Avenue Beltsville, MD	National Technical Information Service (800) 553-6847
Marine Mammals American Cetacean Society Guide	Richard Ellis	American Cetacean Society	Available through www.acsonline.org
Marine Mammal Water Quality: Proceedings of a Symposium, Technical Bulletin 1868	John Coakley Richard Crawford	USDA, APHIS	Available from Regional Office

Table C-1 Industry Standards Related Texts and Materials (continued)

Title	Author	Publisher	ISBN or Ordering Information
Pictorial Guide to Living Primates (The)	Noel Rowe	Pogonias Press East Hampton, NY	ISBN: 0964882515
Pinnipeds: Seals, Sea Lions & Walruses	Marianne Riedman		ISBN: 0520064984
Recognition and Alleviation of Pain and Distress in Laboratory Animals	National Research Council	National Academy Press Washington, DC	ISBN: 0309042755
Sierra Club Handbook of Seals and Sirenians (The)	Randall Reeves Brent Stewart Stephen Leatherwood	The Sierra Club	ISBN 10: 0871566560 ISBN 13: 978-0871566560
Sierra Club Handbook of Whales and Dolphins (The)	Randall Reeves Stephen Leatherwood	The Sierra Club	ISBN 10: 0871563401 ISBN 13: 978-0871563401
Simon & Shuster's Guide to Cats	Mordecai Siegal (Editor)	Simon & Shuster, Inc. New York, NY	ISBN: 0671491709
Simon & Shuster's Guide to Dogs	Elizabeth Meriwether Schuler (Editor)	Simon & Shuster, Inc. New York, NY	ISBN: 0671255274
Simon & Shuster's Guide to Mammals	Sydney Anderson (Editor)	Simon & Shuster, Inc. New York, NY	ISBN: 0671428055
Sterilization of Marine Mammal Pool Water, Technical Bulletin 1797	Stephen Spotte	USDA, APHIS	Available on Animal Care web site
Veterinary Notes for Dog Breeders	Annette Carricato	Howell Book House New York, NY	ISBN: 0876058055
Wild Mammals in Captivity Principles and Techniques	Devra Kleimann (Editor)	University of Chicago Press Chicago, IL	ISBN: 0226440036
Zoo and Wild Animal Medicine – Current Therapy 3	Murray Fowler (Editor)	W. B. Saunders Co. Philadelphia, PA	ISBN: 0721636675 3rd Edition preferred

Table C-2 Optional Reference Texts

Title	Author	Publisher	ISBN or Ordering Information
Biosafety in Microbiological and Biomedical Laboratories, 4th Edition (May 1999)	Jonathan Richmond and Robert McKinney (Editors)	Superintendent of Documents U.S. Gov't. Printing Office Washington, DC	ISBN: 017040005474 Superintendent of Documents (202) 512-2250
Merck Veterinary Manual (most current edition)	Susan Aiello, et al.	Merck & Company Rahway, NJ	ISBN: 978-0911910933
Veterinary Drug Handbook (most current edition)	Donald Plumb	Iowa State University (ISU) Press Ames, IA	ISU Press (800) 862-6657

Appendix

D

Appendix D—Body Condition Charts

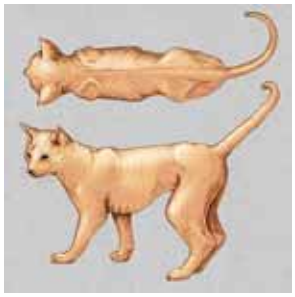
Contents

Body Condition Assessment Charts

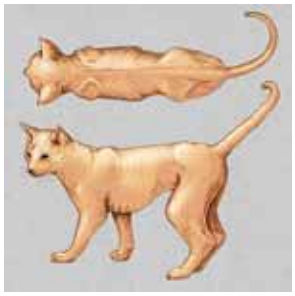
These charts may be used to help inspectors identify animals in critical or near-critical condition which, if **not** addressed, could trigger a confiscation. Included are:

- Cat
- Cougar
- Dog
- Elephant
- Leopard
- Lion
- Tiger
- Tiger Cub Size Information

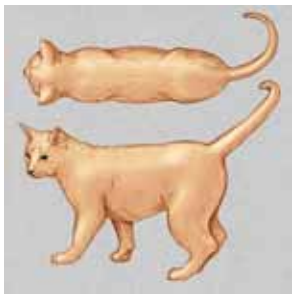
Cat



1
EMACIATED: Ribs, lumbar vertebrae, pelvic bones and all body prominences evident from a distance. No discernible body fat. Obvious absence of muscle mass.

