

AUG 07 2017

Every research facility, exhibitor, carrier, and intermediate handler not required to be licensed under Section 3 of the Animal Welfare Act, shall register with the USDA (7 USC 2136). This application provides information for such registration.		OMB No. 0579-0036 FORM APPROVED		
U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE APPLICATION FOR REGISTRATION (TYPE OR PRINT) REGISTRATION UPDATE		USDA USE ONLY Applicant should send completed form to this address. USDA APHIS ANIMAL CARE EASTERN 920 Main Campus Drive Suite 200 Raleigh, NC 27606-5210 (919) 855-7100 <table border="1"> <tr> <td>CERTIFICATE NO./CUST NO: 21-R-0109 343</td> <td>RENEWAL DATE 22-Aug-2017 Vmc</td> </tr> </table>	CERTIFICATE NO./CUST NO: 21-R-0109 343	RENEWAL DATE 22-Aug-2017 Vmc
CERTIFICATE NO./CUST NO: 21-R-0109 343	RENEWAL DATE 22-Aug-2017 Vmc			
1. REGISTRANT (Name and permanent mailing address, including Zip Code) University Of Rochester 601 Elmwood Avenue Po Box 706 Rochester, NY 14642 COUNTY: MONROE TELEPHONE (585) 275 - 0017		2. LOCATION (S) OF BUSINESS, EXHIBITION SITE(S), OR RESEARCH FACILITIES (Use additional sheets if necessary) 601 Elmwood Ave. Rochester, NY 14642 County: Monroe		
3. (A) PREVIOUS USDA REGISTRATION NUMBER (IF ANY)		4. (B) ACTIVE USDA CERTIFICATE NUMBER(S) IN WHICH YOU HAVE AN INTEREST:		
5. ARE YOU USING FEDERAL FUNDS TO CARRY OUT RESEARCH, TESTS, OR EXPERIMENTS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		6. TYPE OF REGISTRATION: <input type="checkbox"/> Class E - Exhibitor <input type="checkbox"/> Class H - Intermediate Handler <input type="checkbox"/> Class R - Research Facility <input type="checkbox"/> Class T - Carrier		
7. FEDERAL FUND TYPES: <input checked="" type="checkbox"/> Award <input checked="" type="checkbox"/> Contract <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Loan		8. TYPE OF ORGANIZATION: <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Individual <input checked="" type="checkbox"/> Other (Specify) <u>University and Medical School</u>		
9. IF INDIVIDUAL IDENTIFY EACH OWNER, IF PARTNERSHIP IDENTIFY EACH PARTNER OR OFFICER, IF CORPORATION, IDENTIFY PRINCIPAL OFFICERS FOR RESEARCH FACILITIES INCLUDE THE INSTITUTIONAL OFFICIAL (Use separate sheet if needed)				
A. NAME	B. TITLE	C. ADDRESS (full address, including ZIP Code)		
Mark B. Taubman MD	CEO, Univ of Rochester Medical Ctr. Dean, School of Medicine + Dentistry Senior V.P. for Health Sciences	601 Elmwood Ave - Box 706 Rochester, NY 14642		

CERTIFICATION

I hereby register as a Research Facility, Exhibitor, Carrier, or Intermediate Handler under the Animal Welfare Act, 7 U.S.C., 2131 et seq. and I certify that the information provided herein is true and correct to the best of my knowledge. I hereby acknowledge receipt of and agree to comply with all the regulations and standards contained in 9 CFR, Subpart A, parts 1, 2 and 3. I certify that all listed persons are 18 years of age or older.

10. (b) (6), (b) (7)(C)	11. NAME AND TITLE (Type or Print) Mark B. Taubman, Dean SMD CEO Univ of Rochester Med Center	12. DATE SIGNED 7/28/17
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ACKNOWLEDGEMENT OF RECEIPT OF REGULATIONS AND STANDARDS

APHIS FORM 7011
(FEB 2009)

19-04300_000001

Obtained by Rise for Animals. Uploaded 07/08/2020



Inspection Report

University Of Rochester
601 Elmwood Avenue
Po Box 706
Rochester, NY 14642

Customer ID: **343**

Certificate: **21-R-0109**

Site: 001

SCHOOL OF MEDICINE AND DENTISTRY

Type: ROUTINE INSPECTION

Date: 01-AUG-2017

No non-compliant items identified during this inspection.

