

# *Council on Dairy Cattle Breeding*

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## *Auditing Procedures for Dairy Records Processing Centers*

*Effective January 1, 2016  
Version 16.0*

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

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## ***Dairy Records Processing Center Audits and Certification***

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### ***Initial Certification Audits***

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

1. Demonstrate compliance with all aspects of this manual, the *General Auditing Guidelines*, and with the *Code of Ethics* and *Uniform Data Collection Procedures*.
2. Run Test Herd(s) and auditor must verify that results are within the acceptable tolerances for key variables.
3. Provide Test Herd data in the Standard Transfer Formats as well as in CDCB-AIP Format 2, Format 4, Format 5, and Format 14.
4. Provide a Herd Summary Report and all Individual Cow Pages in a PDF format.

### ***On-site Audits***

Once certification has been established, dairy records processing centers will not be subject to an on-site audit in order to renew their certification. However, dairy records 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 dairy records 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 14<sup>th</sup> month following the centering period month. Dairy records processing centers failing to achieve certification renewal by the end of the 14<sup>th</sup> month will be classified as non-certified.

If a failure to maintain standards is determined to have occurred by the auditor during the certification period, the dairy records processing center can be decertified prior to the end of the current certification period.

### ***Decertification Procedures***

Decertification will only be considered when the performance of a dairy records processing center has fallen below the minimum standards established by CDCB and the dairy records processing center 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 the *General Auditing Guidelines* for a detailed protocol.

***Centering Period Months for Dairy Records Processing Centers***

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Dairy records 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

## ***Auditing of Standard Transfer Format Compliance***

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### ***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 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

Optional standard transfer formats are:

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.

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 Test Herd Results***

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### ***Test Herd Frequency***

Each dairy records processing center will be required to participate in the Test Herd program on a monthly basis.

### ***Test Herd Procedure***

The Test Herd(s) will be administered by the auditor with interaction as appropriate with the CDCB staff. The procedures for the Test Herd(s) are as follows:

1. Each dairy records processing center will be provided real herds of cows using the Standard Transfer Formats.
2. The Test Herd(s) will be assigned a unique herd code number by the auditor.
3. Each dairy records processing center will be provided a set of monthly inputs from actual herd(s) and will be expected to process the herd records using normal procedures. The auditor will provide herds using a variety of test plans such as:
  - A. DHI
  - B. DHI-APCS
  - C. DHI-AP
  - D. OS-DHI
4. Each dairy records processing center will be required to send the results to the auditor by the deadline. The results must be in the following formats.
  - A. Standard Transfer Formats
  - B. Format 4
  - C. Format 5
  - D. Format 14
  - E. Herd Summary report and all Individual Cow Pages in a PDF format
5. Each dairy records processing center will be required to send Format 2 results at least once annually to the auditor upon request.

### ***Test Herd Analysis***

The auditor will scrutinize key variables and ensure that the results are within the allowable tolerances. Deficiencies will be reported to each respective dairy records processing center.

## ***Auditing of CDCB Deadline Compliance***

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### ***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 CDCB website. 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 5 – Reproductive Records
4. Format 14 – Herd Summary and Information Records

### ***Data Transfer Mechanisms***

The information contained in Formats 2, 4, 5, and 14 should be sent to CDCB via an electronic method.

### ***Format 2, 4, 5, and 14 Deadlines***

Documentation of the following:

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

## ***Auditing of Report Generation Compliance***

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### ***Reporting Requirements***

Each dairy records processing center must have the ability to generate the following reports and be capable of providing them in report form to respective service providers.

1. Missing or incomplete permanent identification,
2. Cows with duplicate permanent identification, and
3. Herds with milk shipped comparisons outside of the established range of 96-110% for
  - A. The current test,
  - B. The last twelve months.

### ***Documentation***

Each dairy records processing center must provide examples of each report during the audit.

## ***Auditing of Other Criteria***

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### ***On-Site Backups***

Each dairy records 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 dairy records 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 dairy records 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 dairy records 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 CDCB at the conclusion of the test day.

### ***Reprocessing of Test Day Data***

Each dairy records 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.

### ***New Herd Processing***

Each dairy records processing center must demonstrate the ability to start a new herd.