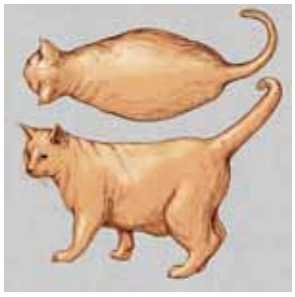


2
UNDERWEIGHT: Ribs easily palpated and may be visible with no palpable fat. tops of lumbar vertebrae visible. Pelvic bones less prominent. Obvious waist and abdominal tuck.



3
OPTIMAL BODY WEIGHT: Ribs palpable without excess fat covering. Abdomen tucked up when viewed from side.

4
OVERWEIGHT: General fleshy appearance. Ribs palpable with difficulty. Noticeable fat deposits over lumbar spine and tail base. Abdominal tuck may be absent.



5
OBESE: Large fat deposits over chest, spine, and tail base. Fat deposits on neck and limbs. Abdomen distended.

Source: Ohio State University, College of Veterinary Medicine

Figure D-1 Cat Body Assessment Chart

Cougar

1
EMACIATED: All ribs and vertebral bodies prominently showing, skin laying over hips and femur

2
UNDERWEIGHT: Ribs, vertebral bodies and hips slightly showing, “tucked up” appearance

3
OPTIMAL BODY WEIGHT: Hint of ribs and vertebral bodies

4
OVERWEIGHT: No hips or ribs showing, rotund appearance to abdomen

5
OBESE: Abdomen sagging, obvious fat over hips and shoulders

Source: USDA-APHIS

Figure D-2 Cougar Body Assessment Chart

Dog

1
EMACIATED: Ribs and lumbar vertebrae obvious, pelvic bones and all other bony structures obvious and prominent. Tail base prominent and bony. Accentuated concave abdominal tuck. Accentuated, severe hourglass shape to waist. No discernible body fat. Obvious loss of muscle mass.

2
UNDERWEIGHT: Ribs and lumbar vertebrae easily seen with no fat cover. Pelvic bones obvious. Tail base bony with little soft tissue. Marked concave abdominal tuck. Marked hourglass shape to waist.

3
OPTIMAL BODY WEIGHT: Ribs, lumbar vertebrae, pelvic bones, and other bony structures easily palpable with slight fat cover. Tail base smooth with thin, soft tissue cover. Concave abdominal tuck. Smooth hourglass shape to waist.

4
OVERWEIGHT: Ribs and lumbar vertebrae are difficult to palpate. Pelvic bones are palpable with moderate tissue cover. Tail base has fat deposition with moderate soft tissue cover. Concave tuck is decreased to absent. Loss of hourglass shape to waist with back is slightly broadened.

5
OBESE: Ribs and lumbar vertebrae are very difficult to impossible to palpate. Pelvic bones are difficult to palpate with thick tissue cover. Tail base is thickened from fat disposition with thick soft tissue cover. Abdomen is convex with or without a pendulous ventral bulge. Back is markedly broadened.