This inspection was conducted on August 1 - 2, 2017. An exit interview was conducted on Aug. 2, 2017 with the facility representatives.

Prepared By:

LUPO KERI, D V M USDA, APHIS, Animal Care

Title: VETERINARY MEDICAL OFFICER 6023

Date:

02-AUG-2017

Received By:

Title: SENT VIA EMAIL
19-04300_000002

Obtained by Rise for Animals. Uploaded 07/08/2020

Date:

02-AUG-2017



Cust No	Cert No	Site	Site Name	Inspection
343	21-R-0109	001	UNIVERSITY OF ROCHESTER	01-AUG-17

Count	Species
000010	PALESTINE MOLE-RAT
000011	CAT ADULT
000020	DOMESTIC RABBIT / EUROPEAN RABBIT
000022	CRAB-EATING MACAQUE / LONG-TAILED MACAQUE / CYNOMOLGUS MONKEY
000026	COMMON MARMOSET
000050	RHESUS MACAQUE
000124	NAKED MOLE-RAT
000263	Total



Inspection Report

University Of Rochester
601 Elmwood Avenue
Po Box 706
Rochester, NY 14642

Customer ID: **343**

Certificate: **21-R-0109**

Site: 001

SCHOOL OF MEDICINE AND DENTISTRY

Type: ROUTINE INSPECTION

Date: 23-JUL-2018

No non-compliant items identified during this inspection.

This inspection was conducted on July 23 - 24, 2018. The exit interview was conducted with the facility representatives on July 24, 2018.

Prepared By:

LUPO KERI, D V M USDA, APHIS, Animal Care

Date:

30-JUL-2018

Title: VETERINARY MEDICAL OFFICER 6023

Received By:

Obtained by Rise for Animals. Uploaded 07/08/2020

Title: SENT VIA EMAIL
19-04300_000004

Date:

30-JUL-2018



Species Inspected

Cust No	Cert No	Site	Site Name	Inspection
343	21-R-0109	001	SCHOOL OF MEDICINE AND DENTISTRY	23-JUL-18

Count	Scientific Name	Common Name
000033	<i>Callithrix jacchus</i>	COMMON MARMOSET
000013	<i>Felis silvestris catus</i>	CAT ADULT
000008	<i>Fukomys damarensis</i>	DAMARA / DAMARALAND MOLE-RAT / DAMARALAND BLES MOL
000165	<i>Heterocephalus glaber</i>	NAKED MOLE-RAT
000016	<i>Macaca fascicularis</i>	CRAB-EATING MACAQUE / CYNOMOLGUS MONKEY
000036	<i>Macaca mulatta</i>	RHESUS MACAQUE
000006	<i>Nannospalax ehrenbergi</i>	PALESTINE MOLE-RAT
000014	<i>Oryctolagus cuniculus</i>	DOMESTIC RABBIT / EUROPEAN RABBIT
000291	Total	



Animal and Plant
Health Inspection
Service

Animal Care
4700 River Road
Riverdale, MD 20737

October 23, 2017

Mark Taubman, MD
Dean, School of Medicine and Dentistry University,
Vice President for Health Sciences
University of Rochester
601 Elmwood Avenue, Box 706
Rochester, NY 14642

21-R-0109
#343

Dear Dr. Taubman:

I apologize for the delay in responding to your request to extend the timeframe contained in an exemption from the Animal Welfare Act regulations under involving macaques identified as M50001 (UCAR #413), M50006 (UCAR #414) and M50009 (UCAR #415), which the Animal and Plant Health Inspection Service (APHIS) previously approved. As outlined below, APHIS will enlarge the timeframe for performing the procedures contained in the exemption, extending the exemption period from November 1, 2017, through February 1, 2018.

