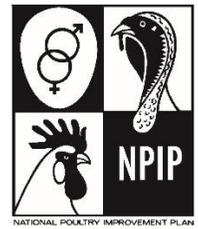


NPIP Program Standards
Biosecurity Principles Audit Guidelines
2018



1. Biosecurity responsibility

1.1. Is there a Biosecurity Coordinator? If so, please provide their name.

1.2. Is there a site-specific biosecurity plan?

1.2.1. Site-specific biosecurity plans can be defined as either farm-specific or complex-wide specific. Supporting documentation that is requested should reflect farm-specific or complex-wide specific as appropriate.

1.3. Is the Biosecurity Coordinator knowledgeable in the principles of biosecurity?

1.3.1. The Biosecurity Coordinator must be able to describe and interpret their company's biosecurity program and how it meets the requirements of the NPIP biosecurity principles.

1.4. Does the Biosecurity Coordinator review the biosecurity plan at least once during each calendar year and make revisions as necessary?

1.4.1. The Biosecurity Coordinator must be able to provide recorded dates in which annual reviews were made and evidence of revisions to the biosecurity plan if any were necessary.

1.5. Does the biosecurity plan indicate there will be a review by the Biosecurity Coordinator in periods of heightened risk of disease transmission?

1.5.1. Documentation of compliance, including evidence of a discussion during periods of heightened risk can take any form (e.g., emails, letters, memos, phone logs, text messages, etc.). It is the responsibility of the Biosecurity Coordinator to clearly define and communicate the “period of heightened risk” in the biosecurity plan.

2. Training

2.1. Does the biosecurity program include training materials that cover both farm site-specific procedures as well as company and/or complex-wide site-specific procedures, as applicable?

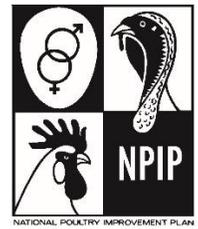
2.2. Do all poultry owners and caretakers that regularly enter the perimeter buffer area (PBA) complete this training?

2.2.1. Supporting documentation (e.g., training logs, training completion sheets, sign-in sheets, certificates of completion, etc.) should be provided.

2.3. Has the training been completed at least once per calendar year and documented?

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2.3.1. Supporting documentation (e.g., training logs, training completion sheets, sign-in sheets, certificates of completion, etc.) should be provided.

2.4. Are new poultry caretakers trained at hire?

2.4.1. Supporting documentation (e.g., training logs, training completion sheets, sign-in sheets, certificates of completion, etc.) should be provided.

2.5. Are training records retained as stated in Title 9-CFR §145.12(b) and 146.11(e)?

2.5.1. Records must be maintained for at least 3 years.

3. Line of Separation (LOS)

3.1. Does the site-specific biosecurity plan describe or illustrate the boundaries of the LOS?
If not, please explain.

3.1.1. Provide a diagram, map, and/or a detailed description of the LOS. The LOS is recommended but not required for poultry with unenclosed outdoor access, but is highly recommended during periods of heightened risk.

3.2. Does the site-specific biosecurity plan clearly outline procedures to be followed when caretakers, visitors, or suppliers cross the LOS?

3.2.1. Provide the procedures (e.g., written instructions, signage, training videos, etc.) to be followed by caretakers, visitors or suppliers to cross the LOS.

4. Perimeter Buffer Area (PBA)

4.1. Does the site-specific biosecurity plan describe or illustrate the boundaries of the PBA?

4.1.1. Provide a diagram, map, and/or a detailed description of the PBA.

Addendum: PBA usually includes egg packing area.

4.2. Does the site-specific biosecurity plan clearly outline the procedures to be followed by caretakers, visitors, or suppliers when entering and leaving the PBA?

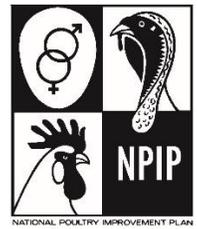
4.2.1. Provide the procedures (e.g., written instructions, signage, training videos, etc.) to be followed by caretakers, visitors or suppliers when entering and leaving the PBA.

5. Personnel

5.1. Does the biosecurity program and/or site-specific biosecurity plan include provisions specifically addressing procedures and biosecurity personal protective equipment (PPE) for site-dedicated personnel?

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5.1.1. PPE should be described in the biosecurity plan for each type of production facility.

5.2. Does the biosecurity program and/or site-specific biosecurity plan address the procedures and biosecurity PPE for non-farm personnel?

5.2.1. PPE should be described in the biosecurity plan for each type of production facility for non-farm personnel.

5.3. Does the biosecurity program and/or site-specific biosecurity plan specify procedures which all personnel having had recent contact with other poultry or avian species should follow before re-entering the PBA?

