

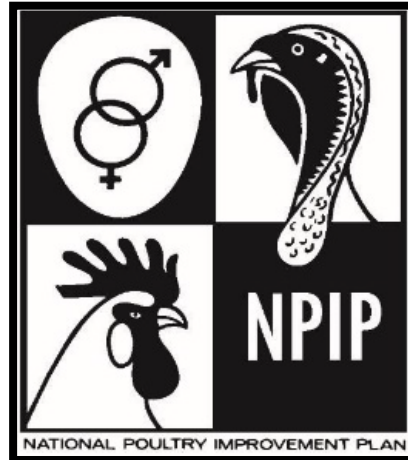
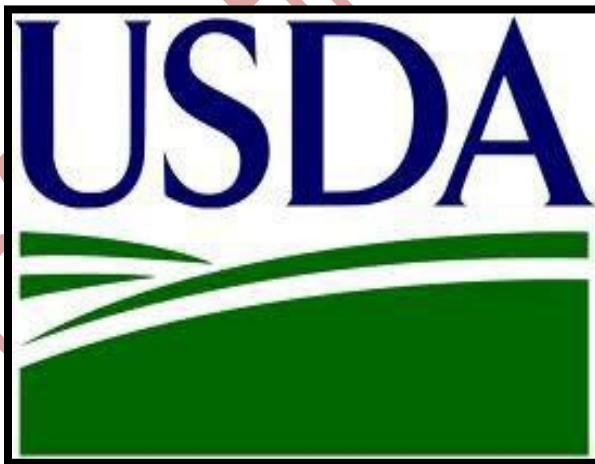
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# COMPARTMENTALIZATION FOR PROTECTION AGAINST Avian Influenza and/or Newcastle DISEASE IN PRIMARY POULTRY BREEDING COMPANIES IN THE UNITED STATES OF AMERICA

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Specifications for: Management Guidelines and Protocols

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*United States Department of Agriculture National Poultry Improvement Plan*

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## Additional Information

[9 CFR Part 145 Subpart G—Special Provisions for Primary Egg-Type Chicken Breeding Flocks and Products](#)

[9 CFR Part 145 Subpart H—Special Provisions for Primary Meat-Type Chicken Breeding Flocks and Products](#)

[9 CFR Part 145 Subpart D—Special Provisions for Turkey Breeding Flocks and Products](#)

[NPIP Program Standards Document](#)

[GSA FY Per-Diem Allowance](#)

[EPA Registered and Licensed Disinfectants](#)

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## Historical Background

The USDA-APHIS-National Poultry Improvement Plan (NPIP) is a disease surveillance and control program for the U.S. poultry industry. The NPIP was established to help control existing diseases incompatible with the growth and development of a modern poultry industry. APHIS added the avian influenza (AI) programs for breeding chickens and breeding turkeys to the NPIP in the 1990s. Prior to this time, only vertically transmitted diseases (*Salmonella Pullorum*, *Salmonella Gallinarum*, *Salmonella Enteritidis*, *Mycoplasma gallisepticum*, *Mycoplasma synoviae*, and *Mycoplasma meleagridis*) were included in the NPIP. However, when the poultry industry began to export large quantities of poultry genetic stock and poultry meat and eggs, major U.S. trading partners wanted assurances that the poultry and poultry products originated from breeding flocks free of AI. H5/H7 AI monitoring programs for commercial table-egg layers, broilers, and meat turkeys were added to the NPIP in 2006.

Today, the NPIP continues to provide assurance that poultry and poultry products originating in the United States are free of AI. Compliance with NPIP standards and subsequent Federal endorsement is required for interstate and international sale and distribution of commercial poultry breeding stock.

## Introduction

Regionalization is a procedure a country may implement to manage animal populations confined to a distinct geographical region within its territory for the purpose of disease control and international trade. In the event of a disease occurrence within a specific region, compartmentalization may become an option to maintain trade.

Compartmentalization is a procedure a country may implement to define and manage animal subpopulations of distinct health status and common biosecurity program within its territory, in accordance with the guidelines in the World Organization for Animal Health (OIE) Terrestrial Animal Health Code (hereinafter "Code"), for the purpose of disease control and international trade. Concepts of regionalization and compartmentalization are not mutually exclusive.

A compartment may be established with respect to a specific disease or diseases. A compartment should be clearly defined, indicating the location of all its components, including establishments as well as related functional units (such as feedmills, slaughter houses, rendering plants, etc.), their interrelationships, and their contribution to an epidemiological separation between the animals in a compartment and subpopulations with a different health status. The definition of a compartment may revolve around disease-specific epidemiological factors, animal production systems, biosecurity practices, infrastructural factors and surveillance. (Code, Chapter 4.4. – Application of Compartmentalization).

The current control and surveillance programs for participants for AI in the United States are AI Clean and H5/H7 AI Clean and can be found in the Title 9, Code of Federal Regulations (9 CFR) 145.43(g) (turkey breeding flocks), 145.73(f) (primary egg-type chicken breeding flocks), and 145.83(g) (primary meat-type chicken breeding flocks). The regulations at 9 CFR 145.45, 9 CFR 145.74, and 9 CFR 145.84 provide the basis for compartmentalization of poultry primary breeding companies.

The U.S. Avian Influenza and/or Newcastle Disease Clean Compartment and program is intended to allow the primary egg-type chicken (9 CFR 145.74(a)) and primary meat-type chicken (9 CFR 145.84(a)) breeding-hatchery industry to demonstrate the existence and implementation of a program approved by the Official State Agency (OSA) and APHIS to establish a compartment consisting of a primary breeding-hatchery company free of H5/H7 AI and/or Newcastle disease. This compartment protects the defined subpopulation and avoids the introduction and spread of AI and/or ND within that subpopulation by prohibiting contact with other commercial poultry operations, other domestic and wild birds, and other intensive animal operations.

The U.S. H5/H7 Avian Influenza and/or Newcastle Disease Clean Compartment program is intended to allow the primary turkey (9 CFR 145.45(a)) breeding-hatchery industry to demonstrate the existence and implementation of a program approved by the OSA and APHIS to establish a compartment consisting of a primary breeding-hatchery company free of H5/H7 AI and/or Newcastle disease. This compartment protects the defined subpopulation and avoids the introduction and spread of AI and/or ND within that subpopulation by prohibiting contact with other commercial poultry operations, other domestic and wild birds, and other intensive animal operations.

## Compartment Oversight

APHIS Veterinary Services National Import Export Services (NIES) will provide technical advice regarding international animal health standards and export risk mitigation to compartment program managers and participants. NIES also advocates for compartmentalization participants to build relationships with animal health and regulatory counterparts in other countries, explaining the program to foreign officials and developing bilateral and multilateral agreements with trading partners to accept imports of poultry from compartment participants.

The primary breeder company will define the compartment with respect to AI and/or ND. Specifically, the company will use a comprehensive biosecurity program to define the compartment as a subpopulation of poultry with an AI and/or ND health status separate from birds and poultry outside the compartment. The OSA and APHIS must first approve all documentation submitted by the company to substantiate the defined compartment as adequate to qualify for epidemiological separation from other potential sources of AI and/or ND infection.

## Compartment Requirements

1. A participant in good standing with the NPIP in two of the following programs:
  - U.S. Newcastle Disease Clean Program for Turkey Breeding Flocks (**9 CFR 145.43**).
  - U.S. H5/H7 Avian Influenza Clean Program for Turkey Breeding Flocks (**9 CFR 145.43**).
  - U.S. Newcastle Disease Clean Program for Primary Egg-Type Chicken Breeding Flocks (**9 CFR 145.73**).
  - U.S. Avian Influenza Clean Program for Primary Egg-Type Chicken Breeding Flocks (**9 CFR 145.73**).
  - U.S. Newcastle Disease Clean Program for Primary Meat-Type Chicken Breeding Flocks (**9 CFR 145.83**).
  - U.S. Avian Influenza Clean Program for Primary Meat-Type Chicken Breeding Flocks (**9 CFR 145.83**).
2. Compliant with all of the management procedures, physical requirements, and protocols found in this document, the *Code of Federal Regulations*, and the NPIP Program Standards document.
  - [NPIP Provisions](#)
  - [Program Standards document](#)
3. Located in a State or States with an APHIS-approved Initial State Response and Containment Plan (**9 CFR 56.10**).
4. Perform routine surveillance of all flocks within the compartment in a NPIP-authorized laboratory certified to test for AI and/or ND.
5. Flocks within the compartment may be vaccinated with a USDA licensed Newcastle disease vaccine or may be unvaccinated for Newcastle disease. All flocks have a routine serological monitoring program in place to monitor antibody response or freedom from ND if flocks are unvaccinated.
  - **For unvaccinated flocks:**
    - It is a primary breeding flock in which a minimum of 30 birds have been tested negative for ND using an approved test when more than 4 months of age. To retain this classification:
      - A sample of at least 30 birds must be tested negative at intervals of 90 days; OR
      - A sample of fewer than 30 birds may be tested, and found negative, at any one time if all pens are equally represented and a total of 30 birds is tested within each 90-day period; AND
    - During each 90-day period, all primary spent fowl, up to a maximum of 30, must be tested negative to ND within 21 days prior to movement to slaughter.
  - **For vaccinated flocks:**
    - It is a primary breeding flock that has been vaccinated with licensed vaccines, as described in §113.329, manufactured with low-virulence live strains during early stages of development up to grow-out, and killed vaccines as final vaccination no later than 6 weeks prior to onset of egg production; AND
    - The flock has been monitored for antibody response using approved serological tests as described in §145.14 and the results are compatible with immunological response against ND vaccination; AND



- Testing must include:
  - a minimum of 30 birds when birds are more than 4 months of age and not longer than every 90 days thereafter.

6. All companies participating in the compartment must be able to provide the following general management protocols (GMP) on request:

**GMP 1.** Biosecurity training for employees, contract staff, and visitors.

**GMP 2.** Biosecurity compliance agreement for employees, contract staff, and visitors.

**GMP 3.** Biosecurity risk assessment for each component of the compartment.

**GMP 4.** Cleaning, sanitation, and control of vehicles prior to entering biosecure areas.

**GMP 5.** General physical traits of each compartment component.

**GMP 6.** Detailed diagrammatic description for movement of people, vehicles, equipment, birds, and eggs between all components inside and outside the compartment.

**GMP 7.** Company Emergency Response Plan.

**GMP 8.** Veterinary Health Plan.

**GMP 9.** ND Vaccination Program if applicable.

**GMP 10.** ND Serological Monitoring Program for ND vaccinated or unvaccinated flocks.

## Compartment Application Process

To apply initially as a compartment, a company should complete and submit Application Form A: Compartment Registration and Application Form B: Component Registration. After Application Form A is reviewed and signed by the OSA and approved by the NPIP National Office, Application Form B will be reviewed. Once Application Form B has been reviewed and signed by the OSA and approved by the NPIP, an auditor is assigned. The auditor will assess and inspect all components. If all components pass inspection, NPIP will notify the company of the compartment certification and the list of certified components within the compartment. The company will also receive an official U.S. Avian Influenza and/or Newcastle Disease Clean Compartment certificate. For initial registration, each component within the compartment will be inspected by a certified auditor. Re-certification of components must take place every year, and the compartment is subject to audits of components specified by APHIS.

## Compartment Auditing Process

Auditing and oversight of compartments is a key element of the program. NIES will oversee the auditing process. After approval of the documentation submitted, a certified auditor assigned by the NPIP office will conduct an initial audit and inspection of both the office and field sites. Every component within the compartment will be subject to this audit. The compartment will only be approved after successful completion of the initial inspection and audit. All hatcheries, feedmills, and egg depots in approved compartments will be audited annually, and 25 percent of the farm components will be subject to annual audits. NIES will conduct a Compartmentalization Service Review every 4 years, examining all aspects of the program.

The auditing process ensures a successful compartment. For the companies involved, the process includes submission of an application, both office and field audits conducted by a certified auditor, NPIP reviews, recognition and approval of each component within the compartment, and re-qualification. Use of certified auditors ensures a successful process. A certified auditor is one who has met the requirements listed below:

- Must attend and successfully complete an official USDA-NPIP Auditor Compartment Training Course prior to conducting any audits, and become recertified at least once every 4 years thereafter.
- Must operate and conduct oneself with the highest code of ethics and must not have a conflict of interest with any of the companies which are compartmentalized or seeking compartment certification.
- Must be a U.S. licensed and accredited veterinarian who is board certified by the American College of Poultry Veterinarians (ACPV) and meets contract requirements set forth by APHIS, or must be a Federal Veterinary Medical Officer (VMO), preferably one with poultry experience.
- Must participate in or conduct at least one audit per calendar year to remain in good standing.

The purpose of the NPIP Auditor Compartment Training Course is threefold: To familiarize the auditors with the contents of this document as well as the official audit checklist of items and equip them to perform audits accurately and consistently, including conducting mock audits at farm, hatchery, feedmill, egg depot, and office sites; to expose auditors to the primary breeder industry and continually educate auditors on pertinent operational activities and important updates in technology within the poultry industry; and to emphasize the code of ethics in operating as a certified auditor for the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment Program. All auditors must pass an examination at the end of the Auditor Compartment Training Course to earn certified status.

## Compartment Suspension

The auditing process may highlight the need for certain components within certified compartments to correct deficiencies that could compromise the integrity of the certified compartment. If a component is found to have a minor noncompliance, the issue will be listed within the audit as requiring corrective action and the company given time deemed appropriate by the auditor to correct the problem. The auditor will revisit the component after the specified time to verify that the problem is fixed. If the company fails to correct the problem within the given time, the entire certified compartment will be suspended. If a minor noncompliance is found, documented, and not fixed within the specified time during the initial audit for a component seeking certification within the prospective compartment, that component within the prospective compartment will not be granted certification and must wait 30 days before re-applying using Application Form B.

If at any time a component within a certified compartment is found to have a major noncompliance, the entire compartment will be suspended immediately. Examples of major noncompliances include: 1) loss of NPIP U.S. Avian Influenza Clean status (for meat-type and egg-type breeders) or loss of the NPIP U.S. H5/H7 Avian Influenza Clean status (for turkey breeders) by failure to adequately test or by National Veterinary Services Laboratory (NVSL)-confirmed detection of HPAI in the certified compartment or loss of NPIP U.S. ND Clean status by failure to adequately test or by NVSL-confirmed detection of VND in the certified compartment, or failure to meet criteria as critical for AI and/or ND primary breeder surveillance; 2) failure to renew certification on time; 3) failure to satisfactorily remediate and apply appropriate, effective corrective measures to any documented minor non-compliance offenses; 4) loss of NPIP U.S. Newcastle Disease Clean status by failure to adequately test or by confirmed detection of ND in the certified compartment.

