

SOP for Remote Routine Inspections

USDA APHIS Animal Care – December 16, 2020

Purpose: To outline the procedures for completing remote routine inspections for all license and registration types.

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A. Standard Operating Procedure

1) Facility Eligibility

- a) If the county is **green**, the inspector will perform a routine, unannounced inspection following the [Standard Operating Procedures for Resuming Facility Inspections During the COVID-19 Pandemic](#)
- b) If the county is **purple OR grey**, the inspector will follow the procedures outlined below for performing remote routine inspections
- c) Inspectors should discuss any concerns about performing remote routine inspections with their SACS.

2) Scheduling a Remote Routine Inspection

- a) Prior to contacting facilities:
 - i) Review optimal hours for the Licensee/Registrant (L/R)
 - ii) If this facility normally requires a team inspection, coordinate with another inspector to assist with the inspection
 - iii) See Attachments [Skype-Teams Video Call Quick Guide](#) and [FaceTime Quick Guide](#) for technology guidance and instructions on conducting a remote team inspection.
- b) Contact the L/R by phone to explain that, due to COVID-19, Animal Care would like to perform a remote inspection of their facility starting within the next 24 hours. This call should be made no more than 24 hours in advance of their next optimal hours window.
 - i) If possible, during this conversation, email the L/R the [Preparing for a Remote Routine Inspection](#) handout.
 - ii) Discuss the requirements of a remote inspection and determine the L/R's ability to meet those requirements
 - (1) A remote inspection is likely to take more time than an in-person inspection, be sure to discuss this with the L/R when determining their ability to perform remote inspections
 - (2) If the L/R is initially unable to accommodate the technological requirements of a remote inspection, ask them to consider seeking assistance from their broker, family members, neighbors, etc.

- c) If there is no answer when attempting to make contact, leave the following message for the L/R:
 - i) *“Hi, this is _____ with USDA/Animal Care. I have important information to share with you. I will plan to be available to answer your call between _____ and _____. If these hours will not work for you, please call me back with your earliest availability and I will try to connect with you at that time. My phone number is _____. I look forward to speaking with you soon.”*
 - ii) When contact is made with the L/R, follow the guidance in 2(b) above
- d) The inspection should be scheduled within 24 hours of making contact with the L/R but can be extended to the next optimal hours window, if needed. For example, if the L/R has optimal hours of Tuesdays, Thursdays, and Fridays and the inspector calls Monday and leaves a message, but the L/R does not return the call until Tuesday, then the inspection can start on Thursday (i.e., the next optimal hours window).
- e) For the first remote inspection, if the L/R needs more than 24 hours to organize the required personnel/equipment, then an extra 24 hours may be granted.
- f) The inspector should notify their SACS if:
 - i) The L/R is unable to accommodate a remote inspection due to technology or inadequate cell service.
 - ii) The L/R has the technology and cell service but states that even with 24-48 hours they will not be able to accommodate a remote inspection.
 - iii) The inspection is likely to last longer than three days. The SACS may grant conversion to a focused inspection.
- g) Once an inspection start time and method of live video streaming have been agreed upon, the inspector will send out an invite to the L/R (if applicable for the chosen platform)
 - i) The inspector may offer to do a test run with the platform prior to performing the inspection to work out any technical issues

3) Preparing for a Remote Routine Inspection

- a) Review the Attachment [E-File Quick Guide: Viewing Inspection History](#) for items to review in e-File prior to initiating the inspection.

4) Conducting a Remote Routine Inspection

- a) Contact the L/R at the agreed upon time to conduct a Pre-Inspection Briefing
 - i) This can be a phone call prior to live-video streaming, if preferred
 - ii) See Attachment [Pre-Inspection Guidance for Remote Inspections](#)
- b) Initiate live-streaming to complete the inspection of the facilities and animals:
 - i) Make sure lighting is adequate
 - ii) Remind the L/R to go slow and adhere to the directions given by the inspector
 - iii) Communicate if an image is not clear or if you would like to take a closer look at an animal, enclosure, item, etc.
 - (1) This may require the assistance of another person
 - (2) ****Contact your SACS if the L/R is unwilling to accommodate this request. It may constitute an inspection refusal.****
 - iv) Observe each animal. Refer to the facility’s last inventory and ask about any animals not seen in the live video that were present during the last inspection

- v) Refer to the attached [Reference Guides](#) for specific inspection guidance
- c) Review all required records
 - i) Records can be emailed to the inspector if mutually agreed upon with the L/R. If records are emailed, the inspector copies must be permanently deleted/destroyed upon completion of the inspection with the exception of records required to document an NCI.
 - ii) If a L/R prefers not to email records, then records review can continue through the live video feed or other virtual platform (i.e., temporary access to a shared drive)
 - iii) L/R's can be granted 48 hours to produce required records after requested

5) Documenting NCI's and Teachable Moments

- a) If an NCI is identified during the inspection, follow the procedures in the Attachments [FaceTime Quick Guide](#) or [Taking Pictures and Videos using Microsoft Teams and Skype](#) to take screenshots or videos of the NCI's (recording capability not possible with FaceTime). Review the photograph guidance outlined in Section 2.5 of the [Animal Care Inspection Guide](#) for information on photograph requirements.
- b) Notify your SACS if Direct or Critical NCI's are identified during the inspection.
 - i) If a Direct NCI is identified, notify the L/R during the exit briefing that 24 hours' notice will not be provided for follow-up remote inspections (if the county is still grey or purple), but the inspection will be conducted during optimal hours.
- c) There are no changes to Teachable Moments. Follow the guidance outlined in Section 2.4.3 of the [Animal Care Inspection Guide](#) for documenting Teachable Moments.

6) Exit Briefing and Inspection Report Delivery

- a) Do **not** include on the inspection report that this was a remote inspection.
- b) Conduct a thorough exit briefing
 - i) The exit briefing can be conducted via a telephone call or via live-streaming video
 - ii) If the licensee requests to see a copy of the report prior to finalizing:
 - (1) A draft copy of the inspection report may be emailed to the L/R. Prior to sending, the draft report must be password protected and must restrict editing of the document. See Attachment [How to Password Protect a PDF Document](#)
 - (2) If the L/R does not have email access, then live-stream video can be used to show the draft report or the draft can be scanned/photographed and texted to the L/R.
 - (3) If none of these viewing options are available, then discuss with your SACS
 - iii) If the L/R requests copies of photographs taken, then see the following Attachments:
 - (1) [Downloading Photos from E-File](#)
 - (2) [Downloading and Saving Photos to a Flash Drive](#)
 - (3) [Downloading and Burning Photos/Videos to CD/DVD](#)
- c) Inspection reports with no NCI's and satisfactory reports with NCI's can be sent via email or standard mail.
- d) Unsatisfactory reports (i.e., reports with directs, criticals, repeats, or four or more NCI's) must be sent via email or certified mail.

*** This SOP will be reviewed every 3 months and sunset when conditions no longer require the use of virtual inspections**

B. Attachments

Remote Inspections

- 1) [Preparing for a Remote Routine Inspection](#)
- 2) [Pre-Inspection Guidance for Remote Inspections](#)

Technology

- 1) [Skype-Teams Video Call Quick Guide](#)
- 2) [FaceTime Quick Guide](#)
- 3) [E-File Quick Guide: Viewing Inspection History](#)
- 4) [Taking Pictures and Videos using Microsoft Teams and Skype](#)
- 5) [How to Password Protect a PDF Document](#)
- 6) [Downloading Photos from E-File](#)
- 7) [Downloading and Saving Photos to a Flash Drive](#)
- 8) [Downloading and Burning Photos/Videos to CD/DVD](#)

Reference Guides

- 1) [AWA Part 2 Reference Guide](#)
- 2) [Subpart A Reference Guide](#)
- 3) [Subpart B Reference Guide](#)
- 4) [Subpart C Reference Guide](#)
- 5) [Subpart D Reference Guide](#)
- 6) [Subpart E Reference Guide](#)
- 7) [Subpart F Reference Guide](#)
- 8) [Transportation Reference Guide – Dogs and Cats](#)
- 9) [Transportation Reference Guide – Guinea Pigs and Hamsters](#)
- 10) [Transportation Reference Guide - Rabbits](#)
- 11) [Transportation Reference Guide – Nonhuman Primates](#)
- 12) [Transportation Reference Guide – Marine Mammals](#)
- 13) [Transportation Reference Guide – Subpart F](#)

Remote Inspections

PREPARING FOR A REMOTE ROUTINE INSPECTION

What is A Remote Routine Inspection?

A remote routine inspection is a full inspection of the facility and animals that is done virtually, in real time, using technology to assess welfare and compliance with the AWA regulations and standards.

Why Are We Asking to Complete a Remote Inspection at your Facility?

Due to the continued concerns of COVID transmission, Animal Care has decided to use remote inspections to facilitate our mission.

Things to Know Prior to the Inspection:

1. Inspections will be conducted in real time with the use of platforms or apps such as: Facetime, Microsoft Teams, or Skype. Please communicate any of the following issues with your inspector:
 - a. Limited internet or reception capabilities
 - b. No access to a device such as a laptop, smart phone, or tablet
 - c. Additional time needed to obtain a designated person to assist with the remote inspection
2. A remote inspection will take longer than a normal inspection. Your inspector will ask you to:
 - a. Have a phone call prior to the inspection to discuss any operational changes
 - b. Show all areas, animals, records, and other items as seen with an in-person inspection
 - c. If you provide transportation of animals (for yourself or others) this will include all transport enclosures, vehicles, records, and items used as part of your transport process
 - d. Walk slowly through the facility and will indicate when to move on to the next enclosure, animal, item, or area. You may be asked to focus in on particular objects or animals
3. Pictures or video may be taken by the inspector, via screenshots or recorded video, during the live streaming process. Alternatively, the inspector may ask you to take a photo or video of a particular animal, area, or item.
4. You may need more than one person to complete a remote inspection. Inspectors may ask you to handle or maneuver animals or other items during the inspection, and potentially take videos or photos, while also maintaining control of your electronic device.

Items to have Available at the Time of the Remote Inspection:

1. An electronic device with the appropriate platform or app (selected after discussion with your inspector)
2. Enough battery life/charge in your electronic device to complete a full inspection
3. Reception or internet capability in all areas of your facility
4. Microchip Reader (if applicable)
5. Thermometer for checking temperatures within the facility
6. Tape measure for measuring items, animals, or enclosures
7. Appropriate lighting to allow for a complete animal, record, and facility inspection (i.e., flashlight or other light source)
8. Source of water (i.e., cup, hose, spray bottle, etc.) for testing surfaces

Required Records Needed at the Time of the Inspection:

1. Written Program of Veterinary Care (for facilities with dogs or a part time Attending Veterinarian)
2. Dog/Cat Facilities
 - a. Acquisition (APHIS FORM 7005) and Disposition (APHIS FORM 7006) Records
 - b. Approved Electronic Records (if applicable)
 - c. Yearly veterinary examination of all dogs
 - d. Written exercise plan for dogs
3. Non-Human Primate Facilities - Environment Enhancement Plan
4. Marine Mammals
 - a. Salinity and coliform counts of all pools
 - b. Necropsies of any animal deaths since the last inspection

Pre-Inspection Guidance for Remote Inspections

PURPOSE:

To reduce time live streaming and to facilitate discussion around facility and new rule topics, the inspector should discuss the following areas during a phone call prior to viewing the facilities and animals.

➤ **General questions to ask:**

- Are there any major changes at the facility since the last inspection?
- Have there been any animal transfers (disposition of animals or acquisition of new animals)?
- Are there any animal deaths to discuss?
- Are any animals currently under veterinary treatment?
- Are veterinary care treatments and/or communication with the vet documented?
- Have there been any animal incidents since the last inspection?
- Are all required records available and ready to view?
- Do You Provide Transportation of Animals (For yourself or others)?
 - Have there been any Deaths or Animal Injuries During Transport?
 - Do you have transport enclosures and Vehicles Available for today's inspection?

➤ **Facilities with Dogs:**

Ask if the licensee/registrant has questions about the following topics:

- New watering requirements
 - How is continuous water provided at the facility?
- New veterinary requirements
 - Has the written program of veterinary care been reviewed and signed by the attending veterinarian?
 - Are vaccination schedules (required vaccines) and sampling/treatment plans for parasitic diseases clearly written on the program of veterinary care?
 - How are veterinary records managed?
 - What date was the last visit by the attending veterinarian?
 - Have all annual health checks been completed and/or scheduled?
 - What preventative care and treatment is in place for haircoats, nails, eyes, ears, skin, and teeth?
 - Are there any remaining questions at this point about the new veterinary requirements?

➤ **Facilities That Transport**

- Are all transport enclosures, vehicles, records, and items used as part of the transport process available for inspection?

➤ **Ask if the licensee/registrant has questions about the new licensing rule (licensees only)**

- **Prior to ending this call and moving to live stream, the inspector should discuss next steps and any questions the licensee/registrant still has about the remote inspection process (See the handout *Preparing for a Remote Inspection*).**
- **Reiterate to the licensee/registrant that clear, directional instructions will be given regarding how to move through the facility so that all areas, primary enclosures, and animals can be clearly seen.**

Technology

Skype/Microsoft Teams Video Call Quick Guide

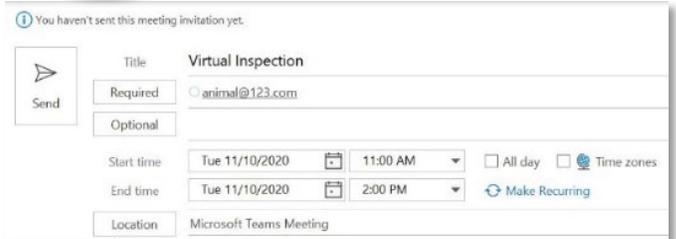
Purpose: The purpose of this Quick Guide is to demonstrate the use of Skype and/or Microsoft Teams to make video calls.

Note: Skype and Teams are similar applications and share many of the same features.

1. Open the Outlook email program and click on the calendar view.
2. Click on either “New Skype Meeting” or “New Teams Meeting” at the top of the window for the respective application.



3. Next to the “To...” box, type the email address. For the subject line type “Virtual Inspection.” Put a start and end time by clicking on the calendar icon to select date and time. Hit “Send”.



4. At the set time for the virtual inspection, the licensee/registrant should open the email on their phone and click on the blue “Click here to join the meeting” hyperlink.

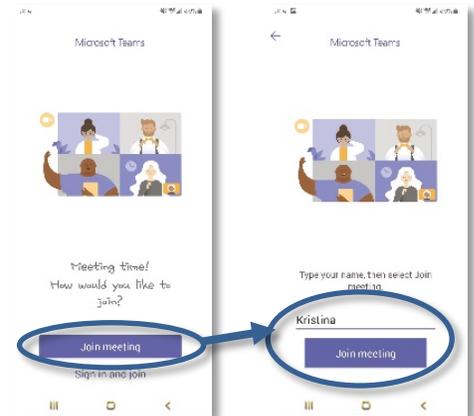
Microsoft Teams meeting

Join on your computer or mobile app
Click here to join the meeting

5. They should then click on “Tap here to install” to install either “Skype for Business” or “Microsoft for Teams.”

6. Once the “Skype for Business” or “Microsoft for Teams” app has been installed, the licensee/registrant should go back to the original email and again click on the blue “Click here to join the meeting” hyperlink.

7. Once Skype/Teams opens up, it will ask about notifications and contacts permission. They can select either; however, they must allow access to their phone’s microphone.



8. Next, have the licensee/registrant select “Join as Guest.” They should type their name and hit the arrow button to join.

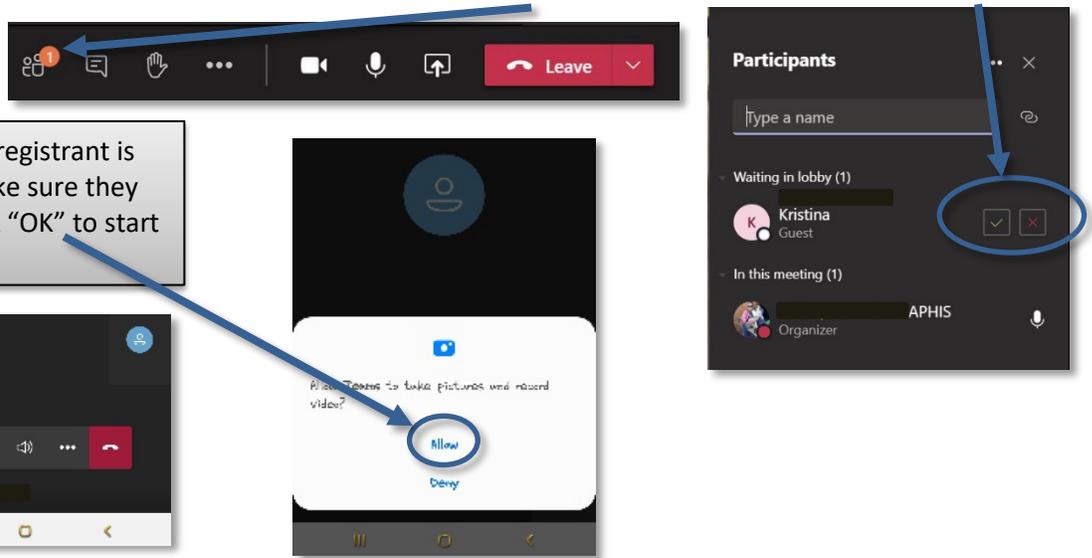


9. The licensee/registrant will be taken to a virtual lobby and must wait for the inspector to let them in to the video meeting.

10. The Inspector will join the meeting in the same manner by clicking on the blue “Click here to join the meeting” hyperlink on the outlook calendar appointment.



11. Skype/Teams will open. There will be a notification that will say "1 person is waiting in the lobby". Select "Admit."



NOTE: If the licensee/registrant is using their phone, make sure they select "Video" then click "OK" to start the video.

