

**SUPPORTING STATEMENT-OMB NO. 0579-0020
U.S. ORIGIN HEALTH CERTIFICATE**

July 2017

A. Justification

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection.

The Animal Health Protection Act (AHPA) of 2002 is the primary Federal law governing the protection of animal health. The law gives the Secretary of Agriculture broad authority to detect, control, or eradicate pests or diseases of livestock or poultry. The Secretary may also prohibit or restrict the import or export of any animal or related material if necessary to prevent the spread of any livestock or poultry pest or disease. The AHPA is contained in Title X, Subtitle E, Sections 10401-18 of P.L. 107-171, May 13, 2002, the Farm Security and Rural Investment Act of 2002. Disease prevention is the most effective method for maintaining a healthy animal population and for enhancing APHIS' ability to compete in the world market of animal and animal product trade.

The export of agricultural commodities, including animals and animal products, is a major business in the United States and contributes to a favorable balance of trade. As part of its mission to facilitate the export of U.S. animals and products, the U.S. Department of Agriculture (USDA), Animal and Plant Health Inspection Service (APHIS)'s Veterinary Services (VS) unit maintains information regarding the import health requirements of other countries for animals and animal products exported from the United States.

To ensure a favorable balance of trade, APHIS is seeking OMB approval to continue the use of this information collection for an additional 3 years.

2. Indicate how, by whom, 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.

APHIS uses the following information collection activities to meet certification requirements of other countries for the export of animals from the United States:

9 CFR 91.3: U.S. Origin Health Certificate, VS 17-140, VS 17-140A, and VS 17-140B (or equivalent) (Businesses and Farms)

The U.S. Origin Health Certificate is used in connection with the export of large animals to foreign countries, is completed by APHIS-accredited veterinarians, and is endorsed by an authorized APHIS veterinarian using information obtained from owners or exporters of the animals. The information collected is used to establish that the animals are moved in compliance with APHIS regulations, to verify that the animals destined for export are listed on the health certificate by means of an official identification, and to verify to the consignor and consignee that the animals being offered for export are healthy. The U.S. Origin Health Certificate also contains the results of various tests conducted on the animals (such as tests for tuberculosis or brucellosis) and the dates the tests were conducted. In

addition, all livestock intended for export from the United States must be identified in a manner that allows the animals to be correlated to the animals listed on the U.S. origin health certificate.

The collection of this information helps prevent unhealthy or untested animals from being exported from the United States, thereby preventing the international dissemination of animal diseases. The collection of this information is also necessary to satisfy the import requirements of the receiving countries, thereby facilitating trade between the United States and other regions of the world.

9 CFR Part 91 requires that all livestock intended for export by air or sea receive a visual health inspection from an APHIS veterinarian and that this inspection be conducted at an APHIS-approved inspection facility associated with the port of embarkation. To gain approval, pre-export facilities must be inspected, the procedures of the facility must be approved, and the animals be transported in cleaned and disinfected vehicles. Certifications that these conditions have been met are contained in the U.S. Origin Health Certificate. If these certifications were not provided, other countries would not accept animals from the United States.

9 CFR 91.3: U.S. Origin Health Certificate for the Export of Horses from the United States to Canada, VS Form 17-145 (or equivalent) (Businesses and Farms)

This certificate is used in connection with the exportation of U.S. horses to Canada and is completed by APHIS-accredited veterinarians using information obtained from owners and/or exporters of the animals. The information collected is used to establish that the animals are moved in compliance with APHIS regulations, to verify that the animals listed for export are listed on the health certificate by means of an official identification, and to verify to the consignor and consignee that the animals being offered for export are healthy. The collection of this information helps prevent unhealthy animals from being exported from the United States, thereby preventing the international dissemination of animal diseases. The collection of this information is also necessary to satisfy the import requirements of Canada.

