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United States Department of Agriculture

SPECIALTY CROPS INSPECTION DIVISION

ALTERNATE DESK AUDIT (ADA) WORKSHEET

SCHEDULING AND DOCUMENT INFORMATION EXCHANGE

AUDIT PLANNING

FIELD OFFICE TYPE:			LOCATION:
☐ Area Office	☐ Sub-Office	☐ Inspection Point	
NAME OF OIC, SAS, OR IIC:			DATE REQUEST SUBMITTED:
REVIEWERS:			

CATEGORY	INFORMATION REQUESTED:
	Responsible person(s) to be interviewed should be identified and entered by the OIC, SAS or IIC ***Relevant documents*** and ***document dates*** sufficient to determine compliance with the requirement should be entered by the reviewer(s) with input from the OIC, SAS or IIC. ***Compliance Attestation*** should be completed by field office staff who are not responsible for completing, reviewing or supervising the task/category item. ***Customer Contact Information*** should be entered by the OIC.
A. DEBT MANAGEMENT REPORT (DMR)	
1. Is the DMR report being reviewed monthly? 2. Are delinquent account procedures followed?	Identify responsible person(s) to be interviewed: Relevant Document(s): Document Dates Requested:
B. TRANSACTION REGISTER REPORTS (TRD)RESPONSIBLE	
1. Does the OIC know where to access the TRD? 2. Is the TRD being reviewed monthly? 3. Are errors to the TRD being reported? 4. Are errors corrected?	Identify responsible person(s) to be interviewed: "Monthly Summary" financial reports can be reviewed on Division Share-point Report Site
C. REVENUE TRACKER (TMI Services)	
1. Is the Revenue Tracker completed and processed according to Division instructions?	Dates Requested:
D. BILLING – IN-PLANT (Processed Services)	
1. Is there an adequate system in place to verify accuracy of billings? 2. Do billings agree with supporting documents?	Identify responsible person(s) to be interviewed: Relevant Document(s):

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3. Is the billing turn-around time 10 days or less?	Document Dates Requested:
4. Are fee billings submitted by the established cutoff date?	
E. BILLING – LOT (Processed Services)	
1. Is there an adequate system in place to verify that the bills sent to applicants are accurately reflected in the TRD?	Identify responsible person(s) to be interviewed:
2. Are charges appropriate for product groups?	Relevant Document(s):
3. Do bills include the minimum ½ hour charge for preparation?	
4. Is the billing turn-around time 10 days or less?	Document Dates Requested:
F. CODs	
1. Are CODs (checks/money orders) kept in a secure location and routinely submitted to the Service Center or lockbox?	Identify responsible person(s) to be interviewed:
2. Does the office maintain a copy of all checks or money orders sent to the Service Center until receipt is confirmed?	Relevant Document(s):
	Document Dates Requested:
II. CUSTODIAL ACTIVITIES	
A. GSA/GOV VEHICLES	
1. Are all vehicles assigned to specific locations properly identified by the correct FMMI code?	Identify responsible person(s) to be interviewed:
2. Is GSA Form 5-11-00379, GSA Vehicle Accountability Form, on file for each vehicle?	Relevant Document(s):
3. Are mileage logs kept in each vehicle?	
4. Are mileage logs accurate?	Document Dates Requested:
5. Are all vehicles needed in order to conduct the operation efficiently?	
6. Is mileage properly reported to GSA?	Identify person to review and complete Compliance Attestation for II. A.2,3,4, & 7
7. Are AD-728's completed for all home-to- work drivers?	
B. USDA VISA CARD	
1. Is/are the vendor(s) an approved source for supplies?	Relevant Document(s):
2. Are charges reconciled within 30 days in Access On-Line?	
3. Is the Budget Object Code correct?	
4. Are purchases over $500 or computer-related items approved by appropriate source?	
5. Are receipts of purchases maintained?	Document Dates Requested:
6. Are all entries completed on the log with the approving official's initials and date?	
C. OFFICE PROCEDURES	
1. Are records and files well established and maintained?	Identify responsible person(s) to be interviewed:
2. Are all pertinent files filed by fiscal year?	Relevant Document(s):
3. Are files orderly so that anyone could locate needed material in a reasonable amount of time?	
4. Is record disposal in accordance with instructions?	
5. Is Personal Property Physical Inventory Report (PROP 302), maintained for items over $5,000?	Document Dates Requested:
6. Is an internal non-accountable property inventory maintained?	
7. Is the postage ledger accurate and current?	

