



## Biosecurity - Stock Identification – Managing Statuses, Errors and Data Transfers on the National Livestock Identification System Database

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### Management of biosecurity risk

This document describes procedures for assigning and managing statuses, correcting errors and performing special data transfers on the National Livestock Identification System (NLIS) database.

Relevant information about the movement of livestock must be provided to the NLIS administrator of the NLIS register as required by the Biosecurity (National Livestock Identification System) Regulation 2017 (NLIS Regulation).

The NLIS administrator is Integrity Systems Company Limited (formerly NLIS Ltd) and the NLIS register is the NLIS database. The NLIS database provides a wide range of functions for assigning and managing disease, residue, ownership and commercial risk statuses, and for correcting errors on the database.

This document details a number of tools and procedures that are available to enhance the traceability of livestock and the benefits of the NLIS. Selected procedures for managing statuses and correcting errors on the NLIS database are listed in section 11 (Documentation).

### Scope

This procedure applies to NSW Department of Primary Industries (NSW DPI), an office within the NSW Department of Industry, and Local Land Services (LLS) involved in the administration, implementation and management of the NLIS in NSW.

### Biosecurity legislation summary

The NLIS is Australia's permanent whole-of-life identification system which aims to ensure individual cattle, sheep and goats, and pigs can be traced from property of birth to slaughter for biosecurity, food safety, product integrity and market access purposes.

The NLIS is underpinned by State/Territory legislation, which forms the regulatory framework for the system. The NLIS is endorsed and supported by all sectors of the cattle, sheep and goats and pig industries including producer, stock and station agent, saleyard, feedlot and processor peak industry bodies.

Any person who deals with cattle, sheep, goats and pigs and who knows or ought to know of the biosecurity risks associated with these livestock has a general biosecurity duty to take measures to prevent, eliminate or minimise the risk as far as is reasonably practicable. The general biosecurity duty can be discharged by following the NLIS Regulation, Industry Standards or by following other advisory or education material.

The collection, use and disclosure of information in accordance with this procedure, including any internal or external discussion or distribution of information, must be in compliance with the *Privacy and Personal Information Protection Act 1998* or be exempted by the operation of section 387 of the Act.

Section 387 (2) of the Act provides authority for the disclosure of information about a person, without the consent of the person: to a public sector agency, or to any other person, but only if the disclosure is reasonably necessary for the purpose of exercising a biosecurity risk function.

### **Workhealth and Safety**

The *Work Health and Safety Act 2011* places an obligation on the agency (NSW DPI and LLS) as a person conducting a business or undertaking and workers to provide a safe and healthy workplace. Safe Work Method Statements that support activities included in this policy must be used in identifying, assessing and controlling risks.

NSW DPI and LLS will work together to create a safe and supportive work environment when undertaking any activities for this procedure.

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# Stock Identification – Managing Statuses, Errors and Data Transfers on the NLIS Database Procedure

## 1. Roles and responsibilities

### 1.1 NSW DPI Biosecurity Intelligence Support (BIS) Officer

- assigns approved property identification code (PIC) and device statuses
- investigates from the database notifications of movements of devices of regulatory interest
- performs TAGTRANS on request
- performs approved third party transfers
- investigates and correct misreads and errors
- investigates incorrect transfers and process approved rollbacks.

### 1.2 NSW DPI Senior Veterinary Officer, Veterinary Officer or program coordinators

- endorse some status changes
- endorse transfers of devices with statuses and requests for rollbacks if required
- coordinate field investigations.

### 1.3 LLS Authorised Officers and District Registrars

- investigate transfers of animals/devices of regulatory interest (eg imported or RAM-fed cattle; lost device; transfer from cancelled PIC) where required
- investigate misreads and requests for rollbacks where required
- endorse and perform TAGTRANS
- perform approved third party transfers.

## 2. Statuses

The NLIS database can record a range of statuses against PICs and individual NLIS devices to allow movements of animals of interest to industry or regulatory authorities to be flagged and more closely monitored and appropriate action taken. Examples of this include the immediate notification to police if a stolen animal is traded, or to abattoirs prior to slaughter (early warning status) if an animal needs to be tested and cohorts held for residue testing, or when an animal that is being monitored by authorities (eg imported cattle from the European Union) are moved.

The extended residue program (ERP) query signifies a PIC's chemical or antibacterial residue status and can be run on the NLIS database. This query checks for devices that have been assigned any of the following statuses which are summarised in the following table.

Table 1: Information provided by running an extended residue program (ERP) query

Program Code	Status code prefixes	Use
OC, NORM	C, T, R, M, N1 (F&V), N2 (F&V)	National Organochlorine Residue Management (NORM) program
LPA	NL2	Assigned to devices that have moved to an LPA A or LPA A1 PIC, from a non LPA PIC with an OC status, and have resided on the LPA A or LPA A1 PIC for less than 6 months.
NARM	K1 (F&V), K3	National Antibacterial Residue Management (NARM) program
LEAD	PB	Cattle under restrictions due to lead residue (PB1, PB2)
NLS	R, D, L, S, RC, IA	Replaced, damaged/destroyed, lost or stolen devices or cattle, devices previously recovered from abattoir for re-use, inactive devices
DOI	DN	Devices of interest for surveillance of livestock movements
AV	AV, AQ	Cattle vaccinated against anthrax (AV1, AV2) or quarantined for anthrax (AQ)