9 CFR 91.7: Undue Hardship – Animals (Businesses and Farms)

In special cases, certain ports (other than those officially designated as permanently approved ports of embarkation, as described in 9 CFR Part 91) may be designated as temporary ports of embarkation by APHIS, when the exporter can demonstrate, in writing, that the animals to be exported would suffer undue hardship if moved to a permanently approved port of embarkation. The explanation of undue hardship can be submitted to APHIS via letter, fax, or e-mail.

9 CFR 91.10: Application for Approval of Inspection Facility-Environmental Certification (Businesses)

Applications for permanent approval of an export inspection facility must contain basic information such as the facility's location, size, cleaning and disinfection procedures, and other critical information. The application is completed by the facility operator and must be accompanied by a certification from local environmental authorities stating that the facility complies with all applicable State or local regulations or ordinances, and the requirements (if any) of the U.S. Environmental Protection Agency, in connection with the disposal of animal wastes.. These certification statements can be submitted to APHIS via letter, fax or email.

9 CFR 91.10: Annual Site Inspection of Inspection Facilities (Businesses) (new)

APHIS will conduct site inspections of approved export inspection facilities at least once a year for continued compliance with the standards. If a facility fails to pass the inspection, the Administrator

may revoke its approval. If the Administrator revokes approval for a facility that serves a designated port of embarkation, the Administrator may also remove that port from the list of designated ports of embarkation.

9 CFR 91.10: Opportunity to Present Views Concerning Withdrawal of Facility Approval (Businesses)

APHIS can deny or revoke its approval of a permanently approved export inspection facility, but must first send the facility's operator a written notice at least 60 days before the date of the proposed revocation or denial. The facility operator can give APHIS a written explanation as to why approval should not be denied or revoked. This explanation can be submitted to APHIS via letter, fax, or email.

9 CFR 91.12 (a): Certification to Carry Livestock (Businesses) (new)

Ocean vessels must be certified by APHIS prior to initial use to transport any livestock from the United States. The owner or the operator of the ocean vessel must make arrangements prior to the vessel's arrival at a designated port of embarkation in the United States for an APHIS representative to inspect the vessel while it is at that port of embarkation. Alternatively, at the discretion of the Administrator and upon request of the exporter, transporting company, or their agent, the inspection may be done at a foreign port. If APHIS determines that the ocean vessel meets the requirements of paragraph (d) of 9 CFR 91.12, APHIS will certify the vessel to transport livestock from the United States. APHIS may certify a vessel that does not meet all of the requirements in paragraph (d), provided that an exemption from the requirements the vessel does not meet has been granted to the vessel pursuant to paragraph (e) of this section. The certification will specify the species of livestock for which the vessel is approved. The certification will be valid for up to 3 years; however, the ocean vessel must be recertified prior to transporting livestock any time significant changes are made to the vessel, including to livestock transport spaces or life support systems; any time a major life support system fails; any time species of livestock not covered by the existing certification are to be transported; and any time the owner or operator of the ocean vessel changes. The owner or operator of the vessel must present the following documentation to APHIS prior to its initial inspection for certification and when requested by APHIS prior to subsequent inspections for recertification.

9 CFR 91.12(a): Inspection of Vessel Prior to Voyage (Businesses) (new)

Prior to loading any livestock intended for export from the United States, an APHIS representative must inspect the vessel to confirm that the ocean vessel has been adequately cleaned and disinfected, has sufficient food and water for the voyage, and continues to meet the requirements of 9 CFR 91.12(d). APHIS will schedule the inspection after the owner or operator of the ocean vessel provides the following information: The name of the ocean vessel; the port, date, and time the ocean vessel will be available for inspection, and estimated time that loading will begin; a description of the livestock to be transported, including the type, number, and estimated average weight of the livestock; stability data for the ocean vessel with livestock on board; the port of discharge; and the route and expected length of the voyage.

