



Canadian Food
Inspection Agency

Agence canadienne
d'inspection des aliments

Manual of Procedures

Livestock Identification and Traceability Program

Version 3e

2017-09-14

Document history

Version	Comments	Date
1	Launch version	2011-08-03
1a	- Addition of procedure TRACE-20-2011/08/08 - Clarification in sections 5.4.3.2, B8 and B0	2011-08-08
1b	- Corrections made under Annex A pertaining to proposed pig traceability system	2011-09-07
2	- The document entitled "Canadian Livestock Identification Program: Compliance and Enforcement Strategies Document" dated 29 June 2005 (RDIMS #1471383) is rescinded and replaced by version 2 of this Manual of Procedures - Addition of a "Part XV data" definition - Amendment to policy TRACE-02 (see Annex D) - Addition of procedure TRACE-21 - Editorial change made to all tasks under Annex A; effective date of tasks modified - Editorial changes made throughout document	2011-10-17
2a	- Removal in section 3.3 of an inspector's responsibility: "If requested by the regulated party, provide a letter to communicate verification task results" - Update of information under Section 4 on "Required Qualifications" - Clarifications under section 5.4.2.2 on where to find information on administrators; and that cattle birth date verification is not a part of the program's activities - Addition of section 5.4.2.2.6 on the CFIA access to traceability information collected by the Manitoba, Agriculture, Food and Rural Initiatives - Addition of section 5.4.3.3 on the Management and Disclosure of Part XV data - Under Annex A, minor change to Task 2202 for tagging sites - Clarification of instructions TRACE-17 and TRACE-18 - Addition of instructions TRACE-22 on the disclosure of Part XV data to a foreign country - Title modification of TRACE-04 instructions - Further information provided under section B10 (importers) on foreign tags considered equivalent and on the identification requirements for Canadian animals imported after a short stay in a foreign country - Information added in section B12 (exporters) that a "Temporary Export" event has been added under the administrator's database	2012-02-13

	<p>(CLTS); and clarification that the event type to report animals that have been exported under CLTS is “Export” and not “Retired”.</p> <ul style="list-style-type: none"> - Clarification under section B13 that in the event the operator of a tagging site also distributes approved tags, both tasks 2101 and 2202 will need to be performed. - Clarification to decision TRACE-07; the former decision is included under Annex D. 	
2b	<ul style="list-style-type: none"> - Modification to Chapter 4: Required Qualifications - Modification to Chapter 5: collection of information from non-CVS inspections - Clarification under task 2104, that task 2202 also needs to be conducted for auctions recognized as tagging sites - Clarification that task 2105 must be conducted for all auctions, regardless if they are recognized as tagging sites - Clarification under task 2106 that the requirement to report the identification numbers of the approved tags applied to carcasses disposed of by the operator also applies to sheep carcasses - Modification under task 2111: the CCIA database architecture has been modified and may now receive sheep import information - Clarification under task 2114 that the requirement to report the number of the new approved tag as well as the number of the tag previously applied also applies to sheep - Introduction of section B0.1 - Modification to section B2: the number of sheep farms to be inspected per year under task 2103 - Revision to sections pertaining to proposed pig traceability system 	2012-06-14
2c	<ul style="list-style-type: none"> - Modification to Table 1 in section 2.5 (identification number allocation per species) - Modification to procedure TRACE-20: request by investigative body for access to Part XV information - Editorial modifications to tasks 2109, 2110 and 2202 - Modification to task 2111 (Importers): animal identification numbers recorded on import permits should not be compared against those reported to the administrator’s database - Clarification under section B8: rendering plants, dead stock operators - Annex C (template for letter of non-compliance) removed; reference to access the template is included under section 5.5 - Annex D (previous policies) removed; all previous versions of the MOP are saved under RDIMS 	2012-11-26
2d	<ul style="list-style-type: none"> - Modification to Chapter 4 (Qualifications) specifying that successful completion of course I6J022 (e-learning delivery) or I6J027 (classroom) 	2013-07-09

	<p>is required before delivering the TRACE program, through the CVS approach or not</p> <ul style="list-style-type: none"> - Addition of section 5.4.2.3.6 about the Traceability National Information Portal - Clarification to section 5.2.2 about the authorization process and the reason for accessing data. - Clarification to section 5.4.5.1.2 that inspectors should notify his/her Inspection Manager about each letter of non-compliance issued. - Reference to a list of revoked bison tags added under section 5.5 - Amendment to policy TRACE-19 on the definition of “carcass” - Minor modification to task 2102 - Minor modification to task 2202 - Further information provided under section B1 (tag distributors) 	
3	<ul style="list-style-type: none"> - Addition of new, regulatory requirements which mainly deals with pig traceability - Addition of a definition for “feedlot” - Addition of policies TRACE-23 and TRACE-24 - Addition of regulatory clarification TRACE-25 - Addition of annex C - Feedlots are removed from task 2102, and are now subject to a specific task, 2203, which will be conducted for a third of the sites yearly - Inspection frequency for task 2103 (sheep and pig farms) increased to 5% of the sites, yearly - Tasks 2104 (on-site observations at auctions) and 2105 (database and records consultations at auctions) are merged to 2104. - Inspection frequency for task 2104 amended to each site monthly; suggested duration to complete inspection set at 120 minutes - Tasks 2107 (fairs, test stations, rodeos, community pastures) and 2110 (veterinary clinics and laboratories) are merged to 2107 - Ferry terminals added to task 2107 - Suggested time to complete inspection for task 2108 (federally-inspected abattoirs) increased to 60 minutes - Suggested time to complete inspection for task 2112 (carriers) decreased to 60 minutes - Inspection frequency for task 2113 (non-federally inspected abattoirs) in BC, Saskatchewan and Manitoba decreased each site yearly - Inspection frequency for task 2114 (assembly yards) amended to each site monthly; suggested duration to complete inspection increased to 90 minutes 	2014-07-01
3a	- Amendment to Regulatory Interpretation TRACE-16	2014-12-01

	<ul style="list-style-type: none"> - Amendment to Table 2 on pig herd mark - Amendment to section 5.4.2.3.5 to reflect that agreement signed between the Ontario Government and the CFIA 	
3b	<ul style="list-style-type: none"> - All requirements under Part XV of the <i>Health of Animals Regulations</i> applying to pigs and their custodians now also apply to farmed wild boars and their custodians - Amendment to the definition of “pig” - Addition of regulatory clarification TRACE-26 - Amendment to Table 2 on pig herd mark 	2015-07-01
3c	<ul style="list-style-type: none"> - Addition that notices and directives communicated internally to inspectors through Listserv supersedes information collected in the latest published version of the manual of procedures. - Amendment to policy Trace-02 - Addition of regulatory clarification Trace-27 - General information on roles and responsibilities under Chapter 3 has been removed - General information on Compliance Verification System under Chapter 5 has been removed - Amendments to tasks 2102, 2103, 2108, 2111, 2113, 2114, 2201, 2203 - Clarification to section B7. Abattoirs - Amendment to the list of foreign indicators considered equivalent under section B10 - Clarification to section B13. Tagging site 	2016-03-21
3d	<ul style="list-style-type: none"> - Amendment to reflect that violations of Part XV requirements dealing with pigs are subject to administrative penalties - Addition of policy clarification TRACE-28 - Amendment to all tasks 	2016-08-24
3e	<ul style="list-style-type: none"> - Addition of training course for the Traceability National Information Portal - Addition of TRACE in class training course tailored to the needs of meat hygiene staff - Guideline of no longer conducting inspections under OPM tasks 21a14 and 21a13 - Clarification to tasks 2102, 2103, 2104, 2107, 2108, 2109, 2113, 2114, 2201, 2203 - Addition of policy clarification TRACE-29, TRACE-30 and TRACE-32 - Addition of operational guidance TRACE-31 and TRACE-34 - Addition of Regulatory clarification TRACE-33 and TRACE-35 - Clarification to TRACE-17 and TRACE-21 - Clarification to section 5.4.1 (Verification Task Process, Step 1) on 	2017-09-14

	<p>established tasks frequencies.</p> <ul style="list-style-type: none">- Addition of the reference to the Responsible Administrators Report file in section 5.5 table, TRACE-21 and specific sections in Annex B.- Clarification to Annex B sections on consulting databases in preparation for compliance verifications.- Clarifications made to section B4. Order Buyers and Dealers- Clarifications made to sections B6. Assembly yards, B7 Abattoirs and B13 Tagging sites on gaps identified in RAFs.- References to RDIMS and PDF versions of the lists of approved and revoked indicators was replaced by the link to CFIA's public website.	
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Notice

Notices and directives communicated internally to inspectors through Listserv (available at: <http://merlin/english/anima/trac/trace.aspx>) supersedes information collected in the latest published version of the Manual of procedures.

The target audience for this document are CFIA inspectors involved in compliance verification and enforcement activities in the livestock identification and traceability program. The transmission of this document or any information thereof outside of the Canadian Food Inspection Agency is prohibited without the consent of the National Program Manager.

Requirements listed under Annex A and referred to in Annex B and followed by an asterisk (*) are not subject to the *Agriculture and Agri-Food Administrative Monetary Penalties Regulations*.

Modifications to the last version of the document are double-underlined.

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Policies, Regulatory Clarifications, Instructions, Procedures, Decisions

[TRACE-01. Regulatory clarification: definition of “bovine”](#)

[TRACE-02/2016-03-21. Policy: identification of unmanageable bison, bovine, rams, boars and wild boars](#)

[TRACE-03-2011-05-02. Regulatory clarification: defective approved tags](#)

[TRACE-04/2012-02-13. Instructions: application of an approved tag to animals which have lost their tag or are born at a community pasture](#)

[TRACE-05/2016-08-24. Operational guidance: measuring tag retirement compliance rate](#)

[TRACE-06. Instructions: identification of a calf born at a veterinary clinic](#)

[TRACE-08/2014-07-01. Instructions: providing approved tags to the operator of a tagging site](#)

[TRACE-09/2011-05-02. Regulatory clarification: prohibition in removing a defective approved tag](#)

[TRACE-10. Instructions: identification of a calf born at a fair](#)

[TRACE-11. Regulatory clarification: animals arriving at abattoirs with “approved tags in hand”](#)

[TRACE-12. Regulatory clarification: reporting the identification number of multiple approved tags borne by an animal](#)

[TRACE-13/2011-05-01. Regulatory clarification: role of inspectors in reporting Part XV data](#)

[TRACE-14/2011-05-01. Instructions: role of inspectors in reporting Part XV data](#)

[TRACE-15/2011-05-01. Regulatory clarification: role of CFIA in reporting the disposal of carcasses bearing an approved tag](#)

[TRACE-16/2014-12-01. Regulatory clarification: application of an approved tag on other species](#)

[TRACE-17/2017-09-14. Instructions: responsibility of the consignor in identifying animals with an approved tag](#)

[TRACE-18/2012-02-13. Instructions: responsibility by operators of auctions in identifying animals with an approved tag issued for their site](#)

[TRACE-19/2013-07-09. Policy: definition of “carcass”](#)

[TRACE-20/2011-08-08. Operational guidance: Request by an investigative body for access to Part XV information](#)

[TRACE-21/2017-09-14. Operational guidance: inspections at tag distributors](#)

[TRACE-22/2012-02-13. Instructions: disclosure of Part XV data to a foreign country](#)

[TRACE-23/2014-07-01. Policy: tags applied with number facing forward](#)

[TRACE-24/2014-07-01. Policy: identification of the last site where pigs were kept before being exported](#)

[TRACE-25/2014-07-01. Regulatory clarification: identification of exported pigs.](#)

[TRACE-26/2015-07-01. Regulatory clarification: definition of “farm”](#)

[TRACE-27/2016-03-21. Regulatory clarification: pigs slaughtered at an abattoir located next to a farm](#)

[TRACE-28/2016-08-24. Policy: Part of a pig carcass](#)

[TRACE-29/2017-09-14. Policy: reporting reception vs slaughter for pigs](#)

[TRACE-30/2017-09-14. Policy: using ink when applying an approved slap tattoo](#)

[TRACE-31/2017-09-14. Operational guidance: violations to reception under ss. 177\(2\) and 177.1\(1\)](#)

[TRACE-32/2017-09-14. Policy: site “used exclusively for the purpose of collecting animals before they are transported to an abattoir” versus pigs exported for immediate slaughter](#)

[TRACE-33/2017-09-14. Regulatory clarification: reporting of an export event for an animal that wasn’t exported](#)

[TRACE-34/2017-09-14. Operational guidance: Section 175.1 in Part XV vs sites other than farms & Subsection 186\(3\) vs abattoirs](#)

[TRACE-35/2017-09-14. Regulatory clarification: delegating reporting](#)

List of acronyms

AMP	Administrative Monetary Penalty
ATQ	Agri-Traçabilité Québec
CCIA	Canadian Cattle Identification Agency
CFIA	Canadian Food Inspection Agency
CLTS	Canadian Livestock Tracking System
CPC	Canadian Pork Council
CVS	Compliance Verification System
ECS	Export Control System
EIS	Enforcement and Investigation Services
QMS	Quality Management System
ICTS	Import Control Tracking System
INCR	Inspectors Non-Compliance Report
MOP	Manual of procedure
MRT	Management Review Team
NLID	National Livestock Identification for Dairy
NOV	Notice of Violation
OPM	Operations Branch Planning Module
para.	paragraph
RFID	radio-frequency identification
s.	section
ss.	subsection
TIES	Tracking Import-Export System
TNIP	Traceability National Information Portal
TRACE	Livestock identification and traceability (program)

Glossary

Definitions under s. 172 of the *Health of Animals Regulations* take precedence.

Approved slap tattoo (*tatouage au marteau approuvé*)

A slap tattoo bearing an identification number issued by the responsible administrator in respect of a site under para. 174(2)(a).

Bred (*sailli*)

An animal that is mated either naturally or artificially or that has provided semen, ova or embryos for reproduction.

Farm (*ferme*)

Land, and all buildings and other structures on that land, that is used under one management for breeding or raising animals but does not include an artificial insemination unit.

Farm of origin (*ferme d'origine*)

The farm on which an animal is born or, if an animal is not born on a farm, the first farm to which it is moved after its birth.

Feedlot (*parc d'engraissement*)

An operation that feeds bovine or bison and is operated in whole or in part for the purposes of growing or finishing bovine or bison by means other than grazing, but does not include (a) an overwintering site where bovine and bison are sheltered, (b) a dairy farm, or (c) a site for breeding bovine or bison.

Herd mark (*marque de troupeau*)

The identification number unique to a group of animals originating from the same site.

Part XV data (*données de la partie XV*)

Data reported by regulated parties for requirements identified under Part XV of the federal *Health of Animals Regulations*.

Performance criteria (*critère de performance*)

Specifications for performance of a programme and are usually expressed in quantitative terms, such as “all animals can be traced to the establishment of birth within 48 hours of an enquiry.”

Pig (*porc*)

An animal, other than an embryo or a fertilized egg, of the genus *Sus*.

Premises (*site*)

A premises is a parcel of land defined by a legal land description or, in its absence, by geo-referenced coordinates, on which or on any part of which animals, plants or food are grown, kept, assembled, or disposed of.

Radio frequency identification (*identification par radio-fréquence*)

An identification device that uses radio frequency technology. The RFID device or method of identification includes ear tags, boluses, implants (injected), and tag attachments (transponders applied during the tagging process).

Recording (*consignation*)

Written or electronic documents are kept on premises or office of premises to validate/verify traceability data provided to the database.

Reporting (*déclaration*)

Information is transmitted and entered directly to the traceability database or through a service provider by a person required to report.

Responsible administrator (*administrateur responsable*)

A person who is authorized by the Minister to receive information in relation to animals or things to which the (*Health of Animals*) Act or these Regulations apply, is listed on the (Canadian Food Inspection) Agency's web site as an administrator and administers a national identification program in relation to certain animals of all or part of one or more genera, species or subspecies that are located in one or more provinces.

Site (*installation*)

A place where animals or carcasses of animals are kept or collected but does not include a conveyance.

Tag, allocation of (*attribution de l'étiquette*)

The allocation by an administrator to a manufacturer of identification numbers to be printed or inscribed onto approved tags.

Tag, distribution of (*distribution de l'étiquette*)

The sale or delivery of an approved tag from a manufacturer or approved tag distributor to an approved tag distributor.

Tag, issuance of (*délivrance de l'étiquette*)

The sale or delivery of an approved tag from a manufacturer or a tag distributor to a person who will apply the approved tag to the animal.

Tag, retirement of (*retrait de l'étiquette*)

Reporting the identification number on an approved tag applied to an animal when slaughtered or when its carcass has been disposed of and/or received.

Tamper-evident (*inviolable*)

Tamper-evident devices reveal signs of adjustment, removal, or re-application.

Traceability (*traçabilité*)

The ability to trace and follow food, feed, food-producing animals or substances intended to be, or expected to be incorporated into a food or feed, through all stages of production, processing and distribution (EU – Reg 178/2002 Art 3(15)).

Tracing (*traçage*)

Tracing is the ability to identify the origin of a particular commodity located within the supply chain by reference to records held upstream in the supply chain.

Tracking (*suivi*)

Starts at a defined point, usually the point where the food, infection or problem originated. From this defined point, the trace moves forward following the item's normal direction of movement through the agri-food continuum. Also called "forward tracing."

1 Purpose

The purpose of this document is to help the Canadian Food Inspection Agency (CFIA) inspectors in verifying compliance and enforcing livestock identification and traceability requirements provided under Part XV of the *Health of Animals Regulations*. Currently, the livestock species subject to those requirements are bison, bovine, ovine and pigs (including farmed wild boars). Identification requirements for other species are covered in the Common Procedures Manual available under Merlin (RDIMS #6769248).

2 Program Description

2.1 Introduction

The Livestock Identification and Traceability (TRACE) program is a component of the CFIA Terrestrial Animal Health sub-activity (SA 2.1), and of the CFIA Animal Health and Zoonotics Program (program activity 2)(reference: CFIA Program Activity Architecture).

National livestock identification and traceability in Canada is regulated and enforced under Part XV of the *Health of Animals Regulations*, made under the authority of the *Health of Animals Act*. The bison and bovine components of the program were introduced on 1 January 2001 (SOR/2000-416), ovine on 1 January 2004 (SOR/2003-409), pig on 1 July 2014 and farmed wild boars on 1 July 2015 (SOR/2014-23). The breadth of the program (i.e., the level of regulatory requirements) was modified through regulatory amendments in 2005 (SOR/2005-192) and 2010 (SOR/2010-137).

There are three main pillars to traceability systems:

- the identification of an animal or a product;
- an event related to the identified animal or product (e.g. departure);
- the location where the identified animal or product has transited.

The main focus of the bovine, ovine and bison components of TRACE is on the identification of the animals whereas the pig component addresses all three pillars. To optimize the cost-effectiveness of the traceability system, the physical identification of pigs is required only under certain circumstances identified in the Regulations. Under this “group movement” traceability system, both the departure and receipt of pigs must be reported in order to provide more robustness to the system.

2.2 Objectives and performance criteria

The objective of the program is to provide rapid access to accurate and up-to-date traceability information. This information may be used to assist in managing a food safety issue, a natural

disaster or an infectious disease that may spread slowly and insidiously (e.g. BSE), or more rapidly (e.g. foot-and-mouth). The performance criteria of the TRACE program are as follows:

Within 48 hours of the relevant Chief Veterinary Officer being notified, it must be possible to:

1. *Establish the location(s) where a specified animal has been kept during its life;*
2. *Establish the location(s) from where animals at a given site were received;*
3. *Establish a listing of all animals that have been kept on the same location as the specified animal at any stage during those animals' lives;*
4. *Determine the current location of all animals that have been kept on the same site as the specified animal at any time during those animals' lives;*
5. *Determine the identification number and movement history of all conveyances used to transport animals to and from a given location;*
6. *Establish the location of a specified animal immediately prior to importation into Canada or the location of a specified animal immediately subsequent to exportation from Canada;*
7. *Establish the location and date at which deceased animals were sent, transported, received and disposed of (both on- and off-site), and a listing of those animals if identified individually.*

2.3 Responsible administrator

An agreement has been signed between the Canadian Cattle Identification Agency (CCIA) and the CFIA which recognizes the CCIA as the administrator responsible for bison, bovine and ovine components of the TRACE program. The CCIA is a non-profit body incorporated in 1998 with the mandate of implementing a national livestock identification and traceability program to provide the capability of tracing any bovine animal to its herd of origin for animal health or food safety purposes. The Canadian Pork Council (CPC) is the administrator responsible for pigs since 1 July 2014 and for farmed wild boars since 1 July 2015.

2.4 Approval and revocation of tags

Identification and movement recording and reporting requirements for livestock are covered under Part XV of the *Health of Animals Regulations*. As specified under s. 173 of the Regulations, the tags used under the TRACE program are approved by the Federal Minister of Agriculture and Agri-Food. The authority to approve or revoke tags has been delegated to the CFIA. The criteria upon which the tags will be evaluated or revoked are stated under s. 173.

One of the responsibilities of the responsible administrator is to test tags and provide recommendations to the Minister (the CFIA) as to which tags should be approved or revoked. The CFIA also receives and considers recommendations provided by Agri-Traçabilité Québec (ATQ), the Canadian Sheep Federation and the National Livestock Identification for Dairy (NLID).

Once a tag has been approved by the CFIA, it will bear the official logo of the responsible administrator and a unique identification number following the ISO 11,784 standard format, i.e. made of 15 digits: the first three digits represent the country code following the ISO 3166 standard (“124” for Canada), followed by three characters which may correspond to information such a database where the data is collected, animal breed, etc. (as this field has not been allocated yet, “000” is used) and then by nine more digits unique to the animal. Tags approved for pigs may bear a herd mark instead of an ISO number (identification number unique to an animal).

2.5 Allocation and issuance of approved tags and other identification means

Approved ear tags with ISO numbers

In order to ensure uniqueness of the approved tags, the CFIA has provided ranges of identification numbers based on species (see Table 1). For each range, subsets of identification number ranges were also provided to CCIA, ATQ and NLID. These organizations are responsible for the allocation of the approved tags (i.e. requesting manufacturers to produce approved tags bearing a given range of identification numbers).

Table 1. Ranges of identification numbers borne on approved tags

Cattle:	124,000,000,000,001 – 124,000,299,999,999
Bison:	124,000,300,000,000 – 124,000,304,999,999
Sheep:	124,000,310,000,000 - 124,000,319,999,999 124,000,500,000,000 - 124,000,549,999,999
Cervid:	124,000,330,000,000 - 124,000,334,999,999
Goat:	124,000,340,000,000 - 124,000,344,999,999
Pig:	124,000,400,000,000 - 124,000,499,999,999
Equid:	124,000,550,000,000 - 124,000,559,999,999

The responsible administrators are also responsible for the issuance of the approved tags (i.e. the sale or delivery of approved tags from tag manufacturers or tag distributors to a person who will apply them to animals).

TRACE-16/2014-12-01. Regulatory clarification: application of an approved tag on other species. The application of approved tags to animals of species not listed under Part XV is prohibited under s. 180.1. The removal of a tag approved for a given species that has been applied to an animal of a different species is allowed. There is no requirement for the retirement of an approved tag applied to animal of a species not listed in Part XV.

Other approved indicators

Under the pig component of TRACE, the responsible administrator may issue an identification number or cause one to be issued in respect of that site for the purpose of being applied by:

- approved slap tattoos to pigs from that site that are destined for slaughter;
- indicators to pigs from that site that are destined for export.

The identification number of approved slap tattoos, also referred to herd mark, is made up of five alpha-numeric characters and corresponds to a site (see Table 2). Herd marks are also used on approved tags applied to pigs sent to abattoirs (either directly from a farm or through a site used exclusively to collect animals before being transported to abattoirs) and, to pigs being exported, e.g. ear tattoo, export tag (dependent of importing country's requirements).

