

DRAFT VERSION #3

This DRAFT - pre-decisional report - is made available for information only. This report contains recommendations from Swine Traceability Task Force and NPPC Animal Health and Food Safety Policy Committee on how the swine industry would like to proceed with implementation of a mandated nationally standardized pre-harvest traceability system for swine.

Introduction

The goal of the following standards is to enable animal health officials to have immediate access to movement data to perform systematic tracing of live swine and semen after the discovery of a trade or commerce limiting swine disease in the U.S. For this to occur, a mandatory pre-harvest traceability system that includes premises registration, animal identification and movement reporting to a centralized database that is available to Animal Health Officials is needed to support disease control, regionalization and resumption of commerce and trade.

Definitions:

Premises Identification Number (PIN)

For the purposes of these program standards the premises identification number (PIN), when referenced, is the standardized PIN as defined in 9 CFR 71.1¹ as “A seven-character alphanumeric code, with the right-most character being a check digit. The check digit number is based upon the ISO 7064 Mod 36/37 check digit algorithm”.

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 or a unique country code for any U.S. territory that has such a code and elects to use it in place of the 840 code). 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 or other prefix representing a U.S. territory; however, only the AIN beginning with the 840 or other prefix representing a U.S. territory will be recognized as official for use on AIN tags applied to animals on or after March 11, 2015. The AIN beginning with the 840 prefix may not be applied to animals known to have been born outside the United States.

The AIN Tag, once applied, serves as the animal’s official identifier throughout production and for movements to slaughter plant or first point of concentration.

¹ As defined in 9CFR § 71.1

AIN Radio Frequency Identification (RFID) Devices (AIN RFID tags)

AIN ear tags with radio frequency identification (RFID) technology are readable visually and electronically. The RFID transponder, in these options, is encased in the visual tag. Tags with RFID technology must have all 15 digits of the AIN printed on the tag piece that contains the transponder. The Official Ear tag Shield and text, “Unlawful to Remove” must be printed on the other piece. The AIN RFID tag, once applied, serves as the animal’s official identifier throughout production and for movements to the slaughter plant or first point of concentration.

Swine Production System

A swine production enterprise that consists of multiple sites of production; i.e., sow herds, nursery herds, and growing or finishing herds, but not including slaughter plants or livestock markets, that are connected by ownership or contractual relationships, between which swine move while remaining under the control of a single owner or a group of contractually connected owners.

General Overview

Program Standards compared to current Code of Federal Regulation (CFR)

The primary differences between these program standards and the current CFR chapters for Animal Disease Traceability (9 CFR Part 86), Identification of swine in interstate commerce (9 CFR 71.19) and, Sows and boars (9 CFR § 78.33) is as follows:

- 1) All swine production premises must have a Premises Identification Number (PIN).
- 2) Breeding stock who are in development in a group setting and not yet in a breeding setting must be officially identified as stated in 9 CFR Part 71.19 if moving outside a production system.
- 3) Breeding stock in a breeding setting must be identified with an Animal Identification Number (AIN) or an AIN Radio Frequency Identification tag (AIN RFID) that serves as the unique individual identifier for that animal when moving to slaughter, to the first point of concentration and/or if sold.
- 4) Exhibition swine for show/sale must be identified with an AIN Radio Frequency Identification tag (AIN RFID) that serves as the unique individual identifier for that animal throughout production and for movements to the slaughter plant or first point of concentration.
- 5) Swine movement records are required to be maintained by individual producers, production systems and market for a minimum of 3 years.
- 6) All swine movement data must be reported directly to a centralized database, accessible as needed by State and Federal Animal Health Officials. The movement data must be reported within 72 hours of the movement and is to include the

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sending and receiving PIN numbers, the date of the shipment, AIN tag numbers (if applicable), and animal type.

Unless specified in the program standards, swine moving interstate, intrastate and to first points of concentration must be identified in accordance with 9 CFR 71.19.