FMD	FM	Assigned to cattle that have been naturally infected with foot and mouth disease and are not suitable for human consumption(FMI), Assigned to cattle that have been vaccinated against foot and mouth disease and are not suitable for human consumption (FMV)
BB	BBV	Assigned to cattle that have been vaccinated against bovine brucellosis and are not suitable for human consumption
BTV	BTV	Assigned to cattle that have been vaccinated against Bluetongue Virus and are not suitable for human consumption
RVF	RVV, RVI	Assigned to cattle that have been naturally infected with Rift Valley Fever and are not suitable for human consumption (RVI), Assigned to cattle that have been vaccinated against Rift Valley Fever and are not suitable for human consumption (RVV).
IMPO	IM	Imported cattle
RAM	F	Cattle exposed to restricted animal material (RAM) – F1, F2, F3
JD	JD	Johne's disease (JD) vaccinated cattle
VBM	CB	Cattle grazed on properties where exposure to cysticercus bovis may have occurred

Details about most of these statuses are provided in Appendix 14.9 to the Terms of Use for the NLIS Database (see section 10 Documentation).

The first three statuses, although assigned by regulatory authorities, are largely put in place to assist industry meet product integrity and market access requirements. The NLS and DOI statuses are of interest to both industry and regulators (especially Police). The last five statuses are directly relevant to regulatory programs managed by NSW DPI and LLS.

### 2.1 Assigning and reporting statuses

Statuses (PIC and device based) may be assigned, amended and removed by authorised officers with SDA database accounts. The Biosecurity Intelligence Support (BIS) officer can do this on the behalf of program coordinators at their request/approval.

If a NSW DPI or LLS authorised officer requires direct access to a specific status function, a recommendation should be sent through their Manager for approval and then to the BIS officer who will contact NLIS Ltd to activate this function on the coordinator's SDA NLIS database account.

Designated industry and regulatory agencies may interrogate the NLIS database for device and PIC statuses. See the NLIS Terms of Use (section10) for further information about who can access what information, and contact the BIS officer for advice on accessing status reports from the database.

Automated email notifications are sent by the NLIS database to NSW DPI when the movement or slaughter of a device with a status is recorded on the database. These emails are sent to [enquiries.nlis@dpi.nsw.gov.au](mailto:enquiries.nlis@dpi.nsw.gov.au) and screened by NSW DPI's NLIS support line staff. Subsequent action is outlined below and summarised in Table 2 at the end of this procedure.

### 2.2 NORM and NARM program statuses

PIC and device statuses are set in accordance with the policies and procedures of the NORM and NARM programs by the State Residue Coordinator or, on that officer's instruction, by the BIS officer or clerical staff with appropriate database access.

### 2.3 Inactive, lost, replaced, damaged and destroyed statuses

These statuses may be set by cattle producers for devices that are currently assigned on the database to a property linked to their database account.

Replaced and destroyed statuses may be set for regulatory purposes, for example where an authorised officer has seized devices or instructed that cattle be re-identified in accordance with the NLIS Regulation. Requests should be sent by the authorised officer through the Senior Veterinary Officer (SVO) or Veterinary Officer (VO) for approval and then to the BIS officer to action.

Upon receipt of an email notifying that a replaced or destroyed device has been moved, NSW DPI will promptly investigate the matter further, and may call on the assistance of a NSW DPI or LLS authorised officer for field investigation in accordance with compliance procedures. This investigation is coordinated by the SVO.

## 2.4 Lost and stolen statuses

**Lost device (L1) status** may be set by a manufacturer for **unattached devices** that have been recorded on the NLIS database and despatched but subsequently fail to arrive with the producer who ordered them, or have been returned to the manufacturer. A producer may request NLIS Ltd to set this status for unattached devices that they believe have been lost or otherwise misplaced.

**Lost device (L2) status** may be set by a producer where an **attached device** has fallen off a beast it was attached to (provided the producer knows what the device number was).

NLIS Ltd automatically notifies NSW DPI when an L1 or L2 status device is transferred. Further action may be taken if there is other available information suggesting misuse of devices or some other breach of the NLIS Regulation (eg misuse of devices on wrong property or cattle). The email is forwarded to the BIS officer for further investigation and, if appropriate, referred to an authorised officer for field investigation in accordance with compliance procedures.

**Lost cattle (S1) status** may be set for **attached devices (cattle)** which a producer believes have strayed or are otherwise missing but have not been reported to the Police as stolen. Requests are through NLIS Ltd or NSW DPI.

NSW Police are keen to receive reports of stolen stock and producers are strongly encouraged to report missing stock as stolen (after they have ruled out straying, misadventure and other obvious causes):

- if a producer contacts NSW DPI or LLS about stolen cattle, they should be advised to lodge a formal report with a Rural Crime Investigator (RCI) via their local Police station or Crime Stoppers
- the producer should obtain an incident reference number from the Police.

**Stolen cattle (S) status** is set for **cattle or unattached devices** that have been **reported to the Police as stolen**:

- the producer should try to work out the device numbers on the stolen cattle from existing records and by scanning all remaining cattle
- a stolen status can only be set on the NLIS database if the NLIS device numbers are known with a reasonable degree of confidence and are provided by the producer reporting the likely theft.

An S1 or S status may be set by an RCI with a Police account, or by the BIS officer on request from an RCI. The status may also be set by the BIS officer if a producer contacts their NSW DPI or LLS and provides in writing (email or fax) a list of the NLIS device numbers and (for S status) the Police report reference number.

Upon receipt of an email notifying that an S or S1 status animal has been moved:

- NLIS Support forwards the email to the BIS officer who promptly clarifies and confirms the information from the NLIS database
- this information is then forwarded to a Police officer who set the status and to senior RCIs via email for further investigation and appropriate action.

