

# **Animal Disease Traceability Framework**

**Update and  
Preliminary Content of the Proposed Rule**

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

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## **Contents**

Introduction	3
Traceability Rulemaking	4
Concepts of Traceability Performance Standards	4
Preliminary Timeline	5
Preliminary Content of the Proposed Traceability Rule	6
General Requirements for Traceability	6
General recordkeeping requirements for traceability	6
Official Identification	11
Summary of Official Identification Eartags	11
Administration of Official Identification Devices	13
Traceability Performance Standards	15
Traceability Status	18
Definitions	19

## Introduction

The Secretary's February 5 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 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.

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.

Earlier this year, APHIS convened a Traceability Regulation Working Group to recommend the content of the proposed rule that would support an outcome-based approach to achieve improved traceability, while focusing on interstate movement. This document outlines the working group's current recommendations, which may continue to evolve through dialogue with producers, States, industry, and the public.

## 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. 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. We acknowledge that some animals and interstate movements warrant exemption from official identification and ICVI requirements. These exemptions will be outlined in the regulation and are explained in the section below titled “Preliminary Content of the Proposed Traceability Rule.”

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

## 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 animals, not tracking a specific disease. We do not want to build individual solutions for each disease. The information needed and how it is used

differ for each specific disease situation.

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.

The working group has incorporated the concept of a traceability unit into the traceability performance measures. The concept of a traceability unit was established in the framework announcement to give the States and Tribes flexibility and enable them to trace to the degree or level they determine appropriate. It refers to the geographical location a State or Tribe determines will facilitate animal disease responses as supported by local industries. The size of the traceability unit may vary—it may be a region, a State or Tribal Nation, a county, a livestock operation, or a site within an operation. It is up to the State or Tribe to determine and could be the smallest unit that the Administrator would initially quarantine in the event of a disease outbreak. It is important that we have consistent interpretation of this term in measuring performance.

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) that are required to be officially identified for the purpose of interstate movement can be traced to or from the designated

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

traceability unit 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 the section on the Preliminary Content of the Proposed Traceability Rule.

## Preliminary Timeline

Because rulemaking is a complex process, timelines are difficult to project and often need to be readjusted. In addition, with this rule, APHIS is conducting extensive outreach and collaboration as it develops the 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.

## **Preliminary Content of the Proposed Traceability Rule**

After extensive collaboration with stakeholders and the public, the Traceability Regulation Working Group has made preliminary recommendations to APHIS on the content of a new traceability section as well as recommendations on incorporating existing interstate movement and identification regulations into the new section. As part of the decision-making process, APHIS and the working group members are seeking feedback on this preliminary draft. The rulemaking process—including the comments received during the comment period of the proposed rule—will further guide the decision-making process for the content of the rule.

### **General Requirements for Traceability**

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

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, States and Tribes may need to meet additional requirements for the movement of animals.

### **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 Animal Identification Number (AIN) would be required to be entered in the Animal Identification Management system and in accordance with the Traceability Technical Standards document.

**Interstate movement records:** Whenever livestock are moved interstate to a premises or shipped interstate from a premises, the person responsible for the premises must keep a copy of any ICVI or other documentation for 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.

## Captive Cervids

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

## 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. The new regulation would require all cattle and bison moved interstate to be officially identified with either an official eartag or group/lot identification. The new regulation would provide the following exceptions to the official identification requirement for cattle and bison moved interstate:

- 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).
- Between any two States or Tribes with another form of identification 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.

For 1 year after the final rule is published, sexually intact cattle or bison under 18 months of age or steers or spayed heifers may be moved interstate without official identification. However, all dairy cattle, sexually intact cattle greater than 18 months of age or cattle or bison used for rodeo, recreational, or exhibition purposes would be required to be officially identified if moving interstate upon the effective date of the rule.

Further, the 1-year period would apply to cattle or bison moved directly to a recognized slaughtering establishment. It would also apply to cattle and bison moved directly to a livestock facility approved to handle “for slaughter only” animals and then moved directly to a recognized slaughtering establishment. However, animals moving in these slaughter channels would be required to have a USDA-approved backtag applied when moved interstate or at their first

destination; that is, at the recognized slaughtering establishment or federally approved livestock facility “for slaughter only” animals.

#### 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.
- Between any two States with documentation other than an ICVI, as agreed upon by animal health officials in those two States.

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.

Table 1 below summarizes the potential official identification and ICVI requirements for cattle.