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8. Are employees without e-mail access kept current with AIM and other Division information?	Identify person to review and complete Compliance Attestation for II. C.1,2,3,7,9.
9. Are product donation records current?	
10. Is personal identifiable information (PII) and customer information being properly safeguarded?	
11. Is a file maintained for appeal inspections?	
D. MANDATORY POSTINGS	
1. Are all materials listed on the SCI SharePoint Required Office Postings Checklist posted within the office?	Identify person to review and complete Compliance Attestation and provide photograph.
E. TRAVEL REIMBURSEMENTS	
1. Was travel authorized in advance?	Identify responsible person(s) to be interviewed:
2. Are travel vouchers submitted by employee within 5 days of return from travel?	Relevant Document(s):
3. Are travel vouchers complete with all necessary documentation attached?	
4. Is the TRD checked for accuracy of charges?	
5. Are local travel costs properly verified as accurate?	
6. Are OF-1164s (Reimbursement for Expenditures/POV mileage) completed and submitted according to Division instructions?	Document Dates Requested:
F. CERTIFICATE ACCOUNTABILITY (Processed Services)	
1. Are electronic processed certificates ledgered?	Identify responsible person(s) to be interviewed:
2. Are security measures in place to ensure electronic certificate integrity?	Relevant Document(s):
3. Is there a memorandum of receipt for preprinted certificates?	
4. Is the ledger for preprinted and electronic certificates up to date?	Document Dates Requested:
5. Does the ledger agree with certificates on hand?	
6. Are certificates kept in locked storage?	
7. Is the original copy of voided certificates maintained?	
8. Does the field office track certificates distributed to other locations?	Identify person to review and complete Compliance Attestation for II. F.3,4,5,11
9. Is a numerical ledger maintained?	
10. Is there a method in place to ensure that the office would be aware of any missing certificates?	Provide photograph for F6
11. Is there a power of attorney on file for inspectors and supervisors signing certificates?	
G. CERTIFICATE ACCOUNTABILITY (TMI Services)	
1. Is the Carton Log up to date with accurate entries?	Identify responsible person(s) to be interviewed:
2. Is the Record of Assignment and Completion of Serially Numbered Forms accurate and up to date?	Relevant Document(s):
3. Are certificates filed according to Division policy?	
4. Are there missing FEIRS certificates listed on the office's Missing Certificate SOL report from this review period?	Document Dates Requested:
5. Have missing FEIRS certificates been reported to FSS and HQ Inspection Operations?	Identify person to review and complete Compliance Attestation for II. G.1,2 & 3

H.	OFFICIAL STAMPS	
1.	Are Hand and Roller Stamp accountability reports sent to the Regional Branch office according to Division policy?	Identify responsible person(s) to be interviewed: Relevant Document(s): Document Dates Requested: Identify person to review and complete Compliance Attestation for II. H.3, 4, and 5.
2.	Are all stamps checked quarterly by the supervisor?	
3.	Are there memorandums of receipts for all issued and returned stamps?	
4.	Is the field office using an adequate method to track and maintain an inventory of assigned office stamps?	
5.	Are stamps numbered properly?	
6.	Are stamps properly used, controlled and cared for?	
7.	Are lost, stolen or damaged stamps properly reported?	
8.	Are stamps being applied according to Division policy?	
I.	SECURITY STRIPS AND SEALS	
1.	Are accountability procedures being followed?	Identify responsible person(s) to be interviewed:
J.	TIME AND ATTENDANCE	
1.	For mixed-tour employees, are assigned work schedules in place before the pay period begins?	Identify responsible person(s) to be interviewed: Relevant Document(s): Document Dates Requested:
2.	For mixed-tour employees on a part-time work schedule, are the minimum guaranteed hours properly reflected on their Time and Attendance reports?	
3.	Are all the hours coded properly?	
4.	Is there a record for accrual and usage of compensatory time?	
5.	Is there an adequate system in place to verify the accuracy of the T&A's?	
6.	Are T&As compared with the payroll reports for accuracy?	
7.	Is MRP Form 139-R, "Commute in Government Vehicle," current for those employees claiming code 17 on T&A?	
8.	Is leave requested and approved in accordance with Division instructions?	
9.	When used, are Premium Pay logs completed properly and signed by the supervisor?	
K.	SCI CONTRACTS AND AGREEMENTS WITH INDUSTRY	
2.	Are products covered accurately shown?	Identify responsible person(s) to be interviewed: Relevant Document(s): Document Dates Requested: Identify person to review and complete Compliance Attestation for II. K.5.
3.	Are surety or advance payment amounts accurate for cost of service?	
4.	Are there Official Use Only reports for in-plant locations?	
5.	Are annual Plant Surveys current?	
.	USDA CONTRACTS	
1.	Is Exhibit 1 – USDA Contract Checklist completed properly?	Select and request scanned contract folder(s) for review per current AIM instruction
2.	Is Original Domestic Origin Certification, with original signature, completed properly?	
3.	If a plant packs foreign product, is there an acceptable segregation procedure?	
4.	Is there a detailed explanation of codes?	
5.	Are Lot traceability documents & Exhibits A and/or B completed properly?	
6.	Is there a Grower list with addresses on file?	
7.	For In-Plant: Are there formulation and processing observation notes?	
8.	Are there waivers for acceptance of non-conformance issues?	
9.	Is there a ledger of acceptable codes and numbers?	