TRACE-30/2017-09-14. Policy: using ink when applying an approved slap tattoo. When it comes to Part XV, the term "tattoo" implies that ink must be used in the process. Therefore, regulated parties are required to use ink when applying an approved slap tattoo; a pig slapped with a "dry" hammer is not considered to be identified with an approved indicator.

Table 2. Pig herd mark allocation

Province	Herd mark range	Province	Herd mark range
Newfoundland and Labrador	9xyx4	Manitoba	xxyx8 {5-7}xyx2
Nova Scotia	6xyx9	Saskatchewan	{0-6}xyx4 Exyx4 Vxyx4
Prince Edward Island	{0-4}xyx2	Alberta	xxyx6
New Brunswick	7xyx4	British Columbia	9xyx0
Quebec	{0-8}xyx0 xxyx1 xxyx3	Yukon, Nunavut, Northwest Territories	8xyx4
Ontario	xxyx5 xxyx7 {1-5}xyx9	Where, x: a letter or a digit y: a digit, D or E	

3 Roles and Responsibilities

Only information on roles and responsibilities specific to the TRACE program is provided under this chapter. More general information on roles and responsibilities is provided under chapter 4 of the course I6D264 entitled “Introduction to Compliance Verification System (CVS)” available through Canada School of Public Service.

3.1 *Regulated Party*

Rescinded section

3.2 *Responsible administrator*

The responsibilities of the responsible administrator include:

- To establish and maintain a computerized system for collecting and maintaining data in accordance with Part XV of the Regulations for the animals for which it is the responsible administrator;
- To use its best efforts to operate within any national system operability standards that CFIA and industry representatives agree upon;
- To test and evaluate indicators and make recommendations to the CFIA;
- To issue approved tags, or cause them to be issued, for the purposes of Part XV of the Regulations;
- To use the applicable ISO standards and the blocks of unique individual numbers that CFIA has allocated for animals of each species;
- To record in the database the identification information about the approved tags and other indicators, the name and address of the persons to whom the tags or other indicators are issued and any other information that is required to be reported to the responsible administrator under Part XV of the Regulations;
- To allocate identification numbers printed on approved tags, or cause them to be allocated;
- To require that each manufacturer, supplier, dealer and distributor of approved tags that enters into an agreement with the responsible administrator for the distribution of approved tags to provide to the person to whom the tags are sold or otherwise distributed with information provided by CFIA about the purpose for which any information about the person is collected;
- To make every reasonable effort to ensure the accuracy and completeness of the information collected under Part XV of the Regulations;
- To act on requests by persons to correct information collected about them under Part XV of the Regulations either (a) by correcting information that is determined to be inaccurate or (b) if the information is not determined to be inaccurate, by noting that a

correction was requested. A record will be kept of corrections made and of the refusals to make corrections with applicable reasons for the corrections and refusals;

- To provide to CFIA representatives (designated by CFIA) at all times direct on-line access to Part XV data and related metadata in the database in a defined, structured and validated format approved by CFIA;
- To provide to representatives of a province or territory designated by CFIA direct on-line access to the information in the database that was collected under Part XV of the Regulations;
- Not use or disclose any Part XV data, or allow any other person to use any of that data, except as authorized by their agreement with CFIA or required by law.

3.3 Inspector

Rescinded section

3.4 Supervisor

Rescinded section

3.5 Inspection Manager

Rescinded section

3.6 Regional Veterinarian Officer

Rescinded section

3.7 Area CVS Coordinator

Rescinded section

3.8 Area TRACE Coordinator

The responsibilities specific to the TRACE program of the Area TRACE Coordinator are to:

- Respond to TRACE program issues and questions received from the Area CVS Coordinator and operations staff;

- Respond to issues/questions about compliance verification and enforcement from provincial groups representing the interest of the regulated parties and by service providers;
- Respond to issues and contact responsible administrators when incorrect information is being/has been communicated to regulated parties, and;
- Review compliance issues reported by the responsible administrators and request the conduct of compliance verification inspections if necessary.

3.9 National Program Manager

The responsibilities of the National Manager for the TRACE program include:

- Respond to issues and contact responsible administrators when incorrect information is being/has been communicated to regulated parties;
- Manage the access of CFIA employees to traceability information systems;
- Approve and revoke indicators under the TRACE program.

3.10 National CVS Coordinator

Rescinded section

3.11 Enforcement and Investigation Services Headquarters (EIS Headquarters)

Rescinded section

3.12 Area Enforcement and Investigation Services (Area EIS)

Rescinded section

4 Required Qualifications

4.1 Courses

In order to conduct a compliance verification task under the program, the person must first be designated as an inspector under the *Health of Animals Act*. The inspector must also have successfully completed the following training:

- *Foundations of inspection and regulations*, PeopleSoft course code I6A029 (EIS course). Contact your Area Training and Organizational Development Coordinator for further information.
- *Livestock Identification and Traceability Program Training course*, PeopleSoft course code I6D286¹. The course is based on version 3A of the MOP, is available through the Canada School of Public Service (Offering ID: 00034588), and consists of four modules. Inspectors must review the entire course even though some modules may not be relevant to their activities. The successful completion of this course is a pre-requisite for taking the course I6D287 and I6D314.
- *Livestock Identification and Traceability Program workshop*, PeopleSoft code I6D287. Alternatively, inspectors conducting TRACE tasks exclusively at abattoirs may follow the Livestock Identification and Traceability Program - Abattoirs workshop, PeopleSoft code I6D314. These courses are provided through classroom.
- *Traceability National Information Portal*, PeopleSoft course code I6J052.

In order to verify compliance for regulatory requirements under the program by using Compliance Verification System (CVS), the inspector must also have successfully completed the following training:

- *Introduction to Compliance Verification System (CVS)*, PeopleSoft course code I6D264. This course is active in the online Canada School of Public Service under CVS English - Offering ID: 00024577. Alternatively, inspector may follow the CVS Meat Training.
- On-site coaching provided by a designated coach or evaluator, PeopleSoft code I6D270 (communicate with your supervisor for further information).

The website address for the Canada School of Public Service (MyAccount) is:
www.csps-efpc.gc.ca.

4.2 Security clearance

Inspectors need to receive RELIABILITY status in order to have access to traceability databases (as Protected A information is being collected). The verification of reliability status entails verification of personal information such as date of birth, address, educational qualifications, employment history, reference checks, criminal records name check and, credit check if required by the manager. For further information, communicate with Corporate Security Division or access the following website:

¹ Note that former courses delivered through e-learning (I6J022) and classroom (I6J027) are no longer provided.

<http://merlin.cfia-acia.inspection.gc.ca/english/comcon/secur/pol/secpolchge.asp>.

5 Compliance Verification System

Only information on Compliance Verification System specific to the TRACE program is provided under this chapter. More general information on Compliance Verification System is provided under chapter 4 of the course I6D264 entitled “Introduction to Compliance Verification System (CVS)” available through Canada School of Public Service.

5.1 Introduction

This section outlines the procedures governing the CVS to be conducted for all inspections relating to identification and traceability of livestock. The CVS provides an efficient and uniform approach to verifying a regulated party compliance to Part XV of the *Health of Animals Regulations*. The CVS includes verification tasks that are used by CFIA inspection staff to assess compliance to regulatory requirements. Each verification task includes detailed procedures for the inspection staff to follow when conducting verifications (Annex A).

This document provides guidance on the verification task process as well as the reporting tools to be used in the implementation of CVS. The CVS tools allow data to be captured and analysed for:

- patterns of non-compliance;
- indications of systemic problems;
- compliance with regulations;
- uniformity of program delivery.

5.2 Verification Tasks

The verification tasks under the TRACE program are designed to assess compliance with regulatory requirements in Part XV of the *Health of Animals Regulations*. The tasks include inspection activities such as on-site observations, interviews and animal identification database consultations to determine if the regulatory requirements are met. Annex A “Verification Task Procedures” provides a list of all the tasks. Each verification task procedure includes the following information:

- Task number and title;
- Prescribed task frequency;
- The date the task was last revised;
- Applicable references to the *Health of Animals Regulations*.

There are 15 verification tasks in the TRACE program (see Annex A).

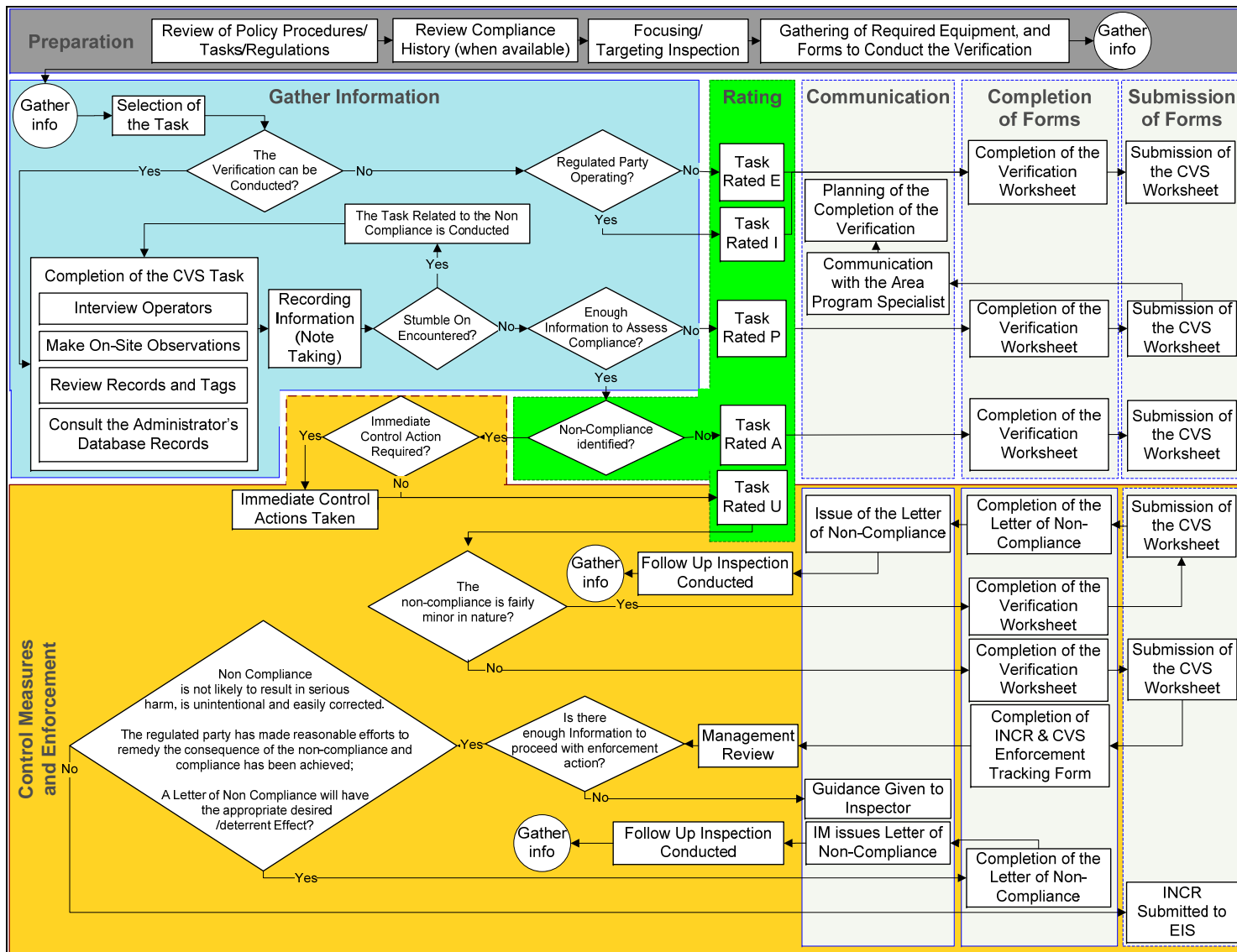


Figure 1. Inspection procedures of the TRACE program

5.3 Amendments to Verification Tasks

Amendments to verification tasks that coincide with amendments to the MOP and/or Acts and Regulations will be communicated through a Notice via Listserv (Animal Health – Policy & Procedures²). Inspectors are required to update their MOP whenever such amendments are communicated.

5.4 Verification Task Process

5.4.1 Step 1. Preparation for Verification

All tasks are to be conducted following the Bio-security Procedure for Inspections found in the Common Procedures Manual³.

In order to achieve national consistency in the way a given task is being conducted, guidelines are being provided to the inspectors such as:

- Sample size (provided for some tasks, e.g. verify compliance from 12 tags);
- Prescribed task frequency (see Annex A);
- Suggested time to conduct a task (see Annex B).

Prescribed task frequencies were established following a risk based analysis. Please note that these shall be seen as a minimum number of tasks to be conducted. A regulated party with non-compliance issues or a site where problems are suspected can be targeted for an increased verification frequency.

5.4.2 Step 2. Gather Information to Determine Compliance

Annex A “Verification Task Procedures” details what information needs to be assessed and what information must be gathered to determine compliance for each task. Verification tasks permit a thorough, in-depth evaluation of the regulated party’s compliance to regulations. Inspectors are to seek guidance and program clarifications with their supervisor, Area TRACE Coordinator or Regional Veterinary Officer as required. Using the task procedure, inspectors will collect information by:

- interviewing operators;
- making on-site observations;
- reviewing on-site records and tags, where applicable;

² <http://merlin/english/listserv/listsube.asp>

³ <http://merlin/english/anima/heasan/man/cpmmpce.asp>

- consulting the responsible administrator's database records.

Please note that the word "animal" is used in a task when all species listed in Part XV are subject to the requirements. Otherwise, the name of the species will be specified.

5.4.2.1 Reviewing on-site records

Under para. 38(1)(e) of the *Health of Animals Act*, a CFIA inspector may require any person to produce for inspection or copying, in whole or in part, any record or document that the inspector or officer believes on reasonable grounds contains any information relevant to the administration of this Act or the regulations. If the regulated party refuses to provide information, or obstructs or hinders the inspector, the inspector shall immediately document the details of the incident and; either file a letter of non-compliance or fill an INCR to refer the file to the Area Enforcement and Investigations Services office for review, advice and further action including the consideration of obstruction charges.

Any person who fails to enable an inspector to perform duties and functions or fails to provide all reasonable assistance as required by ss. 35(2) of the *Health of Animals Act* or fails to furnish information relevant to the administration of the *Health of Animals Act* or the *Health of Animals Regulations*, commits an offence under s. 35 of the *Health of Animals Act*.

5.4.2.2 Access to traceability information systems

Under Part XV of the *Health of Animals Regulations*, regulated parties shall report traceability information to the responsible administrator. The regulated parties will find information on how to report Part XV data to the responsible administrator by consulting the following website: www.inspection.gc.ca/english/anima/trac/admine.shtml.

The information reported by a regulated party is cross-referenced to his/her account number in the responsible administrator's database. If the regulated party has no database account, it's possible that none of the information required to be reported under Part XV was sent.

The Canadian Cattle Identification Agency (CCIA) is the responsible administrator for bison, bovine and ovine, whereas the Canadian Pork Council is the responsible administrator for pigs and farmed wild boars. It is therefore imperative for CFIA inspectors who are responsible to verify compliance for Part XV requirements to have access to the CLTS database and PigTrace.

TRACE-13/2011-05-01. Regulatory clarification: role of inspectors in reporting Part XV data. Inspectors are sometimes required by regulation to report information to the administrator's database. If the inspector has no access to the administrator's database, a reporting obligation could be fulfilled by reporting the information to the administrator's database clerk. The regulations require the information be reported to the administrator and do not specify the manner in which this reporting is to be carried out. Therefore, if the only way, or one of the

ways, for an inspector to report the information is to a database clerk, a reporting in this manner would fulfill the regulatory requirement.

TRACE-14/2011-05-01. Instructions: role of inspectors in reporting Part XV data. While, there may be circumstances in which an inspector may be authorised by the operator of a site to report information to the database on the operator's behalf (e.g. under ss. 186(1)), compliance with the regulatory requirement is, and remains, the operator's responsibility. Inspectors generally should not take on a reporting role for a regulated party, since they risk incurring liability on behalf of the Government of Canada.

5.4.2.2.1 Purpose and consistent uses of livestock traceability data

Part XV data is used to administer the TRACE program, which assists in protecting animals and identifying diseases and toxic substances that may affect animals and persons; and to verify compliance and enforce the livestock identification and traceability requirements under the *Health of Animals Act and Regulations*.

Consistent Uses: Comments and personal information may be used for the purpose of public health safety or interest, such as research organizations, where applicable. Information may also be used to contact the regulated parties listed in its database to provide information about the program, modified regulatory requirements, for program evaluation and reporting; for enforcement and the protection of animal/public health. The limitation of the collection of personal information for the TRACE program appears in Personal Information Bank CFIA PPU 128 which can be found under InfoSource.⁴

Under the MOP of CFIA's Accredited Veterinarians program, it is indicated that cattle birth date records may be found in the Agri-Traçabilité Québec (ATQ) and CLTS. Please note that the verification for cattle birth date information is outside the scope of the TRACE program.

5.4.2.2.2 Authorization process

CFIA employees need to be authorized to access Part XV data or livestock traceability data under the control of provinces or territories that signed an agreement with the CFIA. In order to be authorized, the employee must first forward a request to the following email address: trace@inspection.gc.ca. Once a security check has been completed (Reliability Status required), the employee's role in verifying compliance under the TRACE program or managing sanitary issues will be confirmed by his/her supervisor.

⁴ <http://www.inspection.gc.ca/about-the-cfia/accountability/other-activities/atip/info-source/eng/1388355218800/1388355393470?chap=2>

5.4.2.3 Traceability information systems

The authorization process to access traceability information systems is described above.

5.4.2.3.1 Canadian Livestock Tracking System (CLTS)

Rescinded section; Part XV data collected under CLTS is available under the Traceability National Information Portal (TNIP).

5.4.2.3.2 Agri-Traçabilité Québec

There is currently no data sharing agreement signed between the CFIA and the Quebec Department of Agriculture, Fisheries and Food (MAPAQ). If there is a need to verify cattle, sheep identification and movement information collected in the ATQ database, the Area TRACE Coordinator in the CFIA's Quebec Area office should be contacted (see Merlin for contact information). A request will then be forwarded to MAPAQ. .

5.4.2.3.3 PigTrace

Pig traceability data reported from Part XV requirements is collected under the information system PigTrace (<https://pigtrace.traceability.ca/login>).

5.4.2.3.4 Traceability National Information Portal (TNIP)

The Traceability National Information Portal (TNIP) provides authorized users with a single point of access to livestock traceability information collected in information systems managed by the administrators and by provincial governments. Traceability data sharing arrangements have been signed between the CFIA and all provincial governments with the exception of Quebec and Newfoundland & Labrador. No data sharing arrangement has been signed between the CFIA and territorial governments.

At this stage, TNIP provides access to the following information:

- CFIA: Part XV data;
- Alberta data (premises, receipt of cattle at feedlots, cattle birthdates);
- Premises data from Manitoba, Alberta, Saskatchewan, Ontario and Prince Edward Island.

TNIP is accessed through this web page: <http://ncotta305/ibmcognos>.

Any connection problem with TNIP must be communicated to the following address: im_er_incident_management@inspection.gc.ca.

5.4.2.4 Management and disclosure of Part XV data

5.4.2.4.1 Privacy and sensitivity of information

Some of the information collected in the traceability database is personal in nature (e.g. contact name, telephone numbers) and is therefore subject to the *Privacy Act*. Inspectors who have access to information collected in the traceability database are provided access for particular identified purposes and need to be vigilant in how they manage this information. Uses and disclosure outside of these authorised purposes may be prohibited under the *Privacy Act*. Consent should be sought from the National Program Manager.

The *Privacy Act* imposes obligations on federal government institutions to respect privacy rights by limiting the collection, use, disclosure, retention and disposal of personal information. The purpose for which traceability data is collected and may be used is to administer or enforce the laws in relation to (i) animal health, animal diseases and toxic substances that may affect animals, (ii) the protection of animals, (iii) human health and animal diseases that may be transmitted to humans, or (iv) food safety.

The highest level of sensitivity for Part XV data is Protected A. Guidelines on the handling of protected information is available at the following website: <http://ssi-iss.tpsgc-pwgsc.gc.ca/msi-ism/ch5/mnpltn-hndlng-eng.html>.

TRACE-20/2012-11-26. Operational guidance: request by an investigative body for access to Part XV information. The *Privacy Act* allows for the CFIA to share personal information under its control, including the information reported under Part XV, with investigative bodies (paragraph 8(2)(e)). Any request by an investigative body to access Part XV information must be forwarded to the national CFIA Access to Information and Privacy (ATIP) office. The CFIA ATIP office will review the request and respond to the investigative body, copying the National Manager and the manager of the database which houses the Part XV information. Investigative bodies designated under the *Privacy Regulations* include the Royal Canadian Mounted Police (RCMP).

TRACE-22/2011-02-13. Instructions: disclosure of Part XV data to a foreign country. In the event a trans-boundary disease outbreak occurs, foreign authorities may request access to Part XV data. Any decision to share personal information to a foreign country must take into account a number of considerations, including those identified under the *Privacy Act*. Any particular decision to share information with a foreign country is to be made at a very senior level with the Agency.

5.4.2.4.2 Data quality

Although measures are in place to promote data quality, occasionally errors do occur (e.g. at the point of input) which result in inaccuracies. Where there is concern that the information accessed may be inaccurate, the inspector should fill a Traceability Data Quality Issues Submission Form available under form 5662. The Form will be provided to the Area TRACE Coordinator, who in turn will send it to the National Program Manager and to the responsible administrator at the following addresses:

- CLTS: servicedesk@canadaid.ca;
- PigTrace: clark@cpc-ccp.com.

5.4.2.5 Unscheduled Verification Findings (Stumble On)

If the inspector encounters an unrelated non-compliance (e.g. humane transportation task, another animal identification task), the verification task related to that non-compliance will be selected and conducted following guidelines provided in the appropriate guidance document.

5.4.2.6 Recording Information Gathered to Determine Compliance

The inspector records the information gathered on the Verification Worksheet (form 5657) either directly or after having recorded information in a notebook. Detailed instructions are included with each worksheet and are available in two formats: as pop up help (where help appears when you place the cursor over a field) and as a printable instruction page.

5.4.3 Step 3. Rating Compliance

Inspectors must make note of any non-compliant observations under the appropriate sections of the regulations on the Verification Worksheet. Whenever a verification task has been rated as Unacceptable, one or more of the following categories of deviation must also be indicated:

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes
- Discrepancy between events and information reported.

On-site records:

- Discrepancy between information recorded and reported;
- Incomplete information has been recorded;

- No information has been recorded;
- Records have not been kept for prescribed period.

Operation's status:

- Operation wrongfully selling/distributing approved tags;
- Operation wrongfully claiming to be a tagging site;
- Pig operation wrongfully claiming that a site has been registered as linked.

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required;
- Transporting animals and/or carcasses not identified as required;
- Receiving* animals and/or carcasses not identified as required;
- Altering an approved tag;
- Making, selling or providing falsified tags;
- Not bearing an approved tag at the site;
- Not bearing an approved tag when presented for sale;
- No approved tag applied to the animal when arriving at the site;
- Not identified with an approved tag at the site for which the tag was issued;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Unidentified animal/carcass not being re-identified with an approved tag when required;
- No approved tag supplied by consignor to tagging site;
- Animal's carcass cannot be identified until it is approved for human consumption or condemned;
- Animals are mixed with other person's animals that did not bear approved tags;
- No document is accompanying pigs or pig carcasses during their transportation.

When a verification task is rated as "U", the Inspector must determine if a recommendation for AMPs/Prosecution should be made or if a Letter of Non-Compliance should be issued. If an AMPs/Prosecution is recommended, the inspector will complete form 5393 or 5046 and initiate an Enforcement Tracking Form which is submitted to the Supervisor and Inspection Manager as required in the compliance and enforcement policy.

