

Animal Disease Traceability



Comprehensive Report and
Implementation Plan

UNITED STATES DEPARTMENT OF
AGRICULTURE

January 2011
Update March 2011

Animal Disease Traceability

The U.S. Department of Agriculture must be prepared for animal disease outbreaks and have processes in place to limit the adverse effects on States, producers, and their communities. If an outbreak of a serious animal disease should occur, people will look to USDA to respond. We have to be ready.

A primary tool to respond to disease outbreaks is animal disease traceability. Tracing an infected animal back to where the animal may have been exposed to the disease as well as finding any animals it may have come into contact with enables us to find disease, quickly address it, and minimize harm to producers. In addition, an effective traceability framework also facilitates disease surveillance and promotes trade.

The previous animal identification system managed by USDA was an initial attempt to fill gaps in traceability, especially in cattle. But the system was not widely accepted by stakeholders, and the Secretary announced a new approach to animal disease traceability in February 2010.

In the spirit of the Administration's call for open and collaborative government, USDA went out to hear directly from the public about our approach and efforts to achieve animal disease traceability. We heard from thousands of interested parties representing States, Tribes, industry groups, and representatives for small and organic farmers. Based on their feedback, USDA is developing a flexible, coordinated approach to animal disease traceability — an approach that utilizes the strengths and expertise of States, Tribes, and producers. We will also build upon what worked in the previous identification system and in disease eradication programs.

Overall, we want stakeholders to help us find and use the traceability approaches that work best for them. These approaches:

- will apply only to animals moving interstate;
- will be owned, led, and administered by the States and Tribal Nations, with Federal support focused entirely on disease traceability; and
- will ensure animal disease traceability data is owned and maintained at the discretion of the States and Tribal Nations.

This document (Comprehensive Report and Implementation Plan) was initially provided to Congress in September 2010. This version reflects changes that were made after further input from stakeholders through the Traceability Regulation Working Group, a committee of State, Tribal and Federal representatives that was tasked with developing the proposed traceability rule. This revised report describes our current thinking about the rule and the plan to implement it.

Update to the September 2010 Comprehensive Report and Implementation Plan

Throughout the development of the proposed traceability rule, APHIS has held discussions with State, Tribal, and industry stakeholders to ensure a collaborative rulemaking process. Since issuing the comprehensive report in September 2010, APHIS has revised the initial content of the rule based on those discussions and on the final recommendations of the traceability regulation working group. A summary of the revisions is provided here.

January 2011

Issue: Implementing the official identification requirement for beef cattle under 18 months of age (page 18 of the comprehensive document and page 7 in Appendix A)

Implementing the official identification requirement for beef cattle under 18 months of age has been the industry's biggest concern with the preliminary content of the proposed rule. The concern focuses on potential market disruption when a significantly greater number of cattle will be required to be officially identified as beef cattle under 18 months of age are included in the regulation. Before this regulation, beef cattle of this age have typically not been required to be officially identified to move interstate.

To gain support of the industry for the inclusion of the younger beef cattle sector in the official identification requirement when moving interstate, APHIS has established a phased-in approach. Additionally, APHIS will state in the regulation its intention to consult with an advisory group on this and other issues relating to traceability. The advisory group members would include representatives from APHIS, States, Tribes, and industry. This collaborative approach, supported by the Cattle Identification Working Group, has been well received and will help ensure the industry remains supportive of the implementation of the animal disease traceability framework.

We revised the performance indicators in step 2, assessment, of the 3-step plan to phase in the identification requirement for beef cattle less than 18 months of age moving interstate. The performance indicator of 75 percent of cattle over 18 months of age being officially identified was changed to 70 percent. While higher rates of compliance with official identification are ultimately expected and necessary, the 70 percent figure would represent a significant increase in the use of official eartags on adult cattle, indicating that effective tagging practices are in place.

In addition, we removed the criteria for collecting 75 percent of identification at federally inspected slaughter plants. The collection of identification at slaughter hinges more on availability of funds and is not a good indicator of whether the identification processes are working through the preharvest production chain.

Issue: Clarification of livestock movements relative to Tribal lands (not previously covered)

The proposed rule will provide an explanation of the applicability of the regulation as it pertains to the movement of livestock on and off Tribal lands. Under the rule, if a Tribal land straddling a State line does have a separate traceability plan from the States in which it is contained, then

because of Tribal sovereignty, livestock movements taking place entirely within that Tribal land, even across State lines, would not be regarded as interstate movement.

Issue: Administering interstate certificates of veterinary inspection by accredited veterinarians (not specifically covered before)

To ensure that the State animal health officials of the shipping and receiving States receive copies of the interstate certificates of veterinary inspection (ICVI), we have added administrative details explaining how animal health officials are to administer the ICVI to the draft proposed rule. We also clarified that States and Tribes may elect to use other movement documentation when they agree to do so, except for breeding animals over 18 months of age.

Issue: Traceability performance standards (page 2 of Appendix B)

While the intent of the traceability performance standards was maintained, we clarified the performance standards. Specifically, we clarified the traceability performance standards to include all official animal identification numbers. Before, the standards referenced individual numbers on eartags. Using “animal numbers” versus “official eartags,” makes it clear that traceability performance of group/lot movements may be evaluated. Additionally, we clarified that the performance standards will be subject to change as more information is gained on the overall implementation of the animal disease traceability framework.

Issue: Reference animals used to evaluate the traceability performance standards (page 19 of Appendix A)

Animals selected as reference animals for the evaluation of a State’s or Tribe’s tracing compliance with the traceability performance standards must include only those animals with official identification numbers issued after the publication of the traceability regulation. Likewise, only animals moved interstate after the publication of the final rule are to be selected as reference animals. The previous document was not clear on this issue, causing concern that traceability performance measures would be applied to these activities retrospectively. This would not be appropriate, because animals moved interstate before the final rule are subject to different requirements.

Issue: Aquaculture (not previously covered)

In the proposed rule, we will explain that while aquatic animals are included in the definition of livestock, their inclusion in the traceability regulation will be considered as the National Aquatic Animal Health Plan is implemented.

Issue: Preemption (not previously covered)

Preemption will be covered in the updated document. The new traceability regulation will preempt State, Tribal, and local laws and regulations unless specified in the regulation. For example, a receiving State or Tribe may not require the ship-from State or Tribe to use a specific traceability system (e.g., electronic identification). However, a State or Tribe could require official identification of the younger beef cattle during the phase-in, even though they are exempt from the official identification requirement by the APHIS traceability regulation.

Issue: Other Regulatory Changes (not previously covered)

In addition to adding a new part 90 to title 9, *Code of Federal Regulations*, the rule will propose minor amendments to other sections of the regulations (parts 71, 77, and 78). These proposed amendments would align the existing parts with the new part and provide consistency and transparency.

March 2011

Issue: Captive Cervid Identification and Documentation Requirements (page 6 of Appendix A)

In earlier versions of the upcoming proposed rule, we referenced part 81 for identification and documentation requirements for captive cervids moving interstate. However, the requirements that appear in part 81 are not currently in effect. The effective date was delayed indefinitely. Therefore, we now refer to part 77, tuberculosis, which has requirements for captive cervids.

Issue: Phased-in Approach for Cattle (pages 7 and 8 of Appendix A)

We revised the discussion of the phase-in approach for cattle to clarify that the assessment is part of the initial phase, rather than a separate phase. As written before, the assessment appeared as step II. We also removed references to steps I and III. We are now referring to the foundation phase (previously step I) as the initial phase.

In addition, we clarified that the use of backtags will be a temporary form of identification for slaughter only animals.

Issue: Use of Brands and Other Identification Methods for Cattle (page 8 of Appendix A)

To clarify that States will be able to continue to use brands and other identification methods for cattle, we added the text in bold to the list of exemptions from the official identification requirement:

- Between any two States or Tribes with another form of identification, **including but not limited to brands, tattoos, and breed registry certificates**, as agreed upon by animal health officials in those two States or Tribes.



United States
Department of
Agriculture

Marketing and
Regulatory
Programs

Animal and
Plant Health
Inspection
Service

Animal Disease Traceability

Comprehensive Report & Implementation Plan

September 28, 2010

Amended January 18, 2011

Contents

Executive Summary	2
Section 1: Introduction	4
Section 2: New Traceability Framework	5
Guiding Principles	5
Uniformity	5
National Flexibility, Local Responsibility	5
Focus On Interstate Movement	6
Building On Progress	6
Section 3: Traceability Rulemaking	9
Overview	9
Draft Requirements By Species	10
Section 4: Key Activities To Quantify Compliance & Progress	12
Traceability Performance Standards	12
Traceability Tiers	13
Compliance Factors	14
Traceability Cooperative Agreements	17
Section 5: Implementation Timelines	18
Rulemaking	18
Cattle Implementation	18
Compliance Factors	19
Traceability Performance Standards	19
Section 6: Resource Requirments	21
Fiscal Year 2011 Budget Plan	21
Future Cost Projections	Error! Bookmark not defined.
Summary & Conclusion	23

Executive Summary

The U.S. Department of Agriculture's (USDA) traceability framework is a coordinated approach to the mandatory identification of animals moving interstate. This approach embraces the strengths and expertise of States, Tribes, and producers and empowers them to find and use the most effective traceability approaches to identify animals moving interstate nationally.

Moreover, this approach builds on the success of disease programs. USDA's Animal and Plant Health Inspection Service (APHIS) has experienced successful traceability through the

Builds on the successful, fundamental identification requirements — methods that are widely accepted by producers and cost effective.

identification methods used in disease eradication programs, including some programs that are concluding. Our refocused approach builds on the successful, fundamental identification requirements of those programs. These fundamentals include reestablishing the

use of the basic identification methods that are successful, widely accepted by producers, and cost effective. Specifically, APHIS will establish traceability regulations for the interstate movement of farm-raised livestock and poultry. Cattle are the priority because of the void in traceability in that sector. For other species, we will maintain and build on the identification requirements of existing disease program regulations.

USDA's traceability framework will be codified through rulemaking. We will add a new section to title 9 of the *Code of Federal Regulations* (9 CFR) containing the requirements for the interstate movement of livestock. These regulations will require that livestock moved interstate be officially identified and be accompanied by an interstate certificate of veterinary inspection (ICVI) or other official documentation, with some exemptions.

Requires livestock moved interstate be officially identified and accompanied by an ICVI.

The regulation will specify the authorized methods of official identification for each species that must be accepted by all States and Tribes, thereby ensuring national uniformity. Identification and documentation requirements will be phased in for some classes of cattle to allow adequate time to ramp up compliance and enforcement efforts.

The traceability regulation will be outcome based. These outcomes will be defined by traceability performance standards that the States and Tribes must meet. As the national tracing capability improves over time, we will strengthen and tighten our performance standards, thus ensuring regular, steady progress toward full animal disease traceability. APHIS assembled a State, Tribal, and Federal Traceability Regulation Working Group to develop our rulemaking and to ensure broad-based national support for our approach. We plan to publish a proposed rule in April 2011; a final rule is planned to follow in 12 to 15 months.

To facilitate the implementation of our new animal traceability approach, APHIS intends to consult an advisory group with representatives from APHIS, States, Tribes, and industry. The advisory group could offer recommendations on various issues relating to traceability, such as our phase-in of official identification requirements for cattle and bison and what additional traceability requirements should be applied to States and Tribes that do not meet our proposed performance standards. In addition, the group may provide feedback on the effectiveness of various elements of the traceability program during the implementation process.

The approach of the new animal disease traceability framework will bring tangible results that will markedly improve our Nation's traceability, specifically of cattle. While the transition to the official identification requirement for all ages and classes of cattle will be over a period of time, more cattle will begin to be officially identified when the framework details are confirmed as producers get ready for the new requirements established through the rulemaking process. The results of the framework, unlike any previous effort and a first in the history of the United States, will achieve the official identification of nearly all cattle that move interstate. Moreover, USDA's performance-based approach will measure tracing capabilities to ensure the activities support more timely and complete response to animal disease events.

The results of the framework, unlike any previous effort and a first in the history of the United States, will achieve the official identification of nearly all cattle that move interstate.

This discussion is intended to provide technical assistance at the Appropriation Committees' indication. This document is not a budget request, as it was not developed through the budget process. Future budget requests will be based on the availability of funds and Administration priorities.

Section 1: Introduction

Protecting American agriculture by safeguarding animal health and productivity is vital to the American people. Healthy livestock and poultry is one component to providing the public a safe, affordable, and wholesome food supply. Preventing the introduction of foreign animal diseases that harm both livestock and the livelihoods of producers also creates economic stability and opportunity. In addition, when U.S. livestock are healthy and disease prevention and control measures are adequate, our trading partners have confidence in our products. While ranchers and farmers work hard to protect their animals and their livelihoods, there is no guarantee their animals will be spared from disease; disease events can happen accidentally or intentionally. Rapid response systems minimize economic impact when diseases enter this country and disrupt the movement of livestock.

Animal disease traceability is a cornerstone of USDA's disease control activities. While prevention is our priority, an effective response system must be in place in the event of a disease outbreak. The potential emergence of highly contagious diseases makes that need all the more urgent. To be better able to prevent disease from spreading and to eradicate disease where it exists, we have to be able to quickly trace infected and exposed animals. Traceability is a tool that reassures the American livestock producer, consumers, and our trading partners because of its role in safeguarding animal health. The faster we can trace sick animals, the faster we can stop the spread of disease and resume normal movements.

USDA expanded its animal disease efforts in 2004 by initiating the National Animal Identification System (NAIS). NAIS allowed producers who were not part of a disease program to voluntarily participate in national animal health safeguarding efforts. While the program achieved progress, it met with significant opposition from many sectors of the industry.