Based on your request, our Agency understands that:

1. The request is for an extension of time to perform previously approved operative procedures on three macaques: M50001 (UCAR #413), M50006 (UCAR #414) and M50009 (UCAR #415).
2. The original approval granted November 4, 2014 expires after November 1, 2017.
3. The facility is requesting an extension of time through February 1, 2018.
4. No new major operative procedures for research purposes are requested by your facility for these three animals.
5. The extension has been reviewed and approved by your facility's IACUC.

The exemption approval issued on November 4, 2014, is extended through February 1, 2018, provided your facility ensures the following:

1. All work is performed in accordance with the protocol # 2000-135R
2. All work is conducted in accordance the same conditions outlined in the November 4, 2014 approval, specifically:
 - a. The information detailed in the approved protocol # 2000-135R and the updated written request dated September 20, 2017 is followed.
 - b. A legible tattoo is apparent for animal identification.
 - c. The approved procedures are not performed in the event of deteriorating health.
 - d. The approved procedures are not performed beyond the enlarged approval period (through February 1, 2018).
 - e. No other major operative procedures are performed for research without written approval from USDA/APHIS-Animal Care.
 - f. IACUC evaluations of this exemption, animal well-being, and soundness of the methods and procedures to minimize pain and

An Equal Opportunity Provider and Employer

distress are performed periodically. Documentation of this evaluation is to be kept for inspection in accordance with 9 C.F.R. § 2.35.

3. The IACUC evaluations described above must be performed no less than annually.

Any failure to abide by the above provisions will result in the automatic withdraw of APHIS' approval of this exemption. This approval is in accordance with 9 C.F.R. § 2.31(d)(1)(x)(C), and must be reflected in University of Rochester's Annual Report each year as required under 9 C.F.R. § 2.36(b)(3).

Please do not hesitate to contact the Raleigh, NC office at (919) 855-7101 if there are any questions.

Sincerely,

A handwritten signature in black ink, appearing to read 'Bernadette Juarez', with a stylized flourish at the end.

Bernadette Juarez
Deputy Administrator of APHIS-Animal Care

SEP 25 2017



SCHOOL OF MEDICINE & DENTISTRY
UNIVERSITY of ROCHESTER MEDICAL CENTER

September 20, 2017

Dr. Chester A. Gipson
Deputy Administrator
USDA APHIS Animal Care
Eastern Regional Office
920 Main Campus Drive, Suite 200
Raleigh, NC 27606

Dear Dr. Gipson,

As the Institutional Official for the University of Rochester, please accept this formal request for an extension of an exemption to the Animal Welfare Act approved by your office on November 4, 2014. The three-year exemption to the regulation which permits only one major operative procedure in order to implant a recording cylinder, and/or perform surgical maintenance (debridement and repair) of cranial implants in rhesus monkeys #M50001, M50006, and M50009 transferred from University of Iowa expires November 1, 2017.

The initial request and exemption approval documentation are attached for your reference.

We respectfully request an extension of the exemption until February 1, 2018. We have complied with all conditions of the exemption which were specified in the approval letter:

1. Only procedures which were detailed in the approved protocol #2000-135R and the approved exemption request will be utilized during the extension period.
2. A legible tattoo identifies each animal as M50001, M50006 and M50009 which have been cross referenced to the University of Rochester identifiers #413, 414 and 415 respectively.
3. No procedures will be performed in the event of deteriorating health during the extension period.
4. No procedures will be performed beyond the requested extension of the approval period.

5. No other major operative procedures will be performed without USDA/APHIS approval.
6. Periodic evaluations will continue to be performed. Yearly reports have been submitted to the University Committee on Animal Research and regular veterinary checks have been and will continue to be performed. All have been documented.

In the past three years, we have performed only those procedures described in our approved exemption request. The dates of these procedures for each animal are listed here:

M50001 (UCAR #413)

4/26/16 Cylinder Debridement, cleaning of implant and replacement of cracked dental cement.

M50006 (UCAR #414)

4/5/16 Removal of loose recording cylinder and replacement of cracked dental cement.

12/10/16 Repair/revision of headpost – support screws were added to secure the loose edge of headpost with clean dental cement to cover them.

