THE ANIMAL CARE INSPECTION GUIDE IS INTENDED TO BE A REFERENCE DOCUMENT TO ASSIST THE INSPECTOR.

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

Table of Contents

1.0 Introduction

Purpose	The purpose of the Animal Care Inspection Guide is to provide APHIS Animal Care personnel an aid for inspecting USDA licensed and registered facilities. The Inspection Guide will serve as a useful tool to improve the quality and uniformity of inspections, documentation, and enforcement of the Animal Care Program. **The Inspection Guide does not supersede the AWA, the AWA Regulations and Standards, the Inspection Requirements Handbook, standard procedures, or the inspector's professional judgment.**
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 a logical inspection process for verifying compliance. It does *not* add to, delete from, or change current regulatory requirements or standards.

Application

The Animal Care Inspection Guide is to be used as a *reference* for inspecting the facilities of USDA licensees and registrants. By presenting the inspection procedures in a clear, concise, logical, and user-friendly format, it is designed to *assist* Animal Care personnel in performing and documenting compliance inspections and making appropriate decisions.

The Inspection Guide is to be used as an *adjunct to* - ***not*** *a replacement for* - the 9 CFR. Although Animal Care personnel are expected to exercise professional judgment, all inspection decisions must be justified by applicable sections of the regulations and standards.

Users

The Inspection Guide is targeted primarily at Animal Care field personnel (new or experienced), Supervisory Animal Care Specialists, and Animal Care Staff who are directly or indirectly involved in compliance inspections of USDA licensed/registered facilities.

Organization

Sections are major topic areas. Each Section is divided into Subsections. Subsections within a Section that involve step-by-step *procedures* (e.g., ACompletion of the Inspection Report@) are organized in *sequential order.* Subsections within a Section **not** requiring a specific order (e.g., ASpecific Types of Inspections@) are organized in *alphabetical order.*

Meaning of Should and May

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

X **Should** is used when the referenced action(s) is:

- < **strongly recommended** but not specifically required by the 9 CFR regulations/standards, or
- < **strongly recommended** but not specifically required by an Animal Care procedure
- < directed by Animal Care Management

X **May** is used when the referenced action(s) is **optional**

Finding Information

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

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

The **Index** lists Akey@ words and the location where the information is found.

Pagination

Each page is numbered in the lower outside corner with a 3-digit number (e.g., 2**.**2**.**3) which refers respectively to the Section, Subsection and page within the Subsection.

The first number refers to the **Section** within the Inspection Guide (e.g., **2.**2.1, **3.**2.1).

The second number is the **Subsection** (e.g., 2**.2.**1, 2**.3.**1).

The third number is the **page** within the Subsection (e.g., 2.2**.1**, 2.2**.2**).

Indexing

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

2.0 Glossary

ACRONYMS

Listed below are acronyms used in the Inspection Guide or other Animal Care documents.

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
APHIS	Animal and Plant Health Inspection Service
ARD	Assistant Regional Director
AVMA	American Veterinary Medical Association
AWA	Animal Welfare Act
AWIC	Animal Welfare Information Center
CFR	Code of Federal Regulations
DRA	Dry resting area
FOIA	Freedom of Information Act
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
LOW	Letter of Warning (APHIS Form 7060)
MHD	Minimum horizontal dimension
MM	Marine mammal
NCI	Noncompliant item
NHP	Nonhuman primate

NIH	National Institutes of Health
NRC	National Research Council
OGC	Office of the General Counsel
OIG	Office of Inspector General
OLAW	Office of Laboratory Animal Welfare - formerly AOPRR@
PVC	Program of Veterinary Care
RBIS	Risk-based Inspection System
RD	Regional Director
SACS	Supervisory Animal Care Specialist
SOP	Standard operating procedure
SPF	Specific Pathogen Free
TIN	Taxpayer Identification Number
TRA	Traveling - on-the-road site designation in ACIS
USC	United States Code
USDA	United States Department of Agriculture
USDI	United States Department of Interior

3.0 Pre-Inspection Procedures

PREPARING FOR THE INSPECTION	The inspector should review the appropriate information in order to conduct a thorough inspection.
Information	Prior to the inspection, you (the inspector) should review the following information: X facility=s past inspections X current enforcement actions X applicable sections of the regulations and standards X applicable sections of the Inspection Requirements Handbook and AC Inspection Guide X other relevant resources X variances or extensions that may have been granted
	NOTE: For forms and sheets that you may need during or after the inspection, see Appendix 7 - Forms & Sheets

4.0 Conducting the Inspection

GENERAL PROCEDURES

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

General Information

Upon arrival at the facility:

X do not enter facilities with locked gates and/or ANo Trespassing@ signs unless prior approval has been obtained from the licensee or research facility

X be alert for unsafe conditions, such as loose or vicious animals

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

X go to the admission gate/ticket window

X identify yourself in a professional manner

X state the purpose of your visit

X pay the admission fee, if required (see below)
Note: Do **not** argue with the person at the admission gate.

At most facilities, you will not be required to pay admission. However, the facility is not obligated to let you in without paying the admission fee. If an admission fee is required, you can:

X ask to speak to someone in management

X make prior arrangement for your admission if this is a venue that you inspect regularly

X pay the fee

If you are required to pay admission, you should:

X charge the admission fee on your Purchase Visa (preferable), or

X pay cash (you will be reimbursed)

NOTE: 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:

X contact the licensee/designated representative or designated

research facility representative(s) or other responsible person (see NOTE below)

X introduce yourself in a professional manner
X state the purpose for the visit
X show your USDA badge and ID if requested
X if appropriate, provide a business card

NOTE: 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.

You, the inspector, must be accompanied by the licensee, research facility representative or other designated responsible person (who must be at least 18 years of age), when conducting the inspection.

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

For Traveling Exhibitor Inspections - see Section 6.16

Inspection on Native American Land
If you have to conduct an inspection or search on Native American lands, you should 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, you should:
X leave the land, and
X contact your SACS or Regional Office

Conducting the Inspection

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

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

X follow facility=s biosafety procedures, or

X put on recommended protective clothing, gear and/or boots, such as:

- < dogs/cats:
  - R sanitizable or disposable boots
  - R ear plugs
  - R coveralls
  - R disposable gloves (if touch any animals)
- < macaques:
  - R respirator (Level N95 or better)
    - N required if within 5 feet of animals
    - N recommended if further than 5 feet from animals
  - R coveralls (preferably disposable)
  - R full face shield and eye protection such as safety glasses or goggles
  - R disposable gloves
- < other nonhuman primates:
  - R respirator (Level N95 or better)
- < elephants (TB positive or TB suspect):
  - R respirator (Level N95 or better)

Animal Inspection

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

X make sure all animals are safely confined

X as you conduct the inspection, be alert for escape routes for yourself in case of a dangerous situation

X let the person accompanying you open and close gates and doors to prevent escapes

X observe the animals for their health and well-being:

- < avoid handling the animals unless necessary, such as to check teeth or to check for dehydration or malnutrition
- < if you need a closer view of a **non-dangerous animal** and it can be done safely, have the owner or handler get and hold the animal
- < if a **dangerous animal** needs to be examined, make arrangements with the owner or handler to have the

animal examined by the attending veterinarian
< do not engage in diagnostic procedures
< wear disposable gloves if you must handle any animals

X before approaching an animal, ask the licensee/research facility representative:
< if the animal is approachable
< where is the safest place to be
< about the temperament of the animal

X approach all wild animals quietly and cautiously

X stay well back from cages of all animals to avoid behaviors, such as:
< nonhuman primates throwing feces
< large cats spraying urine
< chimps, llamas, and camels spitting

X stay behind or next to the licensee/research facility representative

X avoid prolonged direct eye contact with animals, especially nonhuman primates

X avoid prolonged focused attention on an animal

X **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

$ review husbandry practices

$ review personnel experience and training

$ observe handling techniques of personnel

$ review veterinary care

$ ask if there are any other animals that you have not seen such as in quarantine, isolation, holding areas, off-site or on loan or lease

For additional guidance, see “Inspector Safety and Etiquette When Inspecting Non-Domestic Animals” on pages 4.1.7 - 4.1.11.

NOTE: The licensee or research facility is responsible for

ensuring the safety of the inspector from the animals. If you feel unsafe, ask the licensee/research facility representative or designated responsible person to correct the situation. If you feel you are in imminent danger, safely leave the area.

Identification of Unsafe Conditions

Be alert for unsafe facility conditions:

X if the condition(s) is a violation of the AWA, cite on the inspection report. Examples would be:
- < electrical wires within reach of animals
- < electrical wires near water
- < bare wiring
- < unprotected heat lamps

X if the condition(s) is not a violation of the AWA, report the item to the licensee, research facility representative or a responsible person at the facility. Examples would be:
- < unlocked controlled substances
- < locked emergency exits

X if the condition(s) adversely affects you, the inspector, leave the area

X if you feel that you are being threatened, abused or harassed, leave the facility (See Section 4.4 - Workplace Violence)

If you have additional concerns, contact your SACS.

NCI Noted While Off-Duty

If you are *on your own time 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:

X assess the severity of the noncompliance

X take appropriate immediate action if required

X *if in your territory:* return to the facility when on duty and conduct an inspection or evaluation of the incident

X *if **not** in your territory:* contact your SACS when on duty to determine a course of action

NOTE: Remember that you cannot work overtime without your SACS approval.

After you have conducted an inspection or evaluation of the

situation, you should send to your SACS:

X the inspection report, if appropriate

X a memo documenting the situation and the action taken

Life-Threatening Situation

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

$ leave the area immediately

$ contact facility personnel/management

$ 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, you should speak to the licensee or a responsible person.

If the licensee does not correct the NCI at that time, you should:

X speak to the management of the venue

X call your SACS or Regional Office emergency contact number and discuss a course of action

X contact local authorities, such as the local police or humane society, 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:

X take no action at that time, or

X speak to the licensee or responsible person

INSPECTOR SAFETY AND ETIQUETTE WHEN INSPECTING NON-DOMESTIC ANIMALS

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 document 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 to where you might be standing)
- 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.
- 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.

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 might 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 & safety policy that any inspector coming within 5 feet of any non-human 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 at 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 2-3 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. Exceptional zoos will have a protocol and an obvious "safety line" painted on the floor in the halls 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 appears 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 of 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.

HOOFSTOCK
Non-domestic hoofstock (eland, oryx, nilgai, kudu, bison, deer etc.) may be dangerous. Bison and other bovid-type non-domestic hoofstock as well as cervids (generally bucks) have been known to charge or butt people without warning. When examining non-domestic hoofstock, 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 hoofstock 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 hoofstock) 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 hoofstock, 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 hoofstock in an exhibit, and inspectors should be aware of keeping a reasonable distance between themselves and the hoofstock living in that enclosure. Do not approach the hoofstock. 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 hoofstock. 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.

Written by Dr. L. Gage, Field Specialist – Large Felids

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. All threatening behavior should be taken seriously and reasonable preventive or precautionary measures should be taken.

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

X ABUSE (Physical) - An act which includes pushing, shoving, or hitting

X ABUSE (Verbal) - An act which includes yelling, swearing, or belligerent language meant to demean, intimidate, coerce, or threaten

X 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

X HARASS - Any repeated action or attempted action which is intended to impede, fatigue, or exhaust another person

X 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

X 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:

X without appropriate resolution of the incident

X 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 as soon as possible
4. Complete an inspection report within 24 hours containing the following information:
   - < any noncompliances identified prior to stopping the inspection
   - < a statement that the inspection was stopped because the person(s) (give his/her name) was interfering with the inspection process
5. Complete a separate memo within 24 hours containing the following information, if applicable:
   - < the names of any witnesses
   - < a detailed, factual description of the person=s behavior
   - < any quotes or threatening statements made
   - < the target of the violent or threatening behavior
   - < the time and date the incident occurred
6. Send a copy of the inspection report to the 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. Leave the premises immediately and carefully, **in a manner that is not likely to inflame the situation further,** if the behavior does not stop

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

BRIBERY REPORTING PROCEDURES

If 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.

If you are offered a bribe or perceive that you are being offered a bribe, you should follow this procedure:

1. **Do not take the bribe.** Just say, AI 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.

NOTE: **If you believe that you are in any danger at this time, you should leave the facility as quickly and safely as possible.** If you do not believe that you are in danger, then you should 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:

X give the license a plausible excuse and leave the facility
X complete the inspection or exit interview quickly but not suspiciously quick
X 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 Office of the Inspector General (OIG)** at:

(202) 720-7257 - 24 hr direct line to OIG, Washington DC for reporting threats, assaults and bribery attempts**, or**
(800) 424-9121 - OIG Hotline for reporting fraud, waste & abuse, **or**
(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 insure 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 a bribe will be controlled and monitored by 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 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, you should: X instruct the employee to call OIG immediately, if he/she has not already done so X **not** discuss the bribery attempt any further with anyone including the employee X **not** attempt to investigate the incident
Gifts from Licensee/Registrant	You should 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.

5.0 Entering Inspection Reports into ACIS

GENERAL INFORMATION

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

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

X licensee, registrant or applicant=s name as listed on Application For License or Registration
X business name, if applicable
X mailing address as listed on Application For License or Registration
X customer ID
X USDA license or registration number
X site number or TRA (see page 5.1.3) as assigned by ACIS (**Make sure that you are in the correct site. DO NOT** enter an inspection into an inactivated site.)
X site name, if applicable
X date of inspection

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

Type of Inspection

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

Types of Inspections are:

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

	X *Prelicense* - inspection to determine compliance with the AWA regulations and standards prior to issuance of a USDA license. **Indicate whether 1st, 2nd, or 3rd.**
INSPECTION REPORT NARRATIVE	***No noncompliant items identified*** If all items are in compliance, then the following statement should be typed on the inspection report: ANo noncompliances identified on this inspection.@ **Items Requiring Further Review** For inspections in response to an incident or complaint, often further review (and/or an IES investigation) is needed to determine compliance. If you are not certain whether a noncompliance was involved, do **not** cite Ano noncompliance@ under those circumstances. The following stand-alone statement should be typed on the inspection report: "The (*incident*) is under review.@
	New noncompliant item identified If a noncompliant item(s) is identified, then it should be cited in the inspection report narrative **using the 4-part citation guideline in the Inspection Requirements Handbook**. 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. *Part 2 - Noncompliance Description* The description of the noncompliance should be clear and detailed. This description should include, but is not limited to: < your actual observations, i.e., specifically what you see, hear, touch or smell < location of the problem, e.g., building, barn, farm (may use code system for locations) < specific place or area of the problem, e.g., room (may use code system for room), pen, location within pen < species and number of animals or specific animal affected, if appropriate

EXAMPLES OF CITATIONS	Below are examples of noncompliance citations. **You, the inspector, should develop a consistent method of writing citations.**
EXAMPLE 1:	
Standard (direct quote)	SECTION 2.31(d)(ii) IACUC The IACUC shall determine that the proposed activities or significant changes in ongoing activities meet the following requirements: (ii) The principal investigator has considered alternatives to procedures that may cause more than momentary or slight pain or distress to the animals, and has provided a written narrative description of the methods and sources, e.g., the Animal Welfare Information Center, used to determine that alternatives were not available;
Noncompliance	Protocol #06-85 involves a surgical procedure for 5 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 2:	
Standard (direct quote)	SECTION 3.1(a) HOUSING FACILITIES, GENERAL Structure and Construction - Housing facilities for dogs and cats must be designed and constructed so that they are structurally sound. They must be kept in good repair, and they must protect the animals from injury, contain the animals securely, and restrict other animals from entering.
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 manner to keep the

	facilities in good repair and protect the animals from injury.
Correction date	Correct by (*date*).
EXAMPLE 3:	
Standard (paraphrase)	SECTION 3.83 WATERING Potable water must be available to the nonhuman primates and water receptacles must be kept clean and sanitary.
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 in 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	To be corrected by (*date*). 10 macaques affected
EXAMPLE 4:	
Standard (applicable portion only)	SECTION 3.104 (b) (1) (i) SPACE REQUIREMENTS Cetaceans-Minimum Horizontal Distance - The required MHD of a pool for Group 1 cetaceans shall be 7.32 meters (24.0 feet) or two times the average adult length of the longest species of Group 1 cetaceans housed therein, whichever is greater...
Noncompliance	The two beluga whales housed in the old pool require an MHD of 28 feet. The pool only provides an 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 required MHD should be provided for the whales.
Correction date	Correct by (*date*)
EXAMPLE 5:	
Standard (direct quote)	SECTION 3.125(a) FACILITIES, GENERAL Structural Strength - The indoor and outdoor housing facilities shall be structurally sound and shall be maintained in good repair to protect the animals from injury and to contain the animals.
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 this pen. The pen is not being kept in good repair and the tigers could be

Why a noncompliance	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 6:	***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 7:	***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 8:	***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 4 spider monkeys has broken wire mesh flooring in the right rear corner with sharp wire ends sticking up into the pen SECTION 3.80(a)(2)(vii) - There is no shade area in the outdoor nonhuman primate exhibit and it is summer with ambient temperatures over 100EF SECTION 3.80(a)(2)(ix) - A pen housing 4 baboons has wooden walls with all the paint scratched off so that the walls can no longer be properly cleaned and sanitized Each of these should be a separate citation.
Information NOT in Narrative	The narrative section should **NOT** contain: X date of last inspection X animal inventory X personal or proprietary information, such as: < name(s) of person(s) accompanying you on the inspection < names of animal handlers < names of principal investigators or research facility personnel < names of sellers of animals < sources of animals < names of buyers of animals < addresses, other than the licensee/research facility=s mailing and/or business address < telephone numbers, other than your contact information if applicable < social security numbers < driver=s license numbers X personal comments about the facility X comments on public complaints

	X recommended enforcement action X administrative messages to the Regional Office NOTE: Remember that the inspection report is a legal and a public document. It may be requested by the public or used in a court proceeding.
Repeat noncompliant item identified	A repeat noncompliant item is: X a noncompliance cited on the last inspection report which has not been corrected, and/or X a new noncompliance of the same section **&** subsection cited on the previous inspection For example, inadequate lighting cited in one building on the previous inspection has been corrected, but on the current inspection, there is inadequate lighting in another building, and/or X a noncompliance for a different species which is the same or similar to a noncompliance cited on the previous inspection For example, on the previous inspection, open bags of dog food were not stored in a leakproof container with a tightly fitting lid. On the current inspection, this has been corrected but the open bags of nonhuman primate food are not in proper containers. CHECK AREPEAT@ ON THE ACIS INSPECTION SCREEN, then cite the NCI in the narrative following the guidelines in the Inspection Requirements Handbook EXCEPT: X the regulation or standard quote may be omitted X DO NOT ASSIGN A NEW CORRECTION DATE

EXAMPLE 9:	
Standard	SECTION 3.107(b) - SANITATION **REPEAT**
Partial correction	There are feeding buckets with dried, moldy fish in them and knives caked with dry blood in the marine mammal kitchen. The kitchen has been cleaned but the food buckets and utensils are not being cleaned at least once a day.
Why a noncompliance	Residual food on feed buckets and utensils will contaminate the fresh food. This can adversely affect the health and well-being of the marine mammals.
Why a repeat noncompliance	On the last inspection, the kitchen had food and blood dried and caked on the counter tops, walls, and floor. The feeding buckets and utensils had dried blood and caked food on them.
How to comply	The feeding buckets, knives and any other equipment used for preparing marine mammal food should be cleaned and sanitized at least once a day.

Recurring/Chronic noncompliant item	A recurring or chronic noncompliant item is the same or a similar noncompliance which is not found on consecutive inspections, i.e., it is cited on one inspection, corrected by the next inspection, then re-occurs on the 3rd and/or a subsequent inspection(s). The recurring noncompliance can be: X the same or a similar noncompliance as cited previously X the same noncompliance but identified for different species X a noncompliance of the same Section of the regulations or standards Some factors to consider when deciding if the NCI is recurring or chronic include, but are not limited to: X have you noticed a pattern X have you discussed the NCI with a person of higher authority at the facility X have you discussed the development of an active program or system of maintenance with the licensee/registrant X how far back was the last time the NCI was cited X what is the severity of the NCI X how many inspections have been conducted between the recurrence You should use your professional judgment in deciding what action

	to take, such as: X citing the NCI as a new noncompliant item X citing the NCI as a REPEAT NCI Note: Include in the description other inspection dates that this NCI has occurred. X discussing the NCI with your SACS
Noncompliant item with correction time remaining	**Focused Inspection** If you are conducting a Afocused@ 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 Afocused@ 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. You should 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: X is the facility due for an inspection X are there records to inspect X are there areas of the facility which you have never inspected before, e.g., new building X is this a new facility added to your territory X does this facility have a history of noncompliance X even though there are no animals currently at facility, do regulated animals go in and out of the facility, such as a traveling petting zoo X are there transportation vehicles to inspect

	If in your best judgment there is nothing to inspect, you may choose not to conduct an inspection. If you conduct an inspection: X classify the inspection as ARoutine@ X in the narrative state ANo regulated animals present at this time.@ X if a partial inspection, state which areas were inspected, such as records and/or specific buildings X NCIs found during the inspection should only be cited if the area with the noncompliance: < is currently in use but no animals are there on the day of your inspection, or < is ready for use X for the correction date, use the following or a similar statement: ACorrect before being used for animals regulated by the Animal Welfare Act.@ If you do **not** conduct an inspection, X do not complete an inspection report X send a memo to your SACS explaining why an inspection was not conducted
Finalizing the Inspection Report	You should finalize the inspection report in ACIS at the end of each inspection, after you have checked it for accuracy and completeness, and reviewed it with the licensee/registrant/ applicant. If you do not finalize the inspection report at the end of an inspection, BE SURE to finalize the inspection report before replicating. NOTE: You do not have to finalize an inspection report to do an inspection report for another site of the same registrant or a different registrant.
Adding a person, facility or site to	If the person, facility, or site is **not** in the ACIS database, you should:

the ACIS database	X complete the inspection report using the Word Inspection Report Template X after the inspection, contact an ILA or the Program Specialist at the Regional Office X provide the ILA the following information: < licensee/registrant/applicant=s full name, if applicable < complete mailing or business address < complete site address < county, if known < business telephone number, including area code X obtain the customer number, if available X replicate the ACIS database X enter the information from the Inspection Report into the ACIS database exactly as it is on the Word Inspection Report X attach a copy of the ACIS Inspection Report to the Word Inspection Report
TRA Site	A traveling site is a temporary animal location, housing or exhibit area, such as: X an airport X an auction market X a city where the licensee is performing On the inspection report: X make sure that you use the TRA site designation in ACIS: < if the licensee does not have a TRA site already in ACIS, follow the procedure above < 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 X put the location, i.e., city and State, of the inspection in the narrative section of the inspection report X put the name of the Unit, if applicable, in the narrative section of the inspection report X if the exhibitor is part of a larger circus or traveling group, put 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:

X realistic as to what the facility can accomplish, and

X appropriate to the severity of the NCI

X determined with the concurrence of the licensee/registrant or responsible person, if appropriate

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

A correction date is given for :

X newly identified ADirect@ NCIs - These should be given a short correction period, e.g., immediately, by close of business on (*date)*, within 72 hours, within 10 days. The correction date should **never** exceed 30 days.
NOTE: Reinspection for correction of a ADirect@ noncompliant item must occur no more than 45 days after the date of the inspection.

X newly identified AIndirect@ NCIs - Field inspectors may allow up to 1 year for a correction.

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

X an NCI corrected during the inspection - The inspector may decide, using his/her own discretion, whether or not to cite the NCI. If cited, put ACorrected during the inspection.@ Documenting this NCI may be necessary to show the facility=s history of compliance.

X repeat noncompliant items

X NCIs identified on a prelicense inspection

X airline transportation violations

Time Remaining for Correction	Focused Inspection If you are conducting a Afocused@ 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. Be sure to specify that this was a Afocused@ inspection in the 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. You should note on the Inspection Report that the NCIs have not been corrected but that the correction date has not passed.

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: X explain to him/her how to request an extension (see below) X document on the inspection report that the procedure for requesting an extension was explained to the licensee NOTE: Extensions are for special circumstances and should not be suggested to the licensee for correction of routine noncompliant items. An extension request, whether anticipated or unexpected, must be: X in writing X appropriate, i.e., only for indirect NCI related to facility maintenance X specific as to the reason/justification for the request. For example: < unexpected delays during the correction process, such as budget or severe weather delays < unforeseen special circumstances that prevent completion, such as death or serious illness in the family X sent to the appropriate Animal Care (AC) Regional Office X received by the AC Regional Office **prior** to the original correction date The Regional Office will notify, in writing, the licensee/registrant as to whether or not the extension was granted.

INSPECTION APPEALS PROCESS

If the licensee/registrant has a concern about any findings on the inspection report, the inspection appeals process should be used to resolve the dispute.

Procedure

A licensee/registrant/facility representative may **not** make written comments about the inspection findings on the inspection report.

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:

X at the exit briefing, take time to adequately explain why the noncompliance was cited

X if you and the licensee/registrant/facility representative resolve the disagreement, amend the citation

X 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 letter (see page 5.3.4)

If there was an unresolved disputed noncompliance:

X finalize the inspection report

X inform your SACS that there may be an appeal of a noncompliance(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, you, the inspector, should:

X if requested, meet with the licensee/registrant/facility representative again to discuss the noncompliance

X if you and the licensee/registrant/facility representative resolve the disagreement on the noncompliance, you

should:

- < generate an amended inspection report (see page 5.3.3)
- < inform your SACS of the resolution
- < give or send (by certified, return receipt mail) a copy of the amended inspection report to the licensee/registrant
- < send a copy of the amended inspection report to the Regional Office

X 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 letter (see page 5.3.4)
- < inform your SACS that there may be an appeal of a noncompliance(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 either by the original inspector or the SACS, as determined by the SACS.

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

NOTE: Inspection appeals should **NOT**:

X delay reinspection of direct noncompliances

X interfere with efforts to ensure that the immediate welfare needs of the animals are met

Amended Inspection Report

The amended inspection report should:

X be dated the date that the actual inspection was conducted in AInspection Date@

X be dated the date that the amended inspection report was signed or sent to the licensee/registrant in the Asignature block@

X cite any noncompliances that were modified on appeal

X cite the noncompliances that were not appealed or overturned on appeal. NOTE: The citation on the amended inspection report must be identical to the citation on the original inspection report.

X contain the statement: AThis is an amended report of inspection report (*ACIS inspection Aid@ code of original inspection report located at the top of the inspection report*).

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

X to the licensee/registrant by certified, return receipt mail

X to the SACS or Regional Office

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

X to the licensee/registrant by certified, return receipt mail

X to the inspector

X to the Regional Office

Dear Licensee or Registrant:

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

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

1. Discuss the area in question with the inspector. You may have this discussion during the inspection or call your inspector later. Take sufficient time to clarify the areas of disagreement and, if necessary, your inspector can set up an appointment to meet with you again to discuss issues. Most concerns and questions can be resolved in this first step.

2. If questions or concerns persist, send a written description of the areas of concern to the Supervisory Animal Care Specialist (SACS) in your regional office. The SACS will review your concerns and determine if errors or misinterpretations were made by the inspector that need correction. If appropriate, an amended inspection report will be issued. As noted above, AC realizes that disagreements are a natural part of regulatory oversight, and inspectors understand that regulated facilities have the right to appeal inspection findings. An appeal of inspection findings will never result in reprisal against the facility by any AC employee.

3. If areas of disagreement persist, contact your regional director. He or she will consider the issues and seek review from the AC headquarters staff, if appropriate.

4. If the matter is still unresolved to your satisfaction, send your concerns to me, AC Deputy Administrator, at the Headquarters address below.

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

Chester Gipson
Deputy Administrator
Animal Care

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

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

Western Region
USDA/APHIS/AC
2150 Centre Ave.
Building B, Mailstop 3W11
Fort Collins, CO 80526
Phone: (970) 494-7478
Fax: (970) 494-7460

E-mail
ace@usda.gov

Internet Homepage
www.aphis.usda.gov/animal_welfare

MISTAKES ON THE INSPECTION REPORT

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

Prior to printing the final inspection report

To make the inspection report as error free as possible:

X **make sure that you are entering the inspection:**
- **< under the correct licensee/registrant**
- **< under the correct certificate number**
- **< in the correct site**

X check that all information is entered into the database correctly, such as:
- < inspection type
- < name and title of person signing the inspection report

X check that all information in the narrative is correct, such as:
- < citation Section and subsections
- < regulation or standard correctly paraphrased, if applicable
- < buildings/locations inspected, if appropriate
- < location of inspection if a TRA site
- < names of elephants inspected

X for repeat NCIs, check that the section/subsection is the same cited on the previous inspection(s). If the incorrect section or subsection was cited on the previous inspection, cite the correct section and subsection and add: ACited incorrectly under (*section/subsection #)* on (*date*) inspection.@

X reread the narrative section to ensure that appropriate wording has been used to describe the problem

X check spelling and grammar

X review a DRAFT copy of the inspection report with the licensee/ registrant/facility representative

X make the appropriate changes, if necessary

X 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:

X wrong site
X incorrect inspection type
X incorrect citation
X direct or significant noncompliance omitted
X failure to specify a noncompliance as Adirect@ or Arepeat@
X correction date(s) omitted
X correction date given for a repeat noncompliance

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

Correcting or Amending the Inspection Report

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

If a major error(s) is noted after the inspection report has been **finalized AND a copy of the inspection report has NOT BEEN GIVEN to the licensee/ registrant/facility representative**:

X contact your SACS who will contact the Regional Office to have the inspection report reactivated (Note: You must replicate in order for the RO to reactivate the inspection report.)
X correct the reactivated inspection report
X 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**:

X notify your SACS
X enter a new inspection report into ACIS (see below)
X provide a copy of the corrected inspection report to the licensee/registrant/facility representative through the usual

	delivery methods The new inspection report should X be dated the date that the actual inspection was conducted in AInspection Date@ X be dated at the bottom the date that the amended inspection report was: < APrepared@ by you, and < signed by or sent to the licensee/registrant Note: These dates do not have to be the same. X correct the major mistake for which the amended inspection report is being generated X cite the noncompliances that were correct on the incorrect report. NOTE: These citations must be identical to the citation on the incorrect report. X contain the statement at the end of the narrative: AThis is an amended report correcting inspection report (*inspection number*) by (*insert correction)*.@ Examples of corrections are: < correcting the site number from 001 to 002 < correcting date of the inspection < changing the Section of the Veterinary Care citation from 2.40 to 2.33
Mistakes Noted by the Regional Office	If the Regional Office discovers a mistake on an inspection report: 1. the inspection report will be emailed to the inspector and the SACS 2. the inspector must correct the inspection report following the procedure outlined above 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 has to hand write the inspection report.

