

# **National Animal Identification System Request for Applications**

**United States Department of Agriculture (USDA)  
Animal and Plant Health Inspection Service (APHIS)  
Veterinary Services (VS)**

**Funding Opportunity Title:** Cooperative Agreements for National Animal Identification System

**Announcement Type:** Initial announcement

**Catalog of Federal Domestic Assistance Number:** 10.025, Plant and Animal Disease, Pest Control, and Animal Care

**Dates:** Applications must be received by July 15, 2004.

**Funding Description:** USDA is initiating implementation of the National Animal Identification System (NAIS) in 2004. The first priority of this implementation is to get the components of the national premises system in place in fiscal year 2004.

Funding will be provided to State and Native American tribal governments to support the initial implementation of the national premises identification system within the area the projects are administered. In addition to premises identification, projects may include the conduct of trials or research to develop, test and offer solutions for administering animal identification and collecting animal movement data. To meet the educational needs of livestock producers and processors, USDA will work in concert with States, organizations, and other stakeholders. Applications for cooperative agreement funding must include a plan for developing and/or utilizing established infrastructure for outreach purposes. Emphasis will be placed on coordinating with the beef, dairy, sheep and swine industries.

**Total Amount to be Awarded:** \$11,640,000

**Projects to be Awarded:** Approximately 20 Cooperative Agreements

**Eligibility:** States Governments  
Native American tribal governments (Federally recognized)

**Cost Sharing:** Cost sharing is not required, but preferred.

**Application and Submission:** An Applicant may submit only one application and/or be a third party in an application submitted by another State or Tribal government.

Applicants can apply through the Grants.gov website or submit paper applications to the address at the end of this announcement.

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## **I. Funding Opportunity Description**

### **A. Background**

The advent of increased animal disease outbreaks around the globe over the past decade, especially the recent BSE-positive cow found in Washington State, has intensified the public interest in developing a national animal identification program for safeguarding animal health. While there is currently no uniform national animal identification system in the United States for all animals of a given species, some segments of certain species are required to be identified as part of current program disease eradication activities. In addition, some significant regional voluntary identification programs are in place, and others are currently being developed and tested.

Fundamental to controlling any disease threat, foreign or domestic, to the nation's animal resources is to have a system that can identify individual animals or groups, the premises where they are located, and the date of entry to each premises. Further, in order to achieve optimal success in controlling or eradicating an animal health threat, the timely retrieval of this information and implementation of intervention strategies after confirmation of a disease outbreak is necessary.

### **B. USDA Approach**

Our goal is to create an effective, uniform, consistent, and efficient national system. We believe this goal can be achieved by adhering to several key objectives.

- First, the system should allow producers, to the extent possible, the flexibility to use current systems or adopt new ones.
- Second, this flexibility can best be achieved by having a system that is technology neutral, so that all existing forms of effective technologies and new forms of technologies that may be developed in the future may be utilized.
- Third, the national identification system must build upon national data standards to ensure a uniform and compatible system evolves.
- Fourth, the system must not preclude producers from being able to use it with production management systems that respond to market incentives.
- Fifth, the architecture for the national identification system must be designed so that the system does not unduly increase the role and size of the government.

USDA plans to move forward with implementation of a national animal identification system in 2004, first on a voluntary basis, and eventually, if necessary, with a requirement for premises and animal identification. The first priority is to get the components of the national premises system in place in fiscal year 2004 and begin allocating premise identification numbers to cooperating States and Tribes and certain other entities that are ready to register premises. We envision providing some funding through cooperative agreements to States and Tribes so they can

develop the capacity to interface with the national premises number allocator and data repositories. Funds may be used for staff resources needed to support the administration of the premises identification systems. Once cooperators have integrated with the national systems and premises are being registered, we will incorporate the administration of animal identification numbers into the system through these early cooperators.

The technologies used to identify and track movements of animals will be worked out through cooperative agreements with States and Tribes with the opportunity for stakeholders to have input in their overall focus.

A major component of implementing a national system will be educating livestock producers and processors as to how the system would operate and their responsibilities. To meet the educational needs of livestock producers and processors, USDA will need to work in concert with States, organizations, and other stakeholders. Applications for cooperative agreements explained in the following sections must include an outreach component.

Funds allocated through the Commodity Credit Corporation will be used to fund the initial projects this fiscal year (2004). It is recognized that current funds may not be sufficient to fully support each project. Consequently, cost sharing is encouraged. The interest in animal identification is well noted by the tremendous interest expressed from industry in these projects. Projects of merit, not funded through current funds, will be considered in the next fiscal year (FY 2005).

These agreements will each support the initial implementation of the national premises system within the area the projects are administered. Also, some projects in addition to premises identification may test other aspects of national animal identification systems and offer solutions to issues needing resolution.

