

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

February 2015

Terms of Clearance: OMB notes that the forms associated with this collection are still not available electronically. In accordance with the terms of 5 CFR 1320, this collection is approved for an additional two years. During that time, APHIS should work to make VS forms 9-2, 9-9, and 10-3 electronically fillable and fileable. Upon submission, APHIS should provide a supplementary document explain progress toward this goal and the timeline for full implementation.

APHIS has studied and discussed making the VS Form 9-2 electronic. It hopes to do so once it settles privacy, security, and other outstanding issues with industry stakeholders and resolves how to handle logistical and other differences that need to be accounted for among the various laboratories involved in NPIP work. Additionally, budget cuts and other government budget limitations have left APHIS with inadequate funding to build a database that will support an electronic VS Form 9-2.

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 on the APHIS Forms Library Web page at http://www.aphis.usda.gov/library/forms/pdf/VS_Form10_3.pdf.

Although APHIS is moving closer to universal use of e-Signature, the VS Form 9-9 cannot yet be automated because conversion of international trade forms to electronic signature takes priority over converting interstate forms like the VS Form 9-9.

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 a Congressional appropriation for the U.S. Department of Agriculture (USDA) to use with State authorities to administer regulations to improve poultry, poultry products, and hatcheries.

The National Turkey Improvement Plan was combined with the NPIP in 1970 to create the current NPIP. Emu, rhea, ostrich, and cassowary breeding flocks are also allowed to participate in the Plan.

This program is authorized by the USDA Organic Act of 1944, as amended (7 U.S.C. 429). The cooperative work is carried out through Memoranda of Understanding with the participating States. Specific NPIP provisions are contained at parts 56, 145, 146, and 147 of Title 9, *Code of Federal Regulations*. The Veterinary Services unit (VS) of USDA's Animal and Plant Health Inspection Service (APHIS) administers these regulations.

The NPIP requires several information collection activities, including:

- The Memorandum of Understanding
- Flock selecting and testing reports
- Sales reports, including sales of hatching eggs, chicks, and poults
- Breeding flock and slaughter plant participation summaries
- Hatchery participation summaries
- Salmonella investigation reports
- Flock and hatchery inspection reports
- Sentinel bird identification
- Salmonella serotyping requests
- Small chick order printouts
- Appraisal and indemnity forms

APHIS is asking OMB to approve, for an additional 3 years, its use of these information collection activities in connection with APHIS' efforts to continually improve the health of the U.S. poultry population and 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.

APHIS uses the following information activities to continually improve the health of the U.S. poultry population and the quality of U.S. poultry products.

Memorandum of Understanding

NPIP is administered through Memoranda of Understanding (MOU) between USDA and participating States. The MOUs set forth the following responsibilities for the Official State Agency in implementing the program:

- Designate a State Contact Representative to administer the MOU activities.
- Plan and execute program work jointly with USDA.
- Prepare and submit an annual report (the VS Form 9-4).
- Keep accurate and detailed records of all NPIP work.
- Authorize competent persons to perform:
 - Inspection
 - Flock selecting
 - Blood collecting and testing
 - Serological, bacteriological, and other diagnostic work required and to assume responsibility for their work.
- Require State inspectors and authorized agents to work with NPIP coordinators.

- Write and have signed contracts between the Official State Agency and all participants except flock owners affiliated with participating hatcheries.
- Report to NPIP any member of the poultry industry who has discontinued participation.
- Report to NPIP the results of each investigation made to locate the source of infection.
- File with NPIP all current and pending State laws, rules, and regulations related to poultry improvement work.

