

# Animal Disease Traceability

## General Standards

November 21, 2016 Version 2.7

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## General Standards

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## ***Preface***

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The U.S. Department of Agriculture's (USDA) Animal and Plant Health Inspection Service (APHIS) has established traceability regulations for livestock moving interstate. The purpose of the regulations is to improve the ability of APHIS to trace livestock when disease is found.

The final rule, "Traceability for Livestock Moving Interstate," references this Animal Disease Traceability General Standards document. This general standards document provides details on numbering systems and official identification devices that are authorized under the final rule. Additional information, including listing of official identification devices, is provided at <http://www.aphis.usda.gov/traceability/>.

## Section A: Data Standards

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### Official Identification Numbers - Animals

Official identification numbering systems are fundamental to animal disease programs. Numbers for both individual animals and groups of animals are defined to support methods of official identification for the various species and for meeting production management practices. Official animal identification devices, such as eartags, have an official identification number imprinted on them. Group/lot numbers are associated to the animals through records maintained by individuals responsible for the group throughout the production chain.

Official identification numbers are nationally unique numbers permanently associated with individual animals or groups of animals. Official identification numbers are associated with individual animals or groups of animals through official identification devices or methods. Official identification numbers adhere to one of the following numbering systems:

- National Uniform Eartagging System (NUES)
- Animal identification number (AIN)
- Location-based number system
- Flock-based number system
- Any other numbering system approved by the APHIS Administrator for the official identification of animals

### Individual Animal Numbers

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Official animal numbering systems provide a way to uniquely identify individual animals. Official identification for certain species is based on identification devices (e.g., official eartags) that have an official animal number imprinted on them. Official identification devices that adhere to these numbering standards are listed in Section B of this report. The following table specifies the format for each official numbering system used for individual animals.

Table 1. Official Identification Numbers				
Data Element	Length	Format	Example	Comments
<b>National Uniform Eartagging System (NUES)</b>	<b>9 or 8</b>	<b>Alphanumeric</b>	<b>23 ELV 4574</b> <b>PA ELV 4574</b> <b>23 DX 1234</b> <b>PA DX 1234</b>	
	[2]		23 PA	Default is State or Tribe numeric code. State postal abbreviation is optional.
	[3] or [2]		ELV AB	Use of the 2 alpha postal abbreviation is reserved for scrapie program tags
	[4]		4574	4 digits in a chronological numerical sequence.
<b>Animal Identification Number (AIN)<sup>1</sup></b>	<b>15</b>	<b>Numeric</b>	<b>840003456789012</b>	
	[3]		840	Country Codes - ISO 3166 - 840 is the numeric country code for the United States
	[12]		003456789012	The last 12 digits are the animal number. Start number > 003,000,000,000
<b>Flock-based number with a herd management number</b>	<b>15 Max.</b>	<b>Alphanumeric</b>	<b>MN0456 4275</b>	
	[9] Max.		MN0456	See flock standard below.
	[6] Max.		4275	Unique herd management number.
<b>Location-based number with a herd management number</b>	<b>14 Max.</b>	<b>Alphanumeric</b>	<b>IA123456 123456</b>	
	[8] Max.		IA123456	See LID and PIN standard below.
	[6] Max.		123456	Unique herd management number.
<p><sup>1</sup> USDA recognized AINs as official with the prefix “USA” or the numeric manufacturer code assigned by the International Committee on Animal Recording (ICAR) to ISO compliant RF identification device applied to animals prior to March 11, 2015. AIN tags applied to U.S. born animals after March 11, 2015 are official only with the 840 prefix or the country code for U.S. Territories (e.g., 630 for Puerto Rico).</p> <p>Note: AINs beginning with the 840 prefix may not be applied to animals known to have been born outside the United States.</p>				

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## Animal Group Identification Numbers

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### Group/Lot Identification Numbers (GINs)

The use of GINs provides a way to uniquely identify a unit of animals of the same species that is managed as one group throughout the preharvest production chain. The GIN consists of the following:

- One of the location identifiers (premises identification number (PIN) or location identification number (LID)) defined in the following pages
- A six-digit representation of the date on which the group or lot of animals was assembled or date the group was initiated if more than one day (MM/DD/YY)
- 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 would be designated consecutively as 01, 02, 03, etc.

### Flock Identification Numbers

The National Scrapie Eradication Program furnishes ear tags to sheep and goat producers. The numbering system for these tags combines a nationally unique flock identification number (FIN) with the producer's unique livestock production numbering system. This flock-based numbering system represents an animal group that is associated with one or more locations. The system serves the sheep and goat industries well in their disease control and eradication efforts.

A State or Federal animal health authority assigns the FIN to a group of animals managed as a unit on one or more premises under the same ownership.

The following table specifies the official GINs.