### **C. Project Criteria**

The cooperative agreements will each support the initial implementation of the national premises system within the area the projects are administered. In addition to premises identification, projects may develop, test and offer solutions to issues described in Appendix A.

The USDA has established the primary data standards for the National Animal Identification System (NAIS). (See Appendix B.) The integration of these data standards in information systems at the State level and with industry identification programs/services is critical. USDA will support projects, to the extent possible, that:

- Include a plan for initiating the identification of premises in the State(s), reservations, etc., in which the project is based.
- Utilize systems that integrate with and establish the necessary data interfaces with the premises allocator, national premises repository, and national animal identification data base.
- Include a method for evaluating components of the identification system.

- Contain an outreach program for stakeholders to learn more about the identification system and that offer a plan to share experiences.

Additionally, it is preferred the projects:

- Have contributing funds, cost-shared by the applicant and/or in-kind contributions, including third party in-kind contributions.
- Involve multiple States or Tribes that include “grass roots” efforts and engage third-party service providers.
- Involve premises and animal identification of multiple species.
- Provide for the successful integration of identification and data collection systems that provide the necessary data for the national premises and animal identification data base.

#### **D. Project’s Merit**

The project application should offer merit relative to the implementation of national identification in several ways, including but not limited to the points explained below.

- Determine and demonstrate practical solutions for collecting the required data in multiple sectors of the industry (production, marketing, processing, etc.).
- Obtain experience and feedback of producers through their direct involvement (registration of premises, issuance of ID numbers, identifying animals, etc.).
- Provide a mechanism for communicating about the national identification plan, creating awareness of the program to producers and allied industry.
- Involve multiple companies, organizations, etc., that participate in production, processing and marketing to achieve the objectives.
- Identify an issue or potential obstacle that is going to be evaluated in the project and a plan to offer a solution.
- Address target issues identified by species working groups; in particular the practicality of collecting animal movement data throughout the production chain. (See Appendix A for more specifics.)

## **II. Award Information**

**A. Total Available Funds:** \$11,640,000

**B. Anticipated Number of Awards:** 20

Expected Amounts of Individual Awards: Approx. \$50,000 - \$1,000,000

Anticipated Start Date: September 2004

**C. Period of Performance:** 1 Year

**D. Type of Assistance Instrument:** Cooperative Agreement

**E. APHIS Role:** APHIS Veterinary Services will administer the Cooperative Agreements and will provide advice to the project administrator, track funding, receive and review progress reports, offer comments and suggestions, and will track project performance. APHIS personnel will meet with cooperators as often as necessary to ensure progress in accomplishing the goals of the project, identifying obstacles, and resolving concerns. APHIS will work closely with cooperators to develop the necessary interfaces with the national premises allocator and the national animal identification database.

### **III. Eligibility Information**

**A. Eligible Applicants:** The State Animal Health Authorities and Indian tribal governments may submit an application. In the event multiple States or Tribes work cooperatively as one project, one person from either a State or Tribe involved in the project must be responsible for the application for and administration of the agreement. This person will be referred to as the Project Administrator and will be the primary contact for the USDA. This person will also be the duly authorized representative who will sign the cooperative agreement application. The Project Administrator must submit an application in the format described in section IV.B.

Project Administrators whose projects are considered for funding on an individual basis will be required to complete the application for Federal Assistance for the official award of the cooperative agreement.

**B. Cost Sharing or Matching:** It is preferred that projects have contributing funds, cost-shared by the applicant or in-kind contributions, including third-party in-kind contributions.

### **IV. Application and Submission Information**

**A. Address to Request Application Package:** (IV.B., “Content and Form of Application Submission” contains the project application which outlines the format applicants need to use when applying. Paper copies of the other required application forms (SF-424, “Application for Federal Assistance”, SF-424A, “Budget Information – Non Construction Programs”, SF-424B, “Assurances – Non-construction Programs”, and SF-LLL, “Disclosure of Lobbying Activities”) can be requested from the following address:

USDA, APHIS, MRPBS, Agreements Services Center  
Eileen Berke  
4700 River Road, Unit 55, Station 4D13  
Riverdale, MD 20737

They can also be retrieved from the APHIS website at the following address:

<http://www.aphis.usda.gov/mrpbs/forms/grantforms.html>

If an applicant chooses to apply through Grants.gov, the SF-424, SF-424A, SF-424B, and SF-LLL (SF-LLL is required for Federal Assistance greater than \$100,000) can be filled out and submitted online. The application described in IV.B, “Content and Form of Application Submission” should then be submitted as an attachment.