Many American producers were concerned that NAIS was too intrusive. Moreover, States and Tribes believed that NAIS did not give them flexibility to account for local needs and variations of production systems across the United States. Additionally, producers became discouraged and distrustful as NAIS implementation strategies repeatedly changed. To develop a comprehensive understanding of how to design and deliver an animal disease traceability program, USDA gathered input from the public through a variety of mechanisms (15 listening sessions in 2009, public comment periods, focus groups, and ongoing stakeholder input). USDA evaluated alternatives for building an effective traceability capability while developing a new framework. We learned from the mistakes we made in trying to implement NAIS.

The following sections explain the new approach APHIS is now taking to implement a national animal disease traceability framework.

Section 2: New Traceability Framework

Guiding Principles

Secretary Vilsack's February 5, 2010, announcement on traceability set a new course for the Department's approach to animal disease traceability to strengthen the ability to successfully respond to animal diseases. The Secretary stated that USDA's refocused animal disease traceability framework is about building on progress and closing gaps in our ability to trace animals infected or potentially exposed to a disease. We are focusing on making real, measurable progress toward effective national animal disease traceability.

Regulatory Change and Public Dialogue

USDA is taking deliberate and transparent steps to implement the framework. We will publish a new animal disease traceability section in 9 CFR, thereby establishing a regulation that requires the official identification of livestock moving interstate. This framework will be implemented systematically and consistently. The regulation will also include the use of the ICVI to provide greater information on livestock movement. We continue to obtain stakeholder feedback on the animal disease traceability framework, and they will have additional opportunity to comment after the proposed rule is published. Our approach is "outcome based." Outcomes of the program will be presented and defined as specific traceability performance standards. Mandating effective traceability outcomes (rather than prescribing specific, inflexible means to achieving those outcomes) is key to enabling States and Tribes to implement specific solutions that work for their producers.

Uniformity

The traceability plan for the United States is based on compatible data standards to ensure that a uniform system evolves throughout the United States. That system will support the needs of official animal disease monitoring, control, and eradication programs and interstate animal movement. Official identification will be defined in 9 CFR by species. While USDA will provide several official identification options, the use of official identification (as set out in the CFR) will be required. The concept of uniformity does not mean that State systems need be identical, only that they are compatible and that they adhere to national requirements. These standards will ensure a uniform and coherent national strategy for traceability.

National Flexibility, Local Responsibility

Through the framework, APHIS will implement a flexible yet coordinated approach to animal disease traceability that embraces the strengths and expertise of States, Tribes, and producers and empowers them to find and use the traceability approaches that work best for them. States and Tribes, working closely with local producers, will be responsible for implementing traceability systems that will allow them to achieve national traceability performance standards. These performance standards will ensure the Nation has a high level of tracing capabilities.

Focus on Interstate Movement

Our approach, at the Federal level, focuses on animals that move interstate as such movements have the greatest impact on the spread of diseases nationally. Additionally, producers who raise animals to feed themselves, yet move those animals across a State line for custom slaughter, are outside our scope and focus.

Common Sense and Cost Effective

We have had successful traceability through the identification methods used in disease eradication programs. We are building on the fundamental principles of those successes. Those fundamentals include reestablishing the use of the basic identification methods that have proven to be successful, widely accepted by producers, and cost effective. The flexibility of our approach will allow for the use of advancing technology. Producers wishing to use radio frequency identification (RFID) for official identification will continue to have that option.

Cooperation

Traceability is a joint effort among Federal, State, Territorial, and Tribal animal health officials and participants in the animal production chain. Success will depend on effective partnerships. USDA's role will be to work with State and Tribal agencies and the private sector to establish clear, uniform, Federal standards to enhance interstate animal movement. APHIS will establish clear guidelines and performance measures so States, Tribes, and Territories know what their traceability systems must achieve for their livestock and poultry to move interstate.

Building on Progress

The new framework is designed to recoup and capitalize as much as possible on our previous investments. For example, USDA will use and freely make available to States and Tribes the information technology infrastructure we have developed to support our traceability efforts to date. The outcomes of and progress achieved through cooperative agreements with the States and Tribes will also be transferable to the new approach.

Outcomes that we have achieved with our funding to date are summarized below.

Premises Data

Data for nearly 40 percent of the estimated 1.4 million premises in the United States with livestock, or 550,000 premises, are recorded in the current information technology systems. While the information structure for "housing" these records and the continuation of the premises system is at the discretion of the States and Tribes, these records are being maintained by the States and provide a solid foundation from which to work as the refocused traceability framework is implemented.

Animal Identification Devices and Data

The distribution records for nearly 20 million official identification devices are recorded in the Animal Identification Management System (AIMS). Over 7 million of these devices are animal identification number (AIN) radio frequency identification tags. Nine manufacturers offer 40 different AIN 840 tags, a form of acceptable identification that uses the country designation for the United States.

Information Technology Infrastructure

Multiple information systems were developed to support NAIS. These systems are a crucial part of the refocused traceability framework and are integrated in various animal disease program activities.

- Premises or Location Identification: USDA developed extensive premises systems that maintain data on more than 550,000 locations. The premises identification systems for the new framework will expand on the design and function of the existing systems, giving States and Tribes more options. States and Tribes can choose to use the systems through a federally hosted data center. Additionally, to address producer concerns, a local version of the database will allow States and Tribes to host the data locally. The data standard for the premises identification number (PIN) will be maintained with the option for States to use their State postal abbreviation as the first two characters.

The premises information repository maintains a record of all premises. This system, which previously centralized the records of all producers in the NAIS, will be modified to allow States and Tribes to store only the information they prefer. For example, USDA will no longer require that the producer's contact information be associated with the premises. Data integrity is maintained by storing all PINs in the repository issued within a State or Tribe.

States and Tribes may also issue their own location identifiers in accordance with the new data standards. The premises repository remains a vital component of the traceability system to maintain a record of State- or Tribe-issued location identifiers for providing secure communications to the State- or Tribe-maintained data when necessary to support a disease event.

- Animal Identification Systems: The AIMS maintains records on the distribution of the AIN 840 devices. Numerous industry organizations have developed communication interfaces with the AIMS to report the manufacturer of official devices and for distributors to report distribution to farms and ranches. Additionally, the official sheep and goat tags used in the scrapie eradication program are administered in the AIMS. The AIMS has been integrated with the mobile information management system to facilitate automated data capture using AIN RFID tags for emergency disease investigation and response purposes and other regulatory animal disease efforts, such as bovine tuberculosis testing and for brucellosis calfhood vaccination and testing.

Because of the success the AIMS has shown with the distribution record of AIN 840 tags and scrapie tags, the system is being expanded to support the administration all official identification devices, including metal tags commonly used for cattle.

- **Animal Trace Processing System:** APHIS developed the Animal Trace Processing System (ATPS) that animal health officials will use when initiating a response to an animal health event. The system puts in place the communication and messaging process between the private and State animal tracking databases (ATD) and the ATPS to ensure that animal movement information is provided to the animal health official in a timely manner. However, State and Federal animal health officials will not have direct access to the systems. They will only be able to request information. This will maintain a clear disconnect to Federal government access to the data. USDA deployed the ATPS in March 2007.

The ATPS provides security, electronic data transfer, and auditing processes. Additionally, the ATPS integrates other relevant data from the animal health databases managed by APHIS. The ATPS will enable Federal and State animal health officials to submit requests for information to the ATDs when investigating an animal disease event.

- **Animal Health Information Repository:** The animal health information repository offers immediate access to other APHIS information systems that are being used to support disease programs. The repository stores data on all animal identification records so they can be found quickly when a disease investigation is initiated. Currently, the ATPS interface provides immediate access to over 160 million records.

Section 3: Traceability Rulemaking

Overview

Through rulemaking, APHIS is including many principles of the disease traceability framework in a new section of 9 CFR. The following is a brief description of the proposed rule being developed. For more complete information on the recommended content of the proposed rule, see Appendix A, “Details on the Preliminary Content of the Proposed Rule.”

The traceability regulation is outcome based. The outcomes are being defined as traceability performance standards. One example of a performance standard under consideration is tracing animals to the State or Tribe in which they were identified 95 percent of the time within 7 days. APHIS convened a State-Tribal-Federal Traceability Regulation Working Group to develop these standards and work collectively on the content of the proposed rule. This collaborative approach ensures that the rule will provide strong, clear Federal requirements, while at the same time accounting for local needs.

The Federal regulation will require that livestock moved interstate be officially identified and be accompanied by an ICVI or other documentation. More information on ICVIs is provided below in Section 4, Key Activities to Quantify Compliance & Progress, Compliance Factors. The regulation will specify authorized forms of official identification for each species that must be accepted by all States and Tribes. However, we will also allow livestock to be moved between any two States or Tribes with another form of identification (such as branding, for example) as agreed on by animal health officials in the two jurisdictions. Some animals and interstate movements would warrant exemption from official identification and ICVI. These limited exemptions will be outlined in the regulation and are explained in Appendix A.

USDA will also maintain its identification requirement for disease programs and make minor amendments to other sections of existing regulations to align with the new part. Additionally, we will maintain import regulations related to identification and traceability.

Appendix A gives the details of the proposed traceability rule. Achieving a high level of official animal identification is critical to a successful traceability system. Through the rule, official identification will be a primary requirement for the interstate movement of livestock. Additionally, knowing the locations and movement of animals is necessary for timely response. Therefore, an ICVI, movement permit, or other documentation will be required to accompany livestock moving interstate. Appropriate exceptions to the ICVI requirements will be defined for each species.

Under the new regulations, States and Tribes would need to meet traceability performance standards (see section on performance standards below). If States and Tribes do not meet the performance standards, livestock moved interstate from those States and Tribes may need to meet additional requirements.

Draft Requirements by Species

Aquaculture

Aquatic animals are included in the definition of livestock and will their inclusion in the traceability regulation will be considered as the National Aquatic Animal Health Plan is implemented.

Captive Cervids

Captive cervids moved interstate will be required to be officially identified as provided in the current regulations. The traceability regulation will not have any effect on captive cervids—official identification requirements in 9 CFR part 81, “Chronic Wasting Disease in Deer, Elk, and Moose,” will be used to support the traceability framework.

Cattle¹

The new regulation will address the current traceability voids in the cattle sectors by requiring official identification and ICVIs for animals moving interstate. Further, the new regulation will include cattle of all ages. Prior to this rule, only adult cattle over 24 months of age were required to be officially identified for interstate movement (9 CFR 71.18).

Including all cattle increases the number of officially identified cattle by 20 million animals per year. To avoid market disruption, sectors of the beef industry must be phased in systematically as the fundamentals of the animal disease traceability framework are implemented and proven to be workable. The industry supports the need to have complete and successful disease tracing and wants to phase in feeder cattle when the program has a solid, functional base. Cattle producers and industry organizations remain concerned that due to operational issues and shortfalls of the system, applying the requirements too quickly to feeder cattle could actually delay achieving full implementation. Additionally, the phase-in will allow USDA time to ramp up its compliance and enforcement efforts.

In response to feedback from industry and animal health officials, USDA has prepared a phased-in approach to meet the needs of both animal health officials and the industry. This plan ensures that the industry sectors can systematically implement the cattle handling practices and record requirements necessary to support the framework. More information on the current thinking for implementing the regulations in the cattle industry is given in Appendix A and in section 5.

Horses and Other Equine

Horses and other equine moved interstate will be required to be officially identified as defined in the new traceability regulation and accompanied by an ICVI or other movement document, as agreed to by the States or Tribes involved in the movement.

¹ While bison are not referenced specifically in this report, the working group recommends that all regulations for cattle be applicable for bison.

Poultry

Poultry moved interstate will be required to be officially identified in the new traceability regulation with forms of official identification specified. Poultry are often identified with group or lot identification. Additionally, the new regulation will require poultry moved interstate to be accompanied by an ICVI, unless otherwise exempted.

Sheep and Goats

Sheep and goats moved interstate must be officially identified to comply with current regulations. The traceability regulation would not have any effect on sheep and goats—the effective official identification requirements in 9 CFR part 79, “Scrapie in Sheep and Goats,” will be maintained.

Swine

Swine moved interstate must be officially identified to comply with current regulations. The traceability regulation would not have any effect on swine—the effective official identification requirements in 9 CFR 71.19, “Identification of Swine in Interstate Commerce,” will be maintained.

Section 4: Key Activities to Quantify Compliance & Progress

Traceability Performance Standards

The concept of traceability performance standards supports and aligns with the basic principle of an outcome-based regulation. Performance standards describe a desired result or outcome, but not the methods for achieving the result or outcome. They provide a process to evaluate tracing capabilities uniformly across the States and Tribes.

In measuring national tracing capability, we will consider whether reference animals (animals that are part of a disease investigation or selected for a test exercise) that are required to be officially identified to move interstate can be traced from the State or Tribe of origin (shipped from location) to the State or Tribe of destination (shipped to location) within a certain timeframe during a disease investigation.

APHIS has identified four measurements to evaluate the interstate movement tracing capability of States and Tribes:

1. Time required for the State or Tribe of destination to notify the State or Tribe in which the reference animals were officially identified.
2. Time required for the State or Tribe where the official animal number (i.e., official eartag) was issued to validate the application and/or issuance of the reference animal numbers for which they were notified (in Performance Standard 1). This can be accomplished using distribution records that contain contact information for the business or operation to which the numbers were issued.
3. Time required for the State or Tribe of destination to notify the State or Tribe from which the reference animals were shipped. Increasing electronically searchable data from the ICVI as well as the use of electronic ICVIs will make achieving this performance standard easier.
4. Time required for the State or Tribe of origin to validate the movement of the reference animals for which they were notified (in Performance Standard 3) from the State or Tribe of origin to the State or Tribe of destination. This can be accomplished using required ICVI information, which includes the location where the inspection by an accredited veterinarian takes place and the location to which the animals are moved interstate. A movement permit or other document may be used when the equivalent information reflecting the shipped from location and location of destination can be determined.