Step I: Provides initial exemption to delay the inclusion of feeder cattle and young stock under 18 months of age. Additionally, Step I includes an educational period for several months following publication of the final rule in which producers are informed of regulatory requirements.

Step II: All ages and classes of cattle require official identification with the remaining exemptions focused on types of interstate movements.

**Table 1. Summary of Cattle<sup>1</sup> Potential Requirements**

Official Identification		Interstate Certificate of Veterinary Inspection
Step I	Step II	
<b>Unless exempt as provided below, official identification required for:</b> <ul style="list-style-type: none"> <li>· All dairy cattle</li> <li>· Other sexually intact cattle more than 18 months of age</li> <li>· Cattle used for rodeo and recreational events</li> <li>· Cattle moved to shows or exhibitions</li> </ul>	<b>Unless exempt as provided below, official identification required for:</b> <ul style="list-style-type: none"> <li>· All cattle</li> </ul>	<b>Unless exempt as provided below, ICVIs required for:</b> <ul style="list-style-type: none"> <li>· All cattle</li> </ul>
<b>Exemptions to the Official Identification Requirements</b>		<b>Exemptions to the ICVI</b>
<ul style="list-style-type: none"> <li>· Steers or spayed heifers (except if involved in rodeo, recreation, shows, or exhibitions)</li> <li>· Cattle moved directly to slaughter (including through one approved livestock facility; for example, auction/market) with a USDA-approved backtag</li> <li>· Cattle moved to a custom slaughter facility in accordance with State or Federal regulations for preparation of meat for personal consumption</li> <li>· Cattle moved as a commuter herd with a copy of the commuter herd agreement</li> <li>· Cattle may be moved interstate between any two States/Tribes with other identification methods (other than what is defined as official) as agreed on by animal health officials in those two States/Tribes</li> </ul>		<ul style="list-style-type: none"> <li>· Cattle moved to a custom slaughter facility in accordance with State or Federal regulations for preparation of meat for personal consumption</li> <li>· Cattle moved as a commuter herd with a copy of the commuter herd agreement</li> <li>· Cattle may be moved interstate between any two States/Tribes with other identification methods (other than what is defined as official), as agreed on by animal health officials in those two States/Tribes</li> </ul>
<b>Other Circumstances when Official Identification Requirements are Waived or Delayed</b>		
<ul style="list-style-type: none"> <li>· Cattle may be moved interstate without official identification during transit if destined to an approved tagging site (may be a market/auction barn) and identified before commingling with cattle from other premises.</li> <li>· Cattle moved directly from one State through another State and back to the original State without official identification</li> </ul>		<p><b>Recording Official Identification on ICVIs</b></p> <p>The recording of official identification numbers would be required for all cattle on the ICVI that require official individual identification other than “feeder” cattle.</p>

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<sup>1</sup> The Working Group recommends that bison follow the same requirements as cattle.

## **Horses and Other Equine**

Horses and other equine moved interstate would be required to be officially identified and documented as provided in 9 CFR part 75, “Communicable Diseases in Horses, Asses, Ponies, Mules, and Zebras.” Horses and other equine moved interstate would be required to be officially identified in the new traceability regulation with one of the choices specified below:

- A description sufficient to identify the individual equine, including, 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

## **Poultry**

### Official Identification

Poultry moved interstate would be required to be officially identified in the new traceability regulation with one of the choices specified below:

- Identification devices or methods approved for use in the National Poultry Improvement Plan (NPIP) by 9 CFR parts 145-147.
- Group/lot identification when a group/lot identification number (GIN) may be used.
- Identification devices or methods agreed upon by animal health officials in States that are involved in an interstate movement.

### 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 with documentation other than an ICVI, as agreed upon by animal health officials in those two States.

## **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 Part 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.

## **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. One method for all species will be an official identification number, as defined in the regulation, for an animal or group of animals moving interstate. (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 briefly lists 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. shield<sup>2</sup>



The basic characteristics are:

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

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<sup>2</sup> 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 *Code of Federal Regulations*.