## B. Content and Form of Application Submission

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### **National Animal Identification System (NAIS) Assessment & Initial Implementation Projects**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0255. The time required to complete this information collection is estimated to average 20 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

#### **APPLICATION**

##### **Cover Page**

Name of Project:

Project Administrator:

Name of State or Tribal Government:

Address:

City, State, Zip:

Office Phone:

Cell Phone:

Fax:

Email address (Project Administrator):

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List additional State departments, Tribes, etc. that have confirmed participating in the project (complete name, address, etc.)

States and Tribes may apply for one of the following categories of projects. Please check which type of project your proposal includes:

- Premises Identification Only
- Premises Identification with a Field Trial/Research component

The information that applies to Field Trials/Research in the application is to be disregarded by applicants submitting "Premises Identification Only" projects. Such applications will be evaluated on their merit, not in comparison to those with a Field Trial/Research component.

**Signature of Project Administrator:** \_\_\_\_\_

**Date:** \_\_\_\_\_

*Please complete each section explained on the following pages and maintain the numbering format on your application. Section V, "Application Review Information" provides more details on the information requested and how it will be used to evaluate/select applications for funding.*

### **Stakeholder Participation and Focus**

#### **A. Stakeholder Participation**

Please provide a list of the organizations involved in the project and explain their role/involvement:

1. Producer, processor/marketing organizations
2. Government
3. Academia and/or Extension
4. Third party service providers (companies that provide services to producers)
5. Other

#### **B. Industry Focus**

1. List the livestock types that will be a significant part of the project and estimated count for each:

Beef:                  Dairy:                  Pigs:                  Sheep:  
Other (list):

2. List the sectors of the production/marketing/processing industry involved and an approximate number participating from each (explain their involvement in the "Industry Roles" section):

Producers:                  Markets:                  Order Buyers:  
Feed Lots:                  Transportation:                  Packing Plants:  
Other (list):

### **Overall Merit of the Project**

#### **A. Introduction/Summary**

Provide an overview of the project and information you feel will help others appreciate the value of the project.

#### **B. Objectives, Purpose, and Desired Results**

1. Briefly state and clearly and thoroughly explain the objective and purposes of the project; why it is critical to the successful implementation of the national identification system in your area.
2. What problems and/or questions regarding the implementation of the national identification system does the project intend to resolve (if applicable)?

3. What are the desired results; what do you hope to achieve through the project, how will the results of the project be of merit to the overall implementation of NAIS?
4. Explain how the applicant and industry will benefit from the project.

### C. Components

Indicate which of the following components of the national identification system will be contained in the project and explain how the components will be integrated into the project.

1. Premises Identification (required)
  - a. State premises system (explain what system will be used)
  - b. Plan (logistics) for the registration of premises
2. Animal Identification (if applicable)
  - a. Individual animal
  - b. Group/Lot identification
3. Tracking (if applicable)
  - a. Individual animal
  - b. Group/Lot tracking
4. Field Trials/Research (if applicable)
  - a. Testing recommended protocols and procedures
  - b. Developing solutions for unknowns, in particular related to the integration of a data collection system for reporting animal movements.

### D. Industry Roles

Explain how each sector listed in B.2, “Industry Focus” under “Stakeholder Participation and Focus”, will be involved in the project. What issues and/or challenges will be targeted and what will be achieved in each sector?

### E. Communication Plan (required)

1. Explain how the project supports the outreach efforts of USDA, APHIS. Explain the networking infrastructure that will be utilized to achieve the outreach program. Explain how the industry will gain a better understanding of NAIS and how the communication effort will be coordinated in the state/region.
2. Obtain feedback from stakeholders and explain how feedback will be shared with the USDA, APHIS.

## **Project Administration**

### A. Milestones/Time Tables and Performance Measures

Define the major milestones for the project and provide a target date for achieving each milestone.

List the specific performance measures that will be used to evaluate the success of the project and how each element will be measured. Include short-term goals for premises identification and projections for completing premises registration in the State(s) and other measures that reflect objectives of the project.

### B. Budget

Provide budget details that reflect the expenditures for the project presented (or that will be presented) on Standard Form 424A.

Note: The project funds are to be obligated by APHIS during FY 2004 and will be available for cooperator expenditures incurred within twelve months.

**The following forms must be submitted with the “Assessment and Initial Implementation Projects” Application (above):**

- **Application for Federal Assistance:** Standard Form 424
  - **Budget Information:** Standard Form 424A
  - **Assurances – Non-construction Programs:** Standard Form 424B
  - **Disclosure of Lobbying Activities:** SF-LLL
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### **C. Submission Dates and Times:**

- **Deadline:** 4:30 EST, July 15, 2004  
Applications received after the deadline will not be reviewed or considered.
- **Evaluation and Selection**  
The evaluation and selection of applications will be conducted within 30 days of the application deadline. Following the selection process, all applicants will be notified whether their application will be funded.
- **Allocation of Funds**  
Funds will be allocated for a twelve-month period beginning on the date indicated in the Notice of Award.