If you hand write an inspection report, you should use the blank pre-printed inspection report form (see Section 5.6A Blank Inspection Report).

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

When using the pre-printed inspection report:

X hand write all information in a **legible and neat manner**

X use black or blue ink

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

X computer failure

X printer failure

X airports where it is difficult to get a computer through security

X 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, you can:

X make a carbon copy of the inspection report

X make a photocopy of the inspection report

X complete two original inspection report forms and sign both copies

If you do not give the license/registrant/facility representative a copy of the handwritten inspection report at the time of the inspection, you should 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
   NOTE: Dates of the actual inspection, Prepared, and Received should be the same as on the handwritten inspection report.
3. The following statement should be placed in the narrative section: A**This is an electronic version of the report dated *xx/xx/xx.@***
4. A copy of the ACIS inspection report should be sent 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 OR by email
5. A copy of the ACIS inspection report should be attached to the handwritten inspection report
6. The handwritten inspection report and ACIS copy should be sent following your standard procedure, i.e. SACS or the Regional Office, after it is entered into ACIS

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

X enter the inspection report into the ACIS database

X review the inspection report with the licensee/registrant/facility representative on the computer screen

X when the printer is repaired, send a copy of the inspection report to:

- < the licensee/registrant by certified, return receipt mail, and
- < to the SACS or Regional Office

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

INSPECTION REPORT

Name of Licensee/Registrant	Site No.	Lic/Reg No.
Business Name (DBA)	Site Name	Date of Inspection
Facility Mailing Address	Site Address	Inspection Time
City, State, Zip (for Facility)	City, State, Zip (for Site)	Inspection Type

NARRATIVE

Prepared By: _____ **Date:** _____

Name & Title: _____, **USDA, APHIS, Animal Care** **ACIS ID NO.** _____

Copy Received By: _____ **Date:** _____

Title: _____

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

INSPECTION REPORT

Prepared By: _____ **Date:** _____

Name & Title: _____, **USDA, APHIS, Animal Care** **ACIS ID NO.** _____

Copy Received By: _____ **Date:** _____

Title: _____

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

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

	Examples of a potential negative effect are:
	$ ten peafowl are roosting over the animal feed containers and contaminating the feed with feces
	$ 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
	$ the number of non-regulated animals is so large that the current staffing is inadequate to properly care for the regulated animals

6.0 Specific Types of Inspections

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: X rabbits X hamsters X guinea pigs X gerbils NOTE: 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: X transport cages and transport vehicle X animal housing during exhibit X animal housing when not on exhibit X protection of animals from heat, sun, or inclement weather X handling of the animals X food storage X watering and water availability
Records	*Acquisition Records* [2.75(b)(1)] Records of **all** animals must contain the following: X name of the seller/donor X complete address of the seller/donor X USDA license or registration number if seller/donor is USDA licensed or registered

X 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 nondrivers and State of issuance (see below)

X date animal was acquired
X species
X number of animals in the shipment, if applicable

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

X an acceptable reason for not obtaining this information, AND
X at least two of the following:
- < social security number
- < phone number
- < directions to the premises of the seller/donor

Disposition Records [2.75(b)(1)]
Records of **all** animals must contain the following information:

X date animal(s) was given away or disposed of, including euthanasia
X number of animals
X species

NOTE: 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 or Cats) or APHIS Form 7020 - Record of Acquisition, Disposition, or Transport of Animals (Other than Dogs or Cats) may be used to record and maintain the required information.

Acquisition and disposition records must be held and available for inspection for one 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 one year if: [2.80(b)] X necessary to comply with any applicable Federal, State, or local law X 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 the applicable Animal Welfare Act regulations and standards.
Criteria	Examples of animals used to give rides are: X elephants X camels X llamas X cattle Note: Domestic equine species are exempt. Therefore, horse or pony rides are not covered.
Conducting the Inspection	When inspecting animals used for rides, make sure that the exhibitor meets all the applicable regulations [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. While conducting your inspection, some suggested areas to pay attention to include, but are not limited to: X training and handling experience of the handlers and employees X attentiveness of the handler during the ride, i.e., is the handler watching the animal during the ride, or staring off into space X number of personnel, i.e., are there enough personnel to watch for dangerous behaviors from the animals, the riders, and the viewing public X perimeter fence and/or barriers between the animals and the general viewing public X proper fit of saddles, riding equipment, halters, or restraint devices. Some signs of improper fit include: < redness < sores < abrasions < irritated skin < hair loss X condition of the equipment, i.e., no sharp edges, no broken straps, buckles or fasteners, padding not thin or excessively

	worn
X	appropriateness of the weight load for the animal
X	animal=s physical condition and behavior
X	animal=s locomotion, gait and uniformity of stride
X	willingness of the animal to work
X	availability of drinking water
X	availability of shade
X	foot care, especially elephants
X	rest for animals between rides and overnight Note: Animals must be allowed a rest period equal to the amount of time that they were giving rides. [2.131(b)(2)]
X	contingency plan to provide veterinary care if an animal is injured away from the home facility

NOTE: On the inspection report, be sure to put the name of the elephant(s).

AUCTION MARKET INSPECTION	The auction market operator is responsible for compliance with all applicable regulations and standards. [2.76]
Criteria	At the time of the prelicensing inspection(s) of the auction facility, the inspector should ensure that the applicant/auction operator understands all the applicable regulations and standards with special emphasis placed on the following: X 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 X enclosure 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 X requirements for record keeping, transportation, cleaning, sanitation, and general animal health and well-being will be monitored and enforced during the auction X incompatible animals must not be held in the same enclosure X animals may not be housed close to other animals that may cause them stress X all animals must be held in manner that ensures the safety of the animals and the public X 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 At the time of the auction, you (the inspector) should: X contact the licensee or his/her representative at the facility X introduce yourself X show official ID if requested X ask the licensee or representative if: < he/she or a designated person should accompany you around the auction grounds, OR < if it is permissible for you to inspect the grounds and the sellers/buyers on your own X check for regulated animals

X if a USDA licensee **brings in** a regulated animal, conduct an inspection of the animal in transit

X if an unlicensed person brings in a regulated animal:

- < inform the person of the Animal Welfare Act licensing requirements and regulations
- < give the person a prelicense packet if appropriate

X answer any applicable questions

X check the animals for any visible signs of illness or distress (see Sick Animals below)

X 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

NOTE: If a noncompliant item is noted at the time of consignment, you may want to inform the auction operator or representative of this noncompliance.

Sick Animals
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 violation.

Records

Sale Day
Check that licensees who have transported dogs, cats and non-human 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
An inspection of the records containing all the information for the animals consigned to and sold by the auction operator should be conducted 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,
such as 3 or fewer breeding female dogs/cats or small exotic/wild mammals, or only have non-regulated hoofstock.

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

The inspector should:

X collect the names/addresses of persons consigning regulated animals to the auction. Note: The Auction Catalogue is a good source for this information and should be obtained if available.

X 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

X send sales information for unlicensed persons not in your area to the appropriate SACS or inspector

NOTE: If you (the inspector) do not attend the auction, the records should be inspected as a routine inspection.

BARRIER FACILITY INSPECTION

Animals housed in a barrier facility and/or Specific Pathogen Free (SPF) colony must be maintained in accordance with all Animal Welfare Act regulations and standards.

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:

X visual inspection through an adequate viewing window
X video viewing from outside the barrier room
X selecting random animals to be visually inspected, and
X analyzing environmental records

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

The facility should:

X not require more stringent entry standards for the inspector
X 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, this is 72 hours. This verification is acceptable.

The inspector should NOT sign any statement in which he/she accepts responsibility 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 following minimum guidelines should be met by the facility:

X video camera should be portable enough to get into all parts of all the rooms that will require inspection, such as the animal rooms, food and bedding storage areas, medication storage areas, and cage washing/sanitizing areas

X video camera should have a high enough resolution so that the inspector can clearly see the animals in the cages and see subtle differences, such as being able to distinguish between bedding and feces in or beneath the cages

X there should be a communication system between the person operating the camera and the inspector so that the inspector can direct the person to view different areas or zoom in on an area

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

X the monitor should be a color monitor so that color differences can be seen, for example, to distinguish blood from other fluids or see algae/scum growth in water

X if possible, the inspection should be recorded 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

Through a Viewing Window

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

X all parts of all the rooms that will require inspection, such as the animal rooms, food and bedding storage areas, medication storage areas, and cage washing/sanitizing areas, should be visible through the window(s)

X there should be a communication system between the person inside the room and the inspector so that the inspector can direct the person, such as to bring cages or animals to the window, or to open cabinets or containers

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

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, this should be documented as a ARefusal Of Inspection.@ The inspector should: X inform the licensee/registrant/designated responsible person that this a violation of the Animal Welfare Act X if safe, ask the person if he/she is refusing to allow the inspection X leave the facility X complete an official inspection report designating the inspection as a ARoutine@ X document the refusal in the inspection report narrative section X be specific as to date, time, and the name of the person who refused to allow the inspection and any pertinent comments made by the person. An example citation is: SECT 2.126(a) ACCESS TO PROPERTY AND RECORDS (or 2.38(b) for a registered research facility) On (*date*) at (*time), (name of person*) refused to allow an inspection of the barrier facility. X send the licensee/registrant his/her copy of the inspection report by regular mail **and** certified, return receipt mail **NOTE**: If a non-designated person, such as an employee, refuses to allow the inspection, you should attempt to contact the licensee/registrant or designated responsible person.

CHANGE IN CLASS OF LICENSE INSPECTION

A licensee must complete the prelicense process to change his/her class of license.

Criteria

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

X complete an Application for License-New License (APHIS Form 7003-A)

X have a prelicense inspection with no noncompliant items cited

X pay the appropriate license fee

If the inspector finds, during an inspection, that the licensee has changed or plans to change his/her regulated activity, the inspector should notify the licensee that he/she:

X needs a different class of license

X must complete an Application For License-New License (APHIS Form 7003-A)

X must not conduct the unlicensed activity until the new license is issued

If the inspector finds out through the Regional Office or other sources, that a licensee has changed or plans to change his/her regulated activity, the inspector should:

X notify the licensee that he/she needs a different class of license

X inform the licensee that he/she must complete an Application for License-New License (APHIS Form 7003-A)

X inform the licensee that he/she must not conduct the unlicensed activity until the new license is issued

X inform the licensee that he/she may conduct the regulated activities covered under the current license

X have the Regional Office send the licensee a prelicense packet, if appropriate

Conducting the Inspection

Noncompliant items identified

If noncompliant items are identified on the inspection, you should:

X enter the inspection report into ACIS under the current license number
NOTE: Make sure the license number is visible in the certificate box in the ACIS screen and the site is active.

X classify the inspection as ARoutine@

X inform the licensee that he/she cannot conduct the new activity if it is not allowed under his/her current license. For example, an AA@ dealer who wants to exhibit animals.

X explain to the licensee that he/she must have an inspection with no noncompliant items to change his/her license

X schedule another inspection if possible

No *noncompliant items identified*

If no noncompliant items are identified on the inspection, you should:

X enter the inspection report into ACIS under the new prelicense site
NOTE: Make sure **no** license number is visible in the certificate box in the ACIS screen for that new site.
NOTE: If the licensee does not have a new prelicense site, see procedure below.

X classify the inspection as APrelicense Inspection #1"

X follow the procedure for a prelicense inspection as detailed in the Inspection Guidelines Handbook

X have the licensee send the new license fee to the Regional Office
NOTE: 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:

1. Complete the Inspection Report in the word processing system
2. Contact an ILA to:
   a) cancel the old license number
   b) create a prelicense site
3. replicate the ACIS database, after you have been informed that the information has been entered into ACIS

	4. enter the information from the word processing Inspection Report into the ACIS database 5. submit the Inspection Report to the Regional Office by attaching a copy of the ACIS Inspection Report to the word processing Inspection Report

COMPLAINT INSPECTION

A complaint inspection is conducted in response to a concern received by Animal Care.

Sources of Information

Sources of information include, but are not limited to:

X general public
X animal protection group
X whistle blower
X city, county, or State agency
X APHIS personnel
X other Federal agency
X you, the inspector

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

X phone call
X letter
X e-mail
X personal contact
X fax

NOTE: The complainant does not have to give his/her name. If the complainant does give his/her name, you should not give out the person=s name in order to maintain confidentiality. However, the complainant=s name may be subject to a FOIA request.

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.

If the complaint does **not** apply to the Animal Care Program, refer the complainant to the appropriate office/agency, if known.

Possible referral agencies include, but are not limited to:

X US Fish & Wildlife Service
X State wildlife agency
X local animal control
X local or national humane society
X State animal welfare agency

If the complaint **does apply** to the Animal Care Program **but is not** a possible violation:

X explain the AWA regulations and standards to complainant

X take no further action

If the complaint **does apply** to the Animal Care program **and is** a possible violation, instruct the complainant on how to contact the appropriate Regional Office.

When you receive a complaint from the RO:,

X review the complaint to determine if an inspection is required. Examples of when an inspection may **not** be required include, but are limited to:
- < you were just at the facility
- < a duplicate complaint and you have already addressed the issue

X if you are unsure how to proceed on the complaint, contact your Supervisory Animal Care Specialist (SACS)

X conduct an inspection if required

X complete the lower portion of the Complaint sheet and a memo detailing your findings and addressing the specific issues in the complaint, if appropriate

X forward the Complaint sheet, the inspection report and the memo, if applicable, to your SACS for review and approval and to the Regional Office following your standard procedure

Response Time

The time frame for responding to a complaint depends on the severity of the situation.

The response time may be:

X within 72 hours when:
- < the animal=s health and well-being is threatened, e.g., an elephant is locked up in truck on a hot day, or an extremely ill tiger is not being cared for properly
- < the public=s safety is threatened, e.g., unsafe

	enclosures for dangerous animals, or unsafe handling of non-caged dangerous animals X as directed by your SACS or other program official for a situation with high public attention or Headquarters/ Administration involvement X as directed by your Regional Office (usually 10 - 30 days) for all other complaints, e.g., lions housed in a small cage, or a monkey on display in a pet store
NCI Noted While Off-Duty	If you are *on your own time and notice a noncompliance* at a licensed/registered facility or an unlicensed facility, such as, an animal exhibit or pet store, you are not required to take any action. However, if you choose to take action, listed below are some suggested actions: X assess the severity of the noncompliance X take appropriate immediate action if required (see below) X *if in your territory:* return to the facility when on duty and conduct an inspection or evaluation of the incident X *if **not** in your territory:* contact your SACS when on duty to determine a course of action NOTE: Remember that you cannot work overtime without your SACS approval. After you have conducted an inspection or evaluation of the situation, you should send your SACS: X the inspection report, if appropriate X a memo documenting the situation and the action taken **Life-Threatening Situation** If it is a **life-threatening situation**, such as a dangerous animal escape, you should: X leave the area immediately X contact facility personnel/management X call 911, if appropriate **Non-Life Threatening Dangerous Situation** If you believe that the noncompliance results in a **non-life**

threatening dangerous situation to the animal or the public, you should speak to the licensee/registrant or a responsible person.

If the licensee/registrant does not correct the NCI at that time, you should:

X speak to the owner, or

X call your SACS or Regional Office emergency contact number and discuss a course of action

X contact local authorities, such as the local police or humane society, 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:

X take no action at that time, or

X speak to the licensee/registrant or responsible person

DEAD ANIMAL/ PARTS OR SERUM/BLOOD DEALER INSPECTION	A dealer who sells dead animals, unborn animals, organs, limbs, blood, serum or other parts of regulated animals must meet all applicable regulations and standards.
General Information	**Animals** **For dogs and cats:** if the animals arrive at the premises dead, specific areas to inspect include, but are not limited to: X records of acquisition X records of disposition **For all other animals other than dogs and cats:** if the animals arrive at the premises dead, 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: X records X animal holding/euthanasia area X euthanasia procedures 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: X long term care X frequency of collection X volume per collection
Species Specific	**Dogs and Cats** If the dealer takes possession of the dogs and/or cats alive, each dog and/or cat must have an official USDA identification. **Rabbits** Rabbits being used for antibody production should be observed carefully for signs of pain or distress, such as:

X apprehensive or anxious appearance
X crying or squealing
X excessive licking or scratching

X grinding of teeth
X hiding
X hunched appearance

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

The facility=s bleeding schedule should be reviewed to determine if it is appropriate to ensure the health and well-being of the rabbits.

General recommendations for bleeding of rabbits to consider when reviewing a facility=s bleeding schedule include, but are not limited to:*

X NIH recommends a maximum bleeding of:
- < 10% TBV (Total Blood Volume) every 3-4 wks, or
- < 7ml/kg/mo

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

X industry recommendations may be:
- < 10% TBV every 2 weeks to 15% TBV every 4 weeks, or
- < 10ml/kg/mo.

X if a facility is drawing more than 7ml/kg/month, the rabbit should be monitored for physical distress, for example, by periodic hematocrit checks. (Rabbit=s normal PCV is 30-50.)

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

DRIVE THROUGH Z00 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:

X measures to protect the safety of the public and animals, such as:
- < caution signs reading:
  - R Do not get out of car
  - R Do not put fingers in cages
- < patrol of Zoo/Park by attendants
- < monitoring of the Zoo/Park by employees during their regular duties
- < video monitoring
- < monitoring of areas not readily visible to attendants
- < posting or distribution of the safety rules
- < speed bumps

X number of employees to patrol the Zoo/Park

X training of the employees

X shelter, either artificial or natural, for the Zoo/Park=s climatic conditions

X access of the shelter to all the animals

X size of shelter for the number of animals

X monitoring of large areas of natural habitat for hazards, such as flooding or deep mud which animals could get mired in

X availability of potable water

X control of feeding of the animals by the public, such as:
- < monitoring animals for adequate food intake
- < appearance of the animals, i.e., too thin or too fat
- < measures to prevent people from feeding animals if not allowed
- < measures for stopping people from bringing in food for the animals
- < action taken if find people feeding animals or feeding inappropriate food

X proper nutrition for carnivores
X monitoring of the animals= health and well-being, including meeting the veterinary care daily observation requirement
X routine veterinary care, such as vaccinations and worming
X capture methods if veterinary care is needed
X death loss, especially among young animals
X procedure in the event of an animal escape or attack
X compatibility of the animals in an area
X management of the males:
  < to prevent fighting
  < during rutting season
X off-exhibit areas, if any

Suggested topics to discuss with the exhibitor which may or may not be regulatory requirements include:
X emergency procedures for:
  < attacks
  < escapes
  < natural disasters
X provision and visibility of water for the animals (public perception versus AWA standards)
X enrichment for animals other than nonhuman primates, such as:
  < elevated surfaces for cats
  < pools for tigers and bears

INACTIVE RESEARCH FACILITY INSPECTION	A research facility officially designated as Ainactive@ should be inspected.
Inactive Status	A research facility may request to be placed in an inactive status if the research facility has: X not used, handled, or transported regulated animals for a period of at least 2 years, and X made a written request to the Regional Director for the State in which it is registered An inactive research facility must: X file an annual report of its status X notify the appropriate Regional Director, in writing, at least 10 days prior to using, handling, or transporting regulated animals again
Inspection Frequency	An inactive research facility should be inspected once per year. However, if you are **unable** to inspect an inactive research facility due to lack of time or other constraints, you should discuss this with your SACS.
Inspection Procedures	You, the inspector, should: X physically inspect the research facility, and X 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, you should: X document on the inspection report ANo regulated activities@ X encourage the research facility to cancel its registration X make sure that the research facility has an IACUC in place **NOTE:** The IACUC is not required to meet nor perform the semi-annual animal facility and program reviews. X remind the research facility that it must notify the

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

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

X document on the inspection report ANo regulated activities@
X make sure that the research facility has an IACUC in place
X ascertain that the IACUC has reviewed the use of the covered species and determined that the use of the animals is exempt from coverage
X remind the research facility that it must notify the appropriate Regional Director, in writing, at least 10 days prior to using, handling, or transporting regulated animals again for covered purposes

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

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

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 must be inspected and meet the applicable standards and regulations. Regulated animals commonly encountered in a pet store include but are not limited to: X traditional pet type animals, such as: cat, ferret, hamster, chinchilla, gerbil, rabbit, dog, guinea pig X wild/exotic animals or pocket pets, such as: chipmunk, degu, duprasi, flying squirrel, hedgehog, jerboa, naked mole rat, NHP (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. 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.
Exemption	Pet stores are not required to have official USDA identification on their dogs and cats

PETTING ZOO INSPECTION

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

Inspection Procedures

Handling

When inspecting a petting zoo, handling of the animals should be observed closely.

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

X minimal risk of harm to the animals or the public
X adequate public barriers when appropriate
X animals are exhibited only for a period of time and under conditions consistent with their good health and well being
X during periods of public contact, an employee or attendant is present at all times. This employee/attendant must be:
  < responsible
  < knowledgeable, and
  < readily identifiable
X dangerous animals, such as lion, tiger or bear cubs, must be:
  < separated from the public by a barrier, or
  < under the direct control and supervision of a knowledgeable and experienced handler
X if public feeding is allowed, food must be:
  < provided by the animal facility
  < be appropriate to the type of animal
  < be appropriate for the animal=s nutritional needs and diet

Public Contact

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

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

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:

X enclosure fencing to protect the animals
X cleanliness and sanitation of the pens
X condition of the animals
X compatibility of the animals in an enclosure
X method(s) for allowing animals time away from public contact, such as:
  < large pens
  < solid walls on outside of pens
X method(s) for allowing animals time away from view of the public, such as:
  < barns
  < burrows or dens
  < curtained off areas
X animal areas where the public is not allowed
X public feed dispensers. Inspect for:
  < cleanliness
  < accumulation of old food or feed debris, especially at the bottom of the dispenser
X shelter and shade for the environmental conditions
X water availability for the environmental conditions
X vehicles used to transport the animals
X security measures if animals left overnight
X measures being taken to prevent disease transmission to the public. NOTE: You should recommend that the dealer follow the CDC Guidelines for protecting the public against enteric pathogens, if he/she is not already doing so.

REMEMBER the following housing restrictions:

X hamsters may not be housed in outdoor facilities
X guinea pigs may not be housed in outdoor facilities, UNLESS prior approval has been obtained from the Regional Director
X rabbits may not be housed in the same primary enclosure with any other species unless required for scientific reasons

Traveling Petting Zoo	If an exhibitor or B-dealer operates the petting zoo away from his/her facility for more than 4 consecutive days, an itinerary should be sent to the Regional Office or the facility=s inspector upon request. The itinerary should contain the following information X dates the exhibitor/dealer will be away from home X city and State for all stops, including Alay-overs@ X site name or location of all stops, including Alay-overs@ The itinerary should be: X submitted prior to departing the facility to: < the appropriate Regional Office, or < the exhibitor/dealer=s inspector, AND X updated as needed The itinerary may be submitted to the appropriate Regional Office or inspector by any of the following: X mail X fax X e-mail

PHOTO SHOOT INSPECTION	Anyone providing or using regulated animals for Photo Shoots must be licensed and meet all the applicable regulations and standards. (NOTE: Photos of free-living wild animals is an exempt activity.)
Types of Photo Shoots	Types of Photo Shoots include, but are not limited to: X photos with people petting or sitting with wild/exotic animals X holiday photos with lambs or rabbits Note: Pictures of people with their pets are exempt. X photos for calendars X photos for magazines X animals released into a natural setting for the photo X animal actors/movie animals X photos for advertising
Conducting the Inspection	When inspecting animals used for photo shoots, make sure that the exhibitor meets all the applicable regulations and standards for the animals being used. When inspecting a Photo Shoot, some recommended items to evaluate include, but are not limited to: X measures to protect the safety of the public and the animal(s) X public barriers, especially for animals not currently being used for photos X age of dangerous animals being used for public contact photos X restraint methods for the age and size of the animal NOTE: Drugs may not be used to control the animals. X number of employees to control the animal(s) X training and handling experience of the employees X rest periods for the animals X availability of potable water X availability of veterinary care if needed X procedure in the event of an animal escape or attack X safety measures for the movement of the animal from the

	cage to the photo shoot area and back
X	housing of the animal(s) when not being used for the photo shoot
X	off-exhibit area, if any
X	safety measures if no perimeter fence
X	transport of the animal to/from the photo shoot

RANDOM SOURCE DOG AND CAT DEALER INSPECTION	Only a class AB@ dealer may acquire random source dogs & cats for resale.
Definition	Random source means dogs and cats obtained from animal pounds or shelters, auction sales, or from any person who did not breed and raise them on his/her premises.
Procurement	**Acceptable Sources** A class AB@ dealer may obtain live random source dogs/cats **only** from the following sources: X other USDA licensed dealers X State, county, or city owned and operated animal pounds or shelters X humane groups and contract pounds organized as legal entities under the laws of their State A class AB@ dealer may obtain non-random source dogs/cats from persons who have bred and raised the dog/cat on their own premises. **Unacceptable Sources** A class AB@ dealer may **not** obtain dogs/cats: X from a person who did not breed and raise the animal on his/her premises X by use of false pretenses, misrepresentation, or deception
Holding Period	**Pounds, Shelters, and Research Facilities** Random source dogs/cats must be held for a period of not less than 5 full days, including a Saturday, but not including the day of acquisition and transit time, by the following entities: X pound/shelter owned and operated by a State, county or city X privately owned pound/shelter, such as a humane society, that is under contract with a State, county or city X research facility licensed as a dealer

Live dogs and cats must be held by the Random Source B-Dealer for the following time periods:

IF the source is	AND the dog/cat=s age is	THEN the holding period is
a private pound, contract pound or shelter	any age	10 full days, not including the day of acquisition and the time in transit
a state, city, or county operated pound or shelter	any age	5 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 premise	# 120 days	24 hours, not including the time in transit
a private individual who bred and raised the dog/cat on his/her premise	> 120 days	5 full days, not including the day of acquisition and the time in transit
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	5 full days, not including the day of acquisition and the time in transit

≤ = less than or equal to
> = greater than

Records

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

X name and complete address of the seller, buyer or person to whom the animal is given

X USDA license or registration number if seller/buyer/donee is USDA licensed or registered

X vehicle license number and driver=s license number and state of issuance of each if seller/buyer/donee is **not** USDA licensed or registered

X date animal was acquired

X date animal was disposed of, including euthanasia

X official USDA tag or tattoo number

X a description of each animal including:

- < the species and breed or type
- < the sex
- < date of birth or approximate age
- < the color and any distinctive markings

Records must be made, kept and maintained on APHIS Form 7005-Record of Acquisition and Dogs and Cats on Hand and APHIS Form 7006 - Record of Disposition of Dogs and Cats.

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

The variance request must

X be in writing

X explain why the APHIS Form 7005/7006 is unsuitable to use

X contain a description and sample of the computerized record keeping system to be used

X 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
Records must be held for inspection for 1 year after an animal is disposed of or euthanized.

Records must be kept and maintained for more than 1 year if:

X necessary to comply with any applicable Federal, State, or local law

X APHIS Administrator notifies the dealer in writing that specified records must be retained pending completion of an investigation

Tracebacks

Tracebacks must be conducted following every inspection of a Random Source B-Dealer. The Traceback Procedure is detailed in the Inspection Requirements Handbook.

Special Circumstance

A Random source B-Dealer who operates a private or contract pound or shelter must comply with the following:

Facility:

X pound/shelter must be physically separated from the licensed facility, AND

X pound/shelter animal housing facility must not be adjacent to the licensed facility, i.e., no common walls

Records:

X accurate and complete records must be separately maintained in accordance with Sections 2.75 and 2.76, unless the animals are lost or stray

X for lost or stray animals, the pound/shelter records must provide the following information:

< an accurate description of the animal

< how, where, when, and from whom the animal was obtained

Transferring the dog/cat to the AB@ dealership:

X animal must be held for 10 full days, not including day of acquisition and time in transit

X record of animal must contain all of the information

	listed above AND < how long the animal had been at the pound/shelter before transfer to the dealer=s licensed facility < 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: X name, complete address, USDA license number and signature of the dealer X name, complete address, USDA license or registration number, if applicable, and signature of the recipient X a description of each animal which includes: < species and breed or type (for mixed breeds, estimate the two dominant breeds/types) < the sex < date of birth or approximate age < color and any distinctive markings < official USDA-approved identification number NOTE: If the description information is provided by a prior dealer and attached to the certification, then only the official ID number is required. X name and complete address of the person, pound or shelter from which the animal was acquired X an assurance that the person, pound or shelter was notified that the animal might be used for research or educational purposes X date dealer acquired the dog/cat X 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 5 days NOTE: This statement: < must describe the animal by its USDA ID number assigned by the dealer

	< may be incorporated into the dealer certification at the time of acquisition OR < made separately and attached to the certification later. 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 Source B-Dealer who obtains a random source dog/cat from another Random Source B-Dealer must obtain and attach the original certification to the certification which he/she provides to the recipient of the animal. A Random Source B-Dealer must keep, maintain and make available for APHIS inspection a copy of the certification for at least one 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.

