



**GUIDANCE DOCUMENT FOR REQUEST FOR EXEMPTION  
OF SELECT AGENTS AND TOXINS FOR PUBLIC HEALTH  
OR AGRICULTURAL EMERGENCY  
OR INVESTIGATIONAL PRODUCT  
(APHIS/CDC FORM 5)**

FORM APPROVED  
OMB NO. 0579-0213  
OMB NO. 0920-0576  
EXP DATE XX/XX/XXXX

## INTRODUCTION

The U.S. Departments of Health and Human Services (HHS) and Agriculture (USDA) published final rules (7 CFR 331, 9 CFR 121, and 42 CFR 73), which implement the provisions of the *Public Health Security and Bioterrorism Preparedness and Response Act of 2002* (Public Law 107-188) setting forth the requirements for possession, use, and transfer of select agents and toxins. The select agents and toxins identified in the final rules have the potential to pose a severe threat to public health and safety, to animal and plant health, or to animal and plant products. Responsibility for providing guidance on this form was designated to the Centers for Disease Control and Prevention (CDC) by the HHS Secretary and to the Animal and Plant Health Inspection Service (APHIS) by the USDA Secretary. In order to minimize the reporting burden to the public, APHIS and CDC have developed a common reporting form for this data collection.

An entity may apply for an exemption from the requirements of 7 CFR 331, 9 CFR 121, or 42 CFR 73 in order to: (a) use an investigational product that is, bears, or contains select agents or toxins, or, (b) provide a response to a public health or agricultural emergency. This exemption request (APHIS/CDC Form 5) should be sent to either APHIS or CDC for consideration:

Animal and Plant Health Inspection Service  
Agricultural Select Agent Program  
4700 River Road Unit 2, Mailstop 22, Cubicle 1A07  
Riverdale, MD 20737  
FAX: 301-734-3652  
E-mail: [Agricultural.Select.Agent.Program@aphis.usda.gov](mailto:Agricultural.Select.Agent.Program@aphis.usda.gov)

Centers for Disease Control and Prevention  
Division of Select Agents and Toxins  
1600 Clifton Road NE, Mailstop A-46  
Atlanta, GA 30333  
FAX: 404-718-2096  
Email: [lrsat@cdc.gov](mailto:lrsat@cdc.gov)

## PURPOSE

The purpose of this form is to request exemptions:

1. For exemption requests that involve the investigational product that is, bears, or contains select agents or toxins, APHIS or CDC will confirm that the Food and Drug Administration (FDA) has accepted or approved, under the authority of the Food, Drug, and Cosmetics Act (21 U.S.C. 301 *et. seq.*), an Investigational New Drug application (IND), Investigational New Animal Drug (INAD) application or an Investigational Device Exemption (IDE) application for a clinical trial involving the use of an investigational product that is, bears, or contains a select agent or toxin.
2. For the response to an extraordinary public health or agricultural emergency(ies).

A copy of the completed form and attachments must be maintained by the entity for three years.

This exemption form (APHIS/CDC Form 5) is not to be used if you are applying for an exclusion of an attenuated strain of a select agent or toxin. To apply for an exclusion, an applicant must submit a written request and supporting scientific information to APHIS or CDC (See 7 CFR § 331.3 (e), 9 CFR §§ 121.3(e) and 121.4(e), or 42 CFR §§ 73.3(e) and 73.4(e)).

## INSTRUCTIONS

1. The applicant must complete, sign and date this form. For registered entities, the information provided for this form should match the information submitted for the entity's certificate of registration.
  - a. For applying for an exemption of an investigational product that is, bears, or contains select agents or toxins, complete section 1.
  - b. For applying for an exemption to respond to a public health or agricultural emergency, complete section 2.
2. Fax, mail, or e-mail the form to APHIS or CDC.

## OBTAINING EXTRA COPIES OF THIS FORM

To obtain additional copies of this form, contact APHIS at (301) 734-5960 or CDC at (404) 718-2000. This guidance document and form are also available at <http://www.selectagents.gov>, [http://www.aphis.usda.gov/programs/ag\\_selectagent/index.html](http://www.aphis.usda.gov/programs/ag_selectagent/index.html) and <http://www.cdc.gov/od/sap>.



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Read all instructions carefully before completing the form. Answer all items completely and type or print in ink. The form must be signed and submitted to either APHIS or CDC:

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Agricultural Select Agent Program  
4700 River Road Unit 2, Mailstop 22, Cubicle 1A07  
Riverdale, MD 20737  
FAX: 301-734-3652  
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Email: [lrsat@cdc.gov](mailto:lrsat@cdc.gov)

SECTION 1 – TO BE COMPLETED FOR INVESTIGATIONAL PRODUCT EXEMPTION			
1. Entity name:		2. Entity registration number (if applicable):	
3. Entity address (NOT a post office address):		4. City:	5. State: 6. Zip code:
7. Applicant First: MI: Last:		8. Title:	
9. Telephone #:	10. FAX #:	11. Email address:	
12. Are you the: <input type="checkbox"/> Facility Director <input type="checkbox"/> Responsible Official <input type="checkbox"/> Other (specify):			
13. FDA IND/INAD/IDE number:	14. FDA product name:	15. This product has been approved for Phase I clinical trials by FDA: <input type="checkbox"/> No <input type="checkbox"/> Yes	
16. Date of the IND/INAD/IDE application submitted to FDA including the name of the FDA center and review office FDA Center/Review Office: Date:			
17. USDA veterinarian product code number:	18. USDA veterinarian product name:	19. This product has been tested and approved for field trials by USDA: <input type="checkbox"/> No <input type="checkbox"/> Yes	
20. Investigational product (Give select agent name and characterization):			
21. Federal act that authorizes investigational use of this product:			
22. Provide a detailed justification to request an exemption for the use of an investigational product that is, bears, or contains select agents or toxins (attach additional sheets if necessary):			

I hereby certify that the information contained on this form is true and correct to the best of my knowledge. I understand that if I knowingly provide a false statement on any part of this form, or its attachments, I may be subject to criminal fines and/or imprisonment. I further understand that violations of 7 CFR 331, 9 CFR 121, or 42 CFR 73 may result in civil or criminal penalties, including imprisonment. For exemption requests that involve the investigational product that is, bears, or contains select agents or toxin, I authorize FDA to confirm for APHIS or CDC the existence and status of the IND, INAD, or IDE, and agree that such confirmation will not violate FDA's information disclosure regulations, the Federal Food, Drug, and Cosmetic Act, or the Trade Secrets Act (18 U.S.C. § 1905).

Signature of Investigational Product Exemption Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