Table 2. Animal Group Identification Numbers				
Data Element	Length	Format	Example	Comments
<b>Group/Lot ID Number (GIN)</b> - Using a PIN	15	Alphanumeric	004T56711221105	
	[7]		004T567	The first 7 characters are the PIN.
	[6]		112211	The next 6 characters are the date the lot was established: MMDDYY.
	[2]		05	The last 2 characters are the number (count 01-99) of the group assembled at a premises on the same day. (01 is the default when one group is assembled.)
<b>Group/Lot ID Number (GIN)</b> - Using a LID	14 or 16	Alphanumeric	WA123411221105 MN12347811221105	
	[6] or [8]		WA1234 MN123478	The first 6 or 8 characters are the location ID number.
	[6]		112211	The next 6 characters are the date the lot was established: MMDDYY.
	[2]		05	The last 2 characters are the number (count 01-99) of the group assembled at a premises on the same day. (01 is the default when one group is assembled.)
<b>Flock Identification Number (FIN)</b>	9 Max	Alphanumeric		
	[2]		PA	State postal abbreviation required as the first two characters.
	Max of [7]		723456A	FINs exclude the letters I, O, or Q from the characters following the State abbreviation.

## Location Numbering Systems

States and Tribes may elect to use location identifiers to support their animal disease traceability plan. Two processes, explained below, support the administration of location identifiers that adhere to the standards defined in Table 3. PINs are available through the PIN allocator, a software application tool that APHIS provides access to for States and Tribes electing to use it. States may also use their own process for administering unique State-issued location identifiers. In these situations the State or Tribe has their own local system and process for issuing location numbers to locations. To avoid confusion in presenting these options in this document, State-issued location identifiers are referred to as LIDs, and the location numbers States and Tribes

obtain through the allocator are referred to as PINs (or standardized PINs). States and Tribes may choose to use other terms in their materials.

States and Tribes are not required to provide PINs or LIDs for the administration of their traceability plans. However, if they choose to use location identifiers to administer their traceability activities, following the standards below will ensure that their information systems are compatible with other traceability and animal health databases.

### Location Identification Numbers

LIDs are administered through a State's or Tribe's internal system. All LIDs start with the State or Tribe code which makes the LIDs nationally unique. They consist of six or eight alphanumeric characters.

### Premises Identification Numbers

States and Tribes may elect to use the PIN in their traceability system. The standardized PIN, obtained through the APHIS PIN allocator, consists of seven alphanumeric characters. The last character is a check digit based on ISO 7064:1983. States may use the State's postal abbreviation as the first two of the seven characters (for example, OH341T4). Tribes may also have codes reserved for use with PINs they administer. The codes for Tribes will be assigned upon request. States and Tribes obtaining PINs from the PIN allocator may use either the Standardized Premises Identification System or a Compliant Premises Identification System. The LID and PIN data standards are defined in the following table.

Table 3. Location Identifiers				
Data Element	Length	Format	Example	Comments
LID	6	Alphanumeric	MN4321	First 2 characters are the State postal abbreviation.
	8	Alphanumeric	CA654321	First 2 characters are the State postal abbreviation.
PIN	7	Alphanumeric	A123R69	Last character is a check digit. <sup>2</sup>
<p><sup>1</sup> The check digit calculation algorithm is based on ISO 7064:1983, "Data Processing – Check Character Systems."</p> <p>Note: To avoid confusion with the numbers 0 and 1, the LID and PIN will not contain the letters O or I except when the letters are contained in the State or Tribal code.</p>				



## State and Tribal Codes

State and Tribal codes used with NUES tags and location identifiers are listed below.

Table 4. State, Tribe, and Territory Codes					
Sort by Name			Sort by Numeric Code		
ALABAMA	AL	64	MAINE	ME	11
ALASKA	AK	96	NEW HAMPSHIRE	NH	12
AMERICAN SAMOA	AS	99	VERMONT	VT	13
ARIZONA	AZ	86	MASSACHUSETTS	MA	14
ARKANSAS	AR	71	RHODE ISLAND	RI	15
CALIFORNIA	CA	93	CONNECTICUT	CT	16
COLORADO	CO	84	NEW YORK	NY	21
COMMONWEALTH OF THE NORTHERN MARIANAS	MP	98	NEW JERSEY	NJ	22
CONNECTICUT	CT	16	PENNSYLVANIA	PA	23
DELAWARE	DE	50	OHIO	OH	31
EASTERN CHEROKEE NATION	EC	80	INDIANA	IN	32
FLORIDA	FL	58	ILLINOIS	IL	33
GEORGIA	GA	57	MICHIGAN	MI	34
GUAM	GU	97	WISCONSIN	WI	35
HAWAII	HI	95	MINNESOTA	MN	41
HUALAPAI TRIBE	HT	78	IOWA	IA	42
IDAHO	ID	82	MISSOURI	MO	43
ILLINOIS	IL	33	NORTH DAKOTA	ND	45
INDIANA	IN	32	SOUTH DAKOTA	SD	46
IOWA	IA	42	NEBRASKA	NE	47
KANSAS	KS	48	KANSAS	KS	48
KENTUCKY	KY	61	DELAWARE	DE	50
LOUISIANA	LA	72	MARYLAND	MD	51
MAINE	ME	11	VIRGINIA	VA	52
MARYLAND	MD	51	WEST VIRGINIA	WV	54
MASSACHUSETTS	MA	14	NORTH CAROLINA	NC	55
MICHIGAN	MI	34	SOUTH CAROLINA	SC	56
MINNESOTA	MN	41	GEORGIA	GA	57
MISSISSIPPI	MS	65	FLORIDA	FL	58
MISSOURI	MO	43	VIRGIN ISLANDS	VI	59
MONTANA	MT	81	KENTUCKY	KY	61
NAVAJO NATION	NN	77	TENNESSEE	TN	63
NEBRASKA	NE	47	ALABAMA	AL	64
NEVADA	NV	88	MISSISSIPPI	MS	65
NEW HAMPSHIRE	NH	12	ARKANSAS	AR	71
NEW JERSEY	NJ	22	LOUISIANA	LA	72
NEW MEXICO	NM	85	OKLAHOMA	OK	73
NEW YORK	NY	21	TEXAS	TX	74
NORTH CAROLINA	NC	55	NAVAJO NATION	NN	77
NORTH DAKOTA	ND	45	HUALAPAI TRIBE	HT	78
OHIO	OH	31	WESTERN CHEROKEE NATION	CN	79
OKLAHOMA	OK	73	EASTERN CHEROKEE NATION	EC	80
OREGON	OR	92	MONTANA	MT	81
PENNSYLVANIA	PA	23	IDAHO	ID	82
PUERTO RICO	PR	94	WYOMING	WY	83
RHODE ISLAND	RI	15	COLORADO	CO	84
SOUTH CAROLINA	SC	56	NEW MEXICO	NM	85
SOUTH DAKOTA	SD	46	ARIZONA	AZ	86
TENNESSEE	TN	63	UTAH	UT	87
TEXAS	TX	74	NEVADA	NV	88
UTAH	UT	87	WASHINGTON	WA	91
VERMONT	VT	13	OREGON	OR	92
VIRGIN ISLANDS	VI	59	CALIFORNIA	CA	93
VIRGINIA	VA	52	PUERTO RICO	PR	94
WASHINGTON	WA	91	HAWAII	HI	95
WEST VIRGINIA	WV	54	ALASKA	AK	96
WESTERN CHEROKEE NATION	CN	79	GUAM	GU	97
WISCONSIN	WI	35	COMMONWEALTH OF THE NORTHERN MARIANAS	MP	98
WYOMING	WY	83	AMERICAN SAMOA	AS	99