Requirements

Physically Separate Businesses

The pound or shelter must be physically separated from the research facility, that is:

X the two businesses must not be on the same premises

X the animal housing facility of the pound/shelter must not be adjacent to the research facility

Records

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

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

X name and complete address of the seller or donor, USDA license or registration number if seller/donor is USDA licensed or registered

X vehicle license number and driver=s license number and State of issuance of each if seller/donor is **not** USDA licensed or registered (see next page)

X date dog/cat was acquired

X name and complete address of the buyer or person to whom dog/cat was given, if applicable

X USDA license or registration number if buyer or person to whom dog/cat was given is licensed or registered

X date the dog/cat was disposed of

X method of disposition, such as:

- < sale
- < donation
- < death
- < euthanasia

X official USDA tag number, tattoo, or microchip number, if applicable

X a description of each animal
X the sex
X the species and breed or type
X date of birth or approximate age
X the color and any distinctive markings
X 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

If the vehicle license number and driver=s license number cannot be obtained, the record must contain:
X an acceptable reason for not obtaining this information, and
X at least two of the following:
  < official identification card number
  < phone number
  < directions to the premises of the seller/donor

For lost or stray dogs/cats, the pound/shelter records must contain the following:
X an accurate description of the dog/cat
X how the dog/cat was obtained
X where the dog/cat was found
X from whom the dog/cat was obtained
X when the dog/cat was obtained
X how long the dog/cat was held before being transferred to a dealer, if applicable
X date the dog/cat was transferred to a dealer, if applicable

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:

X involuntarily terminated licensees or registrants (i.e. canceled due to non-renewal, suspended due to consent decisions and orders) NOTE: This should be done within 60 days of the termination of the license, if possible.
X persons exhibiting regulated animals
X persons using regulated animals for rides
X a non-registered research facility purchasing regulated animals
X 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:

X visiting the facility
X making phone calls
X checking dealer or broker records
X checking newspaper ads
X checking the Internet
X communicating with other inspectors

Sources of Information

Sources of information include, but are not limited to:

X anonymous tips
X general public
X animal protection groups
X whistle blower
X APHIS personnel
X advertisements
X newspaper/journal articles
X Internet sites
X city, county, or State agency
X State health certificates
X other Federal agency

Sources may provide information by the following methods:

X phone calls
X letters
X e-mail
X personal contact

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

Information Follow-up

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

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

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

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

X thank the informant for his/her interest in the welfare of animals
X complete the top portion of a Search sheet
X 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:

X tell the informant that the facility is not in your territory but that you will forward the information to the Regional Office for distribution to the appropriate inspector

X give the informant the Regional Office=s phone number for follow-up

X 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:

X contacting the responsible person

X gathering additional information, such as:

- < contacting witnesses
- < assessing records
- < newspaper or journal articles
- < classified ads
- < information off the Internet
- < Internet website addresses

No Regulated Activity

If regulated activities are **not** being conducted:

X complete Search sheet

X submit your findings to your SACS or Regional Office

Regulated Activity

If regulated activities **are** being conducted:

X explain that the activity requires a USDA license or registration

X discuss with the responsible person all the pertinent portions of the AWA and regulations and standards

X request a decision about the continuation of this activity

X decide whether or not to request permission to inspect the facility

NOTE: Situations where you may decide **not** to request permission to inspect include, but are not limited to:

< person is not able to make a decision about obtaining a license at that time

< responsible person is uncooperative and threatening

X give or have the Regional Office send a prelicense or registration packet to the responsible person

X if you give the person a prelicense or registration packet, let the RO know

Inspection Allowed

Dealer or Exhibitor

If the responsible person **allows an inspection** of the facility, a word processing inspection report should be completed, unless you are able to have the RO enter the person into ACIS, as follows:

X classify the inspection as ARoutine@ if the person decides not to conduct further regulated activities

X in the narrative:

< note that this was a A**Search**@ inspection

< document all noncompliant items
NOTE: No correction date(s) should be given.

< include a citation of ASECTION 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: ANO REGULATED ACTIVITIES MAY BE CONDUCTED UNTIL USDA LICENSE IS OBTAINED.@

X classify the inspection as A**Prelicense Inspection #1**@ if the responsible person decides to apply for a license and follow procedures for a APrelicense Inspection@ (see Inspection Requirements Handbook)

< include a citation of ASECTION 2.1(a)(1) - CONDUCTING REGULATED ACTIVITIES WITHOUT A LICENSE@ and describe the regulated activity

NOTE: Have applicant complete an AApplication for License@ (APHIS Form 7003-A) and TIN form and have applicant send application fee to the appropriate Regional Office.

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

Research Facility

If the responsible person **allows an inspection** of the facility, a word processing inspection report should be completed, unless you are able to have the RO enter the facility into ACIS, as follows:

X classify the inspection as ARoutine@ if the research facility decides not to conduct further regulated activities

X in the narrative:

- < note that this was a A**Search**@ inspection
- < document all noncompliant items
  NOTE: No correction date(s) should be given.
- < include a citation of ASECTION 2.30(a) - CONDUCTING REGULATED ACTIVITIES WITHOUT A REGISTRATION@ and describe the regulated activity
- < state the following at the end of the inspection report: ANO REGULATED ACTIVITIES MAY BE CONDUCTED UNTIL USDA REGISTRATION IS OBTAINED.@

Refusal of Inspection

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

X inform the responsible person that the he/she or the research facility is in violation of the Animal Welfare Act by conducting a regulated activity without a license/ registration

X leave a prelicense/registration packet with the person, if possible

X take photographs documenting the regulated activity, if safely possible

X discuss how to proceed with your SACS

No Inspection Conducted

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

X inform the responsible person that he/she or the research facility is in violation of the Animal Welfare Act by

	conducting a regulated activity without a license/ registration
	X give or have the Regional Office send an application/registration packet, if applicable, to the responsible person
	X take photographs documenting the regulated activity, if possible
	X discuss how to proceed with your SACS
Post-Search Procedures	After conducting the search, ALWAYS:
	X complete Search sheet
	X enter the word processing inspection report into ACIS following the standard procedure on next page, if applicable
	X submit the Search sheet with the word processing and ACIS inspection reports and/or memo to your SACS or the Regional Office following your standard procedure
	X if an **inspection was conducted**:
	< submit the inspection reports, AND
	< discuss with your SACS if an enforcement action would be appropriate
	X for a **refusal of inspection**:
	< submit a memo describing the regulated activity being conducted AND that an inspection was not permitted
	< discuss with your SACS if an enforcement action would be appropriate
	X if you **decided not to conduct an inspection:**
	< submit a memo describing the regulated activity being conducted AND indicating the reason why you did not conduct an inspection
	< discuss with your SACS if an enforcement action would be appropriate
	X 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 the following information:
	< person, business or research facility=s full name

	< complete business address < complete site address < county, if known < business telephone number, including area code 3. obtain the customer number, if available 4. replicate the 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 NOTE: 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: A**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, you should revisit the facility to determine if regulated activity is still being conducted. If the person is **no longer** conducting a regulated activity, you should X complete and send a Search sheet to the Regional Office, OR X send a memo to the Regional Office documenting your findings If the person/business/research facility **is still** conducting a regulated activity, you should: X if safe and appropriate, remind the responsible person that a USDA license is required to conduct this activity

X document the regulated activity either by:
- < conducting another inspection, if possible
  NOTE: Any noncompliances not corrected, including conducting regulated activities without a license, should be designated as AREPEAT@ noncompliances, OR
- < completing another Search sheet, OR
- < writing a memo detailing your findings

X take photographs, if possible

X discuss how to proceed with your SACS

On-the-Road Inspection

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

X a USDA license is required for the activity he/she is conducting

X all applicable AWA regulations and standards must be met at all sites

X he/she cannot exhibit until licensed

You should obtain the following information from the exhibitor:

X location of the home base or permanent facility which he/she returns to between tours
NOTE: A traveling exhibitor must have a home base or permanent site in order to get a license.

X animals currently housed at home base or permanent site

X name of any other Animal Care inspector that the exhibitor has been in contact with and the results of that contact

X ways to contact exhibitor while on-the-road

X an itinerary

NOTE: If the exhibitor refuses to give you any information, you should:

X try to get contact information and itinerary from the manager of the circus/group/venue, if applicable

X get vehicle license tag number, if possible, to use to obtain follow up information

Licensing Process Started
If the exhibitor chooses to start the licensing process, perform a

prelicense inspection. Be sure to:

X follow the procedure outlined on page 6.15.4
X use TRA as the Site designation
X have the exhibitor complete an application and TIN form
X collect the application fee or have the exhibitor send to the Regional Office
X discuss all records required by the regulations, such as:
  < Program of Veterinary Care
  < acquisition and disposition records
  < Dog Exercise Plan
  < Nonhuman Primate Environmental Enhancement Plan
  < Health Certificates
X document on the inspection report all pertinent information discussed
X obtain an itinerary
X obtain on-the-road contact information
X obtain location of home base/permanent base
X inform exhibitor that the home base/permanent site must be inspected and be in compliance before a license will be issued

If noncompliances are identified, be sure to:

X inform the exhibitor that all noncompliances must be corrected prior to the next inspection
X determine with the exhibitor when and where the next inspection will be conducted
X inform the exhibitor that he/she cannot exhibit until a license is obtained

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

If another prelicense inspection is required:

X contact your SACS with this information
X 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, you should: X obtain contact information and itinerary (if necessary, check with manager of venue) X reemphasize that he/she cannot legally exhibit without a USDA license X inform the exhibitor that any further exhibition could result in an enforcement action X notify your SACS or Regional Office
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: X obtain the location of this facility X discuss the facilities available at this site X inform the exhibitor that a license will not be issued until all sites are in compliance with the regulations and standards X obtain contact information for the inspector at the home base/permanent site X include the following or a similar statement on the inspection report: AAll sites must be in compliance before a license will be issued.@ X **DO NOT** complete the prelicense process. (**DO NOT** state on the inspection report that Aapplicant meets all requirements to be licensed@ or accept the license fee.)
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 you should follow the standard procedure for completing the licensing process. **The inspector conducting the final prelicense inspection** should: X include the following or a similar statement on the inspection

	report: AApplicant meets all requirements to be licensed as a AC@ exhibitor.@
X	instruct the applicant how to submit the license fee

TRAVELING EXHIBITOR

Each inspector should develop a consistent method of conducting inspections of traveling exhibitors while in travel status that ensures that the inspection is thorough and accurate.

General Information

Inspections of exhibitors on the road 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 will be or is performing in your territory:

X check ACIS for the date and results of the last TRA inspection

X do NOT conduct an inspection, if:

< an inspection had been conducted within 90 days AND

< the inspection had no noncompliances

X if the traveling exhibitor was not inspected within 90 days and/or has a noncompliance, contact your SACS to determine if an inspection is needed

NOTE: Traveling exhibitors with elephants will be inspected by the Elephant Inspection Team. If the traveling exhibitor has elephants, check with your SACS on how to proceed.

Admission to the Venue

Admission to the Venue

If the venue, e.g. theme park, State/county fair, Renaissance Festival, or craft show, where the traveling exhibitor is located has an admission gate:

X go to the admission gate

X identify yourself in a professional manner

X state the purpose of your visit

X pay the admission fee, if required

Note: Do not argue with the person at the admission gate (see below).

At most venues, you will not be required to pay admission. However, the venue is not obligated to let you in without paying the admission fee. If an admission fee is required,

you can:

X ask to speak to someone in management

X make prior arrangement for your admission if this is a venue that you inspect regularly

X pay the admission fee

If you are required to pay admission, you should:

X charge the admission fee on your Purchase Visa (preferable), or

X pay cash/personal credit card (you will be reimbursed)

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

Conducting the Inspection

Prior to the Inspection

Prior to conducting the inspection:

X review several past inspections in ACIS to determine the compliance history, including photos if available

X review prior inventories

X contact the home inspector or the inspector who conducted the last TRA inspection if you have questions

General Inspection Recommendations

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

X if possible, observe a performance/act

X if possible, observe the handling of the animals before contacting the responsible person

X if you have concerns about the handling of the animals, ask about the qualifications and training of the animal handlers

X be alert and cautious around the animals. Remember that big cats spray, nonhuman primates throw feces, and animals may be able to get their arm or paws/feet through the bars

X observe and check the health and well-being of all the animals, such as:

< alertness and activity level

- < behavior
- < normal appearance
- < foot and hoof care
- < presence of wounds
- < signs of abuse

X check chained or tethered animals for restraints which are too tight

X if you have concerns about an animal, ask to see the animal up close, if possible and safe

X for animals housed outdoors, check for adequate shelter and shade

X ask about contingency plans for veterinary care if an animal becomes sick or is injured on the road

X inspect food preparation and storage areas

X if fresh meat is required, ask about:

- < sources of the meat while on the road
- < storage
- < method(s) of thawing

X ask about feeding schedules

Note: Food deprivation may not be used for training.

X ask about the source and quality of the drinking water to make sure it is potable

X observe and ask about security measures to protect the animals and the public, such as:

- < barrier fences or electric fences
- < uniformed attendants
- < night security

X determine if there is a sufficient number of employees to provide for the animals= care

X check enclosures for adequate space during travel and at the temporary location

X check on availability and use of exercise areas

X if possible, observe the loading and/or unloading of animals

X check veterinary care and vet records (see page 6.16.6)

X check records (see page 6.16.6)

X check transport vehicles (see page 6.16.8)

For animals in transit, see page 6.16.9.

Species Specific

Dogs & Cats

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

X check the room(s) that the dogs/cats live in to ensure that it meets all primary enclosure standards

X ask how the dogs/cats are transported in the conveyance to ensure that the travel standards are being met

Other Animals

Some information to remember when inspecting other wild and exotic animals:

X primary enclosures for other animals should have adequate space for each animal to express all species-typical:
- < postures/movement
- < social adjustments
- < behaviors
- < grooming

X all animals in the enclosure should be able to lie down with limbs extended in a normal manner without obstruction from enclosure sides or having to extend feet through bars or feeder doors

X animals should have adequate freedom of movement which includes the ability to exercise

X animals that normally engage in occasional vertical postures, such as bears and many felines, should have sufficient vertical space available to accommodate these postures

X 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

X 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 for trained camels and domestic hoofstock

NOTE: Periods of exercise should be **in addition to** regular performance and practice time.

X **baboons and chimps** have sexual swellings that may resemble tumors

X **camels**:

< when males become excited, they may blow up a sac-like extension of the soft palette into a red Aballoon@ which hangs out from the corner of their mouth

< males in Amusth/rut@ may:

R lose a significant amount of weight

R drool, slobber, and froth at the mouth

R make gurgling sounds

R have rough/scaly hair coats

R dribble urine

X **flying species** should have sufficient unobstructed volume to enable movement by flying and sufficient roosting space to allow all animals to rest simultaneously

X **large cats**: females in heat:

< roll around

< become very vocal

X **pygmy hippos**:

< secrete a clear, pink or brown viscous substance on the skin

< skin should appear soft and flexible

< skin should not be cracking or scaling

< like to wallow in mud

< should have a pond, or

< be wetted down regularly

X **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.

X **tethered hoofstock** 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

When inspecting traveling exhibitors, you should check for the following:

X health and well-being of the animals
X a complete and current Program of Veterinary Care
X Exercise Plan for Dogs while in travel status which may need to be different than the Exercise Plan at the home facility
X Environmental Enhancement Plan for nonhuman primates which may need to be different than the E.E. Plan at the home facility
X health certificates, if required
X required medical records for marine mammals
X noncommercial diet approval for the large felids
X contingency plan for veterinary care if an animal becomes sick or is injured while on the road
X medical records for any animal that was sick or injured while on the road
X documentation of chronic medical problems and the treatment, if applicable
X medical records for other animals if kept by the exhibitor
X expired medications

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 e-mailed 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 one 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:

X acquisition records or a record of animals on hand for all regulated animals present

X disposition records for all regulated animals that have left the current tour since it began
Note: If an animal dies or is euthanized while on the road:
< the date of death must be recorded
< details of the death should be maintained in the medical records

X Program of Veterinary Care appropriate for the animals being exhibited

X Health Certificates for dogs/cats/nonhuman primate
Note: It is recommended that an exhibitor in continuous travel obtain a new health certificate every 6 months.

X Exercise Plan for dogs

X Nonhuman Primate Environmental Enhancement Plan

X water quality records for marine mammals

X individual medical records for marine mammals

X necropsy records for marine mammals

Note: Copies of the original records are acceptable.

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

X license certificate

X last on-the-road inspection report

X health/medical records for all regulated animals present, such as:
< preventive medical treatments

< records pertinent to current problems and treatments
< records pertinent to existing chronic conditions
< necropsy records (other than marine mammals)

X noncommercial diet approval for large felids

X health certificates for all other regulated species
Note: This may be a State requirement. Refer the exhibitor to proper State agency if he/she has questions.

X itinerary

Transport Vehicles

Transport vehicles should be inspected for:

X cleanliness

X structural strength, such as:
< bent or warped surfaces
< protruding edges
< loose fittings or grates

X food storage areas

X condition of the floor, i.e., rotting areas which could:
< give way
< allow entry of exhaust fumes

X ventilation and temperature when doors are closed

X working temperature control systems, such as:
< heaters
< fans
< air conditioners

X separation of species while in transit

X space and height for the species transported
NOTE: Trailers can only be 8' wide by DOT regulation. Therefore the interior space will be 7-7.5'. Ask which animals are transported in the trailer and how they are arranged.

X vehicle safety features, such as:
< good tires
< proper hitches
< door latches and locks
< vehicle rated for the weight load carrying
< tires rated for the weight load carrying

Animals in Transit

While in transit, regulated animals must be housed in enclosures

that meet the transportation requirements for that species.

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

X the home facility to a temporary location
X a temporary location to another temporary location
X a temporary location to the home facility

Stopping for short rest periods and food breaks for the drivers, handlers and other people accompanying the animal is still considered Ain transit.@

NOTE: When stopped at a temporary location, the animals must be housed in enclosures that meet or exceed the applicable Primary Enclosure Space Requirement standards for **permanent** enclosures.

Specific Types of Inspections

ANIMAL RACES

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

X pigs
X camels
X gerbils
X hamsters
X dogs (non-competitive), such as dachshund or Jack Russell Terrier races
NOTE: Professional dog races, such as greyhound races, field trials and tracking events are exempt.

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

X species and age of animals being raced
X individual tolerances of the animals
X protective measures for climatic conditions
X length of race for species being raced
X number of races per day for each animal
X rest periods for animals between races
X availability of drinking water
X methods used to make the animals run, i.e., are the methods used injurious to the animals, such as cattle prods,

excessive physical force, or food/water deprivation

X public barriers

X housing of the animals between races and overnight

X security measures at night

X contingency plan to provide veterinary care if an animal becomes sick or is injured on the road

X for animals with riders, e.g., camel races, check for:

< proper fit of saddles, riding equipment, halters or restraint devices. Some signs of improper fit include:

R redness

R sores or abrasions

R irritated skin

R hair loss

< condition of the equipment, i.e., no sharp edges, no broken straps, padding not thin or excessively worn, no broken buckles or fasteners

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

ANIMAL RIDES

See Section 6.2

CIRCUSES

Circuses may be:

X covered under one exhibitor=s license, or

X composed completely of individually licensed exhibitors who work for the circus. In this case, a separate inspection report must be completed for each licensee.

X composed of a combination of a licensed circus and individually licensed exhibitors. In this case:

< one inspection report should be completed for the licensed circus itself and include all the regulated animals covered under the circus=s license, and

< separate inspection reports should be completed for each individually licensed exhibitor

NOTE: It is important to know which exhibitor=s license

covers the particular animals that you are inspecting. It is common for exhibitors/animal acts to travel with more than one circus in a touring season.

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

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

X health and well-being of the animals
X behavior of the animals
X methods used to make the animals perform
X procedure for moving animals in and out of the rings
X cages used to contain the dangerous animals
X methods of restraint used to control the animals
Note: Drugs may not be used to control the animals.
X public barriers and security during the performance
X pre-performance activities involving the public

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

X health and well-being of the animals
X behavior of the animals
X space requirements for the animals, i.e., are animals housed in their transport cages. If so, do these cages meet the space requirements when not in actual transit?
X vertical space for animals that require it, such as bears, large cats and nonhuman primates
X frequency and length of exercise provided to the animals whose cages do not meet the space requirements
X food and water
X shade or other shelter for animals housed outdoors
X housing for animals that are in quarantine, isolation, holding, or in off-exhibit areas
X contingency plan to provide veterinary care if an animal

becomes sick or is injured while on the road
X foot care
X training and handling experience of the handlers and employees
X animal activities conducted between performances, such as rides or photo shoots

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

X structural strength of the primary enclosures, exercise pens and transport cages
NOTE: Never enter a pen or enclosure unless absolutely necessary and the animal(s) are secured.
X security devices, such as locks, latches, or hinges, on the cages
X public barriers
X food preparation areas and storage facilities for the food
X diets being fed (quality, quantity, wholesomeness)
X security measures at night
X transport enclosures and vehicles, such as trucks and train cars, especially space and ventilation

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

PERFORMING ANIMALS
Performances include, but are not limited to, using regulated animals in:

X carnivals
X commercials
X educational exhibits
X kangaroo boxing
X magic shows
X marine mammal shows
X movies
X promotional exhibits
X stage shows

X television shows
X tricks
X variety acts

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

X methods used to make the animals perform
X types or methods of restraints used to control the animals
Note: Drugs may not be used to control the animals.
X handling of the animals
X training and handling experience of the handlers and employees
X type and safety of public contact with dangerous animals
X public barriers
X amount of time animals perform and are rested
X housing for animals between shows
X procedure in the event of an animal escape or attack
X procedure for moving animals from housing to the performance area
X contingency plan for providing veterinary care if an animal becomes sick or is injured while on the road
X transport enclosures and transportation vehicles

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

PETTING ZOOS
See Section 6.11

PHOTO SHOOTS
See Section 6.12

Inspection Reports

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

X 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 X in the narrative section, you put: < location, i.e., city and State, of the inspection < name of the circus, unit, or group, if applicable After the inspection, you should send a copy of the inspection report to your Regional Office or SACS, according to your Region=s administrative procedures. If a reinspection is needed, **obtain an itinerary from the traveling exhibitor** and inform your SACS, so the AC inspector at the next location where an inspection is needed can be informed. **NOTE:** If you inspect an exhibitor on-the-road who has a noncompliance and will not give you an itinerary for a follow-up inspection, you should contact your SACS.
Itinerary	An itinerary should be provided to Animal Care by an exhibitor who: X is in continuous travel status X travels only part of the year X takes animals from his/her facility for more than four (4) consecutive days Note: An exhibitor should provide an itinerary for travel of less than 4 days, if requested by APHIS. **NOTE: An itinerary is not specifically required by the AWA regulations and standards. Therefore, a lack of an itinerary or incompleteness of an itinerary may not be cited as a stand-alone violation.** If the exhibitor is submitting an itinerary, the itinerary should contain the following information: X dates the exhibitor will be away from home, X locations, i.e., city and State for all stops, including Alay-overs@ X site name or venue of all stops, including Alay-overs@

NOTE: There is **no** required form for submission of an itinerary. However, there is a sample form in Appendix 9 - page 9**.**7**.**19

The itinerary, if submitted, should:

X be submitted prior to departing the facility to the appropriate Regional Office

X be updated as needed

The itinerary may be submitted to the appropriate Regional Office by any of the following methods:

X mail

X fax

X e-mail

If you (the inspector) are having difficulty locating an exhibitor for an on-the-road inspection, you should contact your SACS to discuss a course of action.

If you inspect an exhibitor on-the-road who has a noncompliance or you request an itinerary from one of your licensees and the person refuses to give you an itinerary for a follow-up inspection, you should contact your SACS.

7.0 Records

COMPUTERIZED RECORDS FOR DOGS/CATS

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

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:

X be in writing

X explain why the APHIS Form 7005/7006 is unsuitable to use

X contain a description and sample of the computerized record keeping system to be used

X be sent to the appropriate Animal Care Regional Office

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:

X be user friendly

X contain all the required USDA information in a format similar to the APHIS 7005 or 7006

X have limited types of other information which may not interfere with the USDA requirements

X not use buyer and/or seller codes to meet the USDA requirements

The inspector may:

X review records on the computer screen or request a hard copy
NOTE: Presentation of the records by only a computer disc is unacceptable unless approved by the Regional Office.

X observe the retrieval and printing of the records

	If the inspector is unable to review the records for proper inspection, this should be cited on the inspection report under Section 2.126(a)(2).

MICROCHIP APPROVAL

A licensee/registrant must receive approval to use a microchip implant as the official form of identification for dogs/cats.

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 should complete a ARequest to Use Microchipping as a Method of Identification@ sheet (see next page) with the following information:

X manufacturer and/or model of the microchip and reader

X location of the microchip on the animals
Note: The placement must be consistent from animal to animal.

X an assurance that the following requirements will be met:
- < the microchip scanner must be readily available to the APHIS representative
- < animal identification records must indicate the microchip number, location on the animal, and the name of the microchip manufacturer
- < any animal with a microchip that goes to another USDA licensee or registrant must have an official tag/tattoo if a compatible scanner is not available at the receiving facility

The Request sheet should be submitted to the appropriate Regional Office for approval.

You, the inspector, may review the Request sheet for the licensee/ registrant to make sure it is completed properly and accurately.

Request to Use Microchipping as a Method of Identification

Name of Business:_____
Name of Owner:_____
Address:_____

City_____State_____Zip_____

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

Microchip Information:

Manufacturer and/or Model of Microchip and Reader_____

Location of Microchip (For example: left side of neck)
_____
***** The location of the chip must be consistent from animal to animal

I accept and understand that:

The microchip scanner must be readily available to APHIS officials.

Animal identification records must indicate the microchip number, the manufacturer of the chip, and the approximate location of the microchip in the animal.

When sold or given to another regulated facility, animals with a microchip must have an official tag or tattoo if the new facility does not have a compatible scanner.

APHIS may revoke an approval at any time if the microchipping system is discovered to be ineffective.

.
Licensee/Registrant Signature_____

Date_____

Inspector concurs with approval:
Inspector Signature_____

Date_____

Approved by APHIS Official_____

Date_____

RECORDS REQUIREMENTS	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.
Dealer	**Required Records** A dealer must have the following records, when applicable, for review during an inspection: X acquisition and disposition records X record of animals on hand X certification for exempt sources of dogs/cats X certification for random source dog/cat disposition X exercise plan for dogs X environmental enhancement plan for nonhuman primates X Program of Veterinary Care X attending veterinarian approved exceptions to the regulations or standards X approved variances X water quality records for marine mammals X approved water and power emergency contingency plans for marine mammals X documentation of training of attendants or employees working with marine mammal X medical records for marine mammals X necropsy records for marine mammals X documentation for all other covered animals showing that current medical problems and existing chronic conditions are: < being addressed, and/or < receiving proper veterinary care NOTE: Lack of this documentation may **not** be cited as a Astand alone@ noncompliance but must be related to the regulations and the condition of the animal. X health certificates for dogs, cats and nonhuman primates when transported across State lines X acclimation statements for transportation

Recommended Records
A dealer should have the following records, but may **not** be cited for lack of them:

X documentation of training for all dangerous animal handlers
X emergency plan for dealing with animal attacks or escapes
X documentation of preventive medical treatments as listed in the Program of Veterinary Care
X microchip identification approval for dogs/cats
X noncommercial diet approval for large felids
X necropsy reports for elephants
X current TB reports for elephants
X TB reports on the elephant handlers
Note: These reports must exist but the exhibitor does not have to make them available to you.

NOTE: 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 violation, except for marine mammals, but may be cited in conjunction with related noncompliances identified. If unsure, discuss with SACS.

Exhibitor

Required Records
An exhibitor must have the following records, when applicable available for review during an inspection:

X acquisition and disposition records
X record of animals on hand
X certification for exempt sources of dogs/cats
X exercise plan for dogs
X environmental enhancement plan for nonhuman primates
X Program of Veterinary Care
X attending veterinarian approved exceptions to the regulations or standards
X approved variances
X water quality records for marine mammals

X approved water and power emergency contingency plans for marine mammals
X documentation of training of attendants or employees working with marine mammals
X medical records for marine mammals
X necropsy records for marine mammals
X documentation for all other covered animals showing that current medical problems and existing chronic conditions are:
< being addressed, and/or
< receiving proper veterinary care
NOTE: Lack of this documentation may **not** be cited as a Astand alone@ noncompliance but must be related to the regulations and the condition of the animal.
X health certificates for dogs, cats and nonhuman primates when transported across State lines
X acclimation statements for transportation

Recommended Records
An exhibitor should have the following records, but may **not** be cited for lack of them:
X documentation of training for all dangerous animal handlers
X emergency plan for dealing with animal attacks or escapes
X documentation of preventive medical treatments as listed in the Program of Veterinary Care
X microchip identification approval for dogs/cats
X noncommercial diet approval for large felids
X necropsy reports for elephants
X current TB reports for elephants
X TB reports on the elephant handlers
Note: These reports must exist but the exhibitor 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:
X copy of license certificate
X last inspection
X last renewal Application
X health certificates for all other covered species

X itinerary

NOTE: These recommended records are not specifically required by the AWA regulations and standards, except for marine mammals. Therefore, a lack of any of these records or inadequacy of these records may not be cited as a stand-alone violation, except for marine mammals, but may be cited in conjunction with a related noncompliance identified. If unsure, discuss with SACS.

Research Facility

Required Records

IACUC Records

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

X 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
- < substance of the deliberations of the IACUC, not just the decisions reached
- < any minority views (recommended - not required)
- < approval of the minutes (usually of the previous meeting) by the IACUC (recommended - not required)

X verification of appointment of IACUC members by the Chief Executive Officer (CEO)

X records relating to animal activities, including:
- < protocols
- < proposed significant changes to protocols
- < IACUC decisions on protocols and proposed changes
- < notification of Principal Investigator of decisions on protocols and proposed changes
- < notification of suspension of protocol
- < annual review of protocols

X program of humane care and use

X semi-annual reports, including:
  < review of humane care and use program
  < facility inspection
  < report of program review to the IO, including minority views
  < significant deficiency reports
X recommendations to the Institutional Official

X complaint investigations
X approved exemptions/exceptions to the regulations or standards (Annual Report requirement)

Personnel Records
The research facility must adequately document the qualifications and training of personnel which may include, but not be limited to:
X curriculum vita/résumés
X diplomas or certificates from educational institutions
X sign-up sheets from in-house training programs
X certificates of attendance at formal meetings
X certificates of completion from relevant continuing education programs

Animal Records
A research facility must have the following records, if applicable, available for review during an inspection:
X acquisition and disposition records for dogs/cats
X record of animals on hand for dogs/cats
X certification for exempt sources of dogs/cats
X certification for acquired random source dogs/cats
X exercise plan for dogs
< environmental enhancement plan for NHPs
X Program of Veterinary Care
< attending veterinarian approved exceptions to the regulations or standards (usually part of an animal's medical records)
X current TB reports for elephants
X approved variances
X water quality records for marine mammals
X approved water and power emergency contingency plans

for marine mammals

X documentation of training of attendants or employees working with marine mammals

X medical records for marine mammals

X necropsy records for marine mammals

X documentation for all other covered animals showing that current medical problems and existing chronic conditions are:

- < being addressed, and/or
- < receiving proper veterinary care

NOTE: Lack of this documentation may **not** be cited as a Astand alone@ noncompliance but must be related to the regulations and the condition of the animal.

