

**SUPPORTING STATEMENT - OMB NO. 0579-0007  
NATIONAL POULTRY IMPROVEMENT PLAN (NPIP)**

**June 17, 2009**

**Information collection 0579-0305 has been merged into this information collection 0579-0007. Upon approval of 0579-0007, 0579-0305 will be retired.**

**A. Justification**

**1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.**

The National Poultry Improvement Plan (NPIP) is a voluntary Federal-State-industry mechanism for controlling certain poultry diseases and for improving poultry breeding flocks and products through disease control techniques. The NPIP became operative on July 1, 1935, with the approval of the Secretary of Agriculture and under the authority of an appropriation made by Congress for the United States Department of Agriculture (USDA), to be used in cooperation with State authorities in the administration of regulations for the improvement of poultry, poultry products, and hatcheries.

The National Turkey Improvement Plan was combined with the NPIP in 1970 to create the NPIP as it now exists. Emu, rhea, ostrich, and cassowary breeding flocks are also allowed participation in the Plan.

Authority for this program is contained in the U.S. Department of Agriculture Organic Act of 1944, as amended (7 U.S.C. 429). The cooperative work is carried out through a Memorandum of Understanding with the participating States. Specific NPIP provisions are contained Parts 145 and 147 of Title 9, Code of Federal Regulations.

The Veterinary Services program of the USDA's Animal and Plant Health Inspection Service is responsible for administering these and other regulations intended to protect the health of the U.S. poultry population.

The effective implementation of the NPIP necessitates the use of several information collection activities, including sentinel bird identification, as well as the creation and submission of flock testing reports, sales reports, breeding flock participation summaries, hatchery participation summaries, salmonella investigation reports, salmonella serotyping requests, and small chick order printouts.

APHIS is asking OMB to approve, for an additional 3 years, its use of these information collections in connection with APHIS' efforts to continually improve the health of the U.S. poultry population, as well as the quality of U.S. poultry products.

**2. Indicate how, by whom, how frequently, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

### **Memorandum of Understanding**

The National Poultry Improvement Plan is administered via a Memorandum of Understanding (MOU) is between the United States Department of Agriculture and participating States. The MOU explains the role and respective responsibilities of both Federal and State governments in the implementation of the program.

### **Recordkeeping**

Records of purchases and sales and the identity of products handled must be maintained by plan participants in a manner satisfactory to State veterinary authorities (in accordance with 9 CFR 145.4(a)). The records of all flocks maintained primarily for the production of hatching eggs must be examined annually by a State Inspector. These records must be maintained for 3 years, and include the VS Form 9-2 and 9-3, 9-4, and 9-5 (described below), set and hatch records, egg receipts, and egg/chick orders or invoices (9 CFR 145.12(b) and 146.12(b)).

### **Flock Selecting and Testing Report (VS Form 9-2)**

This form is used by authorized agents and State inspectors when breeding flocks are selected and tested and commercial meat-type chicken flocks, table-egg layer flocks, and meat-type turkey flocks are tested. The form provides space for the number of birds tested and the results of the test. This form also identifies a given flock as to owner, hatchery affiliation, slaughter plant, stock, type, purpose, classification, and most importantly, flock location. (Since most of the flocks are supply flocks for the same hatchery, it is extremely important to know the location of the flock. In addition, the table-egg layer flocks may be contract production flocks for the same processing company, the meat-type chicken and meat type turkey flocks may be supply flocks for the same slaughter plant.) The information on this form is of critical importance when an investigation must be conducted to determine the source of a hatchery disseminated or egg transmitted disease and avian influenza (AI) in breeding flocks and commercial table-egg layers, meat-type chickens, and meat-type turkeys.

### **Report of Sales of Hatching Eggs, Chicks, & Poult (VS Form 9-3)**

NPIP participants use this form to record any interstate sales of their hatching eggs, chicks, and poults. This document is used by both APHIS and the receiving State to monitor the movements

of these items. This form also serves as a vital investigative aid when APHIS is attempting to track down the source of a poultry disease.