Recordkeeping

Plan participants must maintain records of purchases and sales and the identity of products handled in a manner satisfactory to State veterinary authorities in accordance with 9 CFR 145.4(a). The records of all flocks maintained primarily to produce hatching eggs must be examined annually by a State inspector. These records must be maintained for 3 years, and include VS Forms 9-2, 9-3, 9-4, and 9-5 (described below), set and batch records, egg receipts, and egg/chick orders or invoices as required by 9 CFR 145.12(b) and 9 CFR 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 the following information:

- Flock owner name and contact information (location)
- Flock owner hatchery affiliation
- Flock owner slaughter plant affiliation
- Flock type, purpose, stock, and classification
- Number of birds tested
- Results of the test

Since many NPIP flocks supply the same hatchery, it is extremely important to know the location of each flock. Table-egg layer flocks also may be contract production flocks for the same processing company, and the meat-type chicken and meat-type turkey flocks may be supply flocks for the same slaughter plant. The information on the VS Form 9-2 is critical during investigations to determine the source of a hatchery-disseminated or egg-transmitted disease or the source of 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, & Poults (VS Form 9-3)

NPIP participants (individuals dealing in hatching eggs, chicks, and poults who have been approved by the Official State Agency as able to comply with NPIP provisions and State regulations) 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 helps APHIS track down the source of a poultry disease. The form requires the following information:

- Reporting number
- Date of shipment
- Name and address of the purchaser
- Name and address of the producer or shipper
- Name and address of the destination of eggs, chicks, and/or poults

- Quantity; variety or strain; product (hatching egg, chick, or poult); sex, type and classification of the hatching eggs, poults, or chicks being shipped
- Any additional remarks
- Signature of State inspector and date

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

This report form, which is completed by State animal health authorities, summarizes blood testing and flock participation by classes and breeding status. APHIS offices distribute it to Official State Agencies at the end of the testing year in June; the State agencies must return it to APHIS in July. APHIS uses this information to publish its Tables on Hatchery, Flock, and Slaughter Plant Participation, which help monitor the health 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)

Official State Agencies use this form to record program participant additions and withdrawals. This information must include the location and size of each flock owned by the producer. As the disease status of one flock can affect the health of other flocks, a producer's failure to report the existence and location of all flocks could hurt APHIS' ability to effectively monitor the health of flocks within a State or to promptly contain and eradicate a disease. This document is also used to record a change in disease program classification. This form allows APHIS to monitor plan participation and 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 try to find the source of the infection. State authorities must use VS Form 9-6 to report to APHIS the results of the investigation and actions taken to eliminate the infection. The form requires the following information:

- Laboratory Accession Number (breeding or nonbreeding)
- Name and location of flock
- Breed, variety, or cross
- Intended use of flock
- Person submitting specimens
- Reported hatchery source
- Date of specimen submission
- Number of chickens, turkeys, or other specimens
- Approximate age of specimens
- Isolations of salmonella species
- Additional remarks
- Name and address of diagnostic laboratory
- Name of person submitting report
- Date the report was submitted

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

If a multi-State disease outbreak occurs, the NPIP Official State Agency will investigate the outbreak and share the results with all the States involved. The VS Form 9-7 gives the investigating State agency a uniform method of compiling and analyzing information that can 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 on the location of the flock, hatchery, and breeding flock:

Section A: Flock from which infected specimens were submitted

- Name and address of owner
- Location of flock
- Breed, strain, or trade name of flock
- Number of birds in the flock
- Age of the flock
- Purpose of flock
- Estimated effects of the infection
- Morbidity percentage
- Suspected source of infection
- Kinds of specimens collected for laboratory examination
- Corrective measures applied
- Whether corrective measures are adequate to prevent disease spread

Section B: Hatchery source of flock reported in section A

- Name and location of hatchery
- Approval number
- Previous isolations of same serotype implicating the hatchery (prior isolations at the same hatchery) and number of such reports
- Investigation procedures
- Measures applied to eliminate any infection from premises