Inspectors must use professional judgment in making compliance determinations and must assess all of the information gathered prior to assigning a compliance level to a task. Inspectors are to seek guidance and program clarifications as required.

5.4.4. Step 4. Communicating Results

Rescinded section

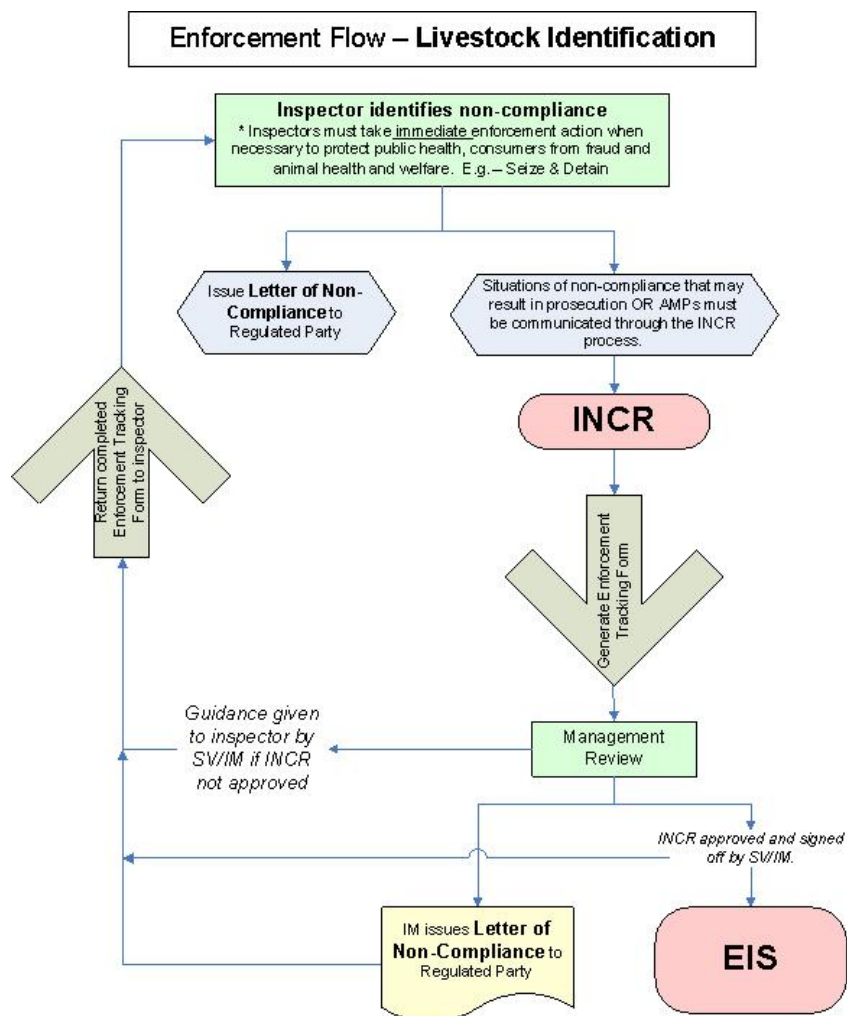
5.4.5 Step 5. Compliance and Enforcement

Compliance is normally achieved through a co-operative approach between the regulated party and CFIA. To promote compliance, the CFIA, in co-operation with the responsible administrators, may use a number of different tools (consultation, publication of information, awareness campaigns, etc.) to inform the regulated parties of the legislative and regulatory requirements they must meet. For example, the CFIA may provide copies of regulations, fact sheets, brochures, educational activities, guidelines, memoranda, etc.

When a regulated party is found to be non-compliant (task rated U), CFIA inspectors have the necessary powers, authorities and responsibility to take enforcement actions.

The CFIA Compliance and Enforcement Operational Policy⁵ is the first of a three-tiered approach to the CFIA's enforcement program outlining the general principles for compliance and enforcement activities across all commodities including general principles for educating regulated parties, assessing compliance and responding to non-compliance. The second tier of the approach is the Animal & Plant Health Enforcement Guidelines (RDIMS #3622264) which offer insight into the tools available for inspectors under the Animal Health Program and associated legislation.

The detailed enforcement procedures presented in this manual serve as the third tier of the CFIA approach to enforcement and are to be used when responding to a non-compliance of the *Health of Animals Act* and *Health of Animals Regulations*.



⁵ www.inspection.gc.ca/english/agen/transp/comp/pole.shtml

5.4.5.1 Enforcement actions

Enforcement action is required whenever an Unsatisfactory rating has been determined. There are four (4) potential enforcement actions available to inspection staff in the TRACE program:

Enforcement action 1 – Seizure and detention

Enforcement action 2 - Letter of non-compliance

Enforcement action 3 – Notice of Violation - Administrative Monetary Penalty

Enforcement action 4 – Prosecution

The first enforcement action, seizure and detention, is taken to mitigate the risk that the integrity of the program be jeopardized with the sale of falsified tags. Enforcement actions 2-4 are used in response to non-compliance from the regulated party.

The specific procedures described below provide the details for proceeding with the enforcement actions (note: Inspectors must ensure the appropriate measure of enforcement is applied as required by the situation at hand).

Enforcement action dealing with a thing

5.4.5.1.1 Seize and detain

When does an inspector seize and detain an animal or a thing? The inspector seizes and detains an animal or a thing when an inspector has reasonable grounds to believe that there has been a contravention of the *Health of Animals Act* and/or *Regulations*. The only example which may be applicable for the TRACE program is to detain fraudulent tags. There is no circumstance under the Program where animals would be seized or detained.

How does an inspector seize and detain fraudulent tags? The inspector:

- completes form 3256 Notice of Detention and attaches in a prominent place a copy of the Notice. The form 3256 is available to order in the CFIA forms catalogue;
- delivers in person or by registered mail as soon as is practicable, the form 3256 Notice of Detention to the:
 - owner of the tags;
 - person having possession of the tags at the time of their seizure.

The Notice may specify the period within which and the manner in which the tags are to be removed and stored. The inspector:

- ensures that the seized and detained tags are stored in the place where they were seized or stored or at any other place at the inspector's discretion in accordance with para. 43.(1)(a) & (b) of the *Health of Animals Act*;

- seizes and detains the tags at the owner's expense under appropriate storage conditions to preserve the tags;
- maintains continuous control of the tags throughout a period of seizure and detention;
- seizes and detains tags for not more than 180 days.

When are tags released from detention? The inspector releases tags from detention when:

- an inspector or officer determines that the tags are in conformity with the provisions of this Act and the regulations;
- 180 days has expired after the day of seizure or after a longer period as may be prescribed;
- proceedings initiated for the tags from its disposition have been completed.

How does an inspector remove tags from seizure and detention? The inspector:

- removes the CFIA/ACIA 3256 Detention Tag or instructs the owner or person having possession, care and control over the tags to remove the CFIA/ACIA 3256 Detention Tag;
- delivers in person or by registered mail a copy of a CFIA/ACIA Notice of Release from Detention to the named regulated party on the CFIA/ACIA 3256 Detention Tag.

Enforcement action dealing with a regulated party

Inspectors who verify compliance and enforce requirements under the TRACE program are required to have successfully completed the training courses (see section "4.1 - Courses"). As such, an inspector shall not be taking enforcement actions before being fully trained. This being said, an inspector should obviously never look away when witnessing a situation that could, in his/her opinion, be non-compliant no matter if he/she is fully trained or not. In such a case, the inspector should gather up all relevant information, including pictures, and take notes of all observations so he/she can later pair up with a trained inspector to move the file forward.

Three enforcement actions are available when dealing with a regulated party: a Letter of Non-Compliance, a Notice of Violation and Prosecution. Inspectors have the option of using a Letter of Non-Compliance instead of generating an INCR. If the inspector (in consultation with the Supervisor) generates an INCR, the Inspection Manager will have the option of either issuing a "Letter of Non-Compliance" or sending the file to EIS for further action. Please note there is no Corrective Action Request (CAR) utilized in the TRACE program.

5.4.5.1.2 Letter of non-compliance

The Letter of Non-Compliance (previously called a "warning letter") is a procedural administrative action available to inspectors and the Inspection Manager to inform the regulated party that they have been in contravention of the appropriate legislation. The letter

also serves as a “documented” notice to the regulated party. The inspectors and Inspection Manager may use the Letter of Non-Compliance in the following situations when:

- the non-compliance has not resulted, or is not likely to result, in serious or very serious harm (such as health or safety risks, or marketplace deception);
- the non-compliance is identified as minor under the AMPs Regulations;
- the non-compliance is unintentional and easily corrected;
- the regulated party has generally been compliant;
- the regulated party has made reasonable efforts to remedy or mitigate the consequence of the non-compliance and compliance has been achieved; and
- the inspector believes that a Letter of Non Compliance will have the appropriate desired/deterrent effect.

A Letter of Non-Compliance should include the following information (RDIMS #2421675):

- the date and location of the non-compliance;
- the section(s) of the Act or Regulations that pertain to the non-compliance;
- a summary of the facts and a short description of the non-compliance;
- the time frame within which the regulated party is requested to respond to the letter of non-compliance, where applicable;
- a statement that, if the non-compliance continues or there are repeat instances of non-compliance, enforcement action may be taken; and
- the name and telephone number of the contact person to discuss the issue in greater detail.

A Letter of Non-Compliance is to be signed by an inspector, or following an INCR process, by an Inspection Manager as it establishes authority and identifies a point of contact for the regulated parties. Should the regulated party wish to appeal and/or question the content of the Letter of Non-Compliance, the Inspection Manager is to be the point of contact.

The Letter of Non-Compliance should be hand delivered to the regulated party by a designated inspector (preferably the inspector who conducted the inspection). Upon delivery to the regulated party, the inspector should review and clearly explain the content of the Letter of Non-Compliance including the regulatory authorities of inspectors and the obligation of the regulated parties as well as the potential consequence(s) of further non-compliance.

Alternatively, if an inspector (preferably the one who conducted the inspection) cannot deliver the Letter of Non-Compliance, it must be sent by registered mail or courier to the regulated party’s mailing address. The inspector will verify the content of the letter, and personally put the letter into the envelope and seal the envelope. The inspector must also document the delivery process in their notes and include a hard copy of the delivery notice in the office file. The inspector should also notify his/her Inspection Manager about each letter of non-compliance issued.

All interaction with the regulated party must be documented in the inspector notes and be kept on file for future reference. A best practice to note is that the time, date, location of delivery, inspector(s) initials, name of regulated party and/or representative and any other pertinent information should be documented on the back of the file copy of the letter.

Inspector notes are considered to be crucial when inspectors are faced with repeated incidents of non-compliance for the same regulated party. These notes provide the support necessary to establish that the regulated party was clearly and personally informed of the past non-compliance issue, regulatory requirements, etc. This serves to rebut any potential claim by the regulated party that they were not adequately informed.

The inspector is to conduct a follow up inspection to the Letter of Non-Compliance no later than 30 days after the date allowed for the regulated party to achieve compliance as stipulated in the Letter of Non-Compliance. The inspector follows up by conducting the applicable verification task.

5.4.5.1.3 Notice of Violation - Administrative Monetary Penalties

Administrative Monetary Penalties (AMPs) establish an alternative to the existing prosecution system (prosecution) and are a supplement to existing enforcement measures. CFIA inspectors may use AMPs procedures for livestock identification and traceability issues. Sections of Schedule I, Division II of the *Agriculture and Agri-Food Administrative Monetary Penalties Regulations* relevant to the TRACE program can be found at: <http://laws-lois.justice.gc.ca/eng/regulations/SOR-2000-187/index.html>.

The *Agriculture and Agri-Food Administrative Monetary Penalties Regulations* have been amended to include the pig traceability requirements on 2 August 2016.

The president delegated this authority to issue AMPs to the Vice President of Operations, CFIA. The Vice President of Operations, CFIA has designated the Regional Chief Inspector to issue AMPs. An AMP is issued when the Management Review Team (MRT) receives an INCR and determines, in conjunction with the Regional Chief Inspector, that the issuance of an AMP is the most appropriate action to achieve compliance. The Regional Chief Inspector issues a Notice of Violation and records the action taken on the CFIA Enforcement Tracking Form. A copy of the Notice of Violation is attached to the tracking form and placed on file.

5.4.5.1.4 Prosecution

The Public Prosecution Service of Canada (PPSC) has the responsibility for all prosecutions relating to the Acts and Regulations administered by the CFIA. The CFIA may recommend prosecution to PPSC where non-compliance has resulted in situations involving but not limited to the following:

- the prohibited sale of a product;
- the obstruction or interference with an inspector carrying out activities under Agency legislation;
- the movement or interference with any thing seized and detained without having received prior permission from an inspector;
- a conviction for a previous, similar offence; or
- based on past history of non-compliance, other enforcement actions that have not had, and are not likely to have, the appropriate deterrent effect and more severe action is warranted.

Where prosecution is deemed appropriate by the CFIA, Area EIS prepares and forwards briefs of evidence to the appropriate office of the PPSC with the recommendation that charges be laid. It is clearly recognized that the discretion to initiate a prosecution rests with the PPSC.

5.4.5.2 Procedures to recommend enforcement

5.4.5.2.1 Inspector's Non Compliance Report (INCR)

What is a CFIA/ACIA 5393 or 5046 Inspector's Non Compliance Report (INCR)? The INCR form 5393 or 5046 is a tool used by inspectors to advance the enforcement process in a situation of non-compliance. The INCR:

- Is an internal CFIA report initiated by the inspector and signed off by the Supervisor and the Inspection Manager;
- Initiates action by the Inspection Manager to form a Management Review Team (MRT) which has the responsibility for recommending the appropriate enforcement action;
- Is generated when a verification task is rated Unacceptable (non-compliance with the *Health of Animals Regulations*) and the inspector determines that a stronger enforcement action is required (rather than a Letter of Non-Compliance). If necessary, the Inspector may consult with their supervisor or Area TRACE Coordinator to seek guidance as to which enforcement action is appropriate;
- Requires the inspector to generate an Enforcement Tracking Form which would be forwarded, along with the INCR, to the Inspection Manager.

Procedures for the INCR form 5393 or 5046:

- Inspectors should ask for guidance prior to issuing a form 5393 or 5046, if necessary;
- The inspector completes and signs off on the INCR form 5393 or 5046;
- The inspector attaches all relevant documentation including an Enforcement Tracking Form to accompany the INCR for management review;

- The unique file identification number from the form 5657 must be recorded on all documentation generated (e.g., notes, necropsy reports, pictures, diagrams, INCR on CFIA 5393, etc.) from their inspection activities in support of the non-compliance;
- The INCR is reviewed by the Supervisor to ensure it accurately reflects the contravention and completes the following:
 - Enters their review results (reasons for approval or rejection) on the Enforcement Tracking Form;
 - If approved, forwards the INCR and the Enforcement Tracking Form to the Inspection Manager; or
 - If rejected, the INCR and the Enforcement Tracking Form is returned back to the inspector.

- The INCR is reviewed by the Inspection Manager to ensure it accurately reflects the contravention and completes the following:
 - Enters their review results (reasons for approval or rejection) on the Enforcement Tracking Form;
 - If rejected, the INCR and the Enforcement Tracking Form is returned back to the inspector;
 - If an AMP is recommended, forwards the INCR to EIS, records the action on the Enforcement Tracking Form and returns the Enforcement Tracking Form back to the inspector or;
 - If the enforcement action is determined to be a “Letter of Non-Compliance”, the Inspection Manager will generate the letter, record the enforcement action on the Enforcement Tracking Form and forwards the Letter of Non-Compliance, the Enforcement Tracking Form and the INCR to the inspector.

5.4.5.2.2 Enforcement Tracking Form

What is the CFIA/ACIA Enforcement Tracking Form? The Enforcement Tracking Form is found on the last tab of the CVS Verification Worksheet (form 5657).

This form is generated by an inspector for every INCR completed and is forwarded through the management chain. The form is used to document the decisions/recommendations made during the course of an INCR review (Management review) conducted by both the Supervisor and the Inspection Manager.

The completed Enforcement Tracking Form serves as a mechanism to provide feedback to the inspector as to the decisions made by the Supervisor and the Inspection Manager. The Supervisor and the Inspection Manager have the authority to reject or accept the INCR and are responsible for ensuring the completed Enforcement Tracking Form is returned back to the inspector once a decision has been made. The inspector is responsible for filing the returned documentation (including a copy of the Letter of Non-Compliance, if applicable).

5.4.5.3 Factors to consider before recommending an administrative penalty

Prior to recommending further enforcement action(s), the Inspection Manager must ensure that they have reviewed all relevant factors including those that are not under the control of the regulated party but have, nevertheless, led to the non-compliance. Some of these factors are summarized in the following table:

Table 3. External factors impacting compliance

Section Sub-sec.	Description	Factors to consider
s. 91.3	Every person required to keep a record under these Regulations shall, unless it is otherwise stated, keep the record for a period of two years from the date the requirement arose. The following subsections are subject to s. 91.3: para. 183(2)(c), 184(3)(b), ss. 185(1), and 186(3).	This regulatory requirement was not explicitly communicated and may not be well known to regulated parties.
Para. 175.2(4)(d)	The operator of an abattoir reporting the identification number on approved slap tattoos applied to pigs.	The operator will not be able to report the information if the tattoo number is not legible.
ss. 177(2)	Subject to s. 183 and ss. 184(2), no person shall receive, or cause the reception of a bison, bovine or ovine or the carcass of a bison, bovine or ovine that does not bear an approved tag.	If there is evidence that animals were not identified when received at the site of destination, it is the operator of the site of departure who should be identified as non-compliant. An Unscheduled Verification Findings (stumble on) may therefore need to be conducted at the site of departure. <u>Note that an AMP may no longer be issued for violations to reception under ss. 177(2) and 177.1(1).</u>
ss. 177.1(1)	No person shall transport of a pig unless the pig bears an approved tag or an approved slap tattoo that has been applied to it under section 175.01 or the pig is otherwise dealt with in accordance with that section.	The transporter may not be able to determine if pigs are identified with an approved slap tattoo due to their poor legibility on live pigs.
Para. 184(3)(c)	An animal that loses its approved tag on the way to an abattoir does not have to have a new approved tag applied to it if in the case of a bison or a bovine, the person who operates the abattoir reports to the responsible administrator, within 30 days after the animal is slaughtered, the information that the person is required by para. (b) to record in respect of the animal.	The responsible administrator's database has not been designed to receive this information yet. Consequently, this information must be maintained at the establishment for viewing at the inspector's discretion for now.
Para.	The operator of an abattoir reporting the	The transponder of the approved tag may

186(1)(b)	death of the animal and the number of the approved tag to the responsible administrator.	not be functioning, making the electronic reading impossible and leaving visual reading as the only option.
Para. 187(2)(b)	Every person, including a renderer or dead stock operator, a post-mortem laboratory official or a veterinarian, who disposes of the carcass of a bison, bovine or ovine not bearing an approved tag anywhere but on the farm of origin where the animal died shall report enough information about the carcass to the responsible administrator within 30 days after disposing of the carcass.	The responsible administrator's database has not been designed to receive this information yet. Consequently, this information must be maintained at the establishment for viewing at the inspector's discretion for now.
Sub-para. 189(1)(b)(i)	The importer must report the identification number of the approved tag applied to the imported animal.	In the event that foreign tags are considered equivalent: the responsible administrator's database has not been designed to receive this information yet. Consequently, this information must be maintained at the establishment for viewing at the inspector's discretion for now.

5.4.5.4 Management Review Team

Rescinded section

5.4.6 Step 6. Follow up

5.4.6.1 Assessing Program delivery

All task requirement ratings of Unacceptable must be followed up with an enforcement action. The type of enforcement action taken and its justification must be documented in the Verification worksheet. The task can only be closed when enforcement action is completed. Unacceptable tasks that remain open will be flagged.

Delays in enforcement action and closing of Unacceptable tasks must be clearly explained and documented. Inspectors will be responsible for performing inspections at required frequencies, assessing the compliance level and making recommendations as to appropriate enforcement actions. Supervisors and Inspection Managers are responsible for ensuring that all feedback regarding the outcome of the INCR including reasoning for the type of enforcement action taken are provided to the inspector in a timely fashion. Supervisors and Inspection Managers are to ensure that inspections are conducted as per established frequencies. The file is closed once enforcement action is completed or in the cases where no enforcement action is taken

the reasoning is clearly documented.

5.4.6.2 Quality Management System

The Quality Management System (QMS) will be used to evaluate and ensure consistent program delivery. It is the responsibility of the supervisor to ensure that the QMS process is used to assess the quality level of the Animal Identification Compliance Verification System. The implementation and delivery of QMS can be found in the QMS manual located on Merlin.

5.4.7 Step 7. File Maintenance

Hard copies of the following documents are to be maintained by the CFIA for a period of ten (10) years:

- Verification Worksheet of tasks rated “U” and supporting documents;
- Letter of Non-Compliance;
- Notice of Violation;
- Inspectors Non Compliance Report (INCR).

An electronic copy of the following documents is to be emailed to the clerk identified by the Area CVS Coordinator. Data from these documents is entered into the CVS database by the clerk.

Document	When to email the document
Verification Worksheet	Within five (5) days of conducting the inspection.
Inspectors Non Compliance Report (INCR)	Once the INCR has been completed.

5.5 List of Forms and Documents

The table below lists all forms and documents used during the completion and maintenance of verification tasks.

Name of Document	Use	Platform	Annex
Verification Task Procedures	Provides information on the tasks to be performed.	PDF	A
Inspection Policies and Procedures	Provides policy and procedure information on the tasks to be performed.	Hard copy	B

The table below lists all documents available on the Web and in RDIMS used during the completion and maintenance of verification tasks.

Name of Document	Use	Source
Verification Worksheet	Used by the inspection staff to track verification results and populates the information that appears on the Verification Report.	CVS: form #5657 ⁶
Verification Task Comment Submission Form	Used to submit proposals to create a new task or change the content or wording of an existing task.	Form #5523
Letter of Non-Compliance	Potentially communicated to a regulated party in the event of an Unacceptable level of compliance.	RDIMS #2421675 http://merlin/english/ops/eiseal/eiseale.asp
Inspectors Non Compliance Report	Issued by the inspector to the Inspection Manager in order to recommend <u>an Administrative Monetary Penalty or prosecution</u> .	Short form: form #5393 Long form: form #5046
Notice of Violation (AMPs)	Potentially issued to a regulated party in the event of an Unacceptable level of compliance.	Form #5198
Traceability Data Quality Issues Submission Form	Used to identify issues on the quality of traceability data being collected in databases.	Form #5662 ⁷
List of approved indicators	Provides the list, image and description of <u>all indicators approved</u> under the TRACE program	http://inspection.gc.ca/animals/terrestrial-animals/traceability/eng/1300461751002/1300461804752
List of revoked indicators	Provides the list, image and description of <u>all indicators revoked</u> under the TRACE program	http://inspection.gc.ca/animals/terrestrial-animals/traceability/eng/1300461751002/1300461804752
<u>Responsible Administrators Reports file</u>	<u>Holds TRACE Yearly Audit Reports and TRACE Data Integrity Error Reports provided by the responsible administrators</u>	RDIMS #8788467
<i>Health of Animals Act</i> : sections and subsections 34, 35, 38, 64(1)(x) to 64(1)(z.5)	Provides a description of powers and authorities.	http://laws-lois.justice.gc.ca/en/H-3.3/
<i>Health of Animals Regulations</i> : Part XV and sections 91.3 and	Provides the regulatory requirements against which compliance must be verified.	http://laws-lois.justice.gc.ca/eng/regulations/C.R.C.,_c._296/index.html

⁶ TRACE_VERIF_WORKSHEET_5657

⁷ TRACE_DATA_QUALITY_5662

94 of Part X		
<i>Agri-Food Administrative Monetary Penalties Regulations: Schedule I, Part I, Division II</i>	Provides information on which requirements is subject to an administrative monetary penalty, and its non-compliance classification.	http://laws-lois.justice.gc.ca/eng/regulations/SOR-2000-187/index.html
Canadian Livestock Tracking System (CLTS): CFIA User Guide	Provides CCIA database access and queries information	RDIMS #3819644
PigTrace: CFIA User Guide	Provides PigTrace database access and queries information	RDIMS : #4329747 O:\FID\MPPD\trace\EN

Annex A. Verification Task Procedure

TASKS

OPM Task 21a19: TRACE inspections conducted under CVS

CVS task	Inspection location
2101	Tag distributors
2102	Farms, ranches
2103	Farms (greater record-keeping requirements)
2104	Auctions
2106	Order buyers, dealers
2107	Fairs, test stations, rodeos, community pastures, laboratories, veterinary clinics, ferry terminals
2108	Federally-inspected abattoirs
2109	Rendering facilities, dead stock operations
2111	Importers
2112	Carriers
2113	Non-federally inspected abattoirs
2114	Assembly yards
2201	Exporters
2202	Tagging sites
2203	Feedlots

Note that inspections should no longer be conducted under OPM tasks 21a14 and 21a13 as they were meant for 'traditional' inspections, i.e. not using the CVS approach.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2101	Tag distributors
Prescribed task frequency:	Each site yearly	
Revision date:	2016-08-24	

Health of Animals Regulations Part XV, s. 174.1, 181, 182

Tag distributor meets regulatory requirements related to approved tag distribution

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Approved tags being sold are reported to the responsible administrator within 24 hours (*keeping on-site records of this information is not a regulatory requirement*).