X health certificates for dogs, cats and nonhuman primates when transported across State lines

X acclimation statements for transportation

Annual Report

The research facility and you should have available a copy of the Annual Report.

You (the inspector) should verify that the research facility=s Annual Report is accurate, that is:

X all animal facilities are reported

X the number of animals reported is correct

X animals are reported in the correct Column

X IACUC-approved exceptions are reported

X there are justifications for all Column E animals

Methods of verifying the animal numbers include, but are not limited to:

X counting the animals, if appropriate or feasible

X asking Research Facility representative to demonstrate how the number of animals was determined for:

- < a particular species, or
- < a Column from the Annual Report

X review of:

- < acquisition records

< protocol medical or animal-usage records
< animal ordering information, such as invoices or computer animal tracking systems
< animals ordered in comparison to number of animals approved for a particular protocol
< facility animal census records
< internal billing records to PIs for animal housing/care

Recommended Records
A research facility should have the following records, if applicable, available for review during an inspection:

X acquisition and disposition records for animals other than dogs/cats
X record of animals on hand for animals other than dogs/cats
X documentation of preventive medical treatments as listed in the Program of Veterinary Care
X microchip identification approval for dogs/cats
X necropsy records for regulated animals other than marine mammals
X health records
X medical records related to protocols
X general surgery records
X surgical records related to protocols
X necropsy records
X large felids non-commercial diet approval
X animal logs
X cage wash validation sheets
X room maintenance logs
X standards operating procedures, if available
X record of attending veterinarian=s visits

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

8.0 Veterinary Care

ATTENDING VETERINARIAN	A licensee or research facility must have an attending veterinarian to provide adequate veterinary care to his/her animals.
Criteria	A licensee or research facility must: X employ an attending veterinarian under formal arrangements X assure the attending veterinarian has the appropriate authority to: < ensure adequate veterinary care < oversee the adequacy of other aspects of animal husbandry X communicate to the attending veterinarian timely and accurate information on the animal=s health, well-being and behavior 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: X the attending veterinarian must be a voting member of the IACUC X if there is more than one veterinarian, the Institutional Official may appoint to the IACUC another veterinarian with delegated program responsibility involving animals
Responsibilities	The licensee or research facility **must** consult with the attending veterinarian to: X determine the program of veterinary care X develop a schedule of regular visits to the premises, if a part-time or consultant attending veterinarian X develop guidelines for personnel, including principal investigators, on all animal-related activities X determine the method(s) of euthanasia for the animals which must be consistent with the current *Report of the*

AVMA Panel on Euthanasia
NOTE: 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:

X determine adequacy of routine animal husbandry practices, such as:
- < hoof/foot care
- < grooming
- < cleaning and sanitation
- < dental care

X determine the facility=s policy on necropsies

X determine the facility=s use of drugs, fluids and other medical supplies or equipment

X determine the facility=s policy on the use of expired drugs, fluids and other medical material which must include **either**
1. disposing of outdated drugs, fluids, and medical supplies **or**
2. separating and appropriately labeling outdated drugs, fluids and medical supplies from non-expired medical materials to be used in the following situations:
   - < for non-regulated animals
   - < for non-regulated activities
   - < for acute terminal procedures on regulated animals with the **exception** of drugs to relieve pain or distress and emergency drugs

X design the facility=s surgical facilities

X determine the procedure for surgeries on regulated animals performed at the facility by the attending veterinarian or other veterinarian which must require that:
- < survival surgeries be performed using aseptic

technique. NOTE: A survival surgery is when the animal regains consciousness during or after the procedure.

< major operative procedures for non-rodents be performed only in dedicated surgical facilities using aseptic technique

< non-major operative procedures must be performed using aseptic technique

< surgery on regulated rodents must be performed using aseptic technique

< operative procedures conducted at field sites must be performed using aseptic technique

< no eating, drinking or smoking be allowed in the surgery areas

< food handling areas not be used for surgeries

The **attending veterinarian=s** approval and signature is required on the licensee or research facility=s:

X program of veterinary care

X exercise plan for dogs

X environmental enhancement plan for nonhuman primates

X statements of exemptions from participation in the environmental enhancement plan for individual nonhuman primates

X temperature acclimation statement for animals housed in sheltered or outdoor facilities

X statements of exemptions to marine mammal housing requirements

A veterinarian=s signature is required on:

X temperature acclimation certificates for transport
X health certificates
X necropsy reports

NOTE: If you, the inspector, have a concern with the instructions or guidance the licensee or research facility has received from the attending veterinarian, you should discuss your concerns with your SACS.

Species Specific

Dogs and Cats

The licensee or research facility must have the attending veterinarian=s approval for:

X the exercise plan for dogs
X the outdoor housing for dogs/cats in temperatures below 50E F
X the relative humidity level in the indoor housing facility

Nonhuman Primates

The licensee or research facility must have the attending veterinarian=s approval for:

X the acclimation status of nonhuman primates housed outdoors
X environmental enhancement plan
X exemptions from the environmental enhancement plan for individual nonhuman primates for medical reasons
Note: The IACUC may also exempt NHPs from the environmental enhancement plan for scientific reasons set forth in an approved research protocol.
X temperature range for NHPs= housing facility
X the relative humidity level for NHPs= housing facility
X the sanitation schedule of enclosure surfaces for scent-marking species

Marine Mammals

The licensee or research facility must have the attending veterinarian=s approval for:

X the single housing of marine mammals
- < approval must be in medical records and contain justification for time and circumstances
- < space requirements must be met

X the use of smaller than required enclosures for any of the following:
a) nonmedical training, breeding or holding, or
b) medical treatment and training, or
c) transfer purposes
- < approval must be in medical records and contain justification
- < must be updated every 2 weeks

X the application of insecticides and other similar chemical agents in the primary enclosure

X transport plan for any transport longer than 2 hours

Other Animals

Large Felids

The licensee or research facility should have the attending veterinarian=s approval for the use of noncommercial diets for large felids.

NOTE: 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 violation but may be cited in conjunction with a related noncompliance identified. If unsure, discuss with SACS.

VETERINARY CARE RECORDS	A licensee or research facility must maintain records relating to the veterinary care of his/her 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**: X written Program of Veterinary Care for part-time or consulting attending veterinarian X attending veterinarian or IACUC approved exceptions/exemptions to the regulations/standards X acclimation statements for transportation
Species Specific	**Dogs & Cats** In addition to the required records listed above, the following veterinary care records are required for dogs and cats, when applicable: X exercise plan for dogs X outdoor housing approval X health certificate for transport **Nonhuman Primates** In addition to the required records listed above, the following veterinary care records are required for nonhuman primates, when applicable: X environmental enhancement plan X outdoor housing approval X health certificates for transport **Marine Mammals** *Veterinary Care Records* In addition to the required records listed above, the following veterinary care records are required for marine mammals, when applicable: X water quality records X individual marine mammal health records X necropsy records X health certificates for transport

Health Records
Individual **marine mammal** medical/health records **must** be kept and include the following information, at a minimum:

X animal identification/name
X a physical description, such as:
  < identifying markings
  < scars
X age
X sex
X physical examination information, including, but not limited to: [3.110(d)(2)]
  < length
  < weight
  < physical examination results by body system
  < identification of all medical and physical problems
  < all diagnostic test results
  < proposed plan of action for medical/physical problems
  < documentation of treatment
X visual examination information

Individual animal medical/health records must be: [3.110(d)]
X kept at the facility where the marine mammal is housed
X available for APHIS inspection

A copy of the individual marine mammal=s medical/health record must accompany the animal if it is transferred to another facility, including contract and satellite facilities.

Necropsy Reports
The preliminary necropsy report must:
X be prepared by the veterinarian conducting the necropsy
X list all pathological lesions observed

The final necropsy report must include:
X all gross findings
X all histopathology findings

X results of all laboratory tests performed

X a pathological diagnosis

Necropsy reports must be:

X maintained at the marine mammal=s home facility

X maintained at the facility where the marine mammal died, if different than the home facility

X kept for 3 years

X available for APHIS inspection

Recommended Records

A licensee/research facility should maintain the following records as a part of good animal husbandry practices, when applicable:

X health records

X surgery records

X necropsy records

X large felids non-commercial diet approval by attending veterinarian

X elephant TB test records

X TB treatment records for elephants

X proof that all attendants, handlers, and/or trainees are being TB tested. NOTE: You do not have to review the TB test results.

NOTE: These records are not specifically required by the AWA regulations and standards, except for marine mammals. Therefore, a lack of any of these records or inadequacy of these records may not be cited as a stand-alone violation, except for marine mammals, 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:

X animal logs

X standards operating procedures, if available

X room maintenance logs

X cage wash validation sheets

Availability	Required veterinary care records must be readily available to APHIS officials for review. Required veterinary care records must be held: X **dealers and exhibitors:** for at least 1 year after the animal=s disposition or death X **research facilities:** for at least 3 years after the animal=s disposition or death X 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 the exhibitor on the road as detailed in this Section. Traveling exhibitors should have all required veterinary care and health/medical records for up to one year after the disposal or euthanasia of the animal(s).

WRITTEN PROGRAM OF VETERINARY CARE	A licensee or research facility which has a part-time or consultant attending veterinarian must have a written Program of Veterinary Care.
Requirements	The Program of Veterinary Care (PVC) must: X be written: < on the Animal Care Program of Veterinary Care for Research Facilities or Exhibitors/Dealers form (APHIS Form 7002) (see pages 2-5), or < in an equivalent format X include regularly scheduled visits to the licensee=s facility or research facility X be reviewed and updated as needed for situations such as: < the addition of a new species of animal < a new attending veterinarian < a change in the preventive medical program X be initialed and dated by the attending veterinarian AND licensee or research facility=s Institutional Official or his/her designee: < whenever it is changed, or < reviewed without change Note: The supplemental AProgram of Veterinary Care Instructions@ sheet (see page 6) may be used.

09/10

The Animal Welfare Regulations, Title 9, Subchapter A, Part II, Subpart C. Section 2.33 and Subpart D, Section 2.40 requires a Program of Veterinary Care.

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

FORM APPROVED OMB NO. 0579-0036

OFFICE USE ONLY

DATE RECEIVED

ANIMAL CARE

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

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

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

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

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

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

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

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

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

CHECK IF N/A ☐

SECTION II. DOGS AND CATS

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

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

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

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

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

3. INTESTINAL PARASITES *(Fecals, Deworming)*

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

D. EUTHANASIA

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

☐ VETERINARIAN ☐ LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

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

☐ Congenital Conditions
☐ Quarantine Conditions
☐ Nutrition
☐ Anthelmintic alternation
☐ Other *(Specify)* _____
☐ Exercise Plan *(Dogs)*
☐ Proper Handling of Biologics
☐ Venereal Diseases
☐ Pest Control and Product Safety
☐ Proper Use of Analgesics and Sedatives

CHECK IF N/A ☐

SECTION III. WILD AND EXOTIC ANIMALS

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

CARNIVORES

HOOFED STOCK

PRIMATES

ELEPHANTS

MARINE MAMMALS

OTHER *(Specify)*

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

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

2. BLOOD PARASITES

3. INTESTINAL PARASITES

C. EMERGENCY CARE

1. DESCRIBE PROVISIONS FOR EMERGENCY, WEEKEND AND HOLIDAY CARE

2. DESCRIBE CAPTURE AND RESTRAINT METHOD(S)

D. EUTHANASIA

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

☐ VETERINARIAN ☐ LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

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

☐ Pest Control and Product Safety
☐ Quarantine Procedures
☐ Zoonoses
☐ Other *(Specify)*

☐ Environment Enhancement *(Primates)*
☐ Water Quality *(Marine Mammals)*
☐ Species-specific Behaviors
☐ Proper Storage and Handling of Drugs and Biologics
☐ Proper Use of Analgesics and Sedatives

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

CHECK IF N/A ☐

SECTION IV. OTHER 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
☐ Pododermatitis
☐ Cannibalism
☐ Wet Tail
☐ Other *(Specify)*_____

☐ Species Separation
☐ Malocclusion/Overgrown Incisors
☐ Pest Control and Product Safety
☐ Handling

Program of Veterinary Care Instructions

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

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

9.0 Appendix

Appendix 1 - Inspection Requirements Handbook

Appendix 2 - Veterinary Care Q&A

Appendix 3 - Regulation of Vet Tech Schools

Appendix 4 - Guidance on Column E for Research Facilities

Appendix 5 - New Confiscation Guidance

Appendix 6 - 2010 Equipment & Supply List

Appendix 7 - Forms and Sheets

APPENDIX 1
INSPECTION REQUIREMENTS

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). IMPORTANT:

- Do not enter facilities with locked gates and/or No Trespassing signs unless prior approval has been obtained from the facility.
- If you do not find anyone at the facility, follow the 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.
- A complete exit briefing must be conducted.

The following inspection aids are available to assist with inspections:

- Checklist for Animal Care Inspection sheet
- Canine Care Checklist
- Traceback SOP for random source B dealers
- Inspector Safety and Etiquette When Inspecting Non-Domestic Animals
- Guidance for identifying Direct NCIs
- Enforcement Actions (EA) Guidance for Inspection Reports, which includes guidance for the appropriate action to recommend
- Current RBIS

In all situations, follow the facility's biosafety procedures that they have in place for visitors, and/or put on recommended protective clothing, gear and/or boots. During dog kennel inspections, inspectors should wear disposable shoe covers. Inspectors should wear disposable gloves if it is necessary to touch an animal (at all facilities).

NOTE: 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 you should state that you will leave the facility immediately unless the situation is corrected. If you feel you are in imminent danger, safely leave the area.

INSPECTION STEPS

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

- Inspect the animals, premises, building(s), enclosures, equipment, and transportation vehicles/equipment for all pertinent requirements of the regulations and standards.
- Consider problems that may occur at other times of the year.
- Review the facility's program of veterinary care, husbandry practices, required records, and when appropriate, the "Exercise Plan" for dogs and

"Plan for Environmental Enrichment" for nonhuman primates
- For big cats, review the feeding plan to assure adequate nutrition
- When possible, observe the animal handling techniques of facility personnel.

DOCUMENTING INSPECTION FINDINGS

Inspection findings must be documented in the narrative section of the inspection report. Do not type any personal identifiable information (PII) in the narrative of any inspection report, including addresses and phone numbers.

No NCIs identified - - If all items are in compliance, then the following statement should be typed on the inspection report: No noncompliance identified on this inspection.

For inspections in response to an incident or complaint, often further review (and/or an IES investigation) is needed to determine compliance. If you are not certain whether noncompliance was involved, do not cite "no noncompliance" under those circumstances. The following stand-alone statement should be typed on the inspection report: "The (incident) is under review."

New NCIs identified - - If a new NCI(s) is identified, it should be cited in the inspection report narrative. The citation should include the following:

1. The section number and most specific subsection letter/number of each noncompliance, and the text of the regulation or standard being cited. NOTE: The regulation/standard may be quoted or paraphrased
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 doesn't 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.

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.

Repeat NCI identified - - A repeat noncompliant item must be designated on the inspection report whenever an NCI of the same section & subsection was cited on the last inspection. This applies even if different animals and/or different portions of the facility are involved.

NOTE: An NCI *may* be designated as a "repeat" if the same section, subsection, and/or issue were cited on a prior inspection report, even if it was not the most recent inspection. For these NCIs, inspectors should use their professional judgment in deciding whether to

cite the NCI as a new or repeat NCI. Your SACS can provide guidance in these situations.

NOTE: When determining whether to cite an IACUC NCI as a repeat, it is critically important that you drill down to the most specific subsection.

NOTE: In the narrative for a repeat NCI, the regulation/standard quote may be omitted, but components 2 and 3 of an NCI narrative (listed above) must be included. Also, do not assign a new correction date for repeat NCIs.

Use "Direct" NCI designation, if appropriate.

For all repeat NCIs, you must communicate with your SACS to recommend an enforcement option.

"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. The correction deadline for a "Direct" noncompliance should be short and 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. The reinspection must be conducted 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 and/or whenever needed to verify the correction and ensure animal welfare. Examples of "Direct" versus indirect NCIs are provided in the Direct NCI Guidance handout.

For all "Direct" NCIs, you must communicate with your SACS to recommend an enforcement option.

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:

- summarize everything that occurred during the inspection,
- discuss the noncompliant items in detail with the licensee or facility representative,
- discuss what he/she may do to correct the problem (if asked),
- make sure that facility representative understands what is expected of him/her,
- educate him/her about animal welfare and the AWA regulations and standards,
- obtain a signature and/or explain to the facility representative how the inspection report will be delivered.

Unless an exit briefing could not be completed, a statement must be included on all inspection reports stating "An exit briefing was conducted with the licensee (or registrant or facility representative)." NOTE: do not use names.

NOTE: 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 or his/her representative should sign all pages of the inspection report. The signature of the licensee or his/her representative certifies that the person received a copy of the inspection. It does not necessarily mean that the person agrees with the findings of the inspection. If the facility representative refuses to sign the inspection report, you should:

a) leave a copy of the inspection report with the representative after noting on the inspection report that you are doing so, or,
b) 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 process is described on AC's website. If the licensee or registrant refuses to sign the inspection report, explain the circumstances in the narrative, and leave the signature block blank.

Delivery of the Inspection Report - - Unless you obtain supervisory approval to do otherwise, hand delivery is required for 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. If you cannot meet this deadline, you must obtain supervisory approval.

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, the inspector must deliver the report by another method so that receipt can be verified.

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

INSPECTION PHOTOGRAPHS

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

- Direct NCIs and all NCIs on an inspection with a Direct
- Repeat NCIs and all NCIs on an inspection with a Repeat
- All NCIs cited at a facility with an ongoing case
- NCIs that are likely to be appealed
- Transportation (airline) NCIs
- 3rd prelicense inspections to document NCIs, or to show that the facility was actually in full compliance (include photos showing NCIs that were documented on prior prelicense inspections were corrected)
- If there are repeat, direct, or transportation records noncompliances, the records must be photocopied or photographed.

All photographs that are to be retained must be labeled and uploaded into ACIS no later than 2 weeks after the inspection. Photos that do not need to be retained should be deleted by the inspector.

POST INSPECTION PROCEDURES

For all inspection interference and refusal occurrences, and for all inspection reports that document a repeat or "Direct" NCIs, or, result in an "unsatisfactory" RBIS rating (based on the ratio of animals inspected and points assigned), you must discuss the finding(s) with your SACS to recommend an enforcement option.

RBIS

You must inspect the facilities below on or before the deadline given in ACIS; if you cannot, you must contact your SACS prior to the deadline so that another inspector can be assigned to conduct the inspection.

- Direct NCIs
- HIF Facilities
- Facilities with repeats for which a 90 day re-inspection was the enforcement option selected

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

ATTEMPTED INSPECTION

All animal welfare inspections, with the exception of prelicense inspections, are to be conducted on an unannounced basis. An attempted inspection occurs when an authorized person is not available to accompany the inspector, and no inspection is conducted. NOTE: The person accompanying the inspector must be an adult, i.e., 18 years of age or older.

If nobody is present at the facility, you should call the phone number(s) provided by the licensee/registrant to contact him/her, and determine if an authorized person can be at the facility within 30 minutes. You should wait for 30 minutes, and if nobody shows up you should cite Section 2.126(b), and the narrative should read: "On (*date)* at (*time)*, licensee failed to have a responsible person available to conduct an animal welfare inspection." NOTE: Use section 2.38(b) for registered research facilities.

Inspection reports citing Section 2.126(b) or Section 2.38(b) should be sent to the licensee or registrant by both regular and certified mail.

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 must be completed and inspected during a prelicense inspection in order to consider the facility in compliance, including the PVC, exercise plan for dogs, environmental enhancement plan for primates. There must be a written record of animals on hand with as much of the required information completed as possible.

If the facility is not in full compliance, cite all noncompliant items using the first 3 components of the four-part citation description above (see "New NCIs Identified"), but do **not** give correction dates. The following or similar statement must be included in the narrative: All items must be in compliance within *(number of prelicense inspections left; 1 or 2)* more inspections or by *(date-90 days from 1st prelicense inspection)* or the applicant will forfeit the application fee and must wait 6 months to reapply. No regulated activities may be conducted until a USDA license is issued.

If a 3rd prelicense inspection is necessary, a 2nd inspector or supervisor must be present during the inspection, and photographs must be taken to document the condition of the facility.

For an applicant with large carnivores, elephants, great apes, and/or marine mammals, in addition to any NCIs that are cited, the inspector must include the following statement on the inspection report: "the animal enclosures, handling practices, and employee 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 enclosures, handling practices, and qualifications.

REFUSAL OF INSPECTION

If a licensee refuses to allow an inspection, be sure that you have clearly identified yourself as a USDA Animal Care inspector and that the person refusing to allow the inspection is aware of the serious nature of this violation of the AWA regulations. Unless the situation has escalated to the point at which you don't feel safe, you should 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. Section 2.126(a) should be cited, and you should 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. Also include any pertinent statements made by the licensee or registrant. NOTE: Use Section 2.38(b) for registered research facilities. 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. Inspection reports for refusals should be sent to the licensee or registrant by both regular and certified mail.
For any 'refusal to allow inspection', you must communicate with your SACS to recommend an enforcement option and 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, you should inform the licensee or applicant that the inspection can only continue if the harassment, verbal abuse, or interference stops. If it continues, you should discontinue the inspection process and leave the premises. Write an inspection report citing Section 2.4 (NOTE: Use Section 2.30(d) for registered research facilities), and in the narrative, be specific as to date, time, and the identification of the persons involved. You should also include details of the harassment and/or verbal abuse and/or interference. The inspection report should be sent to the licensee or registrant by regular and certified mail.

For any 'interference with the inspection' you must communicate with your SACS to recommend an enforcement action and develop a plan for follow up inspection. If you are being threatened, follow procedures to ensure your safety, including but not limited to leaving the premises and calling 911 if necessary. In that circumstance, you should consult with your supervisor after your personal safety is assured with regard to future steps.

CORRECTING, RESCINDING, AND AMENDING INSPECTION REPORTS

This should be done on a case by case basis under the direction of your SACS or Regional Office.

ADDENDUMS

- Canine Care Checklist
- Checklist for Animal Care Inspection Reports
- Enforcement Actions (EA) Guidance for Inspection Reports
- Direct NCI Guidance
- Inspection Requirements Handbook: Questions from the AC National Meeting
- SOP for Conducting Tracebacks from Random Source B Dealers

CANINE CARE CHECKLIST

_____Daily observation of all dogs within kennel.
_____All dogs requiring veterinary care have been treated.
_____Veterinary records have been updated.
_____Outdated medications have been disposed of properly.
_____Attending veterinarian has made kennel inspection within 12 months.
_____All dogs have convenient access to feed and water.
_____All feed and water bowls have been cleaned and sanitized within last 2 weeks.
_____All bags of feed and bedding are in tightly lidded containers.
_____All unopened bags of feed stored off of floor and away from walls.
_____All enclosures spot cleaned daily.
_____Areas behind and below enclosures have been cleaned as necessary.
_____All enclosures have been cleaned and sanitized within last 2 weeks.
_____All surfaces in contact with the dogs are impervious to moisture.
_____Surfaces within enclosures are free of sharp points and edges.
_____Mesh floors of sufficient size to prevent feet from falling through.
_____Adequate floor space is provided for all dogs.
_____All dogs have a minimum of 6 inches headroom in enclosure.
_____Nursing bitches have additional space required for litter.
_____All dogs in outside kennels have necessary shelters.
_____All outside shelters have wind and rain breaks in place.
_____All outside kennels have sufficient shade structures.
_____Temperature controlled areas are between 45-85 degrees F.
_____All animal areas within kennel are well ventilated.
_____Doors, flaps, gates, etc. are in good repair and operate properly.
_____All drains are functioning properly.
_____Pest control measures are in place as necessary.
_____Items not necessary for animal husbandry are not kept within kennel area.
_____Animal husbandry items are stored in proper areas within kennel.
_____All dogs and weaned puppies have an approved means of identification.
_____Records of dogs on hand have been updated and are accurate.

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

_____ _____ _____ _____
Name of Licensee/Registrant Lic/Reg No Site Name/No. Date of Inspection

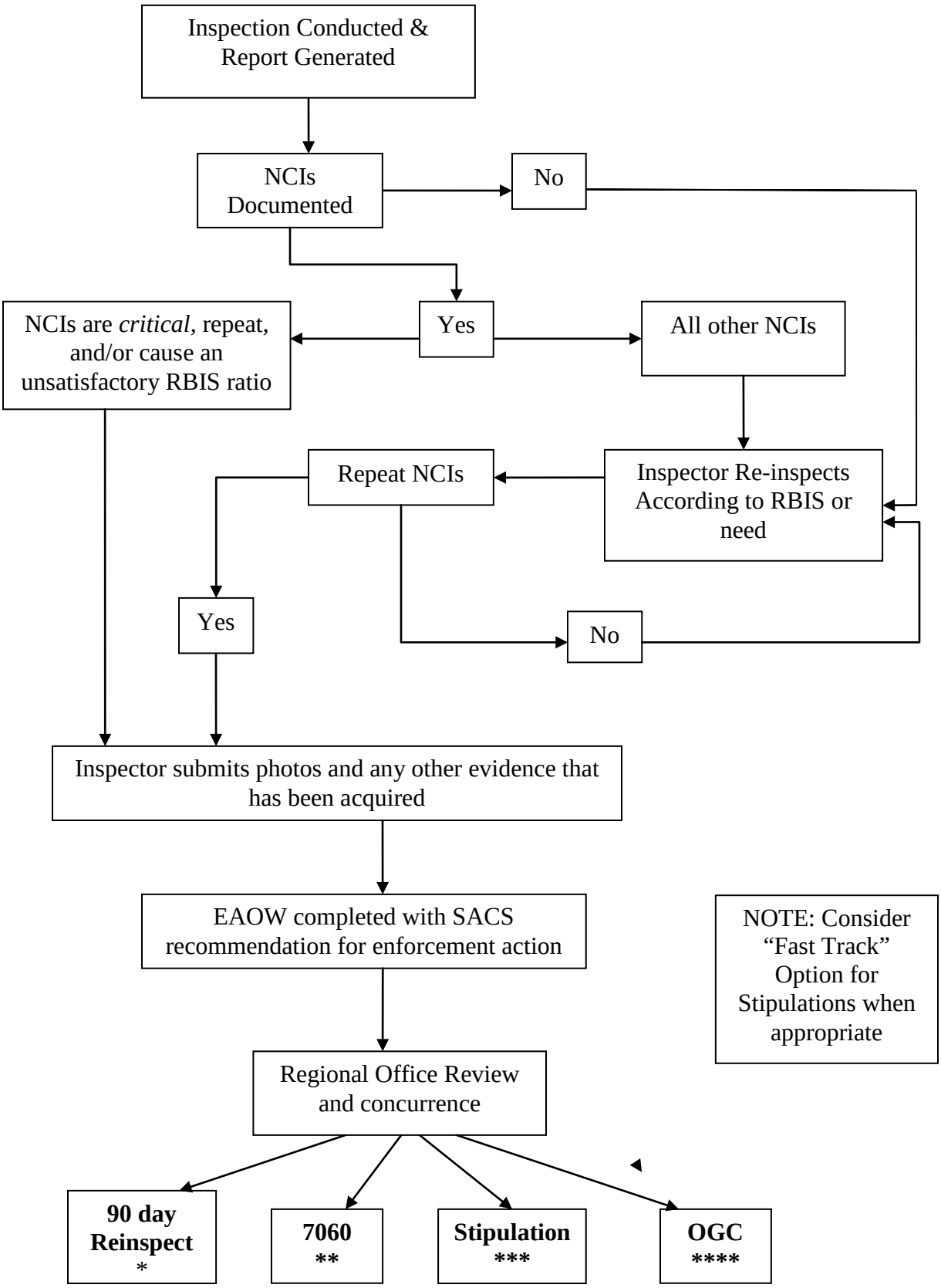
	FACILITIES (Permanent & Transport)
	Structure & Construction
	Condition & Site
	Surfaces & Cleaning
	Utilities/Washrooms/Storage
	Drainage & Waste Disposal
	Temperature/Ventilation/Lighting
	Shelter from Elements
	Capacity/Perimeter Fence/Barrier

	PRIMARY ENCLOSURE
	General Requirements
	Space & Additional Requirements
	Protection from Predators

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

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

Animal Care Enforcement Actions (EA) Guidance for Inspection Reports



*** 90 Day Re-inspection**

- Making clear progress toward compliance
- Minor NCIs
- Few # of repeats
- No sign of animals, animal health, or animal welfare being in jeopardy
- No EAs in last 3 years
- Expect compliance
- Note: if compliance not attained in 90 days, proceed to other enforcement steps

**** 7060**

- **May or not be associated with an IES investigation**
- Still out of compliance after 90 day re-inspection and/or
- Multiple repeat NCIs or
- One or more moderate repeat NCI or
- Can be a Direct NCI if no obvious effects on animal health or welfare
- Incomplete documentation of serious NCI
- Slow progress toward compliance
- No EAs (except 90 day re-inspection) in last 3 years

***** Stipulation**

- **Must have IES investigation**
- Multiple minor repeat NCIs
- Moderate to serious NCIs
- Repeat direct NCIs
- Lack of progress toward compliance
- Usually have previous EA(s)
- Animal health and/or welfare may have been impacted

******* OGC Prosecution**

- **Must have IES investigation**
- Serious NCIs
- Repeat direct NCIs
- Multiple repeat NCIs
- No progress toward compliance
- Usually have previous EA(s)
- Animal health and/or welfare may have been impacted

Note: this is the only method by which we can get a suspension or revocation

DIRECT NCI GUIDANCE

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 violation has not occurred. These proper steps include, but are not limited to, identifying the condition requiring veterinary care in a timely manner, acquiring veterinary care and/or initiating treatment in a timely manner, and/or 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 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) & (b) Confiscation and Destruction of animals	A confiscation would be the result of a situation that involved animal suffering due to AWA violations 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
Section 2.130 Minimum Age Requirements	Transportation of dog/cat that has not been weaned, without their dam or queen, and without appropriate variances or exceptions (if required)
Section 2.131 Handling of Animals	Death or severe injury to animal as a result of handling procedures; also behavioral stress due to handling violations
	Use of items that causes physical injury, harm or distress to the animals, such as the excessive use of an 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 w/o 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, 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 (ex. rusted support posts) where the structure is in danger of falling on dogs
Section 3.1(a) Housing Facilities General	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)
Section 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 … animals showing signs of distress
Section 3.2(a), 3.3(a), 3.5(a) Indoor Housing Facilities, Sheltered Housing Facilities, Mobile or Traveling Housing Facilities	Temperature below allowable lower ranges … dry bedding or other methods of conserving body heat not present

Section 3.2(b), 3.3(b), and 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) and 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) and 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
Sections 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
Section 3.4(b) Outdoor Housing Facilities	Shelter with insufficient bedding and Temp under 35, or between 35 and 50 F with dogs showing signs of discomfort (shivering)
Section 3.4(b) Outdoor Housing Facilities	Insufficient wind/rain break and temp under 50F; water in shelter with wet dogs
Section 3.6(a)(1) Primary Enclosure	Enclosure not designed to enable dogs to remain dry (wet dogs), wet dogs, temperature under 45 F
Section 3.6(a)(1) Primary Enclosure	Food situation where one dog doesn't let other dog(s) eat and there are signs of distress and/or emaciation
Section 3.6(c)(1) Primary Enclosure	Enclosure doesn't 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
Section 3.9 (a) Feeding	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
Section 3.10 Watering	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
Section 3.11(a) Cleaning	Excessive feces and food waste are attracting an accumulation of pests (flies/mosquitoes)
3.11(b)(3) Sanitation	Using cold water without a disinfectant or detergent. And animals are getting ill from a contagious disease.
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 employees - - numerous repeat and/or direct noncompliances identified on the inspection
Section 3.13(a)(b)(c) Consignments to Carriers and IH	A carrier/IH accepts an animal more than 4 hrs 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/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 hrs thereafter. The animal becomes ill due to the delay in notifying the consignee
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 removed 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 20lb 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 temps, and/or dry ice is in the cargo space, and/or etc. The result is injury, distress, or death.
Section 3.16 Food and Water Requirements	Animals are transported for more than 12 hrs and are not fed or offered water (if under 16 wks) and are now in distress and/or dehydrated and/or needing vet 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 hrs (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 it 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 or above 85, 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.