Table 1 in Appendix B summarizes the performance standards being considered. Most of the standards will be implemented in two phases to enable States and Tribes to improve their current capabilities and to allow adequate time for USDA to ramp up its enforcement and compliance efforts. Appendix B also explains how the performance standards are applied using a scenario of an animal that moved interstate. Section 5 of this report details the timeline for implementing these performance standards.

Traceability Tiers

APHIS, through collaboration with States and Tribes, will establish and publish in the traceability performance standards document a process for evaluating the progress of States and Tribes in achieving tracing capability in harmony with the traceability performance standards. We are considering establishing three categories, or tiers, to reflect the States' and Tribes' progress.

- **Traceability Tier I.** The State or Tribe meets all traceability performance standards for the species.
- **Traceability Tier II.** In this interim or provisional classification, the State or Tribe does not fully meet all traceability performance standards for the species, but performance is within an acceptable range. (An acceptable range will be defined and added to this document later.) No additional traceability requirements are imposed for interstate movement of that species from the State or Tribe. The State or Tribe implements corrective actions and will be reevaluated within 1 year. APHIS will reevaluate the State or Tribe upon request of State or Tribal animal health officials. If the State or Tribe does not meet all traceability performance standards for the species after 3 years, the State or Tribe will be assigned Traceability Tier III for that species.
- **Traceability Tier III.** The State or Tribe does not qualify for Traceability Tier I or II for that species. A State-Federal-industry group will conduct an audit when performance standards are not met. Additional requirements may apply to interstate movements of that species from the State or Tribe to enhance traceability of that species. In each case, the Administrator will establish additional interstate movement requirements, taking into consideration the results of the traceability evaluation. The additional requirements could include applying or recording official identification that would otherwise not be required under the regulation or supplemental documentation, such as permits. Additional interstate movement requirements applicable to a particular species from a State or Tribe classified as Traceability Tier III for that species will be made public. APHIS will reevaluate the State or Tribe at the request of State or Tribal animal health officials.

APHIS will post the list of traceability tiers online and publish notices of changes in designation in the *Federal Register*.

Compliance Factors

The success of our tracing capabilities hinges on a high level of compliance with the regulation and adherence to related policies by all animal health officials. Compliance factors with regulations and policies will include several items, including those listed below. Having adequate resources is crucial to the administration of enforcement protocols.

Official Identification

Compliance with the official identification requirements for livestock moving interstate is necessary to achieve the traceability performance standards. An “official identification” compliance factor will reflect the percent of animals moving interstate that are required to be officially identified that were officially identified when moved interstate. APHIS will also evaluate the proper administration of official identification devices by animal health officials and industry to ensure official tags are traceable.

Collection of Identification at Slaughter Plants

Animal disease surveillance activities are commonly administered in the slaughter plants. Ensuring that the official identification of an animal is maintained through carcass inspection is critical. Therefore, compliance factors may include the percentage of official identification properly collected at slaughter.

Interstate Certificates of Veterinary Inspection

Along with the requirement for official identification of animals moving interstate is the requirement for ICVIs, which document the health of the animals. The ICVI provides important information about animals permitted to move interstate, including the points of origin and destination. Complete and accurate information from these forms will greatly enhance tracing capability. Their use will become essential for States and Tribes to achieve the traceability performance standards. APHIS will closely oversee the proper use of ICVIs and use the National Veterinary Accreditation Program as a means to ensure these animal health officials are well advised of these requirements.


When an ICVI would be required, it would accompany each shipment and list the following information:

- Consignor and location from which the animals are to be moved
- Consignee and destination of the animals
- Number of animals covered by the certificate
- Purpose for moving the animals
- Individual official identification (or confirmation that the animals are each officially identified) or group/lot identification number
- Dates and results of the official tests
- Age
- If required, a permit number issued by the State of destination

An example of Virginia's ICVI form is provided on the following page.

Another key priority for implementing the framework is to advance the use of electronic ICVIs for moving livestock interstate. Such technology will make the data searchable, thus decreasing the time necessary to retrieve traceback records when conducting an investigation.

Example of an ICVI from Virginia

 <p>COMMONWEALTH OF VIRGINIA Virginia Department of Agriculture and Consumer Services Division of Animal and Food Industry Services 102 Governor Street, Richmond, VA 23219 Telephone (800) 786-2483</p>	<p>CERTIFICATE OF VETERINARY INSPECTION For Use Only In Shipping Domestic Livestock and Bison Certificate Void After 30 Days Current Import Requirements Can Be Obtained From the State of Destination</p>	<p>CERTIFICATE NUMBER</p> <p>Page of Pages Date of Shipment</p>	<p>Entry Permit Number</p>
<p>Point of Origin - Name & Address (911 Address or Prem. ID Required)</p> <p>Street _____ State _____ Zip _____</p> <p>City _____</p> <p>Premises Identification Number (PIN): _____</p> <p>Consignor - Name & Address (If Different Than Point of Origin)</p> <p>Street _____ State _____ Zip _____</p> <p>City _____</p>	<p>Re-Consign To - Name & Address (911 Address or Prem. ID Required)</p> <p>Street _____ State _____ Zip _____</p> <p>City _____</p> <p>Premises Identification Number (PIN): _____</p> <p>Veterinarian Name _____</p> <p>Phone # _____ Signature _____</p>	<p>CERTIFICATE NUMBER</p> <p>Re-Consign Date _____ Total # To Re-Consign _____</p>	<p>Entry Permit Number</p>
<p>Point of Origin - Name & Address (911 Address or Prem. ID Required)</p> <p>Street _____ State _____ Zip _____</p> <p>City _____</p> <p>Premises Identification Number (PIN): _____</p> <p>Consignor - Name & Address (If Different Than Point of Origin)</p> <p>Street _____ State _____ Zip _____</p> <p>City _____</p>	<p>Re-Consign To - Name & Address (911 Address or Prem. ID Required)</p> <p>Street _____ State _____ Zip _____</p> <p>City _____</p> <p>Premises Identification Number (PIN): _____</p> <p>Veterinarian Name _____</p> <p>Phone # _____ Signature _____</p>	<p>CERTIFICATE NUMBER</p> <p>Re-Consign Date _____ Total # To Re-Consign _____</p>	<p>Entry Permit Number</p>

Statement / Comments:

Species	State / Area Status	Herd Status	Date	Purpose of Movement	Statement / Comments
<input type="checkbox"/> Cattle <input type="checkbox"/> Sheep <input type="checkbox"/> Swine <input type="checkbox"/> Other (One Species Per Certificate)	Tuberculosis <input type="checkbox"/> Free <input type="checkbox"/> Other Brucellosis <input type="checkbox"/> Free <input type="checkbox"/> Other PRV <input type="checkbox"/> Other	<input type="checkbox"/> Accredited No.: _____ <input type="checkbox"/> Certified No.: _____ <input type="checkbox"/> Validated No.: _____ <input type="checkbox"/> Qual. Neg.: _____ <input type="checkbox"/> Scrapie No.: _____ <input type="checkbox"/> NPIP #: _____ <input type="checkbox"/> Other Program: _____ No.: _____	_____	<input type="checkbox"/> Breeding <input type="checkbox"/> Show <input type="checkbox"/> Feeding <input type="checkbox"/> Sale <input type="checkbox"/> Slaughter <input type="checkbox"/> Relocate <input type="checkbox"/> Other: _____ Carrier: <input type="checkbox"/> Truck <input type="checkbox"/> Other: _____ Carrier Name: _____ Phone #: _____	_____

Line #	USDA APPROVED ID	Name or Other ID	Age	Sex	Breed	Vaccine Tattoo	Date Neg. TB Read	Negative Brucellosis Test Date	Other
Re-Consign	<input type="checkbox"/> EID <input type="checkbox"/> Metal Tag <input type="checkbox"/> Brand <input type="checkbox"/> Tattoo <input type="checkbox"/> Swine Ear Notch	Name (Equine) _____	_____	_____	_____	Temp. _____	Lab Accession Number _____	Lab Name _____	Color _____ Physical Description/Markings _____

Owner **Agent CERTIFICATION:** The animals in this shipment are those certified to and listed on this certificate.

Name: _____ Date: _____

Address: _____

Phone#: _____ Signed: _____

Printed Name: _____ Address: _____ Date: _____

Acc#: _____ Signed: _____

Phone#: _____

Warning: It is a felony to forge a public record, certificate, or attestation, or to utter a forged public record, certificate, or attestation.

Traceability Cooperative Agreements

APHIS must help the States and Tribes fund traceability activities. We envision each cooperator having an APHIS-approved animal disease traceability plan that thoroughly describes the cooperator's objectives and specific strategies for establishing the tracing infrastructure. Federal funding will be provided through annual cooperative agreements that detail implementation strategies supporting the cooperator's traceability plan. Funding levels will be proportionate with the projected costs of the activities defined in the cooperative agreement and align with achieving traceability objectives defined in the State or Tribal animal disease traceability plan.

Section 5: Implementation Timelines

To implement and carry out the refocused traceability framework in the United States, timelines for the publication of the new regulation have been estimated, and factors for compliance and traceability performance standards have been established. Additionally, due to the complexities of implementing the new regulation in the cattle industry, strategies are provided to reflect the phased-in approach. These strategies are summarized in this section and illustrated in figure 1.

Rulemaking

APHIS projects the proposed rule on traceability will be published in early 2011 and the final rule will be published 12 to 15 months later. As indicated earlier, many of the existing disease program regulations will support the traceability framework. In some cases, especially for cattle, the new regulation will expand existing requirements for interstate movements.

Cattle Implementation

The official identification requirements for cattle, as summarized in section 3, will be phased in. In Step I, the foundation phase, adult breeding animals, dairy cattle, and rodeo and show animals will be identified when moving interstate. This phase will begin upon the effective date of the rule.

In Step II, an assessment of progress being made through the new disease framework will be conducted. As part of the assessment, APHIS will evaluate the tracing capabilities of the system. The outcomes of the evaluation will help establish national traceability baselines that, in turn, will be used to define the measurements used in the traceability performance standards.

The assessment will involve the advisory group, which will include industry representation from sectors most affected by the official identification requirements. The advisory group will evaluate the effectiveness of various elements of the initial phase and offer recommendations regarding the application of the official identification requirements to beef cattle under 18 months of age.

We plan to propose a 70-percent rate of compliance with official identification requirements for cattle in Step I before expanding the official identification requirements to the younger beef cattle. We will ask the advisory group, as part of its review of the initial phase, to consider and comment on our data and the evaluation methodology we used for determining that the 70-percent rate of compliance has been attained.

When we have completed our assessment and determined that expansion of the official identification requirements for cattle is viable, APHIS will publish a notice of the assessment in the *Federal Register* and announce the date upon which the official identification requirements will become effective for all cattle and bison.

Step III, full implementation, will begin 1 year after the date on which APHIS publishes an assessment determining that the traceability requirements of the new regulations are working

effectively throughout the production chain and that there is a 70-percent rate of compliance with those requirements for all classes of cattle that are subject to official identification requirements in the initial phase. At that time, nearly all cattle moving interstate will have to be officially identified. Several exemptions, based on the type of interstate movement, will be maintained. These exemptions are discussed in Appendix A.

Compliance Factors

We have established timelines for administering the compliance factors described in the previous section. The immediate priority is to ensure compliance with the regulations pertaining to the collection of all official identification at the slaughter plants. We expect to begin enforcing the requirements for the collection of identification at slaughter in early 2012. Having these practices well established early on will help avoid problems as the volume of official identification increases. The proper completion of ICVIs will also be monitored soon after the final rule is published with compliance factors summarized by mid-2012.

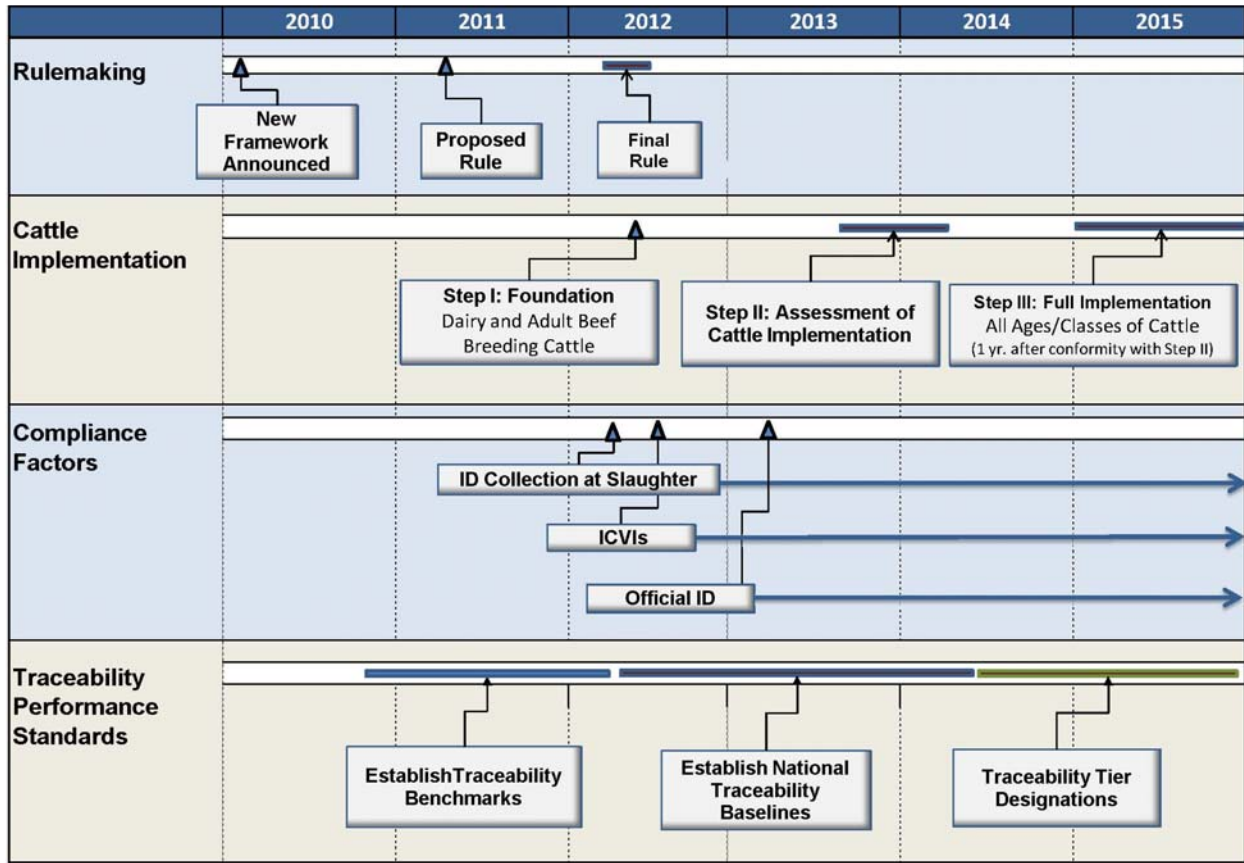
High compliance with the official identification requirements is essential, and enforcement of the regulation will be a high priority. We propose educational periods for several months after the regulation is published to advise producers of the new requirements. Compliance factors will be monitored to ensure resources are properly aligned to support enforcement needs of the new regulation.