### **D. Intergovernmental Review**

CFDA 10.025 is subject to Executive Order 12372, “Intergovernmental Review of Federal Programs” in the States of: Arkansas, Delaware, District of Columbia, Georgia, Illinois, Iowa,

Kentucky, Maine, Maryland, Michigan, Mississippi, Missouri, Nevada, New Hampshire, North Dakota, South Carolina, Texas, Utah, and West Virginia. Awards will not be made until this process has been completed in the applicable states. Names and addresses of States' Single Point of Contact (SPOC) are listed in the Office of Management and Budget's home page at: <http://www.whitehouse.gov/omb/grants/spoc.html>. For those applicants that have this process in their state, submit your application to the SPOC simultaneously to submitting to APHIS. Failure to meet with this requirement will result in a rejection of your application. A copy of the SPOC receipt and approval letter will be required at the time the award is made.

## **E. Funding Restrictions**

Project funds must be obligated by the recipient within 12 months from the date the funds are made available by APHIS (the date of approval on the Notice of Award) unless otherwise stated for a lesser period in the Notice of Award. Extensions of time to obligate funds beyond the one-year period will not be granted. Construction, including renovations of real property, is not authorized.

The applicant must submit a copy of its fully executed current Negotiated Indirect Cost Rate Agreement, negotiated by its cognizant Federal agency, when indirect costs are assessed in the budget. Each Indian tribal government desiring reimbursement of indirect costs must submit its indirect cost proposal to the Department of the Interior (its cognizant Federal agency).

## **F. Other Submission Requirements**

Applicants can apply to this funding opportunity through Grants.gov. First time Grants.gov users should go to the "Get Started" tab on the Grants.gov site and carefully read and follow the steps listed in order to apply. Your organization will need to be registered with Central Contractor Registry (CCR). In order to register with the Central Contractor Registry, a requirement for registering with Grants.gov, your organization will need a Data Universal Number System ( DUNS ) Number . A DUNS number is a unique nine-character identification number provided by the commercial company, [Dun & Bradstreet \(D&B\)](#). To investigate if your organization already has a DUNS number or to obtain a DUNS number, contact Dun & Bradstreet at 1-866-705-5711. Be sure to complete the Marketing Partner ID (MPIN) and Electronic Business Primary Point of Contact fields during the CCR registration process. These are mandatory fields that are required when submitting grant applications through Grants.gov.

**Please note: The DUNS and CCR requirements described above are applicable to all applicants whether you choose to apply through Grants.gov or submit a paper application package.**

Applications must be received through Grants.gov or at the address below by close of business on the closing date indicated in IV. C., "Submission Dates and Times".

Applications may be submitted electronically in MS Word or PDF format (email or delivered electronic media) or one original paper application package to:

USDA APHIS VS  
 c/o Neil Hammerschmidt, NAIS Coordinator  
 National Center for Animal Health Programs  
 4700 River Road – Unit 43, Suite 3A54  
 Riverdale, MD 20737  
[neil.e.hammerschmidt@aphis.usda.gov](mailto:neil.e.hammerschmidt@aphis.usda.gov)

## V. Application Review Information

### A. Criteria

#### 1. Summary of Score Sheet

The summary below reflects the weightings that will be used to evaluate each application.

CATEGORY	Points	
	Sub Category	Total Category
<b><u>Stakeholder Participation and Focus</u></b>		<b>100</b>
A. List of Stakeholders Participating	25	
B. Industry Focus	75	
<b><u>Overall Merit of Project</u></b>		<b>600</b>
A. Introduction and Summary	25	
B. Objectives	150	
C. Components	225	
D. Industry Roles	125	
E. Communication Plan	75	
<b><u>Project Administration</u></b>		<b>300</b>
A. Milestones/Time Tables and Performance Measures	125	
B. Budget	175	
	<b>Total</b>	<b>1000</b>

## **2. Explanation of Evaluation Relative to Information Requirements**

The following provides an explanation on how the applications will be evaluated and clarification of information to be provided by the applicant in preparing the application. The explanations reflect what information is to be supplied to receive a higher portion of the points possible for the category and are in the same sequence as the application form for ease of reference.

### **Stakeholder Participation and Focus** (100)

Provide a summary list of the organizations and segments of the industry involved in the project.

#### **A. List of Stakeholders Participating** (25)

Provide a summary of the stakeholders who will be involved; include only those who will have a significant role in the project. Broad participation of stakeholder groups will receive a higher rating in this area.

*Note: More information relative to their role and importance of their involvement is to be contained in Section II.D of the application. Therefore, the participation of broad industry involvement is weighted significantly when evaluating the applications.*

#### **B. Industry Focus** (75)

Realistically project the number of animals by species that will be included in the project. Also, indicate the number of premises (production units, markets, feedlots, packing plants, etc.) and non-producer participants (identification companies, service providers, etc.) who will have a role in the project. Projects with multiple species (premises and/or animals) are preferred.

