



Animal and Plant
Health Inspection
Service

RE: Annual Report

September 15, 2021

Animal Care

Fort Collins Office
2150 Centre Avenue
Building B, 3W11
Fort Collins, CO
80526
Phone: 970-494-7478

Dear Registrant:

Animal Welfare Act (AWA) regulations require all research registrants to file an **Annual Report of Research Facility** (APHIS Form 7023) with the USDA's Animal Care program. This annual report documents activities and animal usage for each fiscal year (October 1 through September 30). All annual reports are required to be submitted to Animal Care by December 1st of each year. Even if no animals were held or used during the fiscal year an annual report must be completed and submitted. Likewise, registrants whose registrations were canceled or terminated during that fiscal year must complete and submit an Annual Report. Failure to submit an annual report constitutes a violation of the Animal Welfare Act regulations.

Annual reports must be submitted to the Animal Care's office by entering and submitting the reports in our online electronic filing system. The online electronic filing system and other annual report information can be found on our website at;
https://www.aphis.usda.gov/aphis/ourfocus/animalwelfare/SA_Obtain_Research_Facility_Annual_Report.

Please fill out all the applicable fields that are related to the research facility using the online electronic filing system. Also, please make sure that the totals listed in Column F are properly calculated.

Thank you for your prompt attention to this matter. We appreciate your efforts in adhering to the Animal Welfare regulations. If you have any questions, please contact our office at 970-494-7477 or AnimalCare@usda.gov.

Sincerely,

Elizabeth Goldentyer, D. V. M.
Deputy Administrator
USDA, APHIS, Animal Care

Enclosures

2021 ANNUAL REPORTING GENERAL GUIDANCE



This document provides step-by-step guidance for completing your Annual Report online at https://www.aphis.usda.gov/aphis/ourfocus/animalwelfare/SA_Obtain_Research_Facility_Annual_Report. When completing your Annual Report, remember to only include information for this reporting period: *October 1, 2020 to September 30, 2021*.

ANNUAL REPORT INSTRUCTIONS

- ITEM 1** — Review the registration number.
- ITEM 2** — Review the name, mailing address, and telephone number of the Headquarters Research Facility, as registered with the USDA.

If the name or business information has changed, please notify Animal Care as soon as possible. Correcting this information cannot be done in the online system.

- ITEM 3** — Review the location of all facilities where animals were housed or used in actual research, testing, teaching, or experimentation, or were held for these purposes (attach additional sheets if necessary). Do not include specific buildings, laboratory names, or room numbers.

- ITEMS 4–13** — Enter the required information for each regulated animal in Columns A-F.

Use common names rather than scientific names for all species. When submitting online, the system will allow you to add additional rows.

- COLUMN B** — Include all regulated animals the facility physically possesses on September 30, if those animals were:

- > bred, conditioned, or held for research, testing, teaching, or experiments, but not used in a project, including those that died without being used for a project during this reporting year;
- > used for research, testing, teaching, or experiments in prior years but were not used this reporting year;
- > used for breeding and their offspring, even if they were not used for research this reporting year, provided that such breeding colony animals are not for commercial sales.

Animals held but not used during the reporting year, and that have been moved to another facility and are not present at the facility on September 30, should only be reported by the facility currently in possession of them.

- COLUMN C** — Enter the number of animals that underwent study-related procedures that involved no more than slight or momentary pain, distress, or use of pain-relieving drugs. Routine procedures (e.g., injections, tattooing, blood sampling) should be reported here.

- COLUMN D** — Enter the number of animals that underwent study-related procedures that involved more than momentary pain or distress that was alleviated with anesthetics, analgesics or tranquilizers.

- COLUMN E** — Enter the number of animals that experienced more than slight or momentary pain or distress that could not be relieved for study-related reasons. These require attached explanations. (More information is on the next page and a template has been included.)

Note that other methods may be used to relieve more than slight or momentary pain or distress. Examples include other types of pharmacologic agents, nursing care, or other palliative methods. However, the methods used must be substantively effective (able to reduce pain and distress to that which is slight or momentary) in order to change categorization from a Column E to a Column D.

- COLUMN F** — DO NOT include Column B numbers into the totals for Column F. Column F should only include Columns C + D + E totals.

DOS AND DON'TS

- + **DO** submit only one Annual Report per registered facility. Consolidate animal numbers for all sites into one report for submission.
- + **DO** have the Annual Report signed by the Institutional Official, CEO, or the report preparer may submit on behalf of the IO or CEO.
- **DO NOT** include personally identifiable information (such as names of principle investigators and research staff) or any proprietary information.
- **DO NOT** include grants, protocols or Institutional Animal Care and Use Committee (IACUC) meeting minutes, or excerpts of these documents.

TIPS FOR CATEGORIZING ANIMALS

- + Please refer to the column headings on the Form 7023 and 9 C.F.R. § 2.36 for information on each pain category. Useful guidance for Column E categories is also available in chapter 7 of the Animal Welfare Inspection Guide in sections 7.5.3 (Annual Report) and 7.2.4.1 (Painful/Distressful Procedures). Help is also available at (970) 494-7477.
- + Animals used for research, testing, teaching, or experiments **at any time** during the reporting year must be reported in Column C, D or E, as appropriate, **whether or not they are still being held at the facility**. For any animals that have been used and transferred to another facility during the fiscal year, the facility that used the animals in the highest pain category is required to report the animals according to the pain category of the work performed at that facility on their annual report.
- + Animals used in more than one protocol should be counted **only once**, in the most painful/distressful category.
- **COLUMN B-** include animals involved in husbandry, veterinary care, or colony management procedures not listed in any pain categories.
- + Please note that euthanasia performed as per the definition of euthanasia under section 1.1 Animal Welfare Act regulations is not considered painful or distressful. **Euthanasia should not be categorized in terms of pain categories unless the method of destruction deviates from the criteria listed above for scientific reasons.**

TIPS ON ANNUAL REPORT ATTACHMENTS (COLUMN "E" EXPLANATIONS)

You may be required to provide explanations for certain entries in your Annual Report. You must attach these to your Annual Report. This sheet provides useful guidance on attachments related to Column "E" explanations.