To regain certified compartment status after a compartment suspension, the entire suspended compartment, including each component within that compartment, must wait 30 days and then re-apply using Application Form A and Application Form B.

## Definitions

**Animal and Plant Health Inspection Service:** The Animal and Plant Health Inspection Service of the U.S. Department of Agriculture.

**Authorized laboratory:** Laboratory that meets the requirements of 9 CFR 147.52.

**Avian influenza:** An infection of poultry caused by any influenza A virus of the H5 or H7 subtypes or by any influenza A virus with an intravenous pathogenicity index (IVPI) greater than 1.2 (or as an alternative at least 75 percent mortality).

**Auditor:** An individual who has successfully met all requirements and is certified to conduct audits for U.S. AI and/or ND Clean and U.S. H5/H7 AI and/or ND Clean Compartments.

**Biosecure zone:** Zone of the compartment premises to which high biosecurity standards apply for the disease of concern. All personnel must undergo a whole body shower and change of clothing and footwear prior to entering the biosecure zone. A biosecure zone barrier must define the limits of the biosecure zone. The biosecure zone may include multi-age and multi-building premises in which personnel, visitors, and contractors follow all company-established procedures.

**Biosecure zone barrier:** Contains all or portions of the external walls of buildings or geographic structures that discourage human and animal traffic. Permanent structures that may consist of, at minimum height, 4-foot chain link fences that form the perimeter of and totally enclose the biosecure zone are adequate.

**Chicks:** Young poultry less than 72 hours from hatch.

**Classification:** A designation earned by participation in a Plan program.

**Company-established protocols/procedures/policies:** Written guidelines developed and implemented by companies to maintain applicable NPIP classification for AI and/or ND programs and to meet U.S. AI and/or ND Clean compartmentalization requirements.

**Compartmentalization:** A procedure which may be implemented by a country to define and manage animal subpopulations of distinct health status within its territory, in accordance with the recommendations in the OIE Terrestrial Animal Health Code (the Code), for the purpose of disease control and/or international trade.

**Component:** Any farm, feedmill, hatchery, or egg depot that will be included in a compartment.

**Contractor:** Third-party agent who performs a specific task or service for a compartment company. These agents are obligated to meet biosecurity requirements specified by the compartment company.

**Controlled access zone:** Area surrounding the biosecure zone which only authorized personnel or vehicles may enter. Unauthorized personnel, vehicle traffic, and livestock are not permitted within the controlled access zone. A gate is required and signage indicating that unauthorized entry is prohibited must be posted at the entrance to this zone.

**Department:** The United States Department of Agriculture.

**Egg Depot:** Temporary egg storage and holding facility.

**Equivalent requirements:** Requirements which are equal to or exceed the program, conditions, criteria, or classifications with which they are compared.

**Farm:** Area of land and associated buildings dedicated to housing and rearing poultry breeding stock.

**Feedmill:** Facility for manufacturing, storing, and distributing feed.

**Flock:** (1) As applied to breeding: All poultry of one kind of mating (breed and variety or combination of stocks) and of one classification on one farm; (2) As applied to disease control: All of the poultry on one farm, except that any group of poultry which is segregated from another group and has been so segregated for a period of at least 21 days may be considered as a separate flock.

**Hatching egg:** Fertilized poultry egg.

**High Pathogenicity Avian Influenza (HPAI):** Virus having an intravenous pathogenicity index in 6-week-old chickens greater than 1.2 or, as an alternative, causes at least 75 percent mortality in 4-to 8-week-old chickens infected intravenously. H5 and H7 viruses which do not have an intravenous pathogenicity index of greater than 1.2 or that cause less than 75 percent mortality in an intravenous lethality test should be sequenced to determine whether multiple basic amino acids are present at the cleavage site of the hemagglutinin molecule (HA0); if the amino acid motif is similar to that observed for other high pathogenicity AI isolates, the isolate being tested should be considered high pathogenicity AI virus.

**Hatchery:** Facility where eggs are temporarily stored, incubated, hatched, and distributed.

**High-risk period:** When AI and/or ND is reported in a State or within a 30-mile radius of a compartment facility. The high-risk period ends when any control zones are released.

**Livestock:** Farm animals (such as cows, horses, sheep, goats, pigs, etc.) kept, raised, and used by people.

**Livestock fence:** Permanent structure serving as a barrier to restrict access of livestock to a compartment facility.

**Low Pathogenicity Avian Influenza (LPAI):** All influenza A viruses of H5 and H7 subtype that are not HPAI viruses.

**Low risk period:** When AI and/or ND is not in the State or within a 30-mile radius of a compartment facility.

**Multi-age premises:** Premises where birds are of different ages present.

**Multi-building premises:** Premises where there is more than one house. Multi-building premises may also be operated as multi-age premises.

**National Poultry Improvement Plan:** A voluntary Federal disease control program for the poultry industry in the United States. Established in the early 1930's to provide a cooperative industry, State,

and Federal program through which new diagnostic technology can be effectively applied to improve poultry and poultry products throughout the country.

**Newcastle Disease:** Newcastle disease is defined by OIE for reporting an outbreak of NDV as an infection of poultry caused by a virus of avian paramyxovirus serotype 1 (APMV-1) that meets one of the following criteria for virulence: a. The virus has an intracerebral pathogenicity index (ICPI) in day-old chicks (*Gallus gallus*) of 0.7 or greater. Or b. Multiple basic amino acids have been demonstrated in the virus (either directly or by deduction) at the C-terminus of the F2 protein and phenylalanine at residue 117, which is the N-terminus of the F1 protein. The term 'multiple basic amino acids' refers to at least three arginine or lysine residues between residues 113 and 116. Failure to demonstrate the characteristic pattern of amino acid residues as described above would require characterization of the isolated virus by an ICPI test.

**NPIP Program Standards:** A document that contains tests and sanitation procedures approved by the Administrator in accordance with 9 CFR 147.53. This document may be obtained from the [NPIP website](#) or by writing to the National Poultry Improvement Plan, APHIS, USDA, 1506 Klondike Road, Suite 101, Conyers, GA 30094.

**Official State Agency:** The State authority recognized by the Department to cooperate in administering the Plan.

**Official Veterinarian:** Veterinarian employed or contracted by the Department.

**Plan:** The provisions of the National Poultry Improvement Plan.

**Poultry:** Domesticated fowl, including chickens, turkeys, ostriches, emus, rheas, cassowaries, waterfowl, and game birds, except doves and pigeons, which are bred for the primary purpose of producing eggs or meat.

**Poults:** Newly hatched turkeys.

**Primary breeding flock:** A flock composed of one or more generations maintained for the purpose of establishing, continuing, or improving parent lines.

**Primary egg-type chicken breeding flocks:** Foundation flocks composed of pedigree, great-grandparent, and grandparent stock developed for egg production and maintained for the principal purpose of producing multiplier breeding chicks used to produce table egg layers.

**Primary meat-type chicken breeding flocks:** Foundation flocks composed of pedigree, great-grandparent, and grandparent stock developed for meat production and maintained for the principal purpose of producing multiplier breeding chicks used to produce commercial broilers.

**Primary spent fowl:** Domesticated poultry that were in production of hatching eggs and have been removed from such production.

**Primary turkey breeding flocks:** Foundation flocks composed of pedigree, great-grandparent, and grandparent stock developed for meat production and maintained for the principal purpose of producing multiplier breeding poults used to produce commercial turkeys.

**Regionalization**: Recognition of geographical zones of a country that can be identified and characterized by their level of risk for specific diseases. These zones can cover entire countries or parts of countries. Adjacent zones of different countries having similar risk characteristics can be combined into international regions. The region must be clearly and effectively delineated by natural, artificial, or legal boundaries. The region must have a common control policy for the specific disease. There must be a uniform, effective system of epidemiological surveillance throughout the region.

**Sanitize**: To treat with a product which is registered and licensed by the Environmental Protection Agency (EPA) for the disease of concern in accordance with the specifications for use as shown on the label of each product.

**Service**: The Animal and Plant Health Inspection Service of the Department.

**Show**: Process of cleansing, which includes first removing personal clothing and shoes in a designated (dirty) area, then washing with soap one's whole body and hair thoroughly under a stream of water, and then donning clean, company-provided, premises-specific clothing and footwear, in the biosecure zone (clean area). This process must follow the compartment company established policies.

**Started chickens**: Young chickens (chicks, pullets, cockerels, capons) which have been fed and watered and are less than 6 months of age.

**State**: Any State or U.S. territory, including the District of Columbia.

**State Inspector**: Any person employed or authorized under 9 CFR 145.11(b) to perform functions under that part.

**Stock**: The progeny of a specific breeding combination within a species of poultry. These breeding combinations may include pure strains, strain crosses, breed crosses, or combinations thereof.

**Strain**: Exclusive group of birds bred with a certain emphasis on specific traits.

**Succeeding flock**: A flock brought onto premises during the 12 months following removal of a flock.

**Visitor**: Individual who enters a premises who is not employed or contracted by the compartment company to work at those premises as his or her principal work location.



## Acronyms

- **AI**-Avian Influenza
- **AIV**-Avian Influenza Virus
- **APHIS**-Animal and Plant Health Inspection Service
- **CFR**-Code of Federal Regulations
- **EDMP**-Egg Depot Management Protocols
- **EPA**-Environmental Protection Agency
- **FMP**-Farm Management Protocols
- **FMMP**-Feedmill Management Protocols
- **GMP**- General Management Protocols
- **HMP**-Hatchery Management Protocols
- **HRP**-High-Risk Period
- **HPAI**-Highly Pathogenic Avian Influenza
- **LPAI**-Low Pathogenicity Avian Influenza
- **LRP**-Low Risk Period
- **NIES**-National Import Export Services
- **NPIP**-National Poultry Improvement Plan
- **NVSL**-National Veterinary Services Laboratory
- **ND**-Newcastle Disease
- **NDV**-Newcastle Disease Virus
- **OSA**-Official State Agency
- **PSD**-Program Standards Document
- **ISRCP**-Initial State Response and Containment Plan
- **OIE**-World Organization for Animal Health
- **USDA**-United States Department of Agriculture
- **VS**-Veterinary Services

## Farm Design, Physical Requirements, and Management Procedures

*For each requirement and procedure in this section, written biosecurity protocols must be on record for periods of low risk and high risk (when applicable). Training of all affected personnel implementing these protocols must be documented. Compliance with these protocols must be recorded.*

### Physical Requirements

- Farm must be separated from livestock (if present) by a livestock fence.
- Signs prohibiting unauthorized entry must be posted at the entrances to the controlled access zone and the biosecure zone to exclude unauthorized personnel and vehicles.
- Buildings and water systems are designed and built to deter and prevent entry of wildlife, pests, and companion animals.
- Each entrance to the biosecure zone should be locked or controlled at all times.
- A biosecure zone barrier must surround the biosecure zone of each farm to exclude unauthorized personnel and vehicles.
- Buildings within the biosecure zone must be constructed of materials that are durable and moistureproof and that can withstand routine cleaning and disinfection.
- Egg holding rooms must have barriers in place to prevent unauthorized entry.

### Management Procedures

- Authorized personnel may enter the controlled access zone and biosecure zone after meeting company-established sanitation procedures.
- Authorized vehicles may enter the controlled access zone after meeting company established sanitation procedures. There may be dedicated vehicles that do not leave the controlled access zone.
- Authorized vehicles may enter the biosecure zone after meeting company-established procedures for cleaning and sanitizing the interior and exterior of the vehicle.
- Authorized personnel must follow company protocols and procedures and meet all biosecurity requirements for employment or contractual agreement before entry into the biosecure zone:
  - ✧ Company employees (and household members) and contract staff cannot own any birds.
  - ✧ Company employees and contract staff should avoid contact with birds outside the compartment and/or must comply with company policies related to downtime and quarantine.
  - ✧ Company employees and contract staff must receive annual, documented biosecurity training.
- All visitors must meet a minimum 24-hour downtime from contact with non- compartment birds (including a shower and change of clothing) and be authorized by following company-established procedures. All visitors must sign a declaration stating date of last bird contact.
- A whole-body shower and a change of clothing and footwear are required to enter the biosecure zone.
- All personnel and visitors must follow company-established policy regarding personal items and food.
- All personnel and visitors entering the biosecure zone must log in.
- Procedures must be in place to prevent entry from the egg room into the biosecure zone.
- Supplies and goods coming into the biosecure zone should undergo company-established sanitation procedures. Tools and equipment coming into the biosecure zone must undergo company-established

- cleaning and disinfection procedures.
- Programs for vermin, wild birds, insects, and rodent control must be in place.
  - Vegetation must be properly maintained according to company-established protocols.
  - Surface water must not be used for any purpose. Treated well or municipal water must be used.
  - Bedding materials must be obtained from a company-approved supplier. Suitable storage of bedding materials should prevent access from pests and wild birds.
  - Any feed spills must be removed following company-established procedures.
  - Daily mortality, biological waste, and cull eggs must be disposed of according to the company's biosecurity plan and in compliance with local environmental regulations.
  - Record keeping and health program:
    - ✧ Daily production and mortality records must be kept according to company-established policies.
    - ✧ Unexplained increases in mortality and other clinical signs of disease must be investigated in compliance with the company veterinary health plan.
  - All hatching eggs/chicks/poults and bird movement:
    - ✧ Hatching eggs are sanitized with an approved disinfectant at the farm, hatchery, or egg depot.
    - ✧ All vehicles, equipment, and personnel involved in moving hatching eggs/chicks/poults within the compartment must comply with company-established sanitation and biosecurity procedures.
    - ✧ Hatching egg/chick/poult transport personnel must be trained and meet company-established biosecurity protocols. Drivers must wear company-provided clothing and footwear.
    - ✧ Records tracing the origin and production dates of all hatching eggs/chicks/poults must be kept.
  - Bird movement within the compartment:
    - ✧ When birds are moved between premises within the compartment, a flock must test AI negative within 21 days prior to movement. Day-old chicks/poults must be derived from NPIP AI Clean Program source flocks.
    - ✧ Birds must originate from flocks that were vaccinated for NDV using licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination OR if unvaccinated, flocks have tested negative to ND.
  - Bird movement into the compartment:
    - ✧ Day old chicks/poults originating outside the compartment must be derived from a source flock that has tested negative for AI within 21 days of shipment. A minimum of 30 samples per source flock must be tested using an approved NPIP assay. The source flocks must participate in a national AI plan equivalent to the NPIP.

