United States Department of Agriculture

Marketing and Regulatory Programs

Agricultural Marketing Service

Specialty Crops Program

Specialty Crops Inspection Division

AIM Inspection Series

USDA Purchases Manual

August 2016

"SCI moving forward in the 21st Century using technology, innovation, and old fashioned hard work"

Non-Discrimination Policy: In accordance with Federal civil rights law and U.S. Department of Agriculture (USDA) civil rights regulations and policies, the USDA, its Agencies, offices, and employees, and institutions participating in or administering USDA programs are prohibited from discriminating based on race, color, national origin, religion, sex, gender identity (including gender expression), sexual orientation, disability, age, marital status, family/parental status, income derived from a public assistance program, political beliefs, or reprisal or retaliation for prior civil rights activity, in any program or activity conducted or funded by USDA (not all bases apply to all programs). Remedies and complaint filing deadlines vary by program or incident.

Persons with disabilities who require alternative means of communication for program information (e.g., Braille, large print, audiotape, American Sign Language, etc.) should contact the responsible Agency or USDA's TARGET Center at (202) 720-2600 (voice and TTY) or contact USDA through the Federal Relay Service at (800) 877-8339. Additionally, program information may be made available in languages other than English.

To file a program discrimination complaint, complete the USDA Program Discrimination Complaint Form, AD-3027, found online at http://www.ascr.usda.gov/complaint_filing_cust.html and at any USDA office or write a letter addressed to USDA and provide in the letter all of the information requested in the form. To request a copy of the complaint form, call (866) 632-9992. Submit your completed form or letter to USDA by: (1) mail: U.S. Department of Agriculture, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, SW, Washington, D.C. 20250-9410; (2) fax: (202) 690-7442; or (3) email: program.intake@usda.gov. USDA is an equal opportunity provider, employer, and lender.

USDA Purchases Manual
Table of Contents

INTRODUCTION 3
GUIDE FOR ELECTRONIC USAGE 3
USDA PURCHASE PROGRAMS 4
FOOD DEFENSE REQUIREMENTS 4
DOMESTIC ORIGIN REQUIREMENTS 5
- Domestic Origin Verification Required 5
- Verification of Code Trace-back 6
- Segregation Plans 11
- Billing Procedures 12
- Indefinite Delivery - Indefinite Quantity (IDIQ) Contracts 12

EXAMPLE DOMESTIC ORIGIN CERTIFICATION EXHIBIT 1 13
- Code Trace-back Request Letter 14
- Trace-back Documentation Review Letter 15

PROGRAM REQUIREMENTS 16
- General Requirements 16
- USDA Commodity Purchase Order Folders (for processed products) 17
- USDA Purchase Order Checklist 18
- Checkloading Ledger 19

CERTIFICATION 20
ADDITIONAL REQUIREMENTS 23
CASE STAMPING 26
CHECKLOADING 26
- Responsibilities 27
- Defining SCI Division Responsibilities 28
- Distribution 37

SUBMITTAL OF REVIEW SAMPLES 48
DELINQUENT PURCHASE ORDERS 54
INSPECTION OF FARM SERVICE AGENCY (FSA) PEANUTS AND PEANUT PRODUCTS 54
- Eligibility of Raw Peanuts 54
- Peanut Butter 55
- Roasted Peanuts and Peanut Granules 57
- Analytical and Microbiological Tests 59

RE-DONATION OF USDA PURCHASES 61
RE-INSPECTION OF USDA PURCHASES - QUALITY AND CONDITION 61
RE-INSPECTION OF USDA PURCHASES - MISSING SEALS 65
REJECTED LOTS 65
REPORT FRAUD OR CRIMINAL CONDUCT 66
Frozen French Fried Potato Products 67
- Salsa Sampling 71
- Sodium Content Testing 71
- Vitamin C Analysis of Fortified Juices 73
- Task List for Fresh Sliced Apple Review 74
- Task List for Fresh Baby-Cut Carrots Review 76
- Instructions for the Inspection of Pit Material and Quality of Dried Plum Pieces 78
- Instructions for the Inspection of Foreign Material and Quality of Dried Fruit and Nut, and Fruit mix 80

DEFINITION OF TERMS 85
REFERENCE LINKS 86

INTRODUCTION

This manual contains information and guidelines for Specialty Crops Inspection (SCI) Division inspection personnel. It is provided to promote uniformity in the inspection and certification of commodities intended for delivery to USDA purchase programs. Contact your immediate supervisor as needed for any situation not addressed in this manual.

This manual contains links to various internal and external sources of information. For inspection personnel without internet or intranet access, please contact your immediate supervisor to obtain hard copies of documents as needed.

GUIDE FOR ELECTRONIC USAGE

The Administrative, Inspection, and Management (AIM) System of instructional manuals is available electronically in Adobe Acrobat Portable Document Format (PDF) at the following intranet address: http://agnis/sites/FV/PPB/AIM/default.aspx.

When accessed electronically, AIM materials have hyperlinks and hypertext (visible as underlined blue text) available to the PDF user. Clicking on a hyperlink takes the reader to a web site with information relating to the subject. Hypertext will link the reader to a different page within the current manual - or even a different manual - with information relating to the subject. For example, the hypertext in the Table of Contents allows a reader to go directly to the section of interest in the manual by clicking on the section title within the Table of Contents.

PDF offers a variety of tools depending on the Adobe version the reader has. The newer the version, the more tools available. To learn about the variety of PDF search options available:

- Click on the “Help” tab on the top of this page,
- Then click on the “Adobe Acrobat Help” bar,
- Type the word “Search” in the “Search” box, and click on the “Search” button,
- A series of options will become available,
- Click on the “Access Search Features” link and follow the instructions for the type of search you are interested in.

This document format allows a PDF user to easily search for content within a document, or within multiple documents.

USDA PURCHASE PROGRAMS

USDA purchase programs include deliveries of fruit and vegetable products to domestic food assistance organizations and the National School Lunch Program. The Commodity Procurement Staff (CPS) buys fresh and processed fruits, vegetables, and specialty items from industry vendors to provide food for those in need and remove surplus production from the marketplace. Foods are often low in fat, sugar and sodium, and always grown and processed in the United States.

Specialty Crops Inspection (SCI) Division is the agency responsible for inspecting and certifying products for delivery to USDA Purchase Programs. SCI Division works closely with CPS to accomplish these duties in accordance with CPS requirements.

FOOD DEFENSE REQUIREMENTS

To implement safeguards so that their food recipients receive safe and wholesome products, all processed fruit and vegetable vendors doing business with CPS are required to have a food defense audit conducted by the SCI Division to help each vendor identify vulnerabilities. All vendors must be in full compliance with the Food Defense requirement prior to purchase order awards, and must fix any deficiencies identified in the audits, or they will be unable to sell their product to the agency. Beneficiaries of the Division's efforts are domestic food assistance organizations and the National School Lunch Program.

A Food Defense audit includes requirements regarding each vendor's food defense plan, preventive measures relative to tampering and intentional contamination, written defense practices, hiring practices, and ample security both in-plant and at off-site warehouses and storage facilities.