### **Overall Merit of Project** (600)

The merit and value of the project as it relates to the assessment and initial implementation of the national identification system is the most important section when evaluated for consideration.

#### **A. Introduction and Summary** (25)

Provide a brief overview of the project, highlighting its significance and how it will enhance the implementation of the national identification program.

#### **B. Objectives, Purpose, and Desired Results** (150)

Clearly explain the objectives of the project. Thoroughly respond to each question/statement as listed in the Application, beginning on page 7 of this announcement.

### C. Components (225)

The primary components of the national identification system include Premises Identification and Animal Identification/Tracking. Additional components for the projects include communication/outreach and field trials (research).

Premises Identification: The implementation of premises identification in accordance with the national standards is required for an application to be considered for funding. The application should indicate what premises system will be used to register the premises. Additionally, it should contain an explanation as to how the premises will be identified during the duration of the cooperative agreement and how this project will support the eventual registration of all premises in their area. Industry partnerships that support the registration of premises are important and considered a plus in the evaluation process.

Animal Identification/Tracking: Applicants may include the animal identification component. If so, explain how individual and/or group/lot identification of animals will be incorporated into the project.

Tracking animals or collecting animal movement data is also optional. Such activities should demonstrate the integration of systems to collect and submit the animal movement records and required data to the national system.

Field Trial/Research: Applicants may include a field trial/research component. Such projects may focus on the testing of protocols and procedures that are being recommended for NAIS to determine their practicality. Also developing or further testing the integration of solutions for data collection is a valid activity.

Other issues that support the advancement of NAIS may also be targeted in the field trial/research projects. For example, issues relative to data collection of animal movements that need to be resolved may be targeted. Be sure to explain the environment(s) for which a solution would be developed and explain how the trial will be implemented. Of particular merit are the topics/issues the Species Working Groups listed as needing testing or further development. (See Addendum A).

### D. Industry Roles (125)

Broad industry participation is important. The applicant should explain the role of each industry segment listed in section B. "Industry Focus", under "Stakeholder Participation and Focus". The majority of the scoring emphasis in this section pertains to the degree of involvement of various segments of the production/processing industry. Applicants should expand upon the roles of each participating industry segment. Projects that include testing and development of solutions should clearly account for the sectors that will be engaged in such activity and explain the issues that will be addressed.

### E. Communication Plan (75)

The project must include an outreach component that supports the national effort with USDA APHIS. Explain the networking infrastructure (producer organizations, extension, etc.) that will be utilized to achieve the outreach program. Funds should not be used to develop an independent outreach program as USDA APHIS will develop and provide

informational pieces. Rather, the cooperator should identify and describe existing resources to “deliver” the message and materials. Explain how the industry will gain a better understanding of NAIS and how the communication effort will be coordinated in the state/region. Also, explain how feedback will be shared with the USDA, APHIS to improve future communication efforts.

### **Project Administration** (300)

#### **A. Milestones/Time Tables and Performance Measures** (125)

Establish and present milestones (key activities) with target dates for accomplishing each. The milestones must correlate to the project’s objectives and desired results.

The application must provide specific measurable objectives in the proposal, including initial implementation goals. This information will be a priority in the evaluation of the application. The specific performance measures will be used to evaluate the success of the project. Include how each element will be measured; in particular, include short-term goals for premises identification and projections for completing premises registration in the State(s) and Tribe(s). It is critical for the application to have well defined performance measures.

#### **B. Budget** (175)

This section is to more thoroughly explain the budget information presented on the Budget Information Standard Form 424A. Budgets must include only those costs that are allocable and allowable per OMB Circular A-87, “Cost Principles for State, Local, and Indian Tribal Governments” available at [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). Well documented budgets that reflect how significant costs and in-kind contributions were estimated will receive higher evaluations. Applicants who reflect significant cost sharing, including third party in-kind contributions, will receive prioritization. In-kind contributions may include the volunteer time of producers, integrators, etc.

*Note: The duplication of projects with the same objectives will be prevented by selecting the project with the more advanced/complete proposal; in particular, how the results will be measured. In other cases, the Project Administrators may be asked to consolidate their proposals into one project.*

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## **B. Review and Selection Process**

USDA, APHIS, VS is responsible for the selection of projects that will be funded through cooperative agreements. A selection panel will be established to participate in the evaluation and selection process. The panel will be selected by the APHIS Administrator and will consist of individuals primarily from APHIS and may include individuals from other agencies. Individuals will be selected based on their knowledge of animal identification issues, animal production and marketing environments, and of national animal identification plans developed through the collaborative effort of industry and government. Individuals on the panel will have no

association with any project that is being reviewed. VS has final authority in determining which projects are selected to receive funding for this initiative.