ATTACHMENTS TO EXPLAIN COLUMN "E" ENTRIES

If you have listed any animals in Column E, you will be required to submit an attachment with an explanation of the procedure.

- Explain any procedures causing more than slight or momentary pain or distress.

The explanation should be brief, explained in plain terms, and focus on what the animal experienced (for example: seizures, neurologic signs, inappetence, lethargy, gastrointestinal distress, etc.). **DO NOT** include any protocols, IACUC or Meeting notes.

The reasons pain and distress could not be relieved should be science-based and described clearly in plain terms. You may wish to briefly describe procedures that limit pain or distress in Column E animals for context.

- If pain or distress could not be relieved due to regulatory requirements, list the agency, the code of Federal Regulations (CFR) title number and the specific section number (e.g., APHIS, 9 CFR 113.102). If the requirement is in accordance with a guidance document, such as an agency notice or harmonization guideline, please provide sufficient information to identify the cited document.
- Make sure the number of animals in the attached explanations matches the numbers reported in Column E for items 4-13. If they differ, you will receive a letter requesting clarification.
- Please provide all explanations in Freedom of Information Act (FOIA)-ready form or call FOIA at: (301) 851-4102. Please see the attached form and information included in this packet.
- When submitting online, you will be able to upload attachments in the system.

QUESTIONS ON SPECIFIC SITUATIONS?

- Useful guidance for Column E categories is available in chapter 7 of the Animal Welfare Inspection Guide in sections 7.5.3 (Annual Report) and 7.2.4.1 (Painful/Distressful Procedures).
- Help is also available via the Annual Report hotline at (970) 494-7477 or by email AnimalCare@usda.gov.
- The Animal Welfare Inspection Guide can be found on our website at https://www.aphis.usda.gov/animal_welfare/downloads/Animal-Care-Inspection-Guide.pdf

Tips for Attachments of Column E Explanations

1. The Annual Report is posted on the USDA website. Therefore, because protocols, proprietary information, personally identifiable information, and other confidential information is not required as a part of your Annual Report, you are highly encouraged to use form 7023B found within this packet to address the regulatory requirements of the Animal Welfare Act.
2. Explanations should be clear, brief descriptions of what the animals experienced, such as lethargy, inappetence, gastrointestinal disturbances, seizures, neurologic signs, etc.
3. Use of bullet point format is acceptable
4. It is recommended that a statement be included that the IACUC approved this Column E activity, although citing the protocol number is not recommended.
5. Please indicate if husbandry methods, humane end points, or other methods are used to minimize the pain or distress that animals experience.
6. Ensure that the same common name and/or species name is listed in your explanation and on form 7023.

TIPS TO AVOID REPORTING ERRORS

General Tips:

- **DO NOT** report the use of laboratory rats and mice (genera *Rattus* and *Mus*) bred for use in research, reptiles, or fish or other animals which are exempt from the regulation under the Animal Welfare Act (AWA).
- **DO NOT** include animal patients participating in clinical trials in the context of medical care under a veterinary client relationship.
- **DO NOT** include any birds in your Annual Report.

DO NOT REPORT NON-REGULATED ANIMALS

For teaching activities involving veterinary students or veterinary technology students:

- + **DO** remember that reporting may be retrospective or prospective. Retrospective reporting involves collecting data on individual animals to put each study animal into the most appropriate category based on clinical signs of pain and distress. While more labor intensive, this method generally produces more accurate reporting. Prospective reporting means that all animals used for a particular activity may be categorized in the highest applicable pain category. This method is less labor intensive but may result in over-reporting.
- **DO NOT** include client-owned or shelter animals at spay-neuter clinics that are used only in the context of a veterinary client patient relationship.
- **DO NOT** include animals on working farms used for teaching husbandry procedures at the farm location.

- **DO NOT** include animals used in a field study as defined under the AWA regulations. A field study is defined as "a study conducted on free-living wild animals in their natural habitat. However, this term excludes any study that involves an invasive procedure, harms, or materially alters the behavior of an animal under study." The IACUC makes the determination for the research facility of whether an activity meets this definition.
- **DO NOT** report animals that a facility holds outside the United States, or Territories or Commonwealths of the United States.

TIPS ON ANNUAL REPORT ATTACHMENTS (EXCEPTIONS)

You may be required to provide explanations along with your Annual Report. You must attach these to your Annual Report. This sheet provides useful guidance on attachments related to Exceptions.

EXCEPTION ATTACHMENTS

Review the information below on "What to Report" and "What Not to Report". If you have any Exceptions to report, follow the guidance in this checklist.

- Ensure that attachments include a brief description of the exception, species (use common names), and the number of animals affected for the reporting year only (October 1, 2020 through September 30, 2021).
 - » Exceptions or exemptions to a particular AWA regulation or standard that are approved by the IACUC must be for scientific reasons and justified in writing.
 - » If a regulation or standard also provides specific parameters for an exception or exemption, those parameters must be followed.
- Check your numbers! If the numbers of animals listed in an Exception exceed the totals used in research for that species, you will receive a letter requesting clarification.
- Please provide all Exceptions in FOIA-ready form or call FOIA at: (301) 851-4102. *More information is included in this packet.*

QUESTIONS ON SPECIFIC SITUATIONS?