The **Food Defense System Survey** addresses Food Defense issues as identified in the Food and Drug Administration (FDA) publication Guidance for Industry, Food Producers, Processors, and Transporters: Food Security Preventive Measures Guidance. This Food Defense survey meets the requirements of the CPS, USDA Purchase Programs, and other programs requiring a Plant Survey and Food Defense System Survey. This survey may be used for any processing facility, storage, or offsite warehouse facility. The guidelines and rating elements listed should be used to determine facility ratings. A copy of this survey can also be found at the Fruit and Vegetable Program, SCI Division website at the following internet address:
https://www.ams.usda.gov/services/auditing/food-defense-system-survey

DOMESTIC ORIGIN REQUIREMENTS

AMS is responsible for ensuring all fruit, vegetable, and nut commodities purchased for USDA food assistance outlets are 100 percent grown in the United States. This means that products shall have originated entirely from crops grown, processed, and packed in the United States, its territories or possessions, the Commonwealth of Puerto Rico, or the Trust Territories of the Pacific Islands (hereinafter referred to as the United States) in accordance with responsible commercial practices, during the packing season, and from the crop year(s) specified in the Commodity Specification, or Solicitation.

The following examples illustrate products that do **NOT** meet this 100 percent domestic origin requirement:

A. Imported pineapple tidbits to be used in a canned fruit cocktail.

B. A concentrated or single strength juice product that contains an imported juice concentrate component.

C. Use of imported tomato paste in the production of canned vegetarian beans.

D. Production of frozen French fried potatoes from potatoes grown in Canada.

When present at the processing facility, the inspector will monitor product formulation and verify that the product and product components are of the required origin. The inspector will be familiar with and follow the appropriate verification instructions for the product inspected. Discuss deviations with appropriate supervisory personnel and notify the appropriate plant official of any deviations as instructed.

Domestic Origin Verification Required

Verification of domestic origin is required for each purchase order that is awarded. There are two options available to contractors for ensuring compliance. The first option is the Domestic Origin Verification (DOV) Program. The DOV program is a an audit-based program to verify contactors, subcontractors, suppliers, or processors procedures for ensuring that fruits, nuts, and vegetables sold to USDA, AMS are of 100% U.S. origin. (See the AIM Inspection Series, DOV Audit Program Manual, or contact your supervisor for more information on the DOV program.)

The second option is a code trace-back for contractors that do not participate in the DOV Program. A trace-back is required for every purchase order awarded.

See the Indefinite Delivery - Indefinite Quantity (IDIQ) Contracts section of this manual for IDIQ specific instructions.

Verification of Code Trace-back

"Code trace-back" is the documentation from contractors, subcontractors, and/or suppliers describing the processing/packing of a product from the production code back to the grower(s). The contractor must have a system in place with adequate documentation to substantiate that the commodity delivered was derived from crops solely grown and processed in the United States. Verification of code trace-back is the review of the contractors trace-back documents substantiating the domestic origin of commodities intended for delivery of USDA purchase orders.

The responsibility for compliance is the contractors, regardless of whether the product was processed/packed in their facility or if it originated from other sources (subcontractors and suppliers). If a contractor receives crops or products originating from other sources, it is up to the contractor to obtain proof of domestic origin compliance from those sources. Adequate documentation may include, but is not limited to the following areas: list of growers, raw material receipts, blend records, and/or in-process or production records documenting the code traced.

See the Indefinite Delivery - Indefinite Quantity (IDIQ) Contracts section of this manual for IDIQ specific instructions.

A. Non-DOV Participants

1. Contractors (subcontractors and suppliers) responsibilities:

Contractors will be required to trace one code, per facility, per purchase order, for each commodity provided on USDA purchase orders at a minimum. An exception to this requirement is for Indefinite Delivery - Indefinite Quantity (IDIQ) Contracts (see page 12).

a. Provide inspector with signed **original** Domestic Origin Certification Exhibit 1 form. The Domestic Origin Certification Exhibit 1 is available to the contractor in the AMS Master Solicitation.

b. The contractor will provide the inspector or other SCI representative with documentation (for example invoices, purchase documents, list of growers, etc.) when responding to the Code trace-back Request Letter to verify that product used for the USDA purchase order is domestic. **If all product used for production of the code trace-back is domestic, then the domestic origin requirement is considered satisfied.**

c. The contractor who uses non-domestic products similar to products purchased by AMS **shall have and provide** a detailed plan which documents how the non-domestic product is kept segregated from the domestic product, in addition to the requirements listed above.

d. The contractor must provide a copy of the segregation plan to the Officer-in-Charge (OIC) or other SCI representative **within ten days of the purchase order award**. Date of receipt should be noted on the segregation plan. Segregation plans must be approved by **SCI**. Once approved, date of approval and signature of approving official should be noted on the segregation plan.

e. **The burden of proof of compliance is on the contractor**. The contractor is responsible for obtaining documentation from their processors, suppliers, or subcontractor demonstrating the same level of trace-back as the contractor is required to provide.

2. SCI Division responsibilities (processed products)

If a contractor chooses not to participate in the DOV program, the inspector will:

a. Obtain a **signed original** Domestic Origin Certification Exhibit 1 form from the contractor and file it in the purchase order folder.

Do not issue a Certificate of Loading until an original Domestic Origin Certification Exhibit 1 is received.

b. **Obtain** the segregation plan from the OIC and place it in the purchase order folder, if applicable.

c. **Verify** a list of acceptable codes is available for shipment.

d. Request trace-back by preparing the top portion of the Code Trace-back Request Letter, as shown at the end of this section. **The completion due date given to the contractor for receipt of the code trace-back will be determined by the inspector.**

e. Verify trace-back documentation provided by the contractor **upon receipt** on **a minimum** of one code mark per facility, per commodity for **each** purchase order awarded. Trace-back shall be **verified prior to** the release of Certificates of Loading to the contractor. **This applies to single shipment purchase orders as well as long term purchase orders.** See the Indefinite Delivery - Indefinite Quantity (IDIQ) Contracts section of this manual for IDIQ specific IDIQ instructions.

f. **Withhold Certificates of Loading when it has been determined that documentation is inadequate and notify Inspection Operations through the proper chain of command.** Once it has been determined that documentation is inadequate, follow the steps indicated below.

(1) Utilize the Trace-back Documentation Review Letter, as shown at the end of this section, according to the instructions herein.

(2) The inspector will provide copies of all documentation and a brief summary of why it appears to be incomplete to Inspection Operations through the OIC (copies of the trace documentation do not need to be sent to the Regional office).

(3) The OIC will notify the Regional Chief and Inspection Operations of any non-response or non-compliance. **Inspection Operations will immediately contact CPS.** Until there is written documentation from the CPS Contracting Officer, SCI Division will continue to withhold Certificates of Loading related to the questionable purchase order.

(4) If the Contracting Officer indicates in writing that documentation is **not acceptable**, continue to **withhold** Certificates of Loading for that purchase order until notified by Inspection Operations or CPS to release them.

(5) If the Contracting Officer indicates in writing that documentation **is acceptable**, **resume issuing** Certificates of Loading for that purchase order.

g. If at any time during the inspection process, non-domestic product is evident when the Domestic Origin Certification Exhibit 1 form indicates that there is no non-domestic product, notify the OIC immediately and note your observation on the inspection documents. For in-plant inspection, note the observations in the remarks section of the Daily Inspection Report (FV-416). For lot inspection, note the observation in the remarks section of the Certificate of Sampling (FV-356).

3. Instructions for Completing Letters

This instruction contains two letters:

Code Trace-back Request Letter, and Trace-back Documentation Review Letter,

These letters are to be photocopied and used for requesting code trace-back documentation from the applicant, and for requesting the confirmation of records by CPS.

a. Code Trace-back Request Letter

This letter is used for requesting trace-back documentation from the contractor. It is also used to document the status of the trace-back request. Fill in the name and address of the contractor in the space marked "To:" Enter the purchase order number, location where the commodity was produced, commodity, date of pack, and the code to trace. Print and sign your name and date this portion of the letter. Distribute the original to the contractor and file a copy in the purchase order folder.