In addition to the codes listed above, the two letters “US” may be used as the first two characters on NUES tags. Additional codes for Tribes will be established upon request to APHIS.

## Country Codes for U.S. Territories

ISO 3166 establishes country codes. The country code for the United States is 840. U.S. Territories may use their ISO country code as the first three characters of the AIN. The following table lists the ISO country codes for the U.S. Territories.

<b>Territory</b>	<b>Code</b>	<b>Territory</b>	<b>Code</b>
<b>American Samoa</b>	016	<b>Northern Mariana Islands</b>	580
<b>Guam</b>	316	<b>Palau</b>	585
<b>Marshall Islands</b>	584	<b>Puerto Rico</b>	630
<b>Micronesia, Federated States of</b>	583	<b>Virgin Islands</b>	850

## Section B: Administration of Official Animal Identification Methods and Devices

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Official identification methods and devices officially identify an animal or group of animals by applying an official identification number to an animal or associating an official identification number with an animal or group of animals. Tables 1 and 2 in Section A of this report list official animal numbering systems for livestock.


Official identification devices and methods are listed in the title 9 of the *Code of Federal Regulations* (9 CFR), part 86, by species.

### Official Eartags

Official eartags, approved for certain species, are tags approved by APHIS that provide official identification numbers for individual animals. Before a manufacturer can produce and sell eartags bearing the official eartag shield, the tag must be approved by APHIS.

A description of the types of official eartags with the specifications and options as well as lists of official eartags that are currently approved are provided on the ADT Website at: <http://www.aphis.usda.gov/traceability/materials.shtml>.

The primary criteria for official eartags include the following:

- Imprinted with an official identification number (see Table 1)
- Official eartag shield The logo is a shield-shaped emblem with the letters "US" inside, representing the official eartag shield.
- Tamper evident, high retention
- Other characteristics defined through tag specification (defined on tag approval applications)

States obtaining official eartags direct from manufacturers may imprint their State's postal abbreviation inside the official eartag shield in lieu of the letters "US". Likewise, Tribes may imprint their alpha code (see Table 4).

### Distribution of Official Identification Devices

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Proper administration of official identification devices is critical to support animal disease traceability. APHIS provides certain official identification devices to producers to apply to their animals and to accredited veterinarians to apply to animals. Distribution records and records of tags applied by accredited veterinarians of these devices are to be administered as explained below.

#### National Uniform Eartagging System

NUES tags have historically been used by animal health officials in animal disease programs. The animal disease traceability framework allows producers to use NUES tags, commonly referred to as "brite" tags, when authorized by the State or Tribal animal health official. The

following provides a basic overview of the key points regarding the distribution of NUES tags to producers:

State, Tribal, and Territory animal health officials and accredited veterinarians<sup>1</sup> may provide NUES identification eartags to producers who wish to use them for official identification and other purposes without administering the eartags through a specific disease control program. Accredited veterinarians and others may also apply official eartags to animals for purposes other than official disease control purposes. For instance, accredited veterinarians may apply official eartags as part of the certification process for interstate movement, and operators of approved tagging sites<sup>2</sup> may apply eartags on behalf of producers. This does not apply to eartags that are specific to a disease program, such as brucellosis calfhood vaccination eartags. This enables producers to use the eartags as a tool to qualify their animals for interstate movement. In such cases, the State, Tribe, or Territory animal health officials will maintain complete oversight for the integrity of the information.

