



United States Department of Agriculture

# Permitted Movement

FAD PReP Manual 6-0

February 2017



# Overview

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- **Roles & Responsibilities**
- **Defining Permits & Movements**
- **Permit Requirements & the Gateway**
- **Permitting Process**

# PERMITTED MOVEMENT



## Introduction

# Permits

- *Permits* are the mechanism by which movements are allowed during a foreign animal disease (FAD) outbreak.
- These permits allow *permitted movements*.
- Permitted movement intersects both quarantine and movement control (QMC) and continuity of business (COB).
- In a disease outbreak, permits are issued to move specific transports/items into, within, and out of regulatory Control Areas (CAs).
- Permits help to achieve FAD response goals.



# Permitted Movement Goals

- To facilitate the issuance of permits during an FAD outbreak.
- To implement science- and risk-based permitting guidance based on the best evidence available.
- To provide transparent information to States, stakeholders, and the public on USDA APHIS permitted movement processes.
- To use the Emergency Management Response System 2.0 (EMRS2), the official USDA system of record, for issuing permits and tracking movements into, within, and out of a regulatory CA during an FAD incident/outbreak.
- To ensure permit data is entered into EMRS2 in an accurate and timely manner, reflecting best practices and standards.
- To provide personnel to unified Incident Command and/or State(s) as requested by State(s) to support permitting activities in EMRS2 during an FAD outbreak.

# PERMITTED MOVEMENT



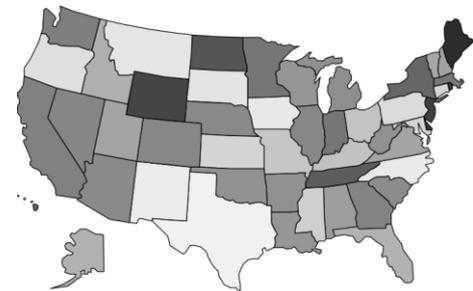
## Roles & Responsibilities

## State Role: During an Incident

- USDA APHIS recommends States use EMRS2 for permitting activities.
- If a State feels as if they have a permitting and information management system that can handle a potentially large number of requests rapidly, and can communicate to other States to receive approval for interstate movements, the State can use their system to permit movements and issue permits in an outbreak.
- If a State uses their own system, they must communicate data to the unified Incident Command for entry in EMRS2.

# State Role: Requesting USDA APHIS Support

- As seen in two recent outbreaks of highly pathogenic avian influenza in the United States, permitting can become a monumental task.
- In these outbreaks, multiple States requested USDA APHIS assistance for permitting activities.
- USDA APHIS is prepared to support permitting activities in EMRS2 for any State experiencing an FAD outbreak, upon their request.



# State Role: Additional State Requirements

- States may also establish additional enhanced active surveillance, testing criteria, or permit requirements for premises located in the Surveillance Zones/Free Areas within their State (outside of any regulatory CA).
- Any existing entry requirements that States have in place prior to an outbreak must also be met for interstate movements on Interstate Certificates of Veterinary Inspection, in addition to specific FAD permit requirements.
- Movements outside the scope of the CA during an FAD outbreak are not captured in EMRS2 and should continue under existing authorities, processes, procedures, and guidance.

# USDA APHIS Role: During an Incident

- State(s) have primary authority (absent a USDA Extraordinary Emergency Declaration or similar); USDA APHIS—in coordination with State Animal Health Officials and the unified Incident Command—provides the oversight for interstate permitted movement (commerce) and any movement relating to international trade.
- USDA APHIS is prepared to support State(s) in an FAD incident in all permitted movement activities, as requested by the State, using EMRS2 and skilled EMRS2 personnel.

# PERMITTED MOVEMENT



**Defining Permits  
& Movements**

# Permits

- A *permit* (can be paper, electronic, or both) is used to approve and document movements into, within, and out of a regulatory CA.
- A *permit* conveys two critical pieces of information:
  1. approval for a movement (from a specific origin point A to a specific destination point B), and
  2. approval for a specific item associated with this movement (animals, products, materials, etc.).
- A *permit* typically also defines specific requirements that must be met for movement (e.g., diagnostic testing).
- A *permit* must be approved by the origin and destination State.