(1) If the contractor provides complete documentation and SCI Division has verified that it is complete, under the section titled **"FINAL"** mark the box next to **"Complete,"** print and sign your name, and date this portion of the letter. Make copies of the letter, distribute a copy to the contractor, and file a copy in the purchase order folder.

(2) If the contractor provides incomplete documentation or no documentation, under the section titled **"FINAL"**, mark the box next to **"Incomplete,"** or **"Not Submitted."** All documented time extensions should have been exhausted. Print and sign your name and date this portion of the letter.

(a) Make copies of the letter and distribute a copy to the contractor and file a copy in the purchase order folder. Notify your OIC by phone or email.

(b) Submit the contractors' documentation and a copy of Code Trace-back Request Letter along with Trace-back Documentation Review Letter to Inspection Operations when instructed by the OIC. **Certificates of Loading for this purchase order will be withheld pending a review by the National office and the Contracting Officer.**

b. Trace-back Documentation Review Letter

This letter is used for requesting a review by CPS for confirmation of adequacy of contractors' trace-back documentation.

(1) Enter the contractors' name and address, contact person and telephone number, the commodity, the purchase order number, the inspector's name, address, telephone number, fax number, and field office. Sign and date the form.

(2) **Attach a detailed summary** of why the documentation appears to be inadequate. Include any documentation from the contractor and the date(s) the documentation was requested and received. **Describe exactly where the trace-back of the code trail appears to be incomplete.**

(3) Make one copy for the purchase order folder.

(4) Using overnight delivery, send the original Trace-back Documentation Review Letter, a copy of the contractors' trace-back documentation, and the detailed summary to the OIC. The OIC will review the documentation and then forward it to the Inspection Operations staff who will then contact the Contracting Officer. **Continue withholding Certificates of Loading for this purchase order pending review by Inspection Operations and CPS.** After the review, the Contracting Officer will complete the bottom portion of the letter and return it to the field office.

(5) If the Contracting Officer indicates the documentation **is acceptable**, **issue** the Certificates of Loading for the purchase order.

(6) If the Contracting Officer indicates the documentation **is not acceptable**, **continue withholding** the Certificates of Loading for the purchase order until notified by Inspection Operations or CPS to release them.

B. DOV Participants

If a facility elects to participate in the DOV Program and becomes an approved participant, trace-back may be performed at the time of the DOV audit. Follow procedures as outlined in these instructions.

When SCI Division begins work (grades product) on purchase orders **prior to the effective date of DOV approval,** a trace will continue to be required on those purchase orders as instructed for non-DOV applicants.

Prior to any Certificates of Loading being signed and distributed, either an approved Code Trace-back Request Letter along with its supporting traceability documentation or a copy of an approved (current) DOV certificate must be in the purchase order folder. Verify that the certificate is current. DOV certificates show the valid dates. If product is supplied by a DOV supplier, verify the Bill of Lading showing delivery from the DOV supplier to the DOV participant.

C. Documentation Reviews

SCI Division will be responsible for the accuracy of the purchase order folders and will conduct periodic reviews of USDA purchase order folders maintained at field office, inspection point, or plant locations.

1. Regional offices will review a minimum of 5 USDA purchase order folders per field office; a minimum of 2 purchase order folders are required to be reviewed if the office has 10 or fewer purchase order folders.

2. Field offices will review approximately 25 percent of USDA purchase order folders for proper documentation.

3. National office will conduct quarterly reviews of at least 25 percent of all purchase order folders.

All reviews will be fully documented. Documentation of reviews will include corrective actions taken when folders are incorrect, incomplete, or missing items.

Segregation Plans

A segregation plan is a document explaining how non-domestic product is isolated from domestic product. A segregation plan is the preservation of lot identity from receiving through processing to shipment.

The contractor (including all subcontractors and suppliers) should document the method used to ensure complete segregation of non-domestic from domestic product.

The OIC reviews the segregation plan at the facility and determines if it can answer the following questions:

A. How is non-domestic product identified upon receipt? How does that identification differ from domestic product?

B. How is non-domestic product stored? Is it stored separately from domestic product?

C. How does the company ensure that no non-domestic product is mixed in with domestic product destined for a USDA purchase order?

D. How is finished product containing imports identified? How does this identification differ from that of domestic finished product?

Billing Procedures

All time spent on domestic origin verification will be billed to the applicant. Unless otherwise provided in a written agreement for inspection service on a contract basis, the fee schedule for code traceability will be in accordance with the Code of Federal Regulations (CFR), 7 CFR 52.42, available at this internet site: http://www.gpo.gov/fdsys/browse/collectionCfr.

Indefinite Delivery - Indefinite Quantity (IDIQ) Contracts

Commodity Procurement Staff will award IDIQ contracts based on destination with minimum and maximum quantities for a designated length of time.

- Purchase orders (PO) will be issued for portions of an IDIQ contract throughout the designated time of the contract.
- There is no limit on the number of POs that may be issued under an IDIQ contract.
- Each PO will be issued a new number and will state on the PO: "This PO is in reference to Contract xxxxxxxxxx.
- IDIQ POs must be provided to the USDA inspector by the contractor when awarded.
- The original IDIQ contract and all POs issued will be considered **one contract**.
- Lot traceability will be performed on the first PO issued on the original IDIQ contract awarded with no additional traceability required on subsequent POs, unless deemed necessary.
- Review samples shall be submitted from the first PO issued under the original IDIQ contract when the first shipping period begins from each style and each facility producing the product.
- POs will be filed in the contract folder with the original IDIQ contract.
- All documentation and certification for a PO will reference the original IDIQ contract number as well as the new PO number. In the "Remarks" section on the FV-419-1, Certificate of Loading, write the following: "Reference contract number xxxxxxxxxx."
- Shipping containers (cases) containing required USDA symbols and markings may be marked with the original IDIQ contract number or with the PO numbers.

EXAMPLE DOMESTIC ORIGIN CERTIFICATION EXHIBIT 1

DOMESTIC ORIGIN CERTIFICATION For Fruit and Vegetable Products and Poultry Products This form must be completed by an authorized company official or their designee for each contract/purchase order delivery awarded. The completed form must be presented to a representative of the USDA, Agricultural Marketing Service (AMS), certification agent at the processing facility; the completed form must also be presented to the USDA Contracting Officer or agent thereof upon request. ***If imported product is brought into the facility during the production and shipment of product for this contract, it is the Contractor's responsibility to notify the applicable certification branch.*** Each Contractor and/or processing facility under this contract must have a copy of this form on file.

Solicitation Number: _____

Contract/Purchase Order Number: _____

Product: _____

Crop Year (Packing Season if applicable): _____

EXAMPLE

Does your company process or handle products originating from sources other than the United States, its territories or possessions, Puerto Rico, or the Trust Territories of the Pacific Islands?

☐ Yes ☐ No If yes, attach a copy of your segregation plan explaining how such product is stored and processed separate from domestic product.

Do any of your Subcontractor's/Supplier's process or handle products originating from sources other than the United States, its territories or possessions, Puerto Rico, or the Trust Territories of the Pacific Islands?

☐ Yes ☐ No If yes, attach a copy of each subcontractor's/supplier's segregation plan explaining how such product is stored and processed separate from domestic product.

I certify that all products sold to the Department of Agriculture are of 100 percent domestic origin and that all above statements are true. I further certify that traceability documentation will be made available to USDA, Agricultural Marketing Service representatives upon request. WARNING: *18 U.S.C., Part I, Chapter 47, Section 1001 states that "Except as otherwise provided in this section, whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully (1) falsifies, conceals, or covers up by any trick, scheme, or device a material fact; (2) makes any materially false, fictitious, or fraudulent statement or representation; or (3) makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry; shall be fined under this title or imprisoned not more than 5 years, or both.*

Knowingly and willingly making false statements for fresh or frozen fruits and vegetables may also constitute a violation of the Perishable Agricultural Commodities Act (7 U.S.C., 499a - 499t), and may result in monetary penalties or license suspension or revocation.