- > Useful guidance for Column E categories is available in chapter 7 of the Animal Welfare Inspection Guide in sections 7.5.3 (Annual Report) and 7.2.4.1 (Painful/Distressful Procedures).
- > Help is also available via the Annual Report hotline at (970) 494-7477 or by email at AnimalCare@usda.gov

Tips for Attachments of Column E Exceptions

- The exceptions should be a brief summary that is readily understood by a lay person.
- Use of bullet point format is acceptable
- Basic information to include for the exception should be the same common name and/or species name as documented on form 7023, number of animals affected, what the exception is, and why the exception was required.
- It is recommended that a statement be included that the IACUC approved this exception, although citing the protocol number is not recommended.



WHAT TO REPORT

Exceptions TO REPORT on the Annual Report should be noted as IACUC-approved on the report and include:

- + **Exceptions approved by the IACUC under 9 C.F.R. § 2.38(k) that are not provided for under the AWA regulations and standards, such as:**
 - + Removal of resting platforms from cat enclosures
 - + Extension of interval for cleaning/sanitization of enclosures
 - + Keeping animals in 24 hour dark cycle
 - + Keeping animals in temperatures outside range described in the AWA standards for the relevant species
- + **Exceptions approved by Animal Care, such as:**
 - + Approval for use of an animal in more than one major operative procedure from which it is allowed to recover on more than one protocol (9 C.F.R. § 2.31(d)(1)(x)(C))
 - + Exception to the health certificate requirements (9 C.F.R. § 2.38(h)(2))
 - + Temporary tethering of dogs used as the primary enclosure (9 C.F.R. § 3.6(c)(4))



WHAT NOT TO REPORT

Exceptions that should NOT be reported on the Annual Report include:

- **Exceptions approved by the IACUC that are provided for under the AWA regulations and standards, such as:**
 - Approval for use of an animal in more than one major operative procedure from which it is allowed to recover on one protocol (9 C.F.R. § 2.31(d)(1)(x)(A))
 - Short term withholding of food and water from animals (9 C.F.R. § 2.38(f)(2)(ii))
 - Exemption of an individual non-human primate from some or all of the environmental enhancement plan (9 C.F.R. § 3.81(e)(2))
 - Any deviation from the methods of euthanasia as defined in the AWA regulations which were justified for scientific reasons, in writing, by the investigator (9 C.F.R. § 2.31(d)(1)(xi))
- **Exceptions approved by a veterinarian as part of the provision of veterinary care, such as:**
 - Animal is fasted for surgery conducted for husbandry reasons
 - Any major operative procedures for medical or colony management purposes (9 C.F.R. § 2.31(d)(1)(x)(B))
 - Animals housed in an enclosure that does not meet space requirements for medical reasons while recovering from husbandry or veterinary care related surgery
 - An animal that develops vomiting/diarrhea (not study-related) and veterinarian prescribes IV fluids and severely restricts food and water intake by mouth for several days

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 Annual Report. 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 but do not need to be included in the Annual Report.

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.

For guidance on specific situations not addressed here, please call the Annual Report Hotline at (970) 494-7477.

> **EXAMPLE 1** — An animal experiences pain due to the research procedures during the course of a study. The pain is recognized, and treated in a timely manner with appropriate analgesics that prove to be substantively effective.

ANSWER: Reported in Column D.

> **EXAMPLE 2** — An animal experiences 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 its enclosure during the course of a study. The animal had been monitored appropriately and there were no pre- or post-mortem signs of pain or distress. The animal had not experienced pain as part of the study 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 becomes caught in an enclosure and experiences pain and distress that 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 event does not affect the reporting category because it is not related to the study. 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 more than slight or momentary 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. Husbandry methods assist in controlling, but do not substantively mitigate, the pain.

ANSWER: Because the research activity did not cause the pain/distress (i.e., caused by an unrelated ear infection), the animal should be reported in the pain category appropriate to its experiences in the study.



HAVE A NEW
CEO OR IO?



You can update your facility's contact information directly in the online system or you can call or send a request in writing to:

USDA/APHIS/AC
2150 Centre Ave.
Building B, Mailstop 3W11
Fort Collins, CO 80526-8117
Phone: (970) 494-7477
Email: animalcare@usda.gov

APHIS Form 7023 Site Addendum for FY:

Registration Number:

Customer ID Number:

Facility Business Address Information:

Telephone:

Facilities Site(s) Address Information:

Site Codes:

INSTRUCTIONS FOR COMPLETION OF APHIS FORM 7023

(Refer to U.S.C. 7 Section 7A and 9 C.F.R. Section 2.36)

- ITEM 1 -** Enter registration number as assigned to the Research Facility by United States Department of Agriculture (USDA).
- ITEM 2 -** Enter the complete name and address of the Headquarters Research Facility as registered with USDA. If the name or business address has changed, notify the Fort Collins, CO office in writing as soon as possible. Correcting the information on your annual report packet is not sufficient.
- ITEM 3 -** List the location of each site where the animals were housed and used in actual research, teaching, testing experimentation, or held for such purposes. (Attach additional sheets if necessary). Provide the information but do not provide the building or room numbers.
- ITEMS 4 - 13 -** DO NOT enter the numbers in Column A. DO NOT add numbers entered into Column B into the totals in Column F. Column F is to only show the combined totals in Column C, D, and E from APHIS Forms 7023 and APHIS Form 7023A or some other type of attached continuation.
- ITEM 12 -** List by common name all other farm animal species
- ITEM 13, Other -** List by common name all other species covered by the Regulations. (This will include wild and exotic species.) Use additional sheets if necessary or APHIS Form 7023A. Report wild rodents. DO NOT report the use of laboratory rats and mice (genera *rattus* and *mus*) bred for research. DO NOT report birds. DO NOT report reptiles, fish, and other animals exempt for the regulations under the AWA. DO NOT include animals used in clinical trials in the context of a Veterinary- Client relationship, and DO NOT include animals in a field study as defined under the Animal Welfare Act. If there are questions about a particular activity, contact the Fort Collins, CO office for guidance.
- CERTIFICATION -** Must be signed by the Chief Executive Officer (C.E.O.) of the Registered Research Facility or other Institutional Official (I.O.) having authority to legally commit on behalf of the Registered Research Facility. Sign, print or type Name and Title, and Date.