One of the duties of State, Tribal, and Territorial animal health officials providing NUES tags is ensuring sufficient contact information is collected about where NUES eartags are distributed to meet the traceability needs of the State, Tribe, or Territory. At a minimum, the distribution records need to be maintained for 5 years and must include:

- The name of the person the tags are issued to or the owner or person responsible for the animals being tagged by accredited veterinarians or tagging site operators.
- The street address, city, State, and ZIP code where the tags are distributed or the premises where the animals that are being tagged reside.
- The identification numbers issued.
- The date the tags were issued.
- The name and contact information of the person issuing the tags.

States and Tribes may use the Animal Identification Management System (AIMS) to maintain NUES tag distribution records.

The use of the AIMS requires the use of either a LID or PIN for each distribution record entered into AIMS. APHIS will, upon request, provide an alternative database that would support the recording of distribution records with the above information only.

More specific details on the administration of NUES eartags is available in VS Memorandum 578.12: Distribution and Use of Official Identification Eartags with Numbers Conforming to the National Uniform Eartagging System (3/15/2011)

Producers considering the use of and availability of NUES tags should contact their State or Tribal animal health official.

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<sup>1</sup> Producers may be able to obtain NUES eartags directly from State or Tribal animal health officials depending on the policies established at the State or Tribal level.

<sup>2</sup> See “Approved Tagging Site” description on p. 14

## **Animal Identification Number Devices**

AIN device managers and resellers distribute AIN devices with the 840 prefix to producers. APHIS, through an application and approval process, approves AIN devices that meet established standards. Approved AIN manufacturers are allocated the 840 numbers and are authorized to imprint or encode the AIN only on their approved devices.

AIN device manufacturers distribute AIN devices through AIN device managers, or may act as an AIN manager themselves. All distribution records of 840 AIN tags administered by AIN managers and State and Federal animal health officials must be reported to the AIMS by the person who has possession of the device when distributing the device to the next individual, whether it is a producer or another reseller. All recipients of AIN devices must first have a LID or PIN as defined in Section A and provide that number to the person that they are obtaining the devices from. The person responsible for the distribution of the AIN devices is responsible for the entry of the distribution record into AIMS. The record includes the AINs, date of distribution, and LID or PIN/NPN where the devices were distributed. Details of the processes available for completing these distribution records are provided in the AIMS user manual.

Producers electing to use AIN devices may contact the supplier of the tags in their area. The complete listing of AIN devices and the AIN tag manufacturer's information is at [http://www.aphis.usda.gov/traceability/downloads/AIN\\_device\\_list.pdf](http://www.aphis.usda.gov/traceability/downloads/AIN_device_list.pdf).

When accredited veterinarians obtain 840 AIN tags direct from an AIN device manufacturer for distribution or for use where they apply the tags, they are responsible for reporting the tag distribution or tag applied records to AIMS. In this case, they are acting as an AIN tag manager and must establish a marketing arrangement with the tag manufacturer.

When accredited veterinarians obtain AIN 840 tags from a State or Federal Animal Health Official the records of tags applied or distributed are to be reported as directed by the State or Federal Animal Health Official that provided the tags.

State and Federal animal health officials may also use AIN devices when they administer animal disease programs and are not required to be an AIN device manager. However, State Animal Health official that utilize AIN 840 tags as part of their ADT activities must maintain a complete record of the tag distribution records on an information system. The States may utilize AIMS as the information system to meet this requirement or their internal animal health information system that has tag distribution recording capability.

## **Sheep and Goat Tags**

Administration of official identification requirements for scrapie program tags is explained in the Scrapie Eradication Uniform Methods and Rules document at [http://www.aphis.usda.gov/animal\\_health/animal\\_diseases/scrapie/downloads/umr\\_scrapie.pdf](http://www.aphis.usda.gov/animal_health/animal_diseases/scrapie/downloads/umr_scrapie.pdf).

## **Premises Identification Number Tags for Slaughter Swine**

PIN tags for slaughter swine provide an option to officially identify sows and boars to the premises where they were kept immediately before entering harvest channels. PIN tags for

slaughter swine may be obtained from authorized manufacturers. As with the USDA backtag applied at markets, the PIN tag will be collected as an official form of identification to be associated with any blood or tissue samples collected for disease surveillance. If a PIN tag includes a manufacturer printed number that is unique within a herd, the tag would also qualify as an official eartag for interstate movement of individual animals.

## Replacement of Official Identification Eartags

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Replacement eartags for retagging animals that lose their official eartag are defined in 9 CFR 86.4 (d) removal or loss of official identification devices.

## Issuance of Duplicate Official Identification Eartags

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Duplicate official identification eartags may be obtained from approved eartag manufacturers when an official eartag was lost and the owner or person responsible for the animal needs to retag the animal with the official identification number of the lost eartag. This may be a standard practice for some breed registries or other genetic companies that use official eartags in their programs. For AIN eartags, the manufacturer will submit a record to AIMS with the information on the reissuance and distribution of the duplicate eartag. Additionally, the eartag manufacturer will imprint the designated symbol on the eartag to reflect that the tag is a duplicate of a previously issued tag. When the duplicate eartag contains radio frequency identification technology, the manufacturer will encode the number in accordance with ISO 11784 for administering transponders.