# Types of Permits

- There are two primary types of permits (all entered in EMRS2):
  1. **Specific permits** are based on risk and are related to controlling and containing the FAD outbreak, particularly for biocontainment (i.e., keeping the disease on Infected Premises) and bioexclusion (i.e., keeping the disease out of non-infected premises).
  2. **COB permits** are for maintaining business continuity in an outbreak for premises that are affected by movement restrictions but not infected by the FAD agent. Split into two types: operational and Secure Food Supply (SFS) for normal movements and animals/animal products, respectively.

# Three Types of Movements

- 1. Permitted movements** are those movements associated with an approved permit.
- 2. Tracked conveyances** are negligible-risk movements that are tracked in EMRS2, but do not require a permit (typically from Food Safety and Inspection Service [FSIS]-inspected plants).
- 3. Routine movements** are not tracked in EMRS2 and do not require a permit, though the producer may be required to keep enhanced records of these movements.



# PERMITTED MOVEMENT



## Permit Requirements & the Gateway

# Overview

- There are seven key pieces of information that are required to obtain any type of permit.
- These data are recorded in EMRS2 in as close to real time as possible during an FAD outbreak.
- During an outbreak, additional data standards may be defined.
- If a State elects to use an information system other than EMRS2 to issue permits in an outbreak, these data must be communicated to the unified Incident Command for import or entry into EMRS2.

# Information Required for a Permit

1. **Permit Class**—location, e.g., into CA, out of CA, or within CA.
2. **Permit Reason**—reason for permit, e.g., direct to farm, direct to landfill, or into commerce.
3. **Origin Premises**—Must be in EMRS2.
4. **Destination Premises**—Must be in EMRS2.
5. **Items**—What is allowed to move, e.g., manure/litter, feed, eggs, groups of animals.
6. **Item Class**— Further description of item, e.g., if the item permitted was “groups of animals,” the item class offers further information.
7. **Duration/Span of Permit**—First movement date, as well as how long the permit is valid for.

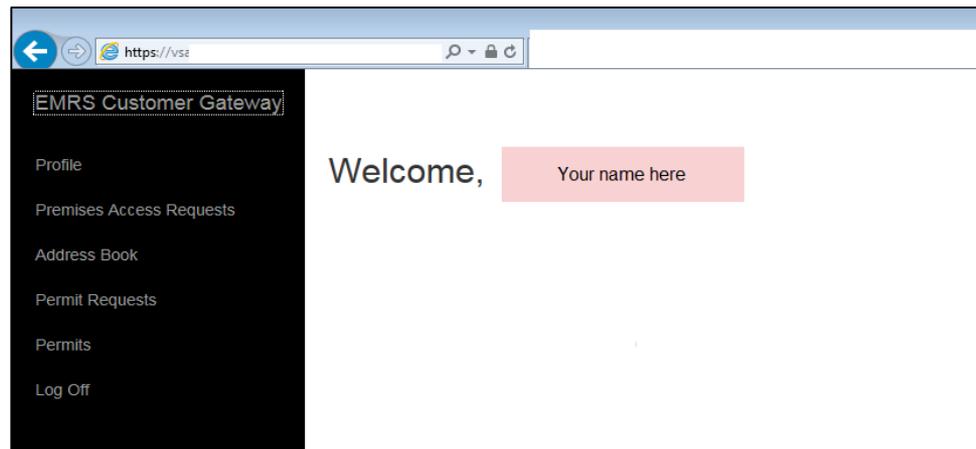
# Additional Requirements Prior to Movement

- Permits and their associated permitted movement may have additional requirements that must be met before the movement is made.
- These records and documentation can be uploaded in EMRS2 for review by relevant parties.
- For example, diagnostic testing or mortality reports from the premises may be required.
- Diagnostic testing results can be entered into EMRS2 or automatically messaged, if the testing laboratory can message results (strongly preferred), and attached to the origin premises in EMRS2.