In addition to the movement data outlined in the program standards, individual producers and swine production systems will still be required to maintain records in accordance with 9 CFR 71.19. and slaughter plants and livestock markets will maintain records in accordance with the Packers and Stockyards Act.²

Removal, replacement, or loss of official identification devices in swine are addressed in 9 CFR Part 86.4 – Official Identification

Overview of Swine Movement Reporting Requirements

All movement records of swine and semen will be entered electronically and must include the sending and receiving PINs, animal identification numbers (AIN) when present (or in the case of semen the PIN of the source herd for each dose), date of movement, and animal type (breeding, feeding, show, slaughter, semen). Movement records of swine and semen must be reported within 72 hours of the movement and is the responsibility of the sending premises to report and the receiving premises to verify.

Identification of Feeder Market Swine and Record Requirements

Feeder / Market Swine

- 1) Feeder / Market swine moving in a group
 - a. Movement records for the source and destination premises must include the sending and receiving PIN's, date of movement, and animal type (feeding or slaughter) and must be entered into the centralized database within 72 hours of the movement.
 - b. Market swine moving to a slaughter plant or a first point of concentration for slaughter must be accompanied by documents bearing the barcode of a validated PIN for the sending premises.
- 2) Feeder/market swine comingled outside the production system, not going to slaughter or first point of concentration:
 - a. Must be individually identified with an official unique individual identifier.

² 9 CFR § 201.49 (a), 9 CFR § 201.95

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- b. All movement records for the source and destination premises must include the official unique individual identifier, the sending and receiving PIN's, date of movement and animal type (feeding, slaughter) and must be entered into the centralized database within 72 hours of the movement.
- 3) Market swine arriving to a slaughter plant or first point of concentration:
- a. Must be accompanied by documentation bearing a barcode of a validated PIN for the sending premises.
 - b. Must be individually identified by the slaughter plant with an official device or method such that the identification of the animal can be associated with the carcass at inspection.
 - c. Movement records for the sending and receiving premises must include the sending and receiving PIN's, date of movement and animal type (slaughter).
- 4) Market swine cannot be diverted from slaughter channels back to live production
- 5) Market swine diverted from slaughter plants for sale to a secondary licensed market for slaughter
- a. Must be individually identified with official device or method such that the identification of the animal can be associated back to the plant, and move under permit
 - i. Identifiers including tattoos used by plants when animals are re-sold/shipped need to include an identifier unique to the plant
 - b. Movement records must include individual identification number(s) when present, the sending and receiving PIN's, date of movement, and animal type (slaughter).
- 6) Culls (including feeder/market culls)
- a. If moving in a group to a single cull market before moving to slaughter:
 - i. Possesses a form of identification that would allow for traceback from the slaughter plant to the cull market, to the premises of origin.
 - 1. If animals from multiple premises are mixed on a truck during transport to a cull station:
 - a. The receiving assembly point needs to keep record of the PINs that contributed to the assigned group ID tattoo for that group of animals
 - b. Market culls that are re-sold/shipped to more than one point of concentration prior to arrival at a slaughter establishment and/or are in the cull channel for longer than 3 days:
 - i. Require identification with an AIN tag