### **Summary of Breeding Flock, Table-Egg Layer Flocks, Meat-Type Chicken and Turkey Slaughter Plants Participation (VS Form 9-4)**

This report form, which is completed by State animal health authorities, contains a summary of blood testing work and of flock participation by classes and breeding status. It is distributed to official State agencies from APHIS 'offices at the end of the testing year in June and must be returned to APHIS in July. With this information APHIS can publish its Tables on Hatchery and Flock Participation, and commercial meat-type chicken and turkey slaughter plant and flock participation which serves as an important tool in monitoring the health status of participating flocks.

### **Report of Hatcheries, Dealers, and Independent Flocks, Table-Egg Producers, Meat-Type Chicken and Turkey Slaughter Plants Participating in the NPIP (VS Form 9-5)**

This form is completed by the official State Agency to record an NPIP program participant's decision to withdraw from the program, or to record a producer's decision to join the program. This information, recorded on VS Form 9-5, must include the location and size of each flock owned by the producer. It is important for any individual participating in the NPIP to report the existence and location of all his or her flocks, since the disease status of one flock can impact the health of other flocks. Failing to report the existence and location of all flocks could have detrimental effects upon APHIS' ability to effectively monitor the health status of flocks within a given State. In the event of a poultry disease outbreak, this lack of information could prove detrimental to APHIS' efforts to promptly contain and eradicate the disease. This document is also used to record a change in disease program classification. This form allows APHIS to effectively monitor participation in the plan, and to maintain an up-to-date list of program participants, their addresses, and other important information concerning poultry operations.

### **Report of Salmonella Isolations to NPIP Official State Agencies (VS Form 9-6)**

When salmonella organisms are isolated from a specimen that originated in an NPIP participating hatchery, State veterinary authorities must attempt to locate the source of the infection. The results of this investigation, and the actions taken to eliminate the infection, must be reported to the Animal and Plant Health Inspection Service by the State. The VS Form 9-6 is used for this purpose.

### **Investigation of Salmonella Isolations in Poultry (VS Form 9-7)**

If a multi-State disease outbreak occurs, the NPIP will conduct an investigation and share the resulting information with all the States involved. The VS Form 9-7 is one of the tools used to complete this investigation; it provides the investigating State agency with a uniform method of compiling and analyzing information that can subsequently be used to study trends, economic importance, and other matters. This form is arranged in sections so that the disease

investigations can be completed in stages by different inspectors, depending upon the location of the flock, hatchery, and breeding flock. The inspector obtains some of the needed information by interviewing the appropriate poultry producers. When several States are involved in a pullorum-typhoid infection, the completed form will be sent to each of the States involved so that all of them will be aware of the investigation's outcome.

### **Flock Inspection and Check Testing Report (VS Form 9-8)**

This form is completed by a State inspector to recheck a flock that has already been tested for pullorum-typhoid. This re-testing is performed randomly, periodically, and unannounced as a means of verifying that pullorum-typhoid testing was correctly carried out on a given flock. The form contains such information as the location of the flock, the flock owner's name and address, the date of the last pullorum-typhoid test, the number of birds tested, and other relevant testing information.

### **Hatchery Inspection Form (VS Form 9-9)**

This form is completed by a State inspector while inspecting a hatchery to determine if it is in compliance with NPIP standards. On this form the inspector notes the level of cleanliness in the facility and its equipment, as well as the effectiveness of the sanitation procedures in place at the facility. On this form the inspector also records the number of incubators and their condition, the make and model of these units, their egg capacity for both setting and hatching trays, the source of the supply flock, whether the flock is a multiplier or primary flock, and the flock's official health status classification. The primary reason for the inspection is to ensure that the facility's birds originate from approved NPIP sources. Hatcheries are generally inspected once each year.

### **Sentinel birds banded for identification prior to flock vaccination**

When a Federally licensed *Salmonella enteritidis* bacterin is used to vaccinate a flock, 350 birds must remain unvaccinated so that they can be used to conduct the necessary serological tests for *Salmonella pullorum* and *Salmonella gallinarum*. These test birds must be banded so that they can be recognized as sentinel birds.

### **Request for Salmonella Serotyping (VS Form 10-3)**

This is a National Veterinary Services Laboratory (NVSL) form that must be completed by State or APHIS personnel who are submitting samples for salmonella serotyping. If samples were sent to NVSL without this form, lab personnel would have no way of identifying any given sample as to the flock from which it came, or even the disease for which the sample is to be tested.