## **V. Award Administration Information**

### **A. Award Notice**

Applications selected for funding will be notified by email or phone after the selection process is complete (approximately August 14, 2004) followed by the mailing of the notice of award (approximately 10 days after the email notification). The signature of the authorized agent and receipt of the notice of award by APHIS for final signature will initiate the cooperative agreement. A letter will be mailed to all other applicants on approximately the same date the selected applicants are first notified.

### **B. Administrative and National Policy Requirements**

Access privileges to national databases provided to cooperators by APHIS will be given only to specific individuals specified in the agreements and must not be shared with any other individual, organization, company, or other entity. Animal health data specified under the agreement that are collected under the terms of the agreement are to be provided to APHIS in accordance with the data transfer protocols required by the national databases.

Successful applicants must comply with the requirements contained in the United States Department of Agriculture "Uniform Federal Assistance Regulations", 7 CFR 3015; "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 7 CFR 3016; in addition to "Governmentwide Debarment and Suspension (Non-Procurement)", 7 CFR 3017; "Governmentwide Requirements for Drug-Free Workplace", 7 CFR 3021; "New Restrictions on Lobbying," 7 CFR 3018; and Office of Management and Budget regulations governing "Controlling Paperwork Burdens on the Public", 5 CFR 1320.

### **C. Reporting**

The Project Administrator will provide to the APHIS authorized representative **quarterly** accomplishment reports on program activities outlined in this application. The reports will be used by APHIS to verify compliance with provisions of this **Agreement**. These reports are due **no later than 30 days** after the end of each Federal fiscal quarter except the final report which is due **no later than 90 days** after the **Agreement** expires or terminates.

The Project Administrator will provide to the APHIS authorized representative a properly certified **quarterly** Financial Status Report, SF-269, **no later than 30 days** after the end of each Federal fiscal quarter and a final SF-269 **no later than 90 days** after the **Agreement** expires or terminates. Any requests for an extension of time to submit the SF-269 must be made in writing to APHIS' authorized representative before expiration of the initial 30 or 90 day period allowed for submitting the report. Extensions of time to submit the SF-269 are subject to the discretion of APHIS' authorized representative and, if allowed, shall be provided by the authorized representative in writing.

## **VII. Agency Contacts**

For questions of programmatic content, please contact:

Neil Hammerschmidt  
APHIS, Veterinary Services  
Ph. 301-734-5571  
Fax 301-734-7964  
Neil. E. Hammerschmidt@aphis.usda.gov

For administrative questions, please contact:

Eileen Berke  
APHIS, Agreements Services Center  
Ph. 301-734-8330  
Fax 301-734-8064  
Eileen.M.Berke@aphis.usda.gov

## **VIII. Other Information**

It is anticipated that the FY 2005 Federal budget will contain funds for additional Cooperative Agreements that will follow requirements similar to this Request for Applications. The USDA is not obligated to make any award as a result of this announcement. Only the APHIS Authorized Departmental Officer (ADO) can bind the Government to expenditure of funds.

## **Appendix A: NAIS Cooperative Agreement Priorities**

### **General**

- Determine the economic impact the implementation of NAIS will have on the various segments of the livestock industry.
- Demonstrate the performance standards necessary for ID devices to best meet the data collection needs for animal health management.
- Demonstrate the effectiveness of animal identification methodologies to enhance disease surveillance and control.
- Demonstrate the value of a distributed database system versus a central database system using the criteria of data quality, economics, security, confidentiality and access.

### **Premises Validation Testing**

- Establish and demonstrate the premises allocation system, including but not limited to, conversions of current state premises systems to the NAIS national standard premises system.
- Establish and demonstrate systems to identify/register premises and validate the associated premises information.
- Demonstrate systems that will provide for continuous updating of premises databases.
- Demonstrate the integration of existing Brand State ID systems within the NAIS.

### **Individual Identification and Tracking Validation Testing**

- Demonstrate the need and protocol used for "official identification sites" that identify livestock on behalf of the responsible party as the livestock enters such premises.
- Document the associated cost of identification animals at official identification sites, certified private identification companies and livestock auctions, (e.g. logistical flow, labor, liability for injury to man and beast, shrink, etc.).
- Demonstrate the systems ability to maintain normal animal flow through livestock auctions and subsequent premises while reporting animal movement data.
- Demonstrate protocol for dealing with non-compliant premises and animal ID.
- Demonstrate the value of State Brand Inspection Programs to support the implementation of the NAIS.
- Demonstrate recording / reporting animal movement protocol for video auctions.
- Outline the responsibilities of the "order buyer" in recording /reporting post-auction sorts and subsequent movements to new premises.
- Demonstrate protocol and ID requirements (brand vs. group / lot vs. individual) for recording / reporting the movement of animals from private to public land grazing (intrastate vs. interstate and commingled vs. non-commingled).
- Document the number of retags that occur as cattle move through the marketing system due to failures in readability, retention and durability.
- Demonstrate the tracking of retail tag sales and associated cost for AIN managers.
- Determine the feasibility and practicality of incorporating the commercial transportation industry for collecting animal movement data.
- Demonstrate the effectiveness of premises identification of individual animals for disease traceback purposes.

