



Animal and Plant
Health Inspection
Service

RE: AWA Registration Application Packet

Animal Care

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

Dear Applicant:

Thank you for your interest in obtaining a registration under the U.S. Department of Agriculture's (USDA) Animal Care (AC) program. Included in this packet are the required forms and information you will need to complete your application. Prior to submitting your application, we recommend using our Licensing and Registration Assistant to ensure your operation meets our requirements and receive guidance on what class of registration you require.

The application process generally takes 30 days to complete from the time the application is submitted to a certificate being issued. Incorrect and/or incomplete applications can cause delays in the registration process. Once the application has been processed, a field inspector will be assigned to your facility and full compliance will need to be demonstrated during all inspections.

Please visit our website for additional information and a complete copy of the Animal Welfare Act and regulations. Please note that by signing the application form, you are acknowledging that you have reviewed and understand the Act, regulations, and standards, and that you agree to remain in compliance at all times. Failure to maintain compliance at any inspection site could result in enforcement action against your registration, thereby impacting all inspection sites. Please feel free to contact this office if you have any questions at 970-494-7478 or via email at AnimalCare@usda.gov.

Sincerely,

A handwritten signature in black ink that reads "Sarah Helming".

Sarah Helming,
Deputy Administrator
APHIS Animal Care

Enclosures

This Packet is for: New Research Applicants

This application packet includes information to apply for a research (Class R, F, V, G) registration. If you are unsure of which license you should be applying for, please refer to the [License and Registration Assistant](#) or contact our office at 970-494-7478.

The following forms are required to be submitted:

- APHIS Form 7011A- New Registration Application
 - APHIS Form 7030- Tax Identification Sheet
-

All forms listed and linked below are available via our website on the [publication page](#); here you can also find a copy of the [Animal Welfare Act and Regulations](#). If you would like a physical copy of the forms listed below, you will need to submit a request at ACLR@usda.gov.

Depending on the type of animal(s) you intend to use, the following information may be required to keep on-hand and prepare in advance of your inspection. The following forms can be found on our website publication page:

- [APHIS Form 7002](#): Program of Veterinary Care (other than dogs and cats)
- [APHIS Form 7002A](#): Program of Veterinary Care (dogs and cats only)
- [APHIS Form 7005](#): Records of Acquisition of Dogs and Cats on Hand (required form)
- [APHIS Form 7006](#): Record of Disposition of Dogs and Cats (required form)
- [APHIS Form 7013](#): Exercise Plan for Dogs
- [APHIS Form 7019](#): Record of Animals on Hand (other than dogs and cats)
- [APHIS Form 7020](#): Record of Acquisition, Disposition, or Transport of Animals
- [APHIS Form 7050](#): Environment Enhancement Program for Nonhuman Primates
- [APHIS Form 7093](#): Contingency Planning Program

All Animal Care Technotes, Fact Sheets, and reference materials can be found on our website's publication page. We encourage you to go through the page and find information that would be suitable for you. Listed below are some (but not limited to) materials we think could be helpful.

- [Daily Observation Tech Note](#)
- [Attempted Inspections Tech Note](#)
- [Quick Reference: Contingency Plans for Emergencies](#)
- [Submit Research Facility Annual Reports and FAQ](#)
- [The Attending Veterinarian](#)
- [Research with Free-Living Wild Animals](#)
- [Options for Meeting Social Needs of Primates](#)
- [Supporting Natural Behaviors in Primates](#)
- [Special Needs of Primates with Research Restrictions](#)

<p>According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB Control Number. The valid control numbers for this information collection are 0579-0036 and 0579-0486. The time required to complete the information collection is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.</p>	USDA USE ONLY	OMB APPROVED 0579-0036 and 0579-0486
APPLICANT SHOULD SEND COMPLETED FORM TO THIS ADDRESS: USDA/APHIS/AC 2150 Centre Ave. Building B, Mailstop 3W11 Fort Collins, CO 80526-8117		
CERTIFICATE NO./CUSTOMER NO:		RENEWAL DATE:

UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE

APPLICATION FOR NEW REGISTRATION (TYPE OR PRINT)

EVERY RESEARCH FACILITY, CARRIER, AND INTERMEDIATE HANDLER NOT REQUIRED TO BE LICENSED UNDER SECTION 7 U.S.C. 2133 OF THE ANIMAL WELFARE ACT, SHALL REGISTER WITH THE USDA (7 U.S.C. 2136).