Using available documentation and/or on-site observations, review the responsible administrator's database:

- Check one tag number of up to 3 tag sales for each of 6 different months and verify that the operator reported the following information with respect to approved tags within 24 hours after selling or distributing them:
 - The name, address and telephone number - or database Account ID - of the person to whom they were sold or distributed;
 - The date they were sold or distributed;
 - Their unique identification numbers; and
 - The total number that were sold or distributed.

Inspection comments to indicate the following in the Verification Worksheet:

- Information from tag distributor interviews (include name of tag distributor);
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine
Task:	2102	Farms, ranches
Prescribed task frequency:	To be conducted as a stumble-on or in conjunction with regular duties	
Revision date:	2017-09-14	

***Health of Animals Regulations Part X, s. 91.3;
Part XV, s. 175, 176, 177, 178, 179, 180, 180.1, 181, 182, 184, 185, 186, 187***

Operator meets regulatory requirements related to bison and bovine identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bison and bovine, and their carcasses, bear an approved tag before leaving the farm of origin, except for bison and bovine sent to a tagging site.
- Bison and bovine, and their carcasses, received* at the site bear an approved tag, unless:
 - they were moved within their farm of origin;
 - there is an indication that they lost their approved tags during transportation.
- Bison and bovine that lost their approved tags while being transported to the site are identified with a new approved tag immediately after it is received at that site.
- Bison and bovine received* at the site and not bearing an approved tag or identified with a revoked tag are immediately re-identified with an approved tag, unless they were moved within their farm of origin.
- Approved tags are applied to the proper species of animal.
- Approved tags applied to the animal or its carcass were issued for this site.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.

Operator meets record-keeping requirements related to bison and bovine

Review the operator's records:

- Check up to 12 bison or bovine to which a new approved tag has been applied and verify that the following information has been kept in records for at least 2 years:
 - The number of the new approved tag; and
 - Enough information about the origin of the animal or the carcass including, if known:
 - The identification number of the previous tag;
 - The coordinates of the previous owner/custodian;
 - The identification of the conveyance in which the animals were conveyed; and
 - The date when it was brought to the site.
- Check up to 12 bovine or bison identified with an approved tag and which were slaughtered or died on the site, and verify that a record of the approved tag identification number and the date at which the animal was slaughtered or died has been kept for at least 2 years.
- Check up to 12 bovine or bison not identified with an approved tag and disposed anywhere but on the farm of origin where the animal died, and verify that enough information about the origin of the animal or carcass to enable the origin to be traced has being kept in records for 2

years.

Operator meets reporting requirements related to bison and bovine

Using available documentation and/or on-site observations, review the responsible administrator's database:

- In the event that a new approved tag has been applied to bovine or bison (or its carcass) that already bears an approved or a revoked tag; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.
- In the event carcasses of bovine or bison bearing approved or revoked tags have been disposed of on site; verify, for up to 5 animals, that the identification numbers of the approved or revoked tags borne by the bovine or bison carcasses disposed of by the operator have been reported within 30 days after disposing of the carcass.
- Note⁸

Inspection comments to indicate the following in the Verification Worksheet:

- Information from operator interviews (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for prescribed period.

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required;
- Receiving* animals and/or carcasses not identified as required;
- Not bearing an approved tag at the site;
- Not identified with an approved tag at the site for which the tag was issued;

⁸ Requirements under para. 187(2)(b) (reporting the origin of a carcass not bearing an approved tag and being disposed) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

-
- Identified with an approved tag allocated for another species/sector;
 - Not identified properly;
 - Unidentified animal/carcass not being re-identified with an approved tag;
 - Altering an approved tag;
 - Making, selling or providing falsified tags.

Section:	2	Livestock identification
Sub-Section:	1	Ovine, pig
Task:	2103	Farms (greater record-keeping requirements)
Prescribed task frequency:		Five percent (5%) of farms per year
Revision date:		2017-09-14

Health of Animals Regulations Part X, s. 91.3; Part XV, s. 172.1, 175, 175.01, 175.1, 175.2, 175.3, 175.4, 176, 176.1, 177, 177.1, 178, 179, 180, 180.1, 181, 182, 184, 185, 186, 187

Operator meets regulatory requirements related to ovine identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Ovine and their carcasses bear an approved tag before leaving the farm of origin.
- Ovine and their carcasses received* at the site bear an approved tag, unless:
 - they were moved within their farm of origin;
 - there is an indication that they lost their approved tags during transportation.
- Ovine that lost their approved tags while being transported to the site are identified with a new approved tag immediately after it is received at that site.
- Ovine received* at the site and not bearing an approved tag or identified with a revoked tag are immediately re-identified with an approved tag, unless they were moved within their farm of origin.

Operator meets regulatory requirements related to pig identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bred pigs bear an approved tag or an approved slap tattoo (depending on their destination) before being transported to a site other than a contiguous part of that farm.
- Pigs bear, depending on their destination, an approved tag or an approved slap tattoo before leaving a site unless:
 - they are transported from one part of a farm to another contiguous part of that farm; or
 - they are transported between farms and the requirement under subsection 175.01(2) is met.
- Bred pigs received* from a non-contiguous part of the farm or from another farm are identified with an approved tag, unless there is an indication that they lost their approved tags during transportation.
- Pigs received* for any site other than a farm are identified with an approved tag, unless there is an indication that they lost their approved tags during transportation.
- The approved slap tattoo applied to pigs has issued for this site.
- When applicable, pigs movements are accompanied by the following information in a form that is immediately readable by an inspector:

<ul style="list-style-type: none"> ○ the location of the departure site and the location of the destination site; ○ the date and time that the conveyance carrying the pigs left the departure site; ○ the number of pigs loaded onto the conveyance; ○ where appropriate, the identification number on approved tags applied to the pigs; and ○ the licence plate number or, if there is no licence plate, other identification of the conveyance.
<ul style="list-style-type: none"> ● Pig carcasses (and parts) are accompanied by the following information in a form that is immediately readable by an inspector: <ul style="list-style-type: none"> ○ the location of the departure site and the location of the destination site; ○ the date and time that the conveyance carrying the carcasses or parts of carcasses left the departure site; and ○ the licence plate number or, if there is no licence plate, other identification of the conveyance.

Operator meets regulatory requirements related to ovine and pig identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Approved tags are applied to the proper species of animal.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.
- Approved tags applied to the animals or their carcasses were issued for this site.

Operator meets record-keeping requirements related to ovine and pigs

Review the operator's records:

- Check up to 12 ovine or pigs to which a new approved tag has been applied and verify that the following information has been kept in records for at least 2 years:
 - The number of the new approved tag; and
 - Enough information about the origin of the animal or the carcass including, if known:
 - The identification number of the previous tag;
 - The coordinates of the previous owner/custodian;
 - The identification of the conveyance in which the animals were conveyed; and
 - The date when it was brought to the place.
- Check up to 12 ovine or pigs identified with an approved tag and which were slaughtered or died on the site, and verify that a record of the approved tag identification number and the date at which the animals was slaughtered or died has been kept in records for at least 2 years.
- Check up to 12 ovine not identified with an approved tag and disposed anywhere but on the farm of origin where the animal died, and verify that enough information about the origin of the animal or carcass to enable the origin to be traced has been kept in records for at least 2 years.

Operator meets record-keeping requirements specifically related to ovine**Review the operator's records:**

- Check up to 12 ovine 18 months of age or older, and transported to a destination other than a federally or provincially inspected abattoir, and verify that a record of the following information has been kept for at least 5 years:
 - the identification number on the approved tag that is applied to the ovine;
 - the reason for and the date at which the ovine was removed from the site; and
 - the name and address of the custodian/owner of the ovine at the destination site.
- Check up to 12 bred ovine which were received at the site, and verify that a record of the following information has been kept for at least 5 years:
 - the identification number on the approved tag that is applied to the ovine;
 - the date of reception; and
 - the name and address of the ovine owner/custodian at the departure site.

Operator meets record-keeping requirements specifically related to pigs**Review the operator's records:**

- Check up to 12 pigs departures between linked sites and verify that a record of the following information has been kept for at least 5 years or since July 1st 2014:
 - the location of the departure site and the location of the destination site;
 - the date and time the conveyance carrying the pigs left the site;
 - the number of pigs loaded onto the conveyance;
 - when applicable, the identification number on any approved tag applied to the pigs;
 - the license plate number of the conveyance.
- Check up to 12 pigs receipts between linked sites and verify that a record of the following information has been kept for at least 5 years or since July 1st 2014:
 - the location of the departure and destination sites;
 - the date and time that the conveyance carrying the pigs arrived at the site;
 - the number of pigs and pig carcasses that arrived at the site;
 - when applicable, the identification number on any approved tag applied to the pigs;
 - the license plate number of the conveyance.
- Check up to 12 pigs movements and verify that the information reported to the responsible administrator has been kept in records for at least 5 years or since July 1st 2014.

Operator meets reporting requirements specifically related to pigs**Using available documentation and/or on-site observations, review the responsible administrator's database:**

- Check up to 5 departures of pigs from the site and verify that the required information has been reported, namely:
 - the location of the departure and destination sites;
 - the date and time that the conveyance carrying the pigs left the site;
 - the number of pigs loaded onto the conveyance;

<ul style="list-style-type: none"> ○ when applicable, the identification number on any approved tag and approved slap tattoo applied to the pigs; ○ the license plate number of the conveyance.
<ul style="list-style-type: none"> ● Check up to 5 receipts of pigs at the site and verify that the required information has been reported, namely: <ul style="list-style-type: none"> ○ the location of the departure and destination sites; ○ the date and time that the conveyance carrying the pigs arrived at the site; ○ the number of pigs and pig carcasses that arrived at the site; ○ when applicable, the identification number on any approved tag applied to the pigs; ○ the license plate number of the conveyance.
<ul style="list-style-type: none"> ● Check up to 5 pigs movements between linked sites and verify that, by the end of the 10th day of any month in the six-month period for which two sites are registered as being linked, the operator has reported to the responsible administrator <ul style="list-style-type: none"> ○ the total number of pigs that were transported between the sites and; ○ the number of pig movements between the sites during the preceding month
<ul style="list-style-type: none"> ● Check up to 5 departures of pig carcasses (or parts) from the site and verify that the required information has been reported, namely: <ul style="list-style-type: none"> ○ the location of the departure and either the name of the operator of the destination site or the location of the destination site; ○ the date that the conveyance carrying the pig carcasses or the parts left the site.
<ul style="list-style-type: none"> ● In the event pig carcasses (or parts) were received, check up to 5 receptions and verify that the required information has been reported, namely: <ul style="list-style-type: none"> ○ the location of the departure and either the name of the operator of the destination site or the location of the destination site; ○ the date that the conveyance carrying the pig carcasses or the parts arrived at the site; ○ the license plate number of the conveyance.
<ul style="list-style-type: none"> ● The above-mentioned data has been reported to the responsible administrator within seven (7) days of the event.

Operator meets reporting requirements related to ovine and pig

Using available documentation and/or on-site observations, review the responsible administrator's database:

- In the event that a new approved tag has been applied to a ovine or pig (or its carcass) that already bears an approved or a revoked tag; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.
- In the event carcasses of ovine bearing approved or revoked tags have been disposed of on site; verify, for up to 5 ovine, that the identification numbers of the approved tags borne by the ovine carcasses disposed of by the operator have been reported within 30 days after disposing of the carcass.

- Note⁹

Inspection comments to indicate the following in the Verification Worksheet:

- Information from operator interviews (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for prescribed period;

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required;
- Receiving* animals and/or carcasses not identified as required;
- Not bearing an approved tag at the site;
- Not identified with an approved tag at the site for which the tag was issued;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Unidentified animal/carcass not being re-identified with an approved tag;
- Altering an approved tag;
- Making, selling or providing falsified tags
- No document is accompanying pigs or pig carcasses (and parts) during their transportation.

Operation's status:

- Pig operation wrongfully claiming that a site has been registered as linked.

⁹ Requirements under para. 187(2)(b) (reporting the origin of a carcass not bearing an approved tag and being disposed) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2104	Auctions
Prescribed task frequency:		Each site monthly
Revision date:		2017-09-14

If the auction is a tagging site, task 2202 must also be conducted as per the minimum prescribed frequency of that task.

Health of Animals Regulations, Part X, s. 91.3, 94; Part XV, s. 175, 175.01, 175.1¹⁰, 175.2, 175.3, 176, 176.1, 177, 177.1, 178, 179, 180, 180.1, 181, 182, 184, 185, 186, 187

Operator meets regulatory requirements related to animal identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Animals and carcasses received* at the auction are identified with an approved tag unless:
 - the auction is a tagging site (not applicable for ovine or pig) or,
 - there is an indication that the animals lost their approved tags during transportation.
- Animals that have lost their approved tags while being transported to the site are identified with a new approved tag immediately after they are received at that site.
- Animals not bearing an approved tag or identified with a revoked tag are immediately re-identified with an approved tag¹¹.
- Approved tags are applied to the proper species of animal.
- Approved tags applied to the animal or its carcass were issued for this site.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.
- Animals and carcasses leaving the auction are identified with an approved tag.
- Pig carcasses (and parts) leaving the site are accompanied by the following information in a form that is immediately readable by an inspector:
 - the location of the departure site and the location of the destination site;
 - the date and time that the conveyance carrying the carcasses or parts of carcasses left the departure site; and
 - the licence plate number or, if there is no licence plate, other identification of the conveyance.

Operator meets record-keeping requirements related to animals

Review the operator's records:

- Check up to 12 consignments and verify that the complete legal names and addresses of the

¹⁰ 175.1 - See TRACE-34/2017-09-14

¹¹ If the auction barn is also an approved tagging site, the policy is for the bovine or bison to be identified with an approved tag before it is presented for sale in the auction ring.

<p>consignor of every animal received and the purchaser of every animal sold at the sale, auction or market have been kept in records for at least 2 years.</p>
<ul style="list-style-type: none"> • Check up to 12 animals to which a new approved tag has been applied by the auction operator, and verify that a record of the following information has been kept for at least 2 years: <ul style="list-style-type: none"> ○ the number of the new approved tag; and ○ enough information about the origin of the animal or the carcass to enable the origin to be traced, including, if it is known by that person: <ul style="list-style-type: none"> ▪ the number of the approved tag that was previously applied to the animal or carcass and, in the case of an animal or carcass to which more than one approved tag has been applied since the animal's birth, the numbers of all of them; ▪ the name and address of the owner or person having the possession, care or control of the animal or carcass when it was brought to the place where the new approved tag was attached to it and the date when it was brought to the place; ▪ the identification of any conveyance that brought the animal or carcass to the place where the new approved tag was attached to it.
<ul style="list-style-type: none"> • Check up to 12 animals identified with an approved tag and which were slaughtered or died on the site, and verify that the approved tag identification number and the date at which the animals was slaughtered or died has been kept in records for at least 2 years.
<ul style="list-style-type: none"> • Check up to 12 bison, bovine and ovine that were not identified with an approved tag and for which the carcass was disposed of, and verify that enough information about the origin of the animal or carcass to enable the origin to be traced has been kept in records for at least 2 years.
<ul style="list-style-type: none"> • Check up to 12 pigs movements and verify that the information reported to the responsible administrator has been kept for at least five years or since July 1st 2014.

Operator meets reporting requirements related to animal

Using available documentation and/or on-site observations, review the responsible administrator's database:

- In the event that a new approved tag has been applied to an animal (or its carcass) that already bears an approved or a revoked tag; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.
- In the event carcasses of bison, bovine or ovine bearing approved or revoked tags have been disposed of on site; verify, for up to 5 animals, that the identification numbers of the approved or revoked tags borne by a bison, bovine or ovine disposed of by the operator have been reported within 30 days after disposing of the carcass.
- Note¹²

¹² Requirements under para. 187(2)(b) (reporting the origin of a carcass not bearing an approved tag and being disposed) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

Operator meets reporting requirements specifically related to pigs**Using available documentation and/or on-site observations, review the responsible administrator's database:**

- Check up to 5 receipts of pigs at the site and verify that the required information has been reported, namely:
 - the location of the departure and destination sites;
 - the date and time that the conveyance carrying the pigs arrived at the site;
 - the number of pigs and pig carcasses that arrived at the site;
 - the license plate number of the conveyance.
- Check up to 5 departures of pigs from the site and verify that the required information has been reported, namely:
 - the location of the departure and destination sites;
 - the date and time that the conveyance carrying the pigs left the site;
 - the number of pigs loaded onto the conveyance;
 - the license plate number of the conveyance.
- In the event approved tags or slap tattoos have been applied to pigs; verify, for up to 5 events, that the identification number on approved tags and approved slap tattoos applied have been reported in addition to the departure information listed above.
- Check up to 5 departures of pig carcasses (or parts) from the site and verify that the required information has been reported, namely:
 - the location of the departure and either the name of the operator of the destination site or the location of the destination site;
 - the date that the conveyance carrying the pig carcasses or the parts left the site.
- The above-mentioned data has been reported to the responsible administrator within seven (7) days of the event.

Inspection comments to indicate the following in the Verification Worksheet:

- Information from auction operator interviews (include name of auction operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility;

Select the specific category of deviation observed from the list below (select all that apply):

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required;
- Receiving* animals and/or carcasses not identified as required;
- Not bearing an approved tag at the site;
- Not identified with an approved tag at the site for which the tag was issued;
- Identified with an approved tag allocated for another species/sector;

- Not identified properly;
- Altering an approved tag;
- Making, selling or providing falsified tags.
- No document is accompanying pigs' carcasses (and parts) during their transportation.

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for prescribed period.

Status:

- Operation wrongfully claiming to be a tagging site (*responsibility lies with the responsible administrator in not updating tagging site information*)

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2106	Order buyers, dealers
Prescribed task frequency:	Conducted as a stumble-on	
Revision date:	2016-08-24	

If the order buyer or dealer is bringing animals to a farm he is operating, task 2102 and/or 2103 must also be conducted in order to capture all the requirements he/she is subject to.

Health of Animals Regulations Part X, s. 91.3; Part XV, s. 175, 175.01, 176, 176.1, 177, 177.1, 178, 179, 180, 180.1, 181, 182, 184, 185

Order buyer, dealer meets regulatory requirements related to animal identification

When applicable, go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bison and bovine are identified with an approved tag before leaving the site where they were purchased by the order buyer or dealer except for bison and bovine sent to a tagging site.
- Ovine and pigs (if applicable) are identified with an approved tag before leaving the site where they were purchased by the order buyer or dealer.
- Bison, bovine, ovine and pigs (if applicable) that have lost their approved tags while being transported to a site are identified with a new approved tag immediately after they are received at that site.
- Bison, bovine, ovine and pigs (if applicable) that are not bearing an approved tag or are identified with a revoked tag are immediately re-identified with an approved tag after they are received to the site.
- Approved tags or slap tattoos applied or caused to be applied by the order buyer or dealer where applied to the proper species of animal.
- Approved tags or slap tattoos applied or caused to be applied to the animal by the order buyer or dealer were issued for the site where the animal was located when identified.
- Approved tags applied or caused to be applied by the order buyer or dealer were applied to the ear of the animal with the logo and number facing forward.

Order buyer, dealer meets record-keeping requirements related to animals

Review the operator's records:

- Check up to 12 animals to which a new approved tag has been applied or caused to be applied, and verify that the following information has been kept in records for at least 2 years:
 - The number of the new approved tag; and
 - Enough information about the origin of the animal or the carcass including, if known:
 - The identification number of the previous tag;

- The coordinates of the previous owner/custodian;
- The identification of the conveyance in which the animals were conveyed; and
- The date when it was brought to the place.

- Check up to 12 pigs movements and verify that the information reported to the responsible administrator has been kept for at least five years or since July 1st 2014.¹³

Operator meets reporting requirements related to animals

Using available documentation and/or on-site observations, review the responsible administrator's database:

- In the event that a new approved tag has been applied or caused to be applied to an animal (or its carcass) that already bears an approved or a revoked tag; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.

Inspection comments to indicate the following in the Verification Worksheet:

- Information from order buyer or dealer interviews (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility;

Select the specific category of deviation observed from the list below (select all that apply):

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required (from an auction or farm where the animals were purchased);
- Not bearing an approved tag when departing from the site;
- Not identified with an approved tag at the site for which the tag was issued;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Unidentified animal/carcass not being re-identified with an approved tag;
- Altering an approved tag;
- Making, selling or providing falsified tags.

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

¹³ Information required to be reported under 185(3)

On-site records kept by the order buyer, dealer:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for prescribed period.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2107	Fairs, test stations, rodeos, community pastures, laboratories, veterinary clinics, ferry terminals
Prescribed task frequency:		Each site yearly
Revision date:		2017-09-14

This task is the one to be used for any intermediate site that does not fall under any of the other tasks.

Health of Animals Regulations, Part X, s. 91.3; Part XV, s. 175, 175.01, 175.1¹⁴, 175.2, 175.3, 176, 176.1, 177, 177.1, 178, 179, 180, 180.1, 181, 182, 184, 185, 186, 187

Operator meets regulatory requirements related to animal identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Animals received* at the site are identified with an approved tag, unless there is an indication that they lost their approved tags during transportation.
- Animals departing from the site are identified with an approved tag (or slap tattoo).
- Approved tags are applied to the proper species of animal.
- Approved tags (or slap tattoos) applied to the animal or its carcass were issued for this site.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.
- Animals that lost their approved tags while being transported to the site are identified with a new approved tag immediately after it is received at that site.
- Animals not bearing an approved tag or identified with a revoked tag are immediately re-identified with an approved tag.
- Pig carcasses (and parts) leaving the site are accompanied by the following information in a form that is immediately readable by an inspector:
 - the location of the departure site and the location of the destination site;
 - the date and time that the conveyance carrying the carcasses or parts of carcasses left the departure site; and
 - the licence plate number or, if there is no licence plate, other identification of the conveyance.