Version = September 9, 2010

Inspection Requirements Handbook: Questions from the AC National Meeting

1. Will the new information that was presented to the ACIs pertaining to both records and veterinary care be shared with the VMOs **The presentations will be shared with everybody, including the VMOs**

2. Re: documenting inspection findings in the narrative: Are we now supposed to include on inspection reports that are the result of a complaint investigation something like: "Note - This inspection was conducted as a result of a complaint (or incident) that is under review." whenever there are NCI or there are no NCI identified?? I have always been told not to indicate anywhere on the report itself that the inspection was prompted by the filing of a complaint. **The restriction is about identifying "who" filed the complaint, and the details of the complaint - not the fact that a complaint was filed. Identifying that the inspection is being conducted in response to a complaint, or that the complaint is under review, is fine. Follow the Inspection Requirements Handbook, but do not discuss the identity of the complainant or the details of the complaint.**

3. Re: repeat NCIs identified and the subsequent report narrative: We were told that including the actual regulation in the narrative was not necessary if a repeat - but is it OK if we do continue to include the actual wording of the Regulation?? Including the actual wording doesn't add much time to writing the narrative. In my opinion if the wording of the Regulation is left off the report, the inspection report is not as efficient or effective an educational tool for the licensee. **Yes, it is fine to include, but it is not required**

4. Re: refusal of signature by licensee: We were told to add onto the report something like "Facility refused to sign the report" and then to leave a copy of the report with them anyway. Can that statement be handwritten on the report, or does it have to be printed (typed) on the report??.....needs to printed (typed) on the report in ACIS I am thinking about those times (probably the majority) when you have the report all printed out for delivery, the laptop is shut down, and you go to deliver report/conduct exit briefing - there may not have been any indication during the actual inspection that the licensee would refuse to sign it. So should we boot up the laptop again to include that statement, handwrite it OR just leave the facility without giving them a copy of the report and then once back in our office/hotel add the statement to the report narrative and then go back again to deliver it or send the report via certified and regular mail instead?? **We realize it is an inconvenience, but it needs to printed (typed) on the report in ACIS**

5. Re: those overview photos of a facility: are the overview shots only for PL #3 places or any facility that had lots of NCIs on previous inspection(s) that were corrected at the next inspection?? **There must be overview photos for PL3; you should also take overview photos for any situation in which you believe overview photos will help paint a better picture of the NCIs**

6. Re: "complaint only" RBIS facilities: can these be inspected as a routine by an inspector if time permits/or you are in the area?? Or only to inspect them if/when a complaint filed?? **If time permits and you are in the area, doing an inspection of**

these facilities is fine; but you should only do that inspection if it does not take away from time in which you could be doing a higher priority inspection.

7. Attempted inspection reports--can these be emailed instead of cert. mail/regular mail? **If you have a history of successfully delivering inspection reports via email to the facility, you can try email first. If you do not receive a confirmation of receipt, you need to then send the inspection report by both regular and certified mail**

8. Exit briefings--should we be identifying, by title, all individuals present in the narrative on the IR or only the statement that a facility representative(s) was/were present? **All APHIS personnel present should be identified by name; all facility personnel present should be identified by title**

9. Prelicenses--for those conducted as response to a search/complaint, does the statement "No regulated activities may be conducted until a USDA license is issued" still need to be in the narrative even though they may still be exhibiting before the license process is complete (eg. State Fair exhibitor)? **Yes. They should terminate their activities until licensed in order to show good faith.**

10. Is "none" no longer an option for enforcement actions? I don't see it listed on the flow chart. Since the categories of inspections that require a recommendation has broadened (ex, unsatisfactory), it's hard to believe we will never run into a situation where no action is appropriate. **Instead of "no action", our option is now a 90 day re-inspection. If that 90 day re-inspection finds the facility in compliance, it is likely that further action may not be taken**

11. Can the EA form be added to the database to be prefilled out with the inspection date, etc, to make the recommendations**?** **The plan is to include the EAOW form as well as the automatic routing of that form in the ACIS database. This is a high priority for Paul Cook.**

12. Can we use wording other than "exit briefing" in the statement on the inspection report? Some licensees will be intimidated by this. A statement such as "the results of the inspection were discussed with XXX" can be more user friendly, especially if we know there will be no legalities involved. **Seems like a small point, but we're stating in our Inspection Requirements Handbook that we will do an exit briefing for all inspections. So the term exit briefing or exit interview needs to be included. An alternative that might be less intimidating is "the results of the inspection were discussed with XXX during an exit interview."**

13. What if the licensee refuses to sign the report, and tells an employee to sign. Can this be indicated in the body of the report - that the licensee was offered the opportunity to sign, but would not? **Yes, it should be indicated in the narrative that the owner was present for the exit briefing, and then the title of the person signing the report will need to be altered to the employee.**

14. For an attempted inspection, if it is a licensee with a good record, why can't we just email the attempted report to them? It's cheaper, and a lot easier that certified. Why has email been removed as an option? ? **If you have a history of successfully delivering inspection reports via email to the facility, you can try email first. If you do not**

receive a confirmation of receipt, you need to then send the inspection report by both regular and certified mail

15. Please provide the reg # and quote we are to use on a prelicense report that requires an APPLICANT for licensing to have animal on hand records completed to be in compliance. 2.75 applies to dealers and exhibitors, and supposedly prelicense applicants are not operating as dealers or exhibitors yet. **Section 2.3(b).**

16. My first question revolves around the taking of photographs at a facility with strict biosecurity measures. I have two facilities where I have to shower in and am furnished with clothing and pen/paper etc. on the other side of the shower. I will not be allowed to take a camera into either facility. Neither facility currently has a camera available on the biosecure side for me to use. I'm not sure we can require that they purchase a camera for use on the secure side--even if they do, how should the resultant photo media be handled? A film camera where a roll of film can be removed might work for these biosecurity arrangements but won't work well in entering into ACIS. A digital camera with a card where the card is removed is problematic because the card, once removed from the secure facility, can't be brought back into the secure facility. One of these facilities does have their computer on the secure side. If they bought a camera, could they download photos and then email them to me? The other facility has no computer on the secure side.
I have a third facility that has purchased a camera with which they show me things I wish to look at when I look through the window (during some phases of some studies I cannot enter the room). However, getting hard copies of what they show me is again impossible (same problems as for two facilities above) short of them removing the camera media and then not being able to use it again next time.
Talking to other inspectors at the meeting, I know other inspectors have a different set of problems with photos at their facilities as they are working with select agents and cannot bring anything out of the rooms inspected at all.
So, my question is how do we get photographs at these type of facilities? How much can we legally force them to do as in buying cameras, films etc.? Can we ignore their biosecurity arrangements in favor of letting us bring our cameras into their facility? Do we want that liability? **It is the facility's responsibility to figure it out (Section 2.126, a), and, if it is necessary to take photos, and there is no way to accomplish that, the facility must be cited.**

17. My second question is where in ACIS should the photographs that show no non-compliances remaining that were taken during a passed third prelicense inspection be entered? Can they be coupled to the statement that no-noncompliances were present or should they be put under the photos section for general site information. **General site information.**

18. Re; statement on page 5 of new guidelines pertaining to Repeat, Direct, transportation records NCIs - that the records must be photographed/photocopied. This is clear with some classes of license or registration except for research facilities. I would assume that repeat IACUC citations pertaining to protocol violations would fall under "records" violations. So that would mean that with repeat protocol violations, copies of those records would be required. I know that many of my research facilities would strongly resist giving me copies of the actual protocol due to concerns about releasing proprietary info among other things. So are we now required to make copies of protocols, and if so must it be the entire protocol text, or just that paragraph/section of the protocol that was deemed out of compliance?? **We will need enough info to identify**

the protocol in question, and the non compliance. You should not remove copies of protocols from the facility during your inspection (unless otherwise directed by your SACS). If the actual protocol documents are needed, they can be requested by the RO or IES.

19. Re: research facilities again - pertaining to protocol citations - initial inspection identifies NCI under specific section of regs for protocol "A"; next inspection the NCI identified for protocol "A" was corrected. But during this next inspection in reviewing protocol "B", you determine that "B" is out of compliance with that same section of Regs that "A" was at the previous inspection. Is this now a Repeat?? **Yes.**

20. Re: photos - when have a "Repeat" citation on a report we were told that all other photographable NCI on the same report must be photographed. Will this apply to research facilities when the Repeat NCI was a paperwork issue so that now any and all other facility issue identified at research facility must be photographed?? **Yes.**

21. The guidance on what constitutes a "Direct" NCI at the national meeting really only concentrated on licensees with Dogs as "A"/"B" dealers - will there be some guidance on "Directs" for research facilities and exhibitors?? **We believe the guidance is adequate to all kinds of facilities. If you have a question, call your SACS.**

22. Re: designation of "Directs" on reports - there are times when we discover that an incident happened at a research facility many months ago during the review of IACUC minutes or other documents (like 6-8-12 or more months ago). Sometimes these incidents included death of an animal (and likely would be considered to be a Direct NCI), but by the time we learn about it the IACUC has already investigated, implemented changes, etc and the "danger" to animal welfare has passed. Is there any time line for when or if these incidents/NCI should be considered as a Direct? I would think that if the incident was recent, a Direct would be appropriate, but if more than 6 months ago it would not, but I would like to have an official word on that. **"Directs" only apply to "current" negative impacts. So you should only list the citation as a "direct" if there is a real potential for the same thing to occur again.**

23. Can the inspection reports be delivered by fax, with a faxed response that includes the licensee's signature? **No. Hand delivered, e-mail, or certified mail.**

24. Photographs - What should be done with photos taken of newly identified NCIs when there are no Directs, no Repeats, no open investigation, not going to be appealed, not transportation, not third per license? Should the inspector "save" them on their computers or in the camera until the next inspection, or should they be added to the inspection report? When an inspector starts an inspection, he/she may not know if there is going to be a Direct, or something serious later on in the inspection that will trigger a need for all NCIs to be photographed, so rather than having to go back to take photos of things, some of the inspectors are just starting to take snaps of all NCIs. They are just unsure of what to do with them. **Delete the photos off the camera. Save them on a disc until the next inspection, or until you are comfortable that the facility is heading toward compliance.**

25. In the past, we were told that whenever we took pictures and the facility asked, we were permitted to provide the facility with copies (unlabelled, right off the camera). Now that there will most likely be more photos taken during the course of an inspection, is this

still true?? **Some inspectors have provided facilities with photos taken during inspections, but we are discontinuing that practice. The licensee/registrant should be told that they must go through the RO to obtain copies of photographs. We are checking with both FOIA and IES to make sure we can release photos directly from the RO. You can, however, show facilities photos that you have taken; many inspectors do this during the exit briefing. It is often compelling.**

26. If a facility has a NO NONCOMPLIANCES inspection, do they also need to include the statement that "an exit interview with the owner was conducted? **Yes**

27. When taking photos of a non-compliant item(s), how many photos should be taken? For example, if there are 15 dogs with matted hair out of 35, do you want 15 pictures or just a few? If there are 5 pens with broken wires exposed to the dogs, do you want 5 pictures or just one to represent the non-compliant item? **Take a photo of every animal affected for all citations under vet care; this includes matted dogs. For facility violations such as pens with broken wires, take a few photos (i.e., enough to prove the section was violated, but not a photo of every cage).**

28. Some inspectors have been told to put a statement that says "Note: The licensee has repeatedly been found in violation of this (insert standard or regulation) as documented on this inspection report and the inspection reports dated (insert dates of previous reports)" (or something similar) and yet other inspectors do not add a note such as this on the report. Is this something that should be done (or not done) by everyone so that we have more consistency? I have always been told that it helps to tie the inspection reports together and will also help to document that it has been a repeated problem. Just wondering if there will be any guidance given on this one? **Including this note is not a requirement. In order to ensure consistency across the country, please do not include the note.**

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 insure 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.

Note:
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 2.132 (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 PO 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.

Traceback Procedures

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 4 or fewer dogs were acquired in the quarter, tracebacks should be conducted on each of those dogs.
- If between 5 and 100 dogs were acquired in the quarter, tracebacks should be conducted on at least 4 dogs, or 10% 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% of the acquired dogs may be required. This will be determined by the RO, and the inspector will receive specific instructions via their supervisor.

Conducting a traceback

FOR YOUR 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 2nd 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 dog to the person who originally sold it. When practical, most tracebacks should be conducted by visiting the seller listed on the RSBD records. Tracebacks can be conducted by telephone, however, under the following circumstances:

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

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 sellers 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 looked for. For example, the inspector should ask: "Where did you obtain this dog?" rather than asking: "Did you breed and raise this dog yourself?"

The following information should be obtained from the seller:

- Did the person listed on the records as the seller actually sell the dog or cat?
- If that person verifies being the seller, did he or she breed and raise the dog themselves?
- 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?
- Did the seller provide the required certifications to the RSBD?
- If the seller did not breed or raise the dog, where did they get the animal?

If 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 second 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 can be filled out either electronically or by hand. If hand-written, **the writing must be legible**. All completed forms must be sent to the RO.

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. For 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.

> **Note:**
> When conducting a 100% 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 seller listed in the records claims he did not sell dog,
- the dog was not bred and raised by the seller,
- the address listed for the seller does not exist, the seller's name is fictitious, or the seller is not at that address.

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, e.g., "Mr. Jones told me he did not breed and raise this dog, but got it from a local pound." The RO will typically request an investigation by IES for unsuccessful tracebacks.

Unable to contact the seller: 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.

APPENDIX 2 - 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 Vx schedule is okay with them or can the licensee be cited? In general, if the licensee fails to follow the written PVC - is it the inspector's responsibility to go to the vet and ask if he is okay with the changes? If he says yes- then this is 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"- 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 one's 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 Office 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 standalone citation or must they be in tied 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 doesn't- 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 verbiage 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/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 addressed in their herd health plan is that a citation? This depends upon the illness (e.g., mild cherry eye versus 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 comes 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 7 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 Regional Office.

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

- √ these still need to be approved by a veterinarian correct? Yes
- √ 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 (note: citing a veterinary article is not getting "approval" from a veterinarian)
- √ 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.

June 2010

APPENDIX 3 - REGULATION OF VET TECH SCHOOLS

Final version of document not available at this time.

APPENDIX 4 - ANNUAL REPORT GUIDANCE

Inspector Verification of Annual Report

You (the inspector) should verify that the Research Facility's Annual Report is accurate, that is:

- all animal facilities are reported
  the number of animals reported is correct
  animals are reported in the correct Column
  IACUC-approved exceptions are reported
  there are justifications for all Column E animals

Methods of verifying the animal numbers include, but are not limited to:

- counting the animals, if appropriate or feasible
- asking Research Facility representative to demonstrate how the number of animals was determined for:
  - a particular species, or
  - a Column from the Annual Report
- review of:
  - acquisition records
  - protocol medical or animal-usage records
  - animal ordering information, such as invoices or computer animal tracking systems
  - animals ordered in comparison to number of animals approved for a particular protocol
  - facility animal census records
  - internal billing records to PIs for animal housing/care

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.

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_

USDA

animal care

Assistance with Accurate Annual Reporting for Research Facilities

September 2008

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.

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.

The Top Ten Tips for Completing the USDA Annual Report

Robert A. Willems, DVM and
Joseph A. Nelson

From choosing the wrong pain categories, to sloppy arithmetic, there are a number of potential pitfalls when completing and filing a USDA annual report. The authors offer clarification and guidance to make the process easier.

The authors are in the USDA/APHIS/AC Eastern Region Office, 920 Main Campus Dr., Ste. 200, Raleigh, NC 27606. Please address correspondence to Willems at Robert.A Willems@aphis usda gov

Every year each research facility registered with the United States Department of Agriculture (USDA) under the Animal Welfare Act (AWA) must submit an annual report to the USDA listing the number of animals used in studies by that institution during the previous year. Here are ten suggestions to help the research community properly fill out the report and avoid some of the more common mistakes. We hope that these tips will make it easier for researchers to fulfill their annual reporting requirements.

1. If you are using the paper form of the annual report, please use the Animal and Plant Health Inspection Service (APHIS) Form 7023 provided to you. Do not submit your own version of the form. Submit the original only. Copies are not necessary.

2. If you choose to use the electronic version of the annual report from the internet, you must request a new password each year from APHIS's Animal Care (AC) staff. Passwords from previous years will not work. Either AC Regional Office in Raleigh, NC (tel: 919-855-7100) or Ft. Collins, CO (tel: 970-494-7478) can assist you with instructions on how to submit your Annual Report via the internet.

3. It is not necessary to include animals on the report that are not regulated under the AWA, such as laboratory rats and mice, birds, fish, amphibians, reptiles, farm animals used in agricultural research, or free-living wild animals involved in research meeting the definition of a field study. If you wish to include these animals voluntarily, please do so at the end of the report, and label that section "Nonregulated Animals."

4. Consolidate the numbers to be reported from the various sites operated by your registered facility on a single submitted form. Do not send in a separate form for each site at which the facility used animals in the previous year. Instead, attach to the report a statement listing the location of all facilities or sites at which animals were used during the previous year.

5. Check your arithmetic. The totals listed in column F should equal the sum of those animals listed in columns C, D, and E. Do not include the numbers from column B in these totals.

6. Enter animals into the correct columns for their pain category. For example, you should enter in column D, not column E, animals for which pain relief was provided during the study. Enter in column C animals that experienced no pain or only slight or momentary pain, as from an injection.

7. All animals listed in column E require both a description of the procedure causing the pain and/or distress and an explanation of why relief from the pain and/or distress was not provided. A description of the procedure alone is not sufficient. Attach the description and explanation to the reporting form.

8. If your Institutional Animal Care and Use Committee (IACUC) has approved any exceptions to the AWA standards during the previous year, you must attach a summary of those exceptions to the annual report. For example, if the IACUC approved the temporary housing of an animal in a cage with smaller floor space than that required by the regulations for that animal so as to meet the scientific requirements of the study, then that is an exception to the standards and you must report it.

9. The annual report should be signed and dated by the Chief Executive Officer (CEO) or Institutional Official (IO) of the institution, as listed on the institution's USDA registration form. The submitted form must bear the original signature of the IO or CEO.

10. Be sure your annual report is submitted each year to the appropriate Animal Care Regional Office by the 1 December deadline.

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Animal Care

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APPENDIX 5 - NEW CONFISCATION GUIDANCE

CONFISCATION INFORMATION

USDA APHIS Animal Care

Table of Contents

Chapter 1

Criteria for Confiscations

Introduction

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 eminent 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 a confiscation at a later date.

Common “red flags” include:

- Facilities that require three or more pre-license 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.

The following information pertains to situations where confiscation should be considered for exotics or wild animals

Vet Care Issues

- Animals are found to be dead or dying
- Animals are found with broken bones or open wounds
- Animals are severely malnourished and/or emaciated
- Animals are severely lethargic with no veterinary attention
- Animals are found with matted hair causing skin problems
- Animals are observed to have chronic, untreated intestinal issues
- Animals are found to have severe chronic skin or eye issues

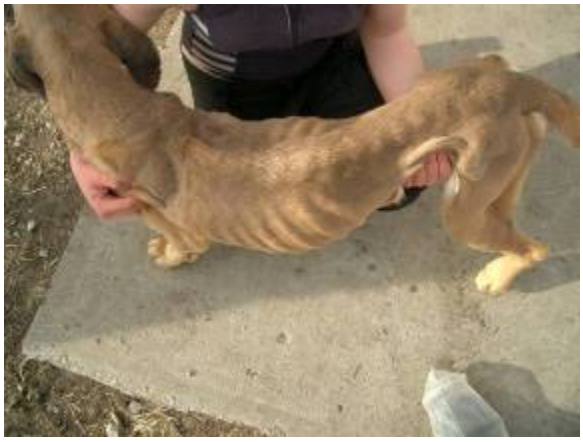
Sample pictures of vet care issues to be considered for confiscation:

Emaciation or evidence of malnourishment:

Emaciated Asian Elephant

Emaciated Lion

Thin tiger with chronic poor hair coat



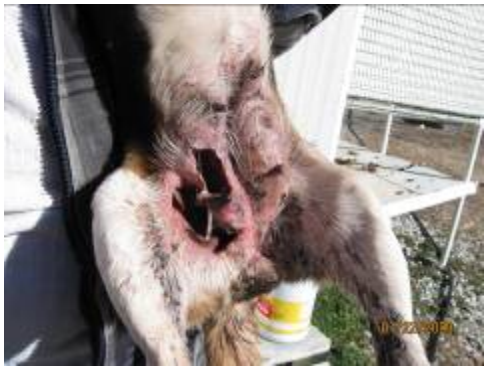
Emaciated dog, dorsal view

Other chronic or untreated veterinary problems:

Chronic untreated eye problems

Eye problems

Serious untreated tail injury of cougar



Ruptured abscess on dog

Bloody feces

Dead dog in enclosure

Overgrown hooves

Mutilated front leg of dog

Untreated skin problems

Shelter/housing

- No shelter/shade is provided for the animals with extreme temperatures (high or low)
- Shelter provided is too small for the animals
- No bedding is provided for the animals and the temperatures are below 50 degrees and the animals are showing clear signs of stress or discomfort (shivering, huddled in corners, etc)
- Shelter provided for the animal has excessive accumulation of feces and waste
- Shelter provided has accumulations of wet and/or dirty bedding

Sample pictures of shelter/housing issues to be considered for confiscation:

Chained with no access to shade

Inadequate sized shelter for four wolves

Shelter not structurally sound

No bedding, rusted enclosure

Dogs with no shelter or shade

Dogs with no shade

Separation/Behavior

- Animals are housed in incompatible groups and fighting
- Social animals are housed alone and showing signs of stress

Feed/Water

- No food or water available to the animals
- Food/water is contaminated
- Water and food receptacles are not being kept clean and sanitized
- Insufficient and poor quality food

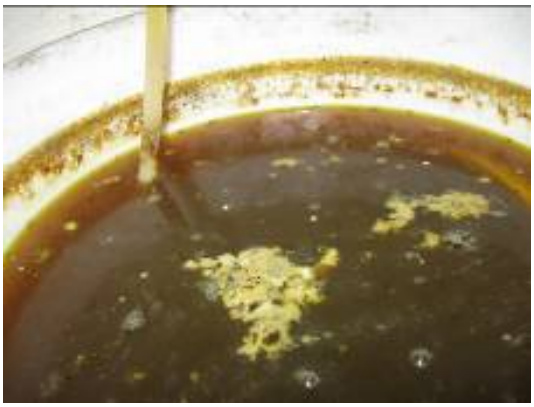
Poor quality rotting chicken

Rotting carcass in cougar enclosure

Poor quality chicken and meat

Self feeder with moldy food

Mouse feces in feeder



Filthy water receptacle

Husbandry/Cleaning

- 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

Examples of husbandry/cleaning situations to consider for confiscation:

Grossly inadequate space
(Lion is never moved out of cage for exercise)

Grossly inadequate space

Extremely soiled, overcrowded hamster enclosure

Extremely soiled rabbit enclosure

Excessive accumulation of feces in trays

Layers of moist, filthy bedding

under dog runs

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 is not able (physically) to care for the animals any longer
- Licensee does not have appropriate experience to care for animals
- Licensee is observed abusing or mistreating the animals

NOTE: It is very important to document with photographs all of the non-compliant items. Photographs should:

- be taken before and during the confiscation,
- accurately and clearly depict the noncompliant items as well as the animals of concern (use photos in this document as examples)
- 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
- If the issue includes the weight of the animal, try to get a good side view (lateral) and a view of the back, either from the front or rear of the animal, or from above the animal looking down (dorsal view).

View from front of cougar

Side view (lateral) of cougar

Dorsal view of cougar

9.5.10

Chapter 2

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:

Infectious disease processes:

- Resulting from lack of vaccination such as shipping fever, parvovirus in puppies, distemper, and many other diseases.
- Inadequate or nonexistent treatment of minor respiratory or other disease processes that progress to a more severe infection.
- Untreated wounds that become infected.

Trauma/injuries

- Fractures, sprains and strains if left untended may become chronic sources of suffering to the affected animal
- Bumps and bruises may progress to hematomas, fluid filled cysts and other painful chronic injuries.
- Untreated skin ulcerations or sunburn
- Foot or hoof foreign bodies may lead to a chronic source of suffering.
- 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

Certain husbandry requirements may become veterinary care issues:

- Sheep/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.

Sheep suffering from unshorn coat in hot weather
This sheep had not been shorn in five years

- Failure to trim hooves will cause pain and discomfort

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 shelter in cold weather, especially if animals appear to be shivering or showing other signs of discomfort from the cold
- Lack of shade in hot weather especially if animals are showing signs of discomfort such as panting, heat attack, etc
- Lack of shade in bright conditions causing animals to squint or have chronic eye discomfort

SANITATION

- Enclosures maintained so the animals cannot escape the filth. This can be a combination of feces, water, mud or other filth such as rotted foodstuffs. This can create a chronic pattern of suffering for animals trapped in such enclosures.

Guinea pigs in filthy enclosure

Filth in an animal enclosure

FEED

- Poor quality feed such as dog food that is of low nutritive value and creates chronic intestinal problems such as loose stools or chronic diarrhea.
- 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

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.

Evidence of inadequate water (this bucket is bone-dry). The licensee stated he had just filled the bucket that morning.

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: There was a wallaby penned between two tigers at one facility that collapsed and died from the stress. Before it died it spent its whole existence tucked tightly in the one corner as far as it could get from the tigers. The cage bars were hardly adequate separation in this case.

Chapter 3

Body 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:

- Tiger
- Lion
- Leopard
- Cougar
- Elephant
- Cat
- Dog
- Tiger Cub Weight Information Chart

Tiger Body Assessment Chart





1	2	3	4	5
Emaciated: All ribs and vertebral bodies prominently showing, skin laying over hips and femur	Underweight: Ribs, vertebral bodies and hips slightly showing, “tucked up” appearance	Optimal body weight Hint of ribs and vertebral bodies	Overweight: No hips or ribs showing, rotund appearance to abdomen	Obese: Abdomen sagging, obvious fat over hips and shoulders

Emaciated Underweight

9.5.16

Optimal body weight

Overweight

Obese

9.5.18

Lion Body Assessment Chart

1

2

3

4

5

Emaciated. All ribs and vertebral bodies prominently showing, skin laying over hips and femur	Ribs, vertebral bodies and hips clearly showing	Optimal body weight Hint of ribs and vertebral bodies	Overweight; no hips or ribs showing, rotund appearance to abdomen	Obese, belly dragging, obvious fat over hips and shoulders

Emaciated

Underweight

9.5.19

Optimal weight

Overweight

Obese

9.5.20

Leopard Body Assessment Chart

1

2

3

4

5

Emaciated: All ribs and vertebral bodies prominently showing, skin laying over hips and femur	Underweight: Ribs, vertebral bodies and hips slightly showing, “tucked up” appearance	Optimal body weight Hint of ribs and vertebral bodies	Overweight: No hips or ribs showing, rotund appearance to abdomen	Obese: Abdomen sagging, obvious fat over hips and shoulders

Emaciated

Underweight

9.5.21

Optimal Body Weight

9.5.22

Overweight

Obese

Cougar/Puma/Mountain Lion Body Assessment Chart

Emaciated **Underweight**

9.5.23

All ribs and vertebral bodies prominently showing,
skin laying over hips and femur. Femur clearly defined.
This animal cannot afford to lose any more weight

Ribs, vertebral bodies and hips clearly showing

.