**Table 2. Official Identification Numbers for Individual Animals**

Number	Format of Animal Number	Examples
<b>National Uniform Eartagging System (NUES)</b>	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
<b>Animal Identification Number (AIN)</b>	- 15 digits; 840 is the first three digits (numeric code for USA)	840 003 123 456 789
<b>Flock-Based Number</b>	- Flock identification number (maximum of 9 characters prefixed with State's postal abbreviation) with a unique herd management number	MN0456 4275
<b>Location-Based Number</b>	- Either a PIN or LID with a unique herd management number	006ER2A 4275

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

Official Identification Eartags	General Explanation
<b>Brucellosis Vaccination Eartag</b>	- Restricted for use with brucellosis vaccination
<b>National Uniform Eartagging System (NUES)</b> - 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
<b>Animal Identification Number (AIN) "840" Tags</b>	- 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.
<b>Scrapie Program Tags</b>	- 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 at no cost 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.
<b>Premises Identification Number (PIN) Tags – Slaughter Swine</b>	- Imprinted with premises identification number. Various tags approved through authorized manufacturers.

## **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, on the record of tags applied.

**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. However, a State animal health official or Area Veterinarian in Charge may approve 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 with 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. Additionally, an animal identification number (AIN) RFID eartag 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.

**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 man-made 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 post inspection.

## Traceability Performance Standards

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.

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.

The working group has identified four activities that focus on the interstate movement of animals. The term *reference animal*, used in the draft performance standards discussed below and in table 4, means an animal that is part of an actual disease investigation or an animal selected as part of a test exercise. The reference animal would have moved interstate and have been officially identified.

The **first performance standard** measures how long it will take the receiving State or Tribe to notify the State or Tribe in which the 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 ability of a State or Tribe in which animals are officially identified to determine the traceability unit in which reference animals were identified. 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 complexity of this standard, as well as standard four, directly correlates to the traceability unit<sup>3</sup> defined by the State or Tribe. The greater the specificity of the traceability unit, the more advanced disease response capabilities become. A more complex traceability system is needed to achieve the more specific traceability unit. While a traceability plan would not be required in the regulation, each State and Tribe should have a traceability plan that addresses these variables and provides flexibility for local decisions.

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<sup>3</sup> The geographical unit to which an animal is required to be identified, as selected by a State or Tribe. The unit may be a State or Tribe, a county, a premises, a site within a premises, or some other unit as determined by the State or Tribe. The unit selected by a State or Tribe could be the smallest unit that the Administrator would initially quarantine in the event of a disease outbreak.

The **third performance standard** measures the States' and Tribes' ability to notify the State or Tribe from which the reference animals were shipped. The working group also recommended that 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 ability of States and Tribes to identify the traceability unit from which the reference animals were shipped. 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.

The following table summarizes the performance standards being considered to align with the objectives of an “outcome-based” regulation.

**Table 4: Interstate Traceability Performance Standards**

Action	Who Performs	Description	Standard
1. Notify the State/Tribe in which reference animals were officially identified	State/Tribe that received the animal	For animals that are required to be officially identified, how long will it take the receiving State/Tribe to notify the State/Tribe in which the animals were officially identified?	95% notification within 1 business day
2. Identify traceability unit in which reference animals were identified	State/Tribe where the animal was officially identified	For animals that are required to be officially identified, how long will it take the State/Tribe in which the animals were officially identified to specify the traceability unit within which the animals were officially identified?	Initial: 75% within 5 business days  Future: 95% within 2 business days
3. Notify the State/Tribe from which the reference animals were shipped	State/Tribe that received the animal	For animals that are required to be officially identified, how long will it take the receiving State/Tribe to notify the State/Tribe in which the interstate animal movement was initiated?	Initial: 95% within 7 business days  Future: 95% within 3 business days
4. Identify the traceability unit from which the reference animals were shipped	State/Tribe that shipped the animal (may be the same State/Tribe in #2)	For animals that are required to be officially identified, how long will it take the State/Tribe from which the interstate animal movement was initiated to specify the traceability unit from which the shipment was initiated?	Initial: 75% within 5 business days  Future: 95% within 2 business days