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10. For Contract Certification: Is there a Checkloading Ledger?	
11. Is there a copy of the review sample submittal sheet with date sent?	
12. Are there label and case markings, including trays?	
13. Is the date of the Plant Survey or PSA audit acceptable?	
14. Has information been entered into Lotus Notes?	
15. Is documentation accurate for Certificate of Sampling?	
16. Is documentation accurate for Score Sheets?	
17. Is documentation accurate for Certificate of Quality?	
18. Is documentation accurate for Loading Reports?	
19. Is documentation accurate for Certificate of Loading?	
20. Is documentation accurate for Condition of Container?	
21. For Fresh-cut: Is HACCP Plan Verification Survey complete?	
M. SUPERVISORY REVIEWS	
1. Are Supervisory Review checklists (SC-397, SC-383) completed in accordance with Division guidelines?	Identify responsible person(s) to be interviewed: Relevant Document(s):
2. Are the timeframes and frequency of visits consistent with Division guidelines?	
3. Are all non-conformances and corrective actions clearly listed?	
4. Have all corrective actions issues been completed?	Document Dates Requested: Identify person to review and complete Compliance Attestation II. M.4.
N. MONTHLY TMI INSPECTION REPORTS	
1. Are data entry screens being completed monthly for the SQL TMI Activity repo	Identify responsible person(s) to be interviewed: Review referenced SQL TMI Activity report.
2. Is the FV-345 Summary of Terminal Market Inspections report reviewed monthly?	
3. Is the Applicant/Market Cross Check report reviewed monthly?	
III. INSPECTION INSTRUCTIONS AND POLICY DOCUMENTS	
1. Are paper inspection instructions and manuals located in office complete and up-to- date?	Identify responsible person(s) to be interviewed:
2. Do all employees know how to access Division policy documents in AIM?	Identify person to review and complete Compliance Attestation III. 1.
IV. PROGRAM ACTIVITIES	
A. QMP SERVICES	
1. Are QMP services offered in accordance with established QMP specifications?	Identify responsible person(s) to be interviewed: Identify QMP customers, appropriate contact, customer contact telephone number/email and best time to contact if known.
2. Are QMP customers satisfied with service?	
3. Has the OIC, Sub-Area Supervisor, or IIC discussed possible QMP service with local customers?	
B. IN-PLANT REVIEW (Processed Services)	
1. Are there USDA Contracts at the facility?	Identify responsible person(s) to be interviewed: Identify person to review and complete Compliance Attestation for section IV. B and select at least one facility for review as applicable.
2. Are applicable Standards/Specifications on hand?	
3. Are file cabinets locked?	
4. Are files current according to Division instruction?	
5. Is document retention acceptable?	
6. Is the plant contract on file?	
7. Are USDA labels with official marks on file?	

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8. Is there control of samples?	
9. Is there control of tamper proof tape?	
10. Was a safety audit performed at plant? If yes, enter date in notes section.	
11. Is the daily inspection report completed?	
12. Is billing submitted weekly?	
14. Are QAP verification work plans reviewed annually?	
15. Are QAP deficiencies properly addressed?	
C. LAB REVIEW	
1. Is lab neat and clean?	Identify responsible person(s) to be interviewed: Identify person to review and complete Compliance Attestation for section IV. C.
2. Is lab space properly designed for efficient grading?	
3. Is there adequate equipment to perform grading functions?	
4. Are multiple samples graded concurrently?	
5. Is USDA-approved lighting being used?	
6. Are equipment checks and/or calibration records maintained?	
7. Are commodity files complete and up-to-date?	
8. Are obsolete instructions removed?	
9. Are safety precautions observed?	
10. Are appropriate safety signs posted?	
V. SAFETY	
A. RECORDS/REQUIRED POSTINGS	
1. Are there yearly safety inspection reports, SC-706 or AMS-501?	Identify responsible person(s) to be interviewed: Relevant Document(s): Document Dates Requested: Identify person to review and complete Compliance Attestation for applicable V.A items. Provide photograph for V. A.8
2. Have all deficiencies been corrected?	
3. Has the OSHA Form 300 “Log of Work-Related Injuries and Illnesses” been completed?	
4. Has the OSHA Form 300A “Summary of Work-Related Injuries and Illnesses” been completed?	
5. Has the OSHA Form 301 “Injury and Illness Report” or SC-704, “Accident Investigation Report” been completed?	
6. Were CA-1 “Federal Employees Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation” forms completed and submitted in a timely manner?	
7. Were CA-16 “Authorization for Examination and/or Treatment” forms completed and submitted in a timely manner?	
8. Is an Emergency Exit Route and Evacuation checklist posted?	
9. Is there an SC-700 “Employee Safety and Health Record” on every employee	
10. Have all SC-700 “Employee Safety and Health Record” been updated when an employee relocates, is promoted or changes jobs?	
11. Is there an SC-701 “Receipt of Safety Program Training” for each employee?	
12. Are authorizations for driving (MRP Forms 135-R “Motor Vehicle Authorization” and 125- R “Defensive Driver Training Log”) current?	
B. CHEMICALS	
1. Are MSDS forms in place and current for all materials?	Identify responsible person(s) to be interviewed: Identify person to review and complete Compliance Attestation for applicable V.B.1,2,3,4,6.
2. Are all chemicals/radioactive materials stored properly?	
3. Have all employees that handle chemicals read and signed the “Hazard Communication Manual”?	
4. Are all chemical containers labeled?	
5. Are all chemicals that are not in use disposed of properly?	