Identification of Breeding Swine/Semen and Record Requirements

- 1) An animal qualifies as breeding stock after they are moved from a group setting to a breeding setting.
- 2) Replacement breeding swine who are in development in a group setting and not yet in a breeding setting, **moving within a production system**
 - a. Movements must be reported to the centralized database. Movement reports must include the sending and receiving PIN's, date of movement, and animal type (breeding).
- 3) Replacement breeding swine who are in development in a group setting and not yet in a breeding setting, **moving outside of a production system**
 - a. Animals must be officially identified as stated in 9 CFR Part 71.19.
 - b. Movement reports must include the sending and receiving PIN's, date of movement, official identification type/number, and animal type (breeding).
- 4) Breeding swine in a breeding setting moved to a premises within the production system for further production
 - a. Do not require an official identifier.
 - b. The movement must be reported into the centralized database and include the sending and receiving PIN's, date of movement, and animal type (breeding).
- 5) Breeding swine in a breeding setting moved into the slaughter channel, comingled with swine outside the production system, and/or changing ownership:
 - a. Must be identified with an AIN tag or an AIN RFID tag prior to movement off the premises.
 - b. The tag must remain with the animal as their official identifier until final disposition.
 - c. The movement must be reported into the centralized database and include the sending and receiving PIN's, date of movement, official identification type/number, and animal type (slaughter, breeding).
- 6) Breeding swine cannot be diverted from a slaughter channel back to live production
- 7) Slaughter breeding swine diverted from slaughter plants to a secondary licensed market for slaughter
 - a. Must be identified with an AIN tag or an AIN RFID tag

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- b. Must move under permit.³
 - c. Movements must be reported to the central database and include the AIN tag number, sending and receiving PIN's, date, and type of animal/movement (slaughter).
- 8) Identification methods for semen movement
- a. A label must be affixed to each dose of semen bearing the PIN of the source herd.
 - b. All movement records for the source and destination premises must include the PIN of the source herd, sending and receiving PIN's, date, and movement type (semen).

Identification of Purebred/Crossbred Swine for Show and/or Sale and Record Requirements

- 1) Purebred/Crossbred swine
 - a. Must be identified with an AIN RFID tag prior to movement to a show/exhibition or sale.
 - b. The tag must remain with the animal until final disposition.
 - c. All producers and show operators/management must complete movement records into the centralized database including, the animal's AIN tag number, sending and receiving PIN's, movement date, and animal type.

Movement Reporting

- 1) Movements must be reported electronically
- 2) In-transit movement reporting requirements
 - a. In addition to the date, animal type and tag number(s) when available, the prem of origin and the prem of destination are to be reported in addition to any "in-transit stops" where animals are added or taken off of the load
- 3) 'Report' of a movement is the responsibility of the sending premises
- 4) 'Verification' of the movement is the responsibility of the receiving premises
 - a. The receiver is to confirm receipt of the animals and the accuracy of the information reported for the movement from the sender, within the centralized database. This means confirming the prem ID (PIN) of origin and

³ 9 CFR § 71.21

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destination, the date of the shipment, the type of animal, as well individual identification (AIN).

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APPENDIX A: Code of Federal Regulations

9 CFR 71.1 [eCFR :: 9 CFR 71.1 -- Definitions.](#)

9 CFR 71.19 [eCFR :: 9 CFR 71.19 -- Identification of swine in interstate commerce.](#)

(a)

(1) Except as provided in [paragraphs \(c\)](#) and [\(g\)](#) of this section, no swine may be sold, transported, received for transportation, or offered for sale or transportation, in interstate commerce, unless each swine is identified at whichever of the following comes first:

- (i) The point of first commingling of the swine in interstate commerce with swine from any other source;
- (ii) Upon unloading of the swine in interstate commerce at any livestock market;
- (iii) Upon transfer of ownership of the swine in interstate commerce; or
- (iv) Upon arrival of the swine in interstate commerce at their final destination.

(2) The identification shall be by means of identification approved by the Administrator and listed in [paragraph \(b\)](#) of this section. All swine shall remain so identified while they are in interstate commerce.

(3) Each person who buys or sells, for his or her own account or as the agent of the buyer or seller, transports, receives for transportation, offers for sale or transportation, or otherwise handles swine in interstate commerce, is responsible for the identification of the swine as provided by this section.