**Group/lot Identification**

- Demonstrate the effectiveness of premises identification of groups/lots for animal health management.
- Demonstrate the effectiveness of group/lot identification for animal health management.

## Appendix B: NAIS Data Standards

*Note: The NAIS Technical and Reference Supplement with file format definitions, interface specifications, etc., is available upon request from the agency program contact. (See page16.)*

- **Premises Identification Number**

The National Premises Identification Number provides a nationally unique number for each premises (location) involved in animal agriculture and is defined below.

Field Structure	Type	Example	Comments
7 Character	Alphanumeric	A123R69	Right most character is a check digit

- **Non-Producer Participant Number**

The NAIS provides for the establishment of Non-Producer Participants who will be involved in the program, but do not manage or hold livestock. The Non-Producer Participant Number is a unique 7-character field as presented in the following chart.

Field Structure	Type	Example	Comments
7	Alphanumeric	H892345	USDA will allocate unique numbers to approved Non-Producer Participants using the same system used for allocating premises identification numbers.

- **Animal Identification Numbering System**

The national numbering system for individual animals is referred to as the Animal Identification Numbering (AIN) System. The format (field specifications) of the AIN is defined below.

Field Structure	Type	Example	Comments
3	Numeric	840	ISO 3166 Country code for USA
12	Numeric	123456789012	Start number > 002,000,000,000

*Note: Other identification numbering systems defined in the Code of Federal Regulations remain official through a transition period.*

- **Group/Lot Identification Number**

Group/Lot ID will consist of the National Premises Identification Number of the location where the group was established and a six digit numerical number reflecting the date the group was created. This format will result in a unique number, for example: A234567100302.

Field Structure	Type	Example	Comments
7	Alphanumeric	A234567	First 7 characters is the entity's US Premises ID Number
6	Date (MMDDYY)	100302	

Group/Lot ID is an option for any species in which animals move as a group through the production chain.

- **Premises Identification Systems**

The Premises Identification systems will collect and maintain the following information and submit the required data to the National Premises Repository.

Data Elements – Premises Identification Database		
Field Name	Type	Length
US Premises ID Number	Alphanumeric	7
Name of Entity	Alphanumeric	30
Owner or Appropriate Contact Person*	Alphanumeric	30
Street Address	Alphanumeric	30
City	Alphanumeric	20
State	Alpha	2
Zip/Postal Code	Numeric	9
Contact Phone Number	Numeric	15
Operation Type	Character	1
Date Activated	Date (YYYYMMDD)	8
Date Retired	Date (YYYYMMDD)	8
Reason Retired	Alphanumeric	1
Historic Data**		
Previous Contact Person	Alphanumeric	30
Previous Contact Person Phone	Numeric	15
Previous Contact Person - Start Date	Date (YYYYMMDD)	8
Previous Contact Person - End Date	Date (YYYYMMDD)	8
GPS		
Longitude	Numeric (5 decimals)	7
Latitude	Numeric (5 decimals)	7
Alternative Phone Numbers **	Numeric	15
<p>* The contact person should be the person with whom the animal health official is to communicate with when performing a traceback (as determined by the entity).</p> <p>** Requires facility to store multiple records.</p>		

- **Premises Upload Record Format**

The following format describes the file that each Premises Identification System will utilize to update records to the National Premises Repository. The file naming convention is defined as:

Non-producer Participant ID number+YYYYMMDDHHMMSS time stamp and .PRM file extension. For example: X23456720030801032312.PRM

<b>Premises Upload Record Format (File: Prem #1)</b>				
<b>File Header Record (One Record)</b>				
No.	Field Description	Data Type	Size	Example
1	Non-producer Participant Number	Character	7	X234567
2	Transmission Date	Numeric	12	YYYYMMDDHHMM
3	Record Count	Numeric	8	100
4	E-mail Address	Character	60	Bill.smith@Dataprovider.com
<b>Record Description (Multiple Records)</b>				
No.	Field Description	Data Type	Size	Example
1	Premises ID Number	Character	7	T234W67
2	Name of Entity	Character	30	
3	Owner or Appropriate Contact Person	Character	30	
4	Street Address	Character	30	
5	City	Character	20	
6	State	Character	2	
7	Zip/Postal Code	Numeric	9	
8	Operation Type	Character	1	(M for Market, etc.)
9	Contact Phone Number	Numeric	15	
10	Date Activated	Character	8	YYYYMMDD
11	Date Retired	Character	8	YYYYMMDD
12	Reason Retired	Character	1	