12. To begin live-streaming, the licensee/registrant should click on the rotating camera icon.

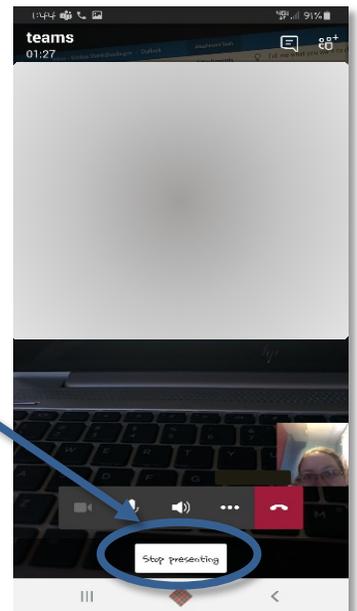
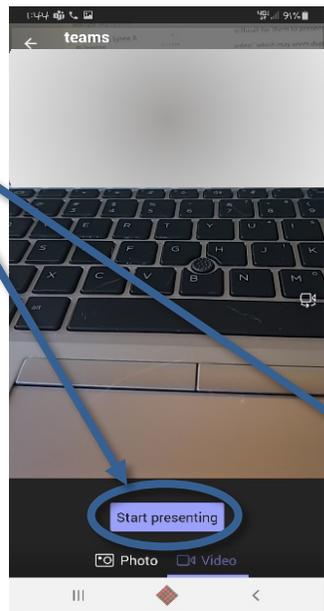
13. For Teams: To share their screen, they should first click on the three dots at the bottom of the screen.



14. For Teams: Click on "Share", and then "Share video".



15. For Teams: Click "Start presenting" to start sharing and "Stop presenting" when finished.



Helpful Tip for Skype:
 Steps 13-15 will not work for Skype (only Teams)
 For Skype: If the licensee/registrant is using an Android, the inspector can turn off their camera and the live stream will instantly enlarge for the licensee and inspector.
Note: This will not work for iPhones or Teams.

FaceTime Quick Guide

Purpose: This document describes how to initiate group FaceTime calls and how to take Live Photo screenshots using FaceTime

Start a Group FaceTime call from the FaceTime app

1. Go to *Settings* > *FaceTime*, and make sure that FaceTime is on.
2. Open FaceTime and tap the *Add* button  in the top-right corner.
3. Enter the name of the contact, phone number, or email.
4. To start the FaceTime call, tap *Audio* or *Video*.

*Up to 32 people can be added to a Group FaceTime call

Add a person to a Group FaceTime call

1. From the call, tap the *Add* button .
2. Tap *Add Person*.
3. Enter the contact's name, phone number, or email.
4. Tap *Add Person to FaceTime*.

*When someone is added to the call, *Ring* can be tapped next to their name so their device alerts them of the incoming call

*When someone is added to a Group FaceTime call, they can't be removed from the call. The person who was added to the call needs to end the Group FaceTime call

Start a Group FaceTime call from the Messages app

In a [group conversation](#) in Messages, a Group FaceTime can be started right from the group conversation. Follow these steps:

1. Open *Messages* and start a group conversation or go to an existing group conversation.
2. Tap the contacts at the top of the group conversation.
3. Tap *FaceTime* , then start the call.

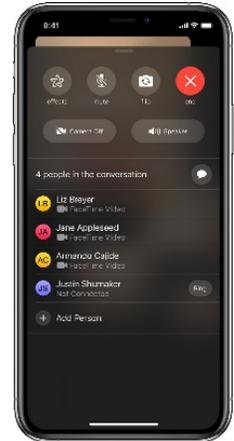
*Up to 32 people can be added to a Group FaceTime call

Take a Live Photo

1. In the FaceTime app  during a video call, do one of the following:
 - In a one-on-one call, select the FaceTime window.
 - In a group call, double-click the tile of the person/view from which the Live Photo is needed.
2. Click the Live Photo button .

*A notification will appear confirming a Live Photo was taken. The photo is available in the Photos app

*At this time, video recording is not an option with FaceTime



Live Photo Button

E-File Quick Guide

Viewing Inspection History – Summary by E-File Location

Purpose: This Quick Guide summarizes the locations of important customer information in e-File.



Account = purple, ledger sheets/buildings



Inspection Site = blue, folded map



Inspection Reports = green, telescope



Inquiries = periwinkle, flag



Tasks = green, list

* = View prior to conducting an inspection



Inspection Sites Page

- Certificate Status*
- Address Information (i.e., street, state, county)*
- Optimal Hours*
- Security Risks*
- Itinerary Information*
- RBIS Information (i.e., frequency, LIF/HIF/MIF)*
- Site Name and Code
- Organization/DBA Name
- Certificate Number
- Assigned Inspector and SACS
- Prior AWA Inspections (type and date)



AWA Inspections Page

- PDF of Inspection Reports (IR)*
- Teachable Moments (TM) and IR Narratives*
- Animal Inventory*
- List of Previous NCI's*
- Attempteds – Date, time, method, reason*
- Appeal Information*
- Compliance Referrals*
- Files – Associated with an inspection*
- Supporting Documentation
- Affected Species
- Result of IR (i.e. substantially compliant)
- Inspection Team
- Exit Interview Information
- Public Search Tool Links (IRs and TMs)



Accounts Page

- Compliance Assurance Tracking (red flag = open investigation)*
- Licenses/Registrations related to account (active/cancelled)*
- Inspections Sites*
- Contact Information*
- Inquiries (complaints/searches/courtesy visits since e-File went live)* 
- Enforcement Cases*
- Account Notes (old ACIS customer comments)*
- Activities Log*
- Files – Associated with the account (i.e., Facility Contact Worksheet, Attempted Inspection Checklist)*
- Business Details – DBA, CID, organization type (individual, partnership, LLC)
- Re-License Cohort
- Mailing Address
- Complaints (older/from ACIS - Files section)

The *Task* tab  may be used before or after the inspection to log and/or close out tasks that have been completed, such as complaints or courtesy calls/visits

Taking Pictures and Videos using Microsoft Teams & Skype

The Snipping Tool  can be used to take pictures during a virtual inspection (saved as a jpeg file).

Alternatively, a video can be recorded and downloaded from Teams or Skype, then the Snipping Tool can be used to acquire necessary pictures. NOTE: If the remaining videos are not needed for documentation, DELETE them.

Teams:

1. To record a video in Microsoft Teams, go to the top tool bar and click the icon with three dots.



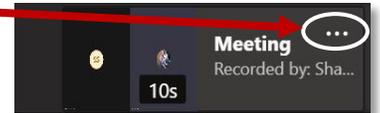
a. A drop-down menu will appear. Scroll down and click 

b. Once the recording is complete, go back to the tool bar, click the three dots again then click 

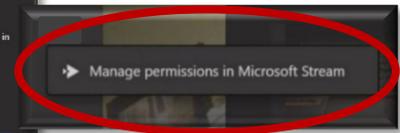
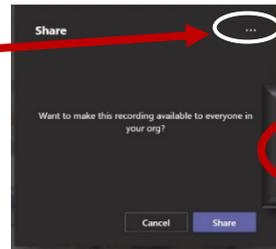
2. Download videos by clicking on the chat box icon (top tool bar).

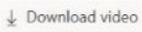


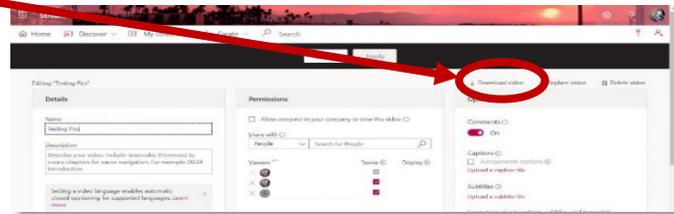
a. Go to the desired meeting video and click on the three dots. A dropdown menu will open, click *Share*.



b. Another box will open. Click the three dots, then click "Manage permissions in Microsoft Stream".



c. Another page will open, click  and save it to a folder for later.



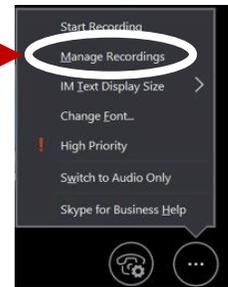
Skype:

To record a video on Skype, click the three dots on the bottom right, then click *Start Recording*.

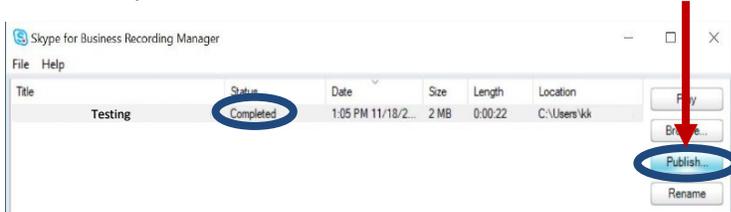


1. Once finished recording, return to the same menu and click 

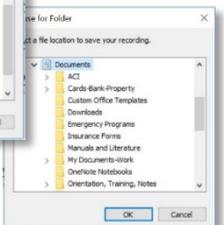
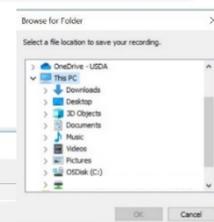
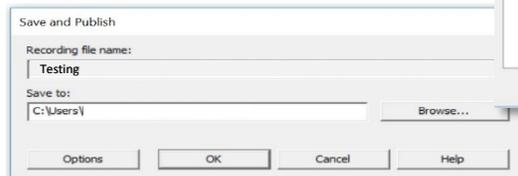
2. To save the video, use the same menu to select *Manage Recordings*.



3. In the *Recording Manager* box, wait to continue until the status of the video is "Completed", select the desired video, and click *Publish*.



4. Save the video to a file folder for later.



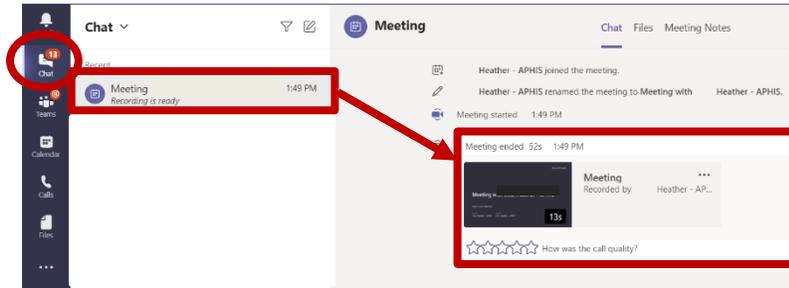
DELETING VIDEOS CAPTURED USING TEAMS:

All videos taken using Microsoft Teams automatically get saved onto Microsoft Stream.

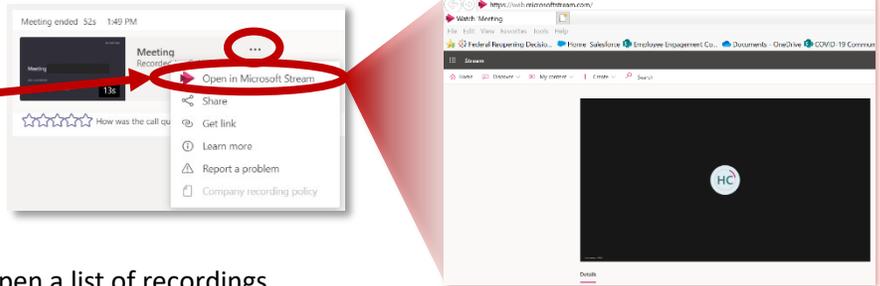
IMPORTANT:

Videos must not be retained in Microsoft Stream. All videos must be deleted, using the following directions, when they are no longer needed (i.e. after uploading into e-file or those that do not document an NCI)

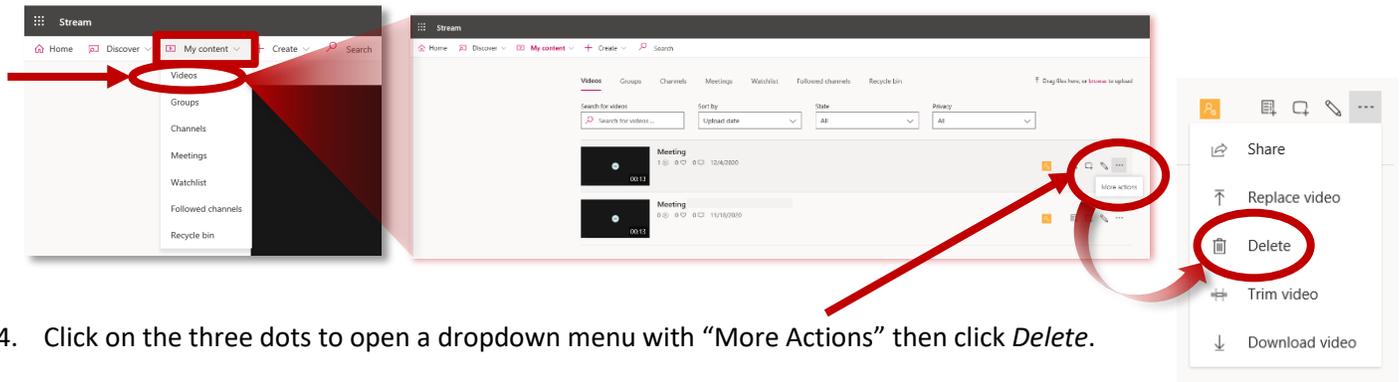
1. Locate the video under the “Chat” tab in Microsoft Teams.



2. Click on the three dots to open a drop-down menu, then click on “Open in Microsoft Stream”. This will open a webpage for the Microsoft Stream application

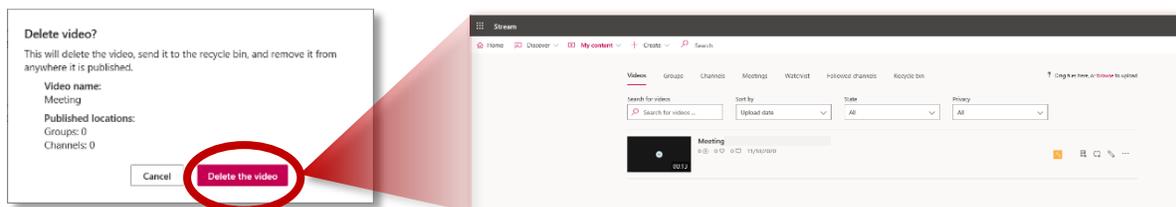


3. Click on “My Content” then “Videos” to open a list of recordings.

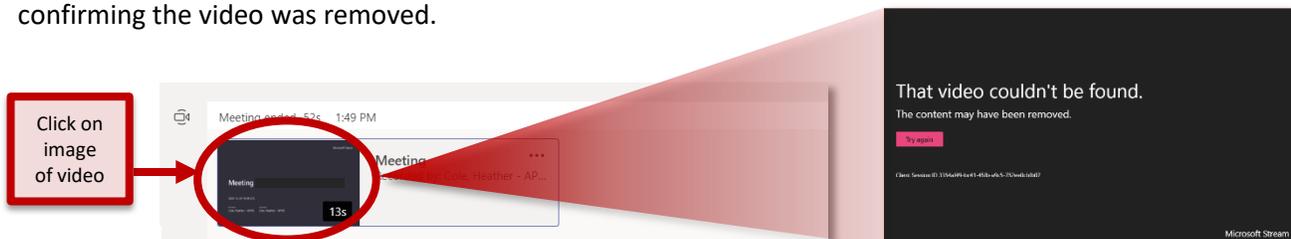


4. Click on the three dots to open a dropdown menu with “More Actions” then click *Delete*.

5. On the “Delete video” pop-up, click *Delete the video*. The recording will disappear from the video list.



6. Confirm deletion of the video by re-opening the “Chat” in Teams. Click on the video image, a message will pop up confirming the video was removed.



How to Password Protect a PDF (using Adobe Acrobat)

1. Open the PDF document and click **Tools** on the top bar



2. Scroll down to *Protect & Standardize* and click **Protect**



3. Click **Protect Using Password**

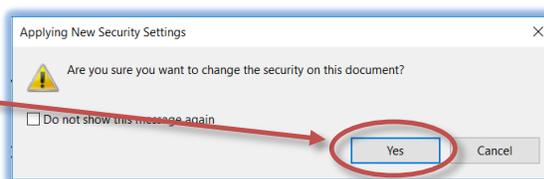


4. The text box "Protect Using Password" will open.

Click on the drop-down arrow next to **Advanced Options**. A drop-down menu will appear. Select **Encrypt with Password** and click **Apply**

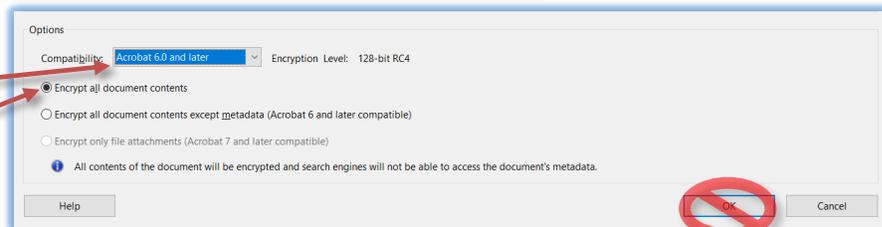


5. The text box "Are you sure you want to change the security on this document?" will appear. Click **Yes**.



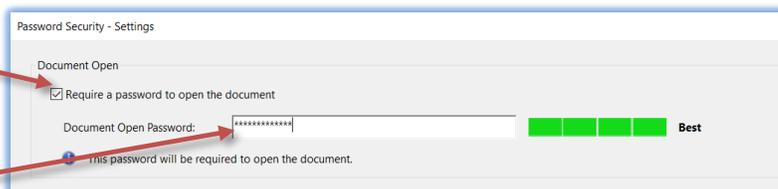
6. The text box "Password Security – Settings" will open. Go to the bottom box, "Options," and select **"Acrobat 6.0 and later"**

- Keep radio button for **"Encrypt all document contents"** marked
- Do not click OK yet



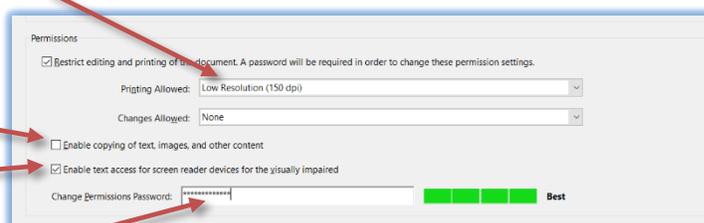
7. In the top box, "Document Open", check the box **"Require a password to open the document"** and create a password for the document

- Make a note of the password created



8. For the *Permissions* box, check the **"Restrict editing and printing of the document"** box

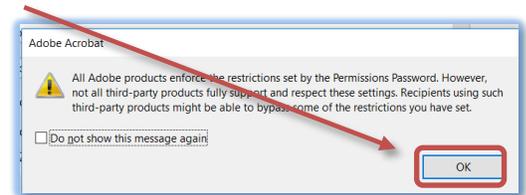
- For "Printing Allowed", select **"Low Resolution – (150 dpi)"**
- Keep "Changes Allowed" as **"None"**
- Keep **"Enable copying of text, images, and other content"** unchecked
- Check **"Enable text access for screen reader devices for the visually impaired"**
- Enter a **"Change Permissions Password"** that is different from "Document Open Password"
- Make a note of this password created as well and click **OK**



9. The text box "Adobe Acrobat – Confirm Document Open Password" will open. Re-enter the document password previously created and click **OK**



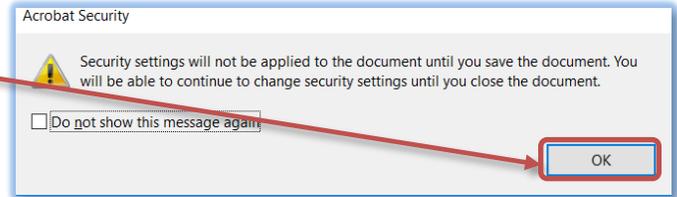
10. If the text box “All Adobe products enforce the restrictions...” appears, click **OK**



11. The text box “Adobe Acrobat – Confirm Permissions Password” will open.
Re-enter the permissions password previously created and click **OK**



12. The text box “Security settings will not be applied to the document until you save the document” will open. Click **OK**



13. Save and close the document so that new security settings are applied

Downloading Photos or Videos from E-File

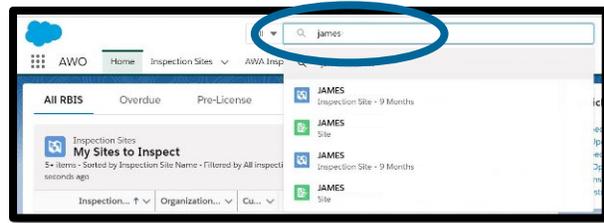
Purpose: This Quick Guide describes the process for downloading photos or videos from e-File, without descriptions or other inspection information.