1. TYPE OF REGISTRATION REQUESTED <i>(select only one):</i> <input type="checkbox"/> INTERMEDIATE HANDLER <input type="checkbox"/> CARRIER <input type="checkbox"/> RESEARCH FACILITY <input type="checkbox"/> FEDERAL RESEARCH FACILITY <input type="checkbox"/> AGRICULTURAL RESEARCH FACILITY <input type="checkbox"/> VETERANS' ADMINISTRATION	
2. TYPE OF ORGANIZATION <i>(select only one):</i> <input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> CORPORATION <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> UNIVERSITY <input type="checkbox"/> LLC <input type="checkbox"/> SOLE PROPRIETOR <input type="checkbox"/> TRUST <input type="checkbox"/> OTHER _____	
3. TYPE OF PUBLIC: <i>(Select one)</i> <input type="checkbox"/> STATE, LOCAL, TRIBAL GOVERNMENT <input type="checkbox"/> BUSINESS OR OTHER FOR-PROFIT <input type="checkbox"/> NOT-FOR-PROFIT INSTITUTION <input type="checkbox"/> FARM <input type="checkbox"/> FOREIGN OR DOMESTIC FEDERAL GOVERNMENT <input type="checkbox"/> INDIVIDUAL OR HOUSEHOLD	
4. NAME OF REGISTRANT AND MAILING ADDRESS: <i>(See Instructions)</i>	9. ALL BUSINESS NAMES AND LOCATION ADDRESSES HOUSING ANIMALS: INCLUDE DIRECTIONS TO EACH LOCATION <i>(P.O. BOX NOT ACCEPTABLE)</i> <input type="checkbox"/> Same as Block 4. <input type="checkbox"/> Check this box if additional locations are listed on an additional sheet.
5. COUNTY:	10. COUNTY:
6. TELEPHONE:	11. TELEPHONE NUMBER AT THIS LOCATION:
7. <input type="checkbox"/> RESIDENTIAL ADDRESS <input type="checkbox"/> NON-RESIDENTIAL ADDRESS	12. OPTIMAL HOURS FOR INSPECTION AT THIS LOCATION: (DAYS OF THE WEEK AND TIMES OF DAY)
8. EMAIL:	13. WEBSITE:

14. IF INDIVIDUAL, IDENTIFY EACH OWNER; IF PARTNERSHIP IDENTIFY EACH PARTNER OR OFFICER; IF CORPORATION, IDENTIFY PRINCIPAL OFFICERS; IF A RESEARCH FACILITY, IDENTIFY THE INSTITUTIONAL OFFICIAL. CHECK THIS BOX IF ADDITIONAL PERSONS ARE LISTED ON AN ADDITIONAL SHEET.

NAME	TITLE	ADDRESS (FULL ADDRESS INCLUDING ZIP CODE)

CERTIFICATION

I HEREBY REGISTER AS A RESEARCH FACILITY, CARRIER, OR INTERMEDIATE HANDLER UNDER THE ANIMAL WELFARE ACT, 7 U.S.C. 2131 ET SEQ. AND I CERTIFY THAT THE INFORMATION PROVIDED HEREIN IS TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE. I HEREBY ACKNOWLEDGE RECEIPT OF AND AGREE TO COMPLY WITH ALL THE REGULATIONS AND STANDARDS CONTAINED IN 9 CFR, SUBPART A, PARTS 1, 2 AND 3. I CERTIFY THAT ALL LISTED PERSONS ARE 18 YEARS OF AGE OR OLDER.

15. SIGNATURE	16. NAME AND TITLE (TYPE OR PRINT)	17. DATE SIGNED
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Privacy Act Notice

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

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

Routine Uses:

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

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

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

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0036. The time required to complete this information collection is estimated to average .25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

OMB Approved
0579-0036

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

Federal Debt Collection Form

1: State	2: Customer Number:
	3: Certificate Number:

The Federal Debt Collection Act of 1996 requires APHIS to obtain your Federal Taxpayer Identification Number. This would be either your Federal Employer Identification Number (EIN) or your Social Security Number(s) (SSN). This number is for the purpose of collecting and reporting any delinquent amounts arising out of a relationship with the Federal Government. Your SSN or EIN is required to process your license/registration application.

New license/registration applications: You must submit your SSN or EIN using this form.

Relicensing or re-registering applications:

- You must resubmit your SSN or EIN number using this form.
- If the number submitted does not match your previously submitted EIN or SSN, your application for relicensing or re-registration will be returned with instructions and your relicensing or re-registration will be delayed.
- If your SSN, EIN, and/or type of organization changes, you may have to apply for a new license/registration.

If the license/registration certificate is issued to a partnership, all partners' names and SSNs or a business name and an EIN must be listed.

4: Business Name or Individual Name or Partner Names (see instructions below for Blocks 4 and 5):	5: Federal Taxpayer Identification Number
Name:	EIN or SSN:
Name:	EIN or SSN:
Name:	EIN or SSN:
Name:	EIN or SSN:
Name:	EIN or SSN:
Name:	EIN or SSN:
Name:	EIN or SSN:
Name:	EIN or SSN:
Name:	EIN or SSN:

Instructions: Federal Debt Collection Form

- **Please** read all instructions before completing the Federal Debt Collection form.
- **Contact** your USDA APHIS Animal Care office before mailing your application.
- **Corrections** and/or clarifications will delay the processing of your application.
- **Blocks 1 - 3** must be completed. If Block 2 does not apply, put N/A. Blocks 4 and 5 must be completed as appropriate. See below.
- **Mail** in all original documents. We cannot accept applications that are copied, e-mailed, or faxed.
- **Complete** the application in Blue or Black ink.
- **Mail** in with the application and appropriate fees.

Block 1: Insert the State of the business address of the licensee/registrant.

Block 2: Insert the customer number.

Block 3: Insert the license or registration certificate number.

Block 4 and 5: Insert the name of the individual, business, partnership, corporation, or other; e.g., John Smith; John Smith Kennels; JS Kennels; JS Kennels, Inc.

- (a) If an **Individual**, enter the individual's Social Security Number.
- (b) If a **Partnership**, enter either all partners' names and Social Security Numbers or the business name and Employer Identification Number.
- (c) If a **Corporation** or **Other**, enter the business name and Employer Identification Number.

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

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