## 2.5 Anthrax statuses (AQ and AV)

Entry of AQ status (property under quarantine due to anthrax) and AV1 device status (stock vaccinated against anthrax) and removal of the AQ status is to be recommended by an LLS authorised officer, approved by the Cattle Health Coordinator and actioned by the BIS officer or other authorised or approved staff. The AQ status must be removed immediately once the quarantine is revoked.

Upon receipt of an email notifying that an AV1 status animal has been moved, the NLIS Database sends an automatic notification to NSW DPI. The BIS officer forwards the notification to the program coordinator who manages further investigation and action with the assistance of the BIS officer and

NSW DPI or LLS authorised officers as required in accordance with the Anthrax management procedure.

## **2.6 Imported statuses (IMPO)**

Imported (IMPO) statuses are determined by the program coordinator for the National Transmissible Spongiform Encephalopathy Surveillance Program (NTSESP) in accordance with national rules and state procedures, and actioned by the BIS officer.

Upon receipt of an email notifying that an IMPO status animal has been moved:

- BIS officer immediately notifies the NTSESP state coordinator who coordinates further investigation and action with the assistance of the BIS officer, NSW DPI and/or LLS authorised officers as required in accordance with compliance procedures
- the NSW Food Authority or Department of Agriculture and Water Resources (DAWR) are notified if the animal has been slaughtered at a domestic or export abattoir respectively so they can confirm that the abattoir checked the animal's status and has appropriately disposed of the carcass.

## **2.7 Restricted Animal Material (RAM) statuses**

Restricted Animal Material (RAM) statuses are determined by the program coordinator in accordance with national rules and state procedures, and are actioned by the BIS officer.

Upon receipt of an email notifying that a RAM status animal has been moved:

- NLIS Support immediately notifies the program coordinator who coordinates further investigation and action with the assistance of NSW DPI or LLS authorised officers as required in accordance with compliance procedures
- the NSW Food Authority or DAWR are notified if the animal has been slaughtered at a domestic or export abattoir respectively so they can confirm that the abattoir checked the animal's status and has appropriately disposed of the carcass.

## **2.8 Johne's Disease (JD) vaccinated statuses**

Rules for assigning JD statuses are being developed nationally as part of the use of Johne's disease vaccine in cattle. If this occurs, JD vaccinated statuses within the NLIS database in NSW may be determined by the Cattle Health Coordinator and actioned by the BIS officer.

## **2.9 Cysticercus bovis (CB) (VBM) status**

Entry and removal of a Cysticercus bovis (CB) device status is to be recommended by an LLS authorised officer, approved by the Cattle Health Coordinator or the program coordinator, and actioned by the BIS officer or other qualified staff.

CB status can be applied in two ways in the NLIS database:

- using the 'Device status' function or
- the 'Device status for properties' function .

The 'Device status' function allows a CB status to be applied to individual NLIS devices. The status can be removed manually otherwise it will be removed automatically by entering the number of days for which the status is to be assigned when the status is applied.

The 'Device status for properties' function allows a device status to be set for all devices currently on a property, and devices moving onto that property. A duration is applied to the status which determines the number of days the status is to remain attached to the device after it moves off the property.

The BIS officer discusses with the Cattle Health Coordinator or the program coordinator what the best option is for each CB case.

## 2.10 Life-time traceable (LT) status

Life-time traceable (LT) status is automatically set by the NLIS database when the following criteria are met:

- the NLIS device is a white breeder device, and
- there are no apparent gaps in the history of transactions or movements of that animal (no 8Xs, 8As etc).

LT status may be overridden by NSW DPI where appropriate for regulatory or traceability purposes. For example, an authorised officer becomes aware, during a breach investigation for failing to record a property to property movement, that a transaction is missing and therefore that LT status is incorrect, or that breeder devices have been attached to cattle that have not been home-bred.

A recommendation for a change to LT status should be sent by the authorised officer to the SVO, VO or Leader Traceability for approval and then to the BIS officer to action.

## 3. TAGTRANS

Unattached NLIS devices not being used on the property to which they were issued may be transferred to another property using a function known as TAGTRANS.

Once the devices have been transferred to another property by or on behalf of a district registrar or authorised officer, the devices meet the requirements of the NLIS Regulation for an approved permanent identifier for use on that other property. However preference would be that the NLIS tags remain on the property which they were ordered for and every effort should be made to make them available for use by the new occupier of the PIC.

Valid reasons for transferring unattached devices are:

- a genuine mistake has been made in ordering or supplying the devices
- properties are being combined under the one PIC\*
- a producer has sold or no longer occupies a property and wishes to use left-over devices on another property they own or occupy
- a producer has devices that are excess to their long term needs and wishes to supply or sell the devices to another producer
- a producer is required to use special NLIS devices on their property (Note: tag transfer does not maintain LT status as this is lost by the use of a special identifier (post-breeder device)).

TAGTRANS is not available:

- for transferring devices after they have been attached to cattle\* (especially if the cattle have already been sold or slaughtered)
- to identify cattle with breeder devices after they have left their property of birth (unless approved by an authorised officer)
- to identify cattle on agistment or a TSR with devices for their 'home' property
- for special identifiers unless used on the property
- for devices acquired in breach of the NLIS Regulation (these should be seized and destroyed by an authorised officer).

\* If properties are combined under one PIC, unattached devices may be moved by TAGTRANS from the now inactive PIC to the active PIC, whereas cattle should be moved from the inactive to the active PIC by a normal property to property transfer.

### 3.1 TAGTRANS application and approval

TAGTRANS is encouraged as it provides a lawful mechanism for using superfluous devices which otherwise might be misused.