### **Printing and Mailing Computerized Printouts**

These printouts are constructed by hatchery operators who ship large numbers of small chick orders all across the United States. This computerized list contains all the information found on VS 9-3, but reduces the paperwork load substantially because it is computer generated. These printouts are mailed every month to those States that request them. The States use these printouts to monitor the number of small chicks they are receiving.

### **Appraisal and Indemnity Claim for Animals Destroyed or Materials Destroyed and Continuation Sheet (VS Form 1-23 & 1-23A)**

These forms are used to record appraisals made and approved for payment to owners/claimants.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

APHIS is studying the feasibility of an electronic VS Form 9-2 for the new part 146 due to the number of responses required with that form. The VS Form 9-2 will require substantial security to ensure official reporting of important testing results.

The VS 10-3 is a screen fillable Adobe PDF form that can be completed and printed within the user's Web browser. It can be found by going to the APHIS-VS Web page at [http://www.aphis.usda.gov/animal\\_health/lab\\_info\\_services/downloads/VS\\_Form10-3.pdf](http://www.aphis.usda.gov/animal_health/lab_info_services/downloads/VS_Form10-3.pdf) Once this information collection is approved, this form will be updated on the Web, at the same address, with the new/revised OMB statement and an expiration date.

APHIS is seeking approval to display an electronic version with an expiration date of the VS 9-4 on the Web once approved.

**4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purpose described in item 2 above.**

The information that APHIS collects is not available from any other source. APHIS is the only Federal Agency responsible for preventing the incursion of exotic animal and poultry diseases into the United States.

**5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

The information APHIS is collecting is the minimum needed to protect the U.S. poultry population from communicable diseases.

**6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

If the information were collected less frequently or not collected, APHIS would be unable to effectively monitor the health of the nation's poultry population.

**7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the general information collection guidelines in 5 CFR 1320.5.**

There are no special circumstances associated with this information collection. This information collection is conducted in a manner consistent with the guidelines established in 5 CFR 1320.5.

**8. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting form, and on the data elements to be recorded, disclosed, or reported. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, soliciting comments on the information collection prior to submission to OMB.**

In 2009, APHIS engaged in productive consultations with the following individuals in connection with the information collection requirements associated with this program:

Jim Sumner, President  
U.S.A. Poultry & Egg Export Council  
2300 W. Park Place Blvd., Suite 100  
Stone Mountain, GA 30087  
(770) 413-0006  
[jsumner@usapeec.org](mailto:jsumner@usapeec.org)

William Roenick, Senior Vice President  
National Chicken Council  
1015 15th Street NW, Suite 930  
Washington, DC, 20005  
(202) 296-2622  
[wroenigk@chickenusa.org](mailto:wroenigk@chickenusa.org)

Joel Brandenberger, President  
National Turkey Federation  
1225 New York Ave. NW, Suite 400  
Washington, DC 20005  
(202) 898-0100  
[jbrandenberger@turkeyfed.org](mailto:jbrandenberger@turkeyfed.org)

George Watts, President  
National Chicken Council  
1015 15th Street NW, Suite 930  
Washington, DC, 20005  
(202) 296-2622  
[gwatts@chickenusa.org](mailto:gwatts@chickenusa.org)

On Friday, December 19, 2008, pages 77592-77593, APHIS published in the Federal Register, a 60-day notice seeking public comments on its plans to request a 3-year renewal of this collection of information. One comment was received which supported the program. The comment can be viewed at: <http://www.regulations.gov/fdmspublic/ContentViewer?objectId=09000064808092d6&disposition=attachment&contentType=xml>

**9. Explain any decision to provide any payment or gift to respondents, other than reenumeration of contractors or grantees.**

This information collection activity involves no payments or gifts to respondents.

**10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.**

No additional assurance of confidentiality is provided with this information collection. However, the confidentiality of information is protected under 5 U.S.C. 552a.

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior or attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.**

This information collection activity will ask no questions of a personal or sensitive nature.

**12. Provide estimates of the hour burden of the collection of information. Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated.**

**•Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I.**

See APHIS Form 71. Burden estimates were developed from discussions with flock owners; breeders; hatchery operators; table-egg producers; meat-type chicken and turkey slaughter plants and other program participants; personnel at approved laboratories, and State personnel who assist with the program.