Signature: _____
Print and Sign Name (Only authorized signatures)

Title: _____

Company: _____

Date: _____

EXAMPLE

(**NOTE**: This is an **example** of the form. The actual Domestic Origin Certification Exhibit 1 that is to be used is available to the contractor in the AMS Master Solicitation.)

Code Trace-back Request Letter

To:

Specialty Crops Inspection is requesting the following code be traced for domestic origin. The trace must show that all major food components are from crops solely grown and processed in the United States. The trace must include all supporting documentation substantiating domestic origin.

Contract No. (IDIQ)	
Purchase Order No.	
Contractor	
Commodity	
Date of Pack	
Code to Trace	

Please provide copies of trace-back documentation (with a copy of this request) to our office by ____/___/_____.
(Date)

Signature of Inspector (print & sign name) Date of initial request

REMARKS:

FINAL

Complete **Incomplete** **Not Submitted**

Signature of Inspector (print & sign name) Date

NOTE: Certificates of Loading will not be issued until code trace-back is verified and accepted.

Trace-back Documentation Review Letter

Contracting Officer
Commodity Procurement Staff

Fax: (202) 720 - 2782

The attached documentation has been supplied to us as Verification of Product Origin and Code Trace-back.

Contractor: (Name & Address)		**Contact Person: Telephone No.:**	
Contract No. (for IDIQ)			
Commodity:		**Purchase Order No.:**	

Please review the attached for compliance with purchase order requirements. The applicant has informed us that this is the **only** traceability documentation obtainable for the commodity. We have already commenced with the inspection. See attached summary of requests for documentation. However, Certificates of Loading are being withheld pending acceptance of traceability documentation. Please complete the bottom portion of this letter and fax an advance copy to the inspector, then mail the original to the field office.

Inspector's Name **Address** **Field Office**

Telephone No. **Fax No.**

Signature of Inspector **Date**

TO BE COMPLETED BY SPECIALTY CROPS INSPECTION DIVISION

The documentation is **Acceptable. Release Certificates of Loading.**
The documentation is **NOT Acceptable**. **Continue to Withhold Certificates of Loading.**
Other, See Remarks Below

Remarks:

Signature of Contracting Officer (print and sign name) **(Date)**

PROGRAM REQUIREMENTS

General requirements, announcements, and commodity specifications for the purchase of USDA Program products are as follows.

General Requirements

1. Products delivered under the USDA purchase programs shall have originated from crops grown, processed, and packed in the United States, its territories or possessions, the Commonwealth of Puerto Rico, or the Trust Territories of the Pacific Islands (hereinafter referred to as the United States) in accordance with responsible commercial practices, during the packing season, and from the crop year(s) specified in the Commodity Specification, or Solicitation. Processors possessing imported commodities similar to or the same as those being awarded on USDA purchase orders must declare the imported commodities when they submit their bid for USDA purchase orders.

2. Products shall be packed in new, clean, sound, sanitary containers suitable for the product, and of size and type specified in the commodity specification.

3. Primary containers shall be coded so as to identify the lot with the related inspection document(s). When specified that the product be packed in unmarked primary containers, shipping cases shall be coded to identify the lot.

4. Prior to sampling, the Contractor must furnish the SCI Division inspector with a list of codes and the approximate number of cases per code.

5. Cans shall meet the requirements for vacuum in the AIM Inspection Series, Technical Procedures Manual. Some commodity specifications may contain more restrictive requirements.

6. Primary containers (interior and exterior) and shipping cases shall meet the acceptance criteria outlined in 7 CFR 42, U.S. Standards for Condition of Food Containers at the following internet address: http://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR.

7. Primary container labeling requirements shall be in accordance with the applicable commodity specification.

8. Cases shall be marked as specified, and printed or stenciled in the color specified in the commodity specification.

9. Deliveries of commodities shall be on pallets in good condition and unitized in accordance with the applicable commodity specification. Compliance with items 7, 8, and 9 may be confirmed at time of checkloading or case stamping. **Alternatively**, **contractors may request that the SCI Division inspector review labels and markings prior to labeling and casing.**

There are other requirements in the Master Solicitation, Commodity Specification, and in the shipping documents for which the contractors are responsible, but for which SCI Division cannot assure compliance. If a contractor fails to meet these requirements, the SCI Division inspector should tactfully bring the noncompliance to the contractor's attention. **Do not hold up shipment**. Do not show the noncompliance on the Certificate of Loading. Note it on the inspector's copy of the Loading Report.

USDA Commodity Purchase Order Folders (for processed products)

A separate purchase order folder will be established and maintained for each purchase order. The USDA purchase order Checklist will be completed and filed with the purchase order folder, which will contain the following purchase order-related official documents:

1. USDA Purchase Order Checklist.

2. Commodity Procurement Staff (CPS) Solicitation and Amendments.

Note: Although not required to be in the purchase order folder, Master Solicitation, Qualification Requirements for Prospective Contractors Selling Commodities to USDA, and Commodity Specifications must be easily accessible by all inspection personnel. These documents are available at the CPS internet site at the following address: https://www.ams.usda.gov/selling-food.

3. Application for Inspection and Certificate of Sampling (lot inspections).

4. All product evaluation forms, such as applicable score sheet, tally sheet, mold/foreign material sheet, and condition of container examination sheet.

5. Copies of primary labels and shipping container markings.

6. Original, signed, Domestic Origin Certification Exhibit 1 form.

7. Copies of Certificate(s) of Quality and Condition.

8. List of acceptable codes and number of cases per code. Include an explanation of the coding system.

9. Loading Report(s), Certificate(s) of Loading and applicable Condition of Container examination sheet(s).

10. Copy of the completed Review Sample Submittal Sheet (SC-378).

11. Checkloading Ledger.

12. Other official records including a copy of the purchase order, waivers (sf-30 Amendment of Solicitation/Modification of Contract), etc.

13. Record the acceptance date of latest acceptable Plant Survey or Plant Systems Audit (PSA) on the checklist.

14. Completed domestic origin documents.

USDA Purchase Order Checklist

Contractor:_____ Location: _____
Product:_____ Contract No. (IDIQ): _____
Purchase Order No.:_____ Purchase Order Size: _____

A purchase order folder will be prepared for each USDA purchase order. The folder will be labeled with the purchase order number, name and address of applicant, and the name of the commodity. **The folder shall contain the following: Please Initial and Date Each Item as it is placed in the folder.**

Date	Inspector Initials	List of Information
_____	_____	USDA Purchase Order Checklist.
_____	_____	Commodity Procurement Staff Solicitation & Amendments.

(**Note:** Master Solicitation, Qualification Requirements for Prospective Contractors Selling Commodities to USDA, and Commodity Specifications, though not required in the purchase order folder, must be easily accessible by all inspection personnel.)