The legitimacy of the proposed transfer must be confirmed by the district registrar with the following information:



- PIC of the property to which the devices were issued
- PIC of the property to which the devices are to be transferred
- EU accreditation. Only DAWR can sanction the transfer of devices between properties that are accredited under the European Union Cattle Accreditation Scheme (EUCAS). If either property is EU accredited, the producer must contact the EUCAS hotline 1800 305544
- the devices are unattached - devices that have already been attached to cattle cannot be transferred using TAGTRANS.
- the devices do not have a status assigned to them in accordance with the NLIS database Terms of Use (if they do and it is appropriate to do so, the status must be turned off before the devices can be transferred, and then turned back on again - contact the BIS officer)
- the person applying to make the transfer is lawfully in possession of the identifiers (usually because they placed the order as the then owner or occupier of the property to which the devices were issued)
- valid reason for the transfer (see above)
- RFID or NLIS numbers of the devices, which may be obtained from the producer or supplier, by visually reading the devices, or by scanning the devices.

TAGTRANS may be performed by any LLS staff member with an SDA Medium NLIS database account:

- instructions are available on the NLIS website under Help Tools > Tech Tips and further advice can be obtained from the BIS.
- LLS may charge for this service in accordance with their relevant internal procedure/guidelines.

LLS manage TAGTRANS locally if they have chosen to provide this service to their ratepayers. In some circumstances NSW DPI may perform TAGTRANS on behalf of LLS. Requests should be sent to the BIS officer, if the LLS region does not provide this service.

#### 4. 8As (AAAAAAA)

8As (AAAAAAA) is a code that signifies that the PIC of a property is not known. **The use of 8As by industry account holders is not allowed** - the correct PIC must be determined and used and to do otherwise is in breach of the NLIS Regulation.

Notwithstanding State legislation, the NLIS database accepts transfers to 8As in the following circumstances:

- destination PIC in saleyard 'sell' files
- destination PIC for abattoir files (instead of DECEASED)
- destination PIC in transfers off an agent code
- source or destination PIC in property to property transfers.

Each transfer to 8As must be investigated. Upon receipt of an email notifying that livestock have been moved to 8As:

- BIS officer contacts the user who submitted the transfer and requests a rollback
- a valid PIC must be determined and a transfer to a correct PIC re-uploaded.
- the BIS officer may seek assistance of NSW DPI authorised officers if necessary.

Where devices are no longer resident on a PIC, account holders with the NLIS database may set devices to Inactive (IA) status as an alternative to transferring the devices to 8As. This is an alternative to transferring devices to 8As with the advantage that if the cattle are still on the property and a subsequent movement is reported, the inactive device will become active automatically and move from the last recorded PIC to the newly advised PIC with no LT status lost.

Abattoirs in particular should not set current holdings to deceased status unless they are certain the cattle have been killed, as this results in an error and apparent misread (see section 7) if someone subsequently attempts to upload the device to the database.

#### 4.1 Inactivation of cattle devices

A request for inactivation of cattle devices must come from a person with an NLIS database account which is linked to the identification code on which the devices are currently assigned and appear in their current holdings. The person must confirm that they have made reasonable attempts to determine the correct identification code to which the devices should be transferred but are unable to do so, or that the animals were never in their possession.

Inactivation of cattle devices is a solution to a situation when devices are transferred to a PIC or an abattoir by mistake. Any other way to remove devices from current holdings that are not in possession should be discouraged.

A request for inactivation of devices may be received via NLIS Ltd, LLS or NSW DPI. The request is sent to the BIS officer who:

- carries out a preliminary assessment in consultation if required with the Leader Traceability
- if further information is needed or the case is unconvincing, the application may be referred to an LLS authorised officer for local investigation
- approved inactivation of devices is performed by the BIS officer after confirming that the relevant devices are still assigned to that PIC or establishment on the NLIS database
- a recommendation for a change to LT status should be sent by the authorised officer to the SVO, VO or Leader Traceability for approval and then to the BIS officer to action
- DAWR approval is not required for the inactivation of EUCAS cattle devices, however the cattle may lose their EU eligibility.

The above procedures are designed to ensure integrity and minimise the use of inactivation of devices while assisting with monitoring.

Producers are advised to inactivate devices that are no longer on their property when they conduct a PIC reconciliation. However, this practice should not be encouraged as it compromises traceability.

*Inactivation of devices does not negate any breach of legislation that may have occurred and which should be further investigated by an authorised officer in accordance with compliance procedures.*

#### 5. System Transfers

A system transfer (8Xs or XXXXXXXX) is performed automatically by the NLIS database when it detects a gap in the record for a device. For example, if devices are assigned to property A, and the cattle to which they are attached are then consigned from property B to saleyard C, the database will record a system transfer from A to B to fill in and flag the gap. LT status is lost. For example:

Property A	System transfer	Property B	Saleyard C
NA471234 →	XXXXXXXX →	NB471235 →	EUSY2999

The NLIS database provides an automated email 'Warning' to the person doing the transfer that the beast is not located on the PIC that they are trying to transfer it from. (This is not a 'warning' in a regulatory sense as it has not been issued by an authorised officer for a breach of the NLIS Regulation and should not be misinterpreted as such).

#### 6. Third Party Transfers

Stock agents and certain other NLIS database account holders can transfer devices between unlinked PICs as a service to their clients. This feature is called a 'third party' or 'non-written authority' transfer:

- NSW DPI and LLS staff may also gain access to this facility and perform third party transfers in certain circumstances.