9 CFR 91.12 (f): Notarized Statement (Businesses)

The owner or operator of any ocean vessel used to export livestock (including vessels that use shipping containers) from the United States must submit a written report to APHIS within 5 business days after completing a voyage. The report must include the name of the ocean vessel; the name and address of all exporters of livestock transported on the vessel; the port of embarkation; dates of the voyage; the port where the livestock were discharged; the number of each species of livestock loaded;

the number of each species that died and an explanation for those mortalities; and the number of animals that sustained injuries or sustained illnesses that were significant enough to require medical attention from the personnel entrusted with the care of the animals, as well as the nature of these injuries or illnesses. The report must also document any failure of any major life support system for the livestock, including, but not limited to, systems for providing feed and water, ventilation systems, and livestock waste management systems. Any such failure must be documented, regardless of the duration or whether the failure resulted in any harm to the livestock. The report must include the name, telephone number, and email address of the person who prepared the report and the date of the report. The report must be submitted to APHIS by facsimile or email.

9 CFR 91.13: Aircraft Cleaning and Disinfection (Businesses) (new)

The time at which the cleaning and disinfection of the aircraft are to be performed must be approved by the APHIS representative, who will give approval only if he or she determines that the cleaning and disinfection will be effective up to the projected time the livestock will be loaded. If the livestock are not loaded by the projected time, the APHIS representative will determine whether further cleaning and disinfection are necessary.

After cleaning and disinfection is performed, the APHIS representative will sign and deliver to the captain of the aircraft or other responsible official of the airline involved a document stating that the aircraft has been properly cleaned and disinfected, and stating further the date, the carrier, the flight number, and the name of the airport and the city and state in which it is located. If an aircraft is cleaned and disinfected at one airport, then flies to a subsequent airport, with or without stops en route, to load animals for export, an APHIS representative at the subsequent airport will determine, based on examination of the cleaning and disinfection documents, whether the previous cleaning and disinfection is adequate or whether to order a new cleaning and disinfection. If the aircraft has loaded any cargo in addition to animals, the APHIS representative at the subsequent airport will determine whether to order a new cleaning and disinfection, based on both examination of the cleaning and disinfection documents and on the inspection of the stowage area for materials, such as garbage, soil, manure, plant materials, insects, waste paper, or debris, that may harbor animal disease pathogens.

9 CFR 91.3: Export Health Certificate (VS Form 17-141 (Health Certificate for the Export of Live Finfish, Mollusks, and Crustaceans (and their Gametes)), VS Form 17-140 (U.S. Origin Health Certificate), APHIS Form 7001 (United States Interstate and International Certificate of Health Examination for Small Animals), or equivalent/country specific health certificate of export (Businesses) (new)

APHIS requires U.S. exporters to complete an export health certificate before exporting any live crustaceans and their gametes, live finfish and their gametes, or live mollusks and their gametes, if requested by the importing country. Exporters meet this requirement by completing one of the aforementioned forms. The certificates will be completed by an accredited veterinarian with assistance from the producer, and must be signed by the accredited veterinarian and endorsed by APHIS as the competent Federal authority who certifies the health status of the shipment being exported. The health certificate identifies the names of the species being exported from the United States, their age and weight, place of origin, country of destination, date and method of transport, and whether they are cultured stock or wild stock.

By issuing and endorsing the health certificate, the accredited veterinarian and the Federal official (respectively) certify (1) that the live aquatic animals in the consignment have - as their place of production - a country, zone, or aquaculture establishment that has been subjected to an official

health surveillance scheme according to the procedures described in the World Organization for Animal Health (OIE) Diagnostic Manual for Aquatic Animal Diseases; (2) that the country, zone, or aquaculture establishment is officially recognized as being free from all of the pathogens causing the diseases identified on the specific health certificate being endorsed; or (3) other health requirements specified by the importing country.