(b) Means of swine identification approved by the Administrator are:

- (1) Official eartags, when used on any swine;
- (2) United States Department of Agriculture (USDA) approved backtag, when used on swine moving to slaughter;
- (3) Official swine tattoos, when used on swine moving to slaughter, when the use of the official swine tattoo has been requested by a user or the State animal health official, and the Administrator authorizes its use in writing based on a determination that the tattoo will be retained and visible on the carcass of the swine after slaughter, so as to provide identification of the swine;
- (4) Tattoos of at least 4-characters when used on swine moving to slaughter, except sows and boars as provided in [§ 78.33 of this chapter](#);
- (5) Ear notching when used on any swine, if the ear notching has been recorded in the book of record of a purebred registry association;

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(6) Tattoos on the ear or inner flank of any swine, if the tattoos have been recorded in the book of record of a swine registry association;

(7) For slaughter swine and feeder swine, an eartag or tattoo bearing the premises identification number assigned by the State animal health official to the premises on which the swine originated; and

(8) Any other official identification device or method that is approved by the Administrator.

(c) Swine that are kept as a group are not required to be individually identified when in interstate commerce if:

(1) They were born on the same premises;

(2) They were raised on the same premises where they were born;

(3) They are moved in a group directly to a slaughtering establishment from the place where they were raised;

(4) They are not mixed with swine from any other premises, between the time they are born and the time they arrive at the slaughtering establishment; and

(5) They are slaughtered one after another, as a group, and not mixed with other swine at slaughter; or approved identification is applied to the swine after entry into the slaughtering establishment.

(d) Serial numbers of United States Department of Agriculture (USDA) approved backtag and official swine tattoos will be assigned to each person who applies to the State animal health official or the area veterinarian in charge for the State in which that person maintains his/her or its place of business. Serial numbers of official eartags will be assigned to each accredited veterinarian or State or Federal representative who requests official eartags from the State animal health official or the area veterinarian in charge, whoever is responsible for issuing official eartags in that State. Persons assigned serial numbers of United States Department of Agriculture (USDA) approved backtag, official swine tattoos, and official eartags must:

(1) Record the following information on a document:

(i) All serial numbers applied to the swine;

(ii) Any other serial numbers and approved identification appearing on the swine that are needed to identify the swine to its previous owner and location;

(iii) The street address, including the city and state, or the township, county, and state, of the premises where the approved means of identification were applied; and

(iv) The telephone number, if available, of the person who owns or possesses the swine.

- (2) Maintain these records at the person's place of business for 2 years; and
- (3) Make these records available for inspection and copying during ordinary business hours (8 a.m. to 5:30 p.m., Monday through Friday) upon request by any authorized employee of the United States Department of Agriculture, upon that employee's request and presentation of his or her official credentials.

(e)

(1) Each person who buys or sells, for his or her own account or as the agent of the buyer or seller, transports, receives for transportation, offers for sale or transportation, or otherwise handles swine in interstate commerce, must keep records relating to the transfer of ownership, shipment, or handling of the swine, such as yarding receipts, sale tickets, invoices, and waybills upon which is recorded:

- (i) All serial numbers and other approved means of identification appearing on the swine that are necessary to identify it to the person from whom it was purchased or otherwise obtained; and
- (ii) The street address, including city and state, or the township, county, and state, and the telephone number, if available, of the person from whom the swine were purchased or otherwise obtained.

(2) Each person required to keep records under this paragraph must maintain the records at his/her or its place of business for at least 2 years after the person has sold or otherwise disposed of the swine to another person, and for such further period as the Administrator may require by written notice to the person, for purposes of any investigation or action involving the swine identified in the records. The person shall make the records available for inspection and copying during ordinary business hours (8 a.m. to 5:30 p.m., Monday through Friday) by any authorized employee of the United States Department of Agriculture, upon that employee's request and presentation of his or her official credentials.

(f) No person may remove or tamper with any approved means of identification required to be on swine pursuant to this section while it is in interstate commerce, except at the time of slaughter as provided in [9 CFR 309.16\(e\)](#).