-IMPORTANT NOTE-

Photos and videos should NOT be given to a licensee directly from a camera or other recording device. They MUST first be uploaded into e-File and then downloaded from e-File using the instructions below.

Additionally, the photos should NOT be delivered to the licensee or registrant directly from Part 3 of an inspection report.

1. In e-File, search for the customer in the search bar at the top of the screen.



2. On the *Inspection Sites* tab Inspection Sites, scroll down to *AWA Inspections* and click on the inspection from which photos are needed.



Record ID	Inspection Type	Status	Inspection Date
INS-0000 30	Routine	Approved	10/22/2020
INS-00000254	Attempted	Approved	12/18/2019

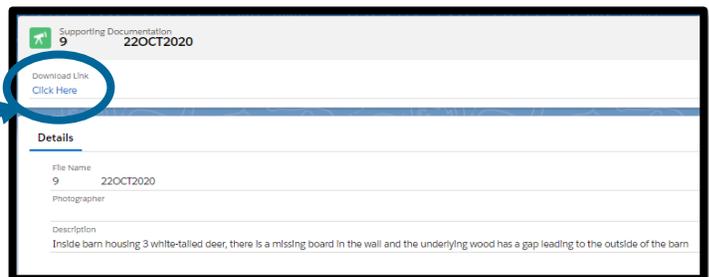
3. This will open the inspection under the *AWA Inspections* tab AWA Inspections. Scroll down to *Supporting Documentation* to see links to photos taken during the inspection.



File Name	Caption	Description	Date/Time Witnessed
9 22OCT2020	CFR-3.125(a)	Inside barn housing 3 whit...	10/22/2020 1:15 PM
9 22OCT2020	CFR-3.125(a)	Zoom out of the missing b...	10/22/2020 1:15 PM
9 22OCT2020	CFR-3.125(a)	Damaged/worn wood in th...	10/22/2020 1:15 PM
9 22OCT2020	CFR-3.125(a)	Ceiling of the back corner o...	10/22/2020 1:15 PM

4. Click on any of the blue hyperlinks for the needed photos or videos. A separate page with *Supporting Documentation* will open.

On the top, left of the screen there will be a *Download Link* that says "Click Here."



This link will open the photo with no description or any other inspection details.

5. On the upper left of the screen that opens, there is a "Download" button. Click this button to save them to a computer folder so they can later be emailed or printed and mailed to the licensee or registrant.



Downloading & Saving Photos/Videos to a Flash Drive

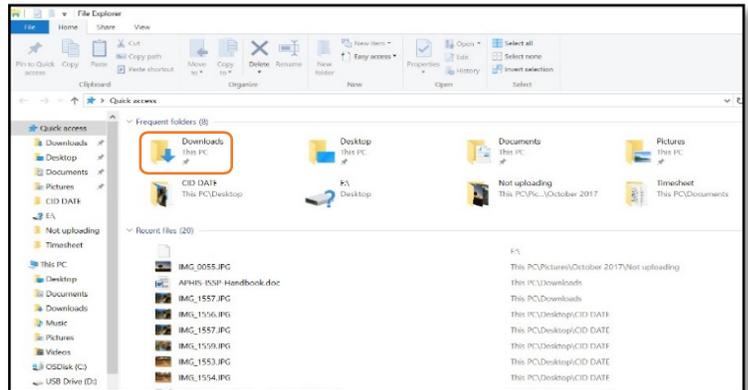
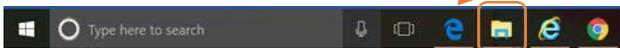
Purpose: This Quick Guide describes the process for downloading and saving photos or videos to a flash drive.

NOTE: Only brand new flash drives should be provided to licensees/registrants

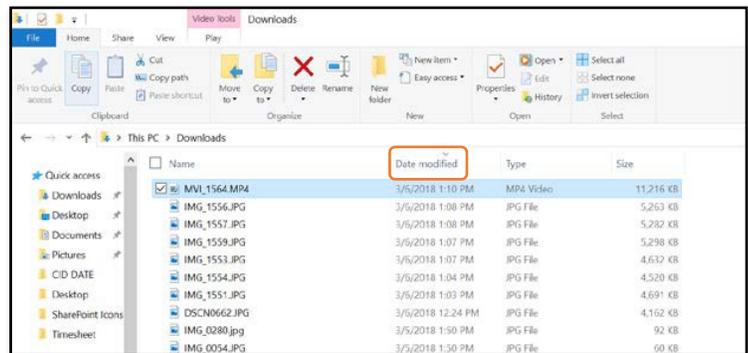
Follow the steps in the Quick Guide *Downloading Photos from E-File* to first download any needed photos or videos.

Downloading and Saving Process:

1. Once all photos and videos have been downloaded to a computer file, go to Windows Explorer and click on *Downloads*.

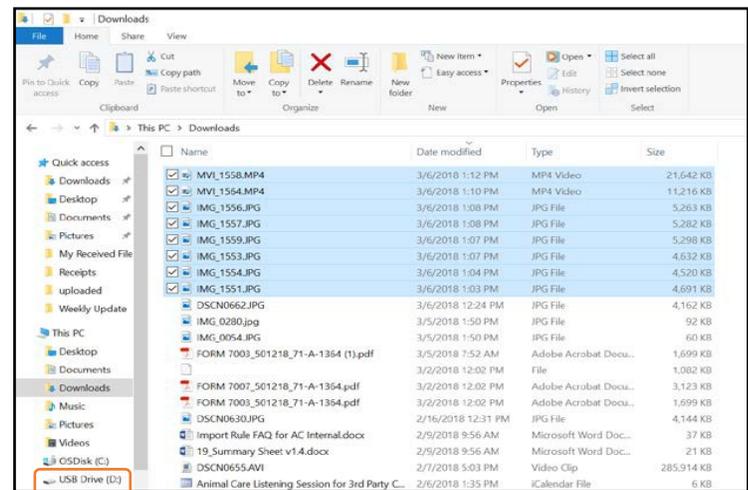


2. Click on *Date Modified* to reorganize the files with the most recently downloaded at the top. The photos and videos downloaded from e-File should appear at the top of the list of files.



3. Highlight all the photos and videos to be saved to a flash drive. Click on the highlighted files and drag them to the *USB Drive* to save them to the flash drive. Once saved, remove the flash drive and provide it to the licensee/registrant.

DO NOT re-use a flash drive that has been used in a licensee or registrant's computer.



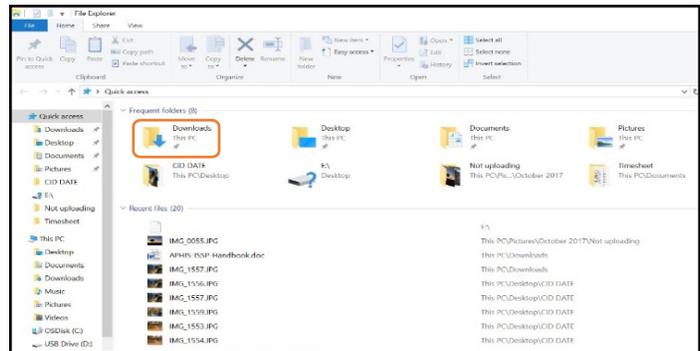
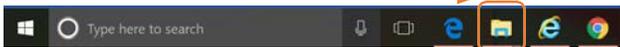
Downloading and Burning Photos/Videos to CD/DVD

Purpose: This Quick Guide describes the process for downloading and burning photos or videos to a CD/DVD using an external DVD RW Drive.

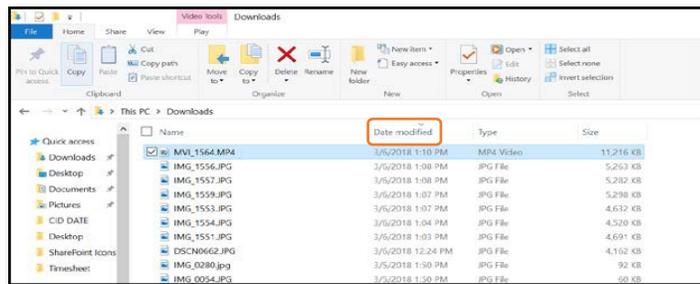
Follow the steps in the Quick Guide *Downloading Photos from E-File* to first download any needed photos or videos

Downloading/Burning Process:

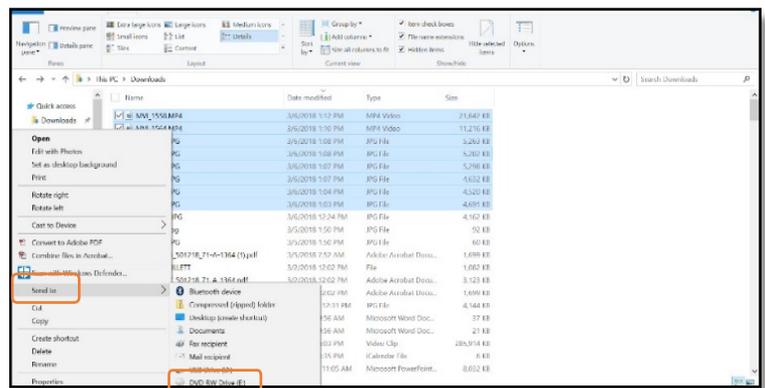
1. Once all photos and videos have been downloaded to a computer file, go to Windows Explorer and click on *Downloads*.



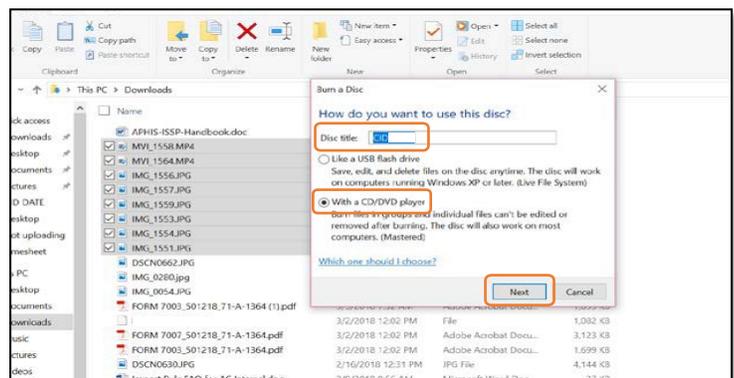
2. Click on *Date Modified* to reorganize the files with the most recently downloaded at the top. The photos and videos downloaded from e-File should appear at the top of the list of files.



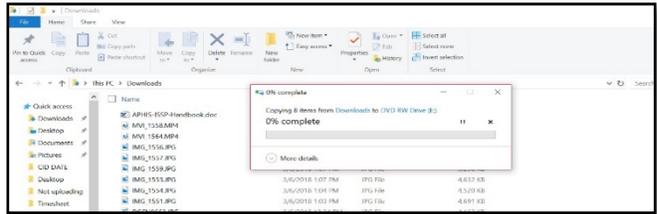
3. Highlight all of the photos and videos to be burned to the CD, then “right click” on the highlighted photos. A variety of options will appear, click on *Send to*. Another box with options will appear, click on *DVD RW Drive*.



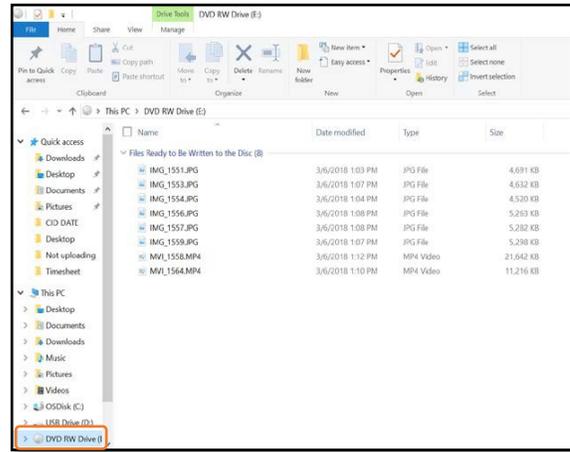
4. The “Burn a Disc” box will open. In the *Disc Title* box type in “CID -----”, click on the second bubble for “With a CD/DVD player” and then click on *Next*.



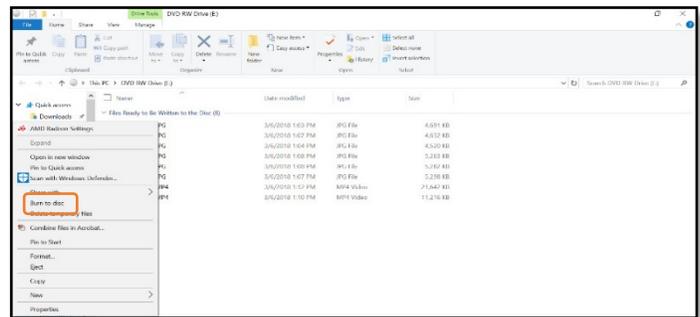
5. A box will appear showing the photos are being prepared to be downloaded to the DVD RW Drive.



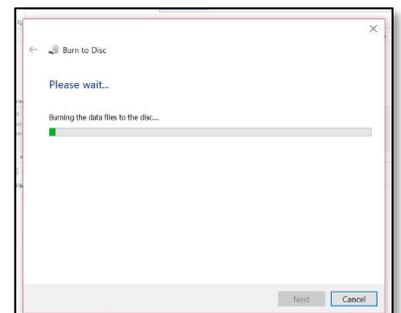
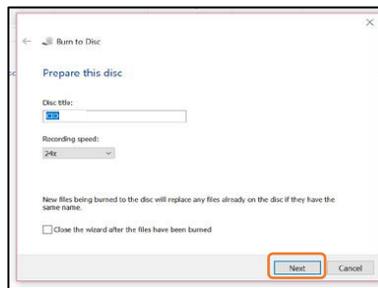
6. The files will appear as "Ready to Be Written to the Disc." "Right click" on the DVD RW Drive on the left-hand side of the screen.



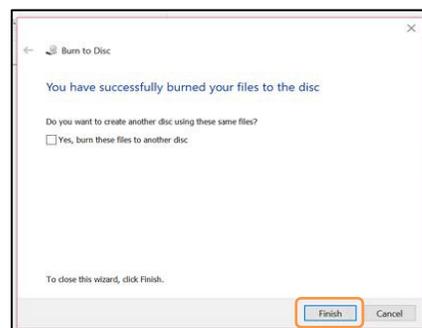
7. Another list of options will appear, click on *Burn to disc*.



8. Another box will appear, the disc title should already show the CID and the number. Confirm it is correct and click next. Another box will appear showing the progress of the burning.



9. Once complete, the following screen will appear, click *Finish*, and the CD/DVD drive will pop open.



Reference Guides

Part 2 – Reference Guide

Regulations: Research Facilities, Vet Care, Identification of Animals, Records, Minimum Age Requirements, Handling, and Procurement

Purpose – This reference guide is intended to assist inspectors with following guidance in Part 2 of Animal Welfare Act and Regulations

Subpart C – Research Facilities (§2.30-§2.38)

View...

- ❖ Areas where animals are housed or could be potentially housed
- ❖ Food and bedding storage areas
- ❖ Food prep areas, if applicable
- ❖ Areas where animal procedures are performed, including euthanasia areas, if applicable
- ❖ Enclosure and equipment cleaning areas

What to look for....

- Species-specific standards are met (refer to Subpart A-F Quick Reference Guides)
 - Deputy Administrator was notified of any operational changes affecting status as a research facility within 10 days
 - IACUC requirements are met ([IACUC Checklist](#))
 - [Protocol Selection Worksheet](#)
 - Attending Veterinarian (AV) and Adequate Veterinary Care
 - AV under formal arrangements and has authority to oversee adequacy of animal care
 - AV is a voting member of the IACUC
 - Written Program of Vet Care for facilities with a part-time AV or an AV- signed written PVC for facilities with dogs
 - Adequate program of veterinary care includes availability of facilities, personnel, equipment and services
 - Use of appropriate methods to prevent, control, diagnose, and treat diseases and injury
 - Availability of emergency, weekend, and holiday care
 - Daily observations of all animals and a mechanism of communication to AV regarding animal health concerns
 - Guidance to principal investigators and other animal care personnel regarding handling, immobilization, anesthesia, tranquilization, and euthanasia
 - Adequate pre- and post-procedural care
 - Acquisition and disposition records for all live dogs or cats
 - Annual Report is submitted by Dec 1st and includes all covered species held, bred, or used for teaching, research or surgery in their appropriate categories
 - Handling of animals does not cause trauma, behavioral stress, physical harm, or unnecessary discomfort
 - Identification of all live dogs or cats
 - Official numbers are correctly listed in acquisition and disposition records
 - No tag number is to be used to identify more than one animal or reused in a 5-year period
 - Health certificates for any dog, cat, or nonhuman primate offered for transportation in commerce
 - Dogs or cats obtained from sources other than dealers, exhibitors, and any exempt persons held the animals for 5 full days after acquisition before being used in the facilities
-

Subpart D – Attending Veterinarian and Adequate Vet Care (Dealers and Exhibitors) §2.40

View...