Operator meets record-keeping requirements related to animals

Review the operator's records:

- Check up to 12 animals to which a new approved tag has been applied, and verify that a record containing the following information has been kept for at least 2 years:
 - the number of the new approved tag; and

¹⁴ 175.1(3) -- See TRACE-34/2017-09-14

<ul style="list-style-type: none"> ○ enough information about the origin of the animal or the carcass to enable the origin to be traced, including, if it is known by that person: <ul style="list-style-type: none"> ▪ the number of the approved tag that was previously applied to the animal or carcass and, in the case of an animal or carcass to which more than one approved tag has been applied since the animal's birth, the numbers of all of them; ▪ the name and address of the owner or person having the possession, care or control of the animal or carcass when it was brought to the place where the new approved tag was attached to it and the date when it was brought to the place; and ▪ the identification of any conveyance that brought the animal or carcass to the place where the new approved tag was attached to it.
<ul style="list-style-type: none"> • Check up to 12 animals identified with an approved tag and which were slaughtered or died on the site, and verify that the approved tag identification number and the date at which the animals were slaughtered or died has been kept in records for at least 2 years.
<ul style="list-style-type: none"> • Check up to 12 bison, bovine and ovine that were not identified with an approved tag and for which carcass was disposed of, and verify that enough information about the origin of the animal or carcass to enable the origin to be traced has been kept in records for at least 2 years.
<ul style="list-style-type: none"> • Check up to 12 ovine 18 months of age or older removed from the site, and transported to a destination other than a federally or provincially inspected abattoir, and verify that a record of the following information has been kept for at least 5 years: <ul style="list-style-type: none"> ○ the identification number on the approved tag that is applied to the ovine; ○ the reason for and the date at which the ovine was removed from the site; and ○ the name and address of the custodian/owner of the ovine at the destination site.
<ul style="list-style-type: none"> • Check up to 12 pigs movements and verify that the information reported to the responsible administrator has been kept for at least five years or since July 1st 2014.

Operator meets reporting requirements related to animals

Using available documentation and/or on-site observations, review the responsible administrator's database:

- In the event that a new approved tag has been applied to an animal (or its carcass) that already bears an approved or a revoked tag; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.
- In the event carcasses of bison, bovine or ovine bearing approved or revoked tags have been disposed of on site; verify, for up to 5 animals, that the identification numbers of the approved or revoked tags borne by the bison, bovine or ovine carcasses disposed of by the operator have been reported within 30 days after disposing of the carcass.
- Note¹⁵

¹⁵ Requirements under para. 187(2)(b) (reporting the origin of a carcass not bearing an approved tag and being disposed) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently,

Operator meets reporting requirements specifically related to pigs**Using available documentation and/or on-site observations, review the responsible administrator's database:**

- Check up to 5 departures of pigs from the site and verify that the required information has been reported, namely:
 - the location of the departure and destination sites;
 - the date and time that the conveyance carrying the pigs left the site;
 - the number of pigs loaded onto the conveyance;
 - the license plate number of the conveyance.
- Check up to 5 receipts of pigs at the site and verify that the required information has been reported, namely:
 - the location of the departure and destination sites;
 - the date and time that the conveyance carrying the pigs arrived at the site;
 - the number of pigs and pig carcasses that arrived at the site;
 - the license plate number of the conveyance.
- In the event approved tags or slap tattoos have been applied to pigs; verify, for up to 5 events, that the identification number on approved tags and approved slap tattoo applied have been reported in addition to the departure information listed above.
- Check up to 5 departures of pig carcasses (or parts) from the site and verify that the required information has been reported, namely:
 - the location of the departure and either the name of the operator of the destination site or the location of the destination site;
 - the date that the conveyance carrying the pig carcasses or the parts left the site.
- The above-mentioned data has been reported to the responsible administrator within seven (7) days of the event.

Inspection comments to indicate the following in the Verification Worksheet:

- Information from operator interviews (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;

it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

- Records have not been kept for the prescribed timeframes.

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required;
- Receiving* animals and/or carcasses not identified as required;
- Not bearing an approved tag at the site;
- Not identified with an approved tag at the site for which the tag was issued;
- Unidentified animal/carcass not being re-identified with an approved tag when required;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Altering an approved tag;
- Making, selling or providing falsified tags.
- No document is accompanying pigs' carcasses (and parts) during their transportation.

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2108	Federally-inspected abattoirs
Prescribed task frequency:		Each site weekly
Revision date:		2017-09-14

Same task as 2113 but with a different frequency

Health of Animals Regulations Part X, s. 91.3;
Part XV, s.175, 175.01, 175.1¹⁶, 175.2, 175.3, 176, 176.1, 177, 177.1, 178, 179, 180, 180.1, 181, 182, 184, 185, 186¹⁷, 187

Operator meets regulatory requirements related to identification of animals

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bison, bovine and ovine received* are bearing an approved tag unless:
 - the animals are imported for immediate slaughter or
 - there is an indication that the animals lost their approved tags during transportation.
- Carcasses of bison, bovine and ovine transported off-site bear an approved tag before being loaded in the conveyance.
- The operator of the abattoir applied approved tag to bison, bovine or ovine, or their carcass, leaving the abattoir and not bearing an approved tag or bearing an approved tag which has been revoked.
- Approved tags applied at the abattoir have been issued to the abattoir.
- Approved tags are not transferred to another animal or carcass.
- Pigs are identified either with an approved tag or an approved slap tattoo.
- The operator can identify the carcass of animals in the abattoir until the carcass is approved for human consumption or condemned. Select one carcass for the verification.
- Approved tags are applied to the proper species of animal.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.
- Pig carcasses and parts (dead stock) leaving the site are accompanied by the following information in a form that is immediately readable by an inspector:
 - the location of the departure site and the location of the destination site;
 - the date and time that the conveyance carrying the carcasses or parts of carcasses left the departure site; and
 - the licence plate number or, if there is no licence plate, other identification of the conveyance.

¹⁶ 175.1(3) - See TRACE-34/2017-09-14

¹⁷ 186(3) - See TRACE-34/2017-09-14

Operator meets record-keeping requirements related to animals**Review the operator's records:**

- Check up to 12 animals that lost their approved tag on the way to the abattoir and verify that the operator kept a record with enough information to enable the origin of the animal to be traced for at least 2 years. This information includes, if known:
 - the number of approved tag that was lost;
 - the name and address of the person having possession of the animal when it was brought to the abattoir;
 - the date it was brought to the abattoir;
 - the license plate number of the conveyance that brought the animal to the abattoir.
- Check up to 12 animals to which a new approved tag has been applied by the operator or the abattoir, and verify that a record of the following information has been kept for at least 2 years:
 - the number of the new approved tag; and
 - enough information about the origin of the animal or the carcass to enable the origin to be traced, including, if it is known by that person:
 - the number of the approved tag that was previously applied to the animal or carcass and, in the case of an animal or carcass to which more than one approved tag has been applied since the animal's birth, the numbers of all of them;
 - the name and address of the owner or person having the possession, care or control of the animal or carcass when it was brought to the place where the new approved tag was attached to it and the date when it was brought to the place;
 - the identification of any conveyance that brought the animal or carcass to the place where the new approved tag was attached to it.
- Check up to 12 pigs movements and verify that the information reported to the responsible administrator's database has been kept in records for at least five years or since July 1st 2014.

Operator meets reporting requirements related to animals and/or carcasses**Using available documentation and/or on-site observations, review the responsible administrator's database:**

- Verify, for a minimum of five (5) identification numbers taken on different days and different hours of those days, of bison or bovine slaughtered or that died on site more than 30 days ago, that these numbers were reported to the responsible administrator within 30 days after the death¹⁸
- In the event carcasses of bison, bovine or ovine bearing approved or revoked tags have been disposed of on site; verify, for up to 5 animals, that the identification numbers of the approved or revoked tags borne by a bison, bovine or ovine disposed of by the operator

¹⁸ Enhancements to CLTS now allow for both the operators of abattoirs and the operators of rendering facilities to report, respectively, the death and disposal of bovine and bison with a "retired" event. The CCIA database's former logic, where it was not possible to "retire" twice, has been modified to allow both regulated parties to report as required under Part XV of the *Health of Animals Regulations*.

<p>have been reported within 30 days after disposing of the carcass.</p>
<ul style="list-style-type: none"> • Verify, for a minimum of five (5) pigs received¹⁹ more than seven (7) days ago and coming from different lots, that the required information has been reported within 7 days of reception, namely : <ul style="list-style-type: none"> ○ the number of pigs and pig carcasses that arrived at the abattoir; ○ the date and time that the conveyance arrived at the abattoir; ○ the location of the departure site and the location of the abattoir; ○ the identification numbers on the approved tags or the approved slap tattoos applied to the pigs; and ○ the license plate number of the conveyance transporting the pigs.
<ul style="list-style-type: none"> • In the event pigs have been sent from the abattoir, check up to 5 departures of pigs from the site and verify that the required information has been reported within 7 days of departure, namely: <ul style="list-style-type: none"> ○ the location of the departure and destination sites; ○ the date and time that the conveyance carrying the pigs left the site; ○ the number of pigs loaded onto the conveyance; ○ the license plate number of the conveyance.
<ul style="list-style-type: none"> • Check up to 5 departures of pig carcasses (or parts) from the site and verify that the required information has been reported within 7 days of departure, namely: <ul style="list-style-type: none"> ○ the location of the departure and either the name of the operator of the destination site or the location of the destination site; ○ the date that the conveyance carrying the pig carcasses or the parts left the site.
<ul style="list-style-type: none"> • Note²⁰

<p>Inspection comments to indicate the following in the Verification Worksheet:</p> <ul style="list-style-type: none"> • Information from interviews with operator (include name of operator); • On-site observations; • Information from on-site records kept by operator; • Information from responsible administrator database consultations; • Any deviations identified/product control measures taken by inspector or facility. <p>Select the specific category of deviation observed from the list below (select all that apply):</p> <p>Information in responsible administrator's database:</p> <ul style="list-style-type: none"> • Incomplete information has been reported;

¹⁹ Although, under the current Regulations, the requirement is for operators of abattoirs to report information related to the reception of the pigs, reporting the slaughter information instead is considered an acceptable alternative for now.

²⁰ Requirement under para. 184(3)(c) (reporting the origin of an animal or carcass not bearing an approved tag) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

- No information has been reported;
- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for the prescribed timeframes.

Identification of animals and/or carcasses:

- Receiving* animals and/or carcasses not identified as required;
- Sending animals and/or carcasses not identified as required;
- Not bearing an approved tag at the site;
- Not identified with an approved tag at the site for which the tag was issued;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Animal's carcass cannot be identified until it is approved for human consumption or condemned;
- Altering an approved tag;
- Making, selling, providing falsified tags.
- No document is accompanying pigs' carcasses (and parts) during their transportation.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2109	Rendering facilities, dead stock operations
Prescribed task frequency:		Each site every three months
Revision date:		2017-09-14

Health of Animals Regulations Part X, s. 91.3; Part XV, s. 175.2, 175.3, 177, 179, 180, 180.1, 181, 182, 187

Operator meets regulatory requirements related to carcasses identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bison, bovine and ovine carcasses received* at the site are identified with an approved tag; or, in the event that carcasses cannot be assessed, the identification number on the approved tags borne by bison, bovine and ovine carcasses is captured by the operator of the rendering facilities, dead stock operations.
- Bison, bovine and ovine approved tags are applied for the proper species of animal.
- Bison, bovine and ovine approved tags are applied to the ear with the logo and number facing forward.

Operator meets record-keeping requirements related to carcasses

Review the operator's records:

- Check up to 12 bison, bovine or ovine carcasses disposed of but not bearing an approved tag, and verify that a record containing the following information, if known, has been kept for at least 2 years:
 - The site from which the carcass was removed and the date when the carcass was removed from that place;
 - The name and address of the owner/custodian of the carcass when it was removed from that place.
- Check up to 12 pig carcass movements and verify that the information reported to responsible administrator has been kept in records for at least five years or since July 1st 2014.

Operator meets reporting requirements related to carcasses

Using available documentation and/or on-site observations, review the responsible administrator's database:

- Verify, for a minimum of 5 carcasses, that the identification numbers of the approved tags borne by the bison, bovine or ovine carcasses received by the operator have been reported within 30 days after disposing of the carcass.²¹
- Verify, for a minimum of 5 different loads of pigs carcasses, that the required information has been reported within seven (7) days of reception, namely:
 - the location of the departure site and either the name of the operator of the destination site or the location of the destination site;
 - the date that the conveyance arrived at the destination site;
 - the license plate number of the conveyance.
- Note²²

Inspection comments to indicate the following in the Verification Worksheet:

- Information from interviews with operator of a rendering facility or dead stock operation (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility;

Select the specific category of deviation observed from the list below (select all that apply):

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- Records have not been kept for the prescribed period;
- No information has been recorded.

Identification of animals and/or carcasses (if applicable):

- Transporting animals and/or carcasses not identified as required;
- Receiving* animals and/or carcasses not identified as required;
- Identified with an approved tag allocated for another species/sector;

²¹ Enhancements to CLTS now allow for both the operators of abattoirs and the operators of rendering facilities to report, respectively, the death and disposal of bovine and bison with a "retired" event. The CCI database's former logic, where it was not possible to "retire" twice, has been modified to allow both regulated parties to report as required under Part XV of the *Health of Animals Regulations*.

²² Requirements under para. 187(2)(b) (reporting the origin of a carcass not bearing an approved tag and being disposed) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

-
- Not identified properly;
 - Altering an approved tag;
 - Making, selling or providing falsified tags.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2111	Importers
Prescribed task frequency:	A quarter of importers per year	
Revision date:	2016-08-24	

This task focusses on requirements importers are subject to. If the importer is operating a site where the animals are received, task 2102 and/or 2103 must also be conducted in order to capture all the requirements the regulated party is subject to.

Health of Animals Regulations Part X, s. 91.3; Part XV, s. 175, 175.3, 179, 180, 180.1, 181, 182, 185, 189

Importer of animals meets regulatory requirements related to identification

When applicable, go on-site: Observe, consult available documentation and interview as necessary to verify that:

- An approved tag has been applied to an animal either before importation or as soon as the animals reach its initial destination unless:
 - the bison, bovine or ovine is destined for immediate slaughter; or
 - the animal is bearing a foreign indicator considered equivalent to an approved tag²³.
- The approved tag applied is for the species of the imported animal.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.

Importer of animals meets record keeping requirements

Review on-site records:

- Check up to 12 animals to which a new approved tag has been applied or caused to be applied by the importer, and verify that a record of the following information has been kept for at least 2 years:
 - the number of the new approved tag; and
 - enough information about the origin of the animal or the carcass to enable the origin to be traced, including, if it is known by that person:
 - the number of the approved tag that was previously applied to the animal or carcass and, in the case of an animal or carcass to which more than one approved tag has been applied since the animal's birth, the numbers of all of them;
 - the name and address of the owner or person having the possession, care or control of the animal or carcass when it was brought to the place where the new approved tag was attached to it and the date when it was brought to the place;
 - the identification of any conveyance that brought the animal or carcass to the place where the new approved tag was attached to it.

²³ See section B10 for further information.

- Check up to 12 pigs movements and verify that the information reported to the responsible administrator has been kept for at least five years or since July 1st 2014.

Importer of animals meets reporting requirements

Using available documentation (import permits, import documentation, records, etc.) and/or on-site observations, review the responsible administrator's database:

- Note²⁴

- Check up to 5 identification numbers of approved tags applied to bison, bovine or ovine brought from three different shipments within the last six months and verify that the identification numbers of the approved tag borne by imported animals have been reported within 60, 30 and 7 days after the importation of bison, bovine and ovine respectively.

Otherwise, choose up to five animals coming from the last three shipments.

- Check up to 3 different importations of pigs within the last six months and verify that the required information has been reported within seven (7) days after importation, namely:
 - the location of the last site at which the pig was kept before it was imported;
 - the location to which the pig was imported;
 - the date on which the pig was received;
 - the identification number on the pig's approved tag; and
 - the licence plate number or, if there is no licence plate, other identification of the conveyance.

Otherwise, choose the last three importations.

- In the event that a new approved tag has been applied or caused to be applied to an animal that already bears one; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.

Inspection comments to indicate the following in the Verification Worksheet:

- Information from interviews with importer (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from animal health import certificates, when applicable;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

²⁴ Requirement under subpara. 189(1)(b)(ii) (reporting enough information on the imported bison, bovine or ovine to allow the origin to be traced) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, this information must be maintained in record for viewing at the inspector's discretion for now.

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for prescribed period.

Identification of animals and/or carcasses:

- No approved tag applied to the animal when arriving at the site;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Altering an approved tag;
- Making, selling or providing falsified tags.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2112	Carriers
Prescribed task frequency:	As required (to be completed when carrier non-compliance is observed while conducting a site-specific verification task)	
Revision date:	2016-08-24	

Health of Animals Regulations Part XV, s. 175, 175.01, 177, 177.1

Carrier meets regulatory requirements related to bison, bovine and ovine identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bison, bovine and ovine and their carcasses are identified with an approved tag when loaded or unloaded from the conveyance, unless:
 - the animals are imported for immediate slaughter; or
 - the bovine or bison are sent from their farm of origin to a tagging site; or
 - the approved tag was lost on the way to the abattoir.

Carrier meets regulatory requirements related to pig identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- The pig carcasses (and parts) are accompanied with the following information in a form that is immediately readable by an inspector:
 - the location of the departure site and the location of the destination site;
 - the date and time that the conveyance carrying the pigs carcasses left the departure site; and
 - the licence plate number or, if there is no licence plate, other identification of the conveyance.
- Bred pigs bear an approved tag or an approved slap tattoo (depending on their destination) before being transported to a site other than a contiguous part of that farm.
- Pigs bear, depending on their destination, an approved tag or an approved slap tattoo before leaving a site unless:
 - they are transported from one part of a farm to another contiguous part of that farm; or
 - they are transported between farms.

Inspection comments to indicate the following in the Verification Worksheet:

- On-site observations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

Identification of animals and/or carcasses (if required):

Transporting animals and/or carcasses not identified as required.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2113	Non-federally inspected abattoirs
Prescribed task frequency:		Each site every year in B.C., Saskatchewan and Manitoba; otherwise, every four months
Revision date:		2017-09-14

Health of Animals Regulations Part X, s. 91.3;
Part XV, s. 175, 175.01, 175.1²⁵, 175.2, 175.3, 176, 176.1, 177, 177.1, 178, 179, 180, 180.1, 181, 182, 184, 185, 186²⁶, 187

Operator meets regulatory requirements related to identification of animals

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bison, bovine and ovine received* are bearing an approved tag unless:
 - the animals are imported for immediate slaughter or
 - there is an indication that the animals lost their approved tags during transportation.
- Carcasses of bison, bovine and ovine transported off-site bear an approved tag before being loaded in the conveyance.
- The operator of the abattoir applied approved tag to bison, bovine or ovine, or their carcass, leaving the abattoir and not bearing an approved tag or bearing an approved tag which has been revoked.
- Approved tags applied at the abattoir have been issued to the abattoir.
- Approved tags are not transferred to another animal or carcass.
- Pigs are identified either with an approved tag or an approved slap tattoo.
- The operator can identify the carcass of animals in the abattoir until the carcass is approved for human consumption or condemned. Select one carcass for the verification.
- Approved tags are applied to the proper species of animal.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.
- Pig carcasses and parts (dead stock) leaving the site are accompanied by the following information in a form that is immediately readable by an inspector:
 - the location of the departure site and the location of the destination site;
 - the date and time that the conveyance carrying the carcasses or parts of carcasses left the departure site; and
 - the licence plate number or, if there is no licence plate, other identification of the conveyance.

Operator meets record keeping requirements related to animals

²⁵ 175.1(3) - See TRACE-34/2017-09-14

²⁶ 186(3) - See TRACE-34/2017-09-14

Review the operator's records:

- Check up to 12 that lost their approved tag on the way to the abattoir and verify that the operator kept enough information to enable the origin of the animals to be trace in records for at least 2 years. This information includes, if known:
 - the number of approved tag that was lost;
 - the name and address of the person having possession of the animal when it was brought to the abattoir;
 - the date it was brought to the abattoir;
 - the license plate number of the conveyance that brought the animal to the abattoir.
- Check up to 12 animals to which a new approved tag has been applied by the operator or the abattoir, and verify that a record of the following information has been kept for at least 2 years:
 - the number of the new approved tag; and
 - enough information about the origin of the animal or the carcass to enable the origin to be traced, including, if it is known by that person:
 - the number of the approved tag that was previously applied to the animal or carcass and, in the case of an animal or carcass to which more than one approved tag has been applied since the animal's birth, the numbers of all of them;
 - the name and address of the owner or person having the possession, care or control of the animal or carcass when it was brought to the place where the new approved tag was attached to it and the date when it was brought to the place;
 - the identification of any conveyance that brought the animal or carcass to the place where the new approved tag was attached to it.
- Check up to 12 pigs movements and verify that the information reported to the responsible administrator has been kept in records for at least five years or since July 1st 2014.

Operator meets reporting requirements related to animals**Using available documentation and/or on-site observation, review the responsible administrator's database:**

- Verify, for a minimum of five (5) identification numbers, taken on different days and different hours of those days, of bison or bovine slaughtered or that died on site more than 30 days ago were reported to the responsible administrator within 30 days after the death.²⁷
- In the event carcasses of bison, bovine or ovine bearing approved or revoked tags have been disposed of on site; verify, for up to 5 animals, that the identification numbers of the approved or revoked tags borne by a bison, bovine or ovine disposed of by the operator have been reported within 30 days after disposing of the carcass.

²⁷ Enhancements to CLTS now allow for both the operators of abattoirs and the operators of rendering facilities to report, respectively, the death and disposal of bovine and bison with a "retired" event. The CCIA database's former logic, where it was not possible to "retire" twice, has been modified to allow both regulated parties to report as required under Part XV of the *Health of Animals Regulations*.

- Verify, for a minimum of five (5) pigs received²⁸ more than seven (7) days ago, and coming from different lots, that the required information has been reported within 7 days of reception, namely:
 - the number of pigs and pig carcasses that arrived at the abattoir;
 - the date and time that the conveyance arrived at the abattoir;
 - the location of the departure site and the location of the abattoir;
 - the identification numbers on the approved tags or the approved slap tattoos applied to the pigs; and
 - the license plate number of the conveyance transporting the pigs.
- In the event live pigs have been sent from the abattoir, check up to 5 departures of pigs from the site and verify that the required information has been reported within 7 days of departure, namely:
 - the location of the departure and destination sites;
 - the date and time that the conveyance carrying the pigs left the site;
 - the number of pigs loaded onto the conveyance;
 - the license plate number of the conveyance.
- Check up to 5 departures of pig carcasses (or parts) from the site and verify that the required information has been reported within 7 days of departure, namely:
 - the location of the departure and either the name of the operator of the destination site or the location of the destination site;
 - the date that the conveyance carrying the pig carcasses or the parts left the site.
- Note²⁹

Inspection comments to indicate the following in the Verification Worksheet:

- Information from interviews with operator (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;

²⁸ Although, under the current Regulations, the requirement is for operators of abattoirs to report information related to the reception of the pigs, reporting the slaughter information instead is considered an acceptable alternative for now.

²⁹ Requirement under para. 184(3)(c) (reporting the origin of an animal or carcass not bearing an approved tag) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for the prescribed timeframes.

Identification of animals and/or carcasses:

- Receiving* animals and/or carcasses not identified as required;
- Sending animals and/or carcasses not identified as required;
- Not bearing an approved tag at the site;
- Not identified with an approved tag at the site for which the tag was issued;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Animal's carcass cannot be identified until it is approved for human consumption or condemned;
- Altering an approved tag;
- Making, selling, providing falsified tags.
- No document is accompanying pigs' carcasses (and parts) during their transportation.