Traceability Performance Standards

The traceability performance standards will be used to designate States' and Tribes' traceability capabilities, referred to as Traceability Tiers. We will obtain data now through 2011 that reflects tracing capabilities prior to the implementation of the traceability regulation. The information will provide benchmarks to measure improvements and document progress.

Two years after implementing the regulation, we will establish national baseline traceability values using current tracing capabilities. Only animals moved interstate since the effective date of the rule will be used. As we gain knowledge about our tracing capabilities, the traceability performance standards may need to be adjusted. Some of the performance standards would be phased in, starting with less stringent standards and increasing them as tracing capabilities improve. As illustrated on the following chart, the traceability tier evaluations would be initiated in 2014. After evaluating States' and Tribes' tracing capability in comparison to the standards, the traceability tiers for each will be listed on the traceability Web site.

Figure 1. Approximate Timelines



Section 6: Resource Requirements

This discussion is intended to provide technical assistance at the Appropriation Committees' indication. This information is not a budget request, as it was not developed through the budget process. Future budget requests will be based on the availability of funds and Administration priorities.

Fiscal Year 2011 Budget Plan

The fiscal year (FY) 2011 budget plan calls for \$14,241,000 to support the first full year's transition since the Secretary's announcement to the new traceability framework. The key activities supported by these funds are explained in table 1 below with specific expenditures for each major activity explained in tables 2 to 4. (Funds will be expended monthly.)

Table 1. FY 2011 Budget Plan for Traceability

Activity	Funding Plan
System Funding (Information Technology)	\$1,900,000
Field Implementation (Cooperative Agreements, Outreach, Field)	\$9,611,600
Program Administration	\$2,729,400
Total	\$14,241,000

System Funding

APHIS will use \$1.9 million to support information technology systems to administer animal identification devices, allocate location identifiers, and manage the animal disease traceability information systems. APHIS will continue to provide the premises identification systems to States and Tribes that wish to use these systems. Planned expenditures include the contract with the National Information Technology Center (NITC) to operate and maintain these tracing systems.

Table 2. System Funding (Information Technology)

Software	\$50,000
Hardware	\$20,000
Services (NITC)	\$716,822
Personnel	\$613,178
Support Services (Contracts, Help Desk)	\$500,000
Subtotal	\$1,900,000

Field Implementation

Approximately \$6 million will be used to fund cooperative agreements with States and Tribes to implement the new traceability plan. APHIS will need to obligate these funds in April 2011. The initial purchase of low-cost tags will be made by mid-2011. APHIS will also use \$400,000 to support outreach and about \$2.6 million to support APHIS field activities.

Table 3. Field Implementation (Cooperative Agreements, Outreach, Field)

Eastern Region Cooperative Agreements	\$2,186,300
Western Region Cooperative Agreements	\$3,897,160
ID Tags	\$500,000
Outreach	\$400,000
Eastern Region Field Work	\$1,231,740
Western Region Field Work	\$1,396,400
Subtotal	\$9,611,600

Program Administration

Approximately \$913,000 and \$1.8 million are planned for policy and program administration, respectively.

Table 4. Program Administration

Headquarters Work	\$913,400
Program Administration	\$1,816,000
Subtotal	\$2,729,400

Summary & Conclusion

The new traceability approach addresses many of the producer concerns about previous efforts to implement a national animal identification system by directing more responsibility to the State and Tribe level. Additionally, it offers basic, low-cost animal identification options that are well supported by most sectors of the industry as a starting point to increase the number of animals officially identified, particularly in the cattle sector. As a result of these principles, USDA has gained support for advancing animal disease traceability.

The disease traceability framework will focus where the impact of disease spread is the greatest—animals moving interstate. Rulemaking requiring official identification of livestock along with certificates that document the health of the animals (unless otherwise exempt) brings assurance that necessary levels of participation will be achieved. Unlike the voluntary NAIS, this mandatory approach establishes regulations where current traceability has the greatest void, primarily in the cattle sector. While other species are included, disease program regulations for those species result in adequate traceability. Those regulations are being maintained. For some species, such as equine, deer, and elk, disease-specific additional regulations are being developed.

The vast diversity of U.S. animal agriculture has made it difficult to deploy a “single, one-size-fits-all” solution like other countries. The refocused framework relies on common standards to ensure compatibility of systems while supporting local flexibility. Tracing capability is the “end product,” and the new framework establishes traceability performance standards to ensure progress is made. Decreasing the amount of time to complete a trace is our objective, and the performance-based approach directs our efforts accordingly. Most importantly we can continue, if necessary, to target species and sectors needing improvement.

Measuring States’ and Tribes’ tracing capability and implementing “traceability tiers” for States and Tribes will not happen immediately. However, the regulatory requirements for the interstate movement of livestock will ensure practices are deployed that are highly correlated with tracing capability, most specifically increasing official animal traceability within the cattle sector. While the transition to the official identification requirement for all cattle (with few exemptions) will be over a period of time, the practice of officially identifying cattle to meet future interstate movement requirements would be initiated by many producers soon after they learn of the requirements. With a significant percent of cattle being moved interstate over their lifespan, along with associated marketing opportunities, we project an immediate increase in official identification of the cattle population as producers adjust their management practices in preparation of the new regulation.

The plan addresses previous roadblocks from across the industry, providing a clear way forward through rulemaking. It establishes consistent direction upon which to build. The outcomes will be accurately measured to document progress to ensure a valued return of the investment and support more timely and complete response to animal disease events. This approach will bring tangible results that will markedly improve our Nation’s traceability, specifically in cattle. The results of the framework, unlike any previous effort and a first in the history of the United States, will achieve the official identification of nearly all cattle that move interstate.

Appendix A

Animal Disease Traceability Framework

**Details on the
Preliminary Content of the Proposed Rule**

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

**September 2010
Amended January 18, 2011 and March 29, 2011**

Contents

Introduction	3
Traceability Rulemaking	4
Concepts of Traceability Performance Standards	5
Preliminary Timeline	5
General Requirements for Proposed Traceability Rule	6
Requirements by Species	6
Interstate Certificate of Veterinary Inspection	12
Official Identification	13
General Recordkeeping Requirements for Traceability	15
Administration of Official Identification Devices	15
Definitions	18

Introduction

The Secretary's February 5, 2010, announcement on traceability set a new course for the Department's approach to animal disease traceability to strengthen its ability to successfully respond to animal diseases. Through the new framework, the U.S. Department of Agriculture's (USDA) Animal and Plant Health Inspection Service (APHIS) will implement a flexible yet coordinated approach to animal disease traceability that embraces the strengths and expertise of States, Tribes, and producers and empowers them to find and use the traceability approaches that work best for them. The overall goal of this framework is to have an adaptable approach that will help us find disease, quickly address it, and minimize harm to producers.

We have had successful traceability through the identification methods used in disease eradication programs, and we will build on those successes. The fundamentals include re-establishing the use of the basic identification methods that have proven to be successful, widely accepted by producers, and cost effective. In general, we are looking at regulating the interstate movement of farm-raised livestock and poultry. Because of the significant void in traceability in the cattle sector at this time, new requirements for the identification and documentation of cattle moving interstate will be added. For captive cervids, equine, poultry, sheep and goats, and swine, the existing and or new requirements in title 9, *Code of Federal Regulations* (9 CFR), will support the traceability framework. Aquatic animals are included in the definition of livestock, and their inclusion in the traceability regulation will be considered as the National Aquatic Animal Health Plan is implemented.

Establishing and using standards are critical to the long-term success of our tracing capabilities. We are more clearly defining official identification and the interstate certificate of veterinary inspection (ICVI) and are collaborating to develop other data standards. Once we have the basics in place, we will make further progress over time.

APHIS convened a Traceability Regulation Working Group in early 2010 to recommend the content of the proposed rule that would support an outcome-based approach to achieve improved traceability, while focusing on interstate movement. The preliminary content of the proposed rule was discussed with stakeholders at various venues in 2010, including eight public meetings. APHIS used earlier versions of this document to inform stakeholders of the preliminary thinking of the proposed rule. After considering the public feedback and final recommendations of the working group, APHIS updated this document, which now provides the most current information on the intended content of the animal disease traceability proposed rule.

Traceability Rulemaking

Through rulemaking, APHIS plans to include many principles of the disease traceability framework in a new section of 9 CFR. The existing identification regulations for disease programs will be maintained and supersede the new regulations, and minor amendments will be made to other sections of existing regulations to align with the new part. Additionally, we will maintain import requirements related to identification and traceability in the existing regulations.

The traceability regulation will be outcome based. The outcomes are being developed and defined as traceability performance standards. The performance standards will align well with and support the outcome-based objective. Developing these standards is one of the primary tasks and objectives of the State, Tribal, and Federal Traceability Regulation Working Group that is working collectively on the content of the proposed rule.

The Federal regulations will require that certain livestock moved interstate be officially identified and be accompanied by an ICVI or other documentation. The regulations will specify authorized forms of official identification for each species that should be accepted by all States and Tribes. However, we intend to allow livestock to be moved between any two States or Tribes with another form of identification as agreed upon by animal health officials in the two jurisdictions.

The regulations will require that certain livestock moved interstate be officially identified and be accompanied by an ICVI.

Other species-specific exemptions from official identification and ICVI requirements are explained in the section below titled “Requirements by Species.”

In most cases, the traceability regulation will preempt State, Tribal, and local laws and regulations that are in conflict with the Federal regulation. For example, to be eligible to move interstate into their jurisdictions, States and Tribes may require livestock that are exempt from official identification requirements under the traceability regulation to be officially identified. However, the State or Tribe of destination may not require one official identification device or method if multiple devices or methods may be used under the traceability regulation. Further, the State or Tribe of destination may not impose requirements that would cause the State or Tribe from which the shipments originate to develop a particular kind of traceability system or change its existing system in order to meet the requirements of the State or Tribe of destination.

To facilitate the implementation of the new animal disease traceability approach, APHIS intends to consult an advisory group with representatives from APHIS, States, Tribes, and industry. The advisory group could offer recommendations on various issues relating to traceability, such as our phase-in of official identification requirements for cattle and bison and what additional traceability requirements should be applied to States and Tribes that do not meet our proposed performance standards. In addition, the group may provide feedback on the effectiveness of various elements of the traceability program during the implementation process.

Concepts of Traceability Performance Standards

The concept of traceability performance standards supports and aligns with the basic principle of an outcome-based regulation. Performance standards describe a desired result or outcome, but

Traceability performance standards support and align with the basic principle of an outcome-based regulation.

not the methods for achieving the result or outcome. They provide a process to uniformly evaluate the tracing capabilities of States and Tribes. The measures we have developed focus on tracing animal disease and are applicable for any animal disease investigation. We do not want to build individual solutions for each disease.

The first principle in establishing any performance standard is determining what is being measured. For animal disease traceability, we considered the typical activities taken during a disease traceback event. In addition to the activity, a factor or percent for the successful completion of the activity and a value of time for completing the activity establish the standard. An example would be tracing animals to the State or Tribe in which they were identified 95 percent of the time within 7 days.

Traceability performance standards will help evaluate States' and Tribes' tracing capability. In measuring the tracing capability, we will consider whether reference animals (animals that are part of a disease investigation or selected for a test exercise) required to be officially identified for the purpose of interstate movement can be traced to or from the ship from location and ship

The results of the evaluations would determine a State's or Tribe's traceability status.

to destination within a certain timeframe during a disease investigation. The results of the evaluations would determine a State's or Tribe's traceability status. APHIS will maintain a public listing of traceability statuses.

Traceability performance standards are discussed in more detail in Appendix B, "Traceability Performance Standards & Traceability Tiers."

Preliminary Timeline

Because rulemaking is a complex process, timelines are difficult to project and often need to be readjusted. In addition, APHIS is conducting extensive outreach and collaboration as it develops this rule. At the same time, establishing the traceability regulation is a high priority, and APHIS, together with the working group, is striving to expedite the publication of the rule. We acknowledge that parts of the regulations will need to be phased in to enable the transition to the new framework. The following are the preliminary timelines for publication and implementation of the traceability rule.