Source: USDA-APHIS

Figure D-3 Dog Body Assessment Chart

Elephant

1
EMACIATED: All ribs and vertebral bodies prominently showing, skin laying over hips and femur

2
UNDERWEIGHT: Ribs, vertebral bodies and hips slightly showing, “tucked up” appearance

3
OPTIMAL BODY WEIGHT: Hint of ribs and vertebral bodies, good muscle tone

4
OVERWEIGHT: No hips or ribs showing, rotund appearance to abdomen

5
OBESE: Abdomen sagging, obvious fat over hips and shoulders

Source: USDA-APHIS

Figure D-4 Elephant Body Assessment Chart

Leopard

1
EMACIATED: All ribs and vertebral bodies prominently showing, skin laying over hips and femur

2
UNDERWEIGHT: Ribs, vertebral bodies and hips slightly showing, "tucked up" appearance

3
OPTIMAL BODY WEIGHT: Hint of ribs and vertebral bodies

Source: Photo by Patrick Giraud courtesy of Wikimedia Commons (http://en.wikipedia.org/wiki/File:Namibie_E-tosha_Leopard_01edit.jpg)

4
OVERWEIGHT: No hips or ribs showing, rotund appearance to abdomen

5
OBESE: Abdomen sagging, obvious fat over hips and shoulders

Source: USDA-APHIS

Figure D-5 Leopard Body Assessment Chart

Lion

1
EMACIATED: All ribs and vertebral bodies prominently showing, skin laying over hips and femur

2
UNDERWEIGHT: Ribs, vertebral bodies and hips slightly showing, “tucked up” appearance

3
OPTIMAL BODY WEIGHT: Hint of ribs and vertebral bodies

4
OVERWEIGHT: No hips or ribs showing, rotund appearance to abdomen

5
OBESE: Abdomen sagging, obvious fat over hips and shoulders

Source: USDA-APHIS

Figure D-6 Lion Body Assessment Chart

Tiger

1
EMACIATED: All ribs and vertebral bodies prominently showing, skin laying over hips and femur

2
UNDERWEIGHT: Ribs, vertebral bodies and hips slightly showing, “tucked up” appearance

3
OPTIMAL BODY WEIGHT: Hint of ribs and vertebral bodies
Source: Photo by J&K Hollingsworth, U.S. Fish and Wildlife Service

4
OVERWEIGHT: **No** hips or ribs showing, rotund appearance to abdomen

5
OBESE: Abdomen sagging, obvious fat over hips and shoulders

Source: USDA-APHIS

Figure D-7 Tiger Body Assessment Chart

Tiger Cub Size Information

Generic Bengal tiger cub weights are listed in Table D-1. Siberian tigers or Siberian/Bengal cross tiger cubs will be somewhat larger and often have longer, fuzzy hair. Females will often be a little smaller than males as they grow older. Birth weight is about 2.5 to 3.5 pounds.

Table D-1 Generic Bengal Tiger Cub Weights

Age	Weight (pounds)	Photograph
1 week	4.5 – 6.0	 Source: Point Defiance Zoo, Tacoma WA http://zooborns.com
2 weeks	6.0 – 7.5	 Source: San Diego Zoo, San Diego CA http://sdzoo.tumblr.com

Table D-1 Generic Bengal Tiger Cub Weights (continued)

Age	Weight (pounds)	Photograph
3 weeks	7.5 – 9.0	 Source: Point Defiance Zoo, Tacoma WA http://zooborns.com
4 weeks	9 – 10	 Source: http://zooborns.com

Table D-1 Generic Bengal Tiger Cub Weights (continued)

Age	Weight (pounds)	Photograph
5 weeks	10 – 12	 Source: http://zooborns.com
6 weeks	12 – 15	 Source: Point Defiance Zoo, Tacoma WA http://zooborns.com

Table D-1 Generic Bengal Tiger Cub Weights (continued)

Age	Weight (pounds)	Photograph
7 weeks	14 – 17	 Source: Point Defiance Zoo, Tacoma WA http://zooborns.com
8 weeks	16 – 19	 Source: The Calgary Herald, http://www.calgaryherald.com/index.html

Table D-1 Generic Bengal Tiger Cub Weights (continued)

Age	Weight (pounds)	Photograph
10 weeks	19 – 25	 Source: USDA APHIS
12 weeks	24 – 40	 Source: http://zooborns.com

Table D-1 Generic Bengal Tiger Cub Weights (continued)

Age	Weight (pounds)	Photograph
16 weeks	35 – 50	 Source: Wildlife Heritage Foundation http://www.flickr.com
20 weeks	55 – 68	 Source: Bronx Zoo, Bronx NY http://bronxzoo.com