- **AIN/Animal Transaction Record**

Animal records submitted to the National Animal Identification database will utilize the following file format specifications. The file naming convention is defined as:

Non-producer Participant ID number+YYYYMMDDHHMMSS time stamp and .IND file extension. For example: X23456720030801032312.IND

## AIN/Animal Transaction Record (File: ID #1)

### File Header Record (One Record)

No.	Field Description	Data Type	Size	Example
1	Non-producer Participant Number	Character	7	X123456
2	Transmission Date	Numeric	12	YYYYMMDDHHMM
3	Record Count	Numeric	8	100
4	E-mail Address	Character	60	bill.smith@Dataprovider.com

### Record Description (Multiple Records)

Field No.	Field Description	Data Type	Size	Required	Example
1	Event Type Code	Numeric	2	Y	1
2	Sighting/Reporting Premises ID	Character	7	Y	
3	Source/Destination Premises ID	Character	7	N	
4	Event Date & Time	Numeric	12	Y	YYYYMMDDHHMM 200308011223
5	AIN Number Used	Boolean	1	Y	0 (False) / 1 (True, then Field 6 is required, default)
6	Animal ID number	Numeric	15	Y	Until AIN number is the only approved animal ID identifier, Other official ID numbers need to be reported in fields 15 thru 18
7	Species	Character	3	N	
8	ID Electronically Read	Boolean	1	Y	0 (False default) / 1 (True)
9	Animal Date of Birth	Character	8	N	YYYYMMDD 20020101
10	Age of Animal	Character	3	N	(M)onth, (D)ay, (Y)ear i.e. M11
11	Sex	Character	1	N	(M)ale, (F)emale, (C)astrated/neutered male, (S)payed/neutered female
12	Breed of Animal	Character	2	N	See document Breed codes US and Can1.pdf
13	Remarks	Character	50	N	Description/other comments
14	Status	Character	1	N	(C)orrection
15	Alternate Animal ID 1	Character	17	N	Alternate pre-existing official Identification number if AIN not available, Lot ID number if animal has AIN number and was moved out of a lot, old AIN number if tag replaced
16	Alternate Animal ID Type 1	Character	1	N	(A)merican ID, (U)SDA eartag, (R)FID, (B)reed registry number, (L)ot number, (T)attoo, required if Alternate ID (field 15) is provided, R(E)placement AIN number if event code 6 used
17	Alternate Animal ID 2	Character	17	N	Second alternate pre-existing official Identification number if AIN not available, or Lot ID number if animal has AIN number and was moved out of a lot
18	Alternate Animal ID Type 2	Character	1	N	(A)merican ID, (U)SDA eartag, (R)FID, (B)reed registry number, (L)ot number, (T)attoo, required if Alternate ID (field 17) is provided

Record format: Comma delimited, double quotes around fields that include a comma terminate a record with an EOL character and the file with an EOF character.

- **Group/Lot Movement Record**

Group/Lot records submitted to the National Animal Identification database will utilize the following file format specifications. The file naming convention is defined as:

Non-producer Participant ID number+YYYYMMDDHHMMSS time stamp and .LOT file extension.  
For example: X23456720030801032312.LOT

<b>Group/Lot Movement Record Format(File: ID #2)</b>					
<b>File Header Record (One Record)</b>					
No.	Field Description	Data Type	Size	Example	
1	Non-producer Participant Number (source of data)	Character	7	X123456	
2	Transmission Date	Numeric	12	YYYYMMDDHHMM	
3	Record Count	Numeric	8	100	
4	E-mail Address	Character	60	bill.smith@Dataprovider.com	
<b>Record Description (Multiple Records)</b>					
Field No.	Field Description	Data Type	Size	Required	Example
1	Event Type Code	Numeric	2	Y	1
2	Premises ID	Character	7	Y (Required when event code is 2, 3, or 4)	
3	Event Date & Time	Numeric	12	Y	YYYYMMDDHHMM 200308011223
4	Lot ID number	Character	13	Y	G/L ID number is comprised of Premises ID and date the lot was established
5	G/L Subset Identifier	Character	30	N	Used to identify subset such as a barn
6	Group Type	Character	1	Y	(S)tatic, (D)ynamic
7	Species	Character	3	Y	
8	Event Remark	Character	50	N	
9	Status	Character	1	N	(C)orrection

Record format: Comma delimited, double quotes around fields that include a comma terminate a record with an EOL character and the file with an EOF character.

Note: The NAIS Technical and Reference Supplement is available upon request from the agency program contact. (See page16.)