

EUCAS AUDIT STRATEGY

- Authorised EUCAS auditors contribute to the management of the EUCAS by verifying through audit that accredited participants in the Scheme comply fully with all components of the EUCAS Rules.
- Auditors, authorised by the Secretary of the Department of Agriculture, Fisheries and Forestry Australia (DAFF), contribute to the management of the EUCAS by the performance of regular audit of its components.
- Third party audit providers have been authorised to conduct farm audits. The following organisations have been authorised: AUSMEAT, Departments of Primary Industry in Tasmania and Northern Territory.
- Frequency of audit of accredited properties is based on the following:
 - a. Accredited farms in accordance with National Program requirements that include a random component and a targeted component. Farm accreditation must be renewed twelve months after initial accreditation. This is done through Central Office on verification that the accredited manager has complied with the conditions of accreditation.
 - b. Accredited feedlots and saleyards are audited at least annually, following an initial pre-accreditation audit. Renewal of accreditation at each anniversary will depend upon successful audit.
- Selection of particular Property Identification Codes (PIC) for audit is determined by random allocation or target criteria decided on by the AQIS EUCAS Coordinator in consultation with authorised auditors.
- If an accredited manager refuses audit, the matter should be referred directly to the EUCAS Coordinator for consideration and follow-up.
- Audit frequency will be increased on properties with a history of non-conformity according to the target audit methodology decided upon by the EUCAS Coordinator.
- Follow-up audits will be conducted in cases where the auditor recommends this, to assess the effectiveness of corrective actions.
- The auditor will notify selected properties of an impending audit by phone no later than seven days prior to the scheduled audit. During this notification the auditor will advise the property manager that the necessary records must be available for audit. These records include cattle introductions and dispatches, farm management records, current accreditation application details, use of replacement devices, and authorisation of vendor declaration signatories.

- The audit will test the farm manager's compliance with EUCAS Rules in the areas of records of farm management, HGP use (this may include faecal sampling), cattle introductions, cattle transfers to EU and non-EU destinations, cattle identification, use of replacement devices, records of cattle numbers and calving rates.
- The auditor will notify each feedlot of an impending audit by phone no later than seven days prior to the scheduled audit. During this notification the auditor will advise the feedlot manager that the necessary records must be available for audit.

These records include accreditation certificate and letter of accreditation, approved management plan including site map, EU Vendor Declarations for dispatches and introductions, RFID (Radio Frequency Identification Device) records, NLIS notification records, feedlot management records, reconciliation of replacement RFIDs, and reconciliation of HGP use.

- The audit will test the feedlot manager's compliance with EUCAS Rules in the areas of the approved manual, site management, trace back capability, database notification, EU Vendor Declaration completion, cattle identification, HGP usage, and use of replacement devices.
- The auditor will notify each saleyard of an impending audit by phone no later than seven days prior to the scheduled audit. During this notification the auditor will advise the saleyard manager that the necessary records must be available for audit.

These records include accreditation certificate and letter of accreditation, approved management plan including site map, Code of Practice signed by participating Stock Agents, EU Vendor Declarations for receivals and dispatches, proof of scanning procedures, records of database notifications, records of discrepancies in documentation, records of non-readers, notification of movements of Scheme cattle to non-accredited destinations on the day of departure, evidence of staff training including truck drivers and agents, and evidence of internal audit.

- The audit will test the saleyard manager's compliance with EUCAS Rules in the areas of approved management plan, stock transport, stock receipt, penning, EU sale and weighing procedures, after sale management, outward delivery, back up systems, training, record keeping, and internal audit.
- To test the operation at all levels; audits must include observations of site management, interview with the accredited manager, and detailed examination of operation records.
- During the audit, identified defects will be discussed with the manager and strategies for rectification determined. These discussions will be reflected in any Corrective Action Requests (CARs) that are issued at the conclusion of the audit.

- The auditor will interview the manager against checklist questions:
 - a. These questions will be drawn from the prepared audit checklist and may be developed by the auditor after specific research of the accredited site's management plan and records.
 - b. Where inconsistencies or non-conformities are suspected, supplementary questions in the same area, observations or record checks will be conducted.
 - c. Findings will be recorded for final audit outcome.

- At the completion of the audit, the exit meeting consists of reporting the findings of the audit to the property management on the Audit Summary section of the checklist and explaining to management the measures that are required to maintain the accredited status of the property.

- If audit detects that an operation is not complying with conditions of accreditation, the operation may have the accreditation revoked, and the manager may face prosecution. Only AQIS can revoke accreditation.