## Approved Tagging Sites

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Approved tagging sites are locations authorized by APHIS, State, or Tribal animal health officials where livestock may be officially identified on behalf of their owner or the person in possession, care, or control of the animals when they are brought to the tagging site. In these cases, livestock required to be officially identified may be moved interstate and officially identified at the approved tagging site.

The animals must be officially identified at the tagging site before they are commingled with animals from other premises or identified by other practices that will ensure the identity of the animal is accurately maintained until tagging. This will ensure the official identification numbers of the eartags are correlated to the owner of the animals (or person responsible) when shipped to the tagging site. For example, a livestock market, acting as an approved tagging site, may use backtags to temporarily identify the animal upon unloading. The approved tagging site, at a minimum, must:

- Obtain official identification eartags only as directed by APHIS, State, or Tribal animal health officials.
- Unload animals requiring official identification only when the owner or the person in possession, care, or control of the animals when they are brought to the tagging site agrees to have the animals officially identified in accordance with approved tagging site protocols.
- Maintain tagging records using forms or electronic systems as directed by APHIS, State, or Tribal animal health officials to include, at a minimum:
  - The name of the owner or person responsible for the animals tagged and their street address, city, State, and ZIP code

- The official identification numbers of the tags applied associated with the owner or person responsible for the animals.
- The date the official identification eartags were applied.
- Submit the records of tags applied to the designated animal health official as directed by APHIS, State, or Tribal animal health officials.
- Ensure the security of official eartags and distribution records by:
  - Maintaining a record of all official identification eartags received, distributed, and applied at the tagging site.
  - Keeping the inventory of tags and records in a secure place accessible only to tagging site personnel.
  - Reporting any tags lost or stolen immediately to the appropriate State or Federal animal health official.
- Tag all animals in accordance with 9CFR 86.
  - Tag all animals that are required to be identified.
  - Only tag animals that are not already officially identified. Do not apply additional official eartags except as provided in 9CFR 86.4(c)
  - Removal and/or replacement of official identification devices must be in accordance with 9CFR 86.4(d) and (e)

When animals are moved to an approved tagging site to fulfill the official identification requirements, the interstate certificate of veterinary inspection or other movement document must contain a statement verifying that the official eartags are to be applied at an approved tagging site along with the name and complete address of the tagging site. States will provide public listing of tagging sites.

Entities interested in becoming an approved tagging site should contact their APHIS, State, or Tribal animal health official.

## ***Appendix 1: Draft Agreement for Approved Livestock Marketing Facilities***

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On January 2, 2015 USDA published a proposed rule on approved Livestock Marketing Facilities. In the proposed rule USDA acknowledged that the Approved Livestock Marketing Facility Agreement would be removed from the regulatory text and fully contained in the ADT General Standards document. The following pages provide the draft agreement for public review. The rule defines the agreement as one reached between a livestock marketing facility and APHIS and executed in accordance with 9 CFR 71.20, in which the facility agrees to adhere to the structural and procedural standards specified within the agreement. The modified agreement contains several changes from the previous version which are further outlined in the proposed rule. This agreement will be finalized when APHIS publishes the final rule on approved Livestock Marketing Facilities.



## United States Department of Agriculture (USDA) Animal Plant Health Inspection Services (APHIS)

### DRAFT - Approved Livestock Marketing Facility Agreement

This agreement is between the Animal and Plant Health Inspection Service, Veterinary Services, United States Department of Agriculture (USDA), hereinafter referred to as “APHIS,” and the business or person legally responsible for the facility listed in Part II. States agencies responsible for the administration of animal health programs may participate in the agreement, and are hereinafter referred to as the “State”.

#### I. PURPOSE

This agreement establishes collaboration among APHIS, the States, and Approved Livestock Marketing Facilities for the handling of livestock that have moved or will move interstate, including interstate commerce, pursuant to Title 9 of the *Code of Federal Regulations* (9 CFR).

#### II. FACILITY INFORMATION

Name of Facility:			
Address (Physical Location):			
Address (Mailing address if different):			
City:		State:	ZIP Code:
Office Phone:		Cell Phone:	
Fax:		Email Address:	
Responsible Person <sup>3</sup>	Last Name:		First Name:
Type of Facility	<input type="checkbox"/> Market - Auction Barn /Stockyard	<input type="checkbox"/> Buying Station	<input type="checkbox"/> Dealer Facility <input type="checkbox"/> Other _____
Regular Scheduled Sales :			
Premises ID or Location Identification Number		I do not have a location identification number. Please issue my location a number. (Check adjacent box)	<input type="checkbox"/>
Additional Comments:			

<sup>3</sup> Person legally responsible for the management and day-to-day operation of the livestock facility.