Section C: Parent Flock of Flock Reported in Section A

- Name and address of owner of parent flock
- Location of parent flock
- Number of birds in parent flock
- Source of parent flock (males and females)
- Classification and basis of qualifications
- Examinations for suspected serotype
- Serial numbers of VS Form 9-6 reports of positive shown and other isolations of other serotypes found during the investigation
- Additional remarks
- Signature of State or other inspector
- State of inspection
- Date of signature

The inspectors obtain 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 retesting is performed randomly, periodically, and unannounced to verify that pullorum-typhoid testing was correctly carried out on a given flock. The form lists:

- The flock's location
- The flock owner's name and address
- The date of the last pullorum-typhoid test
- The number of birds tested
- The flock's current NPIP classification
- Who selected and tested the flock
- Flock breed, stock, and trade name
- Number of birds in flock (males and females)
- Has replacement stock been purchased (if yes, give source)?
- Number of reactors
- Health of flock
- Upkeep of equipment
- Egg handling conditions
- Results of the inspection and check-testing
- Additional remarks
- Signature of State inspector and date

Hatchery Inspection Form (VS Form 9-9)

A State inspector completes this form while inspecting a hatchery annually for compliance with NPIP standards. The inspector notes:

- The cleanliness of the facility and its equipment
- The effectiveness of the facility's sanitation procedures
- The number of incubators and their condition
- The incubators' makes and models
- The incubators' egg capacity for both setting and hatching trays
- The source of the facility's supply flock
- Whether the flock is a multiplier or primary flock
- The flock's official health status classification

The inspection ensures that the facility's birds originate from approved NPIP sources.

Sentinel birds banded for identification before flock vaccination

When a federally licensed *Salmonella enteritidis* bacterin is used to vaccinate a flock, 350 birds must remain unvaccinated so they can be used to conduct the necessary serological tests for *S. pullorum* and *S. 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 submitting samples for salmonella serotyping. The form requires the following information:

- Submitter contact information including email, address, phone number, and fax number
- Personal number of the NVSL submitter
- Flock owner's city, State, and premises identification number
- Examinations requested
- Whether the samples were submitted from an NPIP participant
- Accession or referral number (assigned by the submitter for the submitter's reference)
- Method of payment for services
- Species or source of the animals in the flock
- Clinical role (purpose of samples — to confirm infection, monitor the flock, check the flock's environment, conduct research, or other)
- Specimen cultured:
 - Culture number
 - O group
 - Serotype
 - Phage type
- Additional comments
- Who submitted samples and date submitted
- NVSL technician who performed serotyping

If samples were sent to NVSL without this form, laboratory personnel could not identify the sample's flock of origin, or the disease for which the sample is to be tested.

Printing and Mailing Computerized Printouts

Hatchery operators who ship large numbers of small chick orders across the United States must provide computerized printouts containing all the information from the VS 9-3. The printout reduces the paperwork load. They 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 Forms 1-23 & 1-23A)

These forms record appraisals made and approved for payment to owners or claimants. The VS Form 1-23 is completed by either personnel from the State VS office or a Federal and State approved appraiser (usually a Federal employee) with input from the flock owner. It is signed by both the appraiser and the owner. It lists the owner's name and address, the number of animals for which the owner is seeking payment, and the appraised value of each animal. The owner's signature on this form indicates agreement with the appraised value of each animal. The owner must also certify whether the animals are subject to a mortgage. If there is a mortgage, the form must also be signed by each person holding a mortgage. By signing the form, each mortgage holder is consenting to the payment of indemnity to the owner or lien holder. The form is faxed to the regional office for approval and is kept on file in the local VS District office.

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 has studied and discussed making the VS Form 9-2 electronic. It hopes to do so once it settles privacy, security, and other outstanding issues with industry stakeholders and resolves how to handle logistical and other differences that need to be accounted for among the various laboratories involved in NPIP work. Additionally, sequester cuts and other government budget limitations have left APHIS with inadequate funding to build a database that will support an electronic VS Form 9-2.