# EMRS2 Customer Permit Gateway

## Introduction

- The EMRS2 Customer Permit Gateway, also referred to as “the Gateway,” is a new, producer-facing portal that provides an automated linkage from a website to the EMRS2 system.
- The Gateway is an interactive, secure, web application, where registered producers can create a permit request for movement.



# General Information & Benefits

- The Gateway has important benefits and greatly streamlines the permitting process:
  - It offers producers a way to see the real-time status of their permit requests.
  - It facilitates timely and accurate data entry into EMRS2, the USDA APHIS official system of record for FAD outbreaks.
- The use of the Gateway does not change the overall permitted movement process or permitting concepts.
- The document *HPAI Ready Reference Guide—EMRS2 Customer Permit Gateway* also offers an overview of the Gateway.

# PERMITTED MOVEMENT

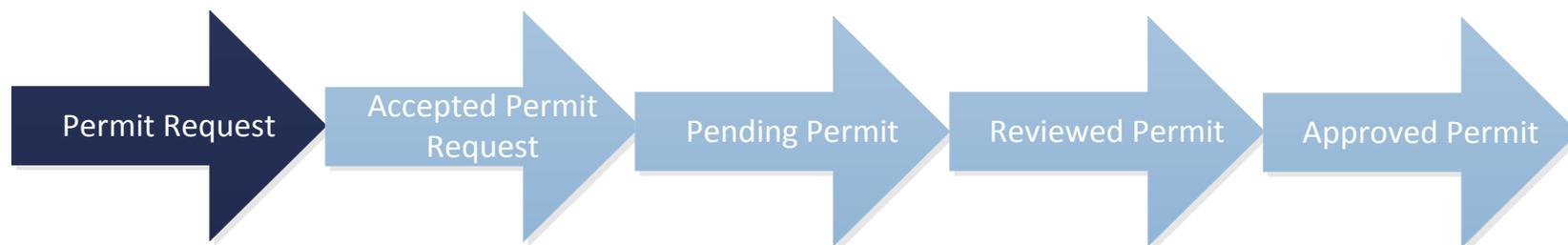


## Permitting Process

# Overview

- There are eight general steps involved in permitting.
- The process is broadly the same regardless of the type of permit—specific or COB.
- Remember, a tracked conveyance does not require a permit for movement, but is typically entered in EMRS2 and available for the origin State and destination State to review in EMRS2.

# STEP 1: Permit Request



# Specific Permit Request

- The unified Incident Command determines if a permit is required for movement; the producer needing to make the movement or the unified Incident Command can initiate the permit request.
- At this time, specific permit requests are not made through the Gateway and should be made through normal communication channels.
- Specific permits may receive priority for review in the permit request queue, as they relate directly to response operations and the containment/elimination of the FAD.

# Continuity of Business Permit Request

- COB permits must be requested by the producer.
- It is preferable that these requests are made through the Gateway; if a producer is not registered, all other existing methods can be used to make a permit request.
- It is highly recommended that producers with potentially large volumes of SFS permitted movements register in the Gateway.

## STEP 2: Enter/Confirm Data in EMRS2



# Data Review

- For both types of permits (specific and COB), personnel in the origin State and/or unified Incident Command personnel review the data entered for the permit request only for completeness.
- For specific permits not requested through the Gateway, personnel must create a new permit request (enter data in EMRS2) in the permit request queue.
- For COB permit (operational or SFS) requests through the Gateway, the data does not need to be entered in EMRS2: it appears automatically in the permit request queue once submitted by the producer in the Gateway.
- As soon as the data is complete, the permit request is accepted and continues forward as a pending permit.

## STEP 3: Review Pending Permit and Documentation



# Pending Permit Review

- The review of the pending permit is substantive and requires trained personnel that understand permit requirements.
- For interstate movements, Step 3 (review) and Step 5 (approval/denial) are both required for all pending permits, regardless of permit type.
- However, for pending permits that are for intrastate movements, since the origin State and destination State are the same, Step 3 and Step 5 are inherently combined.