### III. AGREEMENT PROVISIONS

#### A. Cooperation

1. The State and APHIS will receive a schedule of the facility's sale days, which will indicate the types of animals to be handled at the facility on each sale day. The State and APHIS will be notified of any changes to the schedule before they are made.
2. State and APHIS representatives shall be granted access to the facility during normal business hours to evaluate whether the facility and its operations are in compliance with the applicable provisions of this agreement and 9 CFR, subchapter C.
3. When requested the facility will allow a State or APHIS representative to perform duties at the facility in accordance with State or Federal regulations and will support the representative's work, including the collection of samples for diagnostic testing.
4. A State or APHIS representative or accredited veterinarian is to be immediately notified of the presence at the facility of any livestock known to be infected, exposed, high-risk, or suspect animals, or known to have tested positive for, or that show signs of possibly being infected with, any infectious, contagious, or communicable disease.
5. Any reactor, suspect, exposed, high-risk, or scrapie-positive livestock shall be held in quarantined pens apart from all other livestock at the facility. This requirement shall not apply to scrapie-exposed sheep that are not also designated high-risk animals or to sheep or goats designated under 9 CFR part 79 as scrapie-exposed or high-risk animals that either are not pregnant based on the animal being male, an owner certification that any female animals have not been exposed to a male in the preceding 6 months, or a certificate issued by an accredited veterinarian stating the animals are open; or that the animals are under 12 months of age and are not visibly pregnant and are maintained in the same pen only with other animals that will be moved directly to slaughter or to a terminal feedlot in accordance with 9 CFR parts 71 and 79.
6. No reactor, suspect, exposed, high-risk, or scrapie-positive livestock, nor any livestock that show signs of being infected with or that have tested positive for any infectious, contagious, or communicable disease, may be sold at or moved from the facility, except in accordance with 9 CFR parts 71, 75, 77, 78, 79, 80, 81, 85, and 86.
7. Availability and Services of Accredited Veterinarians
  - a. APHIS strongly encourages having an accredited veterinarian available to inspect livestock for clinical evidence of contagious, infectious, communicable, or parasitic diseases.
  - b. An accredited veterinarian must be available to provide services, including:
    - i. Inspection of all livestock that require issuance of an Interstate Certificate of Veterinary Inspection (ICVI) by Federal regulation before leaving the facility, unless otherwise exempt.
    - ii. Inspection of all livestock exempted from an ICVI, based on facility approval, before they leave the facility. For example, 9 CFR 86.4 provides an ICVI exemption for cattle moving interstate to an approved livestock facility when accompanied by an owner-shipper statement. These cattle must be inspected at the facility by an accredited veterinarian unless the inspection is waived by the animal health official of the State where the facility is located.
  - c. The Facility:
    - i. Shall arrange for an accredited veterinarian to be available when needed at the facility to carry out State and Federal regulations, including but not limited to the issuance of ICVIs.
    - ii. May not sell livestock to out-of-State buyers or allow the animals to move to interstate destinations requiring ICVIs under 9 CFR part 86 or State of destination import requirements unless the facility operator makes available an accredited veterinarian to complete the certificates.
    - iii. Shall see that buyers and consignors are aware of ICVI requirements.

- iv. Shall see that the accredited veterinarian is advised of livestock being moved interstate or that need an ICVI.
- v. Shall indicate the management’s plan for having an accredited veterinarian available to meet the requirements of 9 CFR by selecting the most appropriate response below:

- An accredited veterinarian will be onsite to inspect the health of the livestock that enter the facility, issue ICVIs, and provide other services necessary to meet all State and Federal regulations.
- An accredited veterinarian will not be onsite during sales days, but will be available (on call) to provide accredited veterinarian services necessary to meet all State and Federal regulations.

Name of accredited veterinarians or clinics providing services at the facility:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

- d. The facility will advise the State and federal animal health officials of any change regarding the availability of accredited veterinarians.
- e. APHIS has permission to use the information provided by the facility to indicate the availability of accredited veterinarians in its listing of Approved Livestock Marketing Facilities.
- f. APHIS or the State, at a minimum, will complete an inspection of each approved marketing facility twice a year.

8. Availability of USDA-Approved Backtags

- a. APHIS will provide USDA-approved backtags and backtag glue to Approved Livestock Marketing Facilities at no charge.
- b. The person responsible for the facility shall see that backtags are properly applied to the animals.
- c. The person responsible for the facility shall maintain a record of applied backtags in accordance with APHIS policies.

**B. Records**

- 1. Documents such as weight tickets, sales slips, and records of origin, identification, and destination that relate to livestock that are in, or that have been in, the facility shall be maintained by the facility for 5 years in the case of cattle, horses, and sheep or goats; and 2 years for swine and poultry.
- 2. APHIS and State representatives shall be permitted to review and copy those documents during normal business hours.

**C. Identification**

- 1. All livestock must be officially identified in accordance with the applicable regulations in 9 CFR, including but not limited to parts 71, 75, 77, 78, 79, 80, 81, 85 and 86 at the time of, or before, entry into the facility.
- 2. USDA-approved backtags will be used, and records of use kept, as provided in the Animal Disease Traceability General Standards document.

**D. Cleaning and Disinfection**

1. The facility, including all yards, docks, pens, alleys, sale rings, chutes, scales, means of conveyance, and their associated equipment, shall be maintained in a clean and sanitary condition. The facility shall be responsible for the cleaning and disinfection of the facility in accordance with 9 CFR part 71 and for maintaining an adequate supply of disinfectant and serviceable equipment for cleaning and disinfection.