5.3.1. Supporting documentation (e.g., signed statements, acknowledgement forms, visitor log-in, signed policy documents, etc.) should be provided.

6. Wild Birds, Rodents and Insects

6.1. Are there control measures in the biosecurity program and/or site-specific biosecurity plan to prevent contact with and protect poultry from wild birds, their feces and their feathers as appropriate to the production system?

6.2. Does the biosecurity program and/or site-specific biosecurity plan contain control programs for rodents, insects, and other animals?

6.3. Are these programs documented?

6.3.1. Provide description of control programs and examples of the documentation [e.g., log sheets, rodent control company contracts, Best Management Practices (BMP) audits, maintenance records, etc.].

7. Equipment and Vehicles

7.1. Does the biosecurity program and/or site-specific biosecurity plan include provisions for procedures for cleaning, disinfection, or restriction of sharing of equipment where applicable?

7.1.1. Supporting documentation (e.g., written instructions, signage, training videos, etc.) should be provided.

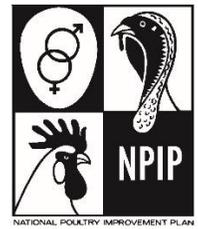
7.2. Are vehicle access and traffic patterns defined?

7.2.1. Provide a description of vehicle entry access and traffic patterns.

8. Mortality Disposal

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8.1. Is there a mortality disposal plan?

8.2. Does the mortality disposal plan reference the frequency of removal, storage of mortality, and pest control around mortality storage and disposal areas?

8.2.1. Provide a description of the mortality disposal plan and examples of documentation [e.g., mortality sheets, company contracts, Best Management Practices (BMP) audits, disposal records, etc.].

8.3. Does the mortality disposal plan address procedures for handling mortality disposal in a way that minimizes the potential for cross-contamination from other facilities or between premises?

8.3.1. Supporting documentation should be provided (e.g., written instructions, videos, etc.) for proper handling of mortality to minimize the potential of cross-contamination.

9. Manure and Litter Management

9.1. Is the manure and spent litter handled in a manner that limits the spread of infectious disease?

9.1.1. Procedures (e.g., written instructions, manure/litter handling log sheets, protocols, permits, guidance for contractors, etc.) should be provided showing how disease risk from manure and litter handling has been addressed.

10. Replacement Poultry

10.1. Is replacement poultry sourced from flocks which are in compliance with NPIP provisions and program standards?

10.1.1. Replacement poultry is defined as poultry from hatch to maturity intended to become laying hens or breeders.

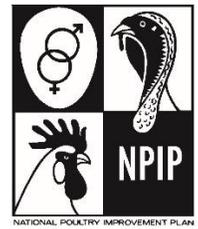
10.1.2. Provide supporting documentation (e.g., VS 9-2 form, VS 9-3 form and/or NPIP hatchery production records) showing that source flocks are active and compliant participants in the NPIP.

10.2. Is replacement poultry transported in equipment and vehicles that are regularly cleaned, disinfected and inspected?

10.2.1. Supporting documentation (e.g., written instructions, wash station reports and/or logs, inspection reports, invoices, etc.) should be provided. The biosecurity plan should be followed as written and clearly define “regular cleaning.”

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10.3. Are biosecurity protocols in place for equipment and personnel involved in the transport of replacement poultry?

10.3.1. Supporting documentation [e.g., signed statements, acknowledgement forms, visitor log-in sheets, policy documents, standard operating procedures (SOPs), Best Management Practices (BMPs), etc.] should be provided for personnel involved in the transport of replacement poultry.

10.3.2. Supporting documentation [e.g., written instructions, protocols, procedures, training videos, standard operating procedures (SOPs), Best Management Practices (BMPs), etc.] should be provided for equipment involved in the transport of replacement poultry.

11. Water Supply

11.1. Is drinking water or water used for evaporative cooling sourced from a contained supply such as a well or municipal system?

11.2. If water comes from a surface water source, is water treatment used to reduce the level of disease agents?

11.2.1 If yes, describe the water treatment used.

11.3 If water treatment is not possible, is a risk analysis performed to determine actions needed to mitigate risks?

11.3.1 The Biosecurity Coordinator should provide evidence that the risk of an untreated system has been considered and demonstrate steps to mitigate that risk if feasible.

11.3.2 Risk assessment should have considered risks from the water supply. This guidance does not require a peer-reviewed professional risk assessment to be performed.

11.4 If surfaces have been cleaned or flushed with surface water, is subsequent disinfection employed to prevent disease transmission?