A third party transfer must record the person who has authorised and on whose behalf the transfer is being carried out. The person performing the transfer must agree that:

*"I warrant that I am authorised by the authoriser named here to notify NLIS Ltd of this transfer on their behalf. I acknowledge that I am liable for all losses and damages arising out of this warranty being incorrect and indemnify NLIS Ltd for those losses or damages".*

### **6.1 NSW DPI third party transfers**

The BIS officer and Leader Traceability have access to third party transfers and can perform them for regulatory purposes or to correct significant errors in data which cannot be readily corrected in another way:

- with the authorisation of the NTSESP State Coordinator, imported cattle that have died or been euthanased may be moved to DECEASED.
- cattle with an IMP, RAM or other regulatory status may be moved between PICs where necessary to ensure that their traceability is maintained and when the owner or person in charge of the cattle can't be entrusted or has failed to do so.

Other NSW DPI staff may also apply for access to third party authority transfers for regulatory purposes, for example to transfer cattle to and from cattle tick dips:

- relevant staff with an SDA Medium database account should apply through their Manager to the BIS officer who will authorise NLIS Ltd to turn on this function on the staff member's account
- NSW DPI will not be performing third party transfers for commercial purposes.

### **6.2 LLS third party transfers**

LLS staff may wish to perform third party transfers for the following reasons:

- regulatory purposes within their region (eg residue control)
- as a tool to transfer animals onto or off a travelling stock reserve (TSR) (this can also be done with a 'Producer' account for the TSR PIC)
- to provide a service to ratepayers, shows, camp drafts and others in their district.

For the latter two purposes, the approval of LLS must first be obtained. LLS may wish to consider the circumstances in which it might provide this service and the fees it will charge, the resource commitments required, and the implied liability. For example, a data transfer service might be provided as a commercial activity on request, or be limited to perceived community service obligations (eg for their own TSSs or for a trust).

Fees and services are subject to any LLS internal procedures/guidelines. As producers and others can transfer cattle themselves and there are likely to be other private service providers, it is anticipated that market forces will determine the appropriate fee that may be charged in various circumstances.

Once these issues are decided within the LLS, the General Manager or District Veterinarian may request the BIS officer to authorise NLIS Ltd to turn on this function on the nominated staff member's SDA Medium database account.

Notwithstanding the term 'non-written authority' used by NLIS Ltd, a LLS must only perform a third party transfer on the written request of the owner or person in charge of the stock. The person in charge may include the operator or secretary of a show, camp draft, common or the like. The request may be by letter, fax or email and must specify the:

- NLIS device numbers of the relevant cattle
- PICs of the properties the cattle are being transferred from and to
- date of movement
- an NVD or TSS number is optional (or the default number 1234567 may be entered)
- name and full contact details of the applicant.

A third party transfer should only be performed by LLS when either the PIC of origin or destination (or both) is located within that LLS region. If for some reason this is not the case, the LLS should first check with one or both of the other relevant LLS regions.

## 7. Misreads and incorrect transfers

A misread is when an NLIS device is either manually or electronically incorrectly read and, as a consequence, an erroneous transfer is recorded on the NLIS database. An incorrect transfer is when the 'To' or 'From' PIC for a device is incorrectly recorded.

Misreads and incorrect transfers can occur for the following reasons (in approximate order of likelihood):

1. *Agent Error.* Contractors in a saleyard may select an incorrect destination PIC for consigned stock
2. *Incorrect PIC.* The uploading of an incorrect destination PIC by a producer, agent or saleyard could result in an NLIS device apparently being in two places at once, where it is physically at one location, but electronically recorded to be located at another.
3. *Visual read of NLIS number.* NLIS numbers are printed in small type on the outside of the device and are difficult to visually read once the device is attached to an animal, especially when the device is correctly placed high up in the ear, the ear is hairy or dirty, or the animal is restless. Letters and numbers can be easily misread from handwriting, for example NC may be read as NG, or XBX as XBY.
4. *An RFID number is manually transcribed.* RFID numbers contain 16 numbers (including a space and typically several zeros) and mistakes are easily made if the number is retyped from one file or record to another.
5. *Block transfer of current holdings.* Some saleyards, abattoirs and agents have cleared their current holdings by transferring devices en-masse to District Codes, 8As or DECEASED without checking whether the numbers are valid and should have been there in the first place, creating the false impression of a valid scan and read of the devices.
6. *Software transformations.* There have been some instances of software transcribing RFID numbers. Two NSW abattoirs were, for a period during 2005, transcribing the manufacturer code 951 to 982. A brand of reader in QLD was transcribing RFID numbers by 64. The occasional faulty reader has been reported.
7. *Duplicate NLIS numbers.* NLIS numbers are printed on a device by a manufacturer on receipt of an order. The format of the NLIS number and the manufacturer's internal quality assurance procedures should prevent duplicate NLIS numbers being printed, but this could happen if these procedures break down resulting, for example, in the same sequence of serial numbers for a PIC being printed in the same year.
8. *Illegal reuse or recycling of NLIS devices.* Recycled cattle NLIS devices (Leader tags) are allowed to be used on sheep outside of the NLIS system only as management devices but not permanent identifiers. When these devices are applied to cattle as NLIS permanent identifiers it is illegal use.
9. *Duplicate RFID numbers.* RFID numbers are unique in accordance with international standards, however an error in a manufacturer's program may allocate the same RFID number to different NLIS IDs.
10. NLIS devices issued to one property are dispatched to other PIC owner and used on cattle on the incorrect PIC.