Section:	2	Livestock identification
Sub-Section:	1	Bison, bovine, ovine, pig
Task:	2114	Assembly yards
Prescribed task frequency:		Each site monthly
Revision date:		2017-09-14

Health of Animals Regulations Part X, s. 91.3; Part XV, s. 175, 175.01, 175.1³⁰, 175.2, 175.3, 176, 176.1, 177, 177.1, 178, 179, 180, 180.1, 181, 182, 184, 185, 186, 187

Operator meets regulatory requirements related to bison, bovine and ovine identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bison, bovine and ovine received* at the site are identified with an approved tag unless there is an indication that they lost their approved tags during transportation.
- Bison, bovine and ovine departing from the site are identified with an approved tag.
- Bison, bovine and ovine that lost their approved tags while being transported to the site are identified with a new approved tag immediately after it is received at that site.
- Bison, bovine and ovine not bearing an approved tag or identified with a revoked tag are immediately re-identified with an approved tag.

Operator meets regulatory requirements related to pigs identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- In the event the assembly yard is not a site used exclusively for the purpose of collecting the animals before they are transported to an abattoir:
 - pigs received at the site are identified with an approved tag, unless there is an indication that they lost their approved tags during transportation;
 - pigs not bearing an approved tag are identified with a new approved tag immediately after they are received at that site;
 - pigs departing from the site are identified with an approved tag.
- In the event the assembly yard is a site used exclusively for the purpose of collecting the animals before they are transported to an abattoir³¹:
 - pigs received at the site are identified with an approved tag (unless there is an indication that they lost their approved tags during transportation) or an approved slap tattoo³²;

³⁰ 175.1 - See TRACE-34/2017-09-14

³¹ An assembly yard receiving pigs that will be exported to an abattoir in a foreign country (i.e. exported for immediate slaughter) is not considered a site "that is used exclusively for the purpose of collecting animals before they are transported to an abattoir".

³² Due to their poor legibility on live pigs, the inspector may not be able to verify if pigs are identified with an approved slap tattoo. In that situation, the observation should be noted in the "Comments" section of the Verification Worksheet.

- pigs not bearing an approved tag or slap tattoo³³ are identified with a new approved tag or slap tattoo immediately after they are received at that site;
 - pigs remaining at the collection site for longer than 96 hours are then identified with an approved tag;
 - in the event pigs have to be sent anywhere other than to an abattoir³⁴, they are identified with an approved tag before departing for the site.
- The approved slap tattoo applied to pigs has issued for this site.
- Pig carcasses (and parts) movements are accompanied by the following information in a form that is immediately readable by an inspector:
 - the location of the departure site and the location of the destination site;
 - the date and time that the conveyance carrying the carcasses or parts of carcasses left the departure site; and
 - the licence plate number or, if there is no licence plate, other identification of the conveyance.

Operator meets regulatory requirements related to animal identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Approved tags are applied to the proper species of animal.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.
- Approved tags applied to the animals or their carcasses were issued for this site.

Operator meets record-keeping requirements related to animals

Review the operator's records:

- Check up to 12 animals to which a new approved tag has been applied by the assembly yard operator, and verify that a record containing the following information has been kept for at least 2 years:
 - the number of the new approved tag; and
 - enough information about the origin of the animal or the carcass to enable the origin to be traced, including, if it is known by that person:
 - the number of the approved tag that was previously applied to the animal or carcass and, in the case of an animal or carcass to which more than one approved tag has been applied since the animal's birth, the numbers of all of them;
 - the name and address of the owner or person having the possession, care or control of the animal or carcass when it was brought to the place where the new approved tag was attached to it and the date when it was brought to the place;

³³ Same as above.

³⁴ This would be under exceptional circumstances, given the site is considered to be used exclusively for the purpose of collecting pigs before they are transported to an abattoir.

<p>and</p> <ul style="list-style-type: none"> ▪ the identification of any conveyance that brought the animal or carcass to the place where the new approved tag was attached to it.
<ul style="list-style-type: none"> • Check up to 12 animals identified with an approved tag and which were slaughtered or died on the site and verify that the approved tag identification number and the date at which the animals was slaughtered or died has been kept in records for at least 2 years.
<ul style="list-style-type: none"> • Check up to 12 bison, bovine and ovine that were not identified with an approved tag and for which carcass was disposed of and verify that enough information about the origin of the animal or carcass enable the origin to be traced has been kept in records for at least 2 years.
<ul style="list-style-type: none"> • Check up to 12 pigs movements and verify that the information reported to the responsible administrator has been kept in records for at least five years or since July 1st 2014.

Operator meets reporting requirements related to animals

Using available documentation and/or on-site observations, review the responsible administrator's database:

- In the event that a new approved tag has been applied to an animal that already bears an approved or a revoked tag; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.
- In the event carcasses of bison, bovine or ovine bearing approved or revoked tags have been disposed of on site; verify, for up to 5 animals, that the identification numbers of the approved tags borne by the bison, bovine or ovine carcasses disposed of by the operator have been reported within 30 days after disposing of the carcass.
- Note³⁵

Operator meets reporting requirements specifically related to pigs

Using available documentation and/or on-site observations, review the responsible administrator's database:

- Check up to 5 receipts of pigs at the site and verify that the required information has been reported, namely:
 - the location of the departure site and the location of the destination site;
 - the date and time that the conveyance arrived at the assembly yard;
 - the number of pigs and pig carcasses that arrived at the assembly yard; and
 - the licence plate number of the conveyance.
- Check up to 5 departures of pigs from the site and verify that the required information has been reported, namely:
 - the location of the departure site and the location of the abattoir;

³⁵ Requirements under para. 187(2)(b) (reporting the origin of a carcass not bearing an approved tag and being disposed) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

<ul style="list-style-type: none"> ○ the date and time that the conveyance carrying the pigs left the assembly yard; ○ the number of pigs loaded onto the conveyance; and ○ the licence plate number of the conveyance.
<ul style="list-style-type: none"> ● In the event approved tags or slap tattoos have been applied to pigs; verify, for up to 5 events, that the identification number on approved tags applied to pigs at the site has been reported in addition to the departure information listed above.
<ul style="list-style-type: none"> ● Check up to 5 departures of pig carcasses (or parts) from the site and verify that the required information has been reported, namely: <ul style="list-style-type: none"> ○ the location of the departure and either the name of the operator of the destination site or the location of the destination site; ○ the date that the conveyance carrying the pig carcasses or the parts left the site.
<ul style="list-style-type: none"> ● The above-mentioned data has been reported to the responsible administrator within seven (7) days of the event.

Inspection comments to indicate the following in the Verification Worksheet:

- Information from operator interviews (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

On-site records:

- Incomplete information has been recorded;
- Records have not been kept for prescribed period;
- No information has been recorded.

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required;
- Receiving* animals and/or carcasses not identified as required;
- Not bearing an approved tag or slap tattoo at the site;
- Unidentified animal/carcass not being re-identified with an approved tag when required;
- Identified with an approved tag allocated for another species/sector;
- Not identified with an approved tag at the site for which the tag was issued;
- Not identified properly;
- Altering an approved tag;
- Making, selling or providing falsified tags.
- No document is accompanying pigs' carcasses (and parts) during their transportation.

Information in responsible administrator's database:

- Incomplete information has been reported;

-
- No information has been reported;
 - Information has not been reported within prescribed timeframes.

Section:	2	Livestock identification
Sub-Section:	2	Bison, bovine, ovine, pig
Task:	2201	Exporters
Prescribed task frequency:	A quarter of exporters per year	
Revision date:	2017-09-14	

This task focusses on requirements exporters are subject to. If the exporter is operating a site from where the animals are sent, the corresponding task must also be conducted in order to capture all the requirements the regulated party is subject to.

Health of Animals Regulations Part XV, s. 175, 175.01, 175.3, 176, 176.1, 177, 177.1, 178, 179, 180, 180.1, 181, 182, 185, 188

Exporter of animals meets regulatory requirements related to identification

When applicable, go on-site: Observe, consult available documentation and interview as necessary to verify that:

- An approved tag has been applied to each bison, bovine and ovine before leaving the site to be exported.
- An indicator approved by the importing country has been applied to pigs before leaving the site to be exported.
- The identification number borne on the indicator approved by the importing country corresponds to the last site the pig is from³⁶.
- Approved tags have not been removed from animals being exported.
- The approved tag applied is for the species of the exported animal.
- Approved tag was issued for the site where it was applied to the animal or its carcass.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.

Exporter of pigs meets record-keeping requirements

Review the operator's records:

- Check up to 12 pigs movements and verify that the information reported to the responsible administrator has been kept for at least five years or since July 1st 2014.

Exporter of animals meet reporting requirements

Using available documentation, such as export certificates, and/or on-site observations, review the responsible administrator's database:

- In the event that a new approved tag has been applied or caused to be applied to an animal that already bears an approved or a revoked tag; verify, for up to 5 events, that the number

³⁶ See Policy TRACE 24. Exported pigs for feeding purposes (i.e., weanlings and feeder pigs) shall be identified with the identification number of either (a) their site of last residence or (b) the site at which they were born (i.e., the farrowing barn)

of the new approved tag as well as the number of the tag previously applied have been reported within 30 days of the new approved tag being applied.

- Check up to 5 identification numbers of approved tags applied to bison or bovine brought from three different shipments within the last six months and verify that the identification numbers of the approved tag borne by the exported bison and bovine have been reported within 30 days after the exportation. Otherwise, choose up to five animals coming from the last three shipments.

Alternatively, query the database to check details on events reported by the regulated party to verify that the information matches those exports.

- Check up to 3 different exportations of pigs within the last six months and verify that the required information has been reported within seven (7) days of pigs being exported, namely:
 - the locations of the last sites on which the pigs were kept before they were exported and the number of pigs that were from each of those sites;
 - the locations to which the pigs were exported and the number of pigs that were exported to each of those locations;
 - the dates on which the pigs were loaded onto the conveyance by which they were exported and the number of pigs that were loaded on each of those dates;
 - the identification numbers on the indicators approved by the importing country (with the exception of cull breeding pigs that are exported for immediate slaughter from a site that is used exclusively for the purpose of collecting animals before they are transported to an abattoir); and
 - the licence plate number or, if there is no licence plate, other identification of the conveyance.

Otherwise, choose the last three shipments.

Alternatively, query the database to check details on events reported by the regulated party to verify that the information matches those exports.

Inspection comments to indicate the following in the Verification Worksheet:

- Information from interviews with exporter (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from animal health export certificate, when applicable;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility

Select the specific category of deviation observed from the list below (select all that apply):

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Discrepancy between events and information reported;
- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for prescribed period.

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required (when exported);
- Not identified with an approved tag at the site for which the tag was issued;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Altering an approved tag;
- Making, selling or providing falsified tags.

Section:	2	Livestock identification
Sub-Section:	2	Bison, bovine
Task:	2202	Tagging sites
Prescribed task frequency:		Each site every two months
Revision date:		2016-08-24

If the tagging site operator also distributes approved tags, task 2101 must also be conducted as per the minimum prescribed frequency of that task.

Health of Animals Regulations Part X, s. 91.3; Part XV, s. 175, 176, 179, 180, 180.1, 181, 182, 183, 185, 186, 187

Operator meets regulatory requirements related to bison and bovine (animal) identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- The approved tag is applied to bison and bovine immediately after it is received at the site.
- All bison and bovine, and their carcasses departing from the site are identified with an approved tag.
- Approved tags are applied to the proper species of animal.
- Approved tags applied to the animal or its carcass were issued to the farm of origin.
- Approved tags are applied to the ear of the animal with the logo and number facing forward.
- Bison or bovine are not mixed with any other person's animals that do not bear approved tags.

Operator meets record-keeping requirements related to bison and bovine

Review the operator's records:

- Check up to 12 bison and bovine of different shipments to which an approved tag has been applied by the operator and verify that a record containing the following information has been kept for at least 2 years:
 - the names and addresses of the owners or persons having the possession, care or control of the animals before the transportation of the animals to the site;
 - the dates when the animals arrived at the site; and
 - the identification numbers of the approved tags applied to the animals;
 - the dates of the application of those approved tags to the animals.
- Check up to 12 bison or bovine identified with an approved tag and which were slaughtered or died on the site, and verify that the approved tag identification number and the date at which the animals was slaughtered or died has been kept in records for at least 2 years.
- Check up to 12 bison and bovine that were not identified with an approved tag and for which carcass was disposed of, and verify that enough information about the origin of the animal or carcass to enable the origin to be traced has been kept in records for at least 2

years.

Operator meets reporting requirements related to animals

Using available documentation and/or on-site observations, review the responsible administrator's database and website:

- That the operation is recognised as a tagging site by the responsible administrator.
- In the event that a new approved tag has been applied to an animal (or its carcass) that already bears an approved or a revoked tag; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.
- In the event carcasses of bison or bovine bearing approved or revoked tags have been disposed of on site; verify, for up to 5 animals, that the identification numbers of the approved or revoked tags borne by a bison, bovine or ovine disposed of by the operator have been reported within 30 days after disposing of the carcass.
- Note³⁷

Inspection comments to indicate the following in the Verification Worksheet:

- Information from tagging site operator interviews (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

On-site records:

- Incomplete information has been recorded;
- Records have not been kept for the prescribed timeframes;
- No information has been recorded.

Operation's status:

- Operation wrongfully claiming to be a tagging site.

Identification of animals and/or carcasses:

³⁷ Requirements under para. 187(2)(b) (reporting the origin of a carcass not bearing an approved tag and being disposed) cannot be verified using CLTS as it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

-
- No approved tag applied to the animal when arriving at the site;
 - Identified with an approved tag allocated for another species/sector;
 - Not identified properly;
 - Animals are mixed with other person's animals that did not bear approved tags;
 - Sending animals and/or carcasses not identified as required;
 - Altering an approved tag;
 - Making, selling or providing falsified tags.

Section:	2	Livestock identification
Sub-Section:	2	Bison, bovine
Task:	2203	Feedlots
Prescribed task frequency:	A third of the sites, yearly	
Revision date:	2017-09-14	

If the feedlot is a tagging site, task 2202 must also be conducted as per the minimum prescribed frequency of that task.

Health of Animals Regulations, Part X, s. 91.3; Part XV, s. 175, 176, 177, 178, 179, 180, 180.1, 181, 182, 184, 185, 186, 187

Operator meets regulatory requirements related to bison and bovine identification

Go on-site: Observe, consult available documentation and interview as necessary to verify that:

- Bison and bovine received* at the site are identified with an approved tag, unless:
 - they were moved within their farm of origin;
 - there is an indication that they lost their approved tags during transportation.
- Bison and bovine and their carcasses departing from the site are identified with an approved tag.
- Approved tags are applied to the proper species of animal.
- Approved tags applied to the bison and bovine or its carcass were issued for this site.
- Approved tags are applied to the ear of the bison and bovine with the logo and number facing forward.
- Bison and bovine that lost their approved tags while being transported to the site are identified with a new approved tag immediately after it is received at that site.
- Bison and bovine not bearing an approved tag or identified with a revoked tag are immediately re-identified with an approved tag, unless they haven't left their farm of origin.

Operator meets record-keeping requirements related to animals

Review the operator's records:

- Check up to 12 bison or bovine to which a new approved tag has been applied, and verify that a record containing the following information has been kept for at least 2 years:
 - the number of the new approved tag; and
 - enough information about the origin of the animal or the carcass to enable the origin to be traced, including, if it is known by that person:
 - the number of the approved tag that was previously applied to the animal or carcass and, in the case of an animal or carcass to which more than one approved tag has been applied since the animal's birth, the numbers of all of them;
 - the name and address of the owner or person having the possession, care or control of the animal or carcass when it was brought to the site where the new approved tag was attached to it and the date when it was brought to the site; and

<ul style="list-style-type: none"> ▪ the license plate number of the conveyance that brought the animal or carcass to the site where the new approved tag was attached to it.
<ul style="list-style-type: none"> • Check up to 12 bison or bovine identified with an approved tag and which were slaughtered or died on the site, and verify that the approved tag identification number and the date at which the animals were slaughtered or died has been kept in records for at least 2 years.
<ul style="list-style-type: none"> • Check up to 12 bison or bovine that were not identified with an approved tag and for which carcass was disposed of, and verify that enough information about the origin of the animal or carcass to enable the origin to be traced has been kept in records for at least 2 years.

Operator meets reporting requirements related to animals

Using available documentation and/or on site observations, review the responsible administrator's database:

- In the event that a new approved tag has been applied to bison or bovine (or its carcass) that already bears an approved or a revoked tag; verify, for up to 5 events, that the number of the new approved tag as well as the number of the tag previously applied have been reported to the database within 30 days after the new approved tag is applied.
- In the event carcasses of bison or bovine bearing approved or revoked tags have been disposed of on site; verify, for up to 5 animals, that the identification numbers of the approved tags borne by the bison and bovine carcasses disposed of by the operator have been reported within 30 days after disposing of the carcass.
- Note³⁸

Inspection comments to indicate the following in the Verification Worksheet:

- Information from operator interviews (include name of operator);
- On-site observations;
- Information from on-site records kept by operator;
- Information from responsible administrator database consultations;
- Any deviations identified/product control measures taken by inspector or facility.

Select the specific category of deviation observed from the list below (select all that apply):

On-site records:

- Incomplete information has been recorded;
- No information has been recorded;
- Records have not been kept for the prescribed timeframes.

Identification of animals and/or carcasses:

- Sending animals and/or carcasses not identified as required;

³⁸ Requirements under para. 187(2)(b) (reporting the origin of a carcass not bearing an approved tag and being disposed) cannot be verified using the CLTS it has not been designed to receive this information yet. Consequently, it would be expected that this information is maintained at the establishment for viewing at the inspector's discretion for now.

- Receiving* animals and/or carcasses not identified as required;
- Not bearing an approved tag at the site;
- Unidentified animal/carcass not being re-identified with an approved tag when required;
- Not identified with an approved tag at the site for which the tag was issued;
- Identified with an approved tag allocated for another species/sector;
- Not identified properly;
- Altering an approved tag;
- Making, selling or providing falsified tags.

Information in responsible administrator's database:

- Incomplete information has been reported;
- No information has been reported;
- Information has not been reported within prescribed timeframes.

Operation's status:

- Operation wrongfully claiming to be a tagging site.

Annex B. Inspection Policies and Procedures

B0. General information

Scope

The scope of the current TRACE program is bovine, bison, ovine and porcine, and its depth is from import or birth to export or death. The regulatory requirements apply to domesticated pigs on 1 July 2014 and farmed wild boars and other animals of the genus *Sus* as of 1 July 2015. Feral pigs are not subject to the regulations. Pigs used as pets are subject to the regulations as well but will not be the focus of compliance verification.

TRACE-01. Regulatory clarification: definition of “bovine”. From a taxonomic perspective, the progeny of bovines crossed with other species such as yak and bison do not fall under the definition of “bovines” and therefore are not subject to requirements under Part XV of the *Health of Animals Regulations*.

Location

Tombstone information (e.g. contact name, mailing address, phone number, type of operation) for each person subject to Part XV requirements is captured under the information system managed by the responsible administrator. The regulated party’s account number under the responsible administrator’s information system is currently used to designate the departure or the destination site of animals being transported. Therefore, under the current program, the points of trace-backs and trace-forwards do not correspond to past or current locations of animals, but to the mailing address of their custodians. A better geographical representation on the location of animals and not their custodians was identified as a means by which the national traceability performance targets could be met. As such, Provinces and Territories were tasked to identify and characterize agriculture and food premises.

When reporting the location of the site of departure or of destination of animals, regulated parties must either report the identification number of the site (premises) or their account number in the responsible administrator’s database. There is no requirement to report premises identification numbers even in the Provinces or Territories where the identification of premises is mandatory.

B0.1 Requirements applicable for all sites

Identification

Approved and revoked tags for each species are listed on the CFIA public website³⁹. If an animal listed under Part XV is identified with an approved tag that is not appropriate for the species in question (example, an ovine or bovine tag applied to a bison), an AMP can be issued for a violation of ss. 175(1.1). Note that under s. 180.1, it is also illegal to identify with an approved tag an animal belonging to a species not listed under Part XV of the *Health of Animals Regulations* (e.g. the identification of llama with a tag approved under the TRACE program).

Approved tags made of two parts must be used together (see lists of tags approved for each species for pictures and descriptions). A tag made of the male part of an approved tag and the female part of a management tag, or vice versa, is not considered to be an approved tag. Therefore, an animal identified with such a tag is not considered to be identified as per Part XV and the tag may be removed. Making, selling or providing a tag, chip or other indicator that closely resembles an approved tag that it is likely to be mistaken for one is illegal under s. 182 and is considered a very serious offense.

In some cases, the approved tag is sold with a secondary tag bearing the same identification number. This secondary tag is not an approved under the TRACE program, even if the logo of a responsible administrator may be printed on it. Likewise, Health of Animals (“H of A”) tags and herd management tags are not approved under the TRACE program.

TRACE-23/2014-07-01. Policy: tags applied with number facing forward. Under ss. 175(1.2), there is a requirement that approved tags be applied to the ear of the animals with the logo and number facing forward. In order to improve legibility of the tags, there has been an agreement that approved tags applied to pigs be applied with the logo and number facing backward. Hence, for pigs, no enforcement action should be taken for violation with this requirement.

Lost Approved Tag

Under ss. 184(3), an animal that loses its approved tag during transportation to an abattoir does not have to have a new approved tag applied to it if it is slaughtered at the abattoir; the person who operates the abattoir keeps a record of enough information about the origin of the animal to enable the origin to be traced; and, in the case of a bison or a bovine, reports this information to the responsible administrator.

³⁹ <http://inspection.gc.ca/animals/terrestrial-animals/traceability/eng/1300461751002/1300461804752>

For all other movements, an animal that loses its approved tag while being transported may continue to be transported until it reaches the next site where it is to be unloaded, and it may be received* at that site only if a new approved tag is applied to the animal immediately after it is received there (see ss. 184(2)).

Determining whether an animal not bearing an approved tag did bear an approved tag when brought to the inspected site is difficult. Therefore, before determining whether an enforcement action should be taken, the inspector must exercise judgment and make a decision based on their observations (torn ear, hole healed, ...) and according to the means available to make the assessment.

In all cases where it is possible to show that the animal without an approved tag would not have lost the tag in transit (no holes in the ears, producers with tags in hand, no tags found on the floor of the trailer, ...), enforcement actions should likely be taken.

If an inspection identifies that a number of animals were transported without being identified with an approved tag and this can be documented and proven, an AMP may be issued for a violation of s. 176 or 177.

In the event that a new approved tag must be applied to an unmanageable animal, please refer to TRACE-02.Policy: Identification of unmanageable bison, bovine, rams, boars and wild boars.

Certain situations, such as emergencies with mistreated animals, life threatening natural disaster, etc., may warrant the removal of the animals from a site that is not properly equipped to handle them, to another site where they can be safely identified with an approved indicator. The above could be authorized, given that appropriate measures are taken to ensure that the intentions of the traceability program are met.

These requests shall be evaluated on a case by case basis. The impacted Area will contact the National Issues Management Office (NIMO). A discussion will then be initiated between NIMO, OGE Terrestrial Animal Health Disease Control and TRACE, Livestock Traceability Program National Manager and Area contacts with the goal of creating a situational directive that will advise the inspectorate on how to proceed with this specific situation.

Application of new approved tag to an animal not bearing a tag or bearing a revoked tag

Ss. 184(1) requires the person who owns or has the possession care and control of an animal to replace a lost approved tag; to apply an approved tag to an animal that does not bear one; or to apply an approved tag to an animal that bears a revoked tag. If the animal loses its approved tag while still in the herd of origin, the replacement tag can be applied immediately but in all cases, must be applied prior to the animal leaving the farm of origin.

When animals not bearing an approved tag are moved from the farm of origin, an AMP could be issued for a violation of ss. 184(1) or s. 176. The AMP would normally be issued for a violation of s. 176 because the violation is usually detected beyond the farm of origin.