Animal Welfare Inspection

Glossary

Introduction

Use this glossary to find the meaning of specialized words, abbreviations, acronyms, and terms used in the Inspection Guide or other Animal Care documents. The definitions originate from 9 CFR Part 1 Section 1.1

Abbreviations, Acronyms and Specialized Terms

AAALAC. Association for Assessment and Accreditation of Laboratory Animal Care International

AALAS. American Association for Laboratory Animal Science

AC. Animal Care – a division of USDA, APHIS

ACIS. Animal Care Information System

act. the Act of August 24, 1966 (Pub. L. 89-544), (commonly known as the Laboratory Animal Welfare Act), as amended by the Act of December 24, 1970 (Pub. L. 91-579), (the Animal Welfare Act of 1970), the Act of April 22, 1976 (Pub. L. 94-279), (the Animal Welfare Act of 1976), and the Act of December 23, 1985 (Pub. L. 99-198), (the Food Security Act of 1985), and as it may be subsequently amended

AC Regional Director. a veterinarian or his designee, employed by APHIS, who is assigned by the Administrator to supervise and perform the official work of APHIS in a given State or States. As used in 9 CFR Part 2, the AC Regional Director shall be deemed to be the person in charge of the official work of APHIS in the State in which the dealer, exhibitor, research facility, intermediate handler, carrier, or operator of an auction sale has his principal place of business

activity. those elements of research, testing, or teaching procedures that involve the care and use of animals

administrative unit. the organizational or management unit at the departmental level of a research facility

Administrator. The Administrator, Animal and Plant Health Inspection Service, or any person authorized to act for the Administrator

ambient temperature. the air temperature surrounding the animal.

animal. any live or dead dog, cat, nonhuman primate, guinea pig, hamster, rabbit, or any other warmblooded animal, which is being used, or is intended for use for research, teaching, testing, experimentation, or exhibition purposes, or as a pet. This term excludes birds, rats of the genus Rattus, and mice of the genus Mus, bred for use in research; horses not used for research purposes; and other farm animals, such as, but not limited to, livestock or poultry used or intended for use as food or fiber, or livestock or poultry used or intended for use for improving animal nutrition, breeding, management, or production efficiency, or for improving the quality of food or fiber. With respect to a dog, the term means all dogs, including those used for hunting, security, or breeding purposes

animal act. any performance of animals where such animals are trained to perform some behavior or action or are part of a show, performance, or exhibition

APHIS. Animal and Plant Health Inspection Service

APHIS official. any person employed by the Department who is authorized to perform a function under the Act and the regulations in 9 CFR parts 1, 2, and 3

ARD. Assistant Regional Director

attending veterinarian. a person who has graduated from a veterinary school accredited by the American Veterinary Medical Association's Council on Education, or has a certificate issued by the American Veterinary Medical Association's Education Commission for Foreign Veterinary Graduates, or has received equivalent formal education as determined by the Administrator; has received training and/or experience in the care and management of the species being attended; and who has direct or delegated authority for activities involving animals at a facility subject to the jurisdiction of the Secretary

AVMA. American Veterinary Medical Association

AWA. Animal Welfare Act

AWIC. Animal Welfare Information Center

buffer area . that area in a primary enclosure for a swim-with-the dolphin program that is off-limits to members of the public and that directly abuts the interactive area

business hours. a reasonable number of hours between 7 a.m. and 7 p.m., Monday through Friday, except for legal Federal holidays, each week of the year, during which inspections by APHIS may be made

carrier. the operator of any airline, railroad, motor carrier, shipping line, or other enterprise which is engaged in the business of transporting any animals for hire

cat. any live or dead cat (*Felis catus*) or any cat-hybrid cross

CFR. Code of Federal Regulations

class “A” licensee (breeder). a person subject to the licensing requirements under 9 CFR Part 2 and meeting the definition of a “dealer” (Sec. 1.1), and whose business involving animals consists only of animals that are bred and raised on the premises in a closed or stable colony and those animals acquired for the sole purpose of maintaining or enhancing the breeding colony