- ✧ Pullets, cockerels, and adult birds originating outside the compartment must have tested negative for AI within 21 days of shipment. A minimum of 30 samples per flock must be tested by serology and 15 samples by antigen detection. Flocks must be inspected by an official veterinarian or designee within 30 days of movement.
- ✧ Birds must originate from flocks that were vaccinated for NDV using licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination OR if unvaccinated, flocks have tested negative to ND.
- Flock depletion and house sanitation:
  - ✧ Flocks to be depleted must test AI negative within 21 days prior to movement.
  - ✧ Flocks to be depleted must be inspected by an accredited veterinarian or designated individual under their supervision within 21 days prior to flock depletion.
  - ✧ The removal of birds and litter must follow company-established biosecurity and sanitation procedures. Cleaning and disinfection of the houses following depletion must adhere to company-established procedures.
  - ✧ Depletion of multi-age and/or multi-building premises requires appropriate company-established procedures to ensure biosecurity.
- Restocking of farm:
  - ✧ Introduction of new bedding material and bird restocking will only be allowed after trained company employees ensure that cleaning and disinfection have been performed to meet the company-established procedures. Introduction of new bedding during the flock cycle should be done in accordance with company-established procedures.
- Vaccination and serological monitoring programs for Newcastle disease:
  - ✧ Unvaccinated Flocks:
    - It is a primary breeding flock in which a minimum of 30 birds have been tested negative for ND using an approved test when more than 4 months of age. To retain this classification:
      - A sample of at least 30 birds must be tested negative at intervals of 90 days; OR
      - A sample of fewer than 30 birds may be tested, and found negative, at any one time if all pens are equally represented and a total of 30 birds is tested within each 90-day period; AND
      - During each 90-day period, all primary spent fowl, up to a maximum of 30, must be tested negative to ND within 21 days prior to movement to slaughter.
  - ✧ Vaccinated Flocks:
    - It is a primary breeding flock that has been vaccinated with licensed vaccines, as described in §113.329, manufactured with low-virulence live strains during early stages of development up to grow-out, and killed vaccines as final vaccination no later than 6 weeks prior to onset of egg production; AND
    - The flock has been monitored for antibody response using approved serological tests as described in §145.14 and the results are compatible with immunological response against ND vaccination; AND
    - Testing must include:
      - A minimum of 30 birds when birds are more than 4 months of age and not longer than every 90 days thereafter.

## Required Farm Design, Physical Requirements, and Management Protocols (FMP)

**FMP 1.** Site plan for each farm in the compartment which shows the physical characteristics of the component.

**FMP 2.** Farm specifications: Fencing, signage, and construction.

**FMP 3.** Farm biosecurity.

**FMP 4.** Entry of staff, visitors, and vehicles into the controlled access zone.

**FMP 5.** Entry of staff and visitors into the biosecure areas (shower, login).

**FMP 6.** Production and mortality monitoring records.

**FMP 7.** Entry of supplies, bedding, and equipment into biosecure areas.

**FMP 8.** Farm depletion, sanitation, and restocking.

**FMP 9.** Movement of birds and eggs into the compartment.

**FMP 10.** Movement of birds and eggs within the compartment.

**FMP 11.** Movement of birds and eggs out of the compartment.

**FMP 12.** Pest and wildlife management and control.

**FMP 13.** Mortality and biological waste disposal.

## Feedmill Design, Physical Requirements, and Management Procedures

*For each requirement and procedure in this section, written biosecurity protocols must be on record for periods of low risk and high risk (when applicable). Training of all affected personnel implementing these protocols must be documented. Compliance with these protocols must be recorded.*

### Physical Requirements

- Feedmill must be separated from livestock (if present) by a livestock fence.
- Signs prohibiting unauthorized entry must be posted at the entrance to the controlled access zone or entry gate of the premises to exclude unauthorized personnel and vehicles.
- Feedmill must have a gate at the entrance of the controlled access zone or premises.
- Feedmill must be designed and built to deter and prevent entry of wildlife, pests, and companion animals.
- Feedmill must be constructed of materials that are durable and moistureproof and that can withstand routine cleaning and disinfection.

### Management Procedures

- Authorized personnel and vehicles may enter the controlled access zone after meeting company-established sanitation procedures.
- Authorized personnel must follow company protocols, procedures, and meet all biosecurity requirements for employment or contractual agreement before entry into the feedmill:
  - ✧ Company employees (and household members) and contract staff cannot own any birds.
  - ✧ Company employees and contract staff should avoid contact with birds outside the compartment and/or must comply with company policies related to downtime and quarantine.
  - ✧ Company employees and contract staff must receive annual, documented biosecurity training.
- All visitors must meet company-established procedures before entering the feedmill.
- All visitors must sign a declaration stating date of last bird contact.
- All personnel and visitors must follow company-established policy regarding personal items and food.
- All personnel and visitors entering the controlled access zone must log in.
- Programs for vermin, wild birds, insects, and rodent control must be in place. Procedures should be documented and recorded.
- Vegetation must be properly maintained according to company-established protocols.
- Surface water must not be used for any purpose. Treated well or municipal water must be used.
- Finished feed must undergo a company-established treatment procedure prior to storage and distribution.
- Spills of any feed ingredient and/or finished feed must be removed following company-established procedures.
- All feedmills must have company-established protocols for separation of raw ingredients and finished feed.
- All feedmills must have company-established protocols for cleaning and disinfection.
- Feed delivery vehicles and personnel must comply with company-established biosecurity and sanitation policies for compartment and non-compartment premises deliveries.

- If a contract feedmill is used by the company, it must meet all physical requirements and management and manufacturing protocols listed above. A signed contract, which includes these details, must be available for inspection. Feed truck drivers and vehicles should be dedicated to the compartment. However, if feed is delivered to a non-compartment component, the vehicle and driver must undergo company-established cleaning and sanitation protocols before new delivery of feed into the compartment premises.

### **Required Feedmill Design, Physical Requirements, and Management Protocols (FMMP)**

**FMMP 1.** Site plan for each feedmill in the compartment which shows the physical characteristics of the component.

**FMMP 2.** Feedmill specifications: Signage and construction.

**FMMP 3.** Feedmill biosecurity.

**FMMP 4.** Entry of staff and visitors into the controlled access zone (login).

**FMMP 5.** Manufacturing of feed.

**FMMP 6.** Separation and storage of raw ingredients and finished feed.

**FMMP 7.** Delivery of feed: Vehicles and drivers.

**FMMP 8.** Pest and wildlife management and control.

**FMMP 9.** Feed ingredient/finished feed spillage cleanup.

## Hatchery Design, Physical Requirements, and Management Procedures

*For each requirement and procedure in this section, written biosecurity protocols must be on record for periods of low risk and high risk (when applicable). Training of all affected personnel implementing these protocols must be documented. Compliance with these protocols must be recorded.*

### Physical Requirements

- Hatchery must be separated from livestock (if present) by a livestock fence.
- Signs prohibiting unauthorized entry must be posted at the entrances to the controlled access zone and the biosecure zone to exclude unauthorized personnel and vehicles.
- Hatchery must have a gate at the entrance of the controlled access zone or have a controlled entry point to the hatchery. Hatchery office and egg/chick/poult loading docks may be considered part of the controlled access zone. The remainder of the hatchery is considered the biosecure zone.
- Hatchery must be designed and built to deter and prevent entry of wildlife, pests, and companion animals.
- A biosecure zone barrier must surround the biosecure zone of the hatchery to exclude unauthorized personnel and vehicles.
- Each entrance to the biosecure zone should be locked or controlled at all times.
- Hatchery must be constructed of materials that are durable and moistureproof and can withstand routine cleaning and disinfection.
- Receiving/shipment area should be an enclosed area that undergoes company-established cleaning and disinfection procedures.
- Receiving/holding rooms must have barriers to prevent unauthorized entry into the biosecure zone.

### Management Procedures

- Authorized personnel may enter the controlled access zone and biosecure zone after meeting company-established sanitation procedures.
- Authorized vehicles may enter the controlled access zone after meeting company-established sanitation procedures.
- Authorized vehicles can enter the biosecure zone only after meeting company-established cleaning and sanitizing procedures for the interior and exterior of the vehicle.
- Authorized personnel must follow company protocols and procedures and meet all biosecurity requirements for employment or contractual agreement before entry into the biosecure zone:
  - ✧ Company employees (and household members) and contract staff cannot own any birds.
  - ✧ Company employees and contract staff should avoid contact with birds outside the compartment and/or must comply with company policies related to downtime and quarantine.
  - ✧ Company employees and contract staff must receive annual, documented biosecurity training.
- All visitors must meet a minimum 24-hour downtime from contact with non-compartment birds (including a shower and change of clothing) and be authorized by following company-established procedures.
- All visitors must sign a declaration stating date of last bird contact.



- A whole-body shower and a change of clothing and footwear are required to enter the biosecure zone.
- All personnel and visitors must follow company-established policy regarding personal items and food.
- All personnel and visitors entering the biosecure zone must log in.
- Procedures must be in place to prevent entry from the egg receiving area into the biosecure zone.
- Supplies and goods coming into the hatchery should undergo company-established sanitation procedures. Tools and equipment must undergo company-established cleaning and disinfection procedures.
- Programs for vermin, wild birds, insects, and rodent control must be in place. Procedures should be documented and recorded.
- Vegetation must be properly maintained according to company-established protocols.
- Surface water must not be used for any purpose. Treated well or municipal water must be used.
- Biological waste, hatchery residue, and cull eggs must be disposed of according to the company's biosecurity plan and in compliance with local environmental regulations.
- All hatcheries must have company-established protocols for cleaning and disinfection.
- Hatchery egg and chick/poult identification and traceability records:
  - ✧ Records tracing the origin and production dates of all hatching eggs and chicks/poults in the hatchery must be kept.
- All hatching egg/chick/poult movement:
  - ✧ Hatching eggs are sanitized with an approved disinfectant at the hatchery, farm or egg depot.
  - ✧ All vehicles, equipment, and personnel involved in moving hatching eggs/chicks/poults within the compartment must comply with company-established sanitation and biosecurity procedures.
  - ✧ Hatching egg/chick/poult transport personnel must be trained and meet company-established biosecurity protocols. Drivers must wear company-provided clothing and footwear.
  - ✧ Records tracing the origin and production dates of all hatching eggs/chicks/poults must be kept.
- Hatching egg movement into the compartment:
  - ✧ Hatching eggs originating outside the compartment must be derived from a source flock that has tested negative for AI within 21 days of shipment. A minimum of 30 samples per source flock must be tested using an approved NPIP assay. The source flocks must participate in a national AI plan equivalent to the NPIP.

- ✧ Hatching eggs must originate from flocks that were vaccinated for NDV using licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If source flocks were not vaccinated for NDV, they must test negative to ND.
- Hatching egg movement within the compartment:
  - ✧ When hatching eggs are moved between premises within the compartment, they must be derived from NPIP AI Clean Program source flocks.
  - ✧ Hatching eggs must originate from flocks that were vaccinated for NDV using licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If source flocks were not vaccinated for NDV, they must test negative to ND.
- Day-old chick/poult movement within the compartment:
  - ✧ Day-old chicks/poults must be derived from NPIP AI Clean Program compartment source flocks or otherwise qualified flocks that have equivalent requirements to be brought in from outside the compartment.
  - ✧ Reusable equipment that returns to the hatchery (such as chick/poult boxes used to deliver day-old chicks/poults) must be cleaned and disinfected.
  - ✧ Birds must originate from flocks that were vaccinated for NDV using licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If source flocks were not vaccinated for NDV, they must test negative to ND.
- Hatching egg/chick/poult movement out of the compartment:
  - ✧ Any reusable equipment which returns to the hatchery must be cleaned and disinfected.

### Required Hatchery Design, Physical Requirements, and Management Protocols (HMP)

**HMP 1.** Site plan for each hatchery in the compartment which shows the physical characteristics of the component.

**HMP 2.** Hatchery specifications: Fencing, signage, and construction.

**HMP 3.** Hatchery biosecurity.

**HMP 4.** Entry of staff and visitors into the biosecure areas (shower and login).

**HMP 5.** Entry of supplies and equipment into biosecure areas.

**HMP 6.** Entry of staff, visitors, and vehicles into the controlled access zone.

**HMP 7.** Chick/poult delivery: Washing and disinfection (vehicle, personnel, boxes).

**HMP 8.** Hatchery egg and chick/poult identification and traceability records.

**HMP 9.** Hatching egg movement into the compartment.

**HMP 10.** Chick/poult and hatching egg movement within the compartment.

**HMP 11.** Chick/poult and hatching egg movement out of the compartment.

**HMP 12.** Hatchery sanitation.

**HMP 13.** Hatching egg sanitation.

**HMP 14.** Pest and wildlife management and control.

**HMP 15.** Chick/poult delivery and hatching egg pickup.

## Egg Depot Design, Physical Requirements, and Management Procedures

*For each requirement and procedure in this section, written biosecurity protocols must be on record for periods of low risk and high risk (when applicable). Training of all affected personnel implementing these protocols must be documented. Compliance with these protocols must be recorded.*

### Physical Requirements

- Egg depot must be separated from livestock (if present) by a livestock fence.
- Signs prohibiting unauthorized entry must be posted at the entrance to the controlled access zone to exclude unauthorized personnel and vehicles.
- Egg depot must have a gate at the entrance of the controlled access zone.
- Egg depot must be designed and built to deter and prevent entry of wildlife, pests, and companion animals.
- Egg depot must be constructed of materials that are durable and moistureproof and that can withstand routine cleaning and disinfection.
- Egg receiving/shipment area should be an enclosed area that is part of the controlled access zone.
- Egg receiving/holding rooms must have barriers in place to prevent unauthorized entry.

### Management Procedures

- Authorized personnel and vehicles may enter the controlled access zone after meeting company-established sanitation procedures.
- Authorized personnel must follow company protocols and procedures and meet all biosecurity requirements for employment or contractual agreement before entry into the egg depot:
  - ✧ Company employees (and household members) and contract staff cannot own any birds.
  - ✧ Company employees and contract staff should avoid contact with birds outside the compartment and/or must comply with company policies related to downtime and quarantine.
  - ✧ Company employees and contract staff must receive annual, documented biosecurity training.
- All visitors must sign a declaration stating date of last bird contact.
- All visitors must meet a minimum 24 hour downtime from contact with non-compartment birds of one night or as specified by company-established visitor requirements and be authorized by following company-established procedures.
- All personnel and visitors must follow company-established policy regarding personal items and food.
- All personnel and visitors entering the egg depot must log in.
- Procedures and barriers must be in place to prevent entry from the egg receiving area into the egg depot.
- Programs for vermin, wild birds, insects, and rodent control must be in place. Procedures should be documented and recorded.
- Vegetation must be properly maintained according to company-established protocols.
- Surface water must not be used for any purpose. Treated well or municipal water must be used.
- Biological waste, egg depot residue, and cull eggs must be disposed of according to the company's biosecurity plan and in compliance with local environmental regulations.
- All egg depots must have company-established protocols for cleaning and disinfection.