9.5.24

Underweight

Ribs, vertebral bodies and hips clearly showing

Optimal Weight

Hint of vertebral bodies, points of hips, and ribs showing

Overweight

Overweight cougars will have no hips or ribs showing and a rotund appearance to abdomen

Obese

Pendulous abdomen, obvious fat over hips and shoulders

Obese

Elephant Body Assessment Chart

Emaciated

"Emaciated": All ribs and vertebral bodies prominently showing, skin laying over hips, femur, humerus and scapula. This animal cannot afford to lose any more weight

Underweight

Underweight Ribs, vertebral bodies, and hips clearly showing

Underweight

Underweight: Ribs, vertebral bodies, scapula, and hips clearly showing

Optimal Weight t

Optimal: Slightly round appearance, hips showing slightly

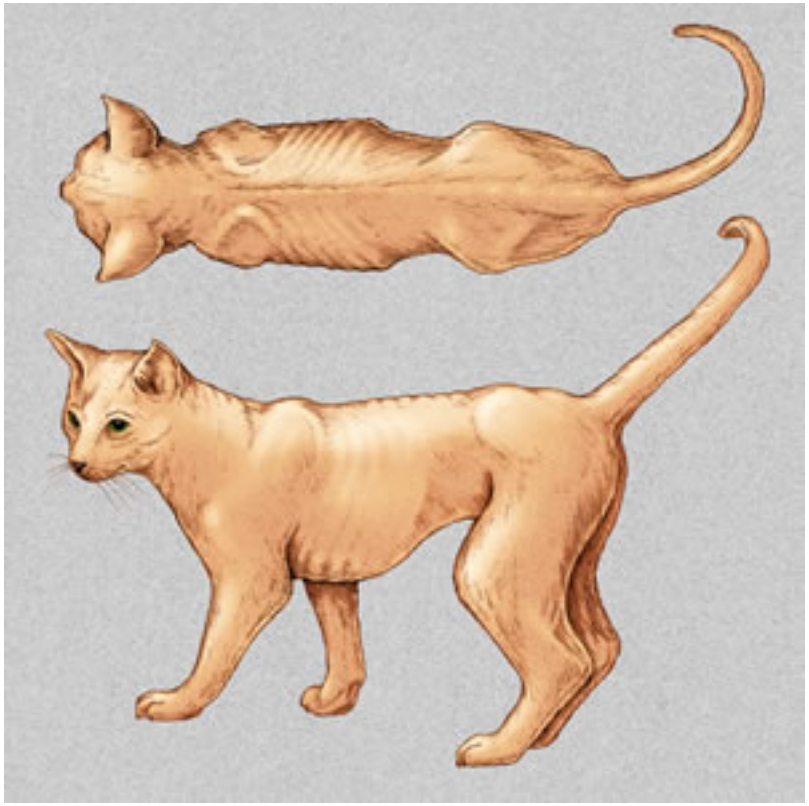
Overweight

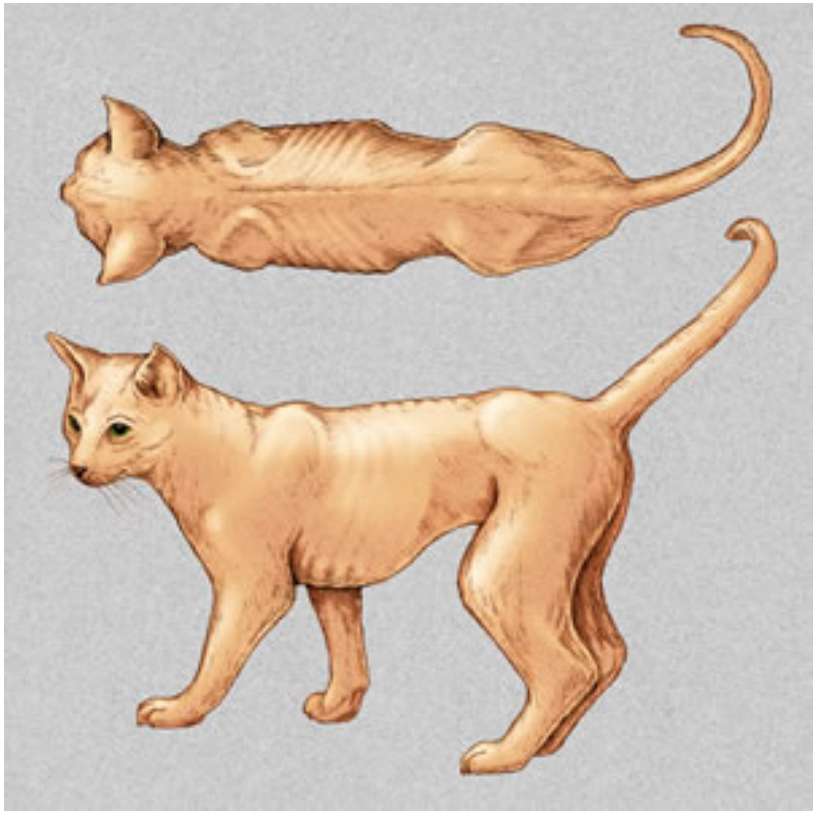
Overweight elephants will have no hips or ribs showing and a rotund appearance to abdomen

Obese

Obese: Pendulous abdomen, rotund appearance with no hips showing

Body Condition Chart for Cats





Emaciated

Ribs, lumbar vertebrae, pelvic bones and all body prominences evident from a distance. No discernible body fat.

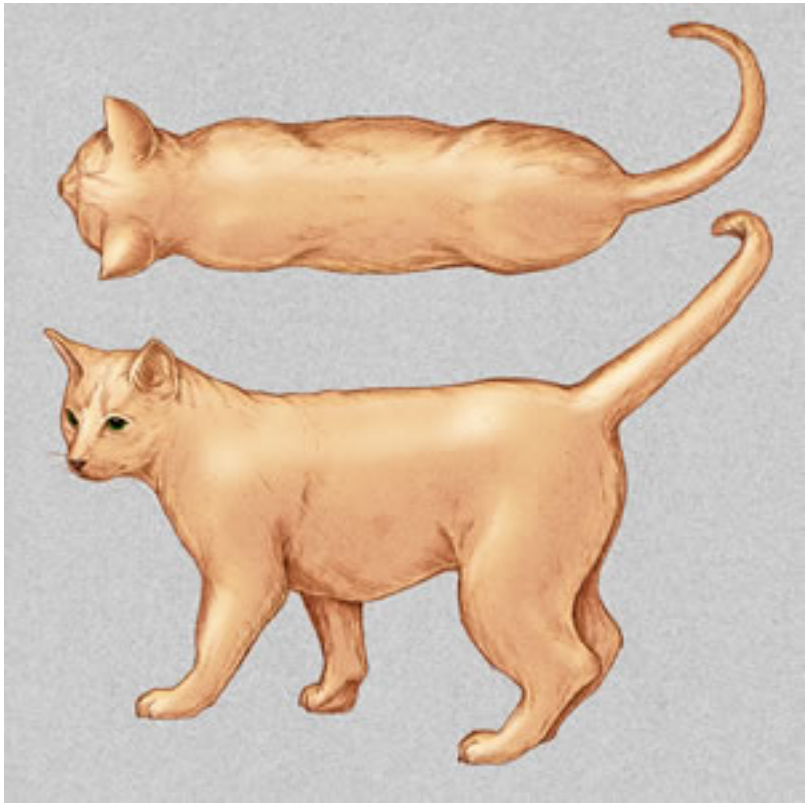
Underweight

Ribs easily palpated and may be visible with no palpable fat. Tops of lumbar vertebrae visible. Pelvic bones less prominent.

9.5.30

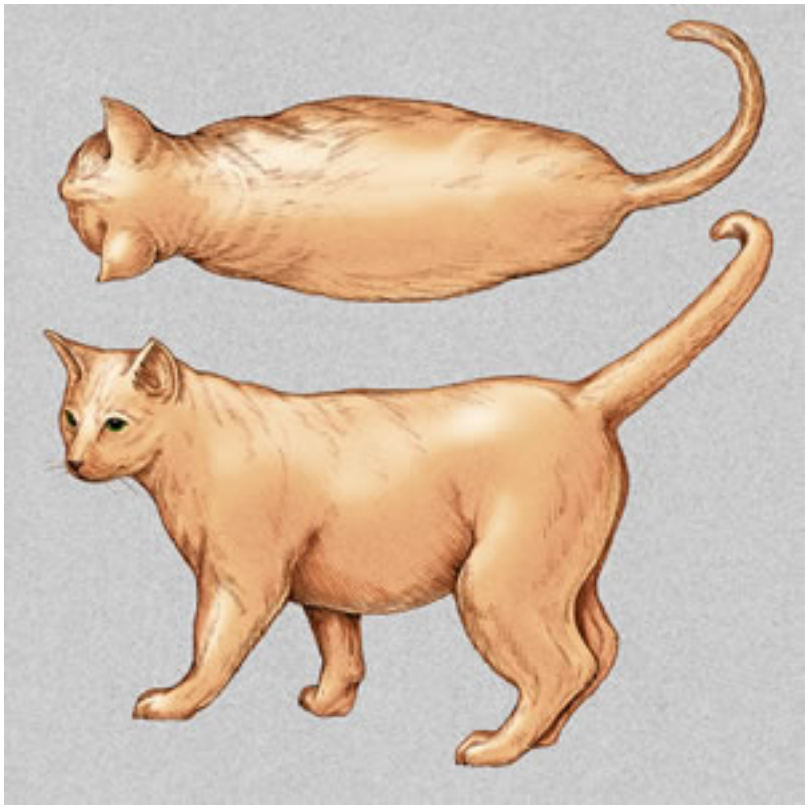
Obvious absence of muscle mass.

Obvious waist and abdominal tuck



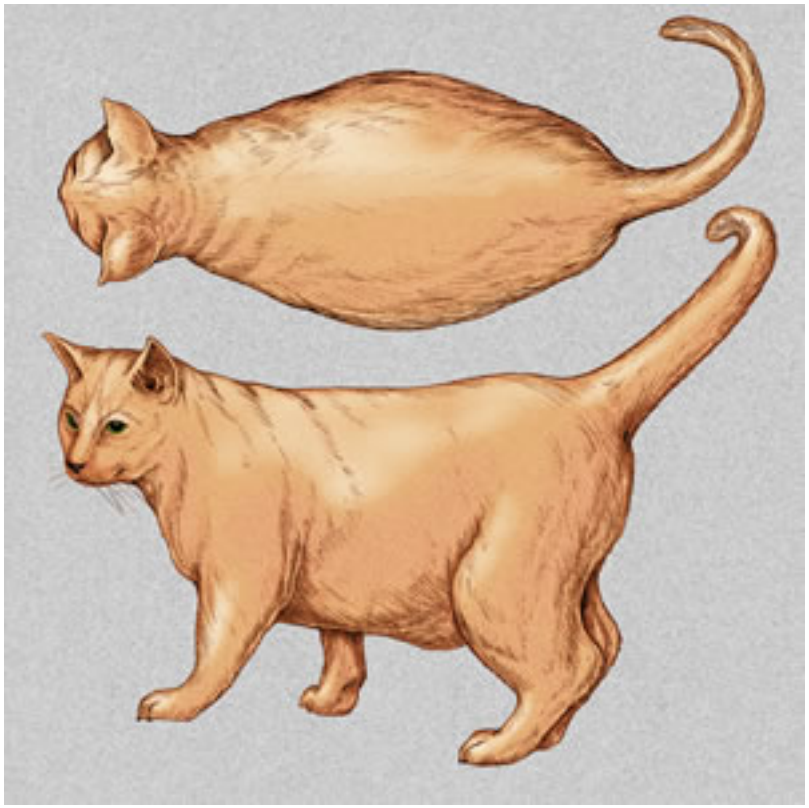
Optimal:

Ribs palpable without excess fat covering. Abdomen tucked up when viewed from side.



Overweight:

General fleshy appearance. Ribs palpable with difficulty. Noticeable fat deposits over lumbar spine and tail base. Abdominal tuck may be absent.



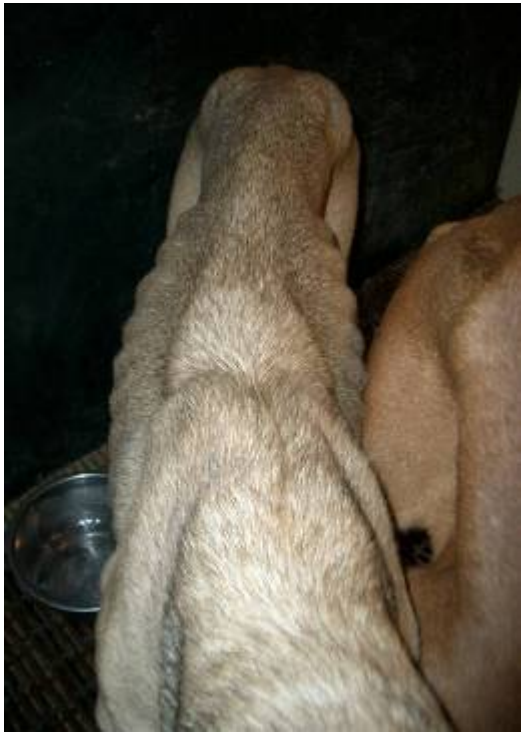
Obese

Large fat deposits over chest, spine and tail base. Fat deposits on neck and limbs. Abdomen distended

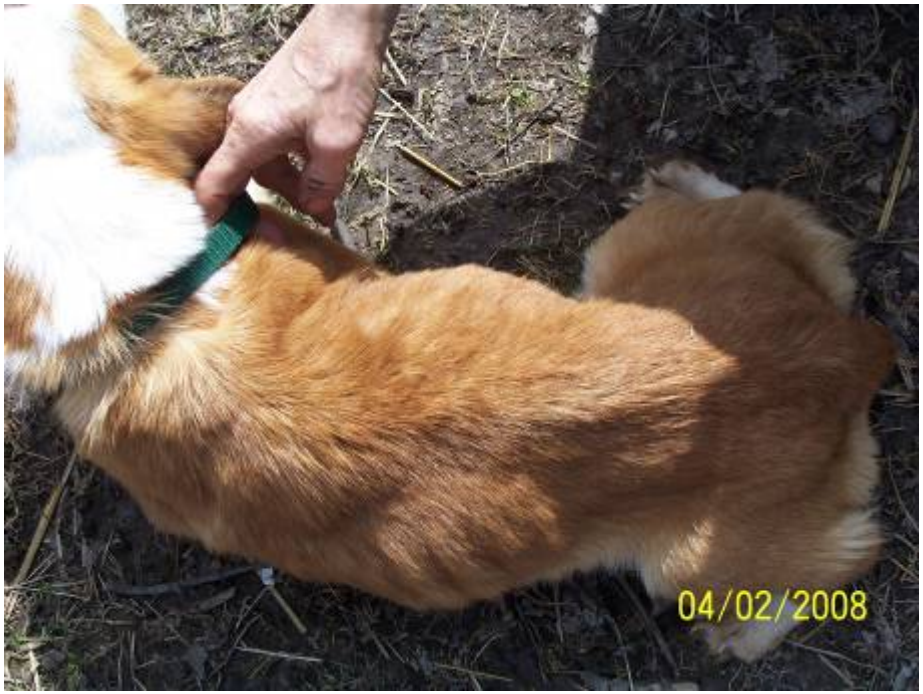
Taken from the Ohio State University College of Veterinary Medicine Website, http://vet.osu.edu/1851.htm

9.5.32

Body Condition Chart for Dogs



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 discernable body fat. Obvious loss of muscle mass.

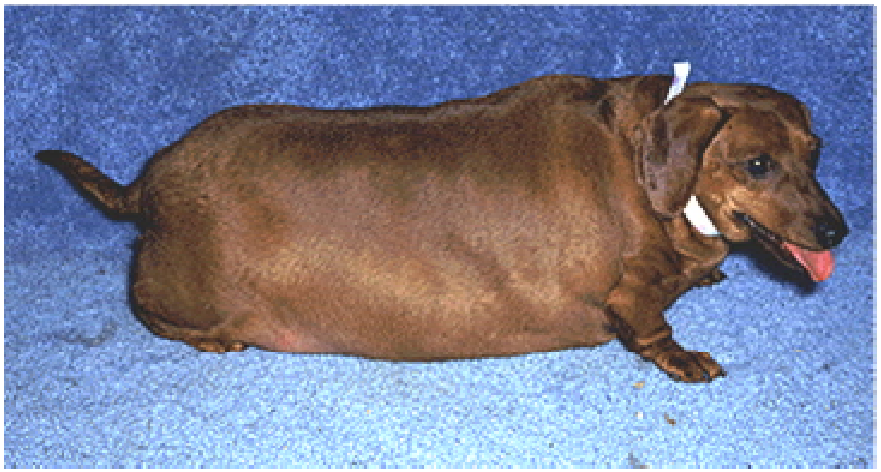


9.5.34

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.

Optimal:
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.

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 slightly broadened.



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 deposition with thick soft tissue cover. Abdomen is convex with or without a pendulous ventral bulge. Back is markedly broadened.

Tiger Cub Size Information

Generic “Bengal” tiger cub weights are listed below. 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 - 3.5 pounds

AGE	WEIGHT
1 week	4.5 - 6 lbs
2 weeks	6. - 7.5 lbs
3 weeks	7.5 - 9 lbs
4 weeks	9 - 10 lbs
5 weeks	10 - 12 lbs
6 weeks	12 - 15 lbs
7 weeks	14 - 17 lbs
8 weeks	16 - 19 lbs
10 weeks	19 - 25 lbs
12 weeks	24 - 40 lbs
16 weeks	35 - 50 lbs
20 weeks	55 - 68 lbs

6 week old Siberian tiger

8 week old Siberian tiger (14 pounds)

11 week old “generic” Bengal tiger cub
(21.5 pounds)

17 week old generic “Bengal” white tiger cub
(approx 45 pounds)

Chapter 4

Guidelines and Responsibilities for the Confiscation of Animals

Guidelines for the Confiscation of Animals

Recognition of Suffering by AC

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; and 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 a suffering animal.

AC Inspector Responsibilities

- Promptly recognize animal suffering and initiate confiscation procedures in accordance with the regulations and resource material.

- Involve and coordinate all on-site efforts with your SACS.

- Clearly communicate to the responsible person, 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:

    1. Number and species of animal(s) found to be suffering and the individual identification numbers (for dogs or 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)

    2. Identification of deficiencies or conditions causing the suffering

    3. Steps that must be taken to correct the problem and alleviate the suffering; e.g., examination and treatment by a qualified veterinarian

    4. 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

    5. Current location of the premises or transport conveyance holding the affected animal

    6. A statement that the animal(s) shall not be removed from the premises or location without prior approval from AC,

7. The signature of the responsible person receiving this notification. (If the responsible person refuses to sign, the AC representative must document the issuance of this notification by a sworn statement.)

- Take good photographs of the involved animals and conditions
    - Take movies of lameness or neurologic problems if possible

- Clearly communicate to the responsible person AC'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.

- 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.

- 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 responsible person.

- 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.

- 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 Safely Manual or contact the Collateral Duty Safety and Health Officer (CDSHO) for assistance. Also, promptly notify your SACS and/or the ACRD.

- Consider weather conditions and have available a tarp/canopy for shelter, tables, and chairs and other equipment as needed during the actual confiscation or in the staging area.

SACS Responsibilities

- Ensure all inspection resources needed for the confiscation are assigned and present.

- Work with the assigned inspector and Regional Office to ensure that suitable location(s) for the confiscated animal(s) are lined up.

- On site responsibility for:

- Operational decisions involving the confiscation, including but not limited to ensuring IES has set up appropriate security
- With IES, ensure inspector safety
- Ensure inspectors conduct themselves professionally
- Addressing any media situations
- Ensure good communication and coordination with State or local officials with animal welfare responsibility at the facility.

- 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.

- 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

- Promptly notify the DA and the Administrator's Office that confiscation procedures have, or will be, initiated.

- If it is deemed necessary, obtain the opinion of a second AC VMO or a private veterinarian with appropriate expertise with the species involved.

- Request assistance and coordinate confiscation procedures with the IES Regional Director (IESRD).

- Contact Ken Vail to have an OGC attorney assigned to the confiscation (for legal guidance).

- Arrange for appropriate transportation of the confiscated animal(s) including trained animal handlers (if needed).

- Ensure LPA has all necessary information, and is on board to provide media assistance if needed

- Ensure the availability and/or presence of a veterinarian knowledgeable in the species involved

- 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.

- 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.

- 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.

- Notify Legislative and Public Affairs (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).

- Document anticipated expenses in advance and send written estimates of costs for products or services to AC Headquarters.

- When working with animals with contagious diseases, e.g., dogs infected with or exposed to canine 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.

- Consider a temporary staging area to triage process large numbers of animals.

- Promptly review and forward the IES investigative report to the IES Headquarters' Staff.

Confiscation Timeliness

If the licensee states that he/she cannot or will not correct the violations 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.

Responsible Person is Unavailable

When the AC and Investigative Enforcement Services' (IES) representatives have reason to believe that an animal is suffering and the responsible person for the animal cannot be found after a reasonable time (24 hours of less), the IES investigator 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.

Chapter 5

Sample Letters

Notice of Intent to Confiscate

Notice of Confiscation

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: _____

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

APPENDIX 6 - 2010 EQUIPMENT & SUPPLY LIST

EQUIPMENT

The following equipment is highly recommended:

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

The following equipment is optional:

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

Special Equipment

Nonhuman Primates

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

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

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

X respirator - Level N95 or better

Other Animals

The following equipment is recommended for inspecting **elephants:**

X respirator - Level N95 or better

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

SUPPLIES

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

X The Animal Welfare Act
X AWA Regulations & Standards
X APHIS Fact Sheets
X APHIS Forms for record keeping:
  < 7005 - Record of Dogs & Cats on Hand
  < 7006 - Record of Disposition of Dogs & Cats
  < 7006A - Continuation Sheet for Record of Disposition of Dogs & Cats
  < 7019 - Record of Animals on Hand (other than Dogs & Cats)
  < 7020 - Record of Disposition (other than Dogs & Cats)
  < 7020A - Continuation Sheet for Record of Disposition of Animals (other than Dogs & Cats)
X Animal Welfare Order Sheet for APHIS record keeping forms
X Exercise Plan for Dogs sheets and instructions

	X	Letter to applicant about handling requirements for dangerous animals
	X	List of Commercial Tag Manufacturers
	X	Procedure for Obtaining a Tattoo Code
	X	Program of Veterinary Care - APHIS Form 7002
	X	Request to Add/Delete Sites
	X	Request to Use Microchipping as a Method of Identification
	X	Taxpayer Identification Number reporting form
	X	Voluntary Cancellation of License/Registration

Reference Texts & Materials

The following texts and materials are information that you should have for reference. If you do not have them, you should check with your supervisor about ordering them (see pages 5 - 7 for ordering information). If you are unable to find any of these books, contact your Regional Office.

Industry Standards Related Texts

X	AZA (American Zoological Association) Standards NOTE: Information from these standards may not be copied and distributed to licensees/registrants.
X	Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching - AAg Guide@
X	Guide for the Care and Use of Laboratory Animals - AILAR Guide@
X	Live Animal Regulations (International Air Transport Association)
X	Psychological Well-Being of Nonhuman Primates (National Research Council)
X	Report of the AVMA Panel on Euthanasia - 2000 edition

General Reference Texts

X	Cat Owner=s Home Veterinary Handbook
X	Don=t Shoot the Dog! The New Art of Teaching and Training
X	Encyclopedia of Mammals
X	Handling Fish Fed to Fish-Eating Animals
X	Handling Frozen/Thawed Meat and Prey Items Fed to Captive Exotic Animals
X	Information Resources for Adjuvants and Antibody Production
X	Marine Mammal American Cetacean Society Guide
X	Marine Mammal Water Quality: Proceedings of a

	Symposium, Technical Bulletin 1868 X Pictorial Guide to the Living Primates X Pinnipeds: Seals, Sea Lions and Walruses X Recognition and Alleviation of Pain and Distress in Laboratory Animals (National Research Council) X Sierra Club Handbook of Seals and Sirenians X Sierra Club Handbook of Whales and Dolphins X Simon & Schuster=s Guide to Cats X Simon & Schuster=s Guide to Dogs X Simon & Schuster=s Guide to Mammals X Sterilization of Marine Mammal Pool Water, Technical Bulletin 1797 X Veterinary Notes for Dog Breeders X Wild Mammals in Captivity - Principles & Techniques X Zoo and Wild Animal Medicine - Current Therapy *Optional Reference Texts* X Biosafety in Microbiological and Biomedical Laboratories X Veterinary Drug Handbook X Merck Veterinary Manual
Miscellaneous	The following miscellaneous forms and information are recommended for the inspector to have: X Checklist for Animal Care Inspection sheets X Complaint sheets X Prelicense Packets X Search for Unlicensed Activity sheets X State & Territory Identification Codes

ORDERING INFORMATION FOR REFERENCE TEXTS & MATERIALS

(Check with SACS before ordering any book.)

INDUSTRY STANDARDS RELATED TEXTS & MATERIALS

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

GENERAL REFERENCE TEXTS & MATERIALS

TITLE	AUTHOR(S)	PUBLISHER	ISBN or Ordering Info
Cat Owner=s Home Veterinary Handbook	D.G. Carlson & J.M. Griffin	Howell Book House New York, NY	0-87605-796-2
Don=t Shoot the Dog!	Karen Pryor	Bantom Books New York, NY	0-553-25388-3
Encyclopedia of Mammals (The)	David Macdonald (editor)	Facts on File, Inc New York, NY	0-87196-871-1
Handling Fish Fed to Fish-Eating Animals	Susan Crissey	National Ag Library 10301 Baltimore Ave Beltsville, MD	National Technical Information Srvc. 1-800-553-6847
Handling Frozen/Thawed Meat and Prey Items Fed to Captive Exotic Animals	Susan Crissey Kerri Slifka Pam Shumway Susan Spencer	National Ag Library 10301 Baltimore Ave Beltsville, MD	National Technical Information Srvc. 1-800-553-6847
Information Resources for Adjuvants & Antibody Production	Cynthia Smith (editor)	National Ag Library 10301 Baltimore Ave Beltsville, MD	National Technical Information Srvc. 1-800-553-6847
Marine Mammals American Cetacean Society Guide	Richard Ellis	American Cetacean Society	Available thru www.acsonline. org/ordrform.htm
Marine Mammal Water Quality: Proceedings of a Symposium, Technical Bulletin 1868	John Coakley Richard Crawford	USDA, APHIS	Available from Regional Office
Pictorial Guide to the Living Primates (The)	Noel Rowe	Pogonias Press East Hampton, NY	0-9648825-1-5
Pinnipeds: Seals, Sea Lions & Walruses	Marianne Riedman		0520064984
Recognition and Alleviation of Pain and Distress in Laboratory Animals	National Research Council	National Academy Press Washington, DC	0-309-04275-5

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

OPTIONAL REFERENCE TEXTS

TITLE	AUTHOR(S)	PUBLISHER	ISBN or Ordering Info
Biosafety in Microbiological & Biomedical Laboratories-4th edition (May 1999)	Jonathan Richmond & Robert McKinney (editors)	Superintendent of Documents U.S. GPO Washington, DC 20402	017-040-00547-4 Superintendent of Documents 202-512-2250
Veterinary Drug Handbook, most current edition	Donald Plumb	Iowa State University (ISU) Press Ames, IA	ISU Press 1-800-862-6657
Merck Veterinary Manual (The), most current edition	Susan Aiello, et al	Merck & Company Rahway, N.J.	

APPENDIX 7 - FORMS & SHEETS

INDEX

ANIMAL WELFARE ORDER FORMS

Dealer Name_____ **License Number** _____

Address _____

City _____ State _____ Zip _____

Quantity APHIS FORM NO. Title and Description

____ 7002 Program of Veterinary Care - one per licensee

____ 7005 Record of Dogs & Cats on Hand - 100/pkg - 6/page

____ 7006 Record of Disposition of Dogs & Cats - 100/pkg

____ 7006A Continuation Sheet (Disposition of Dogs/Cats) - 100/pkg

____ 7019 Record of Animals on Hand (**other than dogs/cats**) 100/pkg -- 10/page

7020 Record of Disposition of Animals (**other than dogs and cats**) – 50/package

7020A Continuation Sheet (Record of Disposition of Animals **other than dogs and cats**) – 50/pkg

We will break packages if you need smaller amounts.

Send To: USDA, APHIS, Animal Care
2150 Centre Ave. Building B
Mailstop 3W11
FT. Collins, CO 80526-8117
Phone: (970) 494-7478

OR

USDA, APHIS, Animal Care
920 Main Campus Drive, Suite 200
Raleigh, NC 27606
Phone: (919) 855-7100

FORM APPROVED OMB NO. 0579-0036

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

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

APPLICATION FOR LICENSE

(TYPE OR PRINT)

☐ NEW LICENSE

DO NOT USE THIS SPACE - OFFICIAL USE ONLY

SEND THE COMPLETED FORM TO: USDA, APHIS, AC

LICENSE NO.	RENEWAL DATE	FEES	
		AMOUNT	DATE RECEIVED

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

COUNTY: TELEPHONE (

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

COUNTY: 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

☐ B - Dealer ☐ C - Exhibitor

6. DATE OF LAST BUSINESS YEAR

FROM			TO		
MO	DAY	YEAR	MO	DAY	YEAR

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

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

8. TYPE OF ORGANIZATION

☐ Partnership ☐ Corporation ☐ Individual

☐ Other (Specify)

9. LIST OWNERS, PARTNERS, AND OFFICERS

NAME AND TITLE	ADDRESS

10. DEALER ONLY

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

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

DOGS		RABBITS	
CATS		NONHUMAN PRIMATES	
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 agree to comply with all the regulations and standards in 9 CFR, Subpart A, Parts 1, 2 and 3. I certify that I am over 18 years of age.