# Origin State Options

- The origin State has three options at this stage for the pending permit (for interstate movements):
  1. Status the pending permit as a “Reviewed Permit;” present and recommend approval to destination State.
  2. Status the pending permit as a “Reviewed Permit;” present but do not recommend approval to destination State.
  3. Reject the pending permit (for example, if the premises has not met the requirements to move items out of the CA); do not present pending permit to the destination State.

# STEP 4: Origin State Notifies Destination State of Reviewed Permit



# Reviewed Permit Notification

- After the origin State reviews the pending permit, the destination State (if different than origin) is notified that there is a reviewed permit.
- All notifications can be done automatically via EMRS2.
- If the origin State elects to use their own information management system for permitting, they must also have a way to document notifications to the destination State.
- If needed, in a large outbreak, an established National Permitting Unit can also streamline this process for origin State(s).

# STEP 5: Destination State Approves or Denies Permit



# Approval or Denial of Permit

- For any permit that is proposing interstate permitted movement—whether specific or COB (operational or SFS)—the destination State always has the opportunity to approve or deny the reviewed permit.
- Destination State is also responsible for confirming permit is acceptable with the destination premises.
- When a reviewed permit is approved by the destination State, it becomes an “Approved Permit.”
- If the permit is denied, the permit process ends.
- If the destination State approves the reviewed permit, the destination State enters an “approved” date and an “expiration” date.

# Attached Documentation

- When there are criteria required for the permit, like diagnostic testing results, the destination State can elect to review any/all documentation related to these criteria.
- Supplementary, required documentation can be sent to the destination State directly by the producer or origin State; it is preferable that any such documentation is uploaded in EMRS2 for all parties to review.



# Revoking a Permit

- It is important to note that if the epidemiological situation changes, or at the destination State's discretion, a permit may be revoked at any time.
- States are encouraged to make their decisions based on the best science- and risk-based information available during an FAD outbreak.
- Both destination and origin States can revoke a permit in EMRS2, or can contact EMRS2 personnel or the unified Incident Command to revoke a permit.

# **STEP 6: Destination State Notifies Origin State of Decision**

# Notification of Approval or Denial

- For any reviewed permit that requires destination State approval, the destination State must notify the origin State whether they approved or denied the reviewed permit.
- This formal notification also serves as further documentation that the destination State received notice of a reviewed permit and responded.
- This step is critically important so that States cannot claim that movements were made without the approval of the destination State.

# **STEP 7: Origin State/Unified Incident Command Issues Permit**

# Permit Issuance

- Once the reviewed permit is granted approval and the destination State notifies the origin State of the decision, the permit can be created in EMRS2.
- For specific permits, the unified Incident Command or origin State personnel familiar with EMRS2 typically produce the permit form in EMRS2.
- For COB permits, the origin State typically creates the permit form in EMRS2; permit templates can be customized, including with State logos.
- Permits can be issued immediately (PDF).



# STEP 8: Permitted Movement Occurs

# Permitted Movement Occurs

- Once a permit is approved, specific conditions are met, and notification of the forthcoming permitted movement has occurred, the actual movement can occur.
- This movement may occur once (common for specific permits) or multiple times (common for COB permits).
- It is the producer's responsibility to ensure that all requirements are entered *prior to* movement.
- It is the destination State's responsibility to review and request documentation from the origin State/producer when necessary.

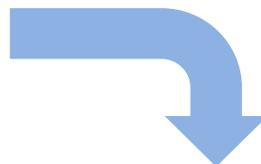


# SUMMARY OF PERMITTING PROCESS

# Overview of the Eight Steps in Permitted Movement

Step 1

Unified Incident Command or Producer submits permit request



Step 2

Unified Incident Command or origin State enters/checks data in EMRS2 and accept permit request, creating a pending permit