- Egg depot identification and traceability records:
  - Records tracing the origin of all hatching eggs and production dates in the egg depot must be kept.
- All hatching egg movement:
  - ✧ Hatching eggs are sanitized with an approved disinfectant at the farm, hatchery or egg depot.
  - ✧ All vehicles, equipment, and personnel involved in moving hatching eggs/chicks/poults within the compartment must comply with company-established sanitation and biosecurity procedures.
  - ✧ Hatching egg transport personnel must be trained and meet company-established biosecurity protocols. Drivers must wear company-provided clothing and footwear.
  - ✧ Records tracing the origin and production dates of all hatching eggs must be kept.
- Hatching egg movement into the compartment:
  - ✧ Hatching eggs originating outside the compartment must be derived from a source flock that has tested negative for AI within 21 days of shipment. A minimum of 30 samples per source flock must be tested using an approved NPIP assay. The source flocks must participate in a national AI plan equivalent to the NPIP.
  - ✧ Hatching eggs must originate from flocks that were vaccinated for NDV using licensed NDV vaccines and compliant with a program to evaluate serological response to NDV vaccination. If source flocks were not vaccinated for NDV, they must test negative to ND.
- Hatching egg movement within the compartment:
  - ✧ Egg receiving/shipment dock must undergo routine company-established cleaning and disinfection procedures.
  - ✧ When hatching eggs are moved between premises within the compartment they must be derived from NPIP AI Clean Program source flocks.
  - ✧ Hatching eggs must originate from flocks that were vaccinated for NDV using licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If source flocks were not vaccinated for NDV, they must test negative to ND.
- Hatching egg movement out of the compartment:
  - ✧ Any reusable equipment returning to the egg depot must be cleaned and disinfected.

## Required Egg Depot Design, Physical Requirements, and Management Protocols (EDMP)

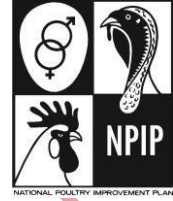
- EDMP 1.** Site plan for each egg depot in the compartment which shows the physical characteristics of the component.
- EDMP 2.** Egg depot specifications: Fencing, signage, and construction.
- EDMP 3.** Egg depot biosecurity.
- EDMP 4.** Entry of staff and visitors into the egg depot (login, change of clothing).
- EDMP 5.** Chick/poult delivery: Washing and disinfection (vehicle, personnel, boxes)
- EDMP 6.** Hatchery egg identification and traceability records.
- EDMP 7.** Egg movement into the compartment.
- EDMP 8.** Egg movement within the compartment.
- EDMP 9.** Egg movement outside the compartment.
- EDMP 10.** Egg depot sanitation.
- EDMP 11.** Hatching egg sanitation.
- EDMP 12.** Pest and wildlife management and control.
- EDMP 13.** Egg pickup and delivery.

## Required High-Risk Period Biosecurity and Management Protocols (HRP)

- HRP 1.** Non-essential visitation and delivery policy.
- HRP 2.** Regional poultry industry meeting attendance.
- HRP 3.** Enhanced communication system for company employees, contract growers, and suppliers.
- HRP 4.** 48-hour testing prior to movement/depletion of poultry.
- HRP 5.** Alternate transport and service vehicle driving routes.
- HRP 6.** Reduced vehicle movement and non-essential parking policy.
- HRP 7.** Enhanced vehicle cleaning and disinfection.
- HRP 8.** Use, cleaning, and disinfection of tools and equipment.
- HRP 9.** Increased downtime after contact with non-compartment birds.
- HRP 10.** Bird hunting policy for employees and contract growers.
- HRP 11.** Reporting of increased mortality and egg production drops by veterinarians and live production.
- HRP 12.** 48-hour testing prior to moving litter/manure from premises with birds present.
- HRP 13.** Controlled access zone entr



## Appendix A: NPIP Avian Influenza and/or Newcastle Disease Compartmentalization Application Forms



**Thank you for your application for NPIP Avian Influenza and/or Newcastle Disease compartmentalization. Below are the next steps to expect after completion of your Compartmentalization Application Forms. “You” refers to the person listed in the contact section of the application form.**

### **Term Definitions:**

**Registered/Registration:** A compartment or component that has had initial applications approved.

**Certified/Certification:** A compartment or component that has been through the audit process and successfully passed.

### **FIRST TIME APPLICANTS:**

If you have completed and submitted **Application Form A (Compartment Registration)**, the NPIP Office will review your application form. If the NPIP determines that your application is satisfactory, you will be approved for compartment registration. However, you will not have any components within the compartment, so you will be asked to complete **Application Form B**, which shows in detail each component you intend to add to the registered compartment for which you are seeking certification.

Once you have completed and submitted **Application Form B (Component Registration)**, the NPIP Office will review your application form. If the NPIP determines that your application is satisfactory, it will assign an *Auditor*. The auditor will contact you and will request a meeting to set up details for reviewing in more depth each piece of documented information as listed in the *Prerequisites* section of **Application Form A** and **Application Form B**. This initial audit contact may include, but will not necessarily be limited to, a phone interview, document sharing in person or via a secure connection, and a site visit. *\*Note that for initial compartment registration, all components require a site inspection.* Only after an approved Application Form A and an approved Application Form B, which REGISTER both the compartment and the component, as well as a passing score from the auditor, will both the registered compartment and the registered components within the compartment become CERTIFIED.

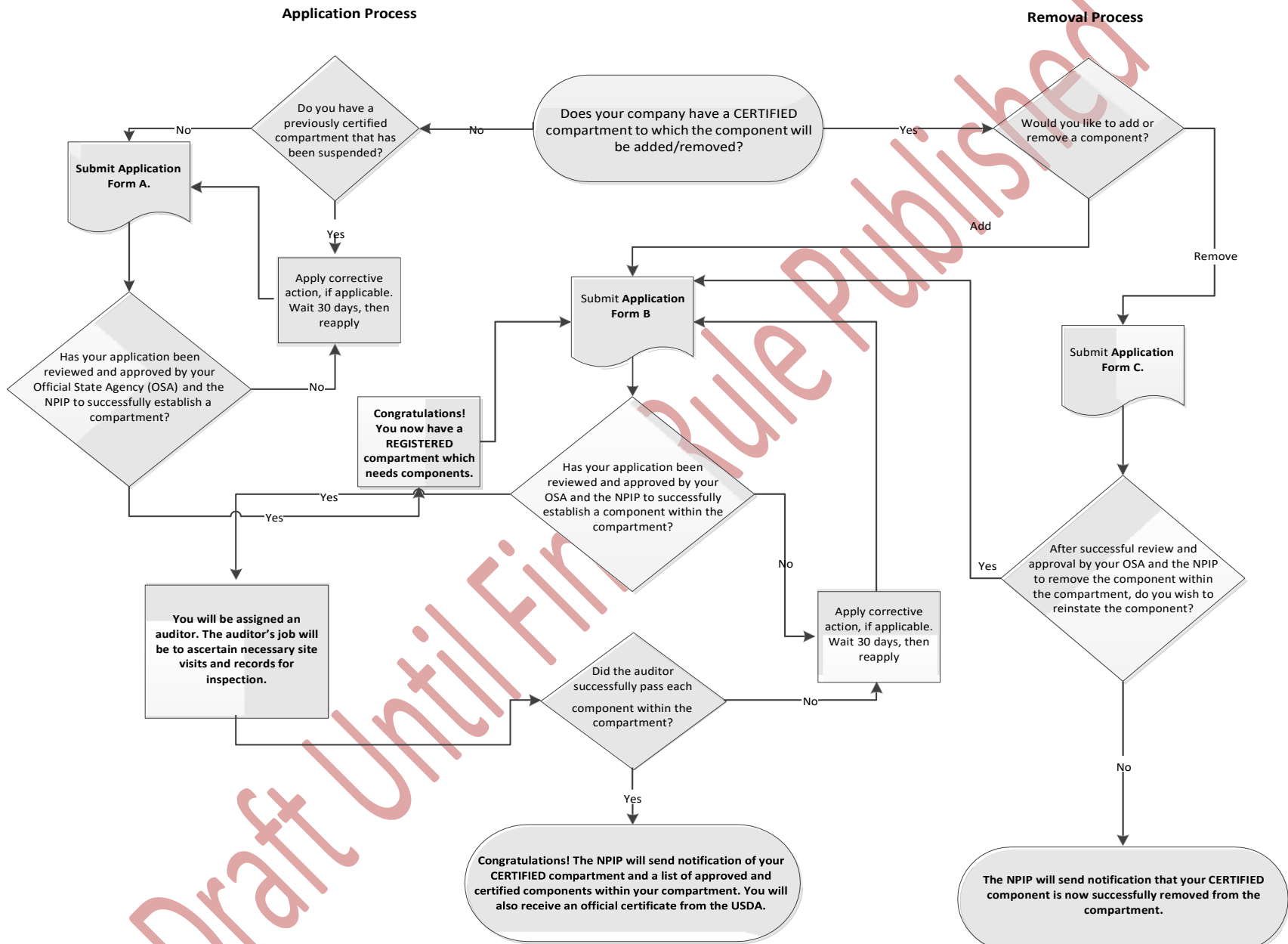
### **CERTIFIED COMPARTMENT USERS:**

If your compartment with the USDA has been successfully certified and you wish to add a new component to your compartment, reinstate a previously removed component to the compartment, or recertify your previously suspended component of the compartment, complete **Application Form B**. If you have a certified compartment with the USDA and wish to remove a certified component from your compartment, complete **Application Form C (Component Removal)**.

The same procedure listed above for first-time users will apply for the addition of a new component, after successful completion of **Application Form B**. If, after you have completed and submitted **Application Form C**, the NPIP Office determines that your application is satisfactory, you will be sent notification of removal of the desired component. If you wish to reinstate the removed component, you will need to complete **Application Form B**.

Draft Until Final Rule Published

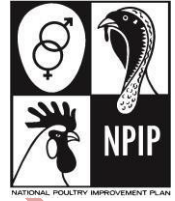
## Appendix B: Application and Removal Processes







## Appendix C: Application Form A: U.S. Avian Influenza and/or Newcastle Disease Clean Compartment Registration



*Instructions: Step 1: Applicants, please complete Sections A and B and certify application with signature on pg. 3. Step 2: Send Form A to the OSA which completes Section C and signs. Step 3: OSA returns form to NPIP. Note: If you are using Form A to comply with recertification requirements and none of the information in Sections A or B has changed since initially applying, please complete only Section A and proceed to Step 2. Disclaimer: This form may be simultaneously submitted with Application Form B: Component Registration. However, Application Form B will not be reviewed until Application Form A has been reviewed and approved.*

### **A: Background Information.** *To be completed by company seeking certification.*

Name of Company	
Company Mailing Address	
Name of Contact	
Telephone Number	
Alternate Telephone Number	
Fax Number	
Email Address	
NPIP Classification	U.S. AI Clean <input type="checkbox"/> U.S. H5/H7 AI Clean <input type="checkbox"/> U.S. ND Clean <input type="checkbox"/>
Breed/Type of Poultry	
NPIP Classification Seeking	
Compartment Mailing Address	
Compartment Location (List States Involved)	
Name of Compartment	
Anticipated Type of Components (F, M, H, and E) to add within Compartment	Farm <input type="checkbox"/> Feedmill <input type="checkbox"/> Hatchery <input type="checkbox"/> Egg Depot <input type="checkbox"/>

### **B: Prerequisites.** *To be completed by company seeking certification.*

*To be eligible for certification as a compartment, all of the protocols listed below and supporting documents must be available and ready for presentation to the compartmentalization auditors. Refer to the **Compartmentalization for Protection Against Avian Influenza and/or Newcastle Disease in Primary Poultry Breeding Companies in the United States of America; Specifications for Management Procedures, Physical Requirements and Protocols** for more details.*

Please place a check mark by the answer that applies.

General Management Protocols		
For each component, have you met all of the required specifications for management procedures and physical requirements; do you have the necessary protocols and documentation as specified in the Compartmentalization for Protection Against Avian Influenza and/or Newcastle Disease in Primary Poultry Breeding Companies in the U.S.A. and further, do you have documentation outlining the following items?	Yes	No
Biosecurity training for employees, contract staff, and visitors		
Biosecurity compliance agreement for employees, contract staff, and visitors		
Biosecurity risk assessment for each component of the compartment		
Cleaning, sanitation, and control of vehicles prior to entering biosecure areas		
General physical traits of each compartment component (Farms, Feedmills, Hatcheries, Egg Depots and Offices), including physical address with GPS location		
Detailed diagrammatic description for movement of people, vehicles, equipment, birds, and eggs between all components inside and outside the compartment		
Company Emergency Response Plan		
Veterinary Health Plan		
NDV Vaccination Program		
NDV Testing Program for NDV vaccinated or unvaccinated flocks		

**C. Questionnaire.** To be completed by each Official State Agency

Please place a check mark by the answer that applies.

	Yes	No
Is the company seeking certification in the U.S. H5/H7 Avian Influenza and/or Newcastle Disease Clean Compartment program a participant in good standing with the NPIP: U.S. H5/H7 Avian Influenza Clean and/or Newcastle Disease Clean Programs for Turkey Breeding Flocks?		
Is the company seeking certification in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program a participant in good standing with the NPIP: U.S. Avian Influenza Clean and/or Newcastle Disease Clean Programs for Primary Egg-Type Chicken Breeding Flocks?		
Is the company seeking certification in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program a participant in good standing with the NPIP: U.S. Avian Influenza Clean and/or Newcastle Disease Clean Programs for Primary Meat-Type Chicken Breeding Flocks?		
Within the company, are all operations seeking certification as components within the registered compartment in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program (for egg- type chicken breeding flocks and meat-type chicken breeding flocks) or the U.S. H5/H7 Avian Influenza and/or Newcastle Disease Clean Compartment (for turkey breeding flocks) located in a State which has an APHIS-approved Initial State Response and Containment Plan?		

Does the company seeking certification in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program perform routine surveillance of all flocks within the compartment in an NPIP-authorized laboratory which is certified to test for AI and/or ND?		
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**CERTIFICATION OF OFFICIAL STATE AGENCY or AGENCIES**

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE BY ME IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF; FURTHER, I UNDERSTAND THAT IN THE EVENT I HAVE KNOWINGLY AND WILLFULLY MADE ANY FALSE STATEMENTS, I WILL BE LIABLE FOR PUNISHMENT IN ACCORDANCE WITH ALL APPLICABLE LAWS AND STATUTES.