12. SIGNATURE	13. NAME AND TITLE *(Type or Print)*	14. DATE

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0036. The time required to complete this information collection is estimated to average .25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

FORM APPROVED OMB NO.: 0579-0036

No license may be issued unless a completed application has been received (7 U.S.C. 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)

☐ **RENEWAL**

DO NOT USE THIS SPACE- OFFICIALUSE ONLY

SEND THE COMPLETED FORM TO:
USDA APHIS ANIMAL CARE

LICENSE NO./CUST NO	RENEWAL DATE	FEES	
		AMOUNT	DATE RECEIVED

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

COUNTY: **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	
1	2	3	1	0	9	1	2	3	1	0	9

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' = ½ 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)

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0036. The time required to complete this information collection is estimated to average .25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

FORM APPROVED OMB NO.: 0579-0036

No license may be issued unless a completed application has been received (7 U.S.C. 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)

☐ **RENEWAL**

DO NOT USE THIS SPACE- OFFICIALUSE ONLY

SEND THE COMPLETED FORM TO:
USDA APHIS ANIMAL CARE

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	
0	7	0	1	0	9	0	6	3	0	1	0

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

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

8. TYPE OF ORGANIZATION

☐ **Partnership** ☐ **Corporation** ☐ **Individual**
☐ **Other** ***(Specify)*** _____

9. LIST OWNERS, PARTNERS, AND OFFICERS

NAME AND TITLE	ADDRESS

10. DEALER ONLY

TOTAL NO. OF ANIMALS PURCHASED IN THE LAST BUSINESS YEAR	
TOTAL NO. OF ANIMALS SOLD IN THE LAST BUSINESS YEAR	
TOTAL GROSS AMOUNT DERIVED FROM THE SALE OF ANIMALS	
DOLLAR AMOUNT 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.)***		TOTAL:	

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)

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

See reverse for additional OMB information

FORM APPROVED
OMB NO. 0579-0036

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

APPLICATION FOR REGISTRATION

(TYPE OR PRINT)

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

USDA USE ONLY

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

REGISTRATION NO.	DATE REGISTERED

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

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

SECTION A

3. DO YOU USE OR INTEND TO USE DOGS OR CATS OR OTHER ANIMALS COVERED BY THE ANIMAL WELFARE ACT
☐ Yes ☐ No

4. DO YOU PURCHASE OR TRANSPORT DOGS OR CATS OR OTHER ANIMALS AS DEFINED IN THE ANIMAL WELFARE ACT
☐ Yes ☐ No

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

6. IF "YES" IN ITEM 5, "X" OR SPECIFY
☐ Grant ☐ Award ☐ Loan ☐ Contract ☐ Other *(Specify)*

SECTION B

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

A. Dogs	B. Cats	C. Guinea Pigs	D. Hamsters	H. Other *(Specify and give No.)*
E. Rabbits	F. Non-human Primates	G. Marine Mammals		

SECTION C

10. NATURE OR ORGANIZATION OF BUSINESS *("X" one)*
☐ Private ☐ Commercial ☐ State, County or Municipal ☐ Federal

11. TYPE OF OPERATION *("X" each applicable operation)*
☐ College or University ☐ Hospital ☐ Exhibitor ☐ Carrier ☐ Intermediate Handler
☐ Air ☐ Rail ☐ Marine ☐ Truck

12. TYPE OF ORGANIZATION
☐ Partnership ☐ Corporation ☐ Individual ☐ Association
Other *(Specify)*

13. STATE WHERE INCORPORATED

14. DATE INCORPORATED

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

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

CERTIFICATION

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

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

ACKNOWLEDGEMENT OF RECEIPT OF REGULATIONS AND STANDARDS

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

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

APHIS FORM 7011
(MAY 91)

(Replaces VS FORM 18-11 (SEP 77), which is obsolete.)

Every research facility, exhibitor, carrier, and intermediate handler not required to be licensed under Section 3 of the Animal Welfare Act, shall register with t he 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.
USDA APHIS ANIMAL CARE

CERTIFICATE NO./CUST NO:	RENEWAL DATE

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)*

County:

3. (A) PREVIOUS USDA REGISTRATION NUMBER (IF ANY)

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)

CANINE CARE CHECKLIST

_____Daily observation of all dogs within kennel.
_____All dogs requiring veterinary care have been treated.
_____Veterinary records have been updated.
_____Outdated medications have been disposed of properly.
_____Attending veterinarian has made kennel inspection within 12 months.
_____All dogs have convenient access to feed and water.
_____All feed and water bowls have been cleaned and sanitized within last 2 weeks.
_____All bags of feed and bedding are in tightly lidded containers.
_____All unopened bags of feed stored off of floor and away from walls.
_____All enclosures spot cleaned daily.
_____Areas behind and below enclosures have been cleaned as necessary.
_____All enclosures have been cleaned and sanitized within last 2 weeks.
_____All surfaces in contact with the dogs are impervious to moisture.
_____Surfaces within enclosures are free of sharp points and edges.
_____Mesh floors of sufficient size to prevent feet from falling through.
_____Adequate floor space is provided for all dogs.
_____All dogs have a minimum of 6 inches headroom in enclosure.
_____Nursing bitches have additional space required for litter.
_____All dogs in outside kennels have necessary shelters.
_____All outside shelters have wind and rain breaks in place.
_____All outside kennels have sufficient shade structures.
_____Temperature controlled areas are between 45-85 degrees F.
_____All animal areas within kennel are well ventilated.
_____Doors, flaps, gates, etc. are in good repair and operate properly.
_____All drains are functioning properly.
_____Pest control measures are in place as necessary.
_____Items not necessary for animal husbandry are not kept within kennel area.
_____Animal husbandry items are stored in proper areas within kennel.
_____All dogs and weaned puppies have an approved means of identification.
_____Records of dogs on hand have been updated and are accurate.

U.S. DEPARTMENT OF AGRICULTURE ANIMAL PLANT HEALTH INSPECTION SERVICE **ANIMAL CARE**	**Checklist for Animal Care Inspection Report**

Name of Licensee/Registrant

Site No.

Lic/Reg No.

Site Name

Date of Inspection

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

PRIMARY ENCLOSURE	
	General Requirements
	Space & Additional Requirements
	Protection from Predators

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

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

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

U.S. DEPARTMENT OF AGRICULTURE ANIMAL PLANT HEALTH INSPECTION SERVICE ANIMAL CARE	**EXERCISE PROGRAM for DOGS**

Licensee/Registrant Name (type or print legibly) _____ Lic/Reg Number _____

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 trough 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. 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 the requirement.

_____ _____

License/Registrant Signature Date

II. I have read and approve this exercise plan.

_____

Veterinarian's Name (type or print legibly)

_____ _____

Veterinarian’s Signature Date

EXERCISE OF DOGS HOUSED IN GROUPS

1. I PLAN TO KEEP _____ DOGS REQUIRING _____ SQUARE FEET PER DOG IN AN ENCLOSURE THAT MEASURES _____ SQUARE FEET.

2. I PLAN TO KEEP _____ DOGS REQUIRING _____ SQUARE FEET PER DOG IN AN ENCLOSURE THAT c MEASURES _____ SQUARE FEET.

3. I PLAN TO KEEP _____ DOGS REQUIRING _____ SQUARE FEET PER DOG IN AN ENCLOSURE THAT

MEASURES _____ SQUARE FEET.

4. I PLAN TO KEEP _____ DOGS REQUIRING _____ SQUARE FEET PER DOG IN AN ENCLOSURE THAT

MEASURES _____ SQUARE FEET.

5. I PLAN TO KEEP _____ DOGS REQUIRING _____ SQUARE FEET PER DOG IN AN ENCLOSURE THAT

MEASURES _____ SQUARE FEET.

INSTRUCTIONS FOR EXERCISE PLAN

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

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

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

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

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

Answer = minimum floor space in square inches.

DOUBLE the amount of this answer to meet exercise requirements.

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

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

Answer = minimum floor space in square inches.

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

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

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

United States Department of Agriculture

Marketing and Regulatory Programs

Animal and Plant Health Inspection Services

Animal Care

Dear Applicant:

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

Exhibitions That Do Not Involve Direct Public Contact With Animals: The handling regulations require that animals must be handled during public exhibition so that there is minimal risk of harm to the animals and to the public, with sufficient distance and/or barriers between the animals and the general viewing public so as to ensure the safety of the animals and the public. The regulations further require that dangerous animals exhibited to the public must be under the direct control and supervision of a knowledgeable and experienced animal handler. Animal handlers should have demonstrable knowledge of and skill in currently accepted professional standards and techniques in animal training and handling. They should also be able to recognize normal and abnormal behavior and signs of behavioral stress for the species being exhibited, in order to comply with the handling regulations. Handlers must be experienced and be able to apply their knowledge to the safe exhibition of animals. This generally requires at least two years of experience involving the species being exhibited.

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

exhibit juvenile or adult[1] large felines (e.g., lions, tigers, jaguars, leopards, cougars), and would like Animal Care to review your proposed exhibition to determine whether it will comply with the handling regulations, please include with your application a description of the intended exhibition, including the number, species, and age of animals involved and the expected public interaction.

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

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

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

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

[1] over 3 months of age

USDA

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

Sincerely,

Regional Director
Animal Care

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

INSPECTION REPORT

Name of Licensee/Registrant	Site No.	Lic/Reg No.
Business Name (DBA)	Site Name	Date of Inspection
Facility Mailing Address	Site Address	
City, State, Zip (for Facility)	City, State, Zip (for Site)	Inspection Type

NARRATIVE

Prepared By: _____ **Date:** _____

Name & Title: _____, **USDA, APHIS, Animal Care** **ACIS ID NO.** _____

Copy Received By: _____ **Date:** _____

Title: _____

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

INSPECTION REPORT

Prepared By: _____ Date: _____

Name & Title: _____, USDA, APHIS, Animal Care ACIS ID NO. _____

Copy Received By: _____ Date: _____

Title: _____

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

INSPECTION REPORT

Prepared By: _____ Date: _____

Name & Title: _____, USDA, APHIS, Animal Care ACIS ID NO. _____

Copy Received By:_____ Date: _____

Title: _____

ITINERARY FOR TRAVELING FACILITIES

NAME OF LICENSEE:			LICENSE NO.:	
D.B.A. (if applicable):			DATE:	
DATE (S)		LOCATION: (Address & necessary instructions for location on premises)	PHONE NUMBER at location:	PERSON TO CONTACT at location:
From	To			

LIST OF COMMERCIAL TAG MANUFACTURERS

These manufacturers are listed in compliance with Section 2.52 Part 2, Subchapter A, Title 9 of the Code of Federal Regulations.

Metal Identification Tags

Ketchum Manufacturing Company **1285 Avenue of the Americas** **New York, NY 10019** **646-935-4499**	**National Band & Tag Company** **731 York St., P.O. Box 72430** **Newport, KY 41072-0430** **859-261-2035** **Fax: 1-800-261-8247** **E-Mail: tags@nationalband.com**
Keyes-Davis Company **Box 1557** **74 Fourteenth Street** **Battle Creek, MI 49016** **269-962-7505** **Fax: 269-962-4411** **E-Mail: sales@keyesdavis.com**	**St, Paul Stamp Works** **87 Empire Drive** **St. Paul, MN 55103-1856** **651-222-2100** **Fax: 651-228-1314** **E-Mail: spsw@stpstamp.com**

Plastic Identification Bands Only

These Companies Do Not Produce Metal I.D. Tags

Hollister Company **2000 Hollister Drive** **Libertyville, IL 60048** **1-800-323-4060**	**Products International Company** **2320 West Holly Street** **Pheoniz, AZ 85009** **602-257-0141**

United States Department of Agriculture

Marketing and Regulatory Programs

Animal and Plant Health Inspection Services

Animal Care

Dear Licensee/Registrant

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

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

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

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

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

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

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

_____

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

The Animal Welfare Regulations, Title 9, Subchapter A, Part II, Subpart C. Section 2.33 and Subpart D, Section 2.40 requires a Program of Veterinary Care.

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

ANIMAL CARE

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

FORM APPROVED OMB NO. 0579-0036

OFFICE USE ONLY

DATE RECEIVED

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

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

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

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

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

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

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

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

CHECK IF N/A ☐

SECTION II. DOGS AND CATS

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

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

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

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

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

3. INTESTINAL PARASITES *(Fecals, Deworming)*

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

D. EUTHANASIA

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

☐ VETERINARIAN ☐ LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

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

☐ Congenital Conditions
☐ Quarantine Conditions
☐ Nutrition
☐ Anthelmintic alternation
☐ Other *(Specify)* _____
☐ Exercise Plan *(Dogs)*
☐ Proper Handling of Biologics
☐ Venereal Diseases
☐ Pest Control and Product Safety
☐ Proper Use of Analgesics and Sedatives

CHECK IF N/A ☐

SECTION III. WILD AND EXOTIC ANIMALS

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

CARNIVORES

HOOFED STOCK

PRIMATES

ELEPHANTS

MARINE MAMMALS

OTHER *(Specify)*

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

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

2. BLOOD PARASITES

3. INTESTINAL PARASITES

C. EMERGENCY CARE

1. DESCRIBE PROVISIONS FOR EMERGENCY, WEEKEND AND HOLIDAY CARE

2. DESCRIBE CAPTURE AND RESTRAINT METHOD(S)

D. EUTHANASIA

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

☐ VETERINARIAN ☐ LICENSEE/REGISTRANT

2. METHOD(S) OF EUTHANASIA

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

☐ Pest Control and Product Safety
☐ Quarantine Procedures
☐ Zoonoses
☐ Other *(Specify)* _____
_____

☐ Environment Enhancement *(Primates)*
☐ Water Quality *(Marine Mammals)*
☐ Species-specific Behaviors
☐ Proper Storage and Handling of Drugs and Biologics
☐ Proper Use of Analgesics and Sedatives

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

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
- ☐ Pododermatitis
- ☐ Cannibalism
- ☐ Wet Tail
- ☐ Other *(Specify)*_____
- ☐ Species Separation
- ☐ Malocclusion/Overgrown Incisors
- ☐ Pest Control and Product Safety
- ☐ Handling

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

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. Your attending veterinarian must visit your facility at least once each year. This sheet should be kept with your PVC.

Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date

Program of Veterinary Care Instructions

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

Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date
Veterinarian Signature	Date

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

RECORD OF ACQUISITION AND DOGS AND CATS ON HAND

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

See reverse side for OMB information

FORM APPROVED
OMB NO. 0579-0036

1. RECORD FOR ("X")	USDA LICENSE OR REGISTRATION NO.	2. NAME AND ADDRESS OF LICENSEE, REGISTRANT, OR HOLDING FACILITY	3. BUSINESS YEAR		4. PAGE NO.
			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 NO.	B. DOG "X" M or F	C. CAT "X" M or F	D. AGE OR DATE OF BIRTH	E. WT.	F. BREED OR TYPE (If mixed breed, list 2 dominant breeds)	G. DESCRIPTION OF ANIMAL (Color, Distinctive Marks, Hair, Tail Tattoos, etc.)	H. DATE ACQUIRED	I. NAME AND ADDRESS USDA LICENSE OR REGISTRATION NUMBER, OR DRIVER'S LICENSE NUMBER AND STATE, VEHICLE LICENSE NUMBER AND STATE,	J. Date Removed or Sold	K. Date Died or Euthanized (Specify)
	M F	M F								
	M F	M F								
	M F	M F								
	M F	M F								
	M F	M F								
	M F	M F								

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

(Replaces VS Form 18-5 which may be used.)

BREED ABBREVIATIONS - DOGS (Column F)

Afghan Hound	- **AH**	Dachshund	- **DH**	Komondor	- **KM**	Shih-tzu	- **SI**
Airedale Terrier	- **AD**	Dalmation	- **DL**	Labrador Retriever	- **LR**	Silky Terrier	- **ST**
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 Sheperd	- **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**		

CATS (Col F)

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

TYPE (Column F)

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

*U.S.GPO:2003-521-439

RECORD OF ANIMALS ON HAND

(Other than Dogs or Cats)

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

This record is required by law (7 U.S.C. 2131-2156). Failure to maintain this record can result in suspension or revocation of license.

FORM APPROVED: OMB NO. 0579-0036

1. USDA LICENSE NO.	2. NAME AND ADDRESS OF DEALER	3. BUSINESS YEAR		4. PAGE NO.
		FROM *(Mo., Day, Yr.)*	TO *(Mo., Day, Yr.)*	

CONTAINER TAG NO. CRATE OR PEN NO.	NO. ANIMALS	INDIVIDUAL IDENT., TATTOOS OR TAG NOS. *(If applicable)*	SPECIES	AGE - SEX		ARRIVAL AT PREMISES			DISPOSITION		
				NO. YOUNG	NO. ADULT	INVOICE NO.	DATE *(Mo., Day, Year)*	FROM *(Name and Address) (Give License No., if Licensee)*	DATE SOLD, EXCHANGED OR DONATED: INVOICE NO.	DATE SOLD, EXCHANGED OR DONATED: MO., DAY, YEAR	DATE DIED *(Mo., Day, Yr.)*
A	B	C	D	E		F	G	H	I	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						

APHIS FORM 7019
(JAN 90)

Replaces VS 18-19 (9-72) which may be used.

INSPECTOR'S INITIALS	DATE

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

RECORD OF DISPOSITION OF DOGS AND CATS

☐ SALE ☐ EXCHANGE OR TRANSFER ☐ DONATION

FORM APPROVED OMB NO. 0579-0036

1. DATE OF DISPOSITION

2. PAGE 1 OF

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

3. SELLER OR DONOR *(Name & Address)*

4. BUYER OR RECEIVER *(Name)*

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

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

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

COMPLETE ITEMS A THRU G FOR EACH ANIMAL

A IDENTIFICATION NUMBER	B DOG "X" M OR F	C CAT "X" M OR F	D AGE OR DATE OF BIRTH	E WT.	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				
	M F	M F				

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

☐ COMMERCIAL SHIPPER ☐ BUYER'S VEHICLE ☐ SELLER'S VEHICLE

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

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

9. RECEIVED BY	10. SIGNATURE	11. TITLE	12. DATE

APHIS FORM 7006 (JUN 95) (Previous edition may be used.)

ORIGINAL - Seller's Record

BREED ABBREVIATIONS - DOGS *(Col. F)*

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

BREED ABBREVIATIONS - CATS *(Col. F)*

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

TYPE *(Col. F)*

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

APHIS FORM 7006 REVERSE

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				
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	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

This record is authorized by law (7 USC 2131-2156). 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.

FORM APPROVED
OMB NO. 0579-0036

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

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

☐ SALE ☐ EXCHANGE OR TRANSFER ☐ DONATION

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

1. INVOICE NO.	2. PAGE 1 OF
3. DATE OF DISPOSITION	
4. DEALER'S LICENSE NO.	

4. SELLER OR DONOR *(Name and Address, Include Zip Code)*	6. BUYER OR RECEIVER *(Name and Address, Include Zip Code)*
	7. USDA LICENSE NO. *(If any)*

8. IDENTIFICATON OF ANIMALS BEING DELIVERED

A. CONTAINER TAG NO., CRATE OR PEN NO.	B. NO. ANIMALS	C. PREVIOUS INVOICE NO. *(if any)*	D. INDIVIDUAL IDENT., TATTOOS, TAG NOS. *(if applicable)*	E. SPECIES	AGE - SEX F. NO. YOUNG	AGE - SEX G. NO. 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				

DELIVERY BY COMMERCIAL CARRIER

9. DELIVERY BY *("X" one)* ☐ Buyer's Truck ☐ Dealer's Truck (Seller or Donor)	10. TRUCK LICENSE NO.	11. BILL OF LADING NO.
12. NAME AND ADDRESS OF COMPANY OR FIRM	13. NAME AND ADDRESS OF TRUCK DRIVER	

DELIVERY RECEIPT - TO BE COMPLETED BY BUYER OR RECEIVER

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

15. TOTAL NUMBER RECEIVED	16. NUMBER DEAD	17. NUMBER ALIVE
18. BY *(Signature)*	19. TITLE	20. DATE

APHIS FORM 7020
(APR 93)

(Replaces VS FORM 18-20, which is now obsolete, and APHIS Form 7020 (10-90) which may be used.)

ORIGINAL - BUYER'S COPY (Receiver)

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. CONTAINER TAG NO., CRATE OR PEN NO.	B. NO. ANIMALS	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				
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					M / F	M / F				
					M / F	M / F				
					M / F	M / F				
					M / F	M / F				
					M / F	M / F				

APHIS FORM 7020A *Replaces VS Form 18-20A (9-88) which may be used.*
(JAN 90)

REQUEST TO ADD/DELETE SITES

Licensee/Registrant Name		
Licensee/Registrant Number		
I / We request	Addition ☐ Deletion ☐ of the following sites	
Site Number		
Name/Department		
Address		
City, State, Zip		
Building		
Floor/Room		
Contact Person		
Phone Number		
Site Number		
Name/Department		
Address		
City, State, Zip		
Building		
Floor/Room		
Contact Person		
Phone Number		
Site Number		
Name/Department		
Address		
City, State, Zip		
Building		
Floor/Room		
Contact Person		
Phone Number		
Facility Signature		Date:

Printed Name/Title	

REQUEST TO CANCEL LICENSE/REGISTRATION

Dear Animal Care,

As a designated representative for the facility below, I request that the indicated license/registration be cancelled.

☐Dealer ☐Exhibitor ☐Research ☐Carrier ☐Intermediate Handler

License Number:

Name:

Doing Business as:

Address:

Phone Number:

I voluntarily surrender this USDA license/registration effective on the date of signature below. The License/Registration certificate _____ . This facility will not engage in covered activities without being licensed by USDA.

_____ _____

Signature Date

Request to Use Microchipping as a Method of Identification

Name of Business:_____
Name of Owner:_____
Address:_____

City_____State_____Zip_____

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

Microchip Information:

Manufacturer and/or Model of Microchip and Reader_____

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

_____

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

I accept and understand that:

The microchip scanner must be readily available to APHIS officials.

Animal identification records must indicate the microchip number, the manufacturer of the chip, and the approximate location of the microchip in the animal.

When sold or given to another regulated facility, animals with a microchip must have an official tag or tattoo if the new facility does not have a compatible scanner.

APHIS may revoke an approval at any time if the microchipping system is discovered to be ineffective.

.

Licensee/Registrant Signature_____
Date_____

Inspector concurs with approval:
Inspector Signature_____
Date _____

Approved by Regional Office _____
Date_____

USDA, APHIS, Animal Care

SEARCH FOR UNLICENSED ACTIVITY

Search Conducted by	Date Conducted

Name of Establishment	Customer No. if applicable
Person Contacted	
Address	

City	State	Zip	Phone No

Reason for search

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

Application packet and information provided? Yes ☐ No ☐

Details of Search:

INSPECTOR	DATE
REVIEWED BY	DATE

State and Territory Identification Codes
National Uniform Tag Code Number

Arranged Alphabetically

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

Arranged Numerically

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

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.

Your SSN or EIN will no longer appear on the renewal form because of new security procedures. However, to renew, 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. 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: __ __ __ __ __ __ __ __ __

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

INSPECTOR CONTACT WITH SELLER/SOURCE:

☐ BY PHONE ☐ IN PERSON

UNSUCCESSFUL TRACEBACK
(Explain in comments)

☐ SOURCE LOCATED: Dealer record data incorrect.
☐ SOURCE LOCATED: Seller operating as unlicensed dealer
☐ SOURCE NOT LOCATED
☐ OTHER

COMMENTS

APPENDIX 8 - RESEARCH FACILITY INSPECTION

INDEX

IACUC REVIEW	All IACUC responsibilities, functions, and activities must be completely and thoroughly reviewed.
	You (the inspector) are responsible for conducting a complete and thorough inspection of a research facility=s IACUC. Detailed below are some aids to assist you in evaluating the IACUC. **However, you must use the regulations and your professional judgment to determine if an IACUC is in compliance.** Ways to assess that the IACUC is functioning properly include, but are not limited to: X written meeting minutes X audio tapes provided by the research facility X program of humane care and use X IACUC facility inspection reports X IACUC-related correspondence X memos/notes X e-mails and e-mail records X interviews with IACUC members X approved protocols X standard operating procedures X medical/surgical records X room temperature logs X maintenance records X cage wash water temperature certification records
Membership	In assessing IACUC membership, you should look for verification that: X all required positions are filled NOTE: If a required position(s) is unfilled, there is not a properly constituted IACUC and decisions made by this IACUC are invalid. X there is documentation of appointment of members by the Chief Executive Officer (CEO) X the DVM has acceptable experience and responsibility for animal care and activities X the nonaffiliated member represents the general public, i.e.,

	has no conflict of interest either personally or financially X there are no more than 3 members from one administrative unit of the research facility X IACUC members are qualified to assess the research facility=s animal program, facilities and procedures X IACUC members are properly trained and instructed in areas such as: < the Animal Welfare Act < protocol review < facility inspection NOTE: 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: X meetings are held at least every 6 months for the program review and/or facility inspection X all members are informed of all meetings, such as: < full IACUC meetings < subcommittee meetings < executive committee meetings X meetings are held at a time when all members, especially the nonaffiliated member, can attend X required members (Committee chair, nonaffiliated member and attending veterinarian) are in attendance at most meetings NOTE: If any required member is absent from a substantial number of meetings, the research facility may need to find a different person to fill the position. X all members have access to information distributed, e.g., if sent only over e-mail, all members must have e-mail X all members are sent information for an IACUC meeting in sufficient time prior to the meeting to be able to review the information X 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 X there is a mechanism for a member to request a full IACUC review of a protocol or participation in the appointed subcommittee review X if a member requests a full IACUC review of a protocol, a full

	IACUC review is conducted NOTE: For requirements for conducting meetings using telecommunications, see page 9.8.1.7 and Section 9.8.13.
Minutes	The IACUC meeting minutes should include: X a list of members who attended and/or who did not attend X all the activities conducted by the IACUC at the meeting X substance of the deliberations of the IACUC, not just the decisions reached X any minority views X approval of the minutes (usually of the previous meeting) by the IACUC (recommended but not required)
Program of Humane	In assessing the program review, you should look for verification

Care & Use Review	that: X the review is being conducted at least once every 6 months X if the IACUC adopted the AAALAC International Program Assessment report as its semi-annual program review, the following requirements were met: < the report complied with Section 2.31(c) < at least 2 members of the IACUC participated in the evaluation < no IACUC member wishing to participate was excluded < the report was signed by a majority of the IACUC members < the report included any minority views X all members are informed of the program review to be conducted by the appointed subcommittee in sufficient time to request participation X any member who wants to participate in the program review is allowed to do so X the program of humane care and use addresses all of the required areas X 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 X 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 X 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: X the facility inspection is being conducted at least once every 6 months X if the IACUC adopted the AAALAC International Program

	Assessment report as its semi-annual facility inspection, the following requirements were met: < the report complied with Section 2.31(c) < at least 2 members of the IACUC participated in the evaluation < no IACUC member wishing to participate was excluded < the report was signed by a majority of the IACUC members < the report included any minority views
X	all members are informed of the date and time of the facility inspection
X	all members are informed of the facility inspection to be conducted by the appointed subcommittee in sufficient time to request participation
X	any member who wants to participate in the facility inspection is allowed to do so
X	all of the animal holding, housing, and use areas are inspected
X	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
X	a report of the IACUC facility inspection: < is completed < is signed by a majority of the members < contains any minority views < is sent to the Institutional Official
X	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 Official (IO), you should look for verification that:
X	a report(s) is submitted at least every 6 months, after each program review and facility inspection
X	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) X 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 X recommendations to the IO regarding any aspect of the facility=s animal program, facilities, and personnel training are included in the report X the report is signed by a majority of the members X the report contains any minority views Other reports to the Institutional Official which should be requested and reviewed include, but are not limited to: X uncorrected significant deficiencies X notice of suspension of a protocol
	You should review: X how the reports are sent to the Institutional Official, and X if there is any confirmation from the IO that the reports were received NOTE: If you have a concern that the Institutional Official is not receiving the required reports/information, you should visit with the IO.
Protocol Activity Suspension	In assessing the IACUC=s suspensions of protocol activities, you should look for verification that: X the activity was reviewed and suspended at a convened meeting with a quorum of the IACUC present NOTE: A quorum means a majority of the voting members. X the suspension was approved by majority vote of the quorum present X 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 **NOTE:** If the reason for the protocol suspension was a noncompliance, then you should cite the noncompliance whether it has been corrected or not. If the noncompliance was corrected, you should state this in the citation. If not, follow the standard procedure for citing a noncompliance
Complaints/Concerns	In assessing the IACUC=s responsibility for addressing complaints or concerns, you should look for verification that: X adequate methods are in place for receiving complaints/ concerns from sources outside the research facility X adequate, confidential methods are in place for receiving complaints/concerns from sources inside the research facility X complaints or concerns were reviewed and, if appropriate, investigated for validity X appropriate action was taken on valid complaints/concerns X any allegation of reprisal was investigated X apparent valid allegations of reprisal were reported to the appropriate research facility official and Federal agency, if appropriate **NOTE:** If the issue in the complaint or concern was a noncompliance, then you should cite the noncompliance whether it has been corrected or not. If the noncompliance was corrected, you should state this in the citation. If not, follow the standard procedure for citing a noncompliance.