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 on the APHIS Forms Library Web page at http://www.aphis.usda.gov/library/forms/pdf/VS_Form10_3.pdf.

Although APHIS is moving closer to universal use of e-Signature, the VS Form 9-9 cannot yet be automated because conversion of international trade forms to electronic signature takes priority over converting interstate forms like the VS Form 9-9.

APHIS hopes to provide other electronic information collection options associated with the activities in this collection once adequate funding can be obtained to build a database that will sustain electronic versions of the forms used. Budget limitations have cut information technology support for an NPIP database.

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 entry 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 collects is the minimum needed to protect the U.S. poultry population from communicable diseases. Approximately 5 percent of the respondents in this information are small entities.

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 could not 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.

- **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;**
- **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.**

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.

On Monday, July 7, 2014, page 38276-38277, 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. No comments from the public were received.

In 2014, APHIS engaged in productive consultations with the following individuals in connection with the information collection requirements associated with this program:

Dr. Shelly McKee
Director of Technical Services
USA Poultry & Egg Export Council
2300 West Park Place Blvd., Suite 100
Stone Mountain, GA 30087
Phone: (334) 750-2827
Email: Smckee@usapec.org

Dr. Eric Gonder, staff veterinarian
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Phone: (919) 778-3130, ext. 1239
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Dr. Gregorio A. Rosales
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Bill Mattos, President
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Modesto, CA 95356
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9. Explain any decision to provide any payment or gift to respondents, other than renumeration 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. Any and all information obtained in this collection shall not be disclosed except in accordance with 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 83-1.

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 plant workers, 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 \$3,326,478. APHIS arrived at this figure by multiplying the hours of estimated response time (104,311 hours) by the estimated average hourly wage of the above respondents (\$31.89).

The hourly rate is derived from the U.S. Department of Labor, Bureau of Labor Statistics May 2013 Report – Occupational Employment and Wages in the United States. See <http://www.bls.gov/news.release/pdf/ocwage.pdf>

Respondents:

Agricultural managers: \$35.45 (Flock owners, breeders, hatchery operators, and table egg producers)

Slaughterers and meat packers: \$11.99

Animal scientists: \$35.29 (Personnel at approved laboratories)

State veterinarians: \$44.83 (State personnel assisting with the program)

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, operation and maintenance expenditures, 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.

The annual cost to the Federal government is estimated to be \$1,688,794. (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-I.

ICR Summary of Burden:

	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	153,548	0	-13,365		0	166,913
Annual Time Burden (Hr)	104,311	0		+948	0	103,363
Annual Cost Burden (\$)		0	0	0	0	0

N

There is an adjustment of +7,297 respondents and -13,365 responses; there is also an overall increase of 948 burden hours. The total burden hours rose from 103,363 hours to 104,311 hours largely because of the increase in NPIP participation. VS NPIP staff has gone to electronic notification via the NPIP Web site. NPIP staff also no longer sends out letters to all NPIP participants, and no longer prints participant directories.

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 Flock and Meat-Type Chicken and Turkey Slaughter Plant Participation (VS Form 9-4) contains a summary of blood testing work and of flock participation by classes and breeding status. It is used to publish APHIS' Tables on Hatchery, Slaughter Plant, and Flock Participation, an important tool in monitoring the health status of NPIP 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.

The VS forms 9-2, 9-3, and 9-7 are serially numbered to track the shipment's movement for regulatory purposes. Therefore, APHIS is seeking approval to not display the OMB expiration date.

The VS form 9-5, 9-6, and 9-8 are 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. Therefore, APHIS is seeking approval to not display the OMB 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 on these forms.

The VS Forms 1-23 and 1-23A are used in 8 collections (0579-0007, 0579-0047, 0579-0101, 0579-0137, 0579-0185, 0579-0237, 0579-0192, and 0579-0208); 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 on these forms.

APHIS will display the expiration date on VS Forms 9-4, 9-9, and 10-3.

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.