Step 3

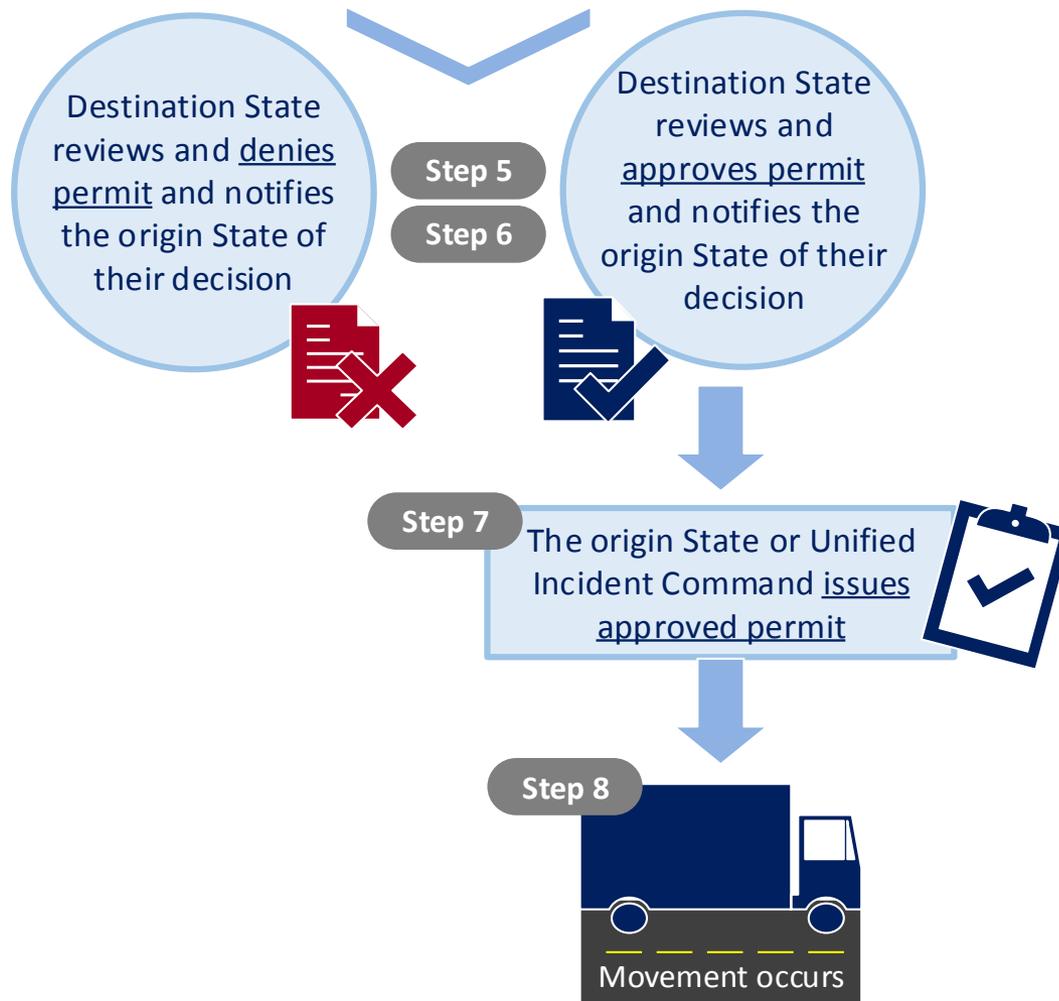
Unified Incident Command or origin State reviews pending permit and documentation