RETURN COMPLETED FORM WITH AN ORIGINAL SIGNATURE OF C.E.O. OR I.O. TO THE FORT COLLINS, CO OFFICE.

Privacy Act Notice

Authority: The Animal Welfare Act (AWA), 7 U.S.C. 2131 *et seq.*, and the regulations issued thereunder, 9 CFR parts 1 through 4; and the Horse Protection Act (HPA), 15 U.S.C. 1821 *et seq.*, and the regulations issued thereunder, 9 CFR parts 11 and 12.

Purpose: This system supports APHIS' administrative activities and enforcement of the AWA and HPA.

Routine Uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a (b) of the Privacy Act, records maintained in the system may be disclosed outside USDA as follows:

- (1) APHIS may disclose the name, city, State, license or registration type and/or status, or change of a license or registrant to any person pursuant to 9 CFR 2.38(c) and 2.127;
- (2) APHIS may disclose annual reports submitted to APHIS by licensees and research facilities to any person pursuant to 9 CFR 2.7 and 2.36;
- (3) APHIS may disclose inspection reports and other regulatory correspondence issued to licensees and registrants [from the agency] to any attending veterinarian in order to carry out duties under the AWA pursuant to 9 CFR 2.33 and 2.40;
- (4) APHIS may disclose the name, telephone number and other contact information, location, inspection reports, and regulatory and other correspondence of licensees, registrants, permittees, and applicants for the same, to appropriate Federal, foreign, State, local, Tribal, or other public authority agencies or officials, in order to carry out duties under the AWA or State, local, Tribal or other public authority on the same subject pursuant to 7 U.S.C. 2145(b);
- (5) APHIS may disclose inspection reports of licensees and registrants, and permit status, to any pet store or other entity that is required under State, local, Tribal, or other public authority to verify a licensee, registrant, or permittee's compliance with the AWA;
- (6) APHIS may disclose information to the National Academies of Sciences, Engineering, and Medicine, and any other research institution engaged or approved by the Department, to the extent APHIS deems the disclosure necessary to complete research and/or compile a report in furtherance of the Department's mission;
- (7) APHIS may disclose final adjudicatory AWA and HPA decisions or orders by an appropriate authority to any person;
- (8) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of persons (referred to as "Designated Qualified Persons" or "DQPs") that are or have been qualified to detect and diagnose a horse that is sore or otherwise inspect horses for purposes of enforcing the HPA and of horse industry organizations or associations (referred to as "HIOs") that have currently or have had in the past DQP programs certified by the USDA;
- (9) APHIS may disclose to any regulated horse owner, HIO, and other entities responsible for licensure or required to verify compliance with the HPA, HPA inspection findings and regulatory and other correspondence issued to persons or entities regulated under the HPA;
- (10) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of any person or entity who has been disqualified, suspended, and/or otherwise prohibited from showing or exhibiting any horse, or judging or managing any horse show, horse exhibition, horse sale, or horse auction under the HPA and the terms of such action;
- (11) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of any regulated individual or entity whose license or permit has been suspended, revoked, expired, terminated, or denied under the AWA and the terms of such action;
- (12) APHIS may disclose to appropriate law enforcement agencies, entities, and persons, whether Federal, foreign, State, local, or Tribal, or other public authority responsible for enforcing, investigating, or prosecuting an alleged violation or a violation of law or charged with enforcing, implementing, or complying with a statute, rule, regulation, or order issued pursuant thereto, when a record in this system on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or court order issued pursuant thereto, if the information disclosed is relevant to any enforcement, regulatory, investigative, or prosecutive responsibility of the receiving entity;
- (13) APHIS may disclose to the Department of Justice when the agency, or any component thereof, or any employee of the agency in his or her official capacity, or any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee, or the United States, in litigation, where the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice is deemed by the agency to be relevant and necessary to the litigation; provided, however, that in each case, the agency determines that disclosure of the records to the Department of Justice is a use of the information contained in the records that is compatible with the purpose for which the records were collected;
- (14) APHIS may disclose information in this system of records to a court or adjudicative body in administrative, civil, or criminal proceedings when: (a) The agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the agency has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are to be for a purpose that is compatible with the purpose for which the agency collected the records;
- (15) APHIS may disclose information from this system of records to appropriate agencies, entities, and persons when: (a) USDA suspects or has confirmed that there has been a breach of the system of records; (b) USDA has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, USDA (including its information systems, programs, and operations), the Federal Government, or national security; and (c) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with USDA's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm;
- (16) APHIS may disclose information from this system of records to another Federal agency or Federal entity, when the USDA determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (a) responding to a suspected or confirmed breach or (b) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach;
- (17) APHIS may disclose information in this system of records to USDA contractors and other parties engaged to assist in administering the program, analyzing data, developing information management systems, processing Freedom of Information Act requests, and conducting audits. Such contractors and other parties will be bound by the nondisclosure provisions of the Privacy Act;
- (18) APHIS may disclose information in this system of records to USDA contractors, partner agency employees or contractors, or private industry employed to identify patterns, trends, or anomalies indicative of fraud, waste, or abuse;
- (19) APHIS may disclose information in this system of records to a Congressional office from the record of an individual in response to any inquiry from that Congressional office made at the written request of the individual to whom the record pertains;
- (20) APHIS may disclose information in this system of records to the National Archives and Records Administration or to the General Services Administration for records management activities conducted under 44 U.S.C. 2904 and 2906; and
- (21) APHIS may disclose information in this system of records to the Treasury Department as necessary to carry out any and all functions within their jurisdiction, including but not limited to, processing payments, fees, collections, penalties, and offsets.

Disclosure: Furnishing this information is voluntary; however, failure to furnish this information may impede your ability to comply with the requirements of the Animal Welfare Act, regulations, and standards.