**•Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories.**

APHIS estimates the total annualized cost to the above respondents to be \$2,593,061.80. APHIS arrived at this figure by multiplying the hours of estimated response time (103,681) by the estimated average hourly wage of the above respondents (\$25.01).

\$25.01 is the hourly rate derived from the U.S. Department of Labor, Bureau of Labor Statistics May 2008 Report - Occupational Employment and Wages in the United States. See <http://www.bls.gov/news.release/ocwage.t03.htm>

**13. Provide estimates of the total annual cost burden to respondents or record keepers resulting from the collection of information (do not include the cost of any hour burden shown in items 12 and 14). The cost estimates should be split into two components: (a) a total capital and start-up cost component annualized over its expected useful life; and (b) a total operation and maintenance and purchase of services component.**

There is zero annual cost burden associated with capital and start-up, operation and maintenance, and purchase of services.

**14. Provide estimates of annualized cost to the Federal government. Provide a description of the method used to estimate cost and any other expense that would not have been incurred without this collection of information.**

An estimate of the annual cost to the Federal Government is \$1,402,120.00.  
(See APHIS Form 79.)



**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-1.**

The burden increased from 39,638 hours to 103,681 hours due to the merging of 0579-0305 into 0579-0007 and adjustments. The adjustments in burden more accurately reflect the actual collection of information from the public based upon what is currently being collected. Upon approval of 0579-0007, 0579-0305 will be retired. Please note that when 0579-0007 was last approved, OMB did not require the breakdown of the affected public. Please see APHIS Form 71 for more detailed information.

**Recordkeeping**

The total recordkeeping hours increased 46,000 hours due to the merging of 0579-0305 into 0579-0007. These hours were previously approved under 0579-0305.

**Flock Selecting and Testing Report – Flock Test Meat Chicken Slaughter Plant/Turkey Slaughter Plant/Test Egg Producers (VS Form 9-2)**

The total burden hours for the VS Form 9-2 increased 15,440 hours due to the inclusion of 7,554 total burden hours previously approved under 0579-0305 and an increase of 7,886 total burden hours to more accurately reflect what is currently being collected based on new available data.

**Report of Sales of Hatching Eggs, Chicks, and Poults (VS Form 9-3)**

The total burden hours for VS Form 9-3 increased 812 hours due to an adjustment to more accurately reflect what is currently being collected based on new available data.

**Summary of Breeding Flock, Table-Egg Layer Flocks, Meat-Type Chicken and Turkey Slaughter Plants Participation (VS Form 9-4)**

The total burden hours increased 1,236 hours due to the addition of 0579-0305 which previously approved 1,344 total burden hours. The remaining difference of -108 hours is because of accounting for the same information in both previously approved 0579-0007 and 0579-0305 collections.

**Report of Hatcheries, Dealers, and Independent Flocks, Table-Egg Producers, Meat-Type Chicken and Turkey Slaughter Plants Participating in the NPIP (VS Form 9-5)**

The total burden hours decreased 4 hours even with the merging of 0579-0305 which previously had 48 total burden hours approved for VS Form 9-5. The remaining difference of 52 burden hours is because of accounting for the same information in both previously approved 0579-0007 and 0579-0305, and because of an adjustment to more accurately reflect what is currently being collected based on new available data.

**Report of Salmonella Isolations to NPIP Official State Agencies (VS Form 9-6)**

The total burden hours decreased 450 hours due to an adjustment to more accurately reflect what is currently being collected based on new available data.

#### **Investigation of Salmonella Isolations in Poultry (VS Form 9-7)**

The total burden hours increased 50 hours due to an adjustment to more accurately reflect what is currently being collected based on new available data.

#### **Flock Inspection and Check Testing Report (VS Form 9-8)**

The total burden hours increased 8 hours due to an adjustment to more accurately reflect what is currently being collected based on new available data.

#### **Hatchery Inspection Form (VS Form 9-9)**

The total burden hours increased 100 hours due to an adjustment to more accurately reflect what is currently being collected based on new available data.

#### **Sentinel birds banded for identification prior to flock vaccination**

The total burden hours decreased 200 hours due to an adjustment to more accurately reflect what is currently being collected based on new available data.

#### **Request for Salmonella Serotyping (VS Form 10-3)**

The total burden hours increased 605 hours due to an adjustment to more accurately reflect what is being collected based on new available data.

