

Council on Dairy Cattle Breeding

Auditing Procedures for Processing Centers

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The purpose of this manual is to ensure the accuracy and uniformity of all records included in the national *Genetic Evaluation Program*.

<i>Processing Center Audits and Certification</i>	<i>Page 2</i>
<i>Centering Period Months for Processing Centers.....</i>	<i>Page 3</i>
<i>Auditing of Standard Transfer Format Compliance.....</i>	<i>Page 4</i>
<i>Auditing of AIPL Test Herd Results.....</i>	<i>Page 5</i>
<i>Auditing of AIPL Deadline Compliance</i>	<i>Page 6</i>
<i>Auditing of Report Generation Compliance</i>	<i>Page 7</i>
<i>Auditing of Other Criteria</i>	<i>Page 8</i>

Processing Center Audits and Certification

Initial Certification Audits

Before achieving initial certification, processing centers must submit to an on-site audit and surpass the following requirements:

1. They must demonstrate compliance with all aspects of this manual and with the *Code of Ethics* and *Uniform Data Collection Procedures*.
2. They must run the Test Herds and the auditor must verify that the results are within the acceptable tolerances for the key variables.
3. They must provide data in the Standard Transfer Formats and the auditor must verify that the results are within the acceptable tolerances for the key variables.

On-site Audits

Once certification has been established, processing centers will NOT be subject to an on-site audit in order to renew their certification. However, processing centers failing to demonstrate routine compliance will become subject to annual, on-site audits until consistent performance has been restored.

Scheduling of Audits

Each processing center will be assigned a centering period month for audits. Actual audits must be performed within 60 days of the centering period month.

Period of Certification

The certification period will begin on the day of the audit and extend through the last day of the 14th month following the centering period month. Processing centers failing to achieve certification renewal by the end of the 14th month will be classified as non-certified.

If failure to maintain standards is determined to have occurred by the auditor during the certification period, the service provider can be decertified prior to the end of the current certification period.

Decertification Procedures

Decertification will only be considered when the performance of a processing center has fallen below the minimum standards established by the CDCB and the organization does not take prompt action to return to compliance within the time period specified by the auditor.

Decertification Appeals

For policies and procedures on decertification appeals, please refer to page 7 of the 'General Auditing Guidelines' for a detailed protocol.

Centering Period Months for Processing Centers

Processing Centers are NOT subject to on-site audits. However, they are required to provide the information necessary for an auditor to review their operation annually. Below is a schedule of target months for the annual reviews.

- January AgriTech Analytics, Visalia CA
- March AgSource Cooperative Services/ CRI, Verona WI
- May DHI Computing Service Inc., Provo UT
- September Dairy Records Management Systems, Raleigh NC
- November.....

Auditing of Standard Transfer Format Compliance

Description of Standard Transfer Formats

In order to standardize the structure of data files, a comprehensive list of fields, field formats, field positions, field sizes, field data types, field reference numbers, and field data descriptions have been developed and are available from a web site designated by the CDCB. Below is a list of the required standard transfer formats:

1. Standard Transfer Format A – Herd Records
2. Standard Transfer Format B – Cow and Heifer Records
3. Standard Transfer Format C – Lactation Records
4. Standard Transfer Format D – Test Day Data Records
5. Standard Transfer Format E – Herd Totals Records
6. Standard Transfer Format G – General Message Records
7. Standard Transfer Format H – Health Records

Records Transfer Deadlines

The transfer of individual cow and heifer data should be completed within one working day and the transfer of herd data should be completed within two working days of the release of the herd records by the field service provider. Confirmation may be requested during the audit.

STF Revision Deadlines

Confirmation that all STF revisions have been completed and implemented by the required deadline must be provided during an audit.

Following significant revisions and on a periodic basis, the auditor will request copies of the Test Herd in Standard Transfer Format and will verify that the data contained within them is correct.

STF Compliance Procedure

Confirmation that all STF procedures are in place and functional must be provided during an audit. When deemed necessary by the auditor, examples may be required for verification.

Auditing of AIPL Test Herd Results

Test Herd Frequency

Each processing center will be required to participate in the AIPL test herd program on a monthly basis.

Test Herd Procedure

The Test Herds will be administered by the auditor and performed in conjunction with the AIPL staff. The procedures for the test herds are as follows:

1. Each processing center will be provided a real herd of 25-40 cows using the Standard Transfer Formats.
2. The Test Herd will be assigned a unique AIPL herd code number.
3. The processing centers will only be required to submit Test Herd data needed by the USDA-AIPL for the Genetic Evaluation Program.
4. The Test Herd will be processed according to all four of the testing plans listed below. However, there will only be one set of data used for the analysis.
 - A. 2X DHI
 - B. 2X DHI-APCS
 - C. 2X DHI-AP
 - D. 2X OS-DHI
5. Each processing center will be provided a set of monthly inputs from the actual herd and will be expected to enter them and process the herd records using normal procedures. On occasion, events may be added to test the software handling of uncommon circumstances.
6. Each processing center will be required to send the results of all four test plans to the AIPL by the monthly deadline. These results must be in the formats necessary for genetic evaluations.

Test Herd Analysis

Once the AIPL has received the four test herds from each processing center, they will be compiled by testing plan and made available to the auditor.

The auditor will scrutinize key variables and ensure that the results are within the allowable tolerances.

Auditing of AIPL Deadline Compliance

Description of Formats

In order to standardize the structure of data files, a comprehensive list of fields, field formats, field positions, field sizes, field data types, field reference numbers, and field data descriptions have been developed and are available from the USDA/AIPL web site. Below is a list of the required formats:

1. Format 2 – Herd Identification Records
2. Format 4 – Current Lactation and Test Day Records for Individual Cows
3. Format 14 – Herd Summary and Information Records

Data Transfer Mechanisms

The information contained in Formats 2, 4, and 14 should be sent to AIPL via an electronic method.

Format 2, 4, 14 Deadlines

Documentation of the following:

1. Documentation that the data contained in these formats has been sent to the AIPL by the quarterly deadline.
2. Notification of these deadlines will be sent out by the AIPL at least 3 months in advance of the quarterly deadlines.
3. Records submitted must include all herds processed 7 or more days prior to the deadline.

Auditing of Report Generation Compliance

Reporting Requirements

Each processing center must have the ability to generate the following reports and be capable of providing them in report form to service providers, dairymen, or other allied industry cooperators. However, there is no requirement to provide these reports free of charge.

1. Missing or incomplete permanent identification,
2. Cows with duplicate permanent identification,
3. High lactation cows for potential verification testing, and
4. Herds with bulk tank comparisons outside of the established range of 96-110% for
 - A. The current test,
 - B. The last twelve months,
 - C. Two consecutive test days, or
 - D. More than four test days during the last twelve months.

Documentation

Each processing center must provide examples of each report during an audit.

Auditing of Other Criteria

On-Site Backups

Each processing center must demonstrate the ability to back up herd and cow records using an electronic method and store media on-site.

Off-Site Backups

Each processing center must demonstrate the ability to back up herd and cow records using an electronic method and store that data in a secured off-site location.

Disaster Recovery Plans

Each processing center must demonstrate the ability to restore herd and cow records from a variety of hazards such as equipment failures, software viruses, natural disasters, malicious employees, etc.

On-Site Security

Each processing center must demonstrate the ability to prevent processed results from being altered by the end user. Acceptable procedures include encryption, physical oversight by employees, or transmission to AIPL at the conclusion of the test day.

Reprocessing of Test Day Data

Each processing center must demonstrate the ability to return a herd to pre-processed form, incorporate the test day data into it again, and reprocess a test day.