_____	_____	Other official records relative to the purchase order. (PO, waivers, etc.)
_____	_____	Date of Acceptable Plant Survey or Plant Systems Audit (PSA), (circle audit type and document date in space provided)_____.
_____	_____	Applicant Date of Pack Letter
_____	_____	Original Signed Domestic Origin Certification Exhibit 1
_____	_____	Completed domestic origin documentation.
_____	_____	Application for Inspection and Certificate of Sampling (Lot Inspection).
_____	_____	All product evaluation forms, such as applicable score sheet, tally sheet, and mold/foreign material sheet.
_____	_____	Copies of Certificate(s) of Quality and Condition.
_____	_____	List of Acceptable codes and number of cases per code. Including an explanation of the coding system.
_____	_____	Solicitation, Loading Report, Certificate of Loading and applicable Condition of Container examination sheet(s).
_____	_____	Checkloading Ledger
_____	_____	Copies of primary labels and shipping container markings.
_____	_____	Copy of the completed Review Sample Submittal Sheet.

Remarks:

Each person working on this purchase order has the responsibility to check for complete and accurate information pertaining to the above listed purchase order.

Checkloading Ledger

Applicant: _____ Purchase Order No.:_____
Contract No. (IDIQ): _____
Product: _____ Number of Cases:_____

Date	Certificate #	Cases	Date Loaded	Load #	Sales Order #	Destination	Cases Shipped	Balance Of Cases

CERTIFICATION

Instructions on the completion of certificates are found in the AIM Inspection Series, Certification Manual. Examples of various completed certificates for the USDA Purchase Program may be found on the following pages. The quality requirements for each commodity will be specified in the applicable Commodity Specification and/or Invitation for Bid, as amended. Each lot must be inspected prior to shipment, within the time specified. When the time specified has elapsed, either an update inspection or a complete re-inspection may be necessary. For instructions on these procedures, see the AIM Inspection Series, Certification Manual.

Under the USDA purchase programs, a Certificate of Quality and Condition, Forms FV-146, FV-147, FV-149, or FV-300 **must** be prepared for all fruit and vegetable products offered for inspection (**pass or fail**).

When the product **fails** the quality requirements of the Commodity Specification, prepare a failing certificate as shown in the AIM Inspection Series, Certification Manual. In the Grade section of the certificate, be sure to include a failing statement similar to the following: "Fails quality requirements of Commodity Specification for Canned Fruit dated (enter date) account (reason for failure)."

The applicant will have the option of receiving a commercial certificate for the failing product. Issue a commercial certificate at the applicants' request by superseding the failing certificate as shown in the AIM Inspection Series, Certification Manual.

Prepare an acceptable code list from passing lots, including the number of cases (units) per code to be used for verification at the time of checkloading. A copy of the certificate and the list of acceptable codes will be filed with the contract folder.

USDA Purchase Program - Meets Quality Requirements

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF QUALITY AND CONDITION

(PROCESSED FOODS)

Please refer to this certificate by number and inspection office.

Z-000000

This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws.
WARNING: Any person who knowingly falsely, make, issue, alter, forge or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than $1,000 or imprisonment for not more than one year. or both (7U.S.C. 1622 (h)).
The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

DATE
October 1, 2011

APPLICANT	ADDRESS
Apple Spice Inc.	Inwood. WV 87909
RECEIVER OR BUYER	ADDRESS
- - - - - - - - - - - - - - -	- - - - - - - - - - - - - - - - - - -
SOURCE OF SAMPLES	PRODUCT INSPECTED
Officially Drawn	CANNED APPLESAUCE

CODE MARKS ON CONTAINERS
MA610; RL516; and AB704 …

PRINICIPAL LABEL MARKS
Meets labeling requirements of Commodity Specification for Canned Fruit (enter date)

Net Weights:	Meets label declaration.
Vacuum:	8 to 16 inches
Brix:	9.1 to 11.3 degrees
Type of Pack:	Unsweetened
Style:	Regular (Comminuted)

GRADE:
U.S. Grade A
Average score 96 points

Meets quality requirements of Commodity Specification for Canned Fruit dated (enter date).

REMARKS:
This certificate covers 5,472 cases 6/No. 10 cans (applicant count). Product packed in beaded-body cans with enamel lined ends, and cased in corrugated fiber cartons. Lot located in applicant's warehouse, Inwood, West Virginia, and identified by code marks as shown above. Inspection Records indicate product packed September, 2011. Cases marked in accordance with contract requirements.

PURCHASE ORDER NUMBER: 4100000003

Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 *U.S.C.* 1621-1627), *governing the inspection certification of the product designated herein. I certify that the quality and condition of the product* as *shown by samples inspected on the above date* were as *shown, subject to any restrictions specified above.*

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR
Example	Example

USDA Purchase Program - Fails Quality Requirements

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF QUALITY AND CONDITION

(PROCESSED FOODS)

Please refer to this certificate by number and inspection office.

Z-000000

This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws.
WARNING: Any person who knowingly falsely, make, issue, alter, forge or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than $1,000 or imprisonment for not more than one year. or both (7U.S.C. 1622 (h)).
The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

DATE
October 1, 2011

APPLICANT	ADDRESS
Apple Spice Inc.	Inwood. WV 87909
RECEIVER OR BUYER	ADDRESS
- - - - - - - - - - - - - - -	- - - - - - - - - - - - - - - - - - -
SOURCE OF SAMPLES	PRODUCT INSPECTED
Officially Drawn	CANNED APPLESAUCE

CODE MARKS ON CONTAINERS
MA610; RL516; and AB704 …

PRINICIPAL LABEL MARKS
" Inwood Applesauce, Net Wt. 105 oz. (6 lb. 9 oz.) 2.98 Kg, Distributed by Inwood Distributors, Inwood, WV 87909 Product of U.S.A."

Net Weights:	Meets label declaration.
Vacuum:	8 to 16 inches
Brix:	9.1 to 11.3 degrees
Type of Pack:	Unsweetened
Style:	Regular (Comminuted)

GRADE:
U.S. Grade B
Average score 86 points

Fails quality requirements of Commodity Specification for Canned Fruit dated (enter date) account (reason for failure).

REMARKS:
This certificate covers 5,472 cases 6/No. 10 cans (applicant count). Product packed in beaded-body cans with enamel lined ends, and cased in corrugated fiber cartons. Lot located in applicant's warehouse, Inwood, West Virginia, and identified by code marks as shown above. Inspection Records indicate product packed September, 2011.

Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 *U.S.C.* 1621-1627), *governing the inspection certification of the product designated herein. I certify that the quality and condition of the product* as *shown by samples inspected on the above date* were as *shown, subject to any restrictions specified above.*

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR
Example	Example

ADDITIONAL REQUIREMENTS

A. Label, Case Markings, and Condition of Container

Inspection of additional requirements of the Commodity Specification, such as compliance with label and case markings and exterior condition of container examination can be made at the time of checkloading or case stamping. If the condition of container examination is done prior to the day of loading and at the time of loading, a spot check shows there is a definite change from the original examination, a complete condition of container re-examination must be made.

B. Temperature

When specified, inspection of frozen product for temperature shall be performed at the time of checkloading. The Commodity Specification may indicate that frozen foods shall be held, tendered, and transported at a temperature of 0° F or lower. **Under temporary conditions, such as may occur at the time of loading, the product temperature may exceed the 0 degrees F requirement. However, any lot exceeding a temperature of 10 degrees F at the time of loading shall be rejected.** Temperatures are required to be documented. Temperature will be recorded on the Loading report and the Certificate of Loading.

C. Unitization

Unit loads for truck and rail car shipments will be examined to verify that the pallets used are as specified and the shipping cases are unitized in accordance with the applicable Commodity Specification. When there is a non-conformance to the unitization requirement, show the reason in the REMARKS block of the certificate of loading.

Note: Verification of unitization is not applicable when case stamping in lieu of Checkloading.

D. Reused Containers

Reused containers are not acceptable for government purchases.