Misreads and incorrect transfers are normally reported to NLIS Ltd in response to a system generated email. NLIS Ltd is keen that apparent misreads and incorrect transfers are investigated to ensure there are no unresolved issues of data integrity and regard this as a state regulatory responsibility:

- NLIS Ltd refers the problem to the BIS officer who looks into the issue on the database and, as appropriate, by contacting industry database account holders directly, in consultation with Leader Traceability

- in some situations, the assistance of a NSW DPI or LLS authorised officer may be sought for local investigation, but this will be kept to a minimum unless a significant breach of state legislation is suspected
- once the definitive or likely cause of the problem has been determined, and/or the Leader Traceability is satisfied that there has been no significant breach, the findings are reported back to NLIS Ltd for their further action
- depending on the findings, a rollback of the incorrect transfer may be appropriate (see below).

Investigation of misreads and incorrect transfers can be complex and time consuming, and the amount of time spent must be balanced against the benefit of resolving the issue:

- NSW DPI will endeavour to progress and resolve misreads within 1 month of receipt
- misreads and incorrect transfers will not be progressed urgently for the applicant's convenience, such as because they are about to sell or move the animal
- misreads and incorrect transfers involving multiple animals or which indicate a trend or systematic problem, or where a significant and deliberate breach of legislation may have occurred, may be investigated more thoroughly than those involving a single animal or an apparent mistake
- the cost of mustering and re-scanning an animal, if required to resolve the problem to their satisfaction, should be met by the owner or person in charge of the animal.

## 8. Rollbacks (Transfer Correction)

A transfer of NLIS devices on the database may be rolled back (corrected or reversed) in certain circumstances.

There are two categories of rollbacks:

- those that can be done by the person who made the original transfer (user rollbacks)
- those that can only be done by NSW DPI or NLIS Ltd (SDA rollbacks).

Within these categories, NLIS Ltd have classified rollbacks into 5 types as described below.

- **Rollbacks may be performed to correct genuine errors in data**, for example a transfer to the wrong PIC or a misread.
- **Rollbacks are not performed to record a movement retrospectively for expediency**, such as to restore LT status or to avoid prosecution by transferring the animal outside the statutory time period.

### 8.1 User rollbacks

Two types of corrections may be performed by the database user who did the original transfer using their own account, provided there have been no subsequent transfers of the devices. No approval is required.

#### Rollback type 1 - Transfer correction

- the devices were transferred from or to an incorrect identification code (PIC, agent or district code)
- the devices have been transferred to 8As, and now the correct PIC of destination is known
- the devices were transferred using an incorrect NVD serial number
- the devices were transferred using an incorrect date.

The user can replace the incorrect data with the correct data using the 'Transfer correction' function on their NLIS account. For example, a producer records a property to property movement from the wrong PIC, they realise their mistake and correct the transfer with the right PIC.

### Rollback type 3 - Transfer deletion

- incorrect devices were transferred
- the devices were incorrectly transferred to DECEASED status.

The devices are rolled back to the last identification code they were assigned to on the NLIS database and all associated data (eg NVD number) will be deleted from the database. For example, a producer transfers the wrong animal from their property to another property; they realise their mistake and delete the transfer so the database shows that the animal is still on the original property (they may then transfer the correct animal in the normal way).

### **8.2 SDA rollbacks**

These rollbacks cannot be performed by the database user and NLIS Ltd refers any requests to NSW DPI for approval and action.

#### Rollback type 2 - SDA transfer deletion

An animal is incorrectly recorded as having been sold through a saleyard, moved to an agent code, moved between properties or deceased. The transfer (or series of transfers) is reversed and the devices are restored to the last identification code they were assigned to on the database.

*For example, a producer incorrectly reads and records the NLIS number printed on a device and uploads this information to the NLIS database. As a consequence, a different animal is recorded as having moved between properties on the database.*

The owner:

- of the different animal receives an automated email from the database advising of the transfer
- checks and confirms that the animal with this device number is still on their property (and has not, for example, been lost or stolen unbeknown to them)
- cannot do the rollback themselves (as they didn't do the original transfer) and so they provide this evidence to request a rollback.

#### Rollback type 4 - Transfer insertion

- insertion of an earlier transfer which is missing and there have been subsequent transfers of the devices.
- replace a transfer to 8As with the correct identification code.
- replace a system transfer (8Xs) with the missing transfer that caused the system transfer using the 'Unknown transfer replacement' function.

#### Rollback type 5 - Kill file rollback

An animal is incorrectly recorded as killed at an abattoir. The abattoir kill file information is deleted from the carcass feedback database and the devices restored to the last property identification code they were assigned to on the database.

For example, an abattoir clears their current holdings by moving an animal to deceased. The producer on whose property the animal was last assigned on the database receives an automated email from the database confirming that the animal is now deceased. The producer produces evidence that the animal is still alive on their property and requests a rollback.

### **8.3 Rollback application**

The applicant for an SDA rollback type 2, 4 or 5 must be the person who:

- carried out the original transfer, or
- is responsible for the cattle to which the devices are attached, or
- is responsible for the identification code to which the devices are currently assigned on the NLIS database.

The responsible person may be a producer, stock agent, saleyard operator or processor.

The application must specify the:

- applicant's name, contact details and NLIS database user id

- NLIS or RFID numbers of the relevant cattle
- reason for the request, including evidence that a transfer did or did not occur or that the animals are located somewhere different to that recorded on the database
- other relevant information, such as PICs, date of movement, NVD number, upload id (if known).