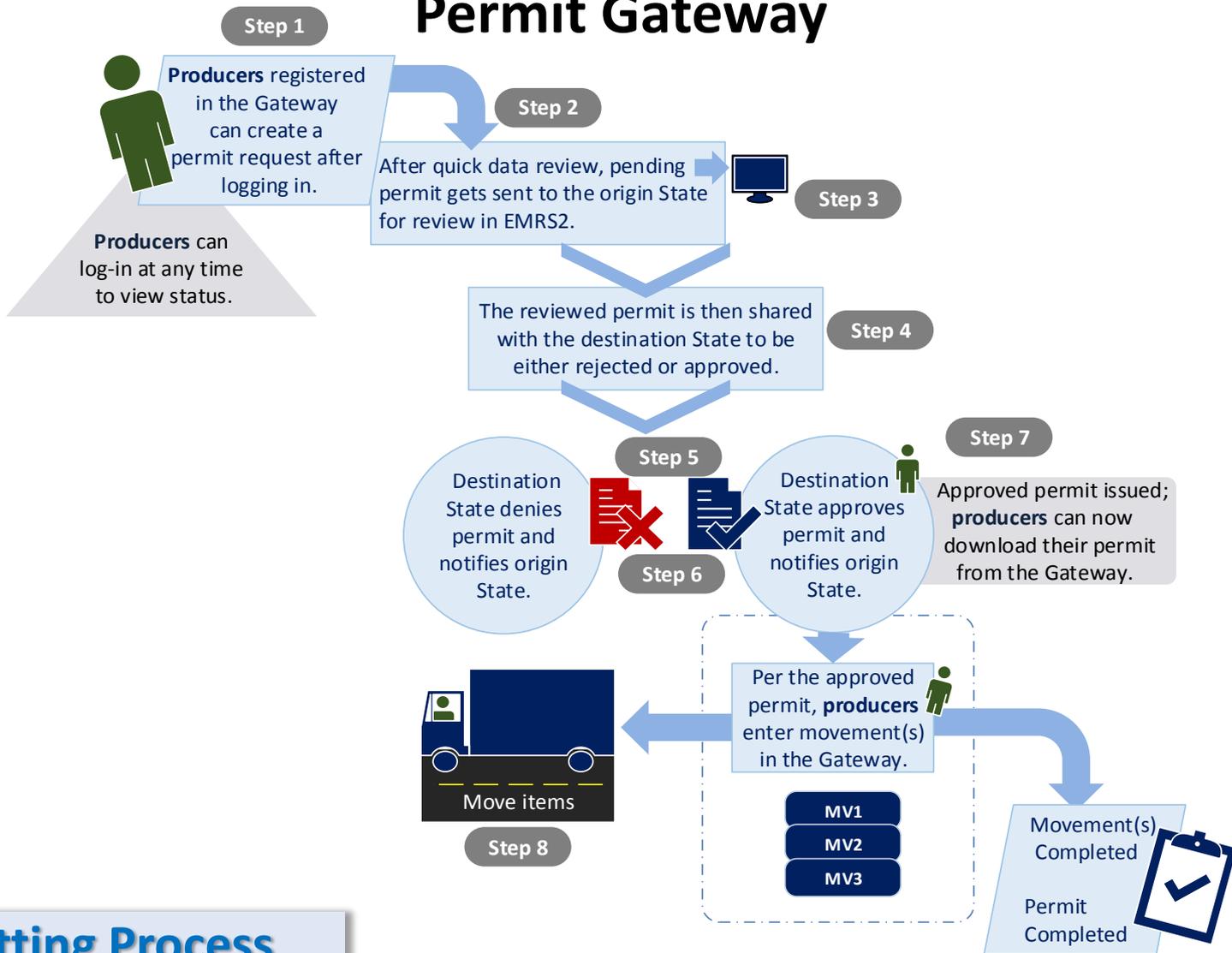
Step 4

Origin State notifies the destination State of reviewed permit

# Overview of the Eight Steps in Permitted Movement, continued



# Overview of COB Permit Process using the EMRS Customer Permit Gateway



## For Further Assistance

- Additional training or materials can be requested by contacting the EMRS National Coordinator or their EMRS Network Associate for their District.
- States should not hesitate to reach out if they feel as if they are unprepared to use EMRS2 in an outbreak and need additional assistance.
- In addition, at any point during an outbreak, APHIS Veterinary Services personnel are ready to assist States as requested.
- Documentation available on [www.aphis.usda.gov/fadprep](http://www.aphis.usda.gov/fadprep).

# Abbreviations

APHIS	Animal and Plant Health Inspection Service
CA	Control Area
COB	continuity of business
EMRS2	Emergency Management Response System 2.0
FAD	foreign animal disease
FAD PReP	Foreign Animal Disease Preparedness and Response Plan
FSIS	Food Safety and Inspection Service
QMC	quarantine and movement control
SFS	Secure Food Supply
USDA	U.S. Department of Agriculture