(g) **Swine moving interstate within a swine production system.** Swine moving within a swine production system to other than slaughter or a livestock market are not required to be individually identified when moved in interstate commerce under the following conditions:

- (1) The swine may be moved interstate only to another premises identified in a valid swine production health plan for that swine production system.
- (2) The swine production system must operate under a valid swine production health plan, in which both the sending and receiving States have agreed to allow the movement.

(3) The swine must have been found free from signs of any communicable disease during the most recent inspection of the premises by the swine production system accredited veterinarian(s) within 30 days prior to movement.

(4) Prior to the movement of any swine, the producer(s) moving swine must deliver the required interstate swine movement report to the following individuals identified in the swine production health plan:

(i) The swine production system accredited veterinarian for the premises from which the swine are to be moved, and

(ii) The State animal health officials for the sending and receiving States, and any other State employees designated by the State animal health officials.

(5) The receiving premises must not commingle swine received from different premises in a manner that prevents identification of the premises that sent the swine or groups of swine. This may be achieved by use of permanent premises or individual identification marks on animals, by keeping groups of animals received from one premises physically separate from animals received from other premises, or by any other effective means.

(6) Each premises must maintain, for 3 years after their date of creation, records that will allow an APHIS representative or State animal health official to trace any animal on the premises back to its previous premises, and must maintain copies of each swine production health plan signed by the producer, all interstate swine movement reports issued by the producer, and all reports the swine production system accredited veterinarian(s) issue documenting the health status of the swine on the premises.

(7) Each premises must allow APHIS representatives and State animal health officials access to the premises upon request to inspect animals and review records.

(8) Once a month, each swine production system must send APHIS a written summary based on the interstate swine movement report data that shows how many animals were moved in the past month, the premises from which they were moved, and the premises to which they were moved.

9 CFR 78.33 [eCFR :: 9 CFR 78.33 -- Sows and boars.](#)

(a) Sows and boars may be moved in interstate commerce for slaughter or for sale for slaughter if they are identified in accordance with § 71.19 of this chapter either:

(1) Before being moved in interstate commerce and before being mixed with swine from any other source; or

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(2) After being moved in interstate commerce but before being mixed with swine from any other source only if they have been moved directly from their herd of origin to:

- (i) A recognized slaughtering establishment; or
- (ii) A stockyard, market agency, or dealer operating under the Packers and Stockyards Act, as amended (7 U.S.C. 181 et seq.).

(b) Sows and boars may be moved in interstate commerce for breeding only if they are identified in accordance with § 71.19 of this chapter before being moved in interstate commerce and before being mixed with swine from any other source, and the sows and boars either:

- (1) Are from a validated brucellosis-free herd or a validated brucellosis-free State and are accompanied by a certificate that states, in addition to the items specified in § 78.1, that the swine originated in a validated brucellosis-free herd or a validated brucellosis-free State; or
- (2) Have tested negative to an official test conducted within 30 days prior to interstate movement and are accompanied by a certificate that states, in addition to the items specified in § 78.1, the dates and results of the official tests.

(c) Sows and boars may be moved in interstate commerce for purposes other than slaughter or breeding without restriction under this subpart if they are identified in accordance with § 71.19 of this chapter.

9 CFR Part 86 [eCFR :: 9 CFR Part 86 -- Animal Disease Traceability](#)

9 CFR Part 86.4 [eCFR :: 9 CFR 86.4 -- Official identification.](#)

(c) *Use of more than one official eartag.* Beginning on March 13, 2013, no more than one official eartag may be applied to an animal, except that:

- (1) Another official eartag may be applied providing it bears the same official identification number as an existing one.
- (2) In specific cases when the need to maintain the identity of an animal is intensified (e.g., such as for export shipments, quarantined herds, field trials, experiments, or disease surveys), a State or Tribal animal health official or an area veterinarian in charge may approve the application of an additional official eartag to an animal that already has one or more. The person applying the additional official eartag must record the following information about the event and maintain the record for 5 years: The date the additional official eartag is added; the reason for the additional official eartag device; and the official identification numbers of both the new official eartag and the one(s) already attached to the animal.