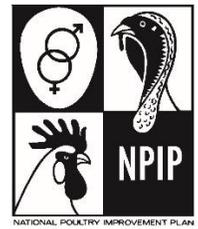
11.4.1 If surfaces were cleaned or flushed with surface water and subsequent disinfection was employed, a description of the subsequent disinfection and/or supporting documentation should be provided (e.g., invoices for chemicals used and purchased treatment equipment, treatment plans, etc.)

11.4.2 If surfaces were cleaned or flushed with surface water and subsequent disinfection was not employed, see item 11.3.2 above.

12. Feed and Replacement Litter

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- 12.1.** Is feed, feed ingredients and litter stored and maintained in a manner that limits exposure to and contamination by wild birds, rodents, insects, and other animals?
- 12.1.1.** Guidance applies to the feed ingredients and litter which are under the direct control of the entity being audited. A description or examples (e.g., written instructions, feed or replacement litter handling, log sheets, protocols, permits, guidance for contractors, etc.) should be provided showing how exposure to and contamination by wild birds, rodents, insects, and other animals is limited. Occasional exceptions may be necessary (e.g., seasonal storage, acts of God, etc.).
- 12.1.2.** Guidance applies to the feed ingredients and litter which are under the direct control of the entity being audited.

12.2. Does the biosecurity plan address feed spills within the PBA (outside of the LOS)?

13. Reporting of Elevated Morbidity and Mortality

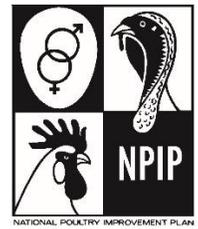
- 13.1.** Does the biosecurity plan address elevated morbidity and/or mortality above expected levels?
- 13.1.1** A description of the actions and/or documentation (e.g., evidence of investigation, tracking graphs, mortality/morbidity patterns, case reports, mortality logs, etc.) used to monitor morbidity and/or mortality should be provided. The Biosecurity Coordinator is responsible for communicating what constitutes elevated morbidity and/or mortality in the biosecurity plan.
- 13.2.** Is there a plan to report to responsible authorities and take appropriate action should you suspect and need to rule out reportable disease agents?
- 13.2.1.** Provide the written procedure to report and take appropriate actions when disease agents are suspected. The Biosecurity Coordinator is responsible for providing the written procedures.
- 13.2.2.** The written procedure should identify the responsible reporting authorities. The Biosecurity Coordinator is responsible for clearly communicating who the responsible authorities are.

14. Auditing

- 14.1.** Auditing of the biosecurity principles is based on flock size as outlined in 9 CFR 53.10.
- 14.1.1.** Premises exempted from auditing are those which: raise fewer than 100,000 broilers annually for meat, raise fewer than 30,000 turkeys annually for meat, have fewer than 75,000 table egg layers, raise fewer than 25,000 raised for release

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upland game birds annually, and raise fewer than 25,000 waterfowl birds annually.

14.2. Audits shall be conducted at least once every two years or a sufficient number of times during that period by the Official State Agency to ensure the participant is in compliance.

14.2.1. Audits conducted by the OSA shall be a paper-based assessment of the participant's biosecurity plan.

14.3. Each audit shall require the biosecurity plan's training materials, documentation of implementation of the NPIP Biosecurity Principles, corrective actions taken (if necessary), and the Biosecurity Coordinator's annual review of the biosecurity plan to be audited for completeness and compliance with the NPIP Biosecurity Principles.

14.3.1. Audits conducted by the OSA shall be a paper-based assessment of the participant's biosecurity plan. Addendum: In PA, plan compliance will be checked with an initial on-farm inspection.

14.3.2. The participant will be provided an opportunity to offer corrective actions for any non-compliances noted during the initial audit. Corrective actions will be reviewed by the OSA prior to being reported and submitted to the NPIP National office. If corrective actions do not result in compliance, the participant may elect to take further actions. See guidance listed in 14.5.

14.4. An audit summary report containing satisfactory and unsatisfactory audits will be provided to the NPIP National Office by the OSAs.

14.4.1. Audit summary reports will be provided to the NPIP National office upon completion.

14.5. Those participants who failed the initial document audit conducted by the NPIP OSA may elect to have a check audit performed by a team appointed by National NPIP Office including: an APHIS poultry subject matter expert, the OSA, and a licensed, accredited poultry veterinarian familiar with that type of operation.

14.6. If these participants seek to be reinstated as being in compliance with the Biosecurity Principles by the NPIP OSA, they must demonstrate that corrective actions were taken following the audit, by the team appointed by NPIP.