class “B” licensee (breeder). a person subject to the licensing requirements under part 2 and meeting the definition of a “dealer” (Sec. 1.1), and whose business includes the purchase and/or resale of any animal. This term includes brokers, and operators of an auction sale, as such individuals negotiate or arrange for the purchase, sale, or transport of animals in commerce. Such individuals do not usually take actual physical possession or control of the animals, and do not usually hold animals in any facilities. A class “B”' licensee may also exhibit animals as a minor part of the business

class “C” licensee (exhibitor). a person subject to the licensing requirements under part 2 and meeting the definition of an ``exhibitor'' (Sec. 1.1), and whose business involves the showing or displaying of animals to the public. A class ``C'' licensee may buy and sell animals as a minor part of the business in order to maintain or add to his animal collection

commerce. trade, traffic, transportation, or other commerce: (1) Between a place in a State and any place outside of such State, including any foreign country, or between points within the same State but through any place outside thereof, or within any territory, possession, or the District of Columbia; or (2) Which affects the commerce described in this part. Committee means the Institutional Animal Care and Use Committee (IACUC) established under section 13(b) of the Act. It shall consist of at least three (3) members, one of whom is the attending veterinarian of the research facility and one of whom is

not affiliated in any way with the facility other than as a member of the committee, however, if the research facility has more than one Doctor of Veterinary Medicine (DVM), another DVM with delegated program responsibility may serve. The research facility shall establish the Committee for the purpose of evaluating the care, treatment, housing, and use of animals, and for certifying compliance with the Act by the research facility

dealer. any person who, in commerce, for compensation or profit, delivers for transportation, or transports, except as a carrier, buys, or sells, or negotiates the purchase or sale of: Any dog or other animal whether alive or dead (including unborn animals, organs, limbs, blood, serum, or other parts) for research, teaching, testing, experimentation, exhibition, or for use as a pet; or any dog at the wholesale level for hunting, security, or breeding purposes. This term does not include: A retail pet store, as defined in this section, unless such store sells any animal to a research facility, an exhibitor, or a dealer (wholesale); any retail outlet where dogs are sold for hunting, breeding, or security purposes; or any person who does not sell or negotiate the purchase or sale of any wild or exotic animal, dog, or cat and who derives no more than $500 gross income from the sale of animals other than wild or exotic animals, dogs, or cats during any calendar year

Department. the U.S. Department of Agriculture

Deputy Administrator. the Deputy Administrator for Animal Care (AC) or any other official of AC to whom authority has been delegated to act in his stead

dog. any live or dead dog (*Canis familiaris*) or any dog-hybrid cross

DRA. dry resting area

dwarf hamster. any species of hamster such as the Chinese and Armenian species whose adult body size is substantially less than that attained by the Syrian or Golden species of hamsters

endangered species. those species defined in the Endangered Species Act (16 U.S.C. 1531 et seq.) and as it may be subsequently amended

euthanasia. the humane destruction of an animal accomplished by a method that produces rapid unconsciousness and subsequent death without evidence of pain or distress, or a method that utilizes anesthesia produced by an agent that causes painless loss of consciousness and subsequent death

exhibitor. any person (public or private) exhibiting any animals, which were purchased in commerce or the intended distribution of which affects

commerce, or will affect commerce, to the public for compensation, as determined by the Secretary, and such term includes carnivals, circuses, and zoos exhibiting such animals whether operated for profit or not; but such term excludes retail pet stores, an owner of a common, domesticated household pet who derives less than a substantial portion of income from a nonprimary source (as determined by the Secretary) for exhibiting an animal that exclusively resides at the residence of the pet owner, organizations sponsoring and all persons participating in State and country fairs, livestock shows, rodeos, purebred dog and cat shows, and any other fairs or exhibitions intended to advance agricultural arts and sciences, as may be determined by the Secretary