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6. Is the lab area properly set up to ensure safe working conditions?	Provide photograph for V. B.7
7. Are safety shields in place for oil distillation?	
VI. EQUIPMENT	
A. INSPECTION EQUIPMENT (TMI Services)	
1. Is inspection equipment (e.g., scales, thermometers, sizers, etc.) in good condition and accurate?	Identify responsible person(s) to be interviewed: Identify person to review and complete Compliance Attestation for V.A. items.
2. Is all inspection equipment used sourced from the SCI Equipment Depot?	
3. Is an equipment inventory sheet maintained for each TMI grader?	
4. Does each TMI grader have two thermometers in their possession?	
5. Are approved digital thermometers checked against a glass thermometer or Tel-Tru machine twice per week?	
6. Are the checks of the digital thermometers documented?	
7. Does the office have a sufficient number of check weights to verify accuracy of all scales?	
8. Does the office have proper scales for potential Net Weight inspections?	
B. VISUAL AIDS	
1. Do all TMI graders know how to access FEIRS references, including virtualmo	Identify responsible person(s) to be interviewed: Identify person to review and complete Compliance Attestation for VI.B. items.
2. Are office visual aids filed or sorted to be readily accessible?	
3. Are photographs filed by commodity in alphabetical and/or numerical order?	
VII. PERSONNEL	
A. HIRING	
1. Did the office complete the EOD checklist for all new hires?	Identify responsible person(s) to be interviewed: Relevant Document(s):
B. TRAINING	
1. Is employee training completed in accordance with Division guidelines?	Identify responsible person(s) to be interviewed: Identify person to review and complete Compliance Attestation for VII. B. items.
2. Is employee training current?	
3. Are sufficient training aids available?	
4. Is employee training documentation complete and up-to-date?	
5. Are training reports maintained?	
C. PERFORMANCE/IDP's	
1. Are performance plans in place for all employees as required?	Identify responsible person(s) to be interviewed: Relevant Document(s):
2. Are mid-year performance appraisal reviews conducted with employees and documented on AD-435E or AD-435S as appropriate?	
3. Are IDPs on file for each employee?	
D. SCHEDULING	
1. Is the SCI Employee Rotation Policy properly adhered to?	Identify responsible person(s) to be interviewed: Relevant Document(s):
VIII. INSPECTION POINT AND SUB OFFICE REVIEWS COMPLETED BY AREA OFFICE	
A. Have Inspection Point and Sub-Office Reviews been completed this period for offices under the Area Office?	Identify responsible person(s) to be interviewed: Relevant Document(s):
B. Are the most current Review reports completed and on file?	
C. Do completed reports contain detailed information regarding non-conformances, observations, and general observations?	

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D. Have non-conformances been properly addressed via a CPAR?	
IX. CUSTOMER FOCUS	
A. Did the OIC meet with members of the industry regarding services provided?	Interview OIC and request scanned copies of supporting documentation if applicable.
B. Are meetings with members of industry documented?	
C. During this Review were spot checks made with representative members of the trade regarding the service?	

X. CUSTOMER CONTACT INFORMATION FOR INTERVIEW

COMPANY AND TYPE OF SERVICES PROVIDED	COMPANY CONTACT PERSON JOB TITLE	TELEPHONE NUMBER EMAIL ADDRESS BEST TIME TO CONTACT
Please provide at least four customer contacts including at least one QMP customer if applicable		

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