- Publish proposed rule approximately April 2011.
- Publish final rule approximately 12 to 15 months after proposed rule is published.

General Requirements for Proposed Traceability Rule

Official identification, defined for each species, and an ICVI would be the primary requirements for the interstate movement of livestock. Exceptions to these requirements would be defined for each species. Livestock moved interstate would continue to have to comply with official identification and other documentation requirements in disease program regulations.

The interstate movement requirements would not apply to the movement of livestock within Tribal land that straddles a State line if the Tribe has a separate traceability status from the States in which its lands are located. The proposed rule will explain the applicability of the regulation as it pertains to the movement of livestock on and off Tribal lands. Under the rule, if a Tribal land straddling a State line does have a separate traceability plan from the States in which it is contained, then because of Tribal sovereignty, livestock movements taking place entirely within that Tribal land, even across State lines, would not be regarded as interstate movement.

The interstate movement requirements would not apply to the movement of livestock to a custom slaughter facility in accordance with State and USDA's Food Safety and Inspection Service (FSIS) regulations for preparation of meat for personal consumption.

Under the new regulations, States and Tribes would need to meet traceability performance standards (see Appendix B). If States and Tribes do not meet the performance standards, producers, owners, and entities within those States and Tribes may need to meet additional requirements for the movement of animals.

Requirements by Species

Aquaculture

Aquatic animals are included in the definition of livestock, and their inclusion in the traceability regulation will be considered as the National Aquatic Animal Health Plan is implemented.

Captive Cervids

Interstate movement requirements for captive cervids are currently included in the tuberculosis regulations in 9 CFR part 77. Except for captive cervids from accredited-free States or zones, all captive cervids moving interstate are required under part 77 to be officially identified. To avoid redundancy in the proposed rule, it simply states that captive cervids that are required to be officially identified for interstate movement must be identified by a device or method authorized by part 77.

Cattle and Bison

Official Identification

Current regulations in 9 CFR 71.18 require the individual identification of sexually intact cattle (breeding animals) over 24 months of age that move interstate. Including cattle under 24 months of age will increase the number of officially identified cattle by 20 million animals per year. To avoid market disruption, sectors of the beef industry must be phased in systematically as the fundamentals of the animal disease traceability framework are implemented and proven to be workable. The industry supports the need to have complete and successful disease tracing and wants to phase in feeder cattle when the program has a solid, functional base. Cattle producers and industry organizations remain concerned that due to operational issues and shortfalls of the system, applying the requirements too quickly to feeder cattle could actually delay achieving full implementation. Additionally, the phase-in will allow USDA time to ramp up its compliance and enforcement efforts.

In response to feedback from industry and animal health officials, USDA has prepared a phased-in approach to meet the needs of both animal health officials and the industry. This plan ensures that the industry sectors can systematically implement the cattle handling practices and record requirements necessary to support the framework.

Initial Phase: Upon the effective date of the rule, the requirement for official identification is lowered from the current 24 months to 18 months while including all dairy, rodeo, and show cattle when moving interstate. Additionally, during the initial phase, cattle and bison would be exempt from the official identification requirement when:

- Moved directly to a recognized slaughtering establishment or directly to no more than one approved livestock facility approved to handle “for slaughter only” animals (cattle or bison that, when marketed, are presented or sold for slaughter only) and then directly to a recognized slaughtering establishment; and
 - o Have a USDA-approved backtag; or
 - o The USDA-approved backtag is applied to the cattle or bison at the recognized slaughtering establishment or federally approved livestock facility approved to handle “for slaughter only” animals.

An assessment of progress being made through the new disease framework will be conducted after the final rule has been published. As part of the assessment, APHIS will evaluate the tracing capabilities of the system. The outcomes of the evaluation will help establish national traceability baselines that, in turn, will be used to define the measurements used in the traceability performance standards.

The assessment will involve the advisory group, which will include industry representation from sectors most affected by the official identification requirements. The advisory group will evaluate the effectiveness of various elements of the initial phase and offer recommendations regarding the application of the official identification requirements to beef cattle under 18 months of age.

We plan to propose a 70-percent rate of compliance with official identification requirements for cattle in Step I before expanding the official identification requirements to the younger beef cattle. We will ask the advisory group, as part of its review of the initial phase, to consider and comment on our data and the evaluation methodology we used for determining that the 70-percent rate of compliance has been attained.

APHIS will consider the advisory report and all feedback from the public regarding the official identification of beef cattle under 18 months of age. When we have completed our assessment and determined that expansion of the official identification requirements for cattle is viable, APHIS will publish a notice of the assessment in the *Federal Register* and announce the date upon which the official identification requirements will become effective for all cattle and bison.

Full Implementation: Beginning 1 year after the date on which APHIS publishes an assessment determining that the traceability requirements of the new regulations are working effectively throughout the production chain and that there is a 70-percent rate of compliance with those requirements for all classes of cattle that are subject to official identification requirements in the initial phase, nearly all cattle moving interstate will have to be officially identified. Several exemptions, based on the type of interstate movement, will be maintained and are discussed below.

Upon the effective date of the rule, cattle moving interstate as follows would be exempt from the official identification requirement:

- As a commuter herd with a copy of the commuter herd agreement.
- Directly from one State through another State and back to the original State (for example, a truck crosses into another State when moving cattle to another farm location within the producer's operation).
- To a custom slaughter facility in accordance with State or Federal regulations for preparation of meat for personal consumption.
- Between any two States or Tribes with another form of identification, including but not limited to brands, tattoos, and breed registry certificates, as agreed upon by animal health officials in those two States or Tribes.
- Directly to an approved tagging site. The cattle or bison must be officially identified before commingling with cattle from other premises.

Table 1. Summary of Potential Requirements for Cattle¹ Moving Interstate

Summary of Official Identification for Cattle and Bison	
Initial Phase	Final Phase
<p>Unless exempt as provided below, require official identification for:</p> <ul style="list-style-type: none"> • All sexually intact cattle and bison 18 months of age or over • Dairy cattle of any age • Cattle and bison of any age used for rodeo or recreational events • Cattle and bison of any age used for shows or exhibitions 	<p>Unless exempt as provided below, require official identification for:</p> <ul style="list-style-type: none"> • All cattle
Temporary Exemptions	
<ul style="list-style-type: none"> • Beef cattle under 18 months (feeder cattle) • Cattle and bison moved directly to slaughter (including through one approved livestock facility; for example, auction/market) with a USDA-approved backtag. 	
Exemptions to Official Identification	
<p>Cattle and bison moving interstate would be exempt from the official identification requirement when moved:</p> <ul style="list-style-type: none"> – Between any two States or Tribes with another form of identification, including but not limited to brands, tattoos, breed registry certificates as agreed upon by animal health officials in those two States or Tribes. – As a commuter herd with a copy of the commuter herd agreement. – Directly from a location in one State through another State to a second location in the original State. – Directly to an approved tagging site and are officially identified before commingling with cattle and bison from other premises. 	

Interstate Certificate of Veterinary Inspection

All cattle and bison moving interstate, unless otherwise exempt, must be accompanied by an ICVI or other documentation. Exemptions to the ICVI requirement would include cattle and bison moved:

- Directly to a recognized slaughtering establishment, or directly to an approved livestock facility approved to handle “for slaughter only” animals and then directly to a recognized slaughtering establishment. An owner-shipper statement would be required for these movements.
- Directly to an approved livestock facility with an owner-shipper statement; if these cattle and bison are then moved interstate from the facility, an ICVI would be required.
- From the farm of origin for veterinary medical examination or treatment and returned to the farm of origin without change in ownership.
- Directly from one State through another State and back to the original State.
- As a commuter herd with a copy of the commuter herd agreement.

¹ The same requirements would apply to bison.

- Additionally, cattle and bison under 18 months of age may be moved between any two States or Tribes with documentation other than an ICVI, as agreed upon by animal health officials in those two States or Tribes.

The official identification number would be required on the ICVI, unless:

- The cattle or bison are moved from an approved livestock facility directly to a recognized slaughtering establishment; or
- The cattle or bison are (1) sexually intact and under 18 months of age or (2) steers or spayed heifers; this exception does not apply to dairy cattle or to cattle or bison used for rodeo, exhibition, or recreational purposes.

Horses and Other Equine

Horses and other equines moving interstate must be officially identified before interstate movement by one of the following methods:

- As determined by a State animal health official in the State of destination or an APHIS representative, a description that identifies the individual equine to include:
 - Name
 - Age
 - Breed
 - Color
 - Gender
 - Distinctive markings or unique and permanent forms of identification when present (e.g., brands, tattoos, scars, cowlicks, or blemishes)
- Electronic identification that complies with ISO 11784/11785.
- Digital photographs of the equine sufficient to identify the individual equine, as determined by a State or Tribal animal health official in the State or Tribe of destination, or APHIS representative.
- For equines being commercially transported for slaughter, a device or method authorized by 9 CFR part 88.

Poultry

Official Identification

Poultry moving interstate must be identified with sealed and numbered leg bands in the manner referenced in the National Poultry Improvement Plan (NPIP) regulations (9 CFR parts 145 through 147), a group identification number, or as agreed to by State or Tribal officials.

Interstate Certificate of Veterinary Inspection

Additionally, the new regulation would require poultry moved interstate to be accompanied by an ICVI unless they are moved:

- From a flock participating in the NPIP and are accompanied by the documentation required by that program.
- Directly to a recognized slaughtering establishment.
- From the farm of origin for veterinary medical examination, treatment, or diagnostic purposes and either returned to the farm of origin without change in ownership or euthanized and disposed of at the veterinary facility.
- Directly from one State through another State and back to the original State.
- Between any two States or Tribes with a Veterinary Services (VS) Form 9-3 or documentation other than an ICVI, as agreed upon by animal health officials in those two States or Tribes.
- The poultry are moved under permit in accordance with 9 CFR part 82.

Sheep and Goats

Sheep and goats moved interstate would be required to be officially identified as required by the scrapie regulations in 9 CFR part 79. The traceability regulation would not have any effect on sheep and goats—the official identification and documentation requirements in 9 CFR part 79, “Scrapie in Sheep and Goats,” will be maintained.

Swine

Swine moved interstate would be required to be officially identified as required by regulations in 9 CFR 71.19. The traceability regulation will not have any effect on swine—the official identification and documentation requirements in 9 CFR 71.19, “Identification of Swine in Interstate Commerce,” will be maintained.

Interstate Certificate of Veterinary Inspection

We are proposing to define interstate certificate of veterinary inspection (ICVI) as an official document issued by a Federal, State, Tribal, or accredited veterinarian at the location from which animals are shipped interstate. The proposed definition further lists the information requirements for the ICVI:

- Species of animals covered by the ICVI
- Number of animals covered
- Purpose for which the animals are to be moved
- Address at which the animals were loaded for interstate movement
- Address to which the animals are destined
- Names of the consignor and the consignee and their addresses if different from the address at which the animals were loaded or the address to which the animals are destined
- Official identification number of each animal unless the species-specific requirements for ICVIs provide an exception

Additionally, if an alternative form of identification has been agreed upon by the sending and receiving States or Tribes, the ICVI must include a record of that identification. If the animals are not required by the regulations to be officially identified, the ICVI must state the exemption that applies (e.g., the cattle and bison are of a class of cattle and bison exempted during the initial stage of the phase-in). For those categories of animals required to be officially identified but whose identification number does not have to be recorded on the ICVI, the ICVI must state that all animals to be moved under the ICVI are officially identified. An ICVI may not be issued for any animal that is not officially identified if official identification is required.

The person directly responsible for animals leaving a premises would be responsible for ensuring that the animals are accompanied by the ICVI or other interstate movement document. The APHIS representative, State or Tribal representative, or accredited veterinarian who issues an ICVI or other document required for the interstate movement of animals would have to forward a copy of the ICVI or other document to the State animal health official of the State of origin within 5 working days. The State or Tribal animal health official in the State or Tribe of origin, in turn, would have to forward a copy of the document to the State of destination within 5 working days. These proposed requirements would ensure that such documents would be issued only by qualified personnel, would accompany the animals being moved, and would be made available in a timely manner for use by APHIS and State animal health officials for use in traceback investigations.

Official Identification

The traceability regulation will contain official identification requirements by species for individual animals and groups of animals. Basically, the regulation would specify that identification is required for the interstate movement of each listed species, unless otherwise exempted. The regulation would specify what criteria must be met for the various eartags, devices, or methods to be considered official for each species. Official identification numbers, as defined in the regulation, for an animal or group of animals moving interstate will be applicable for all species. (See the definitions section for more detail.)

Summary of Official Identification Eartags

The following is a summary of official identification eartag criteria and options based on the intended content of the proposed traceability rule. Table 2 gives examples of official identification numbers for individual animals. Table 3 summarizes official identification eartags that would conform to the new regulation.

At a minimum, official identification eartags for individual animals must be imprinted with:

- An official animal identification number
- U.S. shield²



The basic characteristics are:

- Tamper evident, high retention
- Other characteristics defined through tag specification

² In the past, States that ordered metal tags directly from the manufacturer have used the State postal abbreviation in lieu of the U.S. shield. The new traceability regulation would state that, “Beginning 1 year after the effective date of the final rule, all official eartags applied to animals must bear the U.S. shield.” The intent is to achieve a process to easily and consistently determine if an animal’s eartag is official per the CFR.