State: \_\_\_\_\_ State: \_\_\_\_\_  
Signature: \_\_\_\_\_ Signature: \_\_\_\_\_  
Date: \_\_\_\_\_ Date: \_\_\_\_\_

State: \_\_\_\_\_ State: \_\_\_\_\_  
Signature: \_\_\_\_\_ Signature: \_\_\_\_\_  
Date: \_\_\_\_\_ Date: \_\_\_\_\_

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**CERTIFICATION OF APPLICANT**

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE BY ME IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF AND I HAVE OBTAINED ALL NECESSARY OFFICIAL STATE AGENCIES' CERTIFICATION IN C ABOVE. FURTHER, I UNDERSTAND THAT IN THE EVENT I HAVE KNOWINGLY AND WILLFULLY MADE ANY FALSE STATEMENTS, I WILL BE LIABLE FOR PUNISHMENT IN ACCORDANCE WITH ALL APPLICABLE LAWS AND STATUTES.

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_

---

**Application**

*A complete application must be sent to:*

The National Poultry Improvement Plan  
1506 Klondike Road  
Suite 101  
USDA-APHIS-VS  
Conyers, GA 30094

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**For Department Use Only**

Date Received: \_\_\_\_\_ Reviewer: \_\_\_\_\_

Check Here if Registration Approval Granted:

Check Here if Registration Approval Denied:

Signature: \_\_\_\_\_

If Denied, List Reasons:

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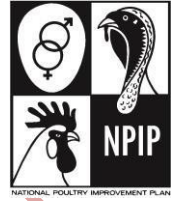
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*Please note that registration approval does not mean that the component is certified. Only after a successful registration using this form, a successful registration of components using Application Form B, and a successful audit can the compartment become fully certified.*



## Appendix D: Application Form B: U.S. Avian Influenza and/or Newcastle Disease Clean Compartment Component Registration



**Instructions:** *Step 1: Applicants, please complete Sections A-E and certify application with signature on pg. 6. Step 2: Send the form to the OSA which completes Section F and signs. Step 3: OSA returns form to NPIP. Note: If you are using Form B to comply with recertification requirements and none of the information in Sections A-E has changed since initially applying, please complete only Section A and proceed to Step 2. Disclaimer: For initial Compartment and Component registration, this form may be simultaneously submitted with Application Form A: Compartment Registration for initial registration. However, Application Form B will not be reviewed until Application Form A has been reviewed and approved.*

**A: Background Information.** *To be completed by company seeking certification.*

*To be considered for approval as a new component within a certified compartment, the following must be completed.*

Name of Company	
Company Mailing Address	
Name of Contact	
Telephone Number	
Alternate Telephone Number	
Fax Number	
Email Address	
NPIP Classification	U.S. AI Clean <input type="checkbox"/> U.S. H5/H7 AI Clean <input type="checkbox"/> U.S. ND Clean <input type="checkbox"/>
Breed/Type of Poultry	
NPIP Classification Seeking	
Compartment Mailing Address	
Compartment Location (List States Involved)	
Name of Compartment	
Anticipated Type of Components (F, M, H, and E) to add within Compartment	Farm <input type="checkbox"/> Feedmill <input type="checkbox"/> Hatchery <input type="checkbox"/> Egg Depot <input type="checkbox"/>
Total Number of Components Seeking Certification (sum of total numbers listed in sections B-E below)	

**Questionnaire.** *To be completed by company seeking certification.*

*Please place a check mark by the answer that applies.*

	YES	NO
U.S. Avian Influenza and/or Newcastle Disease Compartment Registration Form (Application Form A) submitted. This form contains the components to be added within the new compartment.		
New facility within previously certified compartment.		
Requalification of components within certified compartment due.		
Components previously removed from certified compartment and now seeking reinstatement within certified compartment.		

**B. Prerequisites for Farms (F).** *To be completed by company seeking certification.*

*To be considered for approval as a component in a certified compartment, you must first provide the following information.*

Total number of farm premises seeking approval (Please list number). \_\_\_\_\_

*List farm names (and associated NPIP numbers) seeking approval in box provided below. Separate farms by use of a semicolon. Example: ChickaD, 13-3223; Hollow Oak 1, 12-1392; Hollow Oak 2, 12-1293. This example includes three separate farms and three separate NPIP numbers or EMRS Premises Identification Numbers.*

*Note: Supporting documents for Statements 1 and 2 below must be submitted with this application for each farm. Please refer to the **Compartmentalization for Protection Against Avian Influenza and/or Newcastle Disease in Primary Poultry Breeding Companies in the United States of America; Specifications for Management Procedures, Physical Requirements, and Protocols** for verification of statement 3.*

<b>Farm Design, Physical Requirements, and Management Protocols</b>	YES	NO
Statement 1: FMP 1: <i>Site plan for each farm in the component which shows characteristics of the component.</i> <b>I hereby certify that I have attached to this application a site plan for each farm seeking to be added as a component within the compartment.</b>		
Statement 2: FMP 2: <i>Farm specifications, including fencing, signage, and construction. (Note that farm specifications include the physical address of each farm along with GPS coordinates.)</i>		

<b>I hereby certify that I have attached to this application the applicable farm specifications for each farm seeking to be added as a component within the compartment.</b>		
Statement 3: FMP3-FMP13: <i>Written documentation must be shown to the assigned auditor on request.</i> <b>I hereby certify that written documentation for each of the Farm Management Protocols 3-13 is on file as accurate and complete to my knowledge and will be provided to the assigned auditor on request.</b>		

**C. Prerequisites for Feedmills (M).** *To be completed by the company seeking certification.*

*To be considered for approval as a component in a certified compartment, you must first provide the following information.*

Total number of feedmill premises seeking approval (Please list number). \_\_\_\_\_

*List feedmill names seeking approval in box provided below. Separate feedmills by use of a semicolon. Example: Feedmille 1; Jones & Parks; Willow Mill. This example includes three separate feedmills.*

*Note: Supporting documents for Statements 1 and 2 below must be submitted with this application for each feedmill. Please refer to the **Compartmentalization for Protection Against Avian Influenza and/or Newcastle Disease in Primary Poultry Breeding Companies in the United States of America; Specifications for Management Procedures, Physical Requirements, and Protocols** for verification of statement 3.*

<b>Feedmill Design, Physical Requirements, and Management Protocols</b>	<b>YES</b>	<b>NO</b>
Statement 1: FMMP 1: <i>Site plan for each feedmill in the component which shows characteristics of the component.</i> <b>I hereby certify that I have attached to this application a site plan for each feedmill seeking to be added as a component within the compartment.</b>		
Statement 2: FMMP 2: <i>Feedmill specifications, including signage and construction. (Note that feedmill specifications include the physical address of each feedmill along with GPS coordinates.)</i> <b>I hereby certify that I have attached to this application the applicable feedmill specifications for each feedmill seeking to be added as a component within the compartment.</b>		
Statement 3: FMMP3-FMMP9: <i>Written documentation must be shown to the assigned auditor on request.</i>		

I hereby certify that written documentation for each of the Feedmill Management Protocols 3-9 is on file as accurate and complete to my knowledge and will be provided to the assigned auditor on request.		
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**D. Prerequisites for Hatcheries (H).** *To be completed by company seeking certification.*

*To be considered for approval as a component in a certified compartment, you must first provide the following information.*

Total number of hatchery premises seeking approval (Please list number). \_\_\_\_\_

*List hatchery names (and associated NPIP numbers) seeking approval in box provided below. Separate hatcheries by use of a semicolon. Example: Chickadee, Inc. -15-1425; Grandparent Line-65-1293. This example includes two separate hatcheries with two separate NPIP numbers.*

*Note: Supporting documents for Statements 1 and 2 below must be submitted with this application for each hatchery. Please refer to the **Compartmentalization for Protection Against Avian Influenza and/or Newcastle Disease in Primary Poultry Breeding Companies in the United States of America; Specifications for Management Procedures, Physical Requirements, and Protocols** for verification of statement 3.*

Hatchery Design, Physical Requirements, and Management Protocols	YES	NO
Statement 1: HMP 1: <i>Site plan for each hatchery in the component which shows characteristics of the component.</i> <b>I hereby certify that I have attached to this application a site plan for each hatchery seeking to be added as a component within the compartment.</b>		
Statement 2: HMP 2: <i>Hatchery specifications, including fencing, signage, and construction. (Note that hatchery specifications include the physical address of each hatchery along with GPS coordinates.)</i> <b>I hereby certify that I have attached to this application the applicable hatchery specifications for each hatchery seeking to be added as a component within the compartment.</b>		
Statement 3: HMP3-HMP15: <i>Written documentation must be shown to the assigned auditor on request.</i> <b>I hereby certify that written documentation for each of the Hatchery Management Protocols 3-15 is on file as accurate and complete to my knowledge and will be provided to the assigned auditor on request.</b>		

**E. Prerequisites for Egg Depots (E).** *To be completed by company seeking certification.*



To be considered for approval as a component in a certified compartment, you must first provide the following information.

Total number of egg depot premises seeking approval (Please list number). \_\_\_\_\_

List egg depot names seeking approval in box provided below. Separate egg depots by use of a semicolon. Example: Clayton 1, 2, and 3; Heart Storage. This example includes two separate egg depots. Alternatively, Egg Depot location may be identified with NPIP number +/- EMRS premises identification number.

Note: Supporting documents for Statements 1 and 2 below must be submitted with this application for each egg depot. Please refer to the **Compartmentalization for Protection Against Avian Influenza and/or Newcastle Disease in Primary Poultry Breeding Companies in the United States of America; Specifications for Management Procedures, Physical Requirements, and Protocols** for verification of statement 3.

Egg Depot Design, Physical Requirements, and Management Protocols	YES	NO
<p>Statement 1: EDMP 1: Site plan for each hatchery in the component which shows characteristics of the component.</p> <p><b>I hereby certify that I have attached to this application a site plan for each egg depot seeking to be added as a component within the compartment.</b></p>		
<p>Statement 2: EDMP 2: Hatchery specifications, including fencing, signage, and construction. (Note that egg depot specifications include the physical address of each egg depot along with GPS coordinates.)</p> <p><b>I hereby certify that I have attached to this application the applicable egg depot specifications for each hatchery seeking to be added as a component within the compartment.</b></p>		
<p>Statement 3: EDMP3-EDMP12: Written documentation must be shown to the assigned auditor on request.</p> <p><b>I hereby certify that written documentation for each of the Egg Depot Management Protocols 3-12 is on file as accurate and complete to my knowledge and will be provided to the assigned auditor on request.</b></p>		

**F. Verification.** To be completed by each Official State Agency.

Please place a check mark by the answer that applies.

	YES	NO
Is the company seeking certification in the U.S. H5/H7 Avian Influenza and/or Newcastle Disease Clean Compartment program a participant in good standing with the NPIP U.S. H5/H7 Avian Influenza Clean and/or Newcastle Disease Clean Programs for Turkey Breeding Flocks?		

Is the company seeking certification in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program a participant in good standing with the NPIP U.S. Avian Influenza Clean and/or Newcastle Disease Clean Programs for Primary Egg-Type Chicken Breeding Flocks?		
Is the company seeking certification in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program a participant in good standing with the NPIP U.S. Avian Influenza Clean and/or Newcastle Disease Clean Programs for Primary Meat-Type Chicken Breeding Flocks?		
Within the company, are all operations seeking certification as components within the registered compartment participating in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program (for egg- type chicken breeding flocks and meat-type chicken breeding flocks) or the U.S. H5/H7 Avian Influenza and/or Newcastle Disease Clean Compartment program (for turkey breeding flocks) located in a State which has an APHIS-approved Initial State Response and Containment Plan?		

**CERTIFICATION OF OFFICIAL STATE AGENCY or AGENCIES**

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE BY ME IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF. FURTHER, I UNDERSTAND THAT IN THE EVENT I HAVE KNOWINGLY AND WILLFULLY MADE ANY FALSE STATEMENTS, I WILL BE LIABLE FOR PUNISHMENT IN ACCORDANCE WITH ALL APPLICABLE LAWS AND STATUTES.

State: \_\_\_\_\_ State: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_ Date: \_\_\_\_\_

State: \_\_\_\_\_ State: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_ Date: \_\_\_\_\_

**CERTIFICATION OF APPLICANT**

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE BY ME IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF AND I HAVE OBTAINED ALL NECESSARY OFFICIAL STATE AGENCIES' CERTIFICATION IN C ABOVE. FURTHER, I UNDERSTAND THAT IN THE EVENT I HAVE KNOWINGLY AND WILLFULLY MADE ANY FALSE STATEMENTS, I WILL BE LIABLE FOR PUNISHMENT IN ACCORDANCE WITH ALL APPLICABLE LAWS AND STATUTES.

Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_

**Application**

*A complete application must be sent to:*

The National Poultry Improvement Plan  
1506 Klondike Road  
Suite 101  
USDA-APHIS-VS  
Conyers, GA 30094

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***For Department Use Only***

Date

Received: \_\_\_\_\_ Reviewer: \_\_\_\_\_

Check Here if Registration Approval Granted:

Check Here if Registration Approval Denied:

Signature: \_\_\_\_\_

For Components Denied, if Any, List Reasons:

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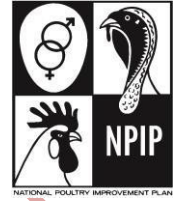
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*Please note that registration approval for components does not mean the components are certified. Only after an auditor's review and successful passing can a component become certified.*



## Appendix E: Application Form C: U.S. Avian Influenza and/or Newcastle Disease Clean Compartment Component Removal



*Instructions: Applicants please complete Sections A and B and certify with signature. Then send the form to the OSA which completes Section C and signs. OSA returns form to NPIP.*

**A: BACKGROUND INFORMATION.** *To be completed by company seeking removal of a component within a certified compartment. Please note that once a component has been successfully removed, it will no longer function as part of the compartment. Adding the component back to the compartment will require recertification using Application Form B.*

Name of Company	
Company Mailing Address	
Name of Contact	
Telephone Number	
Alternate Telephone Number	
Fax Number	
Email Address	
NPIP Classification	U.S. AI Clean <input type="checkbox"/> U.S. H5/H7 AI Clean <input type="checkbox"/> U.S. ND Clean <input type="checkbox"/>
Breed/Type of Poultry	
NPIP Classification Seeking	
Compartment Mailing Address	
Compartment Location (List States Involved)	
Name of Compartment	
Type of Components (F, M, H, and E) to add within Compartment	Farm <input type="checkbox"/> Feedmill <input type="checkbox"/> Hatchery <input type="checkbox"/> Egg Depot <input type="checkbox"/>

**B. Reason for Removal.** *To be completed by company seeking component removal. To be eligible for removal as a compartment, a justification for removal and a detailed description of how the component removal will affect the rest of the compartment must be provided. Please use the box below. (Note: If component removal will not affect the compartment, please check here .)*

**C. Verification.** To be completed by each Official State Agency. Please place a check mark by the answer that applies.