## How would these traceability performance activities be conducted?

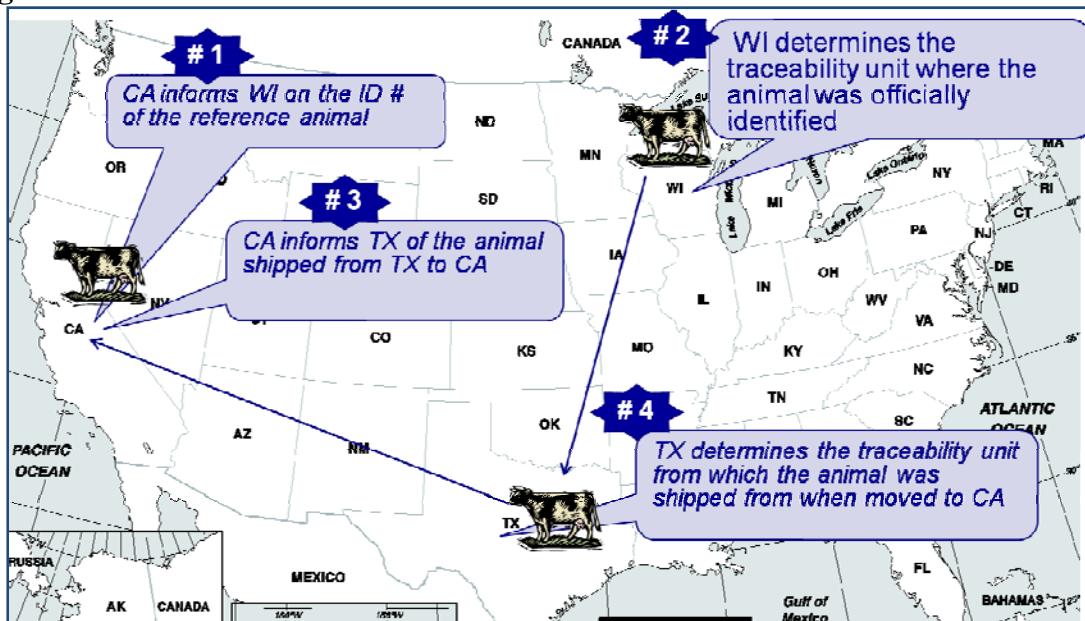
For illustrative purposes, let's consider the interstate movement scenario where a dairy cow was shipped from Wisconsin to Texas. The animal had been identified through the Dairy Herd Improvement Association with an 840 tag. Therefore, that identification was used to meet the official identification 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 determines the traceability unit where the reference animal was officially identified. Again, the Animal Identification Management System should be a good source of that information.
- Performance Standard #3: California informs Texas of the official identification number of the animal shipped from Texas to California.
- Performance Standard #4: Texas determines the traceability unit that the reference animal moved from when shipped to California.

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

**Figure 1: Interstate Movement Scenario**



## Traceability Status

APHIS, through collaboration with States and Tribes, will establish and publish a process for evaluating the capability of States and Tribes in comparison to the traceability performance standards. Traceability status will reflect States' and Tribes' ability to meet the traceability performance standards. A separate status will be assigned for each species. The following categories explain the statuses being considered; the label for each status still needs to be determined:

- **Traceability Status I.** The State and Tribe meet all traceability performance standards for the species.
- **Traceability Status II.** The State or Tribe does not meet all traceability performance standards for the species, but performance is within the defined acceptable range (details to be provided in performance standards document). 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 re-evaluated within 1 year. APHIS will re-evaluate 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 Status III for that species.
- **Traceability Status III.** The State or Tribe does not qualify for Traceability Status I or II for that species. Additional requirements will apply to interstate movements of that species from the State or Tribe to improve traceability of that species. The Administrator will establish the additional interstate movement requirements in each case, taking into consideration the results of the traceability status evaluation. The additional requirements could include requirements to apply or record 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 Status 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.

**Any Tribe that wishes to** be evaluated and assigned a traceability status separate from the State(s) in which its lands are located may request separate consideration at any time. A State's evaluation and status will include Tribal lands within the State's boundaries unless the Tribe has requested and received separate status for traceability. Federal traceability regulations will apply to the movement of livestock onto and from Tribal lands only when the movement is an interstate movement; that is, when the movement is across a State line. However, requirements for official identification and ICVIs 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.

Listings of traceability statuses, 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 status through notices published in the *Federal Register*.

## 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.
- **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.
- **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 and moved within 1 year of the effective date of the final rule). 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 (LID) number or a premises identification number (PIN) 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 (AIN)
  - 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 premises identification number 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.
- **Traceability unit.** The geographical unit to which an animal is required to be identified, as selected by a State or Tribal Nation. The unit may be a State or Tribal Nation, a county, a premises, a site within a premises, or some other unit as determined by the State or Tribal Nation. The unit selected by a State or Tribal nation will be the smallest unit that the Administrator would initially quarantine in the event of a disease outbreak.
- **United States Department of Agriculture (USDA) approved backtag.** A backtag issued by APHIS that provides a temporary unique identification for each animal.