9 CFR 91.3 (b)(2): Country Specific Health Care (Businesses) (new)

The Country Specific Health Certificate Information is for every country of the world. This information provides the ability to locate the United States Embassy or any Consular Office as to whether a visa is needed, information on crime and security, health and medical situations, drug penalties, localized hot spots, and more. The Consular Program informs the public of conditions abroad that may affect the safety and security of everyone.

9 CFR 91: Travel Time (Businesses) (new)

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, 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 developing options for use of electronic submission and digital signature with VS-Forms 17-140, 17-140A, 140B, 17-141, 17-145, APHIS Form 7001, and others by developing a fully electronic template to be housed in the Veterinary Export Health Certification System (VEHCS) <https://pcit.aphis.usda.gov/pcit/>. The template follows World Trade Organization (WTO) standards and has been approved by the governments of Canada, Taiwan, and China, among others. VEHCS will also incorporate APHIS' new digital signature product, approved by OMB as of February 2017. APHIS is now in the process of issuing a WTO notification on this new template, which will allow the form to be used widely with international trading partners. APHIS expects this template to be fully operational within the next 2 years. APHIS currently has a bilateral agreement with Canada where the template is accepted with digital signature for exports of breeding cattle through four (4) Western U.S. land border ports.

In addition, the health certificates (VS Forms 17-140, 17-141, 17-145, and APHIS 7001) employed in this program are currently available from VS Field Offices, or by writing USDA APHIS, 4700 River Road Unit 39, Riverdale, MD 20737. An electronic PDF version of APHIS 7001 is available at <http://www.aphis.usda.gov/library/forms/pdf/APHIS7001.pdf>. An electronic version of VS 17-145 is available at https://www.aphis.usda.gov/library/forms/pdf/vs17_145.pdf.

The undue hardship letter, environmental certification statements that must accompany applications for facility approval, ocean vessel operator's reports, and letters to contest a denial or revocation of facility approval can be emailed or faxed to APHIS.

Some country specific health requirements and model veterinary health certificates are posted on the International Regulations (Iregs) Retrieval system at <http://www.aphis.usda.gov/regulations/vs/iregs/animals>

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 in connection with the exportation of animals from the United States is exclusive to APHIS' mission of ensuring the health status of U.S. animals sent to other countries. It is not available from any other source.

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

The information APHIS collects is the minimum needed to ensure that U.S. exporters meet the minimum import requirements of other countries. Eighty-five percent of the respondents to this collection are small businesses.

6. Describe the consequences 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.

The U.S. Origin Health Certificate, the proper identification of animals for export, and the approval of export inspection facilities in the United States are critical components of APHIS' export program. Without these information collection activities, APHIS would be unable to certify the health status of animals exported from the United States to other countries. Without this certification, the United States would be unable to compete in the world market of animal trade.

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.

- **requiring respondents to report information to the agency more often than quarterly;**
- **requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**

The owner or operator of any ocean vessel used to export livestock (including vessels that use shipping containers) from the United States must submit a written report to APHIS within 5 business days after completing a voyage. This requirement allows APHIS to respond quickly should any conditions exist on an ocean vessel that could threaten the health or safety of animals shipped on the vessel.

- **requiring respondents to submit more than an original and two copies of any document;**
- **requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than 3 years;**

- **in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;**
- **requiring the use of a statistical data classification that has not been reviewed and approved by OMB;**
- **that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
- **requiring respondents to submit proprietary trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

No other special circumstances exist. This information collection is conducted in a manner consistent with the guidelines established in 5 CFR 1320.6.

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.

APHIS engaged in productive consultations with the following individuals concerning its use of the information collections employed in the export of animals from the United States:

Sandy Moore
Segrest Farms, Inc.
P.O. Box 758
Gibsonton, FL 33534
813-677-9196

Dr. Paul Sundberg
Senior Vice President – Science and Technology
National Pork Board
1776 NW 114th Street
Des Moines, IA 50325
515-223-2764

Stacey Diaz
5D Tropical, Inc.
6507 Bob Head Road
Plant City, FL 33656
(813) 986-4560
fish@5dtropical.com

On Friday, May 26, 2017, page 24275, 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. During that time, APHIS received one comment from a concerned citizen regarding the treatment of animals; however, it doesn't concern the information collection activities.