- ❖ Written Program of Vet Care for facilities with a part-time Attending Veterinarian (AV) or a facility with dogs
- ❖ All animals to look for any signs of health concerns/abnormalities
- ❖ Observations/notes/medical records for any animals with an observed health concern or any animals that have died/were euthanized since the last inspection

What to look for....

- AV has appropriate authority to ensure adequate veterinary care is being provided
- AV has regularly scheduled visits to the premises
- Availability of facilities, personnel, equipment, and services to ensure adequate veterinary care is provided
- Use of appropriate methods to prevent, control, diagnose, and treat diseases and injury
- Availability of emergency, weekend, and holiday care
- Daily observations of all animals are being performed and a timely mechanism of communication to AV regarding animal health concerns
 - Any abnormal health concerns noted during observation of the animals during inspection?
 - [Adequate Veterinary Care Flow Chart](#)
- Guidance to animal care personnel regarding handling, immobilization, anesthesia, tranquilization, and euthanasia
- Adequate pre- and post-procedural care is being provided

Subpart E – Identification of Animals §2.50 – §2.55

View....

- ❖ Method of identification of all live dogs and cats

What to look for....

- Class “A” Dealers/Breeders
 - All live dogs and cats on premises are identified by an official tag, tattoo, or microchip
 - Puppies or kittens less than 16 weeks of age are also identified by an official tag, tattoo, or acceptable plastic-type collar
 - Unweaned puppies/kittens do not need to be individually identified while they are maintained as a litter with the dam, in the same primary enclosure, and dam is individually identified
 - Cage cards can be used for puppies and kittens meeting the following requirements:
 - Less than 16 weeks of age
 - Maintained in distinct litters and not comingled
 - Housed at the facility where they were born
 - Cage cards used for identification purposes only must contain the following information:
 - Letters “USDA”
 - Licensee’s USDA certificate number
 - Unique identification number assigned to each puppy/kitten
 - If cage cards are only used for identification, then puppies/kittens must be included on APHIS 7005
 - Cage cards used for identification and inventory must contain the following information:
 - Letters “USDA”
 - Licensee’s USDA certificate number
 - Date of birth of litter
 - Unique identification number assigned to each puppy/kitten

- Description of each puppy/kitten (breed, sex, color, markings)
 - Date of disposition/death/euthanasia
- Cage cards must be attached to front of animal enclosure
- Class “B” Dealers
 - All live dogs or cats immediately upon his or her control or on the premises
 - Official tag, tattoo, or microchip
 - May continue using existing identification applied from previous dealer/exhibitor
 - Correctly list all old and new official tag numbers/tattoos/microchips in records of purchase
 - Puppies or kittens less than 16 weeks of age are also identified by an official tag, tattoo, or acceptable plastic-type collar
 - Unweaned puppies/kittens do not need to be individually identified while they are maintained as a litter with the dam, in the same primary enclosure, and dam is individually identified
 - If unable to affix an official tag to a cat or if doing so causes serious distress, the dealer may attach the tag to the door of the primary enclosure (must contain no more than one weaned cat without an affixed tag)
- Class “C” Exhibitors
 - All live dogs and cats under his or her control
 - Official USDA tag may be kept on the door of the animal’s enclosure IF there is also a record book containing each animal’s tag number accompanying a description and photograph of each animal, AND a duplicate tag that accompanies each animal when it leaves the premises
- Animals other than dogs and cats must also be identified by the dealer or exhibitor when delivered for transportation, transported, purchased, sold, or otherwise acquired or disposed
 - If more than one animal is confined in a primary enclosure when delivered for transportation, and the individual animal is not already identified, there needs to be a label on the enclosure that includes the number of animals, the species of animals, distinctive features, and identifying marks, tattoos, or tags attached to the animals
 - If no label, the primary enclosure can be marked with a number that corresponds to dealer/exhibitor records that contain the required information above
 - Animals other than dogs or cats not confined in a primary enclosure when delivered for transportation are identified on appropriate acquisition/disposition records which accompany the animal and are maintained by the dealer/exhibitor
- Official Tags
 - Made of durable material and either circular or oblong
 - Needs to have “USDA”, the numbers identifying the State, dealer/exhibitor/research facility, and number identifying the animal
 - Need to be serially numbered and the same number cannot be used within any 5-year period following its previous use
 - When a dog or cat dies or is euthanized, the dealer/exhibitor must remove and retain the tag for a period of 1 year

Subpart G - Records §2.75 – §2.80

View...

- ❖ Acquisition and Disposition Records
- ❖ Animal Inventory
- ❖ Health Certificates for dogs, cats, and nonhuman primates transported in commerce

What to look for....

- Acquisition and Disposition Records for Dealers and Exhibitors (Dogs and Cats) need to include
 - Name and address of where the dog/cat was acquired from
 - USDA license/registration number of where the dog/cat was acquired from (if required)
 - Vehicle license number and State, and driver’s license number and State of where dog/cat was acquired from if not licensed/registered with USDA APHIS
 - Name and address of person to whom dog or cat was sold/given and their USDA license/registration number (if required)
 - Date of acquisition or disposition of dog or cat, including any offspring born on the premises
 - Contains description of each animal that includes species, breed/type, sex, date of birth or approximate age, color, any distinctive markings

- Method of transportation (name of carrier/intermediate handlers, or the name and owner if a privately owned vehicle is used)
- Method of disposition (sale, death, euthanasia, donation, etc.)
- Must use Record of Acquisition and Dogs and Cats on Hand (APHIS Form 7005) and Record of Disposition of Dogs and Cats (APHIS Form 7006)
 - Dealer or exhibitor may request a variance if electronic recordkeeping is used to record this information
 - Copies of these records must both accompany any shipment of dogs or cats as well as be retained by the dealer/exhibitor who disposed the animal
- Acquisition and Disposition Records for Dealers and Exhibitors for animals other than dogs and cats need to include
 - Name and address of where the animal was acquired from
 - USDA license/registration number of where the animal was acquired from (if required)
 - Vehicle license number and State, and driver's license number and State of where animal was acquired from if not licensed/registered with USDA APHIS
 - Name and address of person to whom animal was sold/given and their USDA license/registration number (if required)
 - Date of acquisition or disposition of animal, including any offspring born on the premises
 - Species of each animal
 - Number of animals in shipment
 - Method of transportation (name of carrier/intermediate handlers, or the name and owner if a privately owned vehicle is used)
 - Method of disposition (sale, death, euthanasia, donation, etc.)
 - May use Record of Animals on Hand (other than dogs or cats) (APHIS Form 7019) and Record of Acquisition, Disposition, or Transport of Animals (other than dogs or cats)(APHIS Form 7020)
 - Copies of these records must both accompany any shipment of animals as well as be retained by the dealer/exhibitor who disposed the animal
- Operators of Auction Sales and Brokers
 - Needs to include the following for each animal consigned or sold, whether or not a fee or commission is charged:
 - Name and address of person who owned/consigned the animal for sale
 - Name and address of buyer/consignee
 - USDA license/registration number of persons selling, consigning, buying, or receiving animals
 - Vehicle license number and State, and driver's license number and State of person if not licensed/registered by USDA APHIS
 - Date of consignment
 - Official USDA tag number/tattoo
 - Description of animal, including species, breed/type, sex, date of birth or approximate age, color, any distinctive markings
 - Auction sales or number assigned to animal
 - Copies of records provided to both consignor and purchaser
- Carriers and Intermediate Handlers
 - Keep and maintain consignor's written guarantee for payment of transportation charged for any animal not claimed for C.O.D. shipments
 - Keep and maintain health certificates for all live dogs, cats, or nonhuman primates delivered for transportation in commerce
- Health Certificates
 - For all dogs, cats or nonhuman primates
 - Issued by a licensed veterinarian
 - Dated no more than 10 days prior to the delivery of animal for transportation
 - States that animals are free of any infectious disease or physical abnormality which would endanger the animals or other animals or public health
 - Intermediate handlers or carriers may not accept live dogs, cats, or nonhuman primates for transportation unless accompanied by a health certificate
- Records must be kept for 1 year

Subpart I – Minimum Age Requirements (§2.130)

View...

❖ Acquisition Records

What to look for....

- Verify that dogs and cats less than 8 weeks of age are not being transported in commerce except to a registered research facility
- [Minimum Age Requirements Chart](#)

Subpart I - Handling (§2.131)

What to look for....

- Licensees with wild or exotic animals have adequate experience and knowledge of the species they maintain
- Handling of animals does not cause trauma, behavioral stress, or unnecessary discomfort
- Physical abuse is not being used to train, work, or otherwise handle animals
- Deprivation of food or water is not being used to train, work, or otherwise handle animals
- During times of public exhibition, animals are handled so that there is minimal risk to the animal and public and there is sufficient distance or barriers between the animals and public
- Performing animals are allowed a rest period between performances that is equal to or greater than the time of one performance
- Young/immature animals are not exposed to rough or excessive public handling or exhibited for periods of time which would be detrimental to their health or well-being
- Drugs are not being used to facilitate, allow, or provide for public handling of animals
- Animals are exhibited only for periods of time and under conditions that are consistent with their health and well-being
- During periods of public contact, there are responsible, knowledgeable, and readily identifiable employees present at all times
- During public exhibition, dangerous animals (lions, tigers, wolves, bears, elephants) are under the direct control and supervision of a knowledgeable and experienced animal handler
- If public feeding is allowed, food must be provided by the facility and is appropriate for the type of animal
- Animals are never subjected to combinations of temperature, humidity, and time that would be detrimental to the animal's health
- Consider age, species, breed, overall health status, and acclimation

Subpart I - Procurement (§2.132)

What to look for....

- Class "B" dealers are only obtaining random source dogs and cats from other licensed dealers or animal pounds or shelters owned/operated by a State, county, city, or legal entity operating under the laws of the State it's in (i.e.: humane shelter or contract pound)
- Nobody is obtaining live animals under false pretenses, misrepresentation, or deception
- Dealers or exhibitors are not knowingly obtaining animals from persons who should be licensed with the USDA but are not
- Dealers and exhibitors are not knowingly obtaining dogs or cats from anybody who is not licensed, other than a pound or shelter, without obtaining a certification that the animals were born and raised on that person's premises
- If the animals are for research, this person must have sold fewer than 25 dogs or cats that year, or if the animals are pets that the person does not maintain more than four breeding females

Subpart A – Reference Guide

– Dogs and Cats –

Purpose – This reference guide is intended to assist inspectors with completing inspections at all facilities with dogs and cats.

General Housing Facilities §3.1

View...

- ❖ General facility - inside and outside of building
- ❖ Food and bedding storage
- ❖ Drainage areas

Ask about....

- ❖ Heating/cooling/ventilation
- ❖ Source of potable water

What to look for....

- Housing areas in need of repair
- Areas of injury or escape
- Clutter, weeds, etc.
- Separation from other businesses
- Maintenance of surfaces
 - Rust
 - Jagged edges and sharp points
 - Worn and soiled surfaces
- Floors needing raking or spot cleaning
- Supplies of food and bedding off the floor and away from the wall
- Signs of vermin, spoilage, or contamination
- Proper food storage (refrigeration, open food and bedding with tightly fitting lids and leak-proof containers)
- Only current food and bedding in animal areas
- Toxic substances stored appropriately
- Properly constructed and operated drainage/waste disposal system
- Trash Containers are leak-proof with tightly fitting lids
- Build-up of waste/standing water

Housing Facilities – Indoor §3.2, Sheltered §3.3, Outdoor §3.4

View for all housing types...

- ❖ Temperature readings in building (near animals, entry ways, heating/cooling systems, and general areas)
- ❖ Ventilation system (indoor and sheltered only)
- ❖ Lighting (indoor and sheltered only)
- ❖ Test appropriate surfaces for imperviousness

Outdoor Housing §3.4 - Additional areas...

- ❖ Shelters with animals present
- ❖ Inside of shelters
- ❖ Shade
- ❖ Outdoor flooring areas

Sheltered Housing §3.3 - Additional areas...

- ❖ Shelter areas with animals present
- ❖ Outside flooring areas

Ask about....

- ❖ Any sick, aged, or young animals (temperature stress/acclimation)
- ❖ Method of ventilation at different times of the year
- ❖ Lighting cycle (diurnal)

What to look for....

- Temperature within required range
- Signs of heat or cold stress
- Clean and functioning ventilation system – windows/vents/fans/heating or air conditioning unit
- Water soaking into surfaces demonstrating non-impervious surfaces
- Shelters allow animals to sit, stand, turn around/lie down and fits all animals
- Clean, dry shelters and bedding
- Shelters with roof, four sides, floor and wind and rain-break
- Compliant outside flooring areas (clean, surfaces exposed to direct sun vs. not exposed)
- Acclimated animals and heat/cold intolerant breeds

Primary Enclosures §3.6

View...

- ❖ Every enclosure housing, or intended to house, animals
- ❖ Animal size vs. space measurements (as needed)
- ❖ Measure size of wire strands on floor (as needed)

Cats – Additional views...

- ❖ Litter
- ❖ Resting surfaces

Ask about....

- ❖ Age of animals
- ❖ Animals in heat

What to look for....

- Structural soundness of enclosures and ability to contain the animals
- Sharp points and/or jagged edges
- Areas of potential injury
- Clean and dry enclosures
- Shelter and shade
- Access to food and water
- Flooring that protects feet/legs from injury
- Adequate space
- Adequate size of wire strands on floor
- Coating covering wire strands on floor
- Sagging or bending floors
- Compatible and appropriate housing - no more than twelve in the same enclosure, animals in heat, queens/dams with litters and animals under four months of age not housed with other adults, vicious/aggressive animals
- CATS - Clean and adequate litter
- CATS - Adequate resting surfaces – hold all animals at the same time, elevated, impervious to moisture, easily cleaned/sanitized or replaceable
- DOGS – Six inches of head space
- DOGS – Tethering

Compatible Grouping §3.7

View...

- ❖ Animal interactions

Ask about....

- ❖ Sick animals

What to look for....

- Appropriate housing - females in heat, young animals, housing with other species
- Vicious or aggressive animals
- Isolation for disease

Exercise §3.8

View...

- ❖ Exercise Plan for dogs (with record review)
- ❖ Animal housing status (group vs. individual) and size vs. exercise requirements (measurements)

Ask about....

- ❖ Age of animals
- ❖ Animals exempted from exercise requirements

What to look for....

- All dogs over twelve weeks of age meet exercise requirements
- Frequency, method, and duration of exercise determined by vet
- Dogs with no sensory contact to other dogs are provided positive human contact daily
- No forced exercise
- Exercise exemptions – Properly documented by the Attending Veterinarian, reviewed every 30 days (unless permanent)

Feeding §3.9

View...

- ❖ Food currently being fed to the animals
- ❖ Food receptacles

Ask about....

- ❖ Cleaning & sanitation of food receptacles
- ❖ Disposable food receptacles discarded after one use

What to look for....

- Dogs & cats fed at least once a day unless otherwise required for veterinary care
- Food must be wholesome, uncontaminated, palatable, & of sufficient quantity & nutritive value
- Food receptacles are required for dogs & cats
- Receptacles readily accessible to all animals
- Location of receptacles to minimize contamination from excreta/pests/weather
- Receptacles kept clean/sanitized unless disposable

Watering §3.10

View...

- ❖ Water for potability
- ❖ Water receptacles

Ask about....

- ❖ CATS-how often are they watered
- ❖ Cleaning and sanitation of water receptacles
- ❖ Any watering restrictions per AV

What to look for....

- DOGS - potable water continuously available
- CATS - offered water as often as necessary to ensure health/well-being, but at least twice daily for one hour each time
- Water receptacles kept clean & sanitized

Cleaning, Sanitization, Housekeeping, & Pest Control §3.11

View...

- ❖ Every enclosure housing or intended to house animals
- ❖ Food & water receptacles
- ❖ Premises looking for trash, junk, etc.
- ❖ Overgrown weeds, grass, etc.
- ❖ Pest control methods

Ask about....

- ❖ How often excreta/food waste is removed from enclosures
- ❖ How often waste removed from pans and areas beneath raised enclosures
- ❖ Cleaning/sanitizing methods
- ❖ Pest control program

What to look for....

- Accumulation of feces in enclosure(s)
- Animal waste contaminating hair coats
- Animals with wet hair coats due to washing of enclosures
- Standing water in enclosures
- Buildup of organic material
- Appropriate detergents & disinfectants
- Pens, runs, outdoor areas using materials unable to be sanitized (gravel, grass, bedding, etc.) must have contaminated material removed.
- Premises, buildings, surrounding grounds must be kept clean & in good repair.
- Signs of rodent infestation such as holes chewed in bags of feed & rodent feces
- Signs of other mammalian, avian, or insect pests

Employees §3.12

View...

- ❖ All animals, housing facilities, and enclosures

Ask about...

- ❖ Number of employees
- ❖ Who supervises employees
- ❖ Supervisor's experience providing husbandry to dogs and cats

What to look for....

- Number of employees vs. number of animals
- Knowledge, background, & experience in proper husbandry of dogs and cats
- Numerous NCIs identified during the inspection may indicate not enough employees

Veterinary Care for Dogs §3.13

View...

- ❖ All dogs (adults & puppies)
- ❖ Written PVC
- ❖ Medical Records for each dog
- ❖ Results of annual exams by AV

Ask about....

- ❖ Regularly scheduled visits by AV
- ❖ Any dog currently under veterinary care

What to look for....

- Adequate vet care provided
- Required vaccinations & sampling/treatment for parasites conducted according to schedule approved by AV
- Physical examination of each dog by AV is completed every 12 months
- Preventative care/treatment for hair coats, toenails, eyes, ears, skin, teeth is documented in PVC
- Medical records include dog's identification information (breed, sex, tag #, etc.)
- Routine husbandry of all dogs in a group (vaccination, deworming) may be kept on a single record
- Medical records contain complete information for an illness, injury, or disease including: exam findings, test results, treatments performed and treatment plan
- Medical records must include names/dates of all vaccines & treatments administered
- Medical records must include dates & results of all screening, routine, or other tests/exams
- Medical records are kept for at least 1 year after the dog is euthanized or disposed of
- If the Administrator has notified facility to maintain the records longer, they are doing so

Subpart B – Reference Guide

– Guinea Pigs and Hamsters –

Purpose – This reference guide is intended to assist inspectors with completing inspections at all facilities with guinea pigs and/or hamsters

General Facilities §3.25

View...