Application of new approved tag to an animal already bearing an approved tag or a revoked tag

An approved tag must be replaced in the event that it is lost or damaged or non-functioning. It is required that the correlation be made between the former and new identification numbers in the database to ensure trace back. The person applying the new approved tag is responsible for reporting to the database the correlation between the two tag numbers. An AMP could be issued for a violation of ss. 185(3).

TRACE-03/2011-05-02. Regulatory clarification: defective approved tags. Ss. 185(3) does apply when a new approved tag is applied to an animal that bears a defective approved tag.

Removing an approved or revoked tag

As indicated under s. 179, approved and revoked tags may not be removed from animals. The only situation in which an approved tag may be removed is from an animal which has been slaughtered at an abattoir or from a carcass of an animal at disposal. Tag removal is considered a serious violation under the *AMP Regulations*.

Facts obtained during the course of inspection activities that provide reasonable grounds to believe that approved tags have been unlawfully removed from an animal or animals must be documented and reported through the management chain to EIS.

TRACE-09/2011-05-02. Regulatory clarification: prohibition in removing a defective approved tag. Under s. 179, no person shall remove, or cause the removal of a defective approved tag from an animal or the carcass of an animal.

Disposition of a carcass

Under 187(1)(b), every person who disposes of the carcass of bison, bovine or ovine bearing an approved tag or an approved tag that has been revoked shall report the tag identification number to the responsible administrator's database. Failure to do so may result in an AMP being issued for a violation of para. 187(1)(b). This requirement applies to carcasses disposed of on-farm.

As indicated under ss. 187(2), every person who disposes of the carcass of a bovine, a bison or an ovine not bearing an approved tag anywhere but on the farm of origin where the animal died, has the responsibility of reporting the information about its origin to the responsible administrator's database. Since the responsible administrator's database has not been designed

to receive this information yet, this information must be maintained at the site for viewing at the inspector's discretion for now. There is no record-keeping or reporting requirement for the on-farm disposal of carcasses not bearing an approved tag or for the disposal of pig carcasses.

TRACE-15/2011-05-01. Regulatory clarification: role of CFIA in reporting the disposal of carcasses bearing an approved tag. Ss. 187(1) which is dealing with the disposal of the carcass of a bison, bovine or ovine applies to "every person". A CFIA employee, although not specifically listed, would fall within the definition of "every person" and is therefore subject to the requirements listed under the subsection, should he/she be disposing of the carcass of a bison, bovine or sheep.

TRACE-28/2016-08-24. Policy: Part of a pig carcass. For the purpose of ss. 175.01(8), 175.2(5) and s. 175.3, "part of a pig carcass" means the majority of it, that is a part equivalent to more than 50% of the dead pig's whole body.

Record keeping requirements

Under section 91.3 of the *Health of Animals Regulations*, every person required to keep a record shall, unless it is otherwise stated, keep the record for a period of two years from the date the requirement arose.

Therefore, records required under subsections 183 (2), 184 (3), 185 (1), 186 (3) and 187 (2) shall be kept for 2 years, while those required under subsections 175.1 (1) and 175.1 (3) shall be kept for 5 years. Records required under sections 175.3 and 175.4 shall be kept for 5 years, starting 1 July 2014.

TRACE-34/2017-09-14. Operational guidance: Section 175.1 in Part XV vs sites other than farms & Subsection 186(3) vs abattoirs. The July 1st, 2014 amendment resulted in a wording change whereby "ovine for breeding purposes" was changed to "bred ovine" in section 175.1 of the *Health of Animals Regulations*. This wording change created an unforeseen requirement for operators of sites such as auctions, assembly yards, community pastures, abattoirs, etc. to read individual tag numbers of all bred ovine received at their premises. It is anticipated that this unforeseen requirement will be reviewed in the 2018 regulatory amendment.

Given the uncertainty of this unforeseen requirement, it is recommended that inspection staff focus on compliance verifications / enforcement actions associated with requirements that are expected to be maintained in the 2018 regulatory amendments.

Likewise, operators of abattoirs shall not be expected to keep records of individual tag numbers of ovine that were slaughtered or otherwise died at their site.

Reporting requirements

Throughout Part XV, regulated parties such as operators of departure and destination sites, operators of abattoirs, exporters, importers, etc. are required to report information on animals' movements and/or identification to the responsible administrator. Information to be reported and delays to do so can be found in sections 172.1, 174, 174.1, 175.01, 175.2, 184, 185, 186, 187, 188 and 189 of the *Health of Animals Regulations*.

TRACE-35/2017-09-14. Regulatory clarification: delegating reporting. Reporting can be delegated to a third party, such as a provincial association, a herd management service provider or a carrier. However, in all cases, the responsibility remains with the regulated party required to report under the *Regulations*.

B1. Tag distributors

CVS Task: 2101

Species subject to requirements: bison, bovine, ovine, pig

Suggested verification time: 60 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that the profile of events reported (number of tags distributed / issued, tag inventory, species, etc.) for the past year is in line with the operation's volume and type of activities.

As indicated under section 174.1, the sale and distribution of approved tags must be reported to the responsible administrator within 24 hours. In the case of a violation (serious offence under the AMPS Regulations), a tag distributor could lose its authorization from the responsible administrator to sell approved tags; it could also face prosecution. The distribution model of approved tags is specific to each sector and should be known by inspectors so that they can assess who should be the subject of inspections:

- Beef cattle: the manufacturers of tags approved for the beef cattle sector may issue these tags or distribute them through a commercial network of dealers and veterinarians. The list of distributors and dealers of tags approved for beef cattle is maintained by the CCIA and made available through the CLTS. The CCIA supports the compliance verification effort by providing a monthly compliance report to CFIA for those operations.
- Dairy cattle: custodians of dairy cattle located outside Quebec must place a tag order with the National Livestock Identification for Dairy (NLID) (www.nlid.org/english/order.htm). NLID then forwards via an electronic file the tag

order to its tag manufacturer, Allflex Canada, as well as to the CCIA. All tag orders are delivered by courier directly to the producer after the order has been placed. As soon as the approved tags are sent from Allflex to the producer, Allflex advises NLID via an electronic file. Holstein Canada in turn automatically invoices the producer. NLID replacement dairy tags are reissued with the same original identification number, and, if lost through normal wear-and-tear, replaced free of charge.

- Bison: custodians of bison place a tag order with the Canadian Bison Association, who in turn, electronically forwards the order information including the producer identification number in CLTS and other relevant information to Kane Vet Supplies who manage bison tag inventory. Kane Vet Supplies mails approved tags to producers.
- Sheep: outside Quebec, the only authorized distributors of approved sheep tags are the Canadian Cooperative Wool Growers Ltd. and the Saskatchewan Sheep Development Board⁴⁰.
- Pig and farmed wild boars: all tags approved for pigs and farmed wild boars are sold through PigTrace (<http://pigtrace.ca/animal-identification-page>).

ATQ allocates approved tags for bovine and ovine born in Quebec. The tag manufacturer is responsible for the shipment of approved tags to regulated parties. Hence, approved tags are issued when ordered by the regulated parties (order is made by phone or fax to the ATQ call centre).

TRACE-21/2017-09-14. Operational guidance: inspections at tag distributors. The National Program Manager will ask the administrator to make a list of approved tags being exported or retired, but not issued. From the tag distribution event, the inspectors will determine the tag distributors who have not issued the approved tags, and use the appropriate enforcement action. This Data Integrity Error Reports is sent to district offices by the Area Operations Coordinator. The document is also available in the TRACE folder RDIMS# 8788467.

B2. Farms, ranches

CVS Tasks: 2102 and 2103

Species subject to requirements: bison and bovine (2102); ovine and pig (2103)

Suggested verification time: 90 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that

⁴⁰ www.cansheep.ca/cms/en/Programs/CSIPrograms_new/Animal_Identification/AnimalIdentification.aspx

the profile of events reported (tag orders, cross-referencing, species, etc.) for the past year is in line with the operation's volume and type of activities.

Sites to be inspected

Stumble-on inspections will be conducted at bison and bovine farms under task 2102. Therefore, there is no procedure to identify which farms should be inspected.

5% of ovine and pig farms must be inspected under task 2103. These inspections may be conducted jointly with activities or inspections from other programs. A randomly-selected list of farms to be inspected is generated yearly by the responsible administrator and is sent to district offices by the Area Operations Coordinator. The document is also available in the TRACE folder RDIMS# 8788467.

TRACE-26/2015-07-01. Regulatory clarification: meaning of "farm". Under Part XV, a "farm" is defined as "land, and all buildings and other structures on that land, that is used under one management for breeding or raising animals but does not include an artificial insemination unit". As such, from a regulatory perspective, a testing station, an experimental farm, an educational institution, a research laboratory and even the home of a pet pig owner could be considered as a "farm" if the animals remain at that site in the manner defined above.

Identification

All bison, bovine and ovine that leave their farm of origin, other than bison or bovine sent to a tagging site, must bear an approved tag (see policy on the identification of unmanageable bison, bovine, rams, boars and wild boars under TRACE-02). All bred pigs or pigs sent to an auction, fair, test station or insemination centre must also bear an approved tag before leaving the site.

TRACE-02/2016-03-21. Policy: identification of unmanageable bison, bovine, rams, boars and wild boars. It is recognized that a very small number of bison, bovine, rams, boars or wild boars cannot be identified in a safe and publicly accepted manner due to their size and/or demeanour. Attempting to tag an animal that is considered unmanageable, could lead to serious injury or death to either the person and/or the animal and possibly damage to equipment, etc.

The policy provides inspectors with a degree of discretion to choose the appropriate enforcement action. Where situations make the tagging of an animal extremely difficult or practically impossible (e.g., calves that have lost ears to frost bite, dangerous mature animals), the appropriate enforcement action may be a letter of non-compliance as opposed to issuing an AMP. It should also be noted that under different legislation and the Code of Practice, "it is unlawful for any person to handle or transport bison in a manner which causes avoidable

pain, suffering or distress". It is recommended that inspector's seek program or EIS assistance when determining whether discretion is to be exercised. The degree of discretion should also be influenced by considering due diligence and achieving the desired result of enforcement.

Animals which are being transported to a new destination or are moved to land which is not contiguous to the farm of origin, are considered to have left the farm of origin unless the animals are being temporarily moved to land that is owned, rented or leased by the owner of the animals; the movement is within the same province; and the animals are not commingled with other animals. In the case of a violation, an AMP can be issued for a violation of s. 176. The requirement to apply an approved tag also extends to the carcass of a bison, bovine and ovine leaving the farm of origin.

Record Keeping

CVS Task: 2102, 2103

Species subject to requirements: bison, bovine, ovine, pig

Bison, bovine, ovine

Records must be kept on the replacement of lost or damaged approved tags; on bison, bovine and ovine bearing an approved tag that died or were slaughtered on the site; and on bison, bovine and ovine carcasses not bearing an approved tag that were disposed of anywhere but on the farm of origin where the animal died. Under s. 91.3, those records must be kept for a period of two (2) years.

Additional requirement for ovine

Ovine producers are required under s. 175.1 to maintain records for five years of the destination (name of new owner and address) of older ovine (≥ 18 months) being sold to any location other than directly to a provincially- or federally-inspected abattoir. There is also a requirement to record information on the source of bred animals. If any doubt regarding the age of an animal age, ovine is considered to be older than 18 months if the second set of permanent incisors has erupted. Violations of ss. 175.1(1), (3) and (4) have a classification level of "serious" under the AMP program.

Pig

Under s. 175.3, pig identification, location and movement information reported to the responsible administrator must be kept in records for five years. Pig identification and movement information between sites registered as linked also need to be kept in records for five years.

Movement of bison, bovine, ovine, pig

CVS Task: 2102, 2103

Species subject to requirements: bison, bovine, ovine, pig

Ss. 177(2)* and s. 176 respectively prohibit the reception* and the removal of bison, bovine or ovine, or the carcass of bison, bovine or ovine, not bearing an approved tag. However, the responsibility for the identification of the animals is considered to be more with the operator of the departure site as most of the inspections are being conducted when animals are being unloaded from the conveyance, i.e., at a moment where the operator of the destination site cannot pre-determine if the animals loaded in the conveyance were identified with an approved tag.

S. 177.1 prohibits the transportation and receipt* of a pig which needed to be identified with an approved tag but did not bear one. Under ss. 175.01(2), non-bred pigs moved between parts of a farm that are not contiguous or between farms do not need to be identified with an approved tag if two conditions are met. First, the pigs must be accompanied with the following information in a form that can be immediately read by an inspector:

- (i) the location of the departure site and the location of the destination site;
- (ii) the date and time that the conveyance carrying the pigs left the departure site;
- (iii) the number of pigs loaded onto the conveyance;
- (iv) the identification number on any approved tag applied to any of the pigs; and
- (v) the licence plate number or, if there is no licence plate, other identification of the conveyance.

The second condition is that the above-mentioned information must be reported by both the consignor and the consignee to the responsible administrator within seven (7) days after the pigs were loaded and unloaded from the conveyance, respectively.

Sites registered as linked (specific to pigs)

Pig producers may apply to the responsible administrator in having their farm sites registered as linked. If such a request is accepted by the responsible administrator, all the movements between those sites need to be reported on a monthly basis (instead of reporting each movement within seven days). The eligibility criteria for sites to be registered as linked are identified under ss. 172.3(1).

Inspection should focus on ss. 172.3(2) whereby by the end of the 10th day of every month in the six-month period for which two sites are registered as being linked, the operators of the two sites have reported to the responsible administrator the total number of pigs and the number of pig movements between the sites during the preceding month. Utilizing PigTrace would support such verification. In the event of a non-compliance, the registration of the two

sites being linked shall be cancelled at the end of that day for the remainder of the six-month period.

B2.1 Feedlots

CVS Task: 2203

Species subject to requirements: bovine, bison

Suggested verification time: 90 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that the profile of events reported (tag orders, cross-referencing, species, etc.) for the past year is in line with the operation's volume and type of activities.

For the purpose of this document, a feedlot may be defined as *“an operation that feeds bovine or bison and is operated in whole or in part for the purposes of growing or finishing bovine or bison for the purpose by means other than grazing, but does not include (a) an overwintering site where bovine and bison are sheltered, (b) a dairy farm, or (c) a site for breeding bovine or bison.”*

Sites to be inspected

A randomly-generated list of sites to be inspected is generated each year by the responsible administrator, and provided to the district offices. The document is also available in the TRACE folder RDIMS# 8788467.

Requirements

Feedlots are subject to the same requirements as bison and bovine farms (task 2102) – please consult section B2.

B3. Auctions

CVS Task: 2104

Species subject to requirements: bison, bovine, ovine, pig

Suggested verification time: 120 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that the profile of events reported (tag orders, cross-referencing, movement reporting, species, etc.) since the last verification is in line with the operation's volume and type of activities.

Sites to be inspected

A list of sites to be inspected is generated each year by the responsible administrator, and provided to the district offices. The document is also available in the TRACE folder RDIMS# 8788467.

Requirements

The requirements identified here apply to all auctions, regardless if they are recognized as tagging sites or not. Requirements specific to tagging sites are covered under section B13 of this document.

Ss. 177(2)* and 177.1(1)* stipulates that no person shall receive* animals not bearing an approved tag. This prohibition is subject to ss. 184(2) which refers to animals where the tag has been lost during transit and may continue to be transported until it reaches the next place where it is to be unloaded and may be received at that place if a new approved tag is immediately applied to the animal. Should the auction operator receive an animal not bearing an approved tag, he is required (under ss. 184(1) to immediately apply a new approved tag to it.

Verifications that animals bear an approved tag should be made before they are mixed with other animals.

TRACE-17/2017-09-14. Instructions: responsibility of the consignor in identifying animals with an approved tag. Compliance actions should be directed primarily towards the consignor of the animal (s. 176 - the person who caused the movement of the animal). The decision to issue an NOV or to recommend prosecution in respect of a carrier should be carefully considered and taken in serious cases of chronic offenders, where no efforts have been taken to achieve compliance, where there is the potential for loss of consigner information, or, in the case of auction marts, before animals are mixed with other animals or sent to the sales ring. Inspectors should use the approach of issuing letters of non-compliance -> Warning AMPS -> penalty AMPS and keep clear documentation of attempts at gaining compliance.

TRACE-31/2017-09-14. Operational guidance: violations to reception under ss. 177(2) and 177.1(1). The only enforcement tool currently available to CFIA when it comes to a non-compliance to reception under 177(2) and 177.1(1) is the Letter of Non-Compliance (or Prosecution).

Since the prohibition to receive have been intentionally repealed from the *Agriculture and Agri-Food Administrative Monetary Penalties Regulations* to prevent issuance of AMPs and CFIA having largely communicated to industry that it is soon to be repealed from the *Heath of Animals Regulations*, the OGE AH T&TADC would recommend that inspection staff:

do not issue repeated Letters of Non-Compliance to a regulated party for violations to reception under ss. 177(2) and 177.1(1); rather focus on enforcing 176 & 176.1 and, where applicable, 177(1) & the transport component of 177.1(1).

Therefore, when a violation to 177(2) or 177.1(1) [reception component] is identified, reporting should be done as follows:

1. The task shall be rated “U”, which will record the violation and will allow sheets on other non-compliant parties to be linked to the task;
2. The option “Letter of non-compliance issued by inspector” shall be selected, Box 31 being mandatory when the task is rated “U”;
3. An indication that “As per TRACE-17/2012-02-13 and AskCFIA #8738, the enforcement action will be directed at the person who removed/caused the removal and/or the person who transported/caused the transportation of the untagged animal, and not at the receiver.” (or something similar) shall be included in the CFIA 5657’s “Comments / Commentaire” Box, which will record the fact the letter wasn’t actually issued.

The violations of sections 176 & 176.1 and, where applicable, subsection 177(1) & 177.1(1) [transport component] should be addressed and captured on “Non-compliant Party 1” (and most likely “Non-compliant Party 2”) tabs of the CFIA/ACIA 5657.

Auctions tagging of non-tagged ovine

There are a limited number of auction marts which receive* and handle ovine. Consequently, ovine may arrive at some auction marts from long distances. Refusing to accept these animals may not be a practical solution. Tagging sites do not apply for ovine.

Some ovine may arrive at an auction mart without approved ear tags. To comply with ss. 184(1), auction marts are required to tag ovine which arrive untagged and ss. 185(1) requires auction marts to keep certain records. Canadian Wool Growers Association distributors may sell approved tags to operators of auction marts.

When auction operators receive animals that have lost their approved tag during transit, operators must comply fully with ss. 184(2) which requires them to apply a new approved tag.

Under s. 185, the operator of an auction who applies a new approved tag to an animal, or the carcass of an animal, that does not bear an approved tag, bears an approved tag that has been revoked, or that has lost its approved tag, shall keep a record of (a) the number of the new approved tag; and (b) enough information about the origin of the animal or the carcass to enable the origin to be traced. The operator of the auction who applies a new approved tag to an animal that already bears an approved tag or bears a tag that has been revoked shall, within

30 days after the new approved tag is applied, report to the responsible administrator the number of the new approved tag as well as the number of the previously applied tag.

Receipt of pigs

Under ss. 175.2(1), operators of an auction are required, within seven (7) days after the reception and departure of pigs, to report the following information to the responsible administrator: (a) the location of the departure site and the location of the destination site; (b) the date and time that the conveyance arrived at and departed from the auction; and (c) the licence plate number of the conveyance. Inspectors need to verify under PigTrace that operators of auctions report this information and compare this information against those reported by other regulated parties who have sent or received pigs from auctions.

Record-keeping requirements

Keeping records on buyers and sellers of all animals moving through auction barns is a longstanding requirement under s. 94. Failure to meet this requirement is a serious offence under the AMPS Regulations.

TRACE-18/2012-02-13. Instructions: responsibility of operators of auctions in identifying animals with an approved tag issued for their site. It should be verified that auctions are purchasing tags on their own account and meeting the tagging requirements of ss. 184(1) and record-keeping requirements of ss. 185(1). Auction operators that purchase tags under the owner's or producer's account and tag the sheep are in violation with ss. 178(1). This is a serious offence under the AMPS Regulations. The decision to issue an NOV or to recommend prosecution in respect of an auction mart in violation/contravention of ss. 184(1) should be carefully considered and taken in serious cases of chronic offenders, where no efforts have been taken to achieve compliance, where there is the potential for loss of consigner information, or, in the case of auction marts, before animals are mixed with other animals or sent to the sales ring. Inspectors should use the approach of issuing letters of non-compliance - > Warning AMPS - > penalty AMPS and keep clear documentation of attempts at gaining compliance.

B4. Order Buyers and Dealers

CVS Task: 2106

Species subject to requirements: bison, bovine, ovine, pig

Suggested verification time: 60 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that

the profile of events reported (tag orders, cross-referencing, species, etc.) for the past year is in line with the operation's volume and type of activities.

Order buyers and dealers are subject to the same requirements as producers under s. 176 to 178 and as such are required to only purchase bovine, bison or ovine bearing an approved tag.

If an order buyer or dealer buys a bovine, bison or sheep not bearing an approved tag at an auction and delivers it unidentified to a feedlot or any other farm, auction, abattoir or any other site, the order buyer or dealer may be subject to enforcement action for a violation of s. 176 and ss. 177(1), which prohibit the removal and transportation of those animals not bearing an approved tag.

An order buyer or dealer buying pigs may be subject to enforcement action for violation of s. 176.1 and ss. 177.1(1), which prohibit the removal and transportation of pigs not identified as required under s. 175.01.

If an order buyer or dealer applies his tags to the unidentified animals before they leave a producer's farm, an AMP may be issued to the order buyer for a violation of ss. 178(1).

An order buyer or dealer selling bison, bovine, ovine or bred pigs not bearing an approved tag from his farm is subject to the same enforcement actions as applied to a producer under s. 176 and 176.1.

B5. Fairs, test stations, rodeos, community pastures, ferry terminals, post-mortem laboratories, veterinary clinics

CVS Task: 2107

Species subject to requirements: bison, bovine, ovine, pig

Suggested verification time: 60 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that the profile of events reported (tag orders, cross-referencing, movement reporting, species, etc.) for the past year is in line with the operation's volume and type of activities.

Fairs, test stations, rodeos, ferry terminals

The focus of the inspection should be on the compliance of the producer sending animals (including pigs) bearing an approved tag to those sites. Nonetheless, when an animal on site does not bear an approved tag (either because it never was tagged, has lost its tag in transit or has lost its tag on site) the person who has the care and control of the animal has the

responsibility to apply a new approved tag, as per ss. 184(1). The tag has to have been issued for that site, as per ss. 178(1), and a record has to be kept in accordance with ss. 185(1). Alternatively, bovines and bison could be sent to a tagging site for the purpose of having an approved tag applied.

TRACE-10. Instructions: identification of a calf born at a fair. In the case of a cow calving at an agricultural fair, the calf can be identified after returning to the farm of origin. If the new-born calf is sold at the agricultural fair, it must be identified with an approved tag of the herd of origin before leaving the fair.

Community pastures

All operators of community pastures are subject to Part XV of the Regulations, regardless if the pastures are owned by the Federal Government, a Provincial Government or a municipality.

TRACE-04. Instructions: application of an approved tag to animals which have lost their tag or are born at a community pasture. In the event that an animal loses its approved tag while being on a community pasture, a new approved tag may be applied either before the animal is sent back to the farm of origin or soon after its arrival at the farm of origin. If the animal is not returning to the farm of origin, it must be retagged at the community pasture or taken to an approved tagging site, with the original producer's tag, before it is moved to a new site.

In the case of a cow calving at the community pasture, the calf can be identified after returning to the farm of origin or taken to an approved tagging site. If the calf is sold at the community pasture, it must be identified with an approved tag of the herd of origin before leaving the pasture.

Post-mortem laboratories, veterinary clinics

The post mortem laboratory official or veterinarian disposing of the carcass of bison, bovine and ovine bearing an approved or revoked tag will be required to read and report the identification number to the responsible administrator's database. Failure to do so can result in an AMP being issued for a violation of para. 187(1)(b).