(***NOTE**: The commodity specification requires that product be packed in “new” containers. This is in reference to the “finished product” containers. Some producers may pack product in clean “reused” containers when the product is to be reprocessed at a later date. Example: Dried cherries may be made from frozen cherries that were originally packed (at the time of freezing) in clean reused containers. However, the final product (the dried cherries) must be packed in new containers.)

E. Plant Sanitation

Plant sanitation requirements relating to USDA purchases of Processed Fruits and Vegetables and Related Products will be the current Good Manufacturing Practice of the U.S. Food and Drug Administration (FDA). These requirements are outlined in the Good Manufacturing Practices (GMP) section of the AIM Inspection Series, Sanitation Manual.

Division procedures to implement these requirements and contract terms and conditions for purchases of agricultural products are as follows:

1. Plants operating under any type of in-plant inspection on a contract basis, whether it is on a voluntary basis or a requirement of the purchase order for a specific product, shall be surveyed in accordance with the AIM Inspection Series, Sanitation Manual. All plants operating under contractual inspection services will not need to be re-surveyed. Plants receiving procurement awards and voluntarily electing to have in-plant inspection will be surveyed using FV-365-1, Parts I and II.

2. Plants receiving awards requiring only lot inspection will be required to have a pre-award approval (Plant Survey, PSA, Food Defense, etc.). Conditional approvals are not acceptable.

3. When a contractor under lot inspection requests a survey, they will be charged for the time. If the National office authorizes or requests such a survey, the Government will pay for the survey.

F. Latest Season's Pack

Unless otherwise specified, products for delivery to USDA Programs require product to be of the latest season's pack. Apply the following guidelines when determining date of pack. Supervisors may allow variations to these instructions at their discretion.

1. Canned items processed in the current season from the previous season's cold storage (i.e., preserves, cranberry sauce) are considered of latest season's pack.

2. Frozen items repacked in the current season from bulk which was held in cold storage for more than twelve months (i.e., frozen peas, mixed vegetables) are not considered of latest season's pack.

3. Where a commodity has two distinct packs in one calendar year, the spring pack will be considered "current crop," even though the fall season has started.

4. Purchase orders, solicitations, or specifications may further restrict the raw product to a certain harvest period or the canning or freezing to a certain processing period. A restriction to the 2010-2011 crop (use current data) does not allow the use of early 2010 crop of the previous season. An example of this type of restriction would be a purchase order requirement such as "processing must be not more than 45 days prior to the date of this award and must be from the 2010-2011 crop."

Approved methods to verify "latest season's pack" are as follows:

1. When the product has been packed under in-plant inspection and is properly coded so that it may be identified with plant inspection records, verify pack date through the plant's area field office.
   If conclusive evidence shows that a lot offered is not of the latest season's pack, the contractor should be advised so that they may substitute a lot that is acceptable. A written statement from the contractor or packer indicating product is of latest season's pack is not acceptable when there is conclusive evidence to the contrary.

2. If product cannot be identified with inspection records indicating the month and year of pack, request a written statement from the contractor or packer to include required crop year information.

   If there is no conclusive evidence to the contrary, a written statement from the contractor or packer indicating the month and year of pack will be accepted as verification of latest season's pack (and crop). However, contact your immediate supervisor if there is a question about date of pack.

CASE STAMPING

"Case stamping" means stamping all shipping cases with the USDA "Officially Sampled" stamp to identify the lot with the related inspection certificate by office, date, and if required, lot number. For instructions on Case Stamping, see the AIM Inspection Series, State and Institutional Purchases Manual, Case Stamping section.

CHECKLOADING

A. General

Checkloading is required to identify lots as those previously inspected and certified as meeting purchase order requirements, as well as to verify quantities. For those fresh products inspected at shipping point, lots will be Positive Lot Identified (PLI) in lieu of checkloading and shall be noted on certificates of Compliance. This procedure facilitates acceptance at origin by government contracting officers.

Checkloading is done under the continuous supervision of the inspector to assure lot identity, and to observe that no damage to product containers or to the shipping cases is caused when transferring product to the carrier. **Checkloading is performed only after it has been ascertained that all the detailed requirements of the purchase order have been met, or in the case of a non-conforming lot, only after the Contracting Officer (CO) has accepted it in writing.** SCI Division offices must possess written confirmation of acceptance of nonconforming lots directly from the CO. A copy of the CPS's acceptance of a non-conforming product will be filed with the purchase order folder. The contractor must segregate any code mark which appears at the time of loading and is not shown on the inspection certificate or on the list of acceptable codes.

Division policy states that inspectors are to be present at the time of checkloading. **Therefore, Division policy requires that the inspector be relieved of additional and concurrent duties to the extent that they may be present for the duration of the checkloading assignment.**

If circumstances are such that regularly assigned inspectors cannot properly perform checkloading and keep up with other inspection duties, plant management will be so advised, and the inspector-in-charge will request additional help from the local USDA inspection office.

An inspector on a checkloading assignment needs the following:

1. A copy of the certificate or master list of approved codes and a record of any lots that have been previously rejected.

2. A copy of the purchase order.

3. If available, grading equipment in order to verify non-distinctive codes and/or to determine the acceptance of unfamiliar codes, and/or perform verification or up-to-date inspections.

4. Copies of necessary instructions and approved forms, such as the loading report form and applicable condition of container examination work sheets.

Responsibilities

A. Contractor's Responsibilities

1. Give appropriate notice in sufficient time to arrange for checkloading.

2. Begin loading only when a representative of the SCI Division is present.

3. Properly load and brace the carriers to assure that the commodity arrives at its destination in good condition.

4. Give a list of codes and copies of shipping documents to the SCI Division inspector.

B. SCI Division Responsibilities

Do not attempt to checkload a carrier that has been loaded or partially loaded. If the carrier has been loaded, it must be unloaded to a point where the following responsibilities can be carried out.

1. Check condition of carrier.

2. Identify the lot to be loaded as the lot that was previously inspected.

3. Examine shipment lots for condition of container.

4. Examine for compliance with primary container labeling and case marking requirements.

5. Examine for compliance with case closure requirements.

6. Verify count.

7. Seal carrier immediately upon completion of loading only if the above conditions are met. High security type seals shall be used.

Defining SCI Division Responsibilities

A. Condition of Carrier

The interior of the carrier must be free from protruding nails or other sharp objects that could damage the cases. The carrier must be swept clean of trash and debris before loading. The general condition of the carrier should be noted, such as a broken door lock, a battered out end, evidence of a leaking roof, holes in the floor and/or sidewalls, strong offensive odors, and presence of living insects. In the case of refrigerator cars, check to see if the ice has been removed from the ice bunkers and that the car is dry.

The carrier must be dry and in such condition that it will remain dry enroute. Do not checkload in inclement weather if rain or snow is blowing into the carrier, or on to the cases being loaded. **INSPECTORS DO NOT REJECT CARRIERS**. Inspectors diplomatically make it known that they must decline to checkload and notify supervisor.

B. Lot Identity

Be sure the merchandise being loaded is the same as is reported on the inspection certificate or master list of codes. Code marks, container size, type of container, warehouse location, markings on the stacks, particularly markings on the individual cases - all serve to identify the merchandise. These are all part of the original grading record and can be used by the SCI Division inspector to establish the proper identity of the lots to be loaded. Since some criteria are subject to change (warehouse location, markings on the stacks), code marks on the specified containers are the most reliable criteria for lot identification.

As a guide to verify lot identity during loading, open one case per pallet to check the code marks.

C. Condition of Container

Refer to the AIM Inspection Series, Condition of Container Manual, and the U. S. Standards for Condition of Food Containers, 7 CFR 42, which may be found at the following internet address:
http://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR.