5/24/17 Replaced the former, broken recording cylinder with a new one.

10/15/17 Planned debridement of the recording cylinder to remove excess tissue.

M50009 (UCAR# 415)

2/8/17 Cylinder Debridement, cleaning of implant and replacement of cracked dental cement.

If the extension is granted, we will perform 1 additional surgical debridement on each of the three animals where we will also make injections of markers as listed in our original request. The markers allow us to delineate the location of the recording cylinders prior to the termination of our experiments. Since our typical fluorescent markers are not likely to be successful in these older animals we will use ibotenic acid to demarcate the brain region contained within our recording cylinders. Ibotenic acid will act as a chemical lesion that will be visible with histological stains.

The four reasons for the request are provided below.

First, acclimating these 3 rhesus macaques to our current research environment and protocols required more time than we expected. They arrived in Rochester on December 12, 2014 and after their quarantine period was completed we began to adapt them to the laboratory. Although they had received training in cognitive tasks in Iowa, they required extensive retraining to bring them up to the typical level of performance that is used in working memory tasks. We proceeded with their retraining

at a slow pace which they appeared to require. We had hoped their training would go quickly but this was not the case and we adjusted our schedule to their needs. This is the major reason for the delay in meeting the deadline.

Secondly, it was necessary to order and to manufacture some new mechanical devices to fit their custom headgear and primate chairs that would work with our standard laboratory set ups. This required some trial and error of re-fitting equipment.

Thirdly, all three animals required a surgical removal of old dental cement and a revision of the cranial implants with a course of antibiotics. We waited several weeks after these procedures with *ad lib* food and water along with an extended course of antibiotics to promote the healing process.

Finally, we are currently in the process of gathering some critical data in the last stage of a multi-part experiment for each of the subjects. It is likely that we will be finished by December but we wish to be conservative with our time estimate in case of any unforeseen problems or delays. Extending the USDA waiver to February 1, 2018 will insure that we can complete the valuable research that was begun in Iowa and continued at the University of Rochester.

Our IACUC has reviewed the circumstances for requesting the extension and endorsed the request at a convened meeting on September 20, 2017.

We look forward to your review of this request. Please do not hesitate to contact us if we may provide additional information.

Sincerely,

(b) (6), (b) (7)(C)

Mark B. Taubman, M.D.
Institutional Official
Dean, School of Medicine & Dentistry
University Vice President for Health Sciences

CC:

(b) (6), (b) (7)(C)



September 1, 2017

To the USDA, University of Rochester Dept of Comparative Medicine, UCAR and Dr. Wyatt,

Thank you for allowing me to request this extension to continue our research with the three rhesus macaques transferred from the University of Iowa. Our request for the extension is due to several issues. First, acclimating these 3 rhesus macaques to our current research environment and protocols required more time than we expected. They arrived in Rochester on December 12, 2014 and after their quarantine time period was completed we began to adapt them to the laboratory. Although they had received training in cognitive tasks in Iowa, they required extensive retraining to bring them up to the typical level of performance that is used in working memory tasks. We proceeded with their retraining at a slow pace which they appeared to require. We had hoped their training would go quickly but this was not the case and we adjusted our schedule to their needs. This is the major reason for the delay in meeting the deadline. Second, it was necessary to order and to manufacture some new mechanical devices to fit their custom headgear and primate chairs that would work with our standard laboratory set ups. This required some trial and error of re-fitting equipment. Third, all three animals required a surgical removal of old dental cement and a revision of the cranial implants with a course of antibiotics. We waited several weeks after these procedures with ad lib food and water along with an extended course of antibiotics to promote the healing process. Finally, we are currently in the process of gathering some critical data in the last stage of a multi-part experiment for each of the subjects. It is likely that we will be finished by December but we wish to be conservative with our time estimate in case of any unforeseen problems or delays. Extending the USDA waiver to February 1, 2018 will insure that we can complete the valuable research that was begun in Iowa and continued at the University of Rochester.

Thank you,

(b) (6), (b) (7)(C)

University of Rochester
Rochester, NY 14642

(b) (6), (b) (7)(C)