- ❖ General facility - inside and outside of building
- ❖ Food and bedding storage
- ❖ Food prep areas, if applicable
- ❖ CO₂ euthanasia areas, if applicable

Ask about...

- ❖ Source of heating/cooling/ventilation, if needed

What to look for....

- Housing facilities are structurally sound and in good repair
- Areas of potential injury, escape, or entry of other animals
 - Are the heights of the sides of the enclosures sufficient to contain the animals?
- Supplies of food and bedding are protected against spoilage, infestation, or deterioration
- Food supplies are stored in containers with tightly fitting lids or in original containers as received
- Refrigeration for perishable food
- Provisions for removal and disposal of wastes
- Washrooms and sinks to maintain cleanliness among caretakers

Housing Facilities – Indoor §3.26, Outdoor §3.27

Indoor Housing Facilities §3.26

- ❖ Ambient temperatures cannot fall below 60°F or exceed 85°F
- ❖ Adequately ventilated to minimize drafts, odors, and condensation
- ❖ Sufficient lighting to permit cleaning and inspections
- ❖ Interior surfaces are substantially impervious to moisture

Outdoor Housing Facilities §3.27

- ❖ Hamsters cannot be housed in outdoor facilities
- ❖ Guinea pigs cannot be housed outside UNLESS
 - Climate is appropriate
 - Prior approval from Deputy Administrator

Ask about....

- ❖ Any sick, aged, or young animals (temperature stress/acclimation)
- ❖ Method of heating/ventilation at different times of the year
- ❖ Lighting cycle (diurnal)

What to look for....

- Temperature within required range
- Signs of heat or cold stress
- Clean and functioning ventilation system – windows/vents/fans/heating or air conditioning unit
- Water soaking into surfaces demonstrating non-impervious surfaces

Primary Enclosures §3.28

View...

- ❖ Every enclosure housing, or intended to house, animals
- ❖ Animal size vs. space measurements (as needed)

Ask about...

- ❖ Separate enclosures for sick animals

What to look for....

- Structural soundness of enclosures
- Enclosures, and structures within enclosures, are constructed of smooth material that is substantially impervious to liquids
- Any sharp points and/or jagged edges
- Areas of potential injury
- Clean and dry enclosures
- Convenient access to food and water
- Enclosures with a solid floor have clean bedding
- Enclosures with a wire bottom allow feces to pass through AND are constructed to protect feet and legs from injury
- Minimum space and interior height requirements are met

Feeding §3.29

View...

- ❖ Food receptacles within enclosures
- ❖ Food prep areas

Ask about...

- ❖ Frequency of feeding
- ❖ Diet of animals
- ❖ Cleaning and sanitization procedures of food receptacles

What to look for....

- Food is free from contamination, wholesome, and palatable
- Food is of sufficient quantity and nutritive value to meet requirements of animals
- Food is equivalent in quality and content as commercial feed
- Food receptacles are located to minimize contamination by excreta
- Food receptacles are clean and sanitized at least once every 2 weeks
- Measures taken to prevent molding/caking of feed within feeders
- Uneaten fruit or vegetables and any bedding soiled from uneaten fruit or vegetables are removed

Watering §3.30

View...

- ❖ Source of potable water within enclosures

Ask about...

- ❖ Frequency of watering (if not automatic)
- ❖ Cleaning and sanitization procedures of water receptacles

What to look for....

- Cleanliness of water sources, including around nipples and spigots
- Open containers of water are located to minimize contamination by excreta
- Watering receptacles are sanitized when dirty but no less than once every two weeks

Sanitation §3.31

View...

- ❖ Cleanliness of primary enclosures
- ❖ Overall condition of premises
- ❖ Pest control measures being taken

Ask about....

- ❖ Frequency of sanitization of primary enclosures
- ❖ Method of sanitizing primary enclosures

What to look for....

- Primary enclosures are cleaned and sanitized often enough to prevent accumulation of feces or debris BUT no less than once every two weeks
- Disinfectants and detergents are used according to their directions and are used in a manner that is safe for the animals
- Animals are not in enclosures that are wet or soiled to the point where animals would be uncomfortable (including enclosures that have leakage from the watering system)
- New animals are placed into sanitized enclosures (if those enclosures were used previously)
- Sanitization methods meet requirements of §3.31(a)(4)
- Premises are clean, kept in good repair, and kept free of accumulations of trash
- Effective control of insects, ectoparasites, birds, and vermin

Employees §3.32

View...

- ❖ Overall husbandry of facility

Ask about....

- ❖ Number of employees
- ❖ Animal husbandry background of supervisor

What to look for....

- Are there a sufficient number of employees to maintain required husbandry practices?

Classification and Separation §3.33

View...

- ❖ All animal enclosures

Ask about....

- ❖ Harem breeding practices

What to look for....

- Animals in the same primary enclosures shall be compatible
- Guinea pigs are only housed with other guinea pigs
- Pre-weanling guinea pigs should not be housed in the same primary enclosure with adults other than their parents UNLESS harem breeding is practiced
- Hamsters are only housed with other hamsters
- Animals under quarantine or treatment from a communicable disease are separated from other animals

Subpart C – Reference Guide

– Rabbits –

Purpose – This reminder list is intended to assist inspectors with completing routine inspections at all facilities with rabbits.

General Housing Facilities §3.50

View...

- ❖ General facility - inside and outside of building
- ❖ Food and bedding storage
- ❖ Drainage areas

Ask about...

- ❖ Power for heating/cooling/ventilation
- ❖ Source of potable water

What to look for....

- Housing areas in need of repair
- Areas of injury, escape, or entrance of other animals
- Food/bedding stored to protect against contamination and infestation
- Refrigeration for perishable foods
- Removal & disposal of all waste
- Waste disposal provisions shall minimize vermin infestation, disease hazards & odors

Housing Facilities – Indoor §3.51, Outdoor §3.52

View: Indoor Housing 3.51

- ❖ Ventilation system & auxillary ventilation (fans, Air conditioning, etc.)
- ❖ Lighting
- ❖ Test appropriate surfaces for imperviousness

View: Outdoor Housing §3.52

- ❖ Shelters with animals present
- ❖ Inside of shelters
- ❖ Shade
- ❖ Enclosure protects against predators
- ❖ Effective drainage

Ask about....

- ❖ Method of ventilation at different times of the year
- ❖ Ambient temperature in indoor housing and outdoor housing
- ❖ Outdoor artificial cooling system when temp is over 90°F

What to look for....

- Auxillary ventilation is used if indoor temps 85°F or higher
- Clean and functioning ventilation system – windows/vents/fans/heating or air conditioning unit
- Water soaking into surfaces demonstrating non-impervious surfaces
- Shelters provided if raining or snowing
- Shelters provided if temp is below 40°F
- Dry shelters

Primary Enclosures §3.53

View...

- ❖ Every enclosure housing or intended to house animals
- ❖ Animal size vs. space measurements (as needed)

Ask about....

- ❖ Size of enclosures including height
- ❖ Weight of rabbits

What to look for....

- Structural soundness of enclosures and ability to contain the animals
- Areas of potential injury
- Clean and dry enclosures
- Access to food and water
- Flooring that protects feet/legs from injury
- Litter provided for solid floors
- Nest box for females with litters
- Nest box has clean nesting material
- Enclosure space provides adequate freedom of movement & normal postural adjustments
- Enclosure space & height is compliant vs. weight of rabbit(s)

Feeding §3.54

View...

- ❖ All food items
- ❖ All food receptacles

Ask about....

- ❖ How often rabbits are fed
- ❖ How often feeders are cleaned/sanitized

What to look for....

- Rabbits fed at least once daily
- Food is wholesome and nutritive
- Food is uncontaminated
- Feeders are accessible
- Feeder location minimizes contamination from excreta
- Feeders cleaned/sanitized once every 2 weeks
- No molding, deterioration, or caking of feed

Watering §3.55

View...

- ❖ Water
- ❖ Water receptacles

Ask about....

- ❖ Cleaning & sanitation of water receptacles

What to look for....

- Water that is not potable
- Dirty water receptacles

Sanitation §3.56

View...

- ❖ All enclosures housing or intended to house rabbits
- ❖ Pans & other areas beneath mesh flooring
- ❖ Premises
- ❖ Pest control methods

Ask about...

- ❖ Cleaning & sanitizing methods
- ❖ Pest control program

What to look for....

- Buildup of excreta, hair, cobwebs & debris
- Wetting of rabbits when cleaning enclosures
- Soiled litter replaced once a week
- Troughs/pans beneath mesh flooring cleaned at least once a week
- If worm bins used-maintained in sanitary condition
- Enclosures sanitized at least once every 30 days
- Premises clean & in good repair
- Premises free of trash
- Signs of pest control problems

Employees §3.57

View...

- ❖ All rabbits, housing facilities, and enclosures

Ask about....

- ❖ Number of employees
- ❖ Who supervises employees
- ❖ Supervisor's experience providing husbandry to rabbits

What to look for....

- Number of employees vs. number of animals
- Employee supervisor must have background in animal husbandry or care.
- Numerous NCLs identified during the inspection may indicate not enough employees

Classification and Separation §3.58

View...

- ❖ Animals for compatibility
- ❖ Animals for signs of illness

Ask about...

- ❖ Rabbits housed with other species
- ❖ Separation of rabbits due to communicable disease

What to look for...

- Incompatible behaviors
- Rabbits housed with other species
- Sick or quarantined rabbits not separated from others
- Sick or quarantined rabbits not separated from others

Subpart D – Reference Guide – Nonhuman Primates –

Purpose – This reference guide is intended to assist inspectors with completing inspections at all facilities with nonhuman primates.

General Housing Facilities §3.75

View...

- ❖ General facility - inside and outside of building
- ❖ Food and bedding storage
- ❖ Drainage areas

Ask about...

- ❖ Power for heating/cooling/ventilation
- ❖ Source of potable water
- ❖ Cleaning of surfaces for scent marking species

What to look for....

- Housing areas in need of repair
- Areas of potential injury, escape, or entrance of other animals
- Clutter, weeds, etc.
- Separation from other businesses
- Maintenance of surfaces
 - Free of excessive rust, jagged edges, sharp points
 - Replaced when worn or soiled
 - Spot cleaned daily (in areas nonhuman primates can touch)
 - Fixtures/furniture strong enough (for size/activity)
- Floors needing raking or spot cleaning
- Supplies of food off the floor and away from the wall
- Refrigeration for perishable food items
- Signs of vermin, spoilage, contamination
- Proper food storage (refrigeration, open food and bedding with tightly fitting lids and leakproof containers)
- Only current food and bedding in animal areas
- Toxic substances stored appropriately
- Properly constructed and operated drainage/waste disposal
- Build-up of waste/standing water

Housing Facilities – Indoor §3.76, Sheltered §3.77, Outdoor §3.78

View for all housing types...

- ❖ Temperature readings in building (near animals, entry ways, heating/cooling systems, general areas)
- ❖ Ventilation system (indoor and sheltered only)
- ❖ Lighting (indoor and sheltered only)
- ❖ Test appropriate surfaces for imperviousness

Ask about....

- ❖ Any sick, aged, or young animals (temperature stress/acclimation)
- ❖ Method of ventilation at different times of the year
- ❖ Lighting cycle (diurnal)

Sheltered Housing §3.77 – Additional areas

- ❖ Adequate shelter capacity
- ❖ Shelter from elements
- ❖ Perimeter fencing
- ❖ Public barriers

Outdoor Housing §3.78 - Additional areas...

- ❖ Acclimation of animals to temperature and humidity
- ❖ Adequate shelter from elements
- ❖ Adequate shelter capacity, consider aggression issues
- ❖ Perimeter fencing
- ❖ Public barriers

What to look for....

- Indoor and Sheltered housing facilities - not below 45°F for more than 4 consecutive hours
- Indoor and Sheltered housing facilities - not above 85°F for more than 4 consecutive hours (for sheltered housing, >85°F permitted if approved by the AV)
- Outdoor housing facilities provide heat in shelters to prevent temperatures from falling below 45°F (except as directed by Attending Veterinarian)
- Signs of heat or cold stress
- Clean and functioning ventilation system
- For Indoor and Sheltered housing facilities, auxiliary ventilation (fans/blowers/air conditioning) must be provided when ambient temperature rises above 85°F
- Perimeter fencing requirements are met
- Public barriers (where public contact is possible)

Mobile or Traveling Housing §3.79

View...

- ❖ Temperatures near animals and general areas
- ❖ Adequate, diurnal lighting to permit inspections and cleaning
- ❖ Public barriers

Ask about....

- ❖ Ventilation systems

What to look for....

- Temperatures not below 45° F or above 85°F for more than 4 consecutive hours
- Heat and humidity levels maintained for the health and well-being of the nonhuman primate
- Clean and functioning ventilation system – windows/vents/fans/air conditioning unit
 - Auxiliary ventilation provided when ambient temperature in traveling housing facility is 85°F or higher
- Lighting uniformly distributed and nonhuman primates protected from excessive illumination
- Public barriers any time the public is present
- Nonhuman primates used in traveling exhibits, animal acts, or uncaged public exhibits are under the direct control of a handler/trainer at all times when the public is present
- Trained nonhuman primates may be allowed physical contact with the public if they are under the control and supervision of handler/trainer at all times during contact

Primary Enclosures §3.80

View...

- ❖ Every enclosure housing, or intended to house animals
- ❖ Animal size vs. space (as needed)

Ask about....

- ❖ Age of animals

What to look for....

- Structural soundness of enclosures and ability to contain the animals (must take species into consideration)
- Maintenance of surfaces
 - Free of sharp edges or points
 - Protects from injury
 - Worn or soiled surfaces in contact with nonhuman primates are cleaned and sanitized in accordance with §3.84(b)(3) or are replaced
- Enables animals to stay clean/dry
- Provides shelter and protection from extreme temperatures and weather conditions that may be uncomfortable
- Provides sufficient shade to shelter all animals at one time
- Flooring that protects the feet/legs from injury
- Prevents accidental opening (including by the non-human primate)
- Prevents unwanted animals from entering or encountering non-human primate
- Easy access to clean food/water
- Sufficient space for nonhuman primates to make normal postural adjustments with freedom of movement
- Minimum space requirements must be met, even if there are additional perches, ledges, swings, or other suspended fixtures are used

Environmental Enhancement §3.81

View...

- ❖ Environmental enhancement plan, as directed by the Attending Veterinarian
- ❖ Animal housing status (group vs. individual)
- ❖ Any exemptions (AV-health reasons or IACUC-approved research protocols)

Ask about....

- ❖ Individually housed animals
- ❖ Compatibility/aggression Issues
- ❖ Use of restraint devices

What to look for....

- Environmental enhancement plan present
- Must be in accordance with professionally accepted standards
- Must address social needs to nonhuman primates known to exist in social groups in nature
- Plan may provide for exceptions:
 - Vicious or overly aggressive behavior
 - Debilitated due to age or condition
 - Suspected of contagious disease
- Not to be housed with other species of nonhuman primates unless compatible and safe
- Individually housed nonhuman primates must be able to hear and see other nonhuman primates (unless exempted by Attending Veterinarian due to health/safety/well-being)
- Enrichment provided to allow nonhuman primates to perform non-injurious species-typical activities
 - Perches, swings, mirrors
 - Objects to manipulate
 - Varied food items
- Foraging or task-oriented feeding methods
- Providing interaction with knowledgeable personnel
- Special attention is to be provided to the following:
 - Infants, young juveniles
 - Those showing signs of psychological distress/behavior issues
 - Individually housed nonhuman primates unable to see and hear nonhuman primates of their same or compatible species
 - Great Apes weighing over 110lbs
- Nonhuman primates must not be maintained in restraint devices unless required for health reasons
 - Determined by Attending Veterinarian or IACUC-approved research proposal
 - If maintained under restraint, must be for shortest time period possible
- If more than 12 hours of restraint is required, nonhuman primate must be given one continuous hour of unrestrained activity during period of restrained, unless continuous restraint is approved by IACUC

Space: Allow normal postural adjustments and freedom of movement

Group	Weight		Floor area/animal		Height	
	lbs.	(kg.)	ft. ²	(m ²)	in.	(cm.)
1	Under 2.2	(under 1)	1.6	(0.15)	20	(50.8)
2	2.2-6.6	(1-3)	3.0	(0.28)	30	(76.2)
3	6.6-22.0	(3-10)	4.3	(0.40)	30	(76.2)
4	22.0-33.0	(10-15)	6.0	(0.56)	32	(81.28)
5	33.0-55.0	(15-25)	8.0	(0.74)	36	(91.44)
6	Over 55.0	(over 25)	25.1	(2.33)	84	(213.36)

- ❖ Research Facilities may have exemptions
- ❖ Social or Grouped Housed animals must meet space requirements in 3.80(b)(4)

Feeding §3.82

View...

- ❖ Food preparation area
- ❖ Food receptacles
- ❖ Diet (species specific diets)

Ask about....

- ❖ Thin/Overweight Animals

What to look for....

- Diet considers species, size, age and condition
- Special consideration - grouped housed animals with social dominance/eating habits (all should be observed to ensure they received sufficient quantity)
- Fed at least once a day unless directed by the AV
- Juveniles/Infants fed as often as necessary
- Food is wholesome, uncontaminated, palatable, & of sufficient quantity & nutritive value
- Receptacles readily accessible and kept clean/sanitized unless disposable
- Location of receptacles minimizes contamination from excreta/pests/weather

Watering §3.83

View...

- ❖ Water Receptacles
- ❖ Self-watering systems operability

Ask about....

- ❖ How often are animals receiving water
- ❖ Cleaning and sanitation of water receptacles
- ❖ Any watering restrictions per the AV

What to look for....

- Water offered often as necessary, but at least 2 times a day for 1 hour increments
- Water receptacles - clean and sanitized at least once every 2 weeks or as often as necessary to keep them clean and free from contamination
- Used water receptacles - sanitized before being used to provide water to different nonhuman primates

Cleaning, Sanitization, Housekeeping, & Pest Control §3.84

View...

- ❖ Every enclosure housing or intended to house animals
- ❖ Overgrown weeds, grass, etc.
- ❖ Pest control methods
- ❖ Cleaning/Sanitizing products and equipment

Ask about....

