Livestock and Seed Program
Livestock and Grain Market News Branch

Livestock Mandatory Reporting Compliance Process

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History of the Compliance Process

- Audit frequency
- Follow ISO 9000 Auditing Principles
- Operate under the authority of the Livestock Mandatory Reporting Law

Overview of Compliance Process

- Currently audits are conducted every six months on a fiscal year basis.
- Audits are conducted at either your plant or headquarters office.
- The auditor will work with you to set up the date and time of the audit.

Overview of Compliance Process Continued

- Random samples of your submitted information will be selected by the auditor.
- Lots randomly sampled will be given to you 10 business days in advance of the audit so that supporting documentation may be gathered prior to the audit.

Overview of Compliance Process Continued

- What kind of supporting documentation will you need?
- You will need documents that support the **timeliness**, **correctness** and **completeness** of the information you have submitted.
- Supporting documents needed will be determined by you as long as they meet the criteria above.
- There is no set list of supporting documents.

Overview of Compliance Process Continued

- The auditor may ask for additional documents if needed.
- For Whole Sale Pork some of the supporting documents may include but are not limited to Invoices and Bills of Lading.
- The supporting documents must be made available to the auditor at the time of the audit.

Overview of Compliance Process Continued

- Audits take approximately 2 to 4 hours depending on the amount of covered data to be audited.
- Non-compliances found will be shared with the Livestock and Grain Market News reporters and the reporters will discuss them with you and also talk about corrective action.

Overview of Compliance Process Continued

- When corrective action has been taken by you the auditors will verify that corrective action has been taken.
- Verification of corrective action is done by sampling additional lots and requesting supporting documentation.

Questions?

- Contact methods

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Thank You