INSTRUCTIONS FOR COMPLETION OF APHIS FORM 7023A

(Refer to 9 C.F.R. § 2.36)

- ITEM 1 -** Enter registration number as assigned to the Research Facility by United States Department of Agriculture (USDA).
- ITEM 2 -** Enter the complete name and address of the Headquarters Research Facility as registered with USDA.
- ITEM 12/13 -** Other: List, by common name, all other warm blooded animal species covered by the Regulations. (This will include farm species used in biomedical or non-agricultural research, and all wild or exotic species.)
- DO NOT enter numbers in Column A. DO NOT add numbers entered in Column B into the total in Column F. Column F is to show total of numbers entered in Columns C + D + E., however DO NOT indicate the values on this form. They are to be added the values on APHIS Form 7023. (Entries in Column E must be attached using either APHIS Form 7023B or separate sheet(s).
- CERTIFICATION -** Must be signed by the Chief Executive Officer (C.E.O.) of the Registered Research Facility or other Institutional Official (I.O.) having authority to legally commit on behalf of the Registered Research Facility. Sign, print or type Name and Title, and Date.

RETURN COMPLETED FORM WITH AN ORIGINAL SIGNATURE OF C.E.O. OR I.O. TO THE FORT COLLINS, CO OFFICE.

Privacy Act Notice

Authority: The Animal Welfare Act (AWA), 7 U.S.C. 2131 *et seq.*, and the regulations issued thereunder, 9 CFR parts 1 through 4; and the Horse Protection Act (HPA), 15 U.S.C. 1821 *et seq.*, and the regulations issued thereunder, 9 CFR parts 11 and 12.

Purpose: This system supports APHIS' administrative activities and enforcement of the AWA and HPA.

Routine Uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a (b) of the Privacy Act, records maintained in the system may be disclosed outside USDA as follows:

- (1) APHIS may disclose the name, city, State, license or registration type and/or status, or change of a license or registrant to any person pursuant to 9 CFR 2.38(c) and 2.127;
- (2) APHIS may disclose annual reports submitted to APHIS by licensees and research facilities to any person pursuant to 9 CFR 2.7 and 2.36;
- (3) APHIS may disclose inspection reports and other regulatory correspondence issued to licensees and registrants [from the agency] to any attending veterinarian in order to carry out duties under the AWA pursuant to 9 CFR 2.33 and 2.40;
- (4) APHIS may disclose the name, telephone number and other contact information, location, inspection reports, and regulatory and other correspondence of licensees, registrants, permittees, and applicants for the same, to appropriate Federal, foreign, State, local, Tribal, or other public authority agencies or officials, in order to carry out duties under the AWA or State, local, Tribal or other public authority on the same subject pursuant to 7 U.S.C. 2145(b);
- (5) APHIS may disclose inspection reports of licensees and registrants, and permit status, to any pet store or other entity that is required under State, local, Tribal, or other public authority to verify a licensee, registrant, or permittee's compliance with the AWA;
- (6) APHIS may disclose information to the National Academies of Sciences, Engineering, and Medicine, and any other research institution engaged or approved by the Department, to the extent APHIS deems the disclosure necessary to complete research and/or compile a report in furtherance of the Department's mission;
- (7) APHIS may disclose final adjudicatory AWA and HPA decisions or orders by an appropriate authority to any person;
- (8) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of persons (referred to as "Designated Qualified Persons" or "DQPs") that are or have been qualified to detect and diagnose a horse that is sore or otherwise inspect horses for purposes of enforcing the HPA and of horse industry organizations or associations (referred to as "HIOs") that have currently or have had in the past DQP programs certified by the USDA;
- (9) APHIS may disclose to any regulated horse owner, HIO, and other entities responsible for licensure or required to verify compliance with the HPA, HPA inspection findings and regulatory and other correspondence issued to persons or entities regulated under the HPA;
- (10) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of any person or entity who has been disqualified, suspended, and/or otherwise prohibited from showing or exhibiting any horse, or judging or managing any horse show, horse exhibition, horse sale, or horse auction under the HPA and the terms of such action;
- (11) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of any regulated individual or entity whose license or permit has been suspended, revoked, expired, terminated, or denied under the AWA and the terms of such action;
- (12) APHIS may disclose to appropriate law enforcement agencies, entities, and persons, whether Federal, foreign, State, local, or Tribal, or other public authority responsible for enforcing, investigating, or prosecuting an alleged violation or a violation of law or charged with enforcing, implementing, or complying with a statute, rule, regulation, or order issued pursuant thereto, when a record in this system on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or court order issued pursuant thereto, if the information disclosed is relevant to any enforcement, regulatory, investigative, or prosecutive responsibility of the receiving entity;
- (13) APHIS may disclose to the Department of Justice when the agency, or any component thereof, or any employee of the agency in his or her official capacity, or any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee, or the United States, in litigation, where the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice is deemed by the agency to be relevant and necessary to the litigation; provided, however, that in each case, the agency determines that disclosure of the records to the Department of Justice is a use of the information contained in the records that is compatible with the purpose for which the records were collected;
- (14) APHIS may disclose information in this system of records to a court or adjudicative body in administrative, civil, or criminal proceedings when: (a) The agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the agency has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are to be for a purpose that is compatible with the purpose for which the agency collected the records;
- (15) APHIS may disclose information from this system of records to appropriate agencies, entities, and persons when: (a) USDA suspects or has confirmed that there has been a breach of the system of records; (b) USDA has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, USDA (including its information systems, programs, and operations), the Federal Government, or national security; and (c) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with USDA's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm;
- (16) APHIS may disclose information from this system of records to another Federal agency or Federal entity, when the USDA determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (a) responding to a suspected or confirmed breach or (b) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach;
- (17) APHIS may disclose information in this system of records to USDA contractors and other parties engaged to assist in administering the program, analyzing data, developing information management systems, processing Freedom of Information Act requests, and conducting audits. Such contractors and other parties will be bound by the nondisclosure provisions of the Privacy Act;
- (18) APHIS may disclose information in this system of records to USDA contractors, partner agency employees or contractors, or private industry employed to identify patterns, trends, or anomalies indicative of fraud, waste, or abuse;
- (19) APHIS may disclose information in this system of records to a Congressional office from the record of an individual in response to any inquiry from that Congressional office made at the written request of the individual to whom the record pertains;
- (20) APHIS may disclose information in this system of records to the National Archives and Records Administration or to the General Services Administration for records management activities conducted under 44 U.S.C. 2904 and 2906; and
- (21) APHIS may disclose information in this system of records to the Treasury Department as necessary to carry out any and all functions within their jurisdiction, including but not limited to, processing payments, fees, collections, penalties, and offsets.

