



United States Department of Agriculture

Agricultural Marketing Service, Specialty Crops Program, Specialty Crops Inspection Division

PATCH # 056

DOCUMENT: Federal Field Office and Federal-State Cooperative Market Field Office Review, September 2017

REMARKS: Alternate desk audit procedures to be implemented when the Associate Director of Inspection Operations determines extra ordinary circumstances exist that prevent completion of required on-site review and would continue until such time as the Associate Director determines on-site reviews can resume.

BACKGROUND: This guidance addresses challenges with conducting onsite field office review activities during extra ordinary circumstances such as pandemics and public health emergencies when travel and close personal contact are restricted. These alternate desk audit procedures provide flexibilities so that required annual field office review activities can continue to ensure SCI's policies, regulations, procedures and instructions for grading, certification, and overall administration of its programs are implemented and working as intended.

Federal Area Field Office Alternate Desk Audit (ADA) Procedures

Responsibilities

A. Reviewer responsibilities

1. Provide OIC, SAS, or IIC with sufficient advance notice that the field office review will be conducted under the ADA procedures. Additional planning will be required for audit research, document reviews, and office staff phone or virtual meeting interviews.
2. Prepare and submit the Alternate Desk Audit (ADA) Worksheet (Appendix IV) to the OIC outlining the requested documentation and dates to be reviewed for each category. This worksheet will be completed and submitted in advance to allow sufficient time for the field office to prepare and provide requested documents, images and applicable attestation reports.

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3. Prepare and submit the Field Office Desk Audit Requirement Compliance Review Results Attestation Report(s) (Appendix V) to the OIC. Attestation reports will be needed for any Review question(s) that cannot be answered remotely. The attester will be a person not directly involved in the process or activity relating to the Review question. For example; required office postings cannot be reviewed remotely, an attestation report will be completed and signed by an employee who is not responsible for maintaining the office postings, attesting that the postings meet the stated requirements.
4. After interviews are conducted and the review of relevant documentation submitted is completed, identify and document findings as outlined in the Responsibilities section of this manual under Field Office Reviewer, Federal, letter C.
5. After interviews are conducted and the review of relevant documentation submitted is completed, Identify and document the findings and categorize into (1) positive findings, (2) non- conformances, and (3) observations.
 - Custodial Activities pertaining to USDA Contracts for Area Office reviews will be evaluated separately by HQ Inspection Operations. The USDA Contracts related questions on the Federal Field Office Review report will be completed by the HQ Inspection Operations reviewer at the time of this review.
 - Determine if there are non-conformances of a serious nature which need to be immediately elevated to the attention of the RBC or Associate Director of Inspection Operations and, if so, notify same.
 - Document the non-conformances that affect the ability of SCI to achieve its stated quality objectives.
6. Conduct a telephone or virtual meeting conference exit briefing of all findings with the OIC, SAS, or IIC as deemed appropriate by the reviewer.
7. Refer to the current policies for completing the Federal Field Office Review and complete the SC-398 Field Office Review report normally.

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B. Field Office Responsibilities

1. Coordinate with the reviewer to determine a sufficient timeframe necessary for gathering requested documentation, determining points of contact, completing documentation reviews and attestation reports.
2. The OIC, SAS, or IIC are responsible for completing the Alternate Desk Audit (ADA) Worksheet (Appendix IV) and providing all the requested information and documentation.


Required information and documentation are as follows:

- Identify responsible field office staff point of contact for interviews
 - Provide the specific documents for those date ranges requested by the reviewer for evaluation of compliance with the requirements
 - Provide completed applicable attestation report(s)
 - Provide applicant contact information for customer feedback
3. Submit proposed corrective actions for all non-conformities within 15 business days of receipt of the review report.
 4. Initiate all approved corrective and/or preventive actions.

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APPENDIX IV – ALTERNATE DESK AUDIT (ADA) WORKSHEET

[Electronic version of Alternate Desk Audit \(ADA\) Worksheet](#)

		<input type="button" value="Print"/> <input type="button" value="Save"/> <input type="button" value="Reset"/>
<p>SPECIALTY CROPS INSPECTION DIVISION ALTERNATE DESK AUDIT (ADA) WORKSHEET SCHEDULING AND DOCUMENT INFORMATION EXCHANGE AUDIT PLANNING</p>		
FIELD OFFICE TYPE: <input type="checkbox"/> Area Office <input type="checkbox"/> Sub-Office <input type="checkbox"/> Inspection Point		LOCATION:
NAME OF OIC, SAS, OR IIC:		DATE REQUEST SUBMITTED:
REVIEWERS:		
CATEGORY	INFORMATION REQUESTED: <i>Responsible person(s) to be interviewed</i> should be identified and entered by the OIC, SAS or IIC. <i>Relevant documents and document dates</i> sufficient to determine compliance with the requirement should be entered by the reviewer(s) with input from the OIC, SAS or IIC. <i>Compliance Attestation</i> should be completed by field office staff who are not responsible for completing, reviewing or supervising the task/category item. <i>Customer Contact Information</i> should be entered by the OIC.	
A. DEBT MANAGEMENT REPORT (DMR)		
1. Is the DMR report being reviewed monthly?	NJ	Identify responsible person(s) to be interviewed: Relevant Document(s):
2. Are delinquent account procedures followed?	NJ	Document Dates Requested:
B. TRANSACTION REGISTER REPORTS (TRD) RESPONSIBLE		
1. Does the OIC know where to access the TRD?	NJ	Identify responsible person(s) to be interviewed: *Monthly Summary* financial reports can be reviewed on Division Share-point Report Site
2. Is the TRD being reviewed monthly?	NJ	
3. Are errors to the TRD being reported?	NJ	
4. Are errors corrected?	NJ	
C. REVENUE TRACKER (TMI) Services		
1. Is the Revenue Tracker completed and processed according to Division instructions?	NJ	Dates Requested:
D. BILLING – IN-PLANT (Processed Services)		
1. Is there an adequate system in place to verify accuracy of billings?	NJ	Identify responsible person(s) to be interviewed:
2. Do billings agree with supporting documents?	NJ	Relevant Document(s):
Federal Field Office and Federal-State Cooperative Market Field Office Review – Appendix IV 1 of 8		USDA is an equal opportunity provider, employer, and lender

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