Table 2. Official Identification Numbers for Individual Animals Moving Interstate

Number	Format of Animal Number	Examples
National Uniform Eartagging System	9 character - 2 numeric State code or 2 alpha postal abbreviation - 3 alpha series - 4 digits in a chronological numerical series	23 ELV 4574 PA ELV 4574
	8 character - Swine and other species (except sheep and goats) o 2 numeric State code o 2 alphabetical series o 4 digits in a chronological numerical series	23 AB 4574
	- Sheep and goats (exclusive to scrapie program) o 2 alpha postal abbreviation o 2 alphabetical or alphanumeric series o 4 digits in a chronological numerical series	PA AB 4574 or PA A2 4574
Animal Identification Number	- 15 digits; 840 is the first three digits (numeric code for USA) - Reserved for use on U.S. born animals	840 003 123 456 789
Flock-Based Number	- Flock identification number (maximum of 9 characters prefixed with State’s postal abbreviation) with a unique herd management number	MN0456 4275
Location-Based Number	- A premises identification number or location identification number with a unique herd management number	006ER2A 4275

Table 3. Summary of USDA Official Eartags for Interstate Movement (does not include official reactor tags, etc.)

Official Identification Eartags	General Explanation
Brucellosis Vaccination Eartag	- Restricted for use with brucellosis vaccination. This refers to the orange metal eartag with a National Uniform Eartagging System number.
National Uniform Eartagging System - Referred to as “Brite” Tags	- Historically used for disease testing and interstate movement. - VS Memorandum being revised to allow distribution to producers at direction of State animal health officials.
Animal Identification Number (AIN) “840” Tags	- Provided to producers or animal health official. Various sizes, shapes, colors. Visual only or with radio frequency identification technology, including implantable devices. May be imprinted with additional information for program identity, e.g., age, source programs.
Scrapie Program Tags	- Serial and flock identification tags including scrapie flock certification program tags approved through the scrapie program and provided at no cost to producers, markets, veterinarians, and others through State or Area offices. “840” tags are also provided for regulatory work in infected and exposed flocks. Producers may purchase customized flock identification or “840” tags from approved tag manufacturers.
Premises Identification Number Tags – Slaughter Swine	- Imprinted with premises identification number. Various tags approved through authorized manufacturers.

General Recordkeeping Requirements for Traceability

Records of tag distribution. The State or Tribal Nation that issued official tags with the National Uniform Eartagging System would be required to keep a record of all official identification numbers issued to an animal. The records would have to include sufficient information to determine where the official device was distributed. States and Tribes would have to retain those records for 5 years. The records would have to be made available to APHIS during any audit and during a disease event. The record of distribution of devices with the AIN would be required to be entered in the Animal Identification Management System in accordance with the Animal Disease Traceability General Standards document.

Interstate movement records: Approved livestock facilities must keep a copy of any ICVI or alternate documentation that is required by this part for the interstate movement of the livestock for 5 years after the interstate movement of the livestock. The ICVI or other documentation must be kept for 5 years and must be made available to APHIS and State animal health officials upon request. This would be a change to 9 CFR 71.20, which now requires livestock facilities to keep records for 5 years for sheep and goats, but only for 2 years for all other livestock

Administration of Official Identification Devices

Removal of official identification. Removal of official identification devices, including devices applied to imported animals in their countries of origin and recognized by the Administrator as official, would be prohibited except at the time of slaughter; at other points of termination, such as rendering facilities or diagnostic laboratories; and in compliance with FSIS regulations on the collection of all manmade identification and the correlation of such with carcasses through final inspection.

Replacement of official identification. The State animal health official or an Area Veterinarian in Charge would be able to authorize the replacement of an official identification device under certain circumstances, including:

- Deterioration of the device such that loss of the device appears likely or the number can no longer be read
- Infection at the site where the device is attached, necessitating application of a device at another location (e.g., a slightly different location of an eartag in the ear)
- Malfunction of the electronic component of a radio frequency identification (RFID) device
- Incompatibility or inoperability of the electronic component of a radio frequency device with the management system or unacceptable functionality of the management system due to use of an RFID device

When an official identification device is replaced, as authorized by the State animal health official or Area Veterinarian in Charge, the following information would have to be recorded: the date the device is removed, contact information for the location where the device is removed, the official identification number on the device removed (to the degree possible), the type of device removed (e.g., metal eartag, RFID eartag), reason for the removal, the new official identification number of the replacement device, and the type of replacement device applied.

Sale or transfer of official identification devices. Unless authorized by APHIS, the regulations would prohibit the sale or transfer of official identification devices from the premises to which they were originally issued to another premises.

Loss of official identification devices. If an animal loses an official identification device and needs a new one, the new official identification number would be correlated with the lost number, when possible, and maintained as part of the record by the individual or entity responsible for the official identification devices.

Application of only one official tag and number. After a certain date specified in the final rule, applying more than one official identification device with different numbers to the same animal would be prohibited, unless:

- A State animal health official or Area Veterinarian in Charge approves the application of a second official identification number in specific cases when the need to maintain the identity of an animal is intensified (such as for export shipments, quarantined herds, field trials, experiments, or disease surveys). Approval cannot be merely for the convenience of identifying animals. The second official identification number must be correlated to the first official identification number with pertinent information maintained by the person applying the second official device. APHIS will provide processes and information systems that may be used to electronically maintain this data.
- An animal identification number (AIN) eartag beginning with the 840 prefix (either RFID or visual-only tag) may be applied to an animal that is already officially identified with an official eartag with the National Uniform Eartagging System number (commonly referred to as an official metal or “brite” tag). The animal’s official identification number on the existing official identification eartag must be recorded and reported in accordance with the AIN device distribution policies.
- A brucellosis vaccination eartag with a National Uniform Eartagging System number may be applied per the calfhood brucellosis vaccination regulation to an animal that is already officially identified with an eartag with a National Uniform Eartagging System number.

Collection of identification at slaughter: APHIS plans to work with FSIS to support the collection of all manmade identification at slaughter plants under existing regulations. Additionally, the new traceability regulation would require that all manmade identification devices affixed to livestock moved interstate be removed at slaughter, placed in a clear plastic bag, and affixed to the corresponding carcass until the postmortem examination has been completed. Alternate methods of correlating identification devices with the carcass may be approved by FSIS. Such official identification devices must be made available to APHIS and FSIS when required to obtain traceback information necessary for proper disposition of the animal or carcass, for controlling the slaughter of reactor or suspect animals, or for the documentation of animal termination postinspection.

Definitions

The following definitions would be included in the regulations. Additional definitions would also be included.

- **Animal identification number (AIN).** A numbering system for the official identification of individual animals in the United States that provides a nationally unique identification number for each animal. The AIN consists of 15 digits, with the first 3 being the country code (840 for the United States). The alpha characters USA or the numeric code assigned to the manufacturer of the identification device by the International Committee on Animal Recording may be used as an alternative to the 840 prefix until 1 year after the effective date of the final rule. The AIN beginning with the 840 prefix may be used only on animals born in the United States.
- **Approved livestock facility.** A stockyard, livestock market, buying station, concentration point, or any other premises under State or Federal veterinary inspection where livestock are assembled and that has been approved under 9 CFR 71.20.
- **Approved tagging site.** Premises authorized by APHIS or State animal health officials to officially identify livestock on behalf of their owner or the person in possession, care, or control of the animals when they are brought to the premises.
- **Commuter herd.** A herd of cattle or bison moved interstate during the course of normal livestock management operations and without change of ownership directly between two premises, as provided in a commuter herd agreement.
- **Commuter herd agreement.** A written agreement between the owner(s) of a herd of cattle or bison and the animal health officials for the States or Tribes of origin and destination specifying the conditions required for the interstate movement from one premises to another in the course of normal livestock management operations and specifying the time period, up to 1 year, that the agreement is effective. A commuter herd agreement may be renewed annually.
- **Dairy heifer.** A female bovine that has not freshened (given birth) and that is of a breed used to produce milk for public consumption.
- **Directly.** Without unloading en route if moved in a means of conveyance, or without stopping if moved in any other manner.
- **Flock-based numbering system.** The flock-based number system combines a flock identification number (FIN) with a producer's livestock production numbering system to provide a nationally unique identification number for an animal. The FIN and the production number must both appear and be distinct on the official tag and may not include the letters "I," "O," or "Q" other than as part of a State postal abbreviation.
- **Flock identification number (FIN).** A nationally unique number assigned by a State or Federal animal health authority to a group of animals that are managed as a unit on one or more premises and are under the same ownership. The FIN must begin with the State postal abbreviation, must have no more than nine alphanumeric characters, and must not contain the letters "I," "O," or "Q" other than as part of the State postal abbreviation. FINs will be linked with the National Scrapie Database to one or more premises identification numbers.

- **Group/lot identification number (GIN).** The identification number used to uniquely identify a “unit of animals” of the same species that is managed together as one group throughout the preharvest production chain. The GIN consists of the location identification number (LID) or premises identification number (PIN), as defined in this section, plus a six-digit representation of the date on which the group or lot of animals was assembled (MM/DD/YY), and two additional digits, ranging from 01 to 99, for the numbering of different groups or lots of animals assembled on the same premises on the same day. When more than one group of animals is assembled, the groups will be designated consecutively as 01, 02, 03, etc. The number is established by the person responsible for the animals. When a group/lot identification number is used, the group/lot identification number is recorded on documents accompanying the animals; it is not necessary to have the GIN attached to each animal.
- **Interstate certificate of veterinary inspection (ICVI).** An official document issued by a Federal, State, or accredited veterinarian at the location from which animals are shipped interstate. The ICVI must show the species of animals covered by the ICVI, the number of animals covered by the ICVI, the purpose for which the animals are to be moved, the location where the animal was inspected prior to shipment and the animal’s destination, and the name and address of the consignor and the consignee. Additionally, unless the species-specific requirements for ICVI provide an exception, the ICVI must list the official identification number of each animal or group of animals moved that is required to be officially identified, or, if the sending and receiving States have agreed upon an alternative form of identification, the ICVI must include a record of that identification. If animals moving under a GIN also have individual official identification, only the GIN must be listed on the ICVI. If the animals are not required by the regulations to be officially identified, the ICVI must state the exemption that applies (e.g., the animals are steers or spayed heifers). If the animals are required to be officially identified but the identification number does not have to be recorded on the ICVI, the ICVI must state that all animals to be moved under the ICVI are officially identified; an ICVI may not be issued for any animal that is not officially identified if official identification is required.
- **Interstate movement.** From one State into or through any other State.
- **Location-based numbering system.** The location-based number system combines a State- or Tribal-issued location identification number or a premises identification number with a producer’s livestock production numbering system to provide a unique identification number for an animal.
- **Location identification number (LID).** A nationally unique number issued by a State, Tribal, and/or Federal animal health authority to a location as determined by the State or Tribe in which it is issued. The LID may be used in conjunction with a producer’s own livestock production numbering system to provide a unique identification number for an animal. It may also be used as a component of a group/lot identification number. The LID must not contain the letters “I” or “O” other than as part of a State postal abbreviation. The LID consists of:
 - A six- or eight-character alphanumeric code, with the first two characters being either the State postal abbreviation, or for LIDs issued by a Tribe, a two-character alphanumeric code issued to the Tribe by APHIS; or

- A seven-character alphanumeric code with the first two characters being the State postal abbreviation and the right-most character being a check digit based on the ISO 7064 Mod 36/37 check digit algorithm.
- **Moved.** To carry, enter, import, mail, ship, or transport; to aid, abet, cause, or induce carrying, entering, importing, mailing, shipping, or transporting; to offer to carry, enter, import, mail, ship, or transport; to receive in order to carry, enter, import, mail, ship, or transport; or to allow any of these activities.
- **National Uniform Eartagging System.** A numbering system for the official identification of individual animals in the United States that provides a nationally unique identification number for each animal. The National Uniform Eartagging System employs a nine-character alphanumeric format consisting of a two-number or two-letter State, Tribe, or territory code, followed by three letters and four additional numbers or eight-character alphanumeric format consisting of a two-number or two-letter State, Tribe, or territory code, followed by two letters and four additional numbers. The eight-character format with the postal abbreviation may have a number and letter combination following the postal abbreviation (see table 2 for the listing of these format options). Official APHIS disease control programs may specify which format to employ.
- **Official eartag.** An identification tag approved by APHIS that provides an official identification number for individual animals. Beginning 1 year after the effective date of the final rule, all official eartags applied to animals must bear the U.S. shield. The design, size, shape, color, and other characteristics of the official eartag will depend on the needs of the users, subject to the approval of the Administrator. The official eartag must be tamper-resistant and have a high retention rate in the animal.
- **Official identification device or method.** A means approved by the Administrator of applying an official identification number to an animal of a specific species or associating an official identification number with an animal or group of animals of a specific species.
- **Official identification number.** A nationally unique number that is permanently associated with an animal or group of animals and that adheres to one of the following systems:
 - National Uniform Eartagging System
 - Animal identification number
 - Location-based number system
 - Flock-based number system
 - Any other numbering system approved by the Administrator for the official identification of animals
- **Officially identified.** Identified by means of an official identification device or method.
- **Owner-shipper statement.** A statement signed by the owner or shipper of the livestock being moved stating: the location from which the animals are moved interstate; the destination of the animals; the number of animals covered by the statement; the name and address of the owner at the time of the movement; the name and address of the shipper; and the identification of each animal, as required by the regulations, unless the regulations specifically provide that the identification does not have to be recorded.
- **Premises identification number (PIN).** A nationally unique number assigned by a State, Tribal, and/or Federal animal health authority to a premises that is, in the judgment of the

State, Tribal, and/or Federal animal health authority, a geographically distinct location from other premises. The PIN is associated with an address, geospatial coordinates, and/or location descriptors that provide a verifiably unique location. The PIN consists of a seven-character alphanumeric code, with the right-most character being a check digit. The check digit number is based on the ISO 7064 Mod 36/37 check digit algorithm. The first two characters may be the State's two-letter postal abbreviation, or for PINs assigned by a Tribe, a two-character alphanumeric code issued to the Tribe by APHIS. The PIN must not contain the letters "I" or "O," other than as part of the State postal abbreviation.