- ❖ Frequency of excreta/food waste removal (enclosures and pans/areas under raised enclosures)
- ❖ Cleaning/sanitizing methods
- ❖ Pest control program

What to look for....

- Daily removal of excreta and food waste
- Dirt floors, floors with absorbent bedding, and planted areas spot cleaned as often as necessary
- Animals are removed prior to cleaning with steam or water unless enclosure is large enough to ensure animals will not be harmed, wetted, or distressed
- Perches, bars, shelves kept clean and replaced when worn
- Hard surfaces spot-cleaned daily if species of nonhuman primate engages in scent marking
- Used primary enclosures - sanitized before used for others
- Indoor primary enclosures - sanitized at least once every 2 weeks or as often as necessary
- Hard surfaces of primary enclosures and food and water receptacles sanitized via live steam under pressure, washing with water at least 180°F and soap or detergent, or washing soiled surfaces with appropriate detergents/disinfectants with a thorough cleaning to remove all organic material and to provide sanitization followed by a clean water rinse
- Pens, runs, outdoor areas unable to be sanitized (gravel, grass, bedding, etc.) must have contaminated material removed
- Premises, buildings, surrounding grounds kept clean and in good repair
- Signs of rodent infestation such as holes chewed in bags of feed and rodent feces
- Signs of other mammalian, avian, or insect pests

Employees §3.85

View...

- ❖ Any Handling/Training Records

Ask about....

- ❖ Number of employees
- ❖ Who supervises employees
- ❖ Supervisor's experience providing husbandry to nonhuman primates

What to look for....

- Number of employees vs. number of animals
- Knowledge, background, and experience in proper husbandry of nonhuman primates
- Numerous NCIs identified during the inspection may indicate not enough employees

Subpart E – Reference Guide – Marine Mammals –

Purpose – This reference guide is intended to assist inspectors with completing inspections at all facilities with marine mammals.

General Housing Facilities §3.101

View...

- ❖ General facility - inside and outside of building
- ❖ Water and power supply
- ❖ Drainage
- ❖ Storage
- ❖ Waste disposal

Ask about....

- ❖ If facility uses a lagoon is there an effective barrier
- ❖ How are underwater surfaces checked and maintained
- ❖ How often are drain covers checked so they are securely fastened

What to look for....

- Housing areas in need of repair
- Areas of injury
- Protection from abuse/harassment by public
- Barriers
- Surfaces well maintained
- Toys - safe, not easily broken or ingested
- Food Stored to protect from deterioration, spoilage, vermin, or other contamination
- Refrigeration/freezers for perishable food
- Toxic substances stored appropriately
- Properly constructed and operated drainage/waste disposal system
- Washroom facilities with showers for employees

Housing Facilities – Indoor §3.102 and Outdoor §3.103

Indoor Housing §3.102 - View...

- ❖ Temperature
- ❖ Ventilation
- ❖ Lighting

What to ask...

- ❖ Current water temperatures for pools
- ❖ Are pools regulated with heaters/chillers to maintain temperature?
- ❖ Do indoor areas have 6ft of vertical space for adequate ventilation?

Outdoor Housing §3.103 - View...

- ❖ Temperature
- ❖ Shelter
- ❖ Perimeter Fence

What to look for....

- Indoor temperatures protecting from extremes in accordance with accepted professional journals/reference guides depending upon species
- Indoor ventilation adequately minimizes chlorine fumes and other gases and odors
- Adequate and appropriate lighting
- Only house outdoors if air and water temperature do not adversely affect their health and comfort
- Ice kept clear of pool surface for cold water species
- No manatee/warm water dwelling species housed outdoors if water temperature cannot be maintained within range to meet their needs
- Shelter provides protection from weather and direct sunlight
- Perimeter fences (8' polar bears and 6' for others)

Space §3.104

View...

- ❖ Every enclosure housing animals
- ❖ Back areas
- ❖ Den access for polar bears
- ❖ Dry resting areas for pinnipeds

Ask about....

- ❖ Length of the animals
- ❖ Has the facility already calculated pool and dry areas to assure animals are in adequate space?
- ❖ Are any animals in a space that doesn't meet the AWA? Is that in writing by the AV?

What to look for....

- All animals making normal postural and social adjustments with adequate freedom of movement both in and out of the water
- Can be in small enclosure for <2 weeks for training/reproduction/and or medical reasons. If exceeds 2 weeks needs AV approval.
- Polar Bears:
 - Must have a pool, dry area and a den
 - 400 ft² for up to 2, +40 ft² for each additional animals
 - Den must be at least 6' wide and 5' tall per one breeding female without public viewing
 - If pregnant, traveling bears must also have a den.
 - Pools: minimum horizontal dimension = 8 ft, depth minimum of 5ft +50 ft² for each additional bear

Feeding §3.105

View...

- ❖ Refrigerator
- ❖ Freezer
- ❖ Feeding and supplement records
- ❖ Temperature logs

Ask about....

- ❖ Current weights for animals and diet amounts
- ❖ Feeding records for all animals

What to look for....

- Frozen food should be stored at a maximum of 0°F
- Thawing - use fridge or cold water, feed within 24 hours of thaw
- Diet should be wholesome and palatable (ask to see fish from bucket)
- Fed minimum once a day
- Food receptacles cleaned/sanitized after each use
- Public feeding (food provided by facility) supervised by knowledgeable uniformed employee
- Inappetence > 24 hours must be reported to the AV
- Individual feeding records must be kept and maintained for 1 year

Water Quality §3.106

View...

- ❖ Clarity of water, color of pool surfaces
- ❖ Animal eyes (cloudy eyes indicator of water quality issue)

Ask about....

- ❖ Current water filtration system
- ❖ Water quality records

What to look for....

- Max 1000 MPN for coliforms (if high, take two more samples within 48 hours and average all 3)
- Must test weekly for coliforms, test daily for pH (ideally 7.6 – 8.0) and any chemical additives
- Salinity 15-36 parts per thousand

Sanitation §3.107

View...

- ❖ All primary enclosures
- ❖ Food preparation areas
- ❖ Housekeeping
- ❖ Pest control

Ask about....

- ❖ Current methods of cleaning (dive teams for underwater)?

What to look for....

- Daily removal of animal and food waste
- Trash and debris removed daily
- Walls/bottom surfaces of pools cleaned as often as needed to maintain water quality (a little algae is ok)
- Food preparation - clean and sanitize equipment after each use. Clean kitchen and other food handling areas daily, sanitize weekly
- Building, grounds, and exhibit areas must be kept clean and in good repair
- Primary enclosures must not have any loose objects or sharp projections
- Safe and effective program for insects, ectoparasites, avian and mammalian pests

Employees or Attendants §3.108

View...

- ❖ Number of Employees
- ❖ Documentation of training

Ask about....

- ❖ Changes in staff and how it impacts continuity in the program

What to look for....

- Sufficient number of adequately trained attendants
- Documented training in husbandry, handling, and reporting protocols
- Training done under supervision of experienced trainers, meeting professionally recognized standards

Separation §3.109

View...

- ❖ Animals housed together - compatibility

Ask about....

- ❖ Animals housed separately - written plan by AV

What to look for....

- Social animals - housed with at least one compatible animal of the same/biologically related species
- Any signs of incompatibility (excessive rake marks on cetaceans, injuries in pinnipeds, not eating)
- Written plan required for individually housed animals, documenting frequency of enrichment and interaction by AV

Veterinary Care §3.110

View...

- ❖ Medical records
- ❖ Necropsy records
- ❖ Medications

Ask about....

- ❖ Any newly acquired animals
- ❖ When animals were last seen by AV for visual or physical exam (must be semiannual)

What to look for....

- Individual medical records
- Isolation of newly acquired animals, per AV
- Holding facilities available for isolation, separation, medical training and treatment

Subpart F – Reference Guide

– Warm-Blooded Animals Other Than Subparts A, B, C, D, and E –

Purpose – This reference guide is intended to assist inspectors with completing inspections at all facilities with Subpart F Mammals.

General Housing Facilities §3.125

View...

- ❖ General facility - inside and outside of building
- ❖ Food and storage
- ❖ Drainage and waste disposal areas

Ask about....

- ❖ Power for heating/cooling/ventilation
- ❖ Source of potable water

What to look for....

- Housing areas in need of repair
- Areas of injury or escape
- Clutter, weeds, etc.
- Maintenance of surfaces
 - Rust
 - Jagged edges and sharp points
 - Worn and soiled surfaces
- Signs of vermin, spoilage, contamination
- Proper food storage (refrigeration, protection against deterioration, mold, and contamination)
- Appropriate storage of toxic substances
- Properly constructed and operated drainage/waste disposal system
- Build-up of waste/standing water

Facilities – Indoor §3.126, Outdoor §3.127 and Space §3.128

Indoor Housing §3.126 - View...

- ❖ Indoor housing area
- ❖ Temperature
- ❖ Ventilation (windows, doors, fans, air)
- ❖ Lighting (ample, uniform, not excessive)

Space §3.1.29 View...

- ❖ Normal postural/social adjustments, with adequate freedom of movement

Outdoor Housing §3.127 - View...

- ❖ Shade /shelter
- ❖ Perimeter Fence (8' for dangerous animals, 6' for others and 3' from primary enclosure)
- ❖ Walk Perimeter, if applicable

Ask about....

- ❖ Sick, aged, or young animals (temperature stress/acclimation)
- ❖ Method of ventilation at different times of the year
- ❖ Lighting cycles for particular species
- ❖ Self-inspection and maintenance of perimeter fencing

What to look for....

- Indoor housing protects animals from extreme temperatures - temperature shall not fall below or rise above compatibility with health/comfort of animal species
- Appropriate lighting (ample, uniform, not excessive)
- Temperature within required range
- Signs of heat or cold stress
- Clean and functioning ventilation system – windows/vents/fans/heating or air conditioning unit
- Damage to perimeter fence
- Height of perimeter fence
- Height of primary fence if containing big cats
- Shade and shelter from sun and inclement weather
- Suitable drainage

Feeding §3.129 and Watering §3.130

View...

- ❖ Diet
- ❖ Food and water receptacles, if used
- ❖ Potable water

Ask about....

- ❖ How diet/food is stored and prepared
- ❖ Cleaning and sanitation of receptacles

What to look for....

- Feed that is wholesome, palatable, free from contamination, sufficient quantity and nutritive value
- Diet prepared with consideration for age, species, condition, size and type of animal
- Fed at least once a day except for hibernation, vet treatment, and normal fasting
- Food and water receptacles, if used, are accessible to all and always kept clean/sanitary
- If water is not given at all times, it must be provided as often as necessary
- Water frequency considers age, species, condition, size, and animal species

Cleaning, Sanitization, Housekeeping, & Pest Control §3.13

View...

- ❖ Every enclosure housing or intended to house animals
- ❖ Premises looking for trash, junk, etc.
- ❖ Overgrown weeds, grass, etc.
- ❖ Pest control methods

Ask about....

- ❖ How often excreta/food waste is removed from enclosures
- ❖ Cleaning/sanitizing methods
- ❖ Pest control program

What to look for....

- Accumulation of feces in enclosure(s)
- Animals with wet hair coats due to enclosure washing
- Standing water in enclosures
- Buildup of organic material
- Sick animals (sanitation of enclosures due to transmissible diseases)
- Appropriate detergents & disinfectants
- Premises, buildings, surrounding grounds must be kept clean & in good repair
- Signs of rodent infestation, such as holes chewed in bags of feed & rodent feces
- Signs of other mammalian, avian, or insect pests

Employees §3.132

View...

- ❖ All animals, housing facilities, and enclosures

Ask about....

- ❖ Number of employees
- ❖ Who supervises employees
- ❖ What kind of training do the employees receive

What to look for....

- Number of employees vs. number of animals
- Knowledge, background, & experience in proper husbandry of the species they are handling
- Numerous NCIs identified during the inspection may indicate not enough employees

Separation §3.133

View...

- ❖ All enclosures containing multiple animals

Ask about....

- ❖ How long have animals have been paired/grouped
- ❖ Any issues between animals
- ❖ How the issues have been handled, if applicable

What to look for....

- Compatible animals
- Animals with wounds
- Animals hiding from the others/skittish
- Predator/prey species housed near each other

Handling of Animals §2.131

View...

- ❖ Interactions between staff and animals
- ❖ Interactions between public and animals

Ask about....

- ❖ How animals are trained
- ❖ Public barriers
- ❖ Length of rest time for performing animals
- ❖ Age of animals used for public handling
- ❖ Staff training
- ❖ Food used for public feeding
- ❖ Readily identifiable employees

What to look for....

- Physical abuse shall not be used to train, work, or handle animals
 - Animals must be handled so there is minimal risk of harm to the animal and public
 - Animals allowed a rest period between performances
 - Young/immature animals not exposed to rough or excessive handling
 - Food provided by the facility if public feeding is allowed
-

Dog and Cat Transportation - Reference Guide

Purpose – This reference guide is intended to assist inspectors with completing transportation inspections.

Dogs and Cats §3.14

View...

- ❖ Written certification that animal was offered food/water within four hours before delivery
- ❖ Name, address, and phone number of the consignee
- ❖ Animal(s) and primary enclosure(s)
- ❖ Animal holding area(s)
- ❖ Temperature certifications from AV, if applicable
- ❖ Shipping documents
- ❖ Written attempts to contact the consignee

Ask about....

- ❖ When carrier or intermediate handler received the animal & when the animal departs
- ❖ Temperatures in animal holding areas

What to look for....

- Animal cannot be received more than four hours before scheduled departure (can extend up to two hours)
- Must not accept animal unless they are provided with name, address, & phone number of consignee
- Food/water certification attached to outside of enclosure
 - Instructions for no food/water - only acceptable if directed by the AV
 - Certification must include: consignor's name/address, identification of the animal, time/date animal was last fed/watered, instructions for next feeding/watering for a 24 hour period, consignor's signature & date/time certification was signed
- Primary enclosure must meet requirements of 3.15 & must not be defective/damaged and must contain the animal safely
- Animal holding area must meet temperature requirements of 3.19 & 3.20
- Consignor may provide certification of acclimation to lower temps, signed by a veterinarian no more than 10 days before delivery.
 - This certification must include: consignor's name/address, identification of animal, date, signature, and statement from vet
- The animal cannot be exposed to temps below 45° F for more than four consecutive hours (see 3.19) when in the facility or 45 minutes (see 3.20) when moving to/from facilities and conveyances
- Must notify consignee at least once every six hours after transport is complete
 - Must document time, date, method & name of person who attempts all notifications to consignee & the actual notification to the consignee
 - If consignee can't be notified within 24 hours, the animal is returned to consignor
 - Must feed, water, & care for animal until consignee accepts animal or animal is returned to consignor

Primary Enclosure Used to Transport §3.15

View...

- ❖ Exterior and interior of primary enclosure(s)
- ❖ Words "Live Animals" on exterior of enclosure
- ❖ Arrows indicating upright position of enclosure
- ❖ Proper ventilation of enclosure
- ❖ Absorbent litter (solid floor enclosures)
- ❖ Compatibility
- ❖ Adequate space for normal postural adjustments
- ❖ Documents and paperwork

Ask about....

- ❖ How long have animals been in transport
- ❖ Age of puppies & kittens (review paperwork)
- ❖ Weight of puppies (review paperwork)

What to look for....

- Enclosure contains animal securely
- No sharp points/jagged edges/protrusions
- No body parts can be put outside the enclosure
- Animal can be removed quickly in case of emergency
- Handles or handholds on exterior of enclosure (unless affixed to conveyance)
- No tilting of enclosure & no direct contact with animal inside
- All substances used in or on enclosure are non-toxic
- Enclosure has solid leak proof bottom or mesh floor with pan/tray beneath
- Slatted/mesh floors don't allow body parts to pass through openings
- Solid flooring has non-toxic, absorbent, unused litter
- Animals in transport over 24 hours have a clean enclosure & litter replaced (if applicable)
- If animals are removed from enclosure, they must be protected from injury or escape
- Ventilation of enclosure is compliant
 - Projecting rims on exterior of enclosure to allow air movement (unless affixed to conveyance)
 - Affixed enclosures: front opening must not be blocked & must open into unobstructed passageway
- Animals transported together must be same species & compatible
- Private pet dogs & cats may be transported in same enclosure if of similar size & compatible
- Puppies/kittens 4 months or younger cannot be transported in same enclosure with adults other than their dam
- Aggressive animals must be transported individually
- Female dog or cat, in heat, cannot be transported with a male
- Enclosure must be large enough for animal to turn around normally, stand/sit erect, & lie in normal position
- Enclosures must be positioned to protect animals from the elements
- Air transport: Only one animal (6 months of age or older) per enclosure
- Air transport: Only one live puppy (8 weeks to 6 months of age) per enclosure if puppy weighs 20 lbs. or more
- Air transport: No more than two puppies or kittens (8 weeks to 6 months of age & weighing 20 lbs. or less) per enclosure
- Air transport: Weaned puppies/kittens less than 8 weeks old and comparable size can travel in same enclosure
- Air transport: Puppies/kittens less than 8 weeks old and from same litter and accompanied by dam may travel in same enclosure to research facilities
- Surface vehicle/private aircraft: No more than 4 dogs/cats (8 weeks of age or older) of comparable size may be in same enclosure
- Surface vehicle/private aircraft: Weaned puppies/kittens (less than 8 weeks of age) of comparable size may be transported in same enclosure to research facilities
- Surface vehicle/private aircraft: Puppies/kittens (less than 8 weeks of age) that are littermates and accompanied by dam may travel in same enclosure to research facilities
- Surface transporter: Documents may be held by operator of the primary conveyance or attached to outside of primary enclosure
- Instructions for administration of medications and other special care, as well as food and water instructions must be attached to primary enclosure

Primary Conveyances §3.16

View...

- ❖ Animal cargo space of conveyance
- ❖ Cleanliness of cargo space
- ❖ Other materials in cargo space

Ask about....

- ❖ Temperatures in cargo space
- ❖ Other materials/items in the cargo space

What to look for....

- Cargo space must:
 - Protect health and well-being of animals & ensure their safety
 - Prevent entry of engine exhaust
 - Have adequate air supply at all times during transport
 - Maintain temperatures & humidity at a level that ensures health and well-being of animals
 - Be pressurized when off ground (unless flying at under 8,000 ft.)
 - Be clean
- Surface transport: If the cargo space ambient temperature is over 85° F, then auxiliary ventilation (fans, air conditioning, etc.) must be used
- Ambient temperature in cargo space cannot go above 85° F or below 45° F for more than 4 hours
- Primary enclosures are positioned in cargo space to allow animals to be quickly removed
- Dogs/cats cannot be transported with materials, substances, or devices that may cause harm or inhumane conditions

Food and Water Requirements §3.17

View...