Disclosure: Furnishing this information is voluntary; however, failure to furnish this information may impede your ability to comply with the requirements of the Animal Welfare Act, regulations, and standards.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0036. The time required to complete this information collection is estimated to average .5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

OMB APPROVED
0579-0036

Interagency Report Control No. 0180-DOA-AN

Fiscal year:

**UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE**

**Annual Report of Research Facility
Column E Explanation**

(TYPE OR PRINT)

This information is required by law (7 U.S.C. 2143 and 9 C.F.R. §2.36). Failure to report according to the regulations can result in an order to cease and desist.

1. REGISTRATION NUMBER

2. Research Facility Headquarters address

3. Number of animals used in the study.

4. Species (common name) of animals used in the study.

5. Explain the procedure producing pain and distress.

6. Provide the scientific justification for not providing the appropriate anesthetics, analgesics, or tranquilizing drugs during procedures where the animal experienced accompanying pain or distress greater than momentary or slight.

7. 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

INSTRUCTIONS FOR COMPLETION OF APHIS FORM 7023B

(Refer to U.S.C. 7 Section 7A and 9 C.F.R. § 2.36)

Submit a separate form per species per study

- ITEM 1 -** Enter registration number as assigned to the Research Facility by United States Department of Agriculture (USDA).
- ITEM 2 -** Enter the complete name and address of the Headquarters Research Facility as registered with USDA. If the name or business address has changed, notify the Fort Collins, CO office in writing as soon as possible. Correcting the information on your annual report packet is not sufficient.
- ITEM 3 -** Indicate the numbers of animals used in the Column E portion of the study.
- ITEM 4 -** Indicate the common names of the animals
- ITEM 5 -** Summarize the procedure for which the animals did not receive appropriate anesthetics, analgesics or tranquilizing drugs to relieve accompanying pain or distress. DO NOT provide specific information such as study title, protocol number, or name of the Principal Investigator.
- ITEM 6 -** The scientific justification is to address the adverse effects the pain-relieving drugs have on the results or interpretation of the outcomes in research, teaching, or tests.
- ITEM 7 -** For regulatory testing, provide the requesting Federal Agency and the specific Code of Federal Regulations that requires the test.

ATTACH FORM TO THE ANNUAL REPORT

Privacy Act Notice

Authority: The Animal Welfare Act (AWA), 7 U.S.C. 2131 *et seq.*, and the regulations issued thereunder, 9 CFR parts 1 through 4; and the Horse Protection Act (HPA), 15 U.S.C. 1821 *et seq.*, and the regulations issued thereunder, 9 CFR parts 11 and 12.

Purpose: This system supports APHIS' administrative activities and enforcement of the AWA and HPA.

Routine Uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a (b) of the Privacy Act, records maintained in the system may be disclosed outside USDA as follows:

- (1) APHIS may disclose the name, city, State, license or registration type and/or status, or change of a license or registrant to any person pursuant to 9 CFR 2.38(c) and 2.127;
- (2) APHIS may disclose annual reports submitted to APHIS by licensees and research facilities to any person pursuant to 9 CFR 2.7 and 2.36;
- (3) APHIS may disclose inspection reports and other regulatory correspondence issued to licensees and registrants [from the agency] to any attending veterinarian in order to carry out duties under the AWA pursuant to 9 CFR 2.33 and 2.40;
- (4) APHIS may disclose the name, telephone number and other contact information, location, inspection reports, and regulatory and other correspondence of licensees, registrants, permittees, and applicants for the same, to appropriate Federal, foreign, State, local, Tribal, or other public authority agencies or officials, in order to carry out duties under the AWA or State, local, Tribal or other public authority on the same subject pursuant to 7 U.S.C. 2145(b);
- (5) APHIS may disclose inspection reports of licensees and registrants, and permit status, to any pet store or other entity that is required under State, local, Tribal, or other public authority to verify a licensee, registrant, or permittee's compliance with the AWA;
- (6) APHIS may disclose information to the National Academies of Sciences, Engineering, and Medicine, and any other research institution engaged or approved by the Department, to the extent APHIS deems the disclosure necessary to complete research and/or compile a report in furtherance of the Department's mission;
- (7) APHIS may disclose final adjudicatory AWA and HPA decisions or orders by an appropriate authority to any person;
- (8) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of persons (referred to as "Designated Qualified Persons" or "DQPs") that are or have been qualified to detect and diagnose a horse that is sore or otherwise inspect horses for purposes of enforcing the HPA and of horse industry organizations or associations (referred to as "HIOs") that have currently or have had in the past DQP programs certified by the USDA;
- (9) APHIS may disclose to any regulated horse owner, HIO, and other entities responsible for licensure or required to verify compliance with the HPA, HPA inspection findings and regulatory and other correspondence issued to persons or entities regulated under the HPA;
- (10) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of any person or entity who has been disqualified, suspended, and/or otherwise prohibited from showing or exhibiting any horse, or judging or managing any horse show, horse exhibition, horse sale, or horse auction under the HPA and the terms of such action;
- (11) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of any regulated individual or entity whose license or permit has been suspended, revoked, expired, terminated, or denied under the AWA and the terms of such action;
- (12) APHIS may disclose to appropriate law enforcement agencies, entities, and persons, whether Federal, foreign, State, local, or Tribal, or other public authority responsible for enforcing, investigating, or prosecuting an alleged violation or a violation of law or charged with enforcing, implementing, or complying with a statute, rule, regulation, or order issued pursuant thereto, when a record in this system on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or court order issued pursuant thereto, if the information disclosed is relevant to any enforcement, regulatory, investigative, or prosecutive responsibility of the receiving entity;
- (13) APHIS may disclose to the Department of Justice when the agency, or any component thereof, or any employee of the agency in his or her official capacity, or any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee, or the United States, in litigation, where the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice is deemed by the agency to be relevant and necessary to the litigation; provided, however, that in each case, the agency determines that disclosure of the records to the Department of Justice is a use of the information contained in the records that is compatible with the purpose for which the records were collected;
- (14) APHIS may disclose information in this system of records to a court or adjudicative body in administrative, civil, or criminal proceedings when: (a) The agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the agency has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are to be for a purpose that is compatible with the purpose for which the agency collected the records;
- (15) APHIS may disclose information from this system of records to appropriate agencies, entities, and persons when: (a) USDA suspects or has confirmed that there has been a breach of the system of records; (b) USDA has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, USDA (including its information systems, programs, and operations), the Federal Government, or national security; and (c) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with USDA's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm;
- (16) APHIS may disclose information from this system of records to another Federal agency or Federal entity, when the USDA determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (a) responding to a suspected or confirmed breach or (b) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach;
- (17) APHIS may disclose information in this system of records to USDA contractors and other parties engaged to assist in administering the program, analyzing data, developing information management systems, processing Freedom of Information Act requests, and conducting audits. Such contractors and other parties will be bound by the nondisclosure provisions of the Privacy Act;
- (18) APHIS may disclose information in this system of records to USDA contractors, partner agency employees or contractors, or private industry employed to identify patterns, trends, or anomalies indicative of fraud, waste, or abuse;
- (19) APHIS may disclose information in this system of records to a Congressional office from the record of an individual in response to any inquiry from that Congressional office made at the written request of the individual to whom the record pertains;
- (20) APHIS may disclose information in this system of records to the National Archives and Records Administration or to the General Services Administration for records management activities conducted under 44 U.S.C. 2904 and 2906; and
- (21) APHIS may disclose information in this system of records to the Treasury Department as necessary to carry out any and all functions within their jurisdiction, including but not limited to, processing payments, fees, collections, penalties, and offsets.

Disclosure: Furnishing this information is voluntary; however, failure to furnish this information may impede your ability to comply with the requirements of the Animal Welfare Act, regulations, and standards.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0036. The time required to complete this information collection is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

OMB APPROVED
0579-0036

See reverse side for additional information.

Fiscal Year:

**UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE**

1. REGISTRATION NUMBER

**SITE SPECIFIC ANNUAL REPORT OF
RESEARCH FACILITY**
(TYPE OR PRINT)

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

3. This voluntary form is kept on site and available for review by any APHIS official. It is not necessary for institutions without multiple sites to complete this form.
REPORT OF ANIMALS USED BY OR UNDER CONTROL OF RESEARCH FACILITY (Attach additional sheets, if necessary.)

A. Animals Covered By The Animal Welfare Regulations	B. Number of animals being bred, conditioned, or held for use in teaching, testing, experiments, research, or surgery but not yet used for such purposes.	C. Number of animals upon which teaching, research, experiments, or tests were conducted involving no pain, distress, or use of pain-relieving drugs.	D. Number of animals upon which experiments, teaching, research, surgery, or tests were conducted involving accompanying pain or distress to the animals and for which appropriate anesthetic, analgesic, or tranquilizing drugs were used.	E. Number of animals upon which teaching, experiments, research, surgery, or tests were conducted involving accompanying pain or distress to the animals and for which the use of appropriate anesthetic, analgesic, or tranquilizing drugs would have adversely affected the procedures, results, or interpretation of the teaching, research, experiments, surgery, or tests. (An explanation of the procedures producing pain or distress on these animals and the reasons such drugs were not used must be attached to this report.)	F. TOTAL NUMBER OF ANIMALS (Cols. C + D + E)
4. Dogs					
5. Cats					
6. Guinea Pigs					
7. Hamsters					
8. Rabbits					
9. Non-Human Primates					
10. Sheep					
11. Pigs					
12. Other Farm Animals					
13. Other Animals					

ASSURANCE STATEMENTS

- 1.) Professionally acceptable standards governing the care, treatment, and use of animals, including appropriate use of anesthetic, analgesic, and tranquilizing drugs, prior to, during, and following actual research, teaching, testing, surgery, or experimentation were followed by this site of the research facility.
- 2.) Each principal investigator at this site has considered alternatives to painful procedures.
- 3.) This site of the facility is adhering to the standards and regulations under the Act, and it has required that exceptions to the standards and regulations be specified and explained by the principal investigator and approved by the Institutional Animal Care and Use Committee (IACUC). **A summary of all such exceptions is attached to this annual report.** In addition to identifying the IACUC approved exceptions, this summary includes a brief explanation of the exceptions, as well as the species and number of animals affected.
- 4.) The attending veterinarian for this research facility site has appropriate authority to ensure the provisions of adequate veterinary care and to oversee the adequacy of other aspects of animal care and use.

CERTIFICATION BY SITE FACILITY OFFICIAL

I certify that the above is true, correct, and complete (7 U.S.C. Section 2143).