	YES	NO
Is the component of the compartment part of a company that is a participant in the U.S. H5/H7 Avian Influenza and/or Newcastle Disease Clean Compartment program and in good standing with the NPIP: U.S. H5/H7 Avian Influenza Clean and/or Newcastle Disease Clean Programs for Turkey Breeding Flocks?		
Is the component of the compartment part of a company that is a participant in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program and in good standing with the NPIP: U.S. Avian Influenza Clean and/or Newcastle Disease Clean Programs for Primary Egg-Type Chicken Breeding Flocks?		
Is the component of the compartment part of a company that is a participant in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program and in good standing with the NPIP: U.S. Avian Influenza Clean and/or Newcastle Disease Clean Programs for Primary Meat-Type Chicken Breeding Flocks?		
Within the company, are all other operations certified as components within the registered compartment part of the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program (for egg-type chicken breeding flocks and meat-type chicken breeding flocks) or the U.S. H5/H7 Avian Influenza and/or Newcastle Disease Clean Compartment (for turkey breeding flocks) and located in a State which has an APHIS-approved Initial State Response and Containment Plan?		

**CERTIFICATION OF OFFICIAL STATE AGENCY or AGENCIES**

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE BY ME IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF. FURTHER, I UNDERSTAND THAT IN THE EVENT I HAVE KNOWINGLY AND WILLFULLY MADE ANY FALSE STATEMENTS, I WILL BE LIABLE FOR PUNISHMENT IN ACCORDANCE WITH ALL APPLICABLE LAWS AND STATUTES.

State: \_\_\_\_\_ State: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_ Date: \_\_\_\_\_

State: \_\_\_\_\_ State: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_ Date: \_\_\_\_\_

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**CERTIFICATION OF APPLICANT**

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE BY ME IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF, AND I HAVE OBTAINED ALL NECESSARY OFFICIAL STATE AGENCIES' CERTIFICATION IN C ABOVE. FURTHER, I UNDERSTAND THAT IN THE EVENT I HAVE KNOWINGLY AND WILLFULLY MADE ANY FALSE STATEMENTS, I WILL BE LIABLE FOR PUNISHMENT IN ACCORDANCE WITH ALL APPLICABLE LAWS AND STATUTES. FURTHER, I CERTIFY THAT BY COMPLETION OF THIS FORM, THIS COMPONENT OF THE COMPARTMENT WILL HAVE TO GO THROUGH THE RE- APPLICATION PROCESS TO BE FORMALLY RECOGNIZED AS A CERTIFIED COMPONENT.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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**Application**

*A complete application must be sent to:*

The National Poultry Improvement Plan  
1506 Klondike Road  
Suite 101  
USDA-APHIS-VS  
Conyers, GA 30094

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***For Department Use Only***

Date Received: \_\_\_\_\_ Reviewer: \_\_\_\_\_

Check Here if Approval Granted for Removal of Component:

Check Here if Approval Denied for Removal of Component:

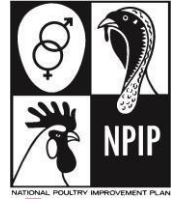
Signature: \_\_\_\_\_

If Denied, List Reasons:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



## Appendix F: Auditor Application for USDA-APHIS-VS-NPIP AI Clean and/or Newcastle Disease Compartment Program



*Instructions: Applicants, please complete sections A, B, and C and sign and date application. Applicant must have a qualified sponsor complete Section D and attach a letter of recommendation. Completed application must be submitted to the NPIP. After NPIP review, each applicant will receive notice of approval or denial.*

### **A. Background Information.** *To be completed by candidate seeking auditor certification.*

#### *Personal Information*

Name of Applicant:	
Business Address (Physical Location with City, State, and Zip):	
Home Address (Physical Location with City, State, and Zip):	
Telephone Number:	
Alternate Phone Number:	
Fax Number:	
Email Address:	

#### *Qualifications*

Colleges/Institutions where degrees earned:	
Major (Minor):	
Degrees:	
Veterinary License Number:	
Are you a United States Citizen?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you a Federal VMO?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you accredited by the NVAP?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you a member in good standing with the American College of Poultry Veterinarians?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Estimated years of poultry experience (not including school-related experiences)	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> >10

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**B. REASON FOR INTEREST.** *To be completed by candidate seeking auditor certification.*

*To be eligible for admission into the auditor training workshop course, you must briefly describe your interest in the program and the qualifications you possess that you feel will allow you to become a successful auditor.*

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**C. Affidavit.** *To be completed by candidate seeking auditor certification. Please place a check mark by the answer that applies.*

	YES	NO
I certify that I do not own birds of any avian species, whether for meat, eggs, sale, resale, pet, hobby, or otherwise.		
I certify that I have not been employed by, nor do I have spouse, relative, or household member employed by or in contractual relations with any of the companies that belong to the U.S. AI and/or ND Clean Compartment Program.		
I certify that I will uphold the U.S. veterinarian's oath in all interactions, which states: Being admitted to the profession of veterinary medicine, I solemnly swear to use my scientific knowledge and skills for the benefit of society through the protection of animal health and welfare, the prevention and relief of animal suffering, the conservation of animal resources, the promotion of public health, and the advancement of medical knowledge. I will practice my profession conscientiously, with dignity, and in keeping with the principles of veterinary medical ethics. I accept as a lifelong obligation the continual improvement of my professional knowledge and competence.		
I certify that I have never been convicted of a felony.		
I certify that I have never had my veterinary license revoked by any State board of veterinary medicine.		

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**D. Verification.** *To be completed by sponsor.*

*To be considered as a certified auditor for the training course, a qualified sponsor must write a letter of recommendation to attach with this form, describing the candidate's interest in and dedication to the field of poultry medicine. Qualified sponsors must not be related to the candidate but may be a supervisor, colleague, former professor, or otherwise qualified individual within the field of poultry veterinary medicine.*

List relationship to candidate: \_\_\_\_\_

I have known the candidate for \_\_\_\_\_ years.

I certify that I have attached to this application a letter of recommendation.  Yes  No

Name of Sponsor: \_\_\_\_\_

Signature of Sponsor: \_\_\_\_\_

Date: \_\_\_\_\_

---

**CERTIFICATION OF APPLICANT**

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE BY ME IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF; FURTHER, I UNDERSTAND THAT IN THE EVENT I HAVE KNOWINGLY AND WILLFULLY MADE ANY FALSE STATEMENTS, I WILL BE LIABLE FOR PUNISHMENT IN ACCORDANCE WITH ALL APPLICABLE LAWS AND STATUTES. FURTHER, I PLEDGE TO ABIDE BY ALL THE CODES SET FORTH BY EACH COMPANY AND AGREE TO HONOR THE CODE OF CONFIDENTIALITY. I ALSO UNDERSTAND THAT APPROVAL OF THIS APPLICATION WILL ALLOW MY ENROLLMENT IN THE AUDITOR TRAINING COURSE; HOWEVER, I WILL STILL NEED TO SUCCESSFULLY ATTEND AND PASS THE COURSE EXAMINATION TO BECOME A CERTIFIED AUDITOR. ADDITIONALLY, I UNDERSTAND THAT, IF SUCCESSFUL, I WILL NEED TO ENROLL IN CONTINUING EDUCATION EVERY 4 YEARS THEREAFTER.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

---

**Application**

*A complete application must be sent to:*

The National Poultry Improvement Plan  
1506 Klondike Road  
Suite 101  
USDA-APHIS-VS  
Conyers, GA 30094

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**For Department Use Only**

Date

Received: \_\_\_\_\_ Reviewer: \_\_\_\_\_

Approval Granted for Candidate to Attend Workshop:

Approval Denied for Candidate to Attend Workshop:

Anticipated Date of Next Workshop: \_\_\_\_\_

Signature: \_\_\_\_\_

If Denied, List Reasons:

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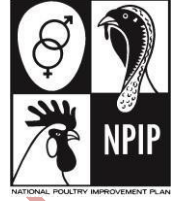
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*Draft Until Final Rule Published*



## Appendix G: NPIP Avian Influenza and/or Newcastle Disease Compartmentalization Auditor Information and Frequently Asked Questions



Thank you for your interest in in the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment program and for your interest in becoming a certified auditor. Please review the following frequently asked questions.

### **Q1: Am I qualified to be an auditor?**

Certified auditors must meet the following qualifications to be considered for the program:

- Auditors must attend and successfully complete an official USDA-NPIP Auditor Compartment Training Course prior to conducting any audits, and become recertified at least once every 4 years thereafter.
- Auditors must operate and conduct themselves with the highest code of ethics and must not have a conflict of interest with any of the companies which are compartmentalized or seeking compartment certification.
- Auditors must be U.S. licensed and accredited veterinarians who are board certified by the American College of Poultry Veterinarians (ACPV) and meet contract requirements and code of conduct confidentiality standards set forth by APHIS; or auditors must be Federal Veterinary Medical Officers (VMOs), preferably with poultry experience, who meet the same code of conduct confidentiality standards.

### **Q2: Do I have to attend a workshop to be a certified auditor?**

Yes. Auditors must initially attend and successfully complete an official NPIP Auditor Compartment Training Course, which includes passing a course examination, to become certified to conduct audits. To maintain status, auditors must become recertified by enrolling in the course at least once every 4 years and will be issued a continuing education certificate.

### **Q3: How do I register for the NPIP Auditor Compartment Training Course?**

Auditor applications must be submitted to the NPIP office. Your eligibility will be reviewed, and if you are a successful candidate, you will be invited to register for the next course. Non-Federal VMOs will be responsible for all travel costs associated with the course.

### **Q4: What is the purpose of the NPIP Auditor Compartment Training Course?**

The purpose of the NPIP Auditor Compartment Training Course is threefold:

- To familiarize auditors with the contents of the Management Guidelines and Protocols as well as the official audit checklist of items, and equip them to perform audits accurately and consistently, including conducting mock audits at farm, hatchery, feedmill, egg depot, and office sites.

- To expose auditors to the primary breeder industry and continually educate auditors on pertinent operational activities and important updates in technology within the poultry industry.
- To emphasize the code of ethics in operating as a certified auditor for the U.S. Avian Influenza and/or Newcastle Disease Clean Compartment Program.

**Q5: What's in it for me?**

This opportunity is for any veterinarian who meets the requirements and is hard-working, honest, and willing to learn. As an auditor, you will have the ability to expand your network within the poultry primary breeding industry and develop your skills both as an auditor and as a poultry scientist. Auditors will be given the chance to interact with a very specialized segment of the industry.

## Appendix H: Compartmentalization Audit Checklist: Office

<b>OFFICE</b> Office Name:	<b>Compartmentalization AUDIT CHECKLIST: Protocols, Procedures, and Requirements</b>  <i>Disclaimer: This checklist is to be used at the initial inspection and subsequent reinspection at each individual component within a compartment.</i>				<b>Legend</b> E: Egg Depot F: Farm H: Hatchery M: Feedmill O: Office	
Office Address:	Instructions: Please answer yes/no for each answer. If the item is not applicable, mark NA. Comments are highly useful and should be made when appropriate.  Note: Categories marked with triple asterisks (***) are either considered part of the AI and/or ND Clean Programs or are considered critical parts of AI and/or ND primary breeder surveillance. Any noncompliances found in one of these categories are considered major, resulting in automatic compartment failure. Noncompliances in categories with no asterisks are considered minor and corrective action should be requested.					
Company Representative:						
Date of Inspection: Auditor Name:						
Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
		Location	Method			
Biosecurity	<i>Biosecurity Training</i>	O	Employees, contract staff, and visitors are trained in biosecurity.			
	<i>Biosecurity Compliance</i>	O	Employees, contract staff, and visitors have a signed compliance agreement.			
	<i>In Periods of High Risk</i>	O	All nonessential visitors and deliveries are prohibited during periods of high risk.			
		O	The company reviews and updates bird hunting activities from employees and contract growers during periods of high risk.			
		O	Employees and contract staff will not attend nonessential regional poultry industry meetings during periods of high risk.			
	<i>Biosecurity Risk Assessment</i>	O	The company has a risk assessment for each component of the compartment (farms, hatchery, feedmill, and egg depot).			
	<i>Biosecurity Vehicular and Equipment Control</i>	O	The company has a written policy for the cleaning, disinfection, and control of all vehicles and equipment before moving into the controlled access and/or the biosecure zone.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
		Location	Method			
Physical Traits and Diagrams of All Components	<i>Physical Traits</i>	<input type="radio"/>	The company provides general physical traits of all components of the compartment (farms, hatchery, feedmill, and egg depot).			
	<i>Diagrammatic Descriptions</i>	<input type="radio"/>	The company has detailed diagrammatic descriptions for movement of people, vehicles, equipment, birds, and eggs between all components inside and outside the compartment.			
Response Plans	<i>Emergency Response Plan</i>	<input type="radio"/>	The company has a written emergency response plan in conjunction with the ISRCP.			
	<i>In Periods of High Risk</i>	<input type="radio"/>	The company increases communication to company employees, contract growers, and suppliers to promote increased awareness and emphasize essential biosecurity practices during periods of high risk.			
		<input type="radio"/>	Employees increase downtime from last non-compartment bird contact by 24 hours during periods of high risk.			
		<input type="radio"/>	The veterinary and production teams are on high alert and investigate immediately any reported incidents of increased mortality or egg production drops during periods of high risk.			
	<i>Veterinary Health Plan</i>	<input type="radio"/>	The company has a written veterinary health plan.			
	<i>NDV Vaccination and Monitoring Program</i>	<input type="radio"/>	The company has a NDV vaccination program.			
		<input type="radio"/>	The company has a monitoring program for NDV vaccinated flocks.			
<input type="radio"/>		The company has a monitoring program for NDV unvaccinated flocks.				

**Audit Summary Report - Office**

Total Number Possible	Total Number Scored	Number N/A	Number Non-Compliant	Number Compliant	Auditor Notes (Non-compliances)
17	-		-		-
<b>Signature of Auditor:</b>		<b>Date:</b>	<b>Overall Recommendation:</b>		
<b>Signature of NPIP:</b>		<b>Date Reviewed:</b>	<b>Overall Recommendation:</b>		

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## Appendix I: Compartmentalization Audit Checklist: Farm

<b style="color: red;">FARM</b> Farm/House Name/Bird Level (GGP/Pedigree):	<b>Compartmentalization AUDIT CHECKLIST: Protocols,                  Procedures, and Requirements</b>  <i>Disclaimer: This checklist is to be used at the initial inspection and subsequent reinspection                  at each individual component within a compartment.</i>				<b>Legend</b> E: Egg Depot F: Farm H: Hatchery M: Feedmill O: Office	
Component Address:	Instructions: Please answer yes/no for each answer. If the item is not applicable, mark NA. Comments are highly useful and should be made when appropriate.  Note: Categories marked with triple asterisks (***) are either considered part of the AI and/or ND Clean Programs or are considered critical parts of AI and/or ND primary breeder surveillance. Any noncompliances found in one of these categories are considered major, resulting in automatic compartment failure. Noncompliances in categories with no asterisks are considered minor and corrective action should be requested.					
Company Representative:						
Date of Inspection: Auditor Name:						
Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Physical Requirements		Location	Method			
Perimeter	<i>Livestock Exclusion</i>	F	When livestock are present, they are separated from the controlled access zone by a fence.			
	<i>Vehicular and Personnel Exclusion</i>	F	A biosecure zone barrier surrounds the biosecure zone.			
Unauthorized Entry	<i>Signage</i>	F	Signs indicating unauthorized entry of persons and/or vehicles is prohibited are posted at the entrance to the controlled access zone.			
		F	Signs indicating unauthorized entry of persons and/or vehicles is prohibited are posted at the entrance to the biosecure zone.			
	<i>Barriers</i>	F	Egg holding rooms have barriers in place to prevent unauthorized entry.			



Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Physical Requirements		Location	Method			
Construction	<i>Wildlife and Pests</i>	F	Buildings are designed and built to deter and prevent entry of wildlife, pests, and companion animals.			
		F	Water systems are designed and built to deter and prevent entry of wildlife and pests.			
	<i>Biosecure Zone</i>	F	Each entrance to the biosecure zone is locked or controlled at all times.			
	<i>Materials</i>	F	Buildings within the biosecure zones are constructed of durable, moisture proof materials and are able to withstand routine cleaning and disinfection.			
Management Procedures						
Biosecurity	<i>Controlled Access Zone Policy</i>	F,O	Authorized personnel and vehicles only enter the controlled access zone after meeting company-established sanitation procedures.			
		F	Dedicated vehicles, if in use, do not leave the controlled access zone.			
		F	Egg holding rooms have procedures in place to prevent unauthorized entry.			
		F	Farm is managed to deter wildlife and pests from the controlled access zone.			
	<i>In Periods of High Risk</i>	F,O	Entrance to the controlled access zone is locked or controlled at all times during periods of high risk.			
	<i>Biosecure Zone Policy</i>	F	Authorized personnel only enter the biosecure zone after meeting company-established sanitation procedures.			
		F	A whole-body shower and change of clothing and footwear occurs before entry into the biosecure zone.			
		F	Before entering the biosecure zone, all vehicles follow company-established cleaning and sanitizing procedures on the interior and exterior of the vehicle.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Biosecurity	<i>Biosecure Zone Policy</i>	F	All personnel and visitors entering the biosecure zone must log in.			
		F,O	If the egg storage room is not in the biosecure zone, procedures and barriers are in place to prevent entry from the egg room into the biosecure zone.			
		O	In the case of a multi-age/multi-building biosecure zone, company-established procedures must be documented for transit between buildings.			
		F	Farm is managed to deter wildlife and pests from the biosecure zone.			
	<i>Company Employees and Contract Staff</i>	O	Authorized personnel follow company protocols and procedures and meet all biosecurity requirements for employment or contractual agreement before entry into biosecure zone.			
		O	Company employees (and household members) and contract staff do not own birds.			
		O	Company employees and contract staff avoid contact with birds outside the compartment and/or comply with company policies related to downtime and quarantine.			
		O	Company employees and contract staff receive annual biosecurity training.			
		O	Company employees and contract staff agree to follow company-established policy regarding personal items and food.			
	<i>Visitors</i>	O	All visitors meet a minimum 24-hour downtime from contact with non-compartment birds (including shower and change of clothing) or as specified by company-established visitor requirements.			
O		All visitors agree to comply with company-established biosecurity procedures.				

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Biosecurity	Visitors	O	All visitors sign a declaration stating date of last bird contact.			
		F	All visitors agree to follow company-established policy regarding personal items and food.			
	<i>In Periods of High Risk</i>	F,O	All non-essential visitors and deliveries are prohibited during periods of high risk.			
Transportation	Supplies and Equipment	F,O	Supplies and goods coming into the biosecure zone are from approved suppliers only and have undergone company-established cleaning and disinfection procedures.			
		O	Bedding materials coming into the biosecure zone are obtained only from company-approved suppliers.			
		O	Tools and equipment coming into the biosecure zone undergo company-established cleaning and disinfection procedures.			
	<i>In Periods of High Risk</i>	F,O	Only essential tools and equipment that have undergone enhanced company-approved cleaning and disinfection procedures move into the biosecure zone during periods of high risk.			
	All Hatching Egg/Chick/ Poult and Bird Movement	F, O, H, E	Company-established sanitation and biosecurity procedures apply for vehicles, equipment, authorized egg pickup personnel, and personnel involved in moving flocks.			
		F, O, H, E	Hatching eggs are sanitized with an approved disinfectant at the farm, hatchery or egg depot.			
		O	Egg/chick/poult transport personnel agree to meet company-established biosecurity procedures for delivery.			
		O	Drivers wear company-provided clothing and footwear.			
		O	Records tracing the origin and production dates of all hatching eggs/chicks/poults are kept.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Transportation	<i>Bird Movement Within Compartment</i>	O	***Flocks test negative to AI within 21 days prior to movement.			
		O	***Birds must originate from flocks that were vaccinated for NDV using USDA licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If unvaccinated flocks, they must test negative to ND.			
		O	***Day-old chicks/poults are derived from a NPIP AI Clean source flock.			
	<i>In Periods of High Risk</i>	O	***Flocks test negative to AI and/or NDV via RT-PCR 48 hours prior to movement during periods of high risk.			
	<i>Bird Movement Into the Compartment</i>	O	***Source flocks participate in NPIP AI Clean or equivalent program.			
		O	***Pullets, cockerels, and adult birds originating outside the compartment have tested negative to AI (30 samples per flock via serology and 15 samples per flock via antigen detection) within 21 days of shipment.			
		O	***Birds must originate from flocks that were vaccinated for NDV using USDA licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If unvaccinated flocks, they must test negative to ND.			
		O	***Flocks are inspected by an official veterinarian or designated individual within 30 days prior to movement.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Transportation	<i>In Periods of High Risk</i>	O	***Pullets, cockerels, and adult birds originating outside the compartment have 30 samples tested negative to AI and/or NDV via RT-PCR 48 hours prior to shipment during periods of high risk.			
		O	***Birds must originate from flocks that were vaccinated for NDV using USDA licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If unvaccinated flocks, they must test negative to ND.			
		O	Driving routes for all authorized transport and service vehicles are reviewed and alternate routes are predetermined to avoid any areas with other poultry or migratory birds that could present a potential risk during periods of high risk.			
		F,O	Vehicle traffic is reduced to only critical components when necessary during periods of high risk.			
		F,O	The vehicle non-essential parking perimeter is increased during periods of high risk.			
		O	Vehicles undergo enhanced cleaning and disinfection during periods of high risk.			

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Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Husbandry	<i>Wildlife and Pests</i>	O	Pest control procedures are documented and recorded.			
	<i>Insect Control</i>	O	Insect control procedures are documented and recorded.			
	<i>Vegetation Control</i>	O	Vegetation is properly maintained according to company-established protocols.			
	<i>Water</i>	O	If surface water is present, company has procedures in place to deter waterfowl and wild birds.			
		F	Surface water is not used for drinking water or for any purpose.			
		F	Only treated well water or municipal water is used at the farm.			
	<i>Feed</i>	F,O	Feed spills are removed following company-established procedures.			
	<i>Mortality and Biologic Waste Disposal</i>	F,O	Daily mortality is disposed of according to company's biosecurity plan and local environmental regulations.			
		F,O	Biologic waste and cull eggs are disposed of according to the company's biosecurity plan and in compliance with local environmental regulations.			
	<i>Bedding Materials</i>	F	Bedding materials are stored to prevent access from pests and wild birds.			
F,O		Bedding material restocking is allowed only after a trained company employee ensures that cleaning and disinfection of the facility has been performed according to company standards. Introduction of new bedding during the flock cycle is done in accordance with company-established procedures.				
O		The company has biosecurity and sanitation procedures for removal of litter.				

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Husbandry	<i>Flock Depletion and House Sanitation</i>	O	Flocks to be depleted test AI negative within 21 days prior to movement.			
		O	Flocks are inspected by an accredited veterinarian or designated individual under their supervision within 21 days prior to flock depletion.			
		O	The removal of birds and litter follows company-established biosecurity and sanitation procedures.			
		O	The company has biosecurity and sanitation procedures for house cleaning and disinfection after flock depletion.			
	O	Multi-age and multi-building premises have company-established biosecurity procedures for flock depletion.				
	<i>In Periods of High Risk</i>	O	Premises where birds are present must test negative for AI and/or ND via RT-PCR 48 hours prior to movement of litter or manure during periods of high risk.			
Bird Health	<i>Veterinary Health Plan</i>	F,O	Daily production and mortality records are kept according to company-established policy.			
		F,O	The company has a veterinary health plan which outlines procedures to investigate unexplained increases in mortality according to company-established procedures.			

**Audit Summary Report - Farm**

<b>Total Number Possible</b>	<b>Total Number Scored</b>	<b>Number N/A</b>	<b>Number Non-Compliant</b>	<b>Number Compliant</b>	<b>Auditor Notes (Non-compliances)</b>
74			-		
<b>Signature of Auditor:</b>		<b>Date:</b>		<b>Overall Recommendation:</b>	
<b>Signature of NPIP:</b>		<b>Date Reviewed:</b>		<b>Overall Recommendation:</b>	

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## Appendix J: Compartmentalization Audit Checklist: Feedmill

<b>FEEDMILL</b> Feedmill Name:	<b>Compartmentalization AUDIT CHECKLIST: Protocols, Procedures, and Requirements</b>  <i>Disclaimer: This checklist is to be used at the initial inspection and subsequent reinspection at each individual component within a compartment.</i>			<b>Legend</b> E: Egg Depot F: Farm H: Hatchery M: Feedmill O: Office		
Component Address:	Instructions: Please answer yes/no for each answer. If the item is not applicable, mark NA. Comments are highly useful and should be made when appropriate.					
Company Representative:	Note: Categories marked with triple asterisks (***) are either considered part of the AI and/or ND Clean Programs or are considered critical parts of AI and/or ND primary breeder surveillance. Any noncompliances found in one of these categories are considered major, resulting in automatic compartment failure. Noncompliances in categories with no asterisks are considered minor and corrective action should be requested.					
Date of Inspection: Auditor Name:						
Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Physical Requirements		Location	Method			
Perimeter	<i>Livestock Exclusion</i>	M	When livestock are present, they are separated from the feedmill by a fence.			
Unauthorized Entry	<i>Signage</i>	M	Signs indicating unauthorized entry of persons and/or vehicles is prohibited are posted at the entrance to the controlled access zone or entry gate of the premises.			
	<i>Barriers</i>	M	The feedmill has a gate at its entrance to the controlled access zone or premises.			
Construction	<i>Wildlife and Pests</i>	M	Buildings are designed and built to deter and prevent entry of wildlife, pests, and companion animals.			
		M	Water systems are designed and built to deter and prevent entry of wildlife and pests.			
	<i>Materials</i>	M	Feedmill is constructed of durable, moistureproof materials that are able to withstand routine cleaning and disinfection.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Biosecurity	<i>Controlled Access Zone Policy</i>	M,O	Authorized personnel and vehicles only enter the controlled access zone after meeting company established sanitation procedures.			
		M	All personnel and visitors entering the controlled access zone must log in.			
	<i>Company Employees and Contract Staff</i>	O	Authorized personnel follow company-established protocols and procedures and meet all biosecurity requirements for employment or contractual agreement before entry into feedmill.			
		O	Company employees (and household members) and contract staff do not own birds.			
		O	Company employees and contract staff avoid contact with birds outside the compartment and/or comply with company policies related to downtime and quarantine.			
		O	Company employees and contract staff receive annual biosecurity training.			
		O	Company employees and contract staff agree to follow company-established policy regarding personal items and food.			
		O	Company employees and contract staff agree to follow company-established policy regarding personal items and food.			
	<i>Visitors</i>	O	All visitors agree to follow company-established policy regarding personal items and food.			
		O	All visitors sign a declaration stating date of last bird contact.			
		O	All visitors follow company-established biosecurity procedures.			
	<i>In Periods of High Risk</i>	O	All non-essential visitors and deliveries are prohibited during periods of high risk.			
		O	Driving routes for all authorized transport and service vehicles are reviewed and alternate routes are predetermined to avoid any areas with other poultry or migratory birds that could present a potential risk during periods of high risk.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Biosecurity	<i>In Periods of High Risk</i>	M,O	Vehicular traffic is reduced to only critical components when necessary during periods of high risk.			
		M,O	The vehicle non-essential parking perimeter is increased during periods of high risk.			
		O	Vehicles undergo enhanced cleaning and disinfection during periods of high risk.			
Husbandry	<i>Wildlife and Pests</i>	O	Wildlife and pest control procedures are documented and recorded.			
	<i>Insect Control</i>	O	Insect control procedures are documented and recorded.			
	<i>Vegetation Control</i>	O	Vegetation is properly maintained according to company-established procedures.			
	<i>Cleaning and Disinfection</i>	O	Feedmill has company-established protocols for cleaning and disinfection.			
	<i>Water</i>	O	If surface water is present, company has procedures in place to deter waterfowl and wild birds.			
		O	Surface water is not used at the feedmill for any purpose.			
		O	Only treated well water or municipal water is used at the feedmill.			
Finished Feed and Delivery	<i>Finished Feed</i>	M,O	Finished feed undergoes established treatment procedures prior to storage and distribution.			
		M,O	The company has established procedures for separating raw feed ingredients from finished feed.			
		M,O	Feed ingredients and/or finished feed spills are removed following company-established procedures.			
		M,O	The company has established procedures for feed delivery.			
		O	The company has established procedures and documentation for compartment and non-compartment feed delivery.			
	<i>Delivery Vehicles</i>	O	The company has established approved sanitation and biosecurity procedures for feed delivery vehicles.			