exotic animal. any animal not identified in the definition of ``animal'' provided in this part that is native to a foreign country or of foreign origin or character, is not native to the United States, or was introduced from abroad. This term specifically includes animals such as, but not limited to, lions, tigers, leopards, elephants, camels, antelope, anteaters, kangaroos, and water buffalo, and species of foreign domestic cattle, such as Ankole, Gayal, and Yak

farm animal. any domestic species of cattle, sheep, swine, goats, llamas, or horses, which are normally and have historically, been kept and raised on farms in the United States, and used or intended for use as food or fiber, or for improving animal nutrition, breeding, management, or production efficiency, or for improving the quality of food or fiber. This term also includes animals such as rabbits, mink, and chinchilla, when they are used solely for purposes of meat or fur, and animals such as horses and llamas when used solely as work and pack animals

Federal agency. an Executive agency as such term is defined in section 105 of title 5, United States Code, and with respect to any research facility means the agency from which the research facility receives a Federal award for the conduct of research, experimentation, or testing involving the use of animals

Federal award. any mechanism (including a grant, award, loan, contract, or cooperative agreement) under which Federal funds are used to support the conduct of research, experimentation, or testing, involving the use of animals. The permit system established under the authorities of the Endangered Species Act, the Marine Mammal Protection Act, and the Migratory Bird Treaty Act, are not considered to be Federal awards under the Animal Welfare Act

Federal research facility. aeach department, agency, or instrumentality of the United States which uses live animals for research or experimentation

field study. a study conducted on free-living wild animals in their natural habitat. However, this term excludes any study that involves an invasive procedure, harms, or materially alters the behavior of an animal under study

FOIA. Freedom of Information Act

handling. petting, feeding, watering, cleaning, manipulating, loading, crating, shifting, transferring, immobilizing, restraining, treating, training, working and moving, or any similar activity with respect to any animal

housing facility. any land, premises, shed, barn, building, trailer, or other structure or area housing or intended to house animals. two different species or types of animals. Crosses between wild animal species, such as lions and tigers, are considered to be wild animals. Crosses between wild animal species and domestic animals, such as dogs and wolves or buffalo and domestic cattle, are considered to be domestic animals

IACUC. Institutional Animal Care and Use Committee

ID. identification

IES. Investigative and Enforcement Services

ILA. inspection and licensing assistant

ILAR. Institute for Laboratory Animal Research

impervious surface. a surface that does not permit the absorption of fluids. Such surfaces are those that can be thoroughly and repeatedly cleaned and disinfected, will not retain odors, and from which fluids bead up and run off or can be removed without their being absorbed into the surface material

indoor housing facility. any structure or building with environmental controls housing or intended to house animals and meeting the following three requirements: (1) It must be capable of controlling the temperature within the building or structure within the limits set forth for that species of animal, of maintaining humidity levels of 30 to 70 percent and of rapidly eliminating odors from within the building; and (2) It must be an enclosure created by the continuous connection of a roof, floor, and walls (a shed or barn set on top of the ground does not have a continuous connection between the walls and the ground unless a foundation and floor are provided); and (3) It must have at least one door for entry and exit that can be opened and closed (any windows or openings which provide natural light must be covered with a transparent material such as glass or hard plastic)

interactive area. that area in a primary enclosure for a swim-with-the-dolphin program where an interactive session takes place

interactive session. a swim-with-the-dolphin program session where members of the public enter a primary enclosure to interact with cetaceans

intermediate handler. any person, including a department, agency, or instrumentality of the United States or of any State or local government (other than a dealer, research facility, exhibitor, any person excluded from the definition of a dealer, research facility, or exhibitor, an operator of an auction sale, or a carrier), who is engaged in any business in which he receives custody of animals in connection with their transportation in commerce

inspector. any person employed by the Department who is authorized to perform a function under the Act and the regulations in 9 CFR parts 1, 2, and 3

institutional official. the individual at a research facility who is authorized to legally commit on behalf of the research facility that the requirements of 9 CFR Parts 1, 2, and 3 will be met