- **Recognized slaughtering establishment.** Any slaughtering facility operating under the Federal Meat Inspection Act (21 U.S.C. 601 *et seq.*), the Poultry Products Inspection Act (21 U.S.C. 451 *et seq.*), or State meat or poultry inspection acts.
- **Reference animal.** An animal that is used to evaluate a State's or Tribe's ability to meet the traceability performance standards. APHIS may randomly select reference animals for a test exercise or may select animals that were included in an actual disease traceback investigation as reference animals. However, animals will be eligible to be used as reference animals only if they were moved interstate on or after the date they are required to be officially identified and only if they are identified with an official identification number issued on or after the effective date of final rule.
- **United States Department of Agriculture (USDA) approved backtag.** A backtag issued by APHIS that provides a temporary unique identification for each animal.

Appendix B

Animal Disease Traceability Framework

**Traceability Performance Standards &
Traceability Tiers**

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

**September 2010
Amended January 18, 2011**

Traceability Performance Standards

The concept of traceability performance standards supports and aligns with the basic principle of an outcome-based regulation. Performance standards describe a desired result or outcome, but not the methods for achieving the result or outcome. They provide a process to evaluate tracing capabilities uniformly across the States and Tribes.

The regulations would require States and Tribes to meet certain traceability performance standards. APHIS plans to reference the traceability performance standards in the regulation, but will list them in a separate traceability performance standards document. Listing the performance standards separately would enable APHIS to make the regulations more flexible as the performance standards may need to be revised occasionally. Any changes would be made after publication of a notice in the *Federal Register* soliciting comments on the potential revisions.

Reference animals will be selected to evaluate tracing capabilities. Animals would be eligible to be used as reference animals only if they were moved interstate on or after the date they are required to be officially identified and only if they are identified with an official identification number issued on or after the effective date of the final rule. These eligibility criteria would ensure that only animals moved interstate under the traceability regulations could serve as reference animals. States and Tribes would be evaluated on their ability to trace animals moved in accordance with the new regulation only.

Some of the performance standards will become more stringent as the outcomes of the new regulations are realized. We do not know when the more stringent standards would become effective; at this time, we are merely reflecting that tracing capability will improve in these areas.

APHIS has identified four measurements to evaluate the interstate movement tracing capability of States and Tribes. The **first performance standard** measures the time required for the State or Tribe of destination to notify the State or Tribe in which the reference animals were officially identified. Since this is already a relatively simple process, the working group recommends that it should be accomplished 95 percent of the time within 1 business day.

The **second performance standard** measures the time required for the State or Tribe of tag origin to validate the application and/or issuance of the reference animal numbers for which they were notified (in performance standard 1). This can be accomplished using distribution records that contain contact information for the business or operation to which the numbers were issued. The working group recommends this process be phased in to provide achievable standards in the short term and higher standards in the long term. Currently, the records of tags applied are in paper-based systems that may take more time to research than electronic databases. When the performance standards are first evaluated, the activity should be accomplished 75 percent of the time within 5 business days. As official identification records become easier to search, the time required to find the origin of an identification device will decrease. At that time, the activity should be accomplished 95 percent of the time within 2 business days.

The **third performance standard** measures the time required for the State or Tribe of destination to notify the State or Tribe from which the reference animals were shipped. The working group also recommended this standard be phased in. Initially, the activity should be accomplished 95 percent of the time within 7 business days. As traceability systems mature, the activity should be accomplished 95 percent of the time within 3 business days. Increasing the use of electronic ICVIs will make achieving this performance standard easier.

The **fourth performance standard** measures the time required for the State or Tribe of origin to validate the movement of the reference animals for which they were notified (in performance standard 3) from their State or Tribe to the State or Tribe of destination. This can be accomplished using required ICVI information, which includes the location where the inspection by an accredited veterinarian takes place and the location to which the animals are moved interstate. A movement permit or other document may be used when the equivalent information reflecting the shipped from location and location of destination are able to be determined. The working group also recommended that this standard progress over time. Initially, the activity should be accomplished 75 percent of the time within 5 business days. As the system matures, the activity should be accomplished 95 percent of the time within 2 business days.

Table 1 below summarizes the performance standards being considered to align with the objectives of an outcome-based regulation.

Table 1: Interstate Traceability Performance Standards

Number	Action or Activity Being Measured	Performed by	Preliminary Standards
1.	Determines the State/Tribe in which the animal was officially identified and notifies that State/Tribe of the reference animal's official identification number	State/Tribe that received the reference animal	95% notification within 1 business day
2.	Confirms that it has documentation that an official ID number was issued within its jurisdiction and that it has contact information for the person who received that number	State/Tribe where the reference animal was officially identified	Initial: 75% within 5 business days Future: 95% within 2 business days
3.	Determines the State or Tribe from which the animal was moved interstate into its jurisdiction and notifies that State or Tribe of the reference animal's official ID number	State/Tribe that received a reference animal	Initial: 95% within 7 business days Future: 95% within 3 business days
4.	Determines the address or location from which the reference animal was shipped	State/Tribe that receives notification that a reference animal moved interstate from its jurisdiction (may be the same State/Tribe in #2)	Initial: 75% within 5 business days Future: 95% within 2 business days

How would these traceability performance activities be conducted?

For illustrative purposes, let's consider the interstate movement scenario where a dairy cow was shipped from Wisconsin to Texas. The animal had been identified through the Dairy Herd Improvement Association with an 840 tag. Therefore, that identification was used to meet the official identification requirement for interstate movement. The cow was then sold and moved from Texas to California.

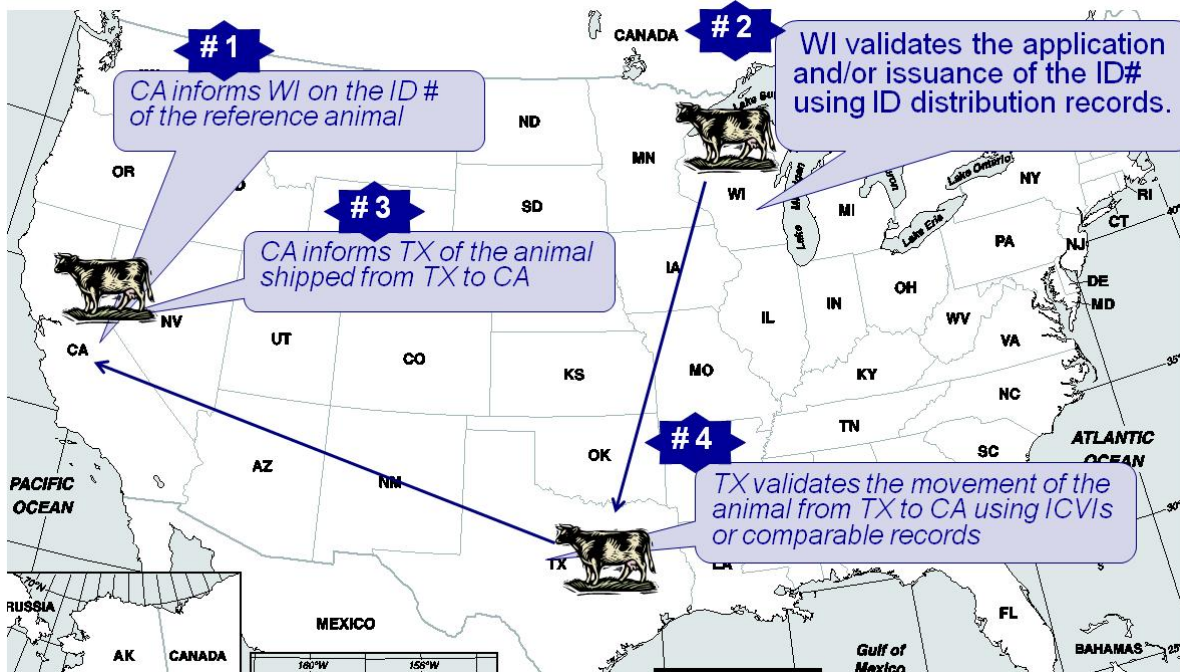
The diagram below illustrates the actions these States would take to fulfill the traceability performance standards. In this exercise, California identifies the animal as a reference animal for performance standard measurement purposes. The following actions reflect how the performance standards align with traceback activity (presented in the numeric order of the performance standards, not necessarily the order the actual tracing events may be conducted).

- Performance Standard #1: California, using the Animal Identification Management System, determines the 840 tag was distributed to Wisconsin and informs Wisconsin of the official identification number of the reference animal.
- Performance Standard #2: Wisconsin validates the 840 number reported was correct based on tag distribution records. Again, the Animal Identification Management System should be a good source of that information in this case.
- Performance Standard #3: California informs Texas of the official identification number of the animal shipped from Texas to California.

- Performance Standard #4: Texas validates that the reference animal moved from Texas to California based on information contained on ICVIs or comparable documents.

Figure 1 below illustrates the actions these States would take to fulfill the traceability performance standards.

Figure 1: Interstate Movement Scenario



Traceability Tiers

APHIS, through collaboration with States and Tribes, will establish a process for evaluating the progress of States and Tribes in achieving tracing capability in harmony with the traceability performance standards. We are considering establishing three categories, or tiers, to reflect the States' and Tribes' progress.

- **Traceability Tier I.** The State or Tribe meets all traceability performance standards for the species.
- **Traceability Tier II.** In this interim or provisional classification, the State or Tribe does not fully meet all traceability performance standards for the species, but performance is within an acceptable range. (An acceptable range will be defined and added to this document later.) No additional traceability requirements are imposed for interstate movement of that species from the State or Tribe. The State or Tribe implements corrective actions and will be reevaluated within 1 year. APHIS will reevaluate the State or Tribe upon request of State or Tribal animal health officials. If the State or Tribe does not meet all traceability performance standards for the species after 3 years, the State or Tribe will be assigned Traceability Tier III for that species.
- **Traceability Tier III.** The State or Tribe does not qualify for Traceability Tier I or II for that species. A State-Federal-industry group will conduct an audit when performance standards are not met. Additional requirements may apply to interstate movements of that species from the State or Tribe to enhance traceability of that species. In each case, the Administrator will establish additional interstate movement requirements, taking into consideration the results of the traceability evaluation. The additional requirements could include applying or recording official identification that would otherwise not be required under the regulation or supplemental documentation, such as permits. Additional interstate movement requirements applicable to a particular species from a State or Tribe classified as Traceability Tier III for that species will be made public. APHIS will reevaluate the State or Tribe at the request of State or Tribal animal health officials.

To allow States and Tribes adequate time to develop the traceability systems that work best for them, the performance evaluation process would be phased in. Evaluations of States' and Tribes' ability to meet the performance standards for each species would start 3 years after the effective date of the final rule. Tribal lands within a State's boundaries would be included in the evaluation of that State unless the Tribe opted to be evaluated separately. To ensure equal treatment for Tribes, any Tribe wishing to be evaluated separately from the State(s) in which its lands are located could request separate consideration at any time.

Listings of traceability tiers, according to species, for all States and Tribes would be posted on the APHIS traceability Web site. The public would be informed about changes in tiers through notices published in the *Federal Register*.

Appendix C

Official Eartags – Criteria and Options

August 13, 2010

This report summarizes the criteria and options for official identification eartags based on the intended content of the proposed traceability rule and other policy revisions being made to VS memorandums.

Minimum criteria for official identification eartags for individual animals:

- Imprinted with a nationally unique official animal identification number
- U.S. shield¹



Basic characteristics:

- Tamper evident, high retention
- Other characteristics defined through tag specification

Table 1. Official Identification Numbers for Individual Animals

Number	Format of Animal Number	Number Examples
National Uniform Eartagging System (NUES)	9 character	23 ELV 4574
	- 2 numeric State code or 2 alpha postal abbreviation	PA ELV 4574
	- 3 alpha series - 4 digits in a chronological numerical series	
<i>Note: The adjacent number option provides an alpha/numeric format following the State abbreviation to avoid duplication of numbers</i>	8 character	23 AB 4574
	- Swine and other species (except sheep and goats) <ul style="list-style-type: none"> o 2 numeric State code o 2 alphabetical series o 4 digits in a chronological numerical series 	
	- Sheep and goats (exclusive to scrapie program) <ul style="list-style-type: none"> o 2 alpha postal abbreviation o 2 alphabetical or alphanumeric series o 4 digits in a chronological numerical series 	PA AB 4574 or PA A2 4574
Animal identification number (AIN)	- 15 digits; 840 is the first three digits (numeric code for USA)	840 003 123 456 789
Flock-based number	- Flock identification number (maximum of 9 characters prefixed with State’s postal abbreviation) with a unique herd management number	MN0456 4275
Location-based number²	- Either a premises identification number (PIN) or location identification number (LID) with a unique herd management number	006ER2A 4275

¹ In the past, States that ordered NUES tags directly from the manufacturer have used the State postal abbreviation in lieu of the U.S. shield and the letters “VS” for Veterinary Services. The following text is being considered for the new traceability regulation; “Beginning 1 year after the effective date of the final rule, all official eartags applied to animals must bear the U.S. shield.” The intent is to achieve an easy and consistent means to determine if an animal’s eartag is official per the *Code of Federal Regulations*.

² Location identifiers in the new traceability framework include both the premises identification number (PIN) issued through the PIN allocator and the Location Identification (LID) numbers issued by the State or Tribe.

Table 2. Summary of USDA Official Eartags (does not include official reactor tags, etc.)