**E. General Facilities and Equipment Standards**

1. All facilities and equipment shall be maintained in a state of good repair. The facility shall contain well-constructed and well-lighted livestock handling chutes, pens, alleys, and sales rings for the inspection, examination, identification, vaccination, testing, and branding of livestock.
2. Isolation or quarantine pens shall be designated. Isolation or quarantine pens shall be clearly labeled with paint or placarded with the word "Isolation" or "Quarantine," or the name of the disease of concern, when in use and shall be cleaned and disinfected between uses.
3. Isolation or quarantine pens shall be constructed in a manner that prevents direct contact of livestock of concern with other livestock in alleyways, adjoining pens, or other areas of the facility.
4. Isolation or quarantine pens shall have adequate drainage, and the floors and those parts of the sides of the isolation or quarantine pens with which clinically ill, reactor, suspect, exposed, high-risk, or scrapie-positive livestock; their excrement; or their discharges may have contact shall be constructed of materials that are substantially impervious to moisture and able to withstand continual cleaning and disinfection.
5. Electrical outlets shall be provided as necessary.
6. Space shall be furnished when necessary for conducting diagnostic tests. All test reagents, testing equipment, and documents relating to the State-Federal cooperative eradication programs on the facility's premises shall be secured to prevent misuse and theft. Adequate heat, cooling, electricity, water piped to a properly drained sink, and sanitation shall be provided for properly conducting diagnostic tests.
7. Vector Control Program: If present, biting insects should be controlled so as to reduce or eliminate the transmission of blood borne infectious diseases. The method or combination of methods should be effective for the purpose and may include, but are not limited to: manure management, shelter and screening, establishing and maintaining proper drainage and elimination of standing water or wet areas, fans or "air curtains", pesticide application, baits, fly strips, or other effective means.

**F. Standards for Handling Different Classes of Livestock**

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Check only those that  
apply at this facility

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1. Cattle and bison:

a. This facility will handle:

- i. Cattle: .....
- ii. Bison: .....
- iii. Cattle and/or bison known to be brucellosis reactors, suspects, or exposed. Such cattle and bison will handled as described below: ...

b. Cattle and bison entering the facility shall be received, handled, and released by the facility only in accordance with 9 CFR including, but not limited to parts 71, 78, and 86.

c. If the facility handles cattle and bison known to be brucellosis reactors, suspects, or exposed, such cattle and bison will handled in accordance with the following:

- i. All brucellosis reactor, brucellosis suspect, and brucellosis exposed cattle or bison arriving at the facility shall be placed in quarantined pens and consigned from the facility only in accordance with 9 CFR part 78.
- ii. Any cattle or bison classified as brucellosis reactors at the facility shall be identified in accordance with 9 CFR part 78, placed in quarantined pens, and consigned from the facility only to a recognized slaughtering establishment or an approved intermediate handling facility in accordance with 9 CFR part 78.
- iii. Any cattle or bison classified as brucellosis exposed at the facility shall be identified in accordance with 9 CFR part 78, placed in quarantined pens, and consigned from the facility only to a recognized slaughtering establishment, approved intermediate handling facility, quarantined feedlot, or farm of origin in accordance with 9 CFR part 78.
- iv. The identity of cattle from quarantined areas shall be maintained, and test-eligible cattle from quarantined areas shall not be placed in pens with cattle from any other area until they have fulfilled the requirements of 9 CFR part 78 and State regulations for release from the facility.

2. Horses:

- a. This facility will handle:
  - i. Horses: .....
  - ii. Horses that are known equine infectious anemia (EIA) reactors: .....
- b. Horses that enter the facility shall be received, handled, and released by the livestock facility only in accordance with 9 CFR parts 71 and 75.
- c. If this facility handles horses that are known equine infectious anemia (EIA) reactors, it must do so in accordance with the following:
  - i. Any horses classified as EIA reactors and accepted by the facility for sale shall be placed in quarantined pens at least 200 yards from all non-EIA-reactor horses and follow vector control protocols listed in III.E.7 of this agreement.
  - ii. Any horses classified as EIA reactors and accepted by the facility for sale shall be consigned from the facility only to a slaughtering establishment or to the home farm of the reactor in accordance with 9 CFR part 75.

3. Sheep and Goats

- a. This facility will handle: 
  - .....
  - i. Breeding sheep or goats: 
    - .....
  - ii. Slaughter sheep or goats over 18 months of age: .....
  - iii. Slaughter sheep or goats under 18 months of age: .....
  - iv. Sheep or goats for feeding for slaughter under 18 months of age: .....
  - v. Scrapie-exposed goats or high-risk sheep or goats: .....
- b. All sheep and goats that enter the facility must be received, handled, and released by the facility only in accordance with 9 CFR parts 71 and 79.
- c. All sheep and goats at the facility must be officially identified and relevant records related to those identified animals must be maintained by the facility operator, as required under 9 CFR part 79.
- d. The identity of sheep and goats from consistent States and inconsistent States must be maintained by the facility operator.