IO. Institutional Official

isolation. in regard to marine mammals means the physical separation of animals to prevent contact and a separate, noncommon, water circulation and filtration system for the isolated animals

licensed veterinarian. a person who has graduated from an accredited school of veterinary medicine or has received equivalent formal education as determined by the Administrator, and who has a valid license to practice veterinary medicine in some State

licensee. any person licensed according to the provisions of the Act and the regulations in 9 CFR Part 2

LOW. Letter of Warning (APHIS Form 7060)

major operative procedure. any surgical intervention that penetrates and exposes a body cavity or any procedure which produces permanent impairment of physical or physiological functions

MHD. minimum horizontal dimension

minimum horizontal dimension (MHD). the diameter of a circular pool of water, or in the case of a square, rectangle, oblong, or other shape pool, the

diameter of the largest circle that can be inserted within the confines of such a pool of water

MM. marine mammal

mobile or traveling housing facility. a transporting vehicle such as a truck, trailer, or railway car, used to house animals while traveling for exhibition or public education purposes

NCI. noncompliant item

NHP. nonhuman primate

NIH. National Institutes of Health

nonconditioned animals. animals which have not been subjected to special care and treatment for sufficient time to stabilize, and where necessary, to improve their health

nonhuman primate. any nonhuman member of the highest order of mammals including prosimians, monkeys, and apes

NRC. National Research Council

OGC. Office of the General Counsel

OIG. Office of Inspector General

OLAW. Office of Laboratory Animal Welfare–formerly OPRR

operator of an auction sale. any person who is engaged in operating an auction at which animals are purchased or sold in commerce

outdoor housing facility. any structure, building, land, or premise, housing or intended to house animals, which does not meet the definition of any other type of housing facility provided in the regulations, and in which temperatures cannot be controlled within set limits

painful procedure. any procedure that would reasonably be expected to cause more than slight or momentary pain or distress in a human being to which that procedure was applied, that is, pain in excess of that caused by injections or other minor procedures

paralytic drug. a drug which causes partial or complete loss of muscle contraction and which has no anesthetic or analgesic properties, so that the

animal cannot move, but is completely aware of its surroundings and can feel pain

person. any individual, partnership, firm, joint stock company, corporation, association, trust, estate, or other legal entity

personally identifiable information (PII). information that can be used to uniquely identify an individual. Examples include, social security number, place of birth, date of birth, mother's maiden name, biometric record (such as fingerprint, iris scan, DNA), medical history information (including medical conditions and metric information, e.g. weight, height, blood pressure), criminal history, employment information to include ratings, disciplinary actions, performance elements and standards, financial information, credit card numbers, bank account numbers, security clearance history.

pet animal. any animal that has commonly been kept as a pet in family households in the United States, such as dogs, cats, guinea pigs, rabbits, and hamsters. This term excludes exotic animals and wild animals

PI. Principle Investigator

positive physical contact. petting, stroking, or other touching, which is beneficial to the well-being of the animal

pound (shelter). a facility that accepts and/or seizes animals for the purpose of caring for them, placing them through adoption, or carrying out law enforcement, whether or not the facility is operated for profit

PPQ. Plant Protection and Quarantine

primary conveyance. the main method of transportation used to convey an animal from origin to destination, such as a motor vehicle, plane, ship, or train

primary enclosure. any structure or device used to restrict an animal or animals to a limited amount of space, such as a room, pen, run, cage, compartment, pool, or hutch

principal investigator. an employee of a research facility, or other person associated with a research facility, responsible for a proposal to conduct research and for the design and implementation of research involving animals

PRN. pro re nata, as needed

PVC. program of veterinary care

quorum. a majority of the Committee members

random source. dogs and cats obtained from animal pounds or shelters, auction sales, or from any person who did not breed and raise them on his or her premises