Condition of container inspection is a necessary part of checkloading. This examination can be performed at the time of checkloading or case stamping, or prior to loading to verify that the lots are acceptable.

The determination of acceptability of a second carrier or lot may be accomplished while actually loading the first carrier. Or several carriers can be checked the day before actual loading to save time during loading. However, if at the time of loading a spot check shows there are definite changes from the original examination, a complete re-examination of the condition of container must be made.
When a condition of container examination is performed as the carrier is being

loaded, the shipper must understand that if the merchandise fails the condition of container examination, the loaded portion will have to be removed from the carrier. The recommended procedure under these circumstances is to use the single sampling plan for condition of container. The double sampling plan is applicable only when the examination is performed prior to loading the carrier.

D. Safety Precautions

1. Opening Carrier Doors

Inspectors should not attempt to open carrier doors themselves. This is the responsibility of plant employees.

2. Entering and Leaving Carriers

Safety precautions must be taken at all times in entering and leaving the carrier. Always be aware of lift trucks that may be entering or leaving. Take care especially in the winter months when snow and ice are likely to be found on the doorsill. Even in the summer time, it is easy to slip on a wet doorsill and suffer a severe injury. Jumping to the ground from the door sill is a dangerous practice which has caused serious harm to inspectors in the past.

3. Caution against Entering Carriers That Are Subject to Gaseous Components

There are two types of conveyances subject to gaseous components; charcoal heated (carbon monoxide gas) and liquid nitrogen fumigant (oxygen removed to a level that will not sustain human life) carriers. Each unit should have a warning card attached to the outside of the carrier stating the procedure to follow before entering.

These units should remain open for approximately 10 minutes before entering to allow ample ventilation. Lack of proper ventilation in a carrier using gaseous elements may result in dizziness and breathing difficulties.

4. Danger of Being Locked in Carriers

Inspectors should take necessary precautions to prevent being locked in a carrier. Posting a sign, or agreeing on a signal with the person responsible for closing the doors (e.g., a piece of equipment or a case of product set in the doorway) can protect against an accidental lock-in.

5. Other Precautions

Observe safety precautions if it is necessary for an inspector to get on top of a load to verify count. Use a secure ladder, and ask for assistance to get safely up and down. When climbing over the top of a load especially in a common or ventilated rail car, inspectors should watch out for bolts or nails extending down from the ceiling. Caution under these circumstances

can prevent head and back injuries, as well as torn clothes. A bump cap should be worn when working close to the ceiling of a carrier.

Also be careful of any loose boards or partition strips where nails are exposed. They can inflict a very painful and serious skin puncture. Boards and partition strips that are loose should be secured or removed and taken to another area to avoid a possible injury from stepping on them.

Inspectors should avoid walking in back of trucks whenever possible to prevent being run over or crushed against the loading dock. After loading, it is advisable to ask the driver to move the truck into an open area and park it until the container is sealed. Be sure the driver is aware of your location when sealing the container.

E. Packaging, Packing, and Marking Requirements

The commodity specification or solicitation normally references the type of primary container, type of case, labeling, case marking, and unitization requirements. If not done beforehand, inspect the load to ensure compliance with these requirements at time of checkloading.

F. Loading the Carrier

Special instructions are often part of the shipping instructions of any purchase order. Such instructions may refer to the type of equipment to be used, i.e., box cars, insulated or refrigerator cars (perhaps with heaters in the winter), cars with special braces (such as damage-free (DF) loaders), or cars with compartments.

A procurement agency instruction may stipulate that the shipment is not to be delayed by lack of equipment requested, but the contractor should load and ship in accordance with good commercial practice.

"Good Commercial Practice," for the purpose of the various programs, may be interpreted to be any method of carrier loading generally accepted by the transportation company. Solid load carriers may be used in single delivery or split delivery shipments. Single delivery shipments may be made in one carrier, or several carriers. There are weight limitations on the use of a single carrier. Detailed information regarding these weight limitations may be obtained from the transportation company.

One or several carriers may be used to move a given shipment. Split shipment receivers of a single carrier (with bracing) should be instructed to level the load after removal of their portion of the load. It is the responsibility of the shipper to notify the receiver.

If cases are to be stacked on the floor of the carrier (as in a railcar), the vendor is advised to cover the floor to protect cases from their normal roughness. Cases should be stacked tight from the front to the back of the carrier. If the normal space from front to back cannot be absorbed by case arrangement, extra space

should be filled with corrugated sheets or with a constructed bulkhead.

All carriers are not of equal length, so each carrier has to be specially fitted. The cases should be stacked in standard blocks at each end of the carrier, with a special block in the doorway. The same count should be used in each tier from floor up in order to make a total case count check. Hidden blocks cannot be counted. The pattern must be uniform. Cases may be stacked loosely from side to side, but inspectors should encourage that any extra space be left at the end of rows instead of the center. This will prevent the cases from being damaged by scraping against the sides of the carrier if the load shifts.

A few extra cases of the last layer may be laid on top of the load without bracing. These are known as floaters. However, single last layers of any depth should be braced.

Record the loading pattern on Form FV-420, Loading Report (which may be found on the AMS Forms Catalog at the following intranet address: http://agnis/AMSFormsCatalog/Forms/AllItems.aspx). This form serves as a permanent record of the loading pattern and a work sheet to verify the case count. A duplicate copy may be placed in the car. This form also serves as an unloading guide to the receiver, and shows that the loading was supervised.

In addition to Form FV-420, a pencil copy of Form FV-419-1, Certificate of Loading, (which may be found on the AMS Forms Catalog at the following intranet address: http://agnis/AMSFormsCatalog/Forms/AllItems.aspx) must be completed while supervising the loading. Be sure the numbers that correlate to the identification of the carrier, bill of lading, and seal(s) are recorded accurately. Instructions for completing this form and completed examples are shown at the end of this section.

For frozen or refrigerated products, most carriers will have mechanical refrigerating units. On the pencil copy of the Certificate of Loading note the temperature reading of the carrier on completion of loading, and if required, the type of cooling unit on the carrier. Product temperature should also be noted, especially if the frozen product is subjected to conditions that may raise temperatures above 10 degrees F. Inspectors should caution plant personnel not to allow long staging periods prior to loading frozen product, especially during warm weather.

G. Sealing the Doors

Loading must be in accordance with good commercial practices and the sealing must be done at origin under the supervision of a certification agent. Therefore, all delivery units—truck lot and less-than-truck lot (LTL) quantities—must be secured at all times prior to unloading with tamper resistant, serially numbered, high security seals. Suppliers of commodities, products and/or services shall be responsible for placing seal(s) on all doors of each transportation conveyance upon completion of loading or servicing. Seals shall be serially numbered,

barrier-type and meet the American Society for Testing and Materials (ASTM) standards (F-1157-04). Seals shall be 1/8th inch diameter cable, high security bolt, or equivalent. The contractor must maintain a record of each seal number used per truck lot and LTL delivery unit. Additionally, the contractor must ensure that the applicable seal identification number is on each bill of lading, shipment manifest, certificate, or delivery documents for each delivery destination.

Prior to applying seal(s), the inspector will verify the case count, and compare notes with the shipper. The inspector and the shipper each counted the cases in his or her own way, but the case counts should be in agreement. When the count is determined, complete the Certificate of Loading work sheet and provide a copy to the shipper if requested. Let the contractor know when the carrier is ready to be sealed to allow the contractor to make any final checks or include any papers that may be required to go in the carrier. The carrier should be sealed as soon as possible after loading is completed.

Some agencies rely on the inspector's count as the basis for making payment, so it is crucial that the carrier is correctly sealed.

