

Subject: **Annual Report For Research Facilities** **Policy #17**

References: AWA Section 25, 13(7)(A)
 9 CFR, Part 2, Section 2.36

History: Replaces Policy #17 dated April 14, 1997. This revision updates the Veterans' Administration (VA) contact address and changes the date of Animal Care (AC) data entry from December 31 to December 15.

Justification: To further explain the Animal Welfare Act (AWA) and regulations regarding the "Animal Welfare Enforcement Report of the Secretary of Agriculture to the President of the Senate and the Speaker of the House of Representatives" hereafter referred to as the "Annual Report to Congress."

Policy: As required by Section 13 of the AWA and further explained in 9 CFR, Part 2, Section 2.36, each reporting research facility shall submit an annual report (APHIS Forms 7023 and 7023-A) to the AC Regional office (formerly Sector office) responsible for the State in which the facility is located. This report is due in the Regional office on or before **December 1** of each year.

These forms shall be signed and certified as correct by the Chief Executive Officer (CEO) or legally responsible Institutional Official (IO), and must include all species covered by the AWA used in research, tests, experiments, or for teaching and those on hand at the end of the U.S. Department of Agriculture's (USDA) fiscal year (FY) (October 1 through September 30). By signing the report, the CEO or IO is also certifying that the institution has adhered to the assurance statements at the bottom of the APHIS Form 7023.

Reporting of animals used (see form) is based on the USDA FY (October 1 through September 30). Animals are to be counted only once, regardless of the number of proposals in which they were used. If an animal was used in more than one proposal, it must be counted in the most painful category. Animals used in multi-year studies will be counted once each fiscal year.

Animals counted and listed in Column E must have a detailed statement explaining the procedure(s) and the basis for withholding pain-relieving medications.

I. Distribution

A. Veterans' Administration (VA) - No later than **August 1** of each year, the AC Eastern Region will send the appropriate number of APHIS Forms 7023 and 7023-A to the VA at the following address:

Mr. Thomas Lam
Department of Veterans' Affairs
Research and Development Computer Center (RDCC)
103 South Gay Street, Room 400
Baltimore, MD 21202
Telephone: 410-962-1800, extension 260

B. Federal and USDA Registered Research Facilities - On or before **September 15** of each year, the AC Regional office will send a packet via regular mail containing APHIS Forms 7023 and 7023-A and a notification letter to the legally responsible IO at each USDA registered and Federal research facility.

II. Instructions for Completing APHIS Forms 7023 and 7023-A

A. APHIS Forms

General instructions for completing the forms are printed on the back.

APHIS Form 7023 - Items 1 through 3 completed by all facilities.
- Items 4 through 13 completed where applicable.

APHIS Form 7023-A - Continuation Sheet - Use only if necessary.
- Items 1, 2, 12, and/or 13 completed by all facilities.

B. Special Instructions for Column "E"

Entries in Column "E" must be explained in detail and attached to APHIS Form 7023. At a minimum, these statements should address the following:

1. A complete description of the procedure(s) producing pain and/or distress in the animal(s). This explanation should include, as appropriate, the name of the test, the reference from the Code of Federal Regulations if the test is mandated by federal regulations, or other relevant guidelines.

2. A complete explanation for withholding drugs for relieving pain and/or distress. For example, provide scientific justification that such drugs would adversely affect the test/study results, or cite all regulation(s) and/or Federal Agency policies that prohibit the use of these drugs.

C. Exceptions to the Regulations and Standards

A summary of IACUC-approved exceptions to the regulations or standards must be attached to APHIS Form 7023. At a minimum, this summary should include the following:

1. Identify IACUC-approved exception(s) to the regulations or standards, including exceptions to the dog exercise plan and/or the environmental enhancement nonhuman primate plan for
2. Describe IACUC-approved exemption(s).
3. Identify the species and number of animals used.

D. Other Information

“Column F” contains only the total number of animals listed in “Columns C, D and E.” Do not include animals from Column B.

It is not necessary to report birds, amphibians, rats of the genus **Rattus** and mice of the genus **Mus** specifically bred for use in research, or any other animals not defined as animal by 9 CFR, Part 1- Definitions of Terms, Section 1.1.

Wild rats and mice **are** covered and must be reported.

Scientific names are not required. Common names are preferred.

“Other Farm Animals - List farm animals other than pigs and sheep such as goats, cattle, llamas, etc.

“Other Animals” refers to other covered animals (not farm animals). This would include, but not be limited to, animals such as seals, tigers, lions, sloths, kangaroos, opossums, raccoons, wolves, and bobcats.

Incomplete forms or inaccurate data will be returned to the issuing facility at the discretion of the Regional office.

III. Routing of Completed Part 1, 2, and 3 of APHIS Forms 7023 and 7023-A

A. VA Facilities

1. VA Facilities return completed Part 1 - Headquarters and Part 2 - Sector Office to the Department of Veterans' Affairs RDCC. Part 3 - Facility - retained by facility.
2. No later than **December 1**: RDCC returns completed Part 1 - Headquarters and Part 2 - Sector Office forms to the appropriate Regional office for the State in which the VA facility is located.

B. Federal and Other USDA Registered Facilities

1. No later than **December 1**: Federal and non-Federal USDA facilities must return completed Part 1- Headquarters and Part 2 - Sector Office to the appropriate Regional office. Part 3 - Facility - retained by facility.
2. Facilities with multiple sites should collect and combine their annual reports into one package before submitting.

Annual report forms from all facilities must be returned to the appropriate Regional office by **December 1** of each year so that they may be reviewed, returned for correction if necessary, and entered into the database before **December 31** of that year. Reports submitted after **December 31** will not be included in the Annual Report to Congress.

“Part 1 - Headquarters” copies of APHIS Forms 7023 and 7023-A will be retained by the Regional office.

Established deadlines require that Animal Care headquarters develop, draft, and clear the Annual Report to Congress no later than **March 31** of each year.