Applications must be:

- in writing, by email, fax, letter or using the attached Request for transfer correction (rollback) on the NLIS database form (appendix 1). The application may be sent to NLIS Ltd, NSW DPI or a LLS but all applications must be forwarded to the BIS officer
- made within 28 days of the date of the incorrect or missing transfer, or of a system generated email having been sent by the NLIS database to the applicant. This provides a small period of grace over the statutory time limits for movement recording, allowing time for database users to check system emails, current holdings and the like, realise there is a problem, and take steps to correct or report it
- be accompanied by substantive evidence that the animal is still alive and the device is still attached to it, the animal is located somewhere other than the location currently recorded on the database, the recorded movement to that location did not occur, and/or the missing movement did occur.

Applications received after this time will only be progressed if they indicate a significant and systematic anomaly that has or might impact on many animals such that further investigation is warranted, not if it appears to be an isolated or one-off event affecting only one or a few animals.

A rollback will not be performed simply because a person claims that the animal is somewhere else or did not move as recorded on the database. This evidence may be in the form of a statement by an independent person who has sighted and preferably scanned the device, a copy of an NVD or TSS, or a statutory declaration. It is the applicant's responsibility to provide this evidence at their expense.

#### **8.4 Rollback assessment and approval**

Applications are initially assessed by the BIS to confirm the information provided, obtain a full history of relevant transactions from the NLIS database, and determine the likely cause of the apparent incorrect transaction.

A type 4 rollback will only be approved if the movement occurred within the last 28 days before the application is received.

Other rollbacks will only be approved if the transfer occurred (or should have occurred) after movement recording became mandatory (ie after 1 July 2005 for saleyards, agents and abattoirs, and after 1 January 2006 for all other movements). Most cattle moved before that time are not lifetime traceable and, although it could be argued that a rollback may enhance the traceability of an animal, the available history will often be sufficient and the presence of 8Xs or 8As serves to highlight that there could be a gap that may warrant further investigation.

If the application provides sufficient information, is straightforward, and/or the information is readily confirmed from the database or by email or telephone with other parties, then the application may be endorsed by Leader Traceability. Otherwise, further information and a declaration may be sought from the applicant using the attached Request for transfer correction (rollback) on the NLIS database form. The information may be sent to an LLS authorised officer via the SVO for local investigation and confirmation. These procedures are designed to ensure integrity.

The authorised officer or NSW DPI may contact or send a copy of the application to the abattoir, saleyard or producer that originally uploaded the transfer of the cattle for their information or confirmation.

They may be given up 14 days to respond. If they object to the rollback on reasonable grounds, then it will not be carried out. If they admit an error, do not object or do not respond, then the rollback may be carried out. This process provides an opportunity for another party who may be affected by the rollback to make representations, and may help to resolve the original problem and prevent it from happening again.

If the animal or property from or to which the rollback relates is EUCAS accredited, then the rollback must be approved by DAWR.

Assessment and processing of rollbacks can be complex and time consuming, and the amount of time spent must be balanced against the benefit of resolving the issue. NSW DPI will endeavour to progress and resolve acceptable applications for rollbacks within one month of receipt. Rollbacks will not be progressed urgently for the applicant's convenience, such as because they are about to sell or move the animal.

Rollbacks can only be performed by the State NLIS regulatory authority in the State that the destination PIC is registered in. If the property from or to which the rollback relates is in another State, NSW DPI will seek the approval of the NLIS coordinator in that State before performing the rollback.

In rare cases there may be some benefit in inserting a missing transfer or correcting an incorrect transfer well after the event to provide a more complete life history, for example for an imported animal or one exposed to restricted animal material. These decisions will be made by NSW DPI on a case by case basis.

Final approval for a rollback is given by Leader Traceability. Approved rollbacks are performed by NLIS Ltd on advice from the BIS Officer, or by the BIS Officer if this functionality is provided by NLIS Ltd.

A rollback does not negate an offence that may have been committed by someone for failing to upload the correct information in time which should be further investigated by an authorised officer in accordance with compliance procedures.

## 9. Database Error and Warning Email Notifications

The NLIS database sends automated email messages to [enquiries.nlis@dpi.nsw.gov.au](mailto:enquiries.nlis@dpi.nsw.gov.au) about a wide range of errors performed by other database users. These notifications are determined by the database programming in accordance with the NLIS business rules and might change from time to time.

A large number of error notifications are received daily and the potential workload involved in following up every message is substantial. Investigation of errors can be complex and time consuming, and the amount of time spent must be balanced against the benefit of resolving the issue. Errors involving multiple animals or which indicate a trend or systematic problem, or where a significant and deliberate breach of legislation may have occurred, may be investigated more thoroughly than those involving a single animal or an apparent mistake.

Discussions are underway nationally to prioritise and rationalise these messages. In the meantime, the response to each message type is determined by Leader Traceability and is summarised in Table 3.

This table will be amended from time to time by those Managers on the basis of experience and to conform with national guidelines as they are developed.