- ❖ Food and water receptacles
- ❖ Certification of food/water within four hours of delivery to transporter
- ❖ Written instructions for feeding/watering for 24-hour period

Ask about....

- ❖ When dog or cat was last fed and watered

What to look for....

- Food is offered every:
 - 24 hours to dogs/cats 16 weeks of age or older
 - 12 hours to puppies/kittens 16 weeks of age or younger
- Each dog/cat must be offered potable water every 12 hours
- Each dog/cat must be offered food/water within 4 hours before transporting
- Consignors (subject to the AWA) must certify (including date and time) animals were offered food/water within four hours prior to delivery
- Written instructions for in-transit food/water requirements for a 24-hour period are attached to enclosure
- Food/water receptacles:
 - Securely attached to inside of enclosure
 - Can be filled from outside of enclosure without opening door
- Animals cannot escape enclosure through food and water openings

Care in Transit §3.18

View...

- ❖ All dogs & cats

Ask about....

- ❖ Observations of animals during transport
- ❖ How often are animals observed

What to look for....

- Surface transport:
 - Animals observed as often as possible, but not less than every 4 hours
 - Animals in obvious physical distress are provided vet care at closest available veterinary facility
- Air transportation – Cargo area:
 - Available during flight - animals are observed as often as possible, but not less than every 4 hours
 - Not available during flight - animals observed when loaded/unloaded & any time accessible
- Animals in obvious physical distress are provided veterinary care as soon as possible
- No dog/cat should be transported if they are obviously ill or injured except to receive vet care
- Removal of animal from an enclosure during transport is prohibited except for cleaning
- These regulations must be complied with until consignee takes physical delivery of animal or it is returned to consignor

Terminal Facilities §3.19

View...

- ❖ All dogs and cats
- ❖ Animal holding areas (cleaning and sanitation, pest control, shade, shelter)

Ask about....

- ❖ How often does cleaning/sanitizing occur?
- ❖ Pest control program
- ❖ Temperature of holding area

What to look for....

- Dogs/cats cannot be comingled with inanimate objects in holding area
- Accumulations of debris/excreta
- Pest control problems
- Adequate ventilation
- Auxiliary ventilation (fans, air conditioning, etc.) when ambient temp is 85°F or higher
- Ambient temperature not below 45° F or above 85° F for more than 4 consecutive hours
- Holding area must have sufficient shade
- Holding area must keep animals dry

Handling §3.20

View...

- ❖ All dogs & cats
- ❖ Shelter from sunlight, extreme heat, rain/snow, and extreme cold
- ❖ Acclimation certificate

Ask about....

- ❖ Ambient air temperature
- ❖ Current weather

What to look for....

- Animals moved as quickly and efficiently as possible
- Sufficient shade is provided
- Animals not exposed to ambient air temps over 85° F for more than 45 minutes while being moved
- Animals provided protection from precipitation
- If temp is below 50° F, animals must be covered when being moved
- Animals cannot be exposed to temps below 45° F for more than 45 minutes unless accompanied by acclimation certificate
- Enclosures:
- Handled with care & without stress or harm to animals
- Cannot be placed on conveyor belts at any times, except for conveyor ramps to load/unload aircraft and attendants are at both ends
- Must not be tossed, tilted, dropped, or stacked in a manner that could lead to falling

Guinea Pig and Hamster Transportation Reference Guide

Purpose – This reference guide is intended to assist inspectors with completing transportation inspections.

Guinea Pig & Hamster §3.35

View...

- ❖ Animal(s) and primary enclosure(s)
- ❖ Certified letter from consignee
- ❖ Animal holding area(s)
- ❖ Temperature certifications from AV (if applicable)
- ❖ Shipping documents

Ask about....

- ❖ When animal was received & departs
- ❖ Temperatures in animal holding areas

What to look for....

- Animal cannot be received more than four hours before scheduled departure (can extend time up to six hours)
- May only accept enclosures that meet §3.36
- Certified to meet §3.36 standards by consignor (unless obviously damaged or defective) – certification includes consignor’s name/address, number of animals in primary enclosure, statement from consigner that enclosure meets requirements, signature of consignee and date
- Ambient temperatures not below 45° F
- Certification of acclimation to lower temps signed by a veterinarian no more than 10 days before delivery- certification includes consignor’s name/address, number of animals, certification statement from vet concerning acclimation to temperatures lower than 45° F, signature of USDA Accredited Veterinarian with accreditation number and date

Primary Enclosures §3.36

View...

- ❖ All animals
- ❖ Exterior and interior of primary enclosure(s)
- ❖ Words “Live Animals” and arrows on exterior
- ❖ Ventilation of enclosure
- ❖ Absorbent litter (solid floor enclosures)
- ❖ Compatibility
- ❖ Space
- ❖ Documents and paperwork

Ask about....

- ❖ Length of time in transport

What to look for....

- Enclosure structural strength (ability to handle the rigors of transport) and contains animal(s) securely
- Interior is free of protrusions that may cause injury
- Animal can be removed quickly in case of emergency
- Adequate ventilation
- Projecting rims or other devices on exterior of enclosure to allow air movement - at least 0.75 in between primary enclosure and any adjacent cargo or conveyance
- Adequate hand holds/other devices for lifting - must not allow tilting or contact with animals
- Animals transported in same enclosure must be same species & compatible
- Enclosures have enough space to allow animals to turn about freely and make normal postural adjustments
- Solid bottoms to prevent leakage - absorbent bedding or litter used unless animals are on wire or slatted flooring
- Clearly marked with “Live Animal” and an arrow to indicate upright position, at least 1in lettering (unless permanently affixed)
- Documents attached outside enclosure
- When enclosures are permanently affixed, doors and ventilation must comply with this section

Guinea Pig:

- ❖ One enclosure shall contain no more than 15 live Guinea Pigs
- ❖ Interior height of primary enclosure for transport:
 - weighing up to 500g must be at least 15.2cm (6in)
 - weighing over 500g must be at least 17.8cm (7in)
- ❖ Space Requirements:

Weight (grams)	Square centimeters	Square inches
Up to 350	193.6	30
350 to 600	290.3	45
Over 600	354.8	55

Hamsters:

- ❖ One enclosure shall contain no more than 50 live Hamsters.
- ❖ Interior height of primary enclosure for transport:
 - Dwarf Hamsters must be at least 12.7cm (5in)
 - All other Hamsters must be at least 15.2cm (6in)
- ❖ Space Requirements:

Age	Dwarf		Other	
	Square centimeters	Square inches	Square centimeters	Square inches
Weaning to 5 wks	32.2	5.0	45.2	7
5 to 10 wks	48.3	7.5	71.0	11
Over 10 wks	58.1	9.0	96.8	15

Primary Conveyances §3.37**View...**

- ❖ Animal cargo space
- ❖ Cleanliness of cargo space
- ❖ Other materials in cargo space
- ❖ Temperature certifications from AV (if applicable)

Ask about....

- ❖ Temperatures in cargo space
- ❖ Other materials/items in the cargo space

What to look for....

- Cargo space:
 - Protects health/well-being & ensures safety
 - Prevents entry of engine exhaust or gasses
 - Always has adequate air supply during transport
 - Temperature & humidity maintained at level that ensures health and well-being of animals
 - If ambient temperature is over 75° F then auxiliary ventilation (fans, air conditioning, etc.) is used
 - Ambient temperature cannot go above 85° F or below 45° F - may have certificate of acclimation from a
- USDA certified veterinarian if temperatures below 40°F
- Primary enclosures are positioned to allow animals to be quickly removed
- Interior is clean
- No transportation with materials, substances, or devices that may be injurious to the animals health or well-being

Food and Water Requirements §3.38

View...

- ❖ Enough food/water for duration of transport (6 hrs. or more)
- ❖ Acceptance accompanied by adequate supply of food/water (intermediate handlers and transporters)

Ask about....

- ❖ How long animals will be transported
- ❖ To see adequate supply of food/water

What to look for....

- If transporting more than 6 hours - must have access to food and water and enough quantity and quality of food and water for duration of transport
- No carrier or intermediate handler shall accept animals without adequate supply of food and water for duration of transport.

Care in Transit §3.39

View...

- ❖ All Animals
- ❖ Any other areas inspector requests

Ask about....

- ❖ Observations of animals during transport
- ❖ How often are animals observed

What to look for....

- Surface transportation - observation of animals is the driver's or other employee's responsibility
- Surface transportation - animals observed as often as possible, but not less than every 4 hours
- Air transportation - if animal cargo area is available during flight, animals are observed as often as possible, but not less than every 4 hours
- Air transportation - if animal cargo area is not available during flight, animals are observed when loaded/unloaded & when accessible
- Animals in obvious physical distress are provided vet care as soon as possible
- No hamster/guinea pig is transported if they are ill or injured, except to receive vet care
- No removal of animal from enclosure during transport unless placed in another primary enclosure

Terminal Facilities §3.40

View...

- ❖ All Animals
- ❖ Animal holding areas

Ask about....

- ❖ Frequency of cleaning/sanitizing
- ❖ Pest control program
- ❖ Temperature of holding area

What to look for....

- No comingling with inanimate objects in holding area
- Sanitization completed as prescribed in §3.31
- Pest control program established and maintained
- Fresh air provided (windows, doors, vents, etc.)
- Auxiliary ventilation used (fans, blower, air conditioning, etc.) when temp is 75°F or higher
- Ambient temperature not below 45° F/above 85° F - temperature taken 3ft from any external wall of primary enclosure on a level parallel to the bottom of the primary enclosure about halfway from the top and bottom of the enclosure

Handling §3.20

View...

- ❖ All animals
- ❖ Shelter from sunlight, extreme heat, rain/snow, extreme cold
- ❖ Acclimation certificate (if applicable)

Ask about...

- ❖ Ambient air temperature
- ❖ Current weather

What to look for....

- Animals are moved as quickly and efficiently as possible within, to, or from holding area to conveyance
 - Sufficient shade is provided
 - Animals not exposed to ambient air temps of over 85° F for more than 45 minutes while being moved
 - Animals provided protection from all forms of precipitation
 - If temp is below 50° F, animals must be covered when being moved
 - Animals cannot be exposed to temps below 45° F for more than 45 minutes
 - Enclosures are handled with care & without physical or emotional trauma
 - Enclosures must not be:
 - Tossed
 - Needlessly tilted
 - Dropped
 - Stacked in a manner that could lead to falling
-

Rabbit Transportation - Reference Guide

Purpose – This reference guide is intended to assist inspectors with completing transportation inspections.

Rabbits §3.60

View...

- ❖ Rabbits and primary enclosures
- ❖ Animal holding areas
- ❖ Temperature certification, if applicable
- ❖ Shipping documents
- ❖ Written attempts to contact the consignee
- ❖ Certification of enclosure compliance, if applicable

Ask about....

- ❖ When carrier or intermediate handler received the animal & when the animal departs
- ❖ Temperatures in animal holding areas

What to look for....

- Animal cannot be received more than four hours before scheduled departure (can extend to six hours)
- Primary enclosure not defective/damaged and contain the animal
- Transport enclosures meet requirements of §3.61 - may accept enclosures that are certified to meet §3.61 standards by consignor (unless obviously damaged or defective) - certification contains consignor name/address, number of rabbits, certifying statement, signature of consignor, and date
- Consignor may provide certification that animal is acclimated to temperatures less than that required by §3.65 & §3.66 - must be signed by a USDA accredited veterinarian no more than 10 days before delivery - certification must include consignor's name/address, number of rabbits, statement from vet concerning acclimation, veterinarian's signature, accreditation number, & date
- Notification to consignee at least once every six hours after transport is complete - document time, date, method, name of person making contact & the actual notification to the consignee

Primary Enclosures §3.61

View...

- ❖ Exterior and interior of primary enclosure(s)
- ❖ Words "Live Animals" and arrows on enclosure
- ❖ Ventilation of enclosure
- ❖ Absorbent litter (solid floor enclosures)
- ❖ Compatibility
- ❖ Space
- ❖ Documents and paperwork

Ask about....

- ❖ Length of transport

What to look for....

- Structural strength of enclosure
- No protrusions that could cause injury
- Enclosure openings are easily accessible
- Compliant ventilation
- Exterior of enclosure (excluding affixed enclosures) has projecting rims or other devices
- Handles/handholds on exterior of enclosure (unless affixed to conveyance)
- No tilting of enclosure & no direct contact with animal
- Compatible groups & not with other species
- Large enough for each rabbit to turn about freely & make normal postural adjustments
- No more than 15 rabbits in one enclosure
- Solid leak-proof floors with clean, safe, non-toxic absorbent litter (unless on wire flooring)
- Documents attached to outside of enclosure
- Affixed enclosures - front opening not blocked, 90% of front wall, & covered in wire, mesh, bars, or smooth metal

Primary Conveyance §3.62

View...

- ❖ All rabbits
- ❖ Availability of cargo space during transport

Ask about....

- ❖ How often are rabbits observed

What to look for....

- Cargo space:
 - Protects animal health and safety
 - Prevents entry of engine exhaust fumes or gases
 - Has adequate air supply at all times during transport
 - Is mechanically sound
 - Provides fresh air by means of windows, doors, vents, air conditioning
- Primary enclosures are positioned to allow animals to be quickly removed
- No transportation with materials, substances, or devices that may cause harm or inhumane conditions
- Auxiliary ventilation (fans, air conditioning, blowers) when ambient temperature is 75° F or higher
- Ambient temperature in cargo space shall not exceed 85° F or fall below 45° F - temperatures may be lower than 45° F if rabbits accompanied by acclimation certificate

Food and Water Requirements §3.63

View...

- ❖ Enough food/water for duration of transport (6 hrs. of more)
- ❖ Adequate supply of food/water (intermediate handlers and transporters)

Ask about....

- ❖ How long animals will be transported
- ❖ Adequate supply of food/water

What to look for....

- Animals transported longer than 6 hours have access to food and water - appropriate foods can meet both food and water needs
- Food must be provided by the dealer, research facility, exhibitor, or auction that is offering the rabbits for transport
- No transporter shall accept rabbits for transport without food

Care in Transit §3.64

View...

- ❖ Animal cargo space
- ❖ Cleanliness of cargo space
- ❖ Other materials in cargo space

Ask about....

- ❖ Temperatures in cargo space
- ❖ Other materials/items in the cargo space

What to look for....

- Surface transportation - observe as often as possible, but not less than every 4 hours
- Air transportation - observe as often as possible, but not less than every 4 hours if cargo space is accessible during flight (if not accessible then observed when loading/unloading)
- Animals in physical distress have been identified and are provided vet care as soon as possible
- No rabbits shall be accepted for transport in commerce that are in obvious physical distress
- Rabbits are not removed from the enclosure without placing them into another compliant enclosure

Terminal facilities §3.65

View...

- ❖ Animal holding area
- ❖ Methods of pest control

Ask about...

- ❖ Cleaning and sanitation of holding area
- ❖ Pest control program
- ❖ Temperature in holding area

What to look for....

- No comingling with inanimate cargo in holding area
- No accumulations of debris and excreta in holding area
- Signs of pest problems
- Holding areas must have fresh air through the use of doors, windows, vents or air conditioning
- Auxiliary ventilation (fans, air conditioning, blowers) when ambient temperature is 75° F or higher
- Ambient temperature in holding area shall not exceed 85° F or fall below 45° F at any time

Handling §3.66

View...

- ❖ All rabbits
- ❖ Shelter from sunlight, extreme heat, rain/snow, extreme cold
- ❖ Acclimation certificate

Ask about...

- ❖ Ambient air temperature
- ❖ Current weather

What to look for....

- Rabbits are moved as quickly and efficiently as possible within, to, or from holding area to conveyance
- Sufficient shade is provided
- Rabbits not exposed to ambient air temps of over 85° F for more than 45 minutes while being moved
- Rabbits provided protection that allows them to remain dry during rain and snow
- If temp is below 50° F, rabbits must be covered when being moved
- No exposure to temps below 45° F for more than 45 minutes unless accompanied by acclimation certificate
- Enclosures are handled with care in order to not cause physical/emotional trauma to the rabbits
- Enclosures must not be tossed, tilted, dropped, or stacked in a manner that could lead to falling

Transportation Reference Guide

Purpose – This reference guide is intended to assist inspectors with completing transportation inspections.

Non-Human Primates §3.86

View...

- ❖ Animal(s) and primary enclosure(s)
- ❖ Holding area(s)
- ❖ Temperature certifications
- ❖ Shipping documents
- ❖ Food/water certifications

Ask about....

- ❖ When animal was received & when departs
- ❖ Temperatures in animal holding areas

What to look for....

- Animal not more than four hours before scheduled departure (can be extended up two hours)
- Food/water certification on outside of enclosure - instructions for no food/water (only if directed by AV)
- Certification has consigner's name/address, species, time/date animal last fed/watered, instructions for next feeding/watering for 24-hour period, signature with date/time
- Primary enclosure meets requirements of 3.87 - not defective/damaged and must contain the animal
- Temperatures - Animal holding area meets 3.91/3.92
 - Certification for lower temps (signed by vet no more than 10 days before delivery)
- No exposure to temperatures below the minimum specified by the AV and in accordance with professional standards
- Consideration of species/age/condition of animal
- Certification includes: consigner's name/address, number/species in enclosure, statement from AV with signature & date
- Must notify consignee (once every 6 hours) after transport is complete - document time, date, method, name of person who attempted notifications, & the actual notification - if consignee can't be notified within 24 hours, the animal is returned

Primary Enclosure §3.87

View...

- ❖ Exterior and interior of primary enclosure(s)
- ❖ "Wild Animal"/"Live Animal" and arrow markings
- ❖ Ventilation of enclosure
- ❖ Absorbent litter (solid floor enclosures)
- ❖ Space
- ❖ Documents and paperwork

Ask about....

- ❖ How long have animals been in transport
- ❖ If more than one animal/species is transported at a time (ensure compatibility)

What to look for....