#### **Printing and Mailing Computerized Printouts**

The total burden hours increased 437 hours due to an adjustment to more accurately reflect what is being collected based on new available data.

#### **Appraisal and Indemnity Claim for Animals Destroyed or Materials Destroyed and Continuation Sheet (VS Form 1-23 and 1-23A)**

VS Forms 1-23 and 1-23A are new to 0579-0007 resulting in a total burden hour increase of 1.16 hours. These forms were previously approved under 0579-0305; however, due to the rounding up .5 hours to 1 hour resulted in 2 total burden hours. VS Form 1-23 was previously approved as a “sign only” in 0579-0305.

**16. For collections of information whose results are planned to be published, outline plans for tabulation and publication.**

The Summary of Breeding and Table-Egg Layer Flocks and Meat-Type Chicken and Turkey Slaughter Plants Participation (VS Form 9-4), which is completed by State animal health authorities, contains a summary of blood testing work and of flock participation by classes and breeding status. It is distributed to official State agencies from APHIS offices at the end of the testing year in June and must be returned to APHIS by July. With this information, APHIS can publish its Tables on Hatchery, Slaughter Plant, and Flock Participation, which serves as an important tool in monitoring the health status of participating flocks.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.**

**Flock Selecting and Testing Report (VS Form 9-2)**

This form is serially numbered to track the movement of the shipment for regulatory purposes. Therefore, APHIS is seeking approval to not display the OMB expiration date.

**Report of Sales of Hatching Eggs, Chicks, & Poults (VS Form 9-3)**

This form is serially numbered to track the movement of the shipment for regulatory purposes. Therefore, APHIS is seeking approval to not display the OMB expiration date.

**Summary of Breeding Flock, Table-Egg Layer Flocks, Meat-Type Chicken and Turkey Slaughter Plants Participation (VS Form 9-4)**

Not applicable. APHIS will display the expiration date.

**Report of Hatcheries, Dealers, and Independent Flocks, Table-Egg Producers, Meat-Type Chicken and Turkey Slaughter Plants Participating in the NPIP (VS Form 9-5)**

This form is composed of multiple parts using carbonless coated paper (NCR – No Carbon Required) to provide for duplicate copies. It is not practical to store these forms for long periods of time because the carbonless paper breaks down in storage. It takes months to get these specialized forms reprinted so having an expiration date while waiting for OMB approval would incur higher printing costs for the Federal Government if these forms were to be discarded because of an outdated OMB expiration date. Therefore, APHIS is seeking approval to not display the OMB expiration date.

**Report of Salmonella Isolations to NPIP Official State Agencies (VS Form 9-6)**

This form is serially numbered to track the movement of the shipment for regulatory purposes. Therefore, APHIS is seeking approval to not display the OMB expiration date.

**Investigation of Salmonella Isolations in Poultry (VS Form 9-7)**

This form is serially numbered to track the movement of the shipment for regulatory purposes. Therefore, APHIS is seeking approval to not display the OMB expiration date.

**Flock Inspection and Check Testing Report (VS Form 9-8)**

This form is composed of multiple parts using carbonless coated paper (NCR – No Carbon Required) to provide for duplicate copies. It is not practical to store these forms for long periods of time because the carbonless paper breaks down in storage. It takes months to get these specialized forms reprinted so having an expiration date while waiting for OMB approval would incur higher printing costs for the Federal Government if these forms were to be discarded because of an outdated OMB expiration date. Therefore, APHIS is seeking approval to not display the OMB expiration date.

**Hatchery Inspection Form (VS Form 9-9)**

When e-Signature becomes available, this form will be automated and the expiration date will be updated every 3 years.

**Request for Salmonella Serotyping (VS Form 10-3)**

Not applicable. APHIS will display the expiration date.

**Appraisal and Indemnity Claim for Animals Destroyed or Materials Destroyed and Continuation Sheet (VS Form 1-23 & 1-23A)**

This form is used in four information collections; therefore, it is not practical to include an OMB expiration date because of the various expiration dates for each collection. APHIS is seeking approval to not display the OMB expiration date.

**18. Explain each exception to the certification statement, "Certification for Paperwork Reduction Act."**

APHIS is able to certify compliance with all the provisions under the Act.

**B. Collections of Information Employing Statistical Methods**

No statistical methods are associated with the information collection activities used in this program.