- e. Sexually intact animals that do not meet the requirements of part 79 to be sold as breeding animals must be maintained in separated enclosures at all times from animals that may be offered for sale as breeding animals unless all animals maintained in an enclosure arrived at the facility as part of the same consignment and are separated before sale.
  - f. Any sheep or goats that are designated, with regard to scrapie, as high-risk, suspect, or scrapie-positive animals, and goats designated with regard to scrapie as exposed animals, excluding slaughter sheep or goats that are designated as exposed or high-risk animals and are not pregnant, must be held in quarantined pens while at the facility.
  - g. The facility operator must ensure that buyers are notified when sheep or goats that may move only for slaughter or feeding for slaughter are being sold and the bill of sale must clearly indicate that the animals were sold for slaughter only.
4. Swine
- a. This facility will handle:
    - i. Breeding swine: .....
    - ii. Slaughter swine: .....
    - iii. Feeder swine: .....
    - iv. Pseudorabies reactor, suspect, or exposed swine: .....
  - b. Swine that enter the facility shall be received, handled, and released by the livestock facility only in accordance with 9 CFR parts 71, 78, and 85.
  - c. Pens, alleys, and sales rings for holding, inspecting, and otherwise handling swine shall be imperviously surfaced.
  - d. Slaughter swine may be handled only on days when no feeder swine or breeder swine are present at the facility, unless the facility has provisions to keep slaughter swine physically separated from feeder swine and breeder swine or unless those areas of the facility used by slaughter swine have been cleaned and disinfected before being used by feeder swine or breeder swine.
  - e. No feeder swine or breeder swine may remain in the livestock facility for more than 72 hours, and no slaughter swine may remain in the livestock market for more than 120 hours.
  - f. Feeder swine shall be kept apart from other swine while in the livestock facility.
  - g. No release shall be issued for the removal of slaughter swine from the livestock facility unless the slaughter swine are consigned for immediate slaughter or to another slaughter market and the consignee is identified on the release document.
8. Other species
- a. List other species that are handled at this facility: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**IV. OFFICIAL IDENTIFICATION TAGGING SERVICES**

- 1. Approved Tagging Site
  - a. The individual responsible for this facility asks for the facility to be an approved tagging site as defined in 9 CFR part 86. This allows a tagging site to receive cattle and bison that moved interstate without official identification with the official eartags applied after their arrival. ....  Yes  No

- b. If the responsible individual answers “yes” to the previous question, he or she has reviewed and agrees to the terms and conditions of approved tagging sites provided in the addendum to this agreement by State or Federal animal health officials. ....  Yes  No

2. Tagging services for sheep and goats

- a. The individual responsible for the facility asks that the facility be authorized to provide tagging services for sheep and goats in accordance with 9 CFR part 79, “Scrapie in Sheep and Goats.” .....  Yes  No

**V. WITHDRAWAL OF APPROVAL**

- 1. APHIS may withdraw the approval of a livestock marketing facility on determining that the livestock facility is not or has not been maintained and operated in accordance with this agreement or 9 CFR.

- a. In the case of withdrawal, before such action is taken, the facility will be informed of the reasons for the proposed withdrawal. The facility may appeal the proposed withdrawal in writing to APHIS within 10 days after being informed of the reasons for the proposed withdrawal. The appeal must include all of the facts and reasons on which the facility relies to show that the reasons for the proposed withdrawal are incorrect or do not support withdrawal of approval of the livestock facility. APHIS will grant or deny the appeal in writing as promptly as circumstances permit, stating the reason for the decision. If there is a conflict as to any material fact, a hearing will be held to resolve the conflict. APHIS will adopt rules of practice concerning the hearing. However, withdrawal shall become effective pending final determination in the proceeding when APHIS determines that such action is necessary to protect the public health, interest, or safety. Such withdrawal shall be effective on oral or written notification, whichever is earlier, to the person responsible for the facility. In the event of oral notification, written confirmation shall be given as promptly as circumstances allow. This withdrawal shall continue in effect pending the completion of the proceeding, and any judicial review thereof, unless otherwise ordered by APHIS.

- b. Approval for a livestock marketing facility will be automatically withdrawn by APHIS when:
  - i. The facility notifies APHIS, in writing, that the facility will no longer handle livestock moved interstate under this agreement; or
  - ii. The person who signed the agreement is no longer responsible for the day-to-day operations of the facility.

**VI. EFFECTIVE DATE, DURATION, AND RENEWAL/AMENDMENTS**

This agreement is effective on the date of the APHIS signature and continues unless withdrawn by APHIS as defined in Article V of this agreement or a change is made to 9 CFR that necessitates a revision. The agreement may be renewed or amended at any time to update the information provided by the facility.

**VII. SIGNATURE OF INDIVIDUAL RESPONSIBLE FOR FACILITY**

I verify the above information to be accurate and hereby request approval for this facility to operate as an Approved Livestock Marketing Facility for the classes of livestock indicated in paragraphs II. F. of this agreement. I acknowledge that I have either received a copy of the applicable parts of 9 CFR or have internet access to the CFR. I further acknowledge that I have been informed and understand that failure

to abide by the provisions of this agreement and all applicable provisions of Title 9, Chapter I, of the Code of Federal Regulations (9 CFR) constitutes a basis for the withdrawal of this approval.

Print Name:

Signature:	Date:
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**VIII. STATE OR FEDERAL REPRESENTATIVE VISITING FACILITY**

Representative who discussed agreement with responsible individual at the facility

Agency:

Print Name:

Signature:	Date:
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**IX. APPROVALS AND SIGNATURES OF STATE AND APHIS REPRESENTATIVES**

A. The facility is granted approval for:

Approved Livestock Marketing Facility: .....  Yes  No

Approved Tagging Site: .....  Yes  No

APHIS Representatives

Print Name:

Signature:	Date:
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State Representative

Name of Agency/Department:

Print Name:

Signature:	Date:
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(Approved by the Office of Management and Budget under control numbers 0579-0258 and 0579-0342)