**Audit Summary Report - Feedmill**

<b>Total Number Possible</b>	<b>Total Number Scored</b>	<b>Number N/A</b>	<b>Number Non-Compliant</b>	<b>Number Compliant</b>	<b>Auditor Notes (Non-compliances)</b>
34					
<b>Signature of Auditor:</b>		<b>Date:</b>	<b>Overall Recommendation:</b>		
<b>Signature of NPIP:</b>		<b>Date Reviewed:</b>	<b>Overall Recommendation:</b>		

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## Appendix K: Compartmentalization Audit Checklist: Hatchery

<b>HATCHERY</b>	<b>Compartmentalization AUDIT CHECKLIST: Protocols, Procedures, and Requirements</b>	<b>Legend</b> <b>E: Egg Depot</b> <b>F: Farm</b> <b>H: Hatchery</b> <b>M: Feedmill</b> <b>O: Office</b>
Hatchery Name:	<i>Disclaimer: This checklist is to be used at the initial inspection and subsequent reinspection at each individual component within a compartment.</i>	
Component Address:	Instructions: Please answer yes/no for each answer. If the item is not applicable, mark NA. Comments are highly useful and should be made when appropriate.	
Company Representative:	Note: Categories marked with triple asterisks (***) are either considered part of the AI and/or ND Clean Programs or are considered critical parts of AI and/or ND primary breeder surveillance. Any noncompliances found in one of these categories are considered major, resulting in automatic compartment failure. Noncompliances in categories with no asterisks are considered minor and corrective action should be requested.	
Date of Inspection: Auditor Name:		

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Physical Requirements		Location	Method			
Perimeter	<i>Livestock Exclusion</i>	H	When livestock are present, they are separated from the hatchery by a fence.			
	<i>Vehicular and Personnel Exclusion</i>	H	A biosecure zone barrier surrounds the biosecure zone.			
Unauthorized Entry	<i>Signage</i>	H	Signs indicating unauthorized entry of persons and/or vehicles is prohibited are posted at the entrance to the controlled access zone.			
		H	Signs indicating unauthorized entry of persons and/or vehicles is prohibited are posted at the entrance to the biosecure zone.			
	<i>Barriers</i>	H	Egg holding rooms have barriers in place to prevent unauthorized entry.			
		H	Receiving/shipment area is an enclosed area that undergoes company-established cleaning and disinfection procedures.			
		H	Hatchery must have a gate at the entrance of the controlled access zone or have a controlled entry point to the hatchery.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Physical Requirements		Location	Method			
Construction	<i>Wildlife and Pests</i>	H	Buildings and water systems are designed to deter and prevent entry of wildlife, pests, and companion animals.			
	<i>Biosecure Zone</i>	H	Each entrance to the biosecure zone is locked or controlled at all times.			
		H	Egg holding, setting, hatching, chick/poult processing, chick/poult transfer, and vaccine rooms are part of the biosecure zone.			
		H	Barriers are in place to prevent entry from the egg room into the biosecure zone.			
	<i>Controlled Access Zone</i>	H	Hatchery office, egg and chick/poult loading dock can be a part of the controlled access zone.			
	<i>Materials</i>	H	The biosecure zones of the hatchery are constructed of durable, moistureproof materials that are able to withstand routine cleaning and disinfection.			
		H	Hatchery is designed and built to deter and prevent entry of wildlife and pests.			
		H	Egg holding rooms are constructed of durable materials to exclude wildlife and pests.			
Management Procedures						
Biosecurity	<i>Controlled Access Zone Policy</i>	H,O	Authorized personnel and vehicles only enter the controlled access zone after meeting company-established sanitation procedures.			
	<i>Biosecure Zone Policy</i>	H,O	Authorized personnel only enter the biosecure zone after meeting company-established sanitation procedures.			
		H,O	Authorized vehicles only enter the biosecure zone after meeting company established cleaning and sanitizing procedures for the interior and exterior of the vehicle.			
		H,O	A whole-body shower and change of clothing and footwear occurs before entry into the biosecure zone.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Biosecurity	<i>Biosecure Zone Policy</i>	H	All personnel and visitors entering the biosecure zone must log in.			
		H,O	Procedures are in place to prevent entry from the egg room into the biosecure zone.			
	<i>Company Employees and Contract Staff</i>	O	Authorized personnel follow company protocols and procedures and meet all biosecurity requirements for employment or contractual agreement before entry into biosecure zone.			
		O	Company employees (and household members) and contract staff do not own birds.			
		O	Company employees and contract staff avoid contact with birds outside the compartment and/or comply with company policies related to downtime and quarantine.			
		O	Company employees and contract staff receive annual biosecurity training.			
		O	Company employees and contract staff agree to follow company-established policy regarding personal items and food.			
		O	Drivers wear company-approved clothing and footwear.			
		<i>Visitors</i>	O	All visitors meet a minimum 24-hour downtime from contact with non-compartment birds (including shower and change of clothes or as specified by company-established visitor requirements.		
	O		All visitors sign a declaration stating date of last bird contact.			
	O		All visitors follow company-established biosecurity procedures.			
	O		All visitors agree to follow company-established policy regarding personal items and food.			
	<i>In Periods of High Risk</i>	O	All non-essential visitors and deliveries are prohibited during periods of high risk.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Transportation	<i>Supplies and Equipment</i>	O	Supplies and goods coming into the biosecure zone undergo approved, company-established cleaning and disinfection procedures.			
		H,O	Tools and equipment undergo company-approved cleaning and disinfection procedures.			
		H,O	Reusable equipment that returns to the hatchery is cleaned and disinfected.			
	<i>In Periods of High Risk</i>	H,O	Only essential tools and equipment that have undergone enhanced company-approved cleaning and disinfection procedures move into the biosecure zone during periods of high risk.			
	<i>All Hatching Egg/Chick /Poult Movement</i>	H,O,F,E	Hatching eggs are sanitized with an approved disinfectant at the farm, hatchery, or egg depot.			
		H,O,F,E	Company-established sanitation and biosecurity procedures apply for vehicles, equipment, and personnel involved in moving hatching eggs and chicks/poults.			
		H,O,F,E	Records tracing the origin and production dates of all hatching eggs and day-old chicks/poults are maintained.			
	<i>Hatching Egg Movement Into the Compartment</i>	O	***Hatching eggs are derived from a source flock in which 30 samples have tested negative to AI using an approved NPIP assay within 21 days of the shipment.			
		O	***Hatching eggs are derived from a source flock that was vaccinated for NDV using USDA licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If unvaccinated, source flocks must test negative to ND.			
		O	***Source flocks participate in NPIP AI Clean or equivalent program.			
	<i>Hatching Egg Movement Within the Compartment</i>	O	***Hatching eggs that are moved between premises within the compartment are derived from source flocks that participate in the NPIP AI Clean or equivalent program.			
		O	***Hatching eggs must originate from flocks that were vaccinated for NDV using USDA licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If unvaccinated, source flocks must test negative to ND.			



Requirements/ Procedures	Criteria		Verification Method	Records_ (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Transportation	<i>Day-Old Chick/Poult Movement Within the Compartment</i>	O	***Source flocks participate in NPIP AI Clean or equivalent program.			
		O	***Birds must originate from flocks that were vaccinated for NDV using USDA licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If unvaccinated, source flocks must test negative to ND.			
	<i>Hatching Egg and Day-Old Chick/Poult Movement Outside the Compartment</i>	O	The company has established biosecurity procedures for all equipment that returns to the hatchery from outside the compartment to be cleaned and disinfected.			
	<i>In Periods of High Risk</i>	O	Driving routes for all authorized transport and service vehicles are reviewed and alternate routes are predetermined to avoid any areas with other poultry or migratory birds that could present a potential risk during periods of high risk.			
		H,O	Vehicular traffic is reduced to only critical components when necessary during periods of high risk.			
		H,O	The vehicle nonessential parking perimeter is increased during periods of high risk.			
		O	Vehicles undergo enhanced cleaning and disinfection during periods of high risk.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Husbandry	<i>Wildlife and Pests</i>	O	Wildlife and pest control procedures are documented and recorded.			
	<i>Insect Control</i>	O	Insect control procedures are documented and recorded.			
	<i>Vegetation Control</i>	O	Vegetation is properly maintained according to company-established procedures.			
	<i>Cleaning and Disinfection</i>	H,O	Hatchery has company-established protocols for cleaning and disinfection.			
	<i>Water</i>	O	Surface water is not used in the hatchery for any purpose.			
		O	Only treated well water or municipal water is used in the hatchery.			
<i>Waste Removal</i>	H	All biologic waste, hatchery residue, and cull eggs are disposed according to company biosecurity plan and in compliance with local environmental regulations.				

Audit Summary Report - Hatchery					
Total Number Possible	Total Number Scored	Number N/A	Number Non-Compliant	Number Compliant	Auditor Notes (Non-compliances)
58					
Signature of Auditor:		Date:	Overall Recommendation:		
Signature of NPIP:		Date Reviewed:	Overall Recommendation:		

## Appendix L: Compartmentalization Audit Checklist: Egg Depot

<b style="color: red;">EGG DEPOT</b> Egg Depot Name:	<b>Compartmentalization AUDIT CHECKLIST: Protocols, Procedures, and Requirements</b>	<b>Legend</b> E: Egg Depot F: Farm H: Hatchery M: Feedmill O: Office
Component Address:	Instructions: Please answer yes/no for each answer. If the item is not applicable, mark NA. Comments are highly useful and should be made when appropriate.  Note: Categories marked with triple asterisks (***) are either considered part of the AI and/or ND Clean Programs or are considered critical parts of AI and/or ND primary breeder surveillance. Any noncompliances found in one of these categories are considered major, resulting in automatic compartment failure. Noncompliances in categories with no asterisks are considered minor and corrective action should be requested.	
Company Representative:		
Date of Inspection: Auditor Name:		

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Physical Requirements		Location	Method			
Perimeter	<i>Livestock Exclusion</i>	E	When livestock are present, they are separated from the egg depot by a fence.			
Unauthorized Entry	<i>Signage</i>	E	Signs indicating unauthorized entry of persons and/or vehicles is prohibited are posted at the entrance to the controlled access zone.			
	<i>Barriers</i>	E	Egg depot has a gate at its entrance of the controlled access zone.			
E		Egg holding rooms have barriers in place to prevent unauthorized entry.				
Construction	<i>Wildlife and Pests</i>	E	Egg depot is designed and built to deter and prevent entry of wildlife, pests, and companion animals.			
		E	Egg holding rooms are constructed of durable materials to exclude wildlife and pests.			
	<i>Materials</i>	E	Egg depot is constructed of durable, moistureproof materials that are able to withstand routine cleaning and disinfection.			
		E	Egg receiving/shipment area should be an enclosed area that is part of the controlled access zone.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Biosecurity	<i>Controlled Access Zone Policy</i>	E,O	Authorized personnel and vehicles enter the controlled access zone after meeting company established sanitation procedures.			
		E	All personnel and visitors entering the egg depot must log in.			
		E	Egg depot has procedures in place to prevent entry from the egg receiving area into the egg depot.			
	<i>Company Employees and Contract Staff</i>	O	Authorized personnel follow company protocols and procedures and meet all biosecurity requirements for employment or contractual agreement before entry into the egg depot.			
		O	Company employees (and household members) and contract staff do not own birds.			
		O	Company employees and contract staff agree to avoid contact with birds outside the compartment and/or agree to comply with company policies related to downtime and quarantine.			
		O	Company employees and contract staff receive annual documented biosecurity training.			
		O	Drivers agree to wear company-provided clothing and footwear.			
		O	Company employees and contract staff agree to follow company-established policy regarding personal items and food.			
	<i>Visitors</i>	O	All visitors meet a minimum 24-hour downtime from contact with non-compartment birds (including shower and change of clothes) or as specified by company-established visitor requirements.			
		O	All visitors follow company-established biosecurity procedures.			
		O	All visitors sign a declaration stating date of last bird contact.			
		O	All visitors agree to follow company-established protocols regarding personal items and food.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Biosecurity	<i>In Periods of High Risk</i>	O	All non-essential visitors and deliveries are prohibited during periods of high risk.			
	<i>All Hatching Egg Movement</i>	E,O,H,F	Hatching eggs are sanitized with an approved disinfectant at the farm, hatchery, or egg depot.			
		O	Records tracing the origin and production dates of all hatching eggs are kept.			
		E,O,H,F	Company-established sanitation and biosecurity procedures apply for vehicles, equipment, and personnel involved in moving hatching eggs.			
		E,O	Reusable equipment that returns to the egg depot is cleaned and disinfected.			
Transportation	<i>Hatching Egg Movement Into the Compartment</i>	O	***Source flocks participate in NPIP AI Clean or equivalent program.			
		O	***Hatching eggs must originate from flocks that were vaccinated for NDV using USDA licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If unvaccinated, source flocks must test negative to ND.			
		O	***Hatching eggs are derived from a source flock in which 30 samples have tested negative to AI using an approved NPIP assay within 21 days of the shipment.			
		O	Records which trace the origin and production dates of all hatching eggs are kept.			
		O	The company has established biosecurity procedures for vehicles, equipment, and personnel transporting hatching eggs.			
	<i>Hatching Egg Movement Within the Compartment</i>	O	***Source flocks participate in NPIP AI Clean or equivalent program.			
		O	***Hatching eggs must originate from flocks that were vaccinated for NDV using USDA licensed vaccines and compliant with a program to evaluate serological response to NDV vaccination. If unvaccinated, source flocks must test negative to ND.			
		O	Egg receiving/shipment dock undergoes routine company-established cleaning and disinfection procedures.			

Requirements/ Procedures	Criteria		Verification Method	Records (Protocols and/or Training) (Y/N/NA)	Compliance (Y/N/NA)	Additional Comments / Recommended Corrective Action
Management Procedures		Location	Method			
Transportation	<i>Hatching Egg Movement Out of the Compartment</i>	O	The company has established biosecurity procedures for all equipment that returns to the egg depot from outside the compartment to be cleaned and disinfected.			
	<i>In Periods of High Risk</i>	O	Driving routes for all authorized transport and service vehicles are reviewed and alternate routes are predetermined to avoid any areas with other poultry or migratory birds that could present a potential risk during periods of high risk.			
		E,O	Vehicular traffic is reduced to only critical components when necessary during periods of high risk.			
		E,O	The vehicle non-essential parking perimeter is increased during periods of high risk.			
		O	Vehicles undergo enhanced cleaning and disinfection during periods of high risk.			
Husbandry	<i>Wildlife and Pests</i>	O	Wildlife and pest control procedures are documented and recorded.			
	<i>Insect Control</i>	O	Insect control procedures are documented and recorded.			
	<i>Vegetation Control</i>	O	Vegetation is properly maintained according to company-established procedures.			
	<i>Water</i>	E,O	Surface water is not used in the egg depot for any purpose.			
		E,O	Only treated water or municipal water is used in the egg depot.			
	<i>Cleaning and Disinfection</i>	E,O	Egg depot has company established protocols for cleaning and disinfection.			
	<i>Waste Removal</i>	E,O	All biologic waste, egg depot residue, and cull eggs are disposed according to company biosecurity plan and in compliance with local environmental regulations.			

**Audit Summary Report – Egg Depot**

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46					
<b>Signature of Auditor:</b>		<b>Date:</b>	<b>Overall Recommendation:</b>		
<b>Signature of NPIP:</b>		<b>Date Reviewed:</b>	<b>Overall Recommendation:</b>		

Draft Until Final