## 10. Definitions and acronyms

BIS	Biosecurity Intelligence Support
DAWR	Department of Agriculture and Water Resources
ERP	The extended residue program which signifies a PIC's chemical or antibacterial residue status
EUCAS	The European Union Cattle Accreditation Scheme
LT	Life-time traceable
NORM	National organochlorine residue management
NARM	National antibacterial residue management
NSW DPI	NSW Department of Primary Industries
RCI	Rural Crime Investigator
SVO	Senior Veterinary Officer



TAGTRANS transfer of tags from one property to another property in NLIS database for the purpose of identifying livestock on the second property with the tags of the first property

VO Veterinary Officer

## 11. Documentation

*Biosecurity Act 2015*

Biosecurity (National Livestock Identification System) Regulation 2017

NLIS procedures at <http://www.dpi.nsw.gov.au/animals-and-livestock/nlis/policy>

Policy - Biosecurity collection, use and disclosure of information

Policy - Records Management (IND-I-177)

Policy - Information Security (IND-I-197)

Policy - Classified Information (IND-I-196)

Policy -Government Information (Public Access) (IND-I-178)

Procedure - Biosecurity collection, use and disclosure of information

Procedure: Anthrax

Procedure: Cysticercus bovis

Procedure: Johne's Disease

Procedure: Transmissible Spongiform Encephalopathy Freedom Assurance

Procedure: Stock Foods Investigation

Procedure: Lead affected food producing animals in NSW

Procedure: Chemically Affected Food-Producing Animals, Animal Food Commodities & Stock Food

Procedure: National Organochlorine Residue Management Program

Request for transfer correction (rollback) on the NLIS database (form attached)

Terms of Use for the NLIS Database <https://www.nlis.com.au> > NLIS Terms of Use (bottom left of screen)

## 12. Records

Not applicable.

## 13. Revision History

Version	Date issued	Notes	By
1.0	01/07/2017	Substantially updated to align with Biosecurity (NLIS) Regulation 2017	Systems, Intelligence and Traceability

## 14. Contact

Leader Traceability

Phone 02 6391 3212, mob: 0438 447 286

Email: [lisa.burrows@dpi.nsw.gov.au](mailto:lisa.burrows@dpi.nsw.gov.au)

Biosecurity Intelligence Support

Phone 02 6391 3511

Email [olga.ozols@dpi.nsw.gov.au](mailto:olga.ozols@dpi.nsw.gov.au)

NSW DPI NLIS Helpline

Phone 1300 720 405

Email [enquiries.nlis@dpi.nsw.gov.au](mailto:enquiries.nlis@dpi.nsw.gov.au)

[www.dpi.nsw.gov.au/nlis](http://www.dpi.nsw.gov.au/nlis)

NLIS Helpdesk

Phone 1800 654 743

Email [support@nlis.com.au](mailto:support@nlis.com.au)  
[www.nlis.com.au](http://www.nlis.com.au)

## Appendix 1 – Action in Response to Status Email Notifications from NLIC Database

Issue	Response time	Code	Message (example)	Action
Imported animal transferred	Same day	122	Information - NLIS Upload ID 123456 - Saleyard Sale - Info 122 - Status IM1	NLIS Helpline BIS to examine → NTSESP State Coordinator for action
RAM fed animal transferred	Same day	122	Information - NLIS Upload ID 123456 - Saleyard Sale - Info 122 - Status F1	NLIS Helpline → BIS to examine → Manager B&CRM for action
NARM/NORM animal transferred	Same day	122	Information - NLIS Upload ID 1234 - ERP Exception - Info 122 - Status T3V	NLIS Helpline → BIS to examine → The State Residue Coordinator
Device of interest or devices from property of interest transferred	Same day	122	Information - NLIS Upload ID 123456 - Carcase Feedback - Info 122 - Status DN1	NLIS Helpline → BIS to examine → The NLIS User who set the status and/or copy to the NLIS user supervisor
Animals exposed to lead transferred	Same day	122	Info 122 - NLIS Upload ID 123456 - Third Party P2P - Status PB1	NLIS Helpline → BIS to examine → The State Residue Coordinator
Stolen animal transferred	Same day	122	Information - NLIS Upload ID 123456 - Saleyard Sale - Info 122 - Status S or S1	NLIS Helpline → BIS to examine → Police for Action
Lost device transferred	1 week	122	Information - NLIS Upload ID 123456 - Saleyard Sale - Info 122 - Status L1	NLIS Helpline → BIS to examine → authorised officer for action if warranted

*As at February 2017 - may be amended from time to time*

**Appendix 2 – Action in Response to Error and Warning Email Notifications from NLIS Database**

<b>Issue</b>	<b>Response time</b>	<b>Code</b>	<b>Message (example)</b>	<b>Action</b>
Device not on database	1 month	2 3		Note; follow up systematic or repeated problems
Attempt to transfer deceased animal	1 month	12		Follow up as misread if requested to do so by NLIS LTD or account holder
Attempt to transfer stolen animal	Same day	19		NLIS Helpline → BIS to examine → Police for action
Transferring lost, replaced or damaged tag	1 month	33 34 35	Warning - NLIS Upload ID 123456 - Saleyard Sale - Warning 33	Follow up as misread if requested to do so by NLIS Ltd or account holder
Abattoir transfer discrepancies	1 month	102 103 208 209	Error - NLIS Upload ID 123456 - Kill Upload - Info 103	Note; follow up systematic or repeated problems
PIC discrepancies	1 month	124 125 126	Information - NLIS Upload ID 123456 - Saleyard Sale - Info 126	NLIS Helpline – BIS – to examine – LLS to follow
Post-breeder device replaced with breeder Device	1 month	141	Warning - NLIS Upload ID 123456 - Replace Tags - Warning 141	NLIS Helpline → BIS to examine → authorised officer for action if warranted
Processed cattle not on current holdings	NA		NLIS overdue cattle processed not on current holdings notification	Note
NLIS database account locked	NA		Account Lock	Note
Various	NA	6 11 39	NLIS Upload ID 123456 - Property to Property - Warning 6	Nil

*As at February 2017 - may be amended from time to time*



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**Approval**

Endorsed

Not endorsed (*attach reason*)

Name .....

Position.....

Signature.....

Date.....

Approved

Not approved (*attach reason*)

Name .....

Position.....

Signature.....

Date.....