9. Explain any decision to provide any payment or gift to respondents, other than remuneration 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 and attitudes, religious beliefs, and others that are 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.

APHIS asks 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.**

Respondents are the owners and facility operators for sheep, goats, and horses; accredited veterinarians; live animal exporters; and owners or masters of an ocean vessel. APHIS estimates the total annualized cost to these respondents to be \$753,763. APHIS arrived at this figure by multiplying the total burden hours (17,170 hours) by the estimated average hourly wage of the above respondents (\$43.90). The average hourly rate is derived from the U.S Department of Labor; Bureau of Labor Statistics May 2016 Report–National Compensation Survey: Occupational Employment and Wages, May 2017.

Owners of and facility operators for sheep, goats, and horses: \$36.44 per hour [median, farmers, ranchers, and facility operators]

Owners or masters of an ocean vessel: \$46.94 [median, owners or masters of an ocean vessel – transportation, storage, and distribution managers]

Accredited veterinarians: \$48.34 per hour [median, accredited veterinarians]

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.

No annual cost burden is associated with capital and startup costs, maintenance costs, and purchase of services in connection with this program.

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.

The estimated cost for the Federal Government is \$10,137,274.17. (See APHIS Form 79.) Salary figures were derived from the Office of Personnel Management’s GS salaries at a step 4 level.

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

ICR Summary of Burden:

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	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses	35,761	0	-41,368	4,374	0	72,755

Annual Time Burden (Hr)	17,170	0	-2,631	2,190	0	17,611
Annual Cost Burden (\$)	0	0	0	0	0	0

Overall, the total burden hours decreased 441 hours (-2,631 program change and +2,190 adjustment) and the total number of responses decreased 36,994 responses (-41,368 program change and +4,374 adjustment).

The decrease resulted from removing Recordkeeping for Modification, which is no longer codified or practiced (-45,000 responses; -3,735 hours) (program change).

The following items were previously approved under 0579-0278 (discontinued) and have been added to this information collection for approval (program change/violation):

- VS Form 17-141(+100 responses; +26 hours).
- APHIS Form 7001 (+750 responses; + 98 hours).
- Country Specific Health Care (+1,800 responses; + 450 hours).
- Travel Time (+256 responses; + 256 hours).

The following items were inadvertently not included in previous information collection submissions and have been added to this information collection for approval (program change/violation):

- Annual Site Inspection of Inspection Facilities (+38 responses; +76 hours).
- Certification to Carry Livestock (+8 responses; + 20 hours).
- Inspection of Vessel Prior to Voyage (+ 10 responses; + 10 hours).
- Aircraft Cleaning and Disinfection (+670 responses; + 168 hours).

The burden of the following items has increased since the last submission of this information collection to more accurately reflect current use (adjustment):

- VS Form 17-140 (+ 1,368 responses; + 684 hours).
- VS Forms 17-140A and 17-140B (+ 3,000 responses; +1,500 hours).
- Notarized Statement (+ 6 responses; +6 hours).

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

APHIS has no plans to tabulate or publish the information APHIS is collecting.

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.

VS Form 17-140, VS Form 17-140A, and APHIS Form 7001 are used in several other information collections; therefore, it is not practical to include an OMB expiration date because of the various expiration dates for each information collection. APHIS is seeking approval to not display the OMB expiration date on these forms.

APHIS will display the expiration date on VS Form 17-145, VS Form 17-141, and VS Form 17-140B.

18. Explain each exception to the certification statement identified in the "Certification for Paperwork Reduction Act."

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

B. Collections of Information Employing Statistical Methods

Statistical methods are not used in this information collection.