Records	In addition to the reports listed above, the following IACUC records must be available for review and in compliance with the AWA regulations: X protocols X proposed significant changes to protocols X IACUC approval or non-approval of protocols or proposed significant changes to protocols X 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 e-mail may be considered by the convened IACUC members but may not be counted as votes or considered as part of the quorum • Written minutes of the meeting are maintained as required

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)] X animal program X facilities X procedures There should be some form of verification that the Chief Executive Officer has appointed the IACUC members, such as: **X** written letters of appointment X documentation in the IACUC minutes X periodic letter/memo of reappointment **NOTE:** Except as specifically authorized by law or the Animal Welfare Act regulations, the Animal Welfare Act and its regulations do **NOT** authorize a research facility=s IACUC to dictate to a researcher how to conduct his/her research by: [2.31(a)] X *prescribing methods* for the design or performance of research or experimentation X *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, Policy #15]
Members	The IACUC must be composed of: [2.31(b)(2)] X a Chairperson X at least one Doctor of Veterinary Medicine (DVM) X at least one nonaffiliated member NOTE: To be a valid 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] X ensuring the qualifications of the members X providing training and instruction to the members in areas such as: < the Animal Welfare Act < protocol review < facility inspection Although not specifically prohibited by the AWA, APHIS strongly discourages one person from filling more than one of these positions, such as: [Policy #15] X the DVM being the Chairperson X the nonaffiliated member being the Chairperson Note: APHIS also strongly discourages the research facility=s Institutional Official 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)] X Biology Department X Cardiology Department
Chairperson	The Chairperson is responsible for all activities of the IACUC including, but not limited to: X scheduling meetings X setting the agenda for meetings

	X sending a list of protocols to be reviewed to members X moderating the meetings X ensuring the research facility=s compliance with the AWA and its regulations and standards X keeping records of activities X informing the Principal Investigator of the IACUC=s decisions regarding his/her protocol X sending the required reports to the Institutional Official Note: The Chairperson may delegate one or more of these activities to other IACUC members or research facility staff.
Doctor of Veterinary Medicine	The Doctor of Veterinary Medicine must have: [2.31(b)(3)(i)] X training or experience in laboratory animal science or medicine, and X direct or delegated responsibility for activities involving animals at the research facility, and X ability to critically review a protocol for veterinary care issues NOTE: A research facility=s Attending Veterinarian may fulfill the role of the DVM on the IACUC or the position may be filled by another veterinarian.
Nonaffiliated Member	The nonaffiliated or outside member represents the interests of the general public and must **NOT** be: [2.31(b)(3)(ii), Policy #15] X a member of the immediate family of a person who is affiliated with the research facility X a laboratory animal user at any research facility X a person with a financial interest in the facility, such as an animal supplier X compensated to an amount which jeopardizes the member=s status as a nonaffiliated member Compensation for the nonaffiliated member may include: [Policy #15] X travel expenses X parking X meals X a modest monetary payment which does **not**:

	< become an important source of income < influence voting on the IACUC Examples of nonaffiliated members include, but are not limited to: X clergy X retirees X humane society volunteers or employees X practicing veterinarians X physicians X biologists not conducting animal research X bioethicists X non-research staff members from other institutions

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)] X conduct a full committee review X appoint a subcommittee of at least two members to conduct the review. Note: NO IACUC member wishing to participate in the review may be excluded. X 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: X the report complies with Section 2.31(c) X at least 2 members of the IACUC participated in the evaluation X no IACUC member wishing to participate was excluded X the report was signed by a majority of IACUC members X 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), Policy #17] Additional resources which may be used include, but are not limited to: X AGuide for the Care and Use of Laboratory Animals@ published by the Institute of Laboratory Animal Resources (most current edition) X AGuide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching@ published by the Federation of Animal Science Societies (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:

X IACUC functions, such as:
- < required meetings
- < attendance at meetings, especially non-affiliated member
- < dissemination of protocols to members
- < review of humane care and use program
- < review of standard operating procedures (SOPs)
- < protocol review
- < suspended activities
- < complaint review
- < recommendations to the Institutional Official
- < reports to the Institutional Official
- < IACUC meeting minutes
- < IACUC records

X IACUC-approved departures/exceptions/exemptions (Annual Report requirement which may or may not be in the program of humane care and use), such as:
- < food/water deprivation or restriction
- < exemptions from the exercise plan for dogs
- < exemptions from the environmental enhancement plan for nonhuman primates
- < use of an animal in more than one major survival surgery
- < maintaining animals at temperatures outside the ranges specified by the standards
- < exceptions to the cleaning or sanitation requirements
- < exceptions to the diurnal lighting cycle requirement
- < exceptions to the space requirement (including innovative enclosures and metabolism cages)

X animal care, such as:
- < housing
- < environment
- < environmental enrichment for nonhuman primates
- < exercise for dogs
- < food/water
- < cleaning/sanitation

	X veterinary care, such as: < emergency, weekend, and holiday care < anesthesia and surgery < pre/post-procedural care < pain/distress management < euthanasia X identification X records X personnel issues, such as: < qualifications < training The findings of the program review must be included in a report to the Institutional Official. [2.31(c)(3)]

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: X all sites (including remote sites) where animals are housed for more than 12 hours or used (including laboratories) X study areas where animals are confined for a prolonged period of time Note: Field study areas are not required to be inspected. X housing areas X holding areas NOTE: Animals may be held without being on a protocol but are subject to compliance with the AWA regulations and standards and IACUC inspection. X all animal study areas, including equipment, where animals are housed for more than 12 hours, such as: < cages < restraint chairs < slings < monitoring devices NOTE: It is strongly recommended that the IACUC inspect areas where animals are housed for less than 12 hours. X food & bedding storage areas X cage cleaning areas X surgical suites and prep areas X drug storage areas, including investigators= labs and offices, if appropriate X loading docks and transport equipment, such as: < transport cages < vehicles X 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 In addition to inspecting the facilities, the IACUC should conduct: X an assessment of the condition of the animals X an assessment of the care of the animals X a review of management practices

	X an assessment of animal users and caretakers ability to recognize problems of animal health and behavior X a review of the mechanism for animal users and caretakers to report animal health problems or concerns Note: The IACUC should encourage employees to bring any questions, problems or concerns about the care or use of the animals to its attention. Animal facilities which do **not** need to be inspected are: X areas used exclusively for non-regulated animals X areas containing free-living wild animals in their natural habitat X housing areas at another research facility if the IACUC has delegated responsibility for the animals housed in those areas to the other research facility=s IACUC. NOTE: The IACUC should document that it has delegated the facility inspection responsibility to the other research facility=s IACUC. X sites which are not in the United States or U.S. territories (foreign sites) NOTE: 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: [2.31(c)(3)] X conduct a full committee inspection X appoint a subcommittee of at least **two** members to conduct the inspection. NOTE: NO IACUC member wishing to participate in the inspection may be excluded. X 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: X the report complies with Section 2.31(c) X at least 2 members of the IACUC participated in the evaluation X no IACUC member wishing to participate was excluded X the report was signed by a majority of IACUC members X 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: X AGuide for the Care and Use of Laboratory Animals@ published by the Institute of Laboratory Animal Resources (ILAR) (most current edition) X AGuide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching@ published by the Federation of Animal Science Societies (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, Policy #11, #12, and #14]
Criteria	In order to approve a protocol or significant change to an approved protocol, the IACUC must: X review those components of the activities related to the care and use of animals, **and** X determine that the proposed activities meet and comply with the AWA regulations and standards unless the IACUC approves scientific justifications for the departures
Protocol Requirements	A protocol to conduct an activity involving animals must contain **and comply** with the requirements/assurances detailed below.
General Requirements	Protocols must meet the following requirements:: X provide the rationale for using animals [2.31(e)(2)] X identify the species of animals to be used [2.31(e)(1)] X provide a rationale for the appropriateness of the species [2.31(e)(2)] X provide the approximate number of animals to be used [2.31(e)(1)] X provide a rationale for the number of animals to be used [2.31(e)(2)] X describe the proposed use of the animals, including final disposition of the animal [2.31(e)(3)] X contain a written assurance from the principal investigator that the proposed activities do not unnecessarily duplicate previous experiments [2.31(d)(1)(iii)] X medical care will be: [2.31(d)(1)(vii)] < available when necessary, and < provided by a qualified veterinarian X the animals= living conditions, housing, feeding, and nonmedical care will be: [2.31(d)(1)(vi)] < appropriate < in accordance with the AWA standards < directed by the attending veterinarian or other qualified scientist X all personnel who will be conducting the proposed activities on the animals are qualified and trained [2.31(d)(1)(viii)]

	X pain/distress/discomfort are minimized [2.31(d)(1)(i) & 2.31(e)(4)] X contain a complete description of procedures designed to assure that pain/distress/discomfort are minimized [2.31(e)(4)] X 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. Examples of procedures that can be expected to or may cause more than momentary pain or distress include, but are not limited to: [Policy #11] X surgery (survival or terminal) X use of Freund=s Complete Adjuvant X ocular or skin irritancy testing X food or water deprivation X electrical shock, thermal stress, large doses of radiation X paralysis or immobility in a conscious animal X forced exercise Protocols with procedures that may cause pain or distress must meet the following requirements: X the principal investigator(s) has considered alternatives to the painful/distressful procedure [2.31(d)(1)(ii)] NOTE: Refinement and reduction as well as replacement should be considered in minimizing pain and distress. X **for electronic database searches:** a written narrative describing the methods and sources used to determine that alternatives were **not** available, including, but not limited to: [2.31(d)(1)(ii), Policy #12] < date of the search < databases searched < years covered by the search < search strategy(s) used X **for non-electronic searches:** a written narrative describing the methods and sources used to determine that alternatives were **not** available, including, but not limited to: [2.31(d)(1)(ii), Policy #12]

	< years covered by search < search strategy(s) used < sources consulted, including, if applicable: R reliable unpublished research data R expert consultation (list credentials) X painful/distressful procedures will be performed with appropriate: [2.31(d)(1)(iv)(A)] < sedatives < analgesics < anesthetics X 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 X 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] X paralytics (if used) will not be used without anesthesia [2.31(d)(1)(iv)(C] X animals experiencing severe or chronic pain/distress that cannot be relieved will be humanely euthanized [2.31(d)(1)(v)]
Surgical Procedures	**Pre- & Post-Surgical Care** Protocols that involve surgery must detail the provisions for **pre- and post**-operative care of the animals in accordance with accepted veterinary and nursing practices, such as: [2.31(d)(1)(ix)] X adequate post-procedural observation and monitoring X adequate monitoring of recovery until sternal X placing animal in appropriate recovery or post-recovery environment For *pain/distress-relieving drugs*, the protocol should clearly specify: [2.31(e)(4)]

X anticipated signs of pain and distress
X when drugs should be administered
X when drugs should not be administered, if required for scientific reasons
X drugs to be used
X dosages and routes of administration
X frequency of administration
X person(s) who is responsible for determining when pain-relieving drugs are needed, if appropriate

NOTE: A APRN@ or Aas 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:
X surgical gloves
X masks
X sterile instruments
X aseptic technique
NOTE: Surgery is survival if the animal regains consciousness during or after the operative procedure.

Non-Survival Surgery
Non-survival surgery:
X must be performed in accordance with established veterinary medical and nursing practices
X does **not** require a dedicated surgical facility

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.

Examples of major operative procedures include, but are not limited to:
X thoracotomy
X laparotomy
X craniotomy

X thyroidectomy
X joint replacement
X amputation

Non-major Operative Procedure [2.31(d)(1)(ix)]
Non-major operative procedures on regulated animals:
X must be performed using aseptic procedures
X do **not** require a dedicated surgical facility

Examples of minor operative procedures include, but are not limited to:
X peripheral vessel cannulation
X wound suturing
X tooth extraction

Rodent Surgery [2.31(d)(1)(ix)]
Surgery on rodents:
X must be performed using aseptic procedures
X does **not** require a dedicated surgical facility

Field Site Surgery [2.31(d)(1)(ix)]
Surgeries conducted at field sites:
X must be performed using aseptic procedures
X do **not** require a dedicated surgical facility

Multiple Survival Surgeries [2.31(d)(1)(x), Policy #14]
An animal may **not** be used in more than one major operative survival procedure UNLESS the multiple procedures are:
X **within one protocol**, and
X justified, in writing, for scientific reasons, and
X approved by the IACUC

An animal may **not** be used **in two separate protocols** with major operative survival procedures UNLESS:
X approved by the IACUC, and
X an exemption is approved by the APHIS Administrator

The request for approval of the exemption by the APHIS Administrator should: [Policy #14]

	X be made by the research facility=s Institutional Official X be in writing X contain the research facility=s USDA registration number X contain: 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 10. An assurance that the facility's IACUC has approved the exemption. X be sent to the appropriate Animal Care Regional Office NOTE: An animal that has a routine veterinary procedure, such as spaying, neutering or descenting, or an emergency major operative procedure for health reasons may be used in a protocol that requires a major survival surgery.
Exceptions/ Exemptions	Protocol exceptions or exemptions to a particular AWA regulation or standard must be: X justified in writing X for scientific reasons X approved by the IACUC Examples of exceptions/exemptions include, but are not limited to: X use of a method of euthanasia other than one approved

	in the most current *Report of the AVMA Panel on Euthanasia* X continuous restraint, i.e., for over 12 hours, of a nonhuman primate X use of an animal in more than one protocol involving a major operative procedure from which it is allowed to recover X 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) X maintaining animals at temperatures outside the ranges specified in the standards X housing an animals in smaller than required caging, such as cages in animal study areas or metabolism cages X failure to clean and/or sanitize at required frequency X failure to provide a diurnal light cycle X exceptions from the exercise plan for dogs X exceptions from the psychological well-being plan for nonhuman primates NOTE: Field studies which meet the following criteria are exempt from the regulations and do **not** require a written, approved exemption. The study does **not:** [1.1, 2.31(d)(1)] X involve an invasive procedure X harm the animals under study X materially alter the behavior of the animals under study
Pilot Studies	Protocols approved as **pilot studies** should be followed up with: < a review of the results of the pilot study < re-submission of the protocol by the principal investigator, if appropriate < evaluation and approval/denial of the re-submitted protocol

INSPECTION PROTOCOL REVIEW	Protocols and the IACUC=s 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: X IACUC approved protocols and changes to protocols X the IACUC=s monitoring of protocol activity X 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: 1. determine the number of protocols subject to your (the inspector) review including: < active protocols, AND < inactive protocols from the past 3 years, and < protocols where no regulated species are present at the facility 2. if the number is small, review all of the research facility=s protocols for regulated animals, OR 3. if the number is large, review a representative sample of active and inactive protocols. such as: < for each regulated species < for high profile species, such as dogs, cats, or nonhuman primates < for high profile procedures, such as ASpecific Types of Protocols@ starting on page 9.8.7.5 < for different PIs < for each Category with animals listed on the past 3 years Annual Reports < protocols involving invasive procedures, e.g., skull cap placement, laparotomy, or thoracotomy < food and/or water restriction protocols < antibody production protocols 4. review all Column E protocols **NOTE:** The list of protocols reviewed by the IACUC may be used to

	determine the number of protocols and the specific protocols to be reviewed by you. Note: You may need to ask for a list of inactive protocols. Ways to verify IACUC activities include, but are not limited to, review of: X protocols X protocol submission forms X written meeting minutes X audio meeting minutes X correspondence X memos/notes X e-mail correspondence and e-mail records X interviews with IACUC members X Compliance Office/Officer activities, if the facility has a Compliance Office
PROTOCOL APPROVAL	
Process	In assessing the protocol approval process, you should look for verification that: X all protocols involving regulated animal use are submitted to the IACUC X NO animal activity is started before the protocol has been properly approved NOTE: No IACUC member can approve a protocol or give permission for an animal activity to start before the protocol has gone through the proper approval process. X the IACUC has a mechanism for distributing protocols and other pertinent information to IACUC members which is accessible to all members, i.e., if distributed by e-mail, all members have e-mail or an alternate method of distribution is used for members without e-mail X 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 X if the protocol was reviewed by the full IACUC: < there was a quorum present < approval was by a majority vote of the quorum X no IACUC member voting on the protocol had a conflicting interest

	X any **significant changes to protocols** were approved using the same procedures as for a protocol review X any IACUC requested additions or changes to protocols were made before final approval was given X all IACUC decisions regarding protocols, or significant changes to protocols are documented in writing and available for inspection X no official, department, or committee of the research facility overrides IACUC denials of protocols or significant changes to protocols. NOTE: 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: X the Principal Investigator is notified in writing of the IACUC=s decision on his/her protocol X if protocol approval was denied, the IACUC: < notified the Principal Investigator of the reason for the denial < gave the Principal Investigator the opportunity to respond
Annual Review	In assessing the annual review of protocols, you should look for verification that: X all active protocols are reviewed by the IACUC or a subcommittee annually X all IACUC members are informed of the annual reviews X all members are given the opportunity to participate in the annual reviews X the IACUC reviews and decisions are documented in writing and available for inspection

PROTOCOL REVIEW

General Requirements

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

X the rationale for using animals is clearly stated and acceptable

X the species of animal(s) to be used is clearly state

X the appropriateness of the species is adequately and scientifically justified

X the number of animals to be used is clearly stated

X how the approximate number of animals to be used was determined is clearly stated or shown, such as:

- < required for statistically significant results (tests used or statisticians consulted should be included)
- < based on scientific literature or past experience (references should be cited)
- < based on results of pilot study
- < required by FDA or other Federal agency (Federal code, regulation or standard, etc., must be cited)
- < required by international testing requirements (code, regulation, standards, etc. must be cited)
- < number of students/animal and procedures needed to learn

X the proposed use of the animals is clearly and adequately detailed

X the principal investigator has provided a written assurance that the proposed activity is not an unnecessary duplication of previous experiments

X medical care is provided for the animals when needed

X the animals= living conditions and care are adequate and appropriate

X personnel conducting the research or handling the animals are properly trained and qualified

X there is a description of how pain/distress/discomfort are minimized, if applicable

X disposition of animals at termination of study is stated, including harvesting of tissues or body parts

X 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

X any exemption/exception to the AWA regulations or standards is adequately justified

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

Specific Types of Protocols

Painful/Distressful Procedures

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

X the principal investigator has considered alternatives to the painful/distressful procedure

X there is a detailed narrative describing the methods and sources used to determine that no alternatives to the painful/distressful procedure are available

X measures used to alleviate the pain/distress are clearly stated, including:

< drugs, dosages, and frequency of administration

NOTE: A APRN@ or Aas needed@ frequency of administration is not acceptable unless there are detailed instructions and criteria for determining administration of the drug.

< other methods, such as:

R hydrotherapy

R hot/cold packs

X measures used to relieve pain/distress are adequate, i.e., correct drug, dose, frequency, etc.

X availability of experienced personnel, especially at night and on weekends, to assess and administer pain relief

X if pain/distress relief is not to be used, there is an adequate justification

X the principal investigator has consulted and involved the attending veterinarian or his/her designee in the planning of the procedure and pain/distress relief

X if a paralytic is used, it is used with anesthesia

X animals experiencing severe or chronic pain/distress that cannot be relieved will be humanely euthanized

X the endpoint has been determined and identified

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

Antibody Production Protocols

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

X the principal investigator has considered alternatives for painful/distressful procedures, such as, www.nal.usda.gov/awic/pubs/antibody/overview.htm

X an alternatives search, if done, was properly conducted and reviewed for possible alternative procedures

X 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

X there is a complete description of the procedure to induce antibody production and the collection of blood/serum

X 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:

X the food/water deprivation or restriction is adequately justified

X if the animals are likely to experience distress, the principal investigator has considered alternatives to the distressful procedures

X an alternatives search, if done, was properly conducted and reviewed for possible alternatives to procedures that may cause more than momentary pain or distress

X procedures used to restrict food/water are adequately described and easily understood

X procedures for selection of animals and training and monitoring the animals are described in detail

X baseline physiological data is being collected
X physiological parameters are being monitored during the study, such as:
  < body weight
  < hydration status
  < behavioral changes
  < plasma osmolality
X 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
X supportive care is provided to any animal suffering dehydration or stress
X if supportive care is not provided, there is an appropriate scientific justification for not doing so
X how the animals= daily food and water intake was determined
X 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
X 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
X 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:

X the use of the NMB is appropriate
X 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

X the NMB is being used with general anesthesia

X all personnel working with the animal and NMB are properly trained in its use and possible adverse reactions

X the animal is being properly monitored, such as:

< heart rate and blood pressure

< level of anesthesia. NOTE: Pain withdrawal response is **NOT** an appropriate measure of level of anesthesia as this response would be prevented by the NMB.

X appropriate supportive care, such as ventilatory support, is being provided during anesthesia

X surgical and anesthesia records are being kept and contain the appropriate information

X recovery procedures are appropriate, i.e.:

< the animal is recovered from the NMB before being allowed to recover from the anesthesia

< recovery is being monitored

Surgical Procedures

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

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

X the surgical procedure is stated clearly and in detail

X all survival surgeries are performed using aseptic technique

X major operative survival surgeries on non-rodents are performed in a dedicated surgical facility

X no animal is being used in more than one major operative survival surgery UNLESS appropriately approved

X post-surgical procedures are stated clearly and in detail, such as:

< observation and monitoring of recovery

< any special recovery environment requirements

X 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

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

Teaching Protocols

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

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

X 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

X there is a complete description of the procedures to be used

X the number of procedures to be performed on each animal is clearly stated, such as, injections per animal

X the personnel doing the teaching are qualified and properly trained

X 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:

X 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:
< Local Lymph Node Assay
< Up-and-Down Procedure
(See http://iccvam.niehs.nih.gov/about/overview/htm)

X the justification for the number of animals to be used was

	appropriate
	X if the number of animals required is set by a government agency, the specific regulation or guideline is cited in the protocol
	X appropriate methods are being used to relieve any pain or distress, unless scientifically justified
	X animal technicians and caretakers are properly trained in identifying problems and procedures to follow
	X the end point has been determined and identified
INSPECTION PROCEDURES	Listed below are some additional aids to assist you in determining if the procedures outlined in the protocols are being followed:
	X if protocol numbers are not listed on the cages, ask for the protocol numbers of random animals. NOTE: Animals may be held but cannot be used without being on a protocol.
	X choose random protocol numbers from cage cards or animal charts/records and check in IACUC records that these protocols were approved
	X 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
	X ask how the facility checks the accuracy of its methods for tracking the number of animals
	X ask for exemption/exceptions to the regulations or standards, then check the protocol to determine that the exemption/ exception was approved
	X 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
	X watch the animal care staff, principal investigators or laboratory personnel handle the animals (or ask them to handle the animals)

X review medical records/investigator=s logs to determine that animals with painful/distressful procedures received the proper pain/distress relieving drugs, if applicable

X observe animals for signs of unrelieved pain (see page 9.8.6.12)

X ask about weekend staffing, animal observation and medical care

X determine if the medical or emergency contact people=s numbers are readily available, such as:

- < on bulletin boards
- < in the animal rooms
- < in medical records/charts
- < in protocols

X observe surgeries to determine that they are being conducted using aseptic technique and in dedicated surgical facilities, if required

X 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

X 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:
  - R an assessment of the animals
  - R effectiveness and soundness of the methods used on the animals
  - R effectiveness and soundness of the procedures used on the animals
  - R procedures used to minimize pain and distress
- < evaluation must be included in the IACUC reports

SPECIES-TYPICAL SIGNS OF PAIN*

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

PIGS	changes in social behavior, gait and posture, *excessive* squealing when handled, unwilling to move, hiding

******These are possible signs of pain and do not necessarily mean the animal is in pain. A lack of these signs also does not mean that the animal is not in pain.
Italics - added by Manual Team

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

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 animal 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)] X approve the protocol, OR X require modifications in the protocol to secure approval, OR X withhold approval of the protocol The IACUC review must be conducted by: [2.31(d)(2)] X full Committee review, or X 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: R approve R require modifications in the protocol to secure approval, or R request a full IACUC review of the protocol Note: 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: [2.31(d)(2)] X a list by the IACUC chair or his/her designee of the protocols to be reviewed X upon request, a copy of any protocol **NOTE:** 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)] X contribute to the constitution of a quorum X participate in the review or approval of the protocol NOTE: The member may provide information about the activity proposed in the protocol. *Full Committee Review* If a protocol is reviewed by the full Committee: [2.31(d)(2)] X the review must be conducted at a convened meeting with a quorum of the IACUC, AND X approval must be by a majority vote of the quorum present *Subcommittee Review (Designated Reviewer)* The Designated Reviewer(s) has the authority to: X approve a protocol X approve a significant change(s) to a protocol X require modifications to a protocol/significant changes X request a full IACUC review A protocol or significant change approved by the Designated Reviewer does **not** need to be reviewed and approved by the full IACUC. NOTE: Only after all members of the IACUC have decided that a full committee review of a protocol is not necessary, can the protocol be reviewed by the Designated Reviewer.
Consultants	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)] X approve or withhold approval of a protocol

	X vote with the IACUC
Notification	The IACUC must notify in writing the principal investigator(s) and the appropriate person(s) at the research facility (usually the Institutional Official or his/her designee) of its decision regarding the approval of the protocol. [2.31(d)(4)] If the IACUC decides to withhold approval or require modifications in the protocol, it must: [2.31(d)(4)] X include in its written notification the reason for the decision X 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 IACUC=s satisfaction. Any change in the IACUC=s decision must be documented in the minutes. [2.31(d)(4)]
Annual 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)(5)] The annual reviews 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: X increase or decrease in the number of animals X addition of a new species X new procedure or change in a procedure being used X change in pain classification of the procedure X major/critical change in post-procedural pain management X change from terminal to survival surgery X change in personnel conducting the procedures NOTE: If a proposed change to a protocol is minor, it may be handled administratively or at the annual review.

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: [2.31(d)(8)] X the Institutional Official X the Department Head X Grants and Funding Committee X Safety Committee X Radiation Safety Committee HOWEVER, these officials may **NOT** approve a protocol or significant change that has **not** been approved by the IACUC. [2.31(d)(8)] NOTE: The research facility may have an internal policy requiring further approval of a protocol or significant change by a non-IACUC official for the protocol or significant change to be implemented BUT this is an internal issue, not an AWA/Animal Care issue.

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)] X described by the principal investigator, AND X approved by the IACUC The IACUC may suspend an activity **only**: [2.31(d)(6)] X after review of the matter at a convened meeting, and X if a quorum of the IACUC is present, and X 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)] X review the reasons for the suspension X take appropriate corrective action X 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)] X describe how and to what extent the research facility meets the AWA regulations and standards (title 9, chapter I, subchapter A - Animal Welfare) X describe in detail any departure from the AWA regulations and standards and include: < the reason for the departure < a classification of the departure as a significant deficiency or a minor deficiency. Note: A significant deficiency is one which is or may be a threat to the health or safety of the animal. < a reasonable and specific plan for correcting the deficiency < a schedule with dates for correcting the deficiency X identify any IACUC-approved exemptions and variances and include: < a description of the exemption/variance, and < reason for the exemption/variance X describe any recommendations to the Institutional Official regarding any aspect of the research facility=s: < animal program < personnel X include any minority views X be reviewed and signed by a majority of the IACUC members An updated Program Review Report must be submitted to the Institutional Official at least once every 6 months. [2.31(c)(3)] NOTE: This report may be submitted separately or in combination with the Facility Inspection Report.
Facility Inspection Report	The Facility Inspection Report must: [2.31(c)(3)] X describe how and to what extent the research facility meets the AWA regulations and standards

	(title 9, chapter I, subchapter A - Animal Welfare) X describe in detail any departure from the AWA regulations and standards and include: < the reason for the departure < a classification of the departure as a significant deficiency or a minor deficiency. Note: A significant deficiency is one which is or may be a threat to the health or safety of the animal. < a reasonable and specific plan for correcting the deficiency < a schedule with dates for correcting the deficiency X describe any recommendations to the Institutional Official regarding the animal facilities X include any minority views X 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)] NOTE: 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 Institution Official, must: [2.31(c)(3)] X prepare a written report describing: < the uncorrected deficiency < the reason why the deficiency was not corrected < the research facility=s plan of action X 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]
Records	The IACUC records which must be maintained include, but are not limited to: X minutes of the IACUC meetings, including: < a list of members who attended and/or did not attend < all the activities conducted by the IACUC at the meeting < substance of the deliberations of the IACUC, not just the decisions reached < any minority views < approval of the minutes (usually of the previous meeting) by the IACUC X verification of appointment of IACUC members by the Chief Executive Officer (CEO) X records relating to animal activities, including: < protocols < proposed significant changes to protocols < IACUC decisions on protocols and proposed changes < notification of suspension of protocol < annual review of protocols X program of humane care and use X semi-annual reports, including: < review of humane care and use program < facility inspection < report of program review to the Institutional Official, including minority views < significant deficiency reports X recommendations to the Institutional Official X complaint investigations X approved exemptions/exceptions to the regulations or standards (Annual Report requirement)
Retention	All records and reports must be maintained: [2.35(f)] X at least 3 years, or X longer if: < necessary to comply with any applicable Federal, State, or local law

	< the APHIS Administrator notifies the research facility, in writing, that specified records must be retained pending completion of an investigation or proceeding NOTE: The APHIS Administrator will inform the research facility, in writing, when the records may be disposed of. Records must be held at least 3 years from the date: [2.35(f)] X an animal is disposed of or euthanized X of completion of the IACUC-approved protocol X of completion of the IACUC-approved significant change to a protocol
Availability	Records must be available for inspection and copying by: [2.35(f)] X any APHIS official X any Federal funding agency representative APHIS inspectors will: [2.35(f)] X maintain the confidentiality of the information X not remove the records from the research facility=s premises UNLESS: < there has been an alleged violation < the records are needed to investigate a possible violation < the records are needed for enforcement purposes NOTE: Release of any materials removed from the facility that contain trade secrets, or commercial or financial information that is privileged or confidential will be governed by applicable sections of the Freedom of Information Act.

OTHER 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)] X inadequate pain relief X inadequate veterinary care X animal use activities not approved by the IACUC X use of stolen animals Sources of these concerns/complaints may include, but are not limited to: X laboratory or research facility personnel or employees X the general public, such as: < animal protection groups < city, county, or State agency < APHIS personnel < another Federal 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 violations to the AWA regulations and standards by a: [2.32(c)(4)] X facility employee X IACUC member X 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)] X animal program X animal facilities X 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: X detecting deviations from the AWA regulations and standards X ensuring proper care and use of the animals X ensuring investigator compliance with the IACUC-approved protocol X detecting changes not approved by the IACUC in protocol animal use activities X detecting any non-IACUC-approved use of animals

ELECTRONIC COMMUNICATION	Some forms of electronic communication systems may be used to conduct IACUC functions.
IACUC Meetings	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: X all members are given notice of the meeting X documents normally provided to members during a physically-convened meeting are provided to all members in advance of the meeting X all members have access to the documents and the technology necessary to fully participate X a quorum of voting members is convened when required X 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) X if a vote is called for, the vote occurs during the meeting and is taken in a manner that ensures an accurate count of the vote. Note: A mail ballot or individual phone polling cannot substitute for a convened meeting. X opinions of absent members that are transmitted by mail, telephone, fax, or e-mail may be considered by the convened IACUC members BUT may not be counted as votes or considered as part of the quorum X 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: X conference calls X audio-visual conferencing Fax, e-mail, and one-on-one communication via telephone are **not** acceptable methods for conducting IACUC functions which require a convened meeting, such as: X protocol review X approving a protocol X review and endorsement of semi-annual program review and facility inspection reports being sent to the Institutional Official X suspension of an activity The use of e-mail 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 e-mail is an acceptable method for the receipt or distribution of information by the IACUC, such as: X protocols from principal investigators X proposed changes to approved protocols from principal investigators X meeting notifications X agendas X meeting handouts X protocols/changes to protocols to IACUC members X request for a full committee review of a protocol X minutes of meetings X correspondence X reports X standard operating procedures (SOPs)

A = Appendix RF = Research Facility

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