Official Identification Eartags	General Explanation
Brucellosis vaccination eartag	- Restricted for use with brucellosis vaccination.
National Uniform Eartagging System (NUES) - Referred to as “Brite” Tags	- Historically been used for disease testing and interstate movement. - VS Memorandum being revised to allow distribution to producers at direction of State animal health officials.
Animal identification number (AIN) “840” Tags	- Provided to producers or animal health official. Various sizes, shapes, colors. Visual only or with RFID technology. May be imprinted with additional information for program identity, e.g., age, source programs.
Scrapie program tags	- Serial and flock identification tags including scrapie flock certification program tags approved through the scrapie program and provided at no cost to producers, markets, veterinarians, etc., through State or AVIC offices. “840” tags are also provided for regulatory work in infected and exposed flocks. Producers may purchase customized flock identification or “840” tags from approved tag manufacturers.
Premises identification number (PIN) tags – Slaughter swine	- Imprinted with premises identification number. Various tags approved through authorized manufacturers.

Table 3. Brucellosis Vaccination Eartag

Tag Information	Description
Program use	Brucellosis
Material type	Metal
Color	Orange
Species used on	Cattle and bison
Information on the tag	Front of tag <ul style="list-style-type: none"> - 2 State code - "V" followed by 2 alpha characters in series - 4 numbers in a chronological numerical series <i>Example: 23VFE0578</i>
	Back of tag <ul style="list-style-type: none"> - "VAC" to reflect the brucellosis vaccination - U.S. shield
Additional printing specifications	"T" is used following the State code to avoid duplication of numbers when the "V" series has been completely used.
Issued/distributed to	State/Federal employees & accredited veterinarians performing official brucellosis vaccination
Distribution records/reporting	Record of tags issued <ul style="list-style-type: none"> • The date, receipt, and the first and last serial number of the tags issued should be recorded. Record of tags applied <ul style="list-style-type: none"> • Permanent record of tags applied.
	Other comments
How to obtain	State and Federal animal health officials, accredited veterinarians. For use only when calves are being vaccinated.



Table 4. National Uniform Eartagging System – (“Brite Tag”)
9-character Format

Tag Information	Description
Program use	Not a specific disease program tag
Material type	Metal
Color	Silver <i>Note: USDA does not inventory a variety of colors; however, States may purchase colored tags, other than orange, from manufacturer.</i>
Species used on	Cattle most common. Acceptable for other species except sheep/goats.
Information on the tag	Front of tag - 2 numeric representing State code, or 2 alpha characters for State postal abbreviation - 3 alpha characters in an alphabetical series (omit “V” and “T” as first alpha in the series) - 4 digits in a chronological series Example: 60 ABC 0502
	Back of tag - U.S. shield - “VS” for Veterinary Services <i>Note: State abbreviations acceptable in lieu of the “VS” for tags purchased direct by the State from the tag company.</i>
Additional printing specifications	
Issued/distributed to	Federal & State animal health officials, accredited veterinarians. Distribution to producers is optional and determined by the State.
Distribution records/reporting	Tag distribution records maintained by the State. States may use the Animal Identification Management System for maintaining the distribution records.
Other comments	
How to obtain	State and Federal animal health officials, accredited veterinarians



Table 5. National Uniform Eartagging System – (“Brite Tag”)
8-character Format

Tag Information	Description
Program use	Not a specific disease program tag
Material type	Metal
Color	Silver
Species used on	Most commonly used on species with smaller ears (deer/elk, swine, etc., except sheep and goats)
Information on the tag	Front of tag <ul style="list-style-type: none"> - 2 numeric characters representing State code, or 2 alpha characters for State postal abbreviation - 2 alpha characters in an alphabetical series - 4 digits in a chronological series Example: 23BG0575
	Back of tag <ul style="list-style-type: none"> - U.S. shield - “VS” for Veterinary Services <i>Note: State abbreviations acceptable in lieu of the “VS” for tags purchased directly by the State from the tag company.</i>
Additional printing specifications	
Issued/distributed to	Federal & State animal health officials, accredited veterinarians. Distribution to producers is optional and determined by the State.
Distribution records/reporting	Tag distribution records maintained by the State. States may use the Animal Identification Management System for maintaining the distribution records.
Other comments	
How to obtain	State and Federal animal health officials, accredited veterinarians



Table 6. Animal Identification Number (AIN) Tags

Tag Information	Description
Program use	Applicable for all official identification requirements
Material type	Plastic: With or without RFID
Color	Various colors (for AIN RF tags, orange is reserved for calfhood vaccination)
Species used on	Various sizes, shapes approved for most species
Information on the tag For describing 2-piece tags, the designation of “Tag Piece A,” is the piece attached to the inside of the animal’s ear (visual from the front of the animal). “Tag Piece B” is the piece attached to the outside of the animal’s ear (visual from behind the animal).	Tag Piece A: Inside of ear; visible from the front of the animal <ul style="list-style-type: none"> - U.S. shield - 15-digit code with 840 as first 3 digits (numeric code for USA) - Manufacturer’s logo or trademark (printed or impression of) Tag Piece B: Outside the ear; visible from behind the animal <ul style="list-style-type: none"> - U.S. shield - UNLAWFUL TO REMOVE - Imprinting the AIN on the back piece of the tag is optional <i>Note: Print specification for swine tags is different due to the visibility of information imprinted on swine tags.</i>
Additional printing specifications	All tags have minimum print size specifications for required information imprinted on the tags. Other information, most applicable to the panel tags, may be imprinted on the tag if it does not reduce the readability of the required information. Tags with RFID must have all 15 digits of the AIN printed on the tag pieces that contain the transponder.
Issued/distributed to	USDA approves all AIN devices and allocates AIN only to authorized manufacturers that use the numbers on their approved devices. AIN manufacturers distribute tags through AIN managers with whom they have an agreement and directly to State/Federal animal health officials. AIN manufacturers may be AIN managers.
Distribution records/reporting	The entity (animal health officials or AIN manufacturer or managers) that provides the tag to the producer is responsible for having the distribution records entered/submitted to the Animal Identification Management System (AIMS). Likewise, if the tag is distributed to an AIN distributor, the distribution record is to be submitted to the AIMS. When issued for sheep and goats, the tag record must be administered through the scrapie program tag application of AIMS. A premises identification number (PIN) of the premises is required and is used for reporting the distribution record. The system will be adjusted to enable State-issued location identifiers to be used in lieu of PINs.
Other comments	Tag pairs are available (combination of visual tags or visual and RF).
How to obtain	AIN managers representing authorized AIN tag manufacturers (contact AIN manufacturers for information on their AIN managers). APHIS has limited inventory of AIN tags available to State and Tribal animal health officials and AVICs for disease program activities.

Figure 1. AIN Tags

AIN Panel Tag (Visual Only)	AIN RF Button Tags	AIN RF Panel Tags
		
Example of "Logo" AIN Tag	Paired AIN Visual/RFID Tag Set	Paired AIN Visual/Visual Tag Set
		<p>No picture available at this time</p>

Table 7. Flock Identification Tags

Tag Information	Description
Program use	Scrapie eradication program
Material type	Plastic or metal
Color	USDA-provided tags are white or blue (slaughter only). Producers can purchase tags in various colors.
Species used on	Sheep and goats
Information on the tag For describing 2-piece tags, the designation of “Tag Piece A,” is the female piece typically attached to the inside of the animal’s ear (visual from the front of the animal). “Tag Piece B” is the male piece typically attached to the outside of the animal’s ear (visual from behind the animal).	Plastic – Tag Piece A: Inside of ear; visible from the front of the animal <ul style="list-style-type: none"> - U.S. shield - Flock identification number (maximum of 9 characters with first two the State abbreviation) - Unique herd management number - Manufacturer’s logo or trademark (printed or impression of) Plastic – Tag Piece B: Outside the ear; visible from behind the animal <ul style="list-style-type: none"> - U.S. shield - UNLAWFUL TO REMOVE - May include the flock identification number (maximum of 9 characters with first two the State abbreviation) and/or unique herd management number
	Metal single piece – Front of tag <ul style="list-style-type: none"> - Flock identification number (maximum of 8 characters with first two the State abbreviation) Metal single piece – Back of tag <ul style="list-style-type: none"> - U.S. shield - Unique herd management number up to 6 digits in a chronological series Example: PA0575 4567
Additional printing specifications	May include customized printing in addition to the required printing on producer purchased tags. May include “SFCP” (Scrapie Flock Certification Program) when issued to participating producers.
Issued/distributed to	Producers who own flocks
Distribution records/reporting	Distributed through AIMS directly from approved tag manufacturer to producer
Other comments	Mandatory USDA identification program for sheep and goats. Producers in the voluntary SFCP program may have tags imprinted with SFCP. All sheep over 18 months of age; sexually intact sheep under 18 months of age that are sold for breeding or exhibition; sheep sold unrestricted, sheep not in slaughter channels; and sheep that have lambed or are pregnant. Breeding goats of any age that are registered or sold for commercial milk production and sexually intact goats of any age sold for exhibition.
How to obtain	Producers order tags through AVIC or State office or purchase directly from approved tag manufacturers.

Flock Identification Tags



SCR-FDX840-REG



SCR-FDX840-REG
SFCP Tag Option

XX represents State postal code.

Table 8. Scrapie Program Serial Tags

Tag Information	Description
Program use	Scrapie program
Material type	Plastic or metal
Color	White for sheep and goats eligible to move as breeding animals and blue for “slaughter only” animals
Species used on	Sheep and goats
Information on the tag For describing 2-piece tags, the designation of “Tag Piece A,” is the female piece typically attached to the inside of the animal’s ear (visual from the front of the animal). “Tag Piece B” is the male piece typically attached to the outside of the animal’s ear (visual from behind the animal).	Tag Piece A: Inside of ear; visible from the front of the animal <ul style="list-style-type: none"> - U.S. shield - 8 characters - State postal abbreviation followed by a letter and number or a number and a letter, then 4 numbers (Examples: PAA12345 or PA1A2345) - Manufacturer’s logo or trademark (printed or impression of)
	Tag Piece B: Outside the ear; visible from behind the animal <ul style="list-style-type: none"> - U.S. shield - UNLAWFUL TO REMOVE
Additional printing specifications	Metal single piece – Front of tag <ul style="list-style-type: none"> - 8 characters - State postal abbreviation followed by two letters and 4 numbers (Example: PABG0575)
	Metal single piece – Back of tag <ul style="list-style-type: none"> - State postal abbreviation and U.S. shield
	Metal – inside tag, tag company name
Issued/distributed to	Markets, dealers, veterinarians, feedlot operators and others who do not own flocks
Distribution records/reporting	Distributed through AIMS
Other comments	Mandatory USDA identification program for sheep and goats. All sheep over 18 months of age; sexually intact sheep under 18 months of age that are sold for breeding or exhibition; sheep sold unrestricted, sheep not in slaughter channels; and sheep that have lambed or are pregnant. Breeding goats of any age that are registered or sold for commercial milk production and sexually intact goats of any age sold for exhibition.
How to obtain	Producers order tags through AVIC or State office.



Table 9. Premises Identification Number (PIN) Tag for Slaughter Swine

Tag Information	Description
Program use	Swine
Material type	Plastic
Color	Industry has recommended and is using pink.
Species used on	Slaughter swine
Information on the tag For describing 2-piece tags, the designation of "Tag Piece A," is the piece attached to the inside of the animal's ear. "Tag Piece B" is the piece attached to the outside of the animal's ear.	Tag Piece A: <ul style="list-style-type: none"> - U.S. shield - UNLAWFUL TO REMOVE
	Tag Piece B: <ul style="list-style-type: none"> - State postal abbreviation ¹ - PIN - U.S. shield - UNLAWFUL TO REMOVE - Manufacturer's logo or trademark (printed or impression of) - Barcode of corresponding PIN on the reverse side.
Additional printing specifications	All tags have minimum print size specifications for required information imprinted on the tags. Other information may be imprinted on the tag if it does not reduce the readability of the required information. The herd management number is optional.
Issued/distributed to	Swine producers
Distribution records/reporting	Manufacturers report distribution of tags by product code to APHIS VS.
Other comments	
How to obtain	Producers may obtain direct from authorized manufacturers.



Tag Piece B ²
(Back of ear)



Inside of Tag Piece B ²
(Not in View while tags is on the pig)



Tag Piece B ³
(Inside of ear)

¹ State postal abbreviation imprinted on PIN tags shipped from manufacturer after August 1, 2009

² The piece attached to the outside of the animal's ear

³ The piece attached to the inside of the animal's ear

Table 10. State Codes and Abbreviations (numeric order)

11	ME	Maine	56	SC	South Carolina
12	NH	New Hampshire	57	GA	Georgia
13	VT	Vermont	58	FL	Florida
14	MA	Massachusetts	61	KY	Kentucky
15	RI	Rhode Island	63	TN	Tennessee
16	CT	Connecticut	64	AL	Alabama
21	NY	New York	65	MS	Mississippi
22	NJ	New Jersey	71	AR	Arkansas
23	PA	Pennsylvania	72	LA	Louisiana
31	OH	Ohio	73	OK	Oklahoma
32	IN	Indiana	74	TX	Texas
33	IL	Illinois	81	MT	Montana
34	MI	Michigan	82	ID	Idaho
35	WI	Wisconsin	83	WY	Wyoming
41	MN	Minnesota	84	CO	Colorado
42	IA	Iowa	85	NM	New Mexico
43	MO	Missouri	86	AZ	Arizona
45	ND	North Dakota	87	UT	Utah
46	SD	South Dakota	88	NV	Nevada
47	NE	Nebraska	91	WA	Washington
48	KS	Kansas	92	OR	Oregon
50	DE	Delaware	93	CA	California
51	MD	Maryland	94	PR	Puerto Rico
52	VA	Virginia	95	HI	Hawaii
54	WV	West Virginia	96	AK	Alaska
55	NC	North Carolina			

Note: USDA will issue Tribes a two-character numeric or alpha code if they wish to administer the issuance of their own NUES tags.