TRACE-06. Instructions: identification of a calf born at a veterinary clinic. In the case of a cow calving at a veterinary clinic/veterinary laboratory, the calf can be identified after returning to the farm of origin.

The post-mortem laboratory official or veterinarian disposing of the carcass of bison, bovine or ovine not bearing an approved tag must collect enough information on the origin of the animal or carcass as per para. 187(2)(a). Under para. 187(2)(b), the operator must report that information to the responsible administrator within 30 days after disposing of the carcass.

However, as CLTS has not been designed to capture this information yet, they are expected to keep a record instead of reporting the info for now.

There is no requirement to record or report the disposal of identified or non-identified pig carcasses. Information on the movement of pig carcasses sent off-farm for disposal shall be reported to the responsible administrator within seven (7) days. Both the sender and receiver will report the location of the departure site and either the name of the operator of the destination site or the location of the destination site. The sender will also report the date that the conveyance carrying the carcasses or part of the carcasses left the departure site. The receiver will also report the date that the conveyance arrived at the destination site, as well as the licence plate number of the conveyance.

B6. Assembly yards

CVS Task: 2114

Species subject to requirements: bison, bovine, ovine, pig

Suggested verification time: 90 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that the profile of events reported (tag orders, cross-referencing, movement reporting, species, etc.) since the last verification is in line with the operation's volume and type of activities.

Sites to be inspected

A list of sites to be inspected is generated each year by the responsible administrator, and provided to the district offices. The document is also available in the TRACE folder RDIMS# 8788467.

Requirements

The main requirement to be verified at assembly yards is that all bison, bovine and ovine received* at assembly yards be identified with an approved tag. All the requirements identified in ss. 178(1), and s. 184 and 185 pertaining to application of a new approved tag and/or replacement of lost or revoked tags and in reporting the identification of the new approved tag being applied also apply.

Specific movement reporting and identification requirements apply for pigs moved to "sites that are used exclusively for the purpose of collecting animals before they are transported to an abattoir". For those movements, pigs can either be identified with an approved tag or approved slap tattoo.

This exemption does not apply to pigs being sent to an auction mark (i.e. being auctioned at their destination site), no matter whether there are many potential buyers or just one. That being said, there is nothing prohibiting the operator of the auction market to also operate an assembly yard “that is used exclusively for the purpose of collecting animals before they are transported to an abattoir” on his land or premises, but that would have to be a site unto itself.

TRACE-32/2017-09-14: Policy: site “used exclusively for the purpose of collecting animals before they are transported to an abattoir” versus pigs exported for immediate slaughter. An assembly yard receiving pigs that will be exported to an abattoir in a foreign country (i.e. exported for immediate slaughter) is not considered a site “that is used exclusively for the purpose of collecting animals before they are transported to an abattoir”. As such, the pigs being sent to those assembly yards don’t fall under subsection’s 175.01(5) exemption when it comes to identification requirements.

When pigs are transported from a site to the assembly yard, the operator of the assembly yard within seven (7) days after the reception of the pigs, shall report the following information to the responsible administrator:

- (a) the location of the departure site and the location of the destination site;
- (b) the date and time that the conveyance carrying the pigs arrived at the assembly yard;
- (c) the number of pigs and pig carcasses that arrived at the assembly yard; and
- (d) the licence plate number or, if there is no licence plate, other identification of the conveyance.

The operator of the assembly yard, within seven (7) days after the departure of the pigs from the assembly yard shall report the following information to the responsible administrator:

- (a) the location of the assembly yard and the location of the destination site;
- (b) the date and time that the conveyance carrying the pigs left the assembly yard;
- (c) the number of pigs loaded onto the conveyance ;
- (d) the licence plate number or, if there is no licence plate, other identification of the conveyance.

B7. Abattoirs

CVS Task: 2108 (federally-inspected abattoirs, 2113 (all non-federally inspected abattoirs; formally task 5104)

Species subject to requirements: bison, bovine, ovine, pig

Suggested verification time: 60 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that the profile of events reported (tag orders, tag retirements, movement reporting, species, etc.) is in line with the operation's volume and type of activities.

Sites to be inspected

The lists of federally- and provincially-inspected abattoirs are available at:
www.inspection.gc.ca/english/fssa/meavia/regliste.shtml.

Requirements

All federally- and provincially-inspected abattoirs and mobile abattoirs are subject to the same Part XV requirements.

Please note there is no Corrective Action Request (CAR) used in the TRACE Program.

As every establishment is different, there is no instruction as to the location the inspector should be posted in order to measure compliance.

Ss. 177(2)* stipulates that no person shall receive* bison, bovine or ovine not bearing an approved tag. This prohibition is subject to ss. 184(2) which refers to animals having lost their tag during transit. There is still no exemption which would allow an abattoir operator to receive* animals not bearing an approved tag. Enforcement action under ss. 177(2)* shall be addressed as per TRACE-17 TRACE-31.

TRACE-11. Regulatory clarification: animals arriving at abattoirs with "approved tags in hand". Untagged bison, bovine and ovine delivered to abattoirs, where the producer arrives with tags "in hand", are considered to be non-compliant.

All pigs sent to an abattoir must be identified with an approved tag or approved slap tattoo.

TRACE-27/2016-03-21. Regulatory clarification: pigs slaughtered at an abattoir located next to a farm. The identification and movement reporting requirements under Part XV for pigs transported to an abattoir apply regardless if the abattoir (recognized as such by the federal or provincial government) is adjacent to a farm or on a parcel of land contiguous to the one where the farm is located.

Abattoir operators are required to maintain the ability to identify the animal's carcass until the carcass is approved for human consumption or is condemned. Evaluation of the proper way to

verify compliance for this requirement should be assessed by the veterinarian in charge at the abattoir⁴¹. Failure to do so may result in an AMP being issued for a violation of ss. 186(2).

TRACE-12. Regulatory clarification: reporting the identification number of multiple approved tags borne by an animal. If there are two different approved tags on an animal with two different numbers, both numbers must be reported by the operator of the abattoir to the responsible administrator's database.

Abattoir operators are required to report the required information on tagged bovine and bison slaughter or death to the responsible administrator's database within 30 days of slaughter. However, in the case of pigs, it is the reception of animals that must be reported, and this within seven (7) days. Failure to do so may result in an AMP being issued for a violation of para. 186(1)(b). There is no requirement to report the retirement of approved ovine tags being slaughtered to the responsible administrator.

TRACE-29-/2017-09-14. Policy: Reporting reception vs slaughter for pigs. Although, under the current Regulations, the requirement is for operators of abattoirs to report information related to the reception of the pigs, reporting the slaughter information instead is considered an acceptable alternative for now.

Dead bison, cattle and sheep transported from an abattoir to another site (e.g. to a rendering plant, port-mortem laboratory) must bear an approved tag when loaded into the conveyance used for the transportation. In the event they do not bear an approved tag, the operator of the abattoir must apply a species-specific approved tag to the dead animal before it is loaded into the conveyance.

The approved tag must be issued to the location where the approved tag is applied; in this case, to the abattoir. The only circumstance where the operator of an abattoir would apply approved tags is when dead bison, cattle and sheep, not bearing approved tags, are transported from the abattoir to another site.

Pigs sent to an abattoir shall bear an approved tag or approved slap tattoo. However, there is no identification requirement for dead pigs transported from an abattoir.

TRACE-05/2016-08-24. Operational guidance Procedure: measuring tag retirement compliance rate. One way to assess the compliance level of an abattoir could be to compare the number of tag retirement events reported to the responsible administrator versus the number of animals slaughtered as per collected through the condemnation statistics collected

⁴¹ In highly automated abattoirs, the computer keeps the link between the scanned identification number and the carcass sequential number. In non-automated abattoirs, the employees of the abattoirs simply put the approved tag in a plastic bag and pin it to the carcass.

by Agriculture and Agri-Food Canada.

Presently CLTS cannot accept information from abattoirs on animals which have lost their approved tags in transit pursuant to ss. 184(3). Consequently, information on animals which have lost their approved tags in transit to the abattoir must be maintained at the establishment for viewing at the inspector's discretion. Abattoirs are required to provide to an inspector the names of sellers who presented non-compliant loads or groups if requested.

B8. Rendering facilities, dead stock operations

CVS Task: 2109

Species subject to requirements: bison, bovine, ovine, pigs

Suggested verification time: 60 minutes per task excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that the profile of events reported (tag retirements, movement reporting, species, etc.) since the last verification is in line with the operation's volume and type of activities.

TRACE-19/2013-07-09. Policy: definition of "carcass". Under Part XV, other than in ss. 175.1(2), para. 186(1)(a) and ss. 186(2), any reference to the carcass of an animal or to a part of the carcass of an animal does not include any part of the carcass that is intended for human consumption. A decapitated carcass transported off-site does not need to be identified with an approved tag.

Identification of carcasses before being loaded for off-site disposal

The carcasses of bison, bovine and ovine must be identified with an approved tag before being transported for off-site disposal.

Carcasses bearing an approved tag

Under 187(1)(b), every person who disposes of the carcass of bison, bovine or ovine bearing an approved tag or an approved tag that has been revoked shall report the tag identification number to the responsible administrator's database. Failure to do so may result in an AMP being issued for a violation of para. 187(1)(b). This requirement applies to carcasses disposed of on-farm.

Carcasses not bearing an approved tag

Every person, including a renderer or dead stock operator, a post-mortem laboratory official or a veterinarian, who disposes of the carcass of a bison, bovine or ovine not bearing an approved

tag anywhere but on the farm of origin where the animal died shall report carcass disposal information to the responsible administrator within 30 days after disposing of the carcass. However, as the CLTS has not been designed to capture this information yet, the operators are only expected to keep a record for now (as required under para. 187(2)(a)).

Operators of rendering plants and dead stock operations are not required to apply an approved tag to carcasses of bison, bovine or ovine received* and not bearing an approved tag or bearing a revoked tag that they are disposing of.

S. 176 prohibits moving the carcass of bison, bovine or ovine which is not identified with an approved tag from the farm of origin or any other farm. Transporting or receiving* bison, bovine and ovine carcasses not bearing an approved tag is also a violation of s. 176 and 177.

Specific requirements for pig carcasses

There is no requirement to record or report the disposal of identified or non-identified pig carcasses. Moreover, there is no requirement to identify pig carcasses. When pig carcasses are being transported, a document must accompany the shipment and contain the following information: (a) the location of the departure site and the destination site; (b) the date and time that the conveyance carrying the carcasses or parts of carcasses left the departure site; and (c) the licence plate number or, if there is no licence plate, other identification of the conveyance.

Information on the movement of pig carcasses sent off-farm for disposal shall be reported to the responsible administrator within seven (7) days. Both the sender and receiver will report the location of the departure site and either the name of the operator of the destination site or the location of the destination site. The sender will also report the date that the conveyance carrying the carcasses or parts of carcasses left the departure site. The receiver will also report the date that the conveyance arrived at the destination site, and the licence plate number of the conveyance.

B9. Repealed section

B10. Importers

CVS Task: 2111

Species subject to requirements: bison, bovine, ovine, pig

Suggested verification time: 90 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that

the profile of events reported (tag orders, import reporting, species, etc.) for the past year is in line with the operation's volume and type of activities.

Sites to be inspected

Compliance verification should be conducted at the operation to which the foreign animals were imported. A list of operators who received an import permit is being kept in the Import-Export Information Systems of the Import-Export Section (National Headquarters). See Merlin for contact name. Compliance verification will be conducted for 25% of the livestock importers each year.

Alternatively, compliance verification could be conducted at ports of entry. The list of ports of entry is available on the Canadian Border Service Agency's website:

www.cbsa-asfc.gc.ca/do-rb/map-carte/map-carte-eng.html.

Requirements

Pursuant to ss. 189(3), bison, bovine and ovine imported for immediate slaughter do not require application of approved tags. The abattoir that receives such animals is expected to be able to keep separate accounting so that they are not construed to be non-compliant domestic shipments.

With respect to all other imported bison, bovine, ovine and pigs, in accordance with s. 189:

(i) Animals may be tagged prior to importation with tags approved by the Minister.

(ii) Animals which were exported do not need to be identified with an approved tag if they re-enter Canada bearing the approved tag borne by the animal at export.

(iii) If the animals are not bearing an approved tag prior to their importation, they must be identified with an approved tag immediately upon their arrival at their first destination⁴² by the importer. The importer must then report to the responsible administrator the tag identification numbers and the fact that the numbers relate to imported animals (from which country) to the database.

(iv) If the animal being imported bears an indicator of a foreign country, and the Minister determines that the indicator meets the criteria set out in subsection 173(2) and that the identification number on the indicator can be entered and tracked in the responsible administrator's database, the imported animal does not need to be re-identified with a Canadian approved tag.

⁴² That first destination includes any site, except an abattoir.

Ss. 189(2) requires the importer to report the identification number of the approved tag and the origin of the imported animal to the responsible administrator within 60 days after import for bison, 30 days for bovine, and seven (7) days for ovine, pigs and farmed wild boars.

In the case of pigs, the requirements are more detailed as the following must also be reported to the responsible administrator: (a) the location of the last site at which the pig was kept before it was imported, (b) the location to which the pig was imported, (c) the date on which the pig was received in Canada, and (d) the licence plate number of the conveyance by which the pig was imported.

Foreign indicators determined equivalent to an approved indicator

Under ss. 173(2), the following foreign indicators have been determined “equivalent” to Canadian approved indicators:

- Bison and bovine imported from a foreign country for purposes other than immediate slaughter and bearing half-duplex (HDX) or full-duplex (FDX) electronic ear tags with an official identification number following the ISO 11784 standard with a country code;
- Ovine imported from a foreign country for purposes other than immediate slaughter and bearing non-electronic or electronic [either half-duplex (HDX) or full-duplex (FDX)] ear tags with an official identification number following the ISO 11784 standard with a country code;
- Pigs and farmed wild boars imported from a foreign country and bearing non-electronic or electronic [either half-duplex (HDX) or full-duplex (FDX)] ear tags with an official identification number following the ISO 11784 standard with a country code;
- Pigs and farmed wild boars imported from the United States of America for immediate slaughter and bearing a slap tattoo with an identification number allocated to a herd or location and that is unique in Canada and the United States of America, and;
- Pigs and farmed wild boars imported from a foreign country for research, entertainment or for a person’s company identified with a sub-cutaneous microchip bearing an identification number meeting the ISO 11784 standard with country code or manufacturer’s code.

Animals bearing those indicators when imported in Canada do not need to be re-identified with a Canadian approved indicator. A foreign indicator considered equivalent to an approved indicator is considered as “approved” for the purposes of ss. 175(3) and sections 175.01, 175.1, 176 to 177.1, 179 to 181 and 186 to 188.

B11. Carriers

CVS Task: 2112

Species subject to requirements: bison, bovine, ovine, pigs

Suggested verification time: 60 minutes per task, excluding travel time

Para. 38(1)(a) of the *Health of Animals Act* provides an inspector with the authority to stop and inspect vehicles and their loads to ensure compliance with the *Health of Animals Regulations*. In the event that the carrier has bison, bovine and ovine or their carcasses not bearing an approved tag (subject to an AMP pursuant to ss. 177(1)), the inspector should request any information concerning the name and address of the owner or person who had possession, care or control when the animals were loaded. Such information must be made available when pigs are moved between farms and when pig carcasses are being transported. In the case of pigs, only those that have been bred or destined for fairs, auctions and test stations must bear an approved tag.

B12. Exporters

CVS Task: 2201

Species subject to requirements: bison, bovine, ovine, pigs

Suggested verification time: 60 minutes per task, excluding travel time

In preparation for the compliance verification and as part of the compliance assessment process, the inspector should query the responsible administrator's database and verify that the profile of events reported (tag orders, export reporting, species, etc.) for the past year is in line with the operation's volume and type of activities.

Sites to be inspected

Compliance verification should be conducted at the operation from which the animals were exported. A list of operators who received an export certificate is being kept by the district offices and the Import-Export Information Systems of the Import-Export Section (National Headquarters). See Merlin for contact name. Alternatively, the verification could be conducted by the district that endorsed the export certificate. In cases where non-compliances would be found, the file should then be forwarded to the district in which the exporter resides or conducts business. Compliance verification will be conducted for 25% of the livestock exporters each year⁴³.

TRACE-24/2014-07-01. Policy: identification of the last site where pigs were kept before being exported. Under para 188. (2)(d), "every person who exports pigs shall report (...) the

⁴³ The last statistics made available (2009) indicated there was no exporter of sheep.

identification numbers on the indicators approved by the importing country that have been applied to the pigs and that identify the last sites at which they were kept before they were exported." The policy is that exported pigs for feeding purposes shall be identified with the identification number of either (a) their site of last residence or (b) the site at which they were born (i.e., the farrowing barn). There is a low likelihood of any negative impacts from the deviation within the policy from the requirements of the Regulation, since the information as to the "true" last location would need to be reported as per paragraph 188(2)(a).

Requirements

All bison, bovine and ovine being exported must bear an approved tag. The requirement for the exporter to report information on exported animals to the responsible administrator's database applies to bovine, bison and pigs. Please note that animals must be reported as "exported" and not "retired", even though the animals are exported for immediate slaughter. The event "retired" is used by the regulated parties only to report the death or slaughter of an animal or receipt of its carcass bearing an approved tag.

Regulated parties may report a "temporary export" under CLTS. Once a temporarily exported animal returns to Canada, an "Imported" event can be applied to the tag number in the CLTS and the tag will move back into the importer's inventory.

The identification numbers of animals being exported (even temporarily) are to be reported to the database within 30 days of export for bovine and bison and within seven (7) days for pigs. Failure to do so can result in an AMP being issued to the exporter for a violation of s. 188. The identification number of the pigs being exported must be reported with the exception of culled breeding pigs exported for immediate slaughter from an assembly yard. All pigs being exported will be identified in a manner approved by the importing country.

TRACE-25/2014-07-01. Regulatory clarification: identification of exported pigs. It could be interpreted under ss. 175.01(7) that all pigs must be identified in order to be exported. Pigs exported from Canada do not need to be identified if there is no identification requirement from the importing country.

The exporter is not permitted to remove an approved tag from an animal being exported and replace it with another tag such as the *Health of Animals Act* tag.

The requirements below reflect the requirement and interpretation related to identification in Part XV. Additional import identification requirements or restrictions established by the USDA for the entry of Canadian animals into the U.S. must also be considered.

(i) Fed cattle or cows and bulls for immediate slaughter:

The onus for reporting is always on the exporter, however, it is acceptable for arrangements to be made with the abattoir of destination, whereby the abattoir reads and reports the numbers back to the Canadian database. In the case of fed cattle, it would also be acceptable if the feedlot reads and records all tags in a pen of cattle at some stage during the feeding process (induction, implant or other treatment) and reports the information to the database within 30 days of pen close out. The onus always remains with the exporter to ensure that any alternative arrangements are effective in providing the necessary information to the database.

(ii) All cattle:

Approved tags are to be read and recorded before export from Canada. Evidence that the tags have been read, forms part of the export documentation.

TRACE-33/2017-09-14. Regulatory clarification: reporting of an export event for an animal that wasn't exported. The requirement is for the exporter to report the approved tag number of any bison or bovine exported; the exporter shall only report the tag number of the animals that were indeed exported. Reporting as exported an animal that wasn't could mislead us in thinking an animal has left the country and jeopardize CFIA's tracing activities conducted in disease investigations.

There isn't a regulation that specifically states that an exporter must only report the identification numbers of the approved indicators of animals that were actually exported. However, reporting an export event for an animal that wasn't exported is indeed a violation of subsection 188(1).

B13. Tagging sites

CVS Task: 2202

Species subject to requirements: bovine, bison

Suggested verification time: 60 minutes per task, excluding travel time

Sites to be inspected

Tagging sites are approved by the responsible administrator. In order to be approved as a tagging site, the manager of that site has stated in writing to the responsible administrator that (a) the manager understands the specific requirements of tagging sites; and (b) the equipment and facilities at the site are adequate to enable the application of an approved tag to a bison or bovine without endangering its safety or the safety of the personnel at the site.

By policy, farms (except for feedlots), abattoirs, dead stock collection centres and rendering plants do not qualify to be approved tagging sites.

Should an inspector come across a situation where a regulated party has been approved as a tagging site by the responsible administrator but does not, based on our policy, qualify to be one, a Request for Action Form (RDIMS 6491746) should be sent for an OGE Participation Request. The OGE National Operations Specialist assigned to the file will follow up with CCIA. The responsibility of informing regulated parties that they do not qualify to be a tagging site lies with the responsible administrator.

As required under para. 183(1)(a), the list of tagging sites is available on the website of the CCIA at: http://www.canadaid.ca/dealers/tagging_sites.html.

Requirements

Live bovine or bison not bearing an approved tag may leave their farm of origin to a tagging site in order for an approved tag to be applied to the animal.

The approved tags applied to bison and bovine at tagging sites must be issued to the farm of origin. The operator of the tagging site may issue approved tags on behalf of the operator of the farm of origin; as such they would also be subject to task 2101.

If the approved tagging site is also an auction barn, the unidentified bovine or bison is considered to be in violation if it is presented for sale in the auction ring. No penalty would be issued to the producer for a violation of s. 176 where the facts show that the producer made arrangements with the tagging site to supply and apply the approved tag, but the approved tagging site failed to follow through on their commitment to tag the animal.

TRACE-08. Instructions: providing approved tags to the operator of a tagging site. Bovine or bison animals being transported from their farm of origin to an approved tagging site need not be tagged but the tags must accompany the animals. However, if the approved tagging site is also an approved tag distributor, the tags may be purchased upon arrival. The inspector should seek information supporting the claim for exemption from the carrier.

Under para. 183(2)(c), tagging sites must keep records of:

- the names and addresses of the owners or persons having the possession, care or control of the animals before the transportation of the animals to the site;
- the dates when the animals arrived at the site; and
- the identification numbers of the approved tags applied to the animals, and the dates of the application of those tags to the animals.

Tagging sites do not need to report this information to the database; however, they must provide this information upon the request of the responsible administrator or the CFIA inspector. If the approved tagging site does not maintain the records required, the CFIA

inspector shall document the non-compliance and report it to the responsible administrator so that the procedures to de-list the approved tagging site are initiated.

Annex C. Planned number of inspections

The following table provides a summary of the number of inspections planned to be conducted per year and in each of the CFIA Areas.

Table 4. Number of inspections planned to be conducted per year

Task #	Regulated Party	Number of Sites	Number of inspections per year				TOTAL
			West	Ontario	Quebec	Atlantic	
2101	Tag Distribution	500	375	95	5	25	500
2102	Farms, Ranches	95,105	722	121	91	16	951
2103	Farms (greater record-keeping requirements)	10,704	161	151	101	16	428
	<i>sheep</i>	3,924	60	58	31	9	157
	<i>pigs</i>	6,780	101	94	70	7	271
2104	Auctions	119	876	324	204	36	1,428
2106	Order buyers, dealers	10	3	3	3	1	10
2107	Fairs, test stations, rodeos, community pastures, laboratories, clinics	386	116	116	116	39	386
2108	Abattoirs (Federal-inspected)	48	1,040	416	936	104	2,496
2113	Abattoirs (Prov-inspected)	257	77	77	77	26	257
2114	Assembly Yards	50	360	132	84	12	600
2109	Rendering, dead stock facilities	23	48	16	20	8	92
2111	Importers	547	57	34	14	3	109
2112	Carriers	100	70	15	10	5	100
2201	Exporters	841	108	41	16	4	168
2202	Tagging Sites	274	1,572	314	0	117	2,004
2203	Feedlots	2,840	355	488	88	92	1,022
	GRAND TOTAL		5,940	2,344	1,765	504	10,552