- Appropriate strength, secure containment, can handle the rigors of transport
- No sharp points/jagged edges/protrusions
- No body parts can be put outside the enclosure
- Animal can be removed quickly in case of emergency
- Doors/closures secured with animal-proof devices to prevent accidental opening
- Handles/handholds on exterior of enclosure (unless affixed to conveyance)
- No tilting of enclosure & no direct contact with animal inside
- All substances used in or on enclosure are non-toxic
- Solid leak proof bottom or mesh floor with pan/tray
- Slatted/mesh floors don't allow body parts to pass through openings
- Solid flooring has non-toxic, absorbent, unused litter
- Transport enclosures cleaned & sanitized before each use - 3.84(b)(3)
- Ventilation openings covered with bars, wire mesh, or smooth expanded metal

- Projecting rims/other devices to allow air movement (unless permanently affixed) - must provide at least 0.75in between enclosure and adjacent objects
- Permanently affixed - front has no obstructions
- Only one live animal transported in an enclosure (all animals must be compatible in transport/holding areas) except mother and nursing infant, established male/female pair or family group, and compatible male juveniles, that have not reached puberty
- Female in estrus not be transported with a male
- Different species not transported in adjacent/connecting enclosures
- Enough space to allow animals to turn about freely and make normal postural adjustments
- Marked with "Wild Animal"/"Live Animal" at least one inch high with arrows or other markings indicating upright position (when not permanently affixed) – no arrows needed when permanent
- Shipping documents may be held by the operator of the primary conveyance
- Surface Transport: Documents and directions for drugs/medications attached to outside of enclosure, can be easily removed easily/re-attached (i.e. pocket or sleeve)
- Compliant food and water documents - 3.86(c)

Primary Conveyances §3.88

View...

- ❖ Animal cargo space
- ❖ Cleanliness of cargo space
- ❖ Other materials in cargo space

Ask about....

- ❖ Temperatures in cargo space
- ❖ Other materials/items in the cargo space
- ❖ If any other animals are transported at the same time as non-human primates

What to look for....

- Cargo space
 - Well maintained/protects animals & ensures safety
 - Adequate air supply for normal breathing during transport
 - Animals positioned to provide protection from the elements, allows each animal space to breath normally
 - Far enough away from animals that are predators or known enemies - must not be able to touch or see each other
- Primary enclosures are positioned to allow animals to be quickly removed
- Temperatures & humidity maintained to ensure health and well-being of animals
- Ambient temperature not above 85° F or below 45° F
- Interior is clean

Food and Water Requirements §3.89

View...

- ❖ Food and water receptacles
- ❖ Certification of food/water within four hours
- ❖ Written instructions for feeding/watering for 24-hour period

Ask about....

- ❖ How long animals will be transported
- ❖ When animal last received food/water

What to look for....

- Food is offered:
 - Every 24 hours (1 year of age or older)
 - Every 12 hours (less than 1 year of age)
- Offered potable water every 12 hours
- Offered food/water within 4 hours of transporting
- Consignors (subject to the AWA) must certify (date and time) when animals were offered food/water within four hours prior to delivery to carrier or IH
- Written instructions for in-transit food/water requirements for a 24-hour period - attached to enclosure
- Food/water receptacles attached to inside of enclosure
- Food/water receptacles can be filled from outside of enclosure without opening door

Care in Transit §3.90

View...

- ❖ All Animals

Ask about...

- ❖ Observations of animals during transport
- ❖ How often are animals are observed

What to look for....

- Surface transport - animals observed as often as possible, but not less than every four hours
- Air transportation - If cargo area is available, animals observed as often as possible, but not less than every four hours. If not available - observed when loaded/unloaded or when accessible
- Animals in distress - provided vet care as soon as possible
- Animals not transported if ill, injured, or in physical distress, except for veterinary care
- Animals are not removed from enclosure during transport unless placed in another enclosure or facility that meets 3.80 or 3.87 - only experienced and authorized persons should remove animals , unless required for their health and well-being
- All requirements must be continued/maintained until the consignee takes delivery or until the animal is returned to the consignor

Terminal Facilities §3.91

View...

- ❖ All Animals
- ❖ Animal holding areas
- ❖ Shade/shelter

Ask about...

- ❖ How often does cleaning/sanitizing occur?
- ❖ Pest control program
- ❖ Temperature of holding area

What to look for....

- No comingling with cargo or other animals - cannot touch/see other animals/other non-human primates
- Pest control program is established and maintained
- Sanitization completed as prescribed in 3.84
- Adequate ventilation (windows, doors, vents, etc.)
- Auxiliary ventilation (fans, blower, air conditioning, etc.) when temp is 85° F or higher
- Ambient temperature not below 45° F or above 85° F for more than four consecutive hours - temperature 3ft from any external wall of enclosure and on a level parallel to the bottom on the enclosure midway up the side of the enclosure
- Sufficient shade and protection to keep animals dry
- Length of time non-human primates can be held in holding areas of a terminal facility same as 3.86(f)

Handling §3.92

View...

- ❖ All Animals
- ❖ Shelter from sunlight, extreme heat, rain/snow, extreme cold

Ask about...

- ❖ Ambient air temperature and current weather
- ❖ Is incline conveyer ramp used and how is loading/unloading is performed

What to look for....

- Animals are moved as quickly/efficiently as possible within, to, or from a holding area to conveyance
- Sufficient shade is provided
- No exposure to ambient air temps of over 85° F for more than 45 minutes while being moved
- Protection from all forms of precipitation
- Animals covered when the temp is below 45° F - no exposure to temps below 45° F for more than 45 minutes
- Enclosures are handled with care & without trauma
- Enclosures are not placed on an unattended conveyer belt/incline conveyer ramps - may be placed on an attended conveyer ramp to load/unload (attendant at each end of ramp)
- Enclosures must not be tossed, tilted, dropped, or stacked in a manner that could lead to falling

Marine Mammal Transportation Reference Guide

Purpose – This reference guide is intended to assist inspectors with completing transportation inspections.

Marine Mammals §3.112

View...

- ❖ Animals, enclosures, holding areas
- ❖ Certification of enclosure compliance (if applicable)
- ❖ Temperature acclimation certificate (if applicable)
- ❖ Shipping documents and health certificates

Ask about....

- ❖ When the animal was received and when it departs
- ❖ Temperatures in animal holding areas

What to look for....

- Animals not received more than four hours before scheduled departure (can be extended to six hours)
- Health certificate signed by AV
- Enclosure not defective/damaged and contains the animal
- Transport enclosures meet requirements of 3.113 - certification signed by consignor stating the enclosure is compliant with name/address, age, sex, and # of animals, certifying statement, signature of consignor, and date
- Facility temperature meets requirements of 3.117
- Certification of acclimation to lower/higher temperatures - signed by vet no more than 10 days before delivery, includes consignor's name/address, age, sex, and number of animals, statement from vet concerning acclimation temperature with signature and date
- Notification to consignee every six hours after transport is complete - document time, date, method, name of person making contact, & notification to the consignee

Primary Enclosures §3.113

View...

- ❖ Exterior and interior of primary enclosures
- ❖ Words "Live Animal"/"Wild Animal" with arrows on exterior of enclosure
- ❖ Ventilation of enclosure
- ❖ Shipping documents

Ask about....

- ❖ Length of transport

What to look for....

- Primary enclosures for animals other than cetaceans and sirenians:
 - Sufficient structural strength - can withstand normal rigors of transport
 - Durable, nontoxic, & cannot be chewed/swallowed
 - Interiors are free of any injury hazards
 - No parts of the animal are exposed outside of the enclosure that could cause animal/handler injury
 - Access openings to the inside of the enclosure, secured with locking devices, and easily accessible
 - Air inlets for ventilation - all four sides, cover no less than 20% of total surface of each side, projecting rims/devices on ends and sides of enclosure that have ventilation openings
 - Three inches of air space between enclosure and adjacent cargo or walls
 - Maintains required temperature limits
 - Handles or handholds on exterior - no tilting of enclosure or direct contact with animals
- Straps, slings, harnesses, etc. protect from injury, allow access/in-transit care of animal, are padded, and stops animal from thrashing
- Pinnipeds/polar bears/sea otters can turn freely with all four feet/flippers on floor, sit in upright position, lie in normal position
- Cetacean/sirenian - enough space for support of its body in sling/harness/etc. without contacting enclosure
- May be restricted when freedom of movement is dangerous to animals or people
- Animals in same enclosure - same species and compatible
- Animals that haven't reached puberty - not transported with an adult animal that is not their dam
- Socially dependent animals have visual/olfactory contact
- Females may not transported with mature males
- Enclosure has solid, sturdy, and rigid leak-proof bottom
- Flooring has adequate drainage
- Shipping documents attached to enclosure or with shipping attendant
- Affixed enclosures - front opening not blocked, 90% of front wall with wire, mesh, bars, or smooth metal

Primary Conveyances §3.114

View...

- ❖ Animal cargo space
- ❖ Cleanliness and other materials in cargo space
- ❖ Lighting in cargo space

Ask about....

- ❖ Temperature in cargo space
- ❖ Other materials/items in cargo space

What to look for....

- Cargo space:
 - Protects the health and safety of the animals
 - Prevents entry of engine exhaust fumes or gases
 - Temperature-controlled - temperature safeguards used, if necessary (fans, cold water, adding ice to water-filled enclosures)
- Adequate air supply
- Must be clean
- Adequate lighting
- No materials, substances, or devices that may cause harm
- Enclosures positioned to allow for emergency removal of animal

Food and Water Requirements §3.115

View...

- ❖ Drinking water for potability (if applicable)
- ❖ Animals for signs of dehydration
- ❖ Food items

Ask about....

- ❖ Length of time in the transport enclosure
- ❖ When was the animal last offered drinking water (if applicable)?

What to look for....

- Potable drinking water offered within 4 hours of being placed in transport enclosure, if applicable, and offered water as often as necessary to prevent dehydration
- Offered food as often as necessary or as determined by the AV

Care in Transit §3.116

View...

- ❖ All animals
- ❖ Health certificates
- ❖ Transport plan approved by AV (if applicable)

Ask about....

- ❖ Animal attendant's experience and knowledge in care & transport
- ❖ Length of transport

What to look for....

- Licensed veterinarian or employee/attendant traveling with the animal - knowledgeable in care/transport
- Veterinary care issues identified and veterinary care sought as soon as possible
- Transport greater than two hours requires a transport plan approved by the AV - includes specification for the veterinarian's presence during transport - if the AV is not present, communication with the AV must be maintained
- The following animals require confirmation from the AV, health certificate should note the condition, & state whether a veterinarian must be present - pregnant animal (last half of pregnancy), dependent/unweaned animal, nursing mother with young, animal requiring veterinary care that would be compromised by transport
- Carriers must:
 - Inform the crew of marine mammals on board
 - Inform the animal attendant of any delays and allow attendant access to animals during delays (except if safety does not allow)
- Attendants must provide for cetaceans and sirenians by:
 - Keeping skin moist or prevent drying (emollient)
 - Allowing pectoral fins freedom of movement
 - Adjusting position of marine mammal for health (weight pressure points)
 - Keeping animal sufficiently cooled/warmed
 - Calming the animal
- Attendants must provide for pinnipeds or polar bears by:
 - Keeping animal sufficiently cooled/warmed
 - Calming the animal
- Sea otters must be transported in enclosures with floors which water/waste can pass through and moisture must be provided through ice or water sprayers
- Animals only be removed from enclosures by attendants capable of handling the animals safely

Terminal facility §3.117

View...

- ❖ Animal holding areas
- ❖ Cleanliness of holding areas
- ❖ Pest control methods

Ask about....

- ❖ Cleaning and sanitizing of holding areas
- ❖ Pest control program
- ❖ Temperature in animal holding area

What to look for....

- No comingling with inanimate cargo in holding areas
- Holding areas clean and sanitized
- Signs of pest control problems
- Holding areas have fresh air through the use of doors, windows, vents, or air conditioning
- Auxiliary ventilation (fans, air conditioning, blowers) when air temperature is 75° F or higher
- The air temperature around must not fall below 45° F
- Air temperature around polar bears must not exceed 85° F at any time or be above 75° F for more than 4 hours

Handling §3.118

View...

- ❖ All animals
- ❖ Shelter from overheating, direct sunlight, cold weather
- ❖ Acclimation certificate (if applicable)

Ask about....

- ❖ Ambient temperatures
- ❖ Weather conditions

What to look for....

- Animals must be moved expeditiously as possible
- Sufficient shade is provided
- Marine mammals not subjected to temperatures above 75° F unless accompanied by the acclimation certificate
- Must be provided with species appropriate protection
- from cold weather and not subjected to temperatures below 45° F unless accompanied by the acclimation certificate
- Enclosures must be handled with care and not tossed, tilted, dropped, or stacked (unless properly secured)

Subpart F Transportation - Reference Guide

Purpose – This reference guide is intended to assist inspectors with completing transportation inspections.

Subpart F §3.136

View...

- ❖ Animals, enclosures, holding area
- ❖ Health certificate signed by attending veterinarian
- ❖ Certification of enclosure compliance, if applicable
- ❖ Temperature acclimation certificate, if applicable
- ❖ Shipping documents
- ❖ Written attempts to contact the consignee

Ask about....

- ❖ When carrier or intermediate handler received the animal & when the animal departs
- ❖ Temperatures in animal holding areas

What to look for....

- Animal no received more than four hours before scheduled departure (can be extended to six hours)
- Primary enclosure meet 3.137 & must not be defective/damaged or cannot contain the animal
- Transport enclosures can be accepted with certification signed by consignor stating the enclosure complies with 3.137 - certification must contain: consignor name/address, # of animals, certifying statement, signature of consignor with date
- Animal holding area must meet temperature requirements of 3.141 & 3.142
- May provide certification that animal is acclimated to lower temperatures - signed by a USDA accredited veterinarian no more than 10 days before delivery.
- This certification must include: consignor's name/address, # of animals, statement from vet concerning acclimation to temperature, veterinarian's signature, USDA accreditation #, and date
- Transporter must notify consignee at least once every six hours after transport is complete - document time, date, method, name of person making contact, & the actual notification to the consignee

Primary Enclosures §3.137

View...

- ❖ Exterior and interior of enclosures
- ❖ Words "Live Animal"/"Wild Animal" and arrows on enclosure
- ❖ Proper ventilation of enclosure
- ❖ Shipping documents

Ask about....

- ❖ Length of transport

What to look for....

- Structural strength is sufficient to contain animals and endure rigors of transport
- Interior of enclosure will not cause injury to animal
- Openings of enclosure are easily accessible at all times
- Compliant ventilation openings
- Projecting rims/devices on ends and sides providing 0.75 inches between enclosure and adjacent cargo or walls
- Handles or handholds on exterior of enclosure
- No tilting of enclosure or direct contact with animal inside
- Animals enclosure are same species and compatible
- Animals who haven't reached puberty - not transported with an adult animal that is not their dam
- Socially dependent animals have visual and olfactory contact, if reasonable
- Females in estrus not transported with males
- Enclosure space is large enough to allow for normal postural adjustments and to turn about freely
- May have movement restricted when freedom of movement could be dangerous to animals or people
- Enclosures have solid, leak-proof bottom and contain safe, non-toxic, clean absorbent litter unless they are on wire or non-solid floors
- Shipping documents attached to exterior of enclosure
- Affixed enclosures - front opening is not blocked, must be 90% of front wall, and covered in wire, mesh, bars, or smooth metal

Primary Conveyance §3.138

View...

- ❖ All animals and enclosures

Ask about....

- ❖ How often animals are observed during transport

What to look for....

- Cargo space:
 - Protects animal health and safety
 - Prevents entry of engine exhaust fumes or gases
 - Has adequate air supply at all times
 - Must be clean
- Enclosures must be positioned in conveyance to allow for emergency removal of animals
- No materials, substances, or devices that may cause harm or inhumane conditions

Food and Watering requirements §3.139

View...

- ❖ Water for potability (if applicable)
- ❖ Food items
- ❖ Feeding/watering instructions

Ask about....

- ❖ When animal was last offered food & water
- ❖ How long will animal be in transport

What to look for....

- Offered potable water within four hours prior to transport and every 12 hours after accepted for transport - animals requiring watering more frequently shall be so watered
- All animals shall be fed at least once every 24 hours - animals requiring feeding more frequently shall be so fed
- Sufficient quantity of food/water for 24-hour period shall accompany the animal
- Written instructions for feeding/watering attached to exterior of enclosure
- Animals shall not be accepted for transport without written instructions attached to enclosure

Care in Transit §3.140

View...

- ❖ Animal cargo space
- ❖ Cleanliness of cargo space
- ❖ Other materials in cargo space

Ask about....

- ❖ Other materials/items in cargo space

What to look for....

- Surface transportation - animals observed as often as possible, but not less than every 4 hours
- Air transportation - if animal cargo area is available during flight, animals are observed as often as possible, but not less than every 4 hours
- Air transportation - if animal cargo area is not available during flight, animals are observed when loaded/unloaded & any time cargo space is accessible
- Transporter has identified animals in obvious physical distress and has provided vet care as soon as possible
- No animal in obvious physical distress shall be transported in commerce
- Wild/dangerous animals shall not be removed from enclosures except for extreme emergency - a temporary enclosure can be used if complaint with regulations

Terminal Facilities §3.141

View...

- ❖ Animal holding areas
- ❖ Cleanliness of holding areas
- ❖ Pest control methods

Ask about....

- ❖ Cleaning and sanitizing of holding areas
- ❖ Pest control program
- ❖ Temperature in animal holding area

What to look for....

- No comingling with inanimate cargo in holding areas
- Holding areas should be clean and sanitized
- Signs of pest control problems
- Holding areas have fresh air through the use of doors, windows, vents or air conditioning
- Auxiliary ventilation (fans, air conditioning, blowers) when air temperature is 75° F or higher
- The air temperature around any animal in the holding area must not fall below 45° F or exceed 85° F
- Air temperature around animals must not exceed 75° F for more than 4 hours

Handling §3.142

View...

- ❖ All animals
- ❖ Shelter from sunlight, rain/snow, cold weather
- ❖ Acclimation certificate (if applicable)

Ask about....

- ❖ Ambient temperatures
- ❖ Weather conditions

What to look for....

- Animals must be moved as expeditiously as possible
- Sufficient shade is provided
- Animals shall not be subjected to temperatures over 85°F for more than 45 minutes
- Animals shall have protection from rain and snow
- If temperature is below 50° F, animals must be covered when being moved
- Animals shall not be subjected to temperatures under 45° F for more than 45 minutes unless accompanied by a temperature acclimation certificate
- Enclosures are handled with care in order to not cause physical/emotional trauma
- Enclosures must not be tossed, tilted, dropped, or stacked in a manner that could lead to falling