SIGNATURE OF OFFICIAL	NAME AND TITLE OF OFFICIAL (Type or Print)	DATE SIGNED
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INSTRUCTIONS FOR COMPLETION OF APHIS FORM 7023C

Site specific information used to generate the Annual Report may be requested upon inspection. A reporting facility with multiple sites may use this voluntary form to collect, collate, and provide the information.

ITEM 1 - Enter registration number as assigned to the Research Facility by United States Department of Agriculture (USDA).

ITEM 2 - Enter the complete name and address of the Research Facility Headquarters as registered with USDA.

ITEM 3 - This form is to be kept on site and available for review by any APHIS official concerning the business of the research facility which the APHIS official may request in connection with the enforcement of the provisions of the Act, the regulations, and the standards in this subchapter. The information shall be furnished within a reasonable time and as may be specified in the request for information.

ITEMS 4 - 13 - Enter the number of animals for each species in the appropriate pain/distress column. **DO NOT** enter numbers in Column A. **DO NOT** add numbers entered in Column B into the total in Column F. Column F is to show total numbers entered in Columns C + D + E. Entries in Column E must be explained on attached sheet(s).

ITEM 12 - List by common name all other farm animal species.

ITEM 13 - **Other:** List, by common name, all other warm-blooded animal species covered by the Regulations. *(This will include all wild or exotic species.)* Attach additional sheets, if necessary.

CERTIFICATION - To be signed by a designated representative of the institution. Sign, print, or type Name and Address, and Date.

Privacy Act Notice

Authority: The Animal Welfare Act (AWA), 7 U.S.C. 2131 *et seq.*, and the regulations issued thereunder, 9 CFR parts 1 through 4; and the Horse Protection Act (HPA), 15 U.S.C. 1821 *et seq.*, and the regulations issued thereunder, 9 CFR parts 11 and 12.

Purpose: This system supports APHIS' administrative activities and enforcement of the AWA and HPA.

Routine Uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a (b) of the Privacy Act, records maintained in the system may be disclosed outside USDA as follows:

- (1) APHIS may disclose the name, city, State, license or registration type and/or status, or change of a license or registrant to any person pursuant to 9 CFR 2.38(c) and 2.127;
- (2) APHIS may disclose annual reports submitted to APHIS by licensees and research facilities to any person pursuant to 9 CFR 2.7 and 2.36;
- (3) APHIS may disclose inspection reports and other regulatory correspondence issued to licensees and registrants [from the agency] to any attending veterinarian in order to carry out duties under the AWA pursuant to 9 CFR 2.33 and 2.40;
- (4) APHIS may disclose the name, telephone number and other contact information, location, inspection reports, and regulatory and other correspondence of licensees, registrants, permittees, and applicants for the same, to appropriate Federal, foreign, State, local, Tribal, or other public authority agencies or officials, in order to carry out duties under the AWA or State, local, Tribal or other public authority on the same subject pursuant to 7 U.S.C. 2145(b);
- (5) APHIS may disclose inspection reports of licensees and registrants, and permit status, to any pet store or other entity that is required under State, local, Tribal, or other public authority to verify a licensee, registrant, or permittee's compliance with the AWA;
- (6) APHIS may disclose information to the National Academies of Sciences, Engineering, and Medicine, and any other research institution engaged or approved by the Department, to the extent APHIS deems the disclosure necessary to complete research and/or compile a report in furtherance of the Department's mission;
- (7) APHIS may disclose final adjudicatory AWA and HPA decisions or orders by an appropriate authority to any person;
- (8) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of persons (referred to as "Designated Qualified Persons" or "DQPs") that are or have been qualified to detect and diagnose a horse that is sore or otherwise inspect horses for purposes of enforcing the HPA and of horse industry organizations or associations (referred to as "HIOs") that have currently or have had in the past DQP programs certified by the USDA;
- (9) APHIS may disclose to any regulated horse owner, HIO, and other entities responsible for licensure or required to verify compliance with the HPA, HPA inspection findings and regulatory and other correspondence issued to persons or entities regulated under the HPA;
- (10) APHIS may disclose to any person the name, city, and State or other information to the extent necessary for proper identification of any person or entity who has been disqualified, suspended, and/or otherwise prohibited from showing or exhibiting any horse, or judging or managing any horse show, horse exhibition, horse sale, or horse auction under the HPA and the terms of such action;
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- (12) APHIS may disclose to appropriate law enforcement agencies, entities, and persons, whether Federal, foreign, State, local, or Tribal, or other public authority responsible for enforcing, investigating, or prosecuting an alleged violation or a violation of law or charged with enforcing, implementing, or complying with a statute, rule, regulation, or order issued pursuant thereto, when a record in this system on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or court order issued pursuant thereto, if the information disclosed is relevant to any enforcement, regulatory, investigative, or prosecutive responsibility of the receiving entity;
- (13) APHIS may disclose to the Department of Justice when the agency, or any component thereof, or any employee of the agency in his or her official capacity, or any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee, or the United States, in litigation, where the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice is deemed by the agency to be relevant and necessary to the litigation; provided, however, that in each case, the agency determines that disclosure of the records to the Department of Justice is a use of the information contained in the records that is compatible with the purpose for which the records were collected;
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- (15) APHIS may disclose information from this system of records to appropriate agencies, entities, and persons when: (a) USDA suspects or has confirmed that there has been a breach of the system of records; (b) USDA has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, USDA (including its information systems, programs, and operations), the Federal Government, or national security; and (c) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with USDA's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm;
- (16) APHIS may disclose information from this system of records to another Federal agency or Federal entity, when the USDA determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (a) responding to a suspected or confirmed breach or (b) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach;
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- (19) APHIS may disclose information in this system of records to a Congressional office from the record of an individual in response to any inquiry from that Congressional office made at the written request of the individual to whom the record pertains;
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Disclosure: Furnishing this information is voluntary; however, failure to furnish this information may impede your ability to comply with the requirements of the Animal Welfare Act, regulations, and standards.