(3) An eartag with an animal identification number (AIN) beginning with the 840 prefix (either radio frequency identification or visual-only tag) may be applied to an animal that is already officially identified with one or more National Uniform Eartagging System tags and/or an official vaccination eartag used for brucellosis. The person applying the AIN eartag must record the date the AIN tag is added and the official identification numbers of both official eartags and must maintain those records for 5 years.

(4) A brucellosis vaccination eartag with a National Uniform Eartagging System number may be applied in accordance with [part 78 of this chapter](#) to an animal that is already officially identified with one or more official eartags under this part. The person applying the vaccination eartag must record the date the tag is added and the official identification numbers of both the existing official eartag(s) and the vaccination eartag and must maintain those records for 5 years.

(d) Removal or loss of official identification devices.

(1) Official identification devices are intended to provide permanent identification of livestock and to ensure the ability to find the source of animal disease outbreaks. Removal of these devices, including devices applied to imported animals in their countries of origin and recognized by the Administrator as official, is prohibited except at the time of slaughter, at any other location upon the death of the animal, or as otherwise approved by the State or Tribal animal health official or an area veterinarian in charge when a device needs to be replaced.

(2) All man-made identification devices affixed to covered livestock unloaded at slaughter plants after moving interstate must be removed at the slaughter facility by slaughter-facility personnel with the devices correlated with the animal and its carcass through final inspection or condemnation by means approved by the Food Safety Inspection Service (FSIS). If diagnostic samples are taken, the identification devices must be packaged with the samples and be correlated with the carcasses through final inspection or condemnation by means approved by FSIS. Devices collected at slaughter must be made available to APHIS and FSIS by the slaughter plant.

(3) All official identification devices affixed to covered livestock carcasses moved interstate for rendering must be removed at the rendering facility and made available to APHIS.

(4) If an animal loses an official identification device and needs a new one:

(i) A replacement tag with a different official identification number may be applied. The person applying a new official identification device with a different official identification number must record the following information about the event and maintain the record for 5 years: The date the new official identification device was added; the official identification number on the device; and the official identification number on the old device if known.

(ii) Replacement of a temporary identification device with a new official identification device is considered to be a retagging event, and all applicable information must be maintained in accordance with [paragraph \(d\)\(4\)\(i\)](#) of this section.

(iii) A duplicate replacement eartag with the official number of the lost tag may be applied in accordance with APHIS' protocol for the administration of such tags.

(e) Replacement of official identification devices for reasons other than loss.

(1) Circumstances under which a State or Tribal animal health official or an area veterinarian in charge may authorize replacement of an official identification device include, but are not limited to:

(i) Deterioration of the device such that loss of the device appears likely or the number can no longer be read;

(ii) 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);

(iii) Malfunction of the electronic component of a radio frequency identification (RFID) device; or

(iv) Incompatibility or inoperability of the electronic component of an RFID device with the management system or unacceptable functionality of the management system due to use of an RFID device.

(2) Any time an official identification device is replaced, as authorized by the State or Tribal animal health official or area veterinarian in charge, the person replacing the device must record the following information about the event and maintain the record for 5 years:

(i) The date on which the device was removed;

(ii) Contact information for the location where the device was removed;

(iii) The official identification number (to the extent possible) on the device removed;

(iv) The type of device removed (e.g., metal eartag, RFID eartag);

(v) The reason for the removal of the device;

(vi) The new official identification number on the replacement device; and

(vii) The type of replacement device applied.

(f) Sale or transfer of official identification devices. Official identification devices are not to be sold or otherwise transferred from the premises to which they were originally issued to

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another premises without authorization by the Administrator or a State or Tribal animal health official.

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