RBIS. risk-based inspection system

RD. Regional Director

registrant. any research facility, carrier, intermediate handler, or exhibitor not required to be licensed under section 3 of the Act, registered pursuant to the provisions of the Act and the regulations in 9 CFR Part 2

research facility. any school (except an elementary or secondary school), institution, organization, or person that uses or intends to use live animals in research, tests, or experiments, and that (1) purchases or transports live animals in commerce, or (2) receives funds under a grant, award, loan, or contract from a department, agency, or instrumentality of the United States for the purpose of carrying out research, tests, or experiments: Provided, That the Administrator may exempt, by regulation, any such school, institution, organization, or person that does not use or intend to use live dogs or cats, except those schools, institutions, organizations, or persons, which use substantial numbers (as determined by the Administrator) of live animals the principal function of which schools, institutions, organizations, or persons, is biomedical research or testing, when in the judgment of the Administrator, any such exemption does not vitiate the purpose of the Act

retail pet store. any outlet where only the following animals are sold or offered for sale, at retail, for use as pets: Dogs, cats, rabbits, guinea pigs, hamsters, gerbils, rats, mice, gophers, chinchilla, domestic ferrets, domestic farm animals, birds, and coldblooded species. Such definition excludes: (1) Establishments or persons who deal in dogs used for hunting, security, or breeding purposes; (2) Establishments or persons exhibiting, selling, or offering to exhibit or sell any wild or exotic or other nonpet species of warmblooded animals (except birds), such as skunks, raccoons, nonhuman primates, squirrels, ocelots, foxes, coyotes, etc.; (3) Any establishment or person selling warmblooded animals (except birds, and laboratory rats and mice) for research or exhibition purposes; and (4) Any establishment wholesaling any animals (except birds, rats and mice). (5) Any establishment exhibiting pet animals in a room that is separate from or adjacent to the retail pet store, or in an outside area, or anywhere off the retail pet store premises

SACS. Supervisory Animal Care Specialist

sanctuary area. that area in a primary enclosure for a swim-with-the-dolphin program that is off-limits to the public and that directly abuts the buffer area

sanitize. to make physically clean and to remove and destroy, to the maximum degree that is practical, agents injurious to health SOP standard operating procedure

Secretary. the Secretary of Agriculture of the United States or his representative who shall be an employee of the Department

sheltered housing facility. a housing facility which provides the animals with shelter; protection from the elements; and protection from temperature extremes at all times. A sheltered housing facility may consist of runs or pens totally enclosed in a barn or building, or of connecting inside/outside runs or pens with the inside pens in a totally enclosed building

SPF. specific pathogen free

standards. the requirements with respect to the humane housing, exhibition, handling, care, treatment, temperature, and transportation of animals by dealers, exhibitors research facilities, carriers, intermediate handlers, and operators of auction sales as set forth in 9 CFR Part 3

state. a State of the United States, the District of Columbia, Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, or any other territory or possession of the United States

study area. any building room, area, enclosure, or other containment outside of a core facility or centrally designated or managed area in which animals are housed for more than 12 hours

swim-with-the-dolphin (SWTD) program. any human-cetacean interactive program in which a member of the public enters the primary enclosure in which an SWTD designated cetacean is housed to interact with the animal. This interaction includes, but such inclusions are not limited to, wading, swimming, snorkeling, or scuba diving in the enclosure. This interaction excludes, but such exclusions are not limited to, feeding and petting pools, and the participation of any member(s) of the public audience as a minor segment of an educational presentation or performance of a show

TIN. taxpayer identification number

TRA. traveling-on-the-road site designation in ACIS

transporting device. an interim vehicle or device, other than man, used to transport an animal between the primary conveyance and the terminal facility or in and around the terminal facility of a carrier or intermediate handler

transporting vehicle. any truck, car, trailer, airplane, ship, or railroad car used for transporting animals

USC. United States Code

USDA. United States Department of Agriculture

USDI. United States Department of Interior

weaned. an animal has become accustomed to take solid food and has so done, without nursing, for a period of at least 5 days

wild animal. any animal which is now or historically has been found in the wild, or in the wild state, within the boundaries of the United States, its territories, or possessions. This term includes, but is not limited to, animals such as: Deer, skunk, opossum, raccoon, mink, armadillo, coyote, squirrel, fox, wolf

wild state. living in its original, natural, condition; not domesticated

zoo. any park, building, cage, enclosure, or other structure or premise in which a live animal or animals are kept for public exhibition or viewing, regardless of compensation

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