When LTL delivery units are transported on the same trailer and destined for multiple recipients, the trailer must be sealed after each delivery. The seal number must be recorded on the appropriate delivery documents, and correspond with the applied seal at the time of arrival at the next destination. It will be the responsibility of the contractor to provide a sufficient number of seals to the carrier service, and to ensure that the trailer is sealed after each delivery destination. Failure to seal the trailer after each stop may result in rejection of the shipment by the recipient agency at the next scheduled stop, and rejection of any subsequent deliveries on the trailer.

1. Railcar

   Each railcar must be sealed. The contractor is responsible for arranging for railcar deliveries of more than one delivery unit so that each delivery unit contained in the same railcar can be completely separated and sealed.

2. Truck or Piggyback

   Truck or piggyback shipments must be sealed at origin. A delivery unit shipped by truck or piggyback which includes split deliveries to multiple destinations will require sealing after each drop.

In all instances, a Certificate of Loading will be issued, so that the contractor has proof of delivery to present with the invoice for payment. For non-DOV participants, this will only be after an acceptable trace-back has been completed.

Note: Deliveries in open van carriers are not allowed.

H. Corrected Sales Order for USDA Purchases

1. Changes within a purchase order.

When a purchase order has a sales order that requires a change in destination, shipping point, or any other change, the contractor must contact CPS. CPS will then contact the Food and Nutrition Service (FNS) to determine how the change is to be addressed. CPS will then discuss the matter with the appropriate party. SCI Division personnel will use the information found on the original purchase order unless notified of a change by CPS in writing.

2. Changes outside the purchase order.

When notified of shipments, consignees may request upgrading of delivery services, or delivery to an alternate warehouse. For example, they may request delivery within the consignee's premises or to a specific room within a building. Such delivery terms are beyond USDA contractual requirements. Any negotiations to upgrade services are between the contractor and consignee, and any additional charges for special delivery terms are between consignee and contractor. Any charges invoiced to USDA for additional delivery services will be denied. Written notice will not be needed or required from CPS.

Inspectors should note in the "Remarks" section of the Certificate of Loading that the destination was changed as per a telephone call or fax by _____ (Either contractor or receiver) on _____(date).

I. Case Stamping in Lieu of Checkloading

Case stamping in lieu of checkloading is authorized for canned, bottled, dried, and dehydrated products. Shipping cases will be stamped with the "OFFICIALLY SAMPLED" stamp. On palletized loads, if the stacking pattern is such that the center cases are not visible, stamp only the visible cases. It is not necessary to break down the pallet load. **Case stamping shall only be performed after the product has been determined to be in compliance with specification requirements. Cases will be stamped with the date of the case stamping and not the date of sampling for grading.** At this time, lot identity and condition of container examination will be performed, or confirmed if previously performed.

Positive Lot Identification (PLI) stickers with the "OFFICIALLY SAMPLED" stamp can be used in lieu of case stamping each individual case for tray pack cases. Apply PLI stickers on two adjacent sides of the pallet. **Reproduced copies of the "OFFICIALLY SAMPLED" stamp are not acceptable.** PLI stickers must be stamped with **blue ink** at the time they are affixed to the pallets.

Note: Case Stamping in lieu of checkloading is not authorized for frozen product.

As a reminder - Inspectors shall receive and maintain a Memorandum Receipt for each Officially Sampled stamp in their control. The inspector shall keep stamps in a locked drawer or locked file cabinet to assure USDA control. Only USDA personnel shall have access to the stamps. If plant employees assist the inspector by stamping cases, the inspector will closely supervise this use of stamps by others. Stamps shall not be left in the possession of non-accountable, unauthorized personnel.

J. Certificate of Loading, Form FV-419-1

The Certificate of Loading is used by SCI Division to identify a shipment of product which meets specification requirements. This document is a certification of the inspector's count, which can be used as prima facie evidence of the quantity shipped and be the basis for payment, even if there is a report of a shortage. Form FV-419-1, Certificate of Loading is available on the AMS Forms Catalog at the following intranet address: http://agnis/AMSFormsCatalog/Forms/AllItems.aspx. The Certificate of Loading is an official certificate and should be typed whenever possible. Handwritten Certificates of Loading may be accepted, provided they are printed clearly and legibly in **BLUE** ink. The signature shown on the original should be in **BLUE** ink.

Some programs have specific instructions for certificate of loading distribution. Follow these special instructions. Any delay in distribution may delay payment to the vendor. Review each certificate of loading prior to release for accuracy and compliance with the appropriate specifications.

The information required on the FV-419-1 is shown in the numbered list below:

1. **Number (upper left hand corner)** - Number each Certificate of Loading starting with number one. A consecutive numbering system shall be used for each purchase order. If there are different shipping points on the same purchase order, a separate numbering system may be used for each shipping point. **The last Certificate of Loading used for a purchase order (shipping point) will show in this space a number and the word FINAL.**

Note: For corrected Certificates of Loading, the words “CORRECTED CERTIFICATE” will appear in the upper right hand corner.

2. **Purchase Order No. – (PO#)** Show the ten digit purchase order number or warehouse code block.

3. **Solicitation No.** – Show the ten digit Solicitation number indicated on the purchase order.

4. **Sales Order No. (SO#) or Purchase Requisition No. (PR#)** –Show all the numbers as indicated after the sales order or if applicable purchase requisition.

5. **Purchase Order Item No. – (PO Item#)** Show the Item number as indicated on the purchase order.

6. **Commodity** - Show the commodity name as indicated in the U.S. Standards for Grades or the Solicitation, if there is no standard. Follow the instructions in the AIM Inspection Series, Certification Manual.

7. **Date Inspected** - The date shown (month/day/year) will be the date of the latest Corresponding Certificate(s) of Quality and Condition.

8. **Certificate No.** - Show the certificate number(s) issued for the code mark(s) loaded.

9. **Shipping Point** - Leave blank, unless product is shipped from a location other than the contractor's address. In this case, show the city, state, and zip code (if known). The shipping point may be shown as contractor name c/o warehouse location name and address.

10. **Contractor** - Show the name of the contractor as indicated on the purchase order.

11. **City and State** - Show the city, state, and zip code (if known) of the contractor as indicated on the purchase order.

12. **Lot, Stock, or Bin No.** - Show "As Per Code" in this block. Show "Identified by stamp as shown below" for case stamped product.

13. **Type of Case** - Show the number and size of container(s) per case, and commercial corrugated, if cased.

14. **Code Marks Shipped** - Show the actual code marks loaded. Verify that these code marks are the same as shown on the list of acceptable codes. For an accurate check on codes, open sufficient cases at the time of checkloading to assure that all codes have been inspected and accepted. As a guide, open one case per pallet to check for code identity.

15. **Label** - Show: Labeled in accordance with Commodity Specification for (product and date of specification). **Note: This applies to commercial labeling also.**

16. **Marks On Case** - Show: Case markings in accordance with Commodity Specification (product and date of specification). **Note: This applies to commercial case markings also.**

17. - 20. **Self-explanatory**. Show the number of cases (units) loaded. Count the cases loaded accurately and double check the count. The count must agree

with the shipping instructions and the loading report. Show only one seal number in this section. **Show only the seal number applied by the USDA inspector. Do NOT document additional seals for less than load quantities (split loads).** It is the contractor's responsibility to document the additional seals on their documents. The inspector may want to remind/advise the contractor to include ALL of the seal numbers on their documents (such as the Bill of Lading).

21. **Destination** - Show city and state. For split shipments show "SEE REMARKS."

22. **Remarks** - Show all items to indicate compliance with the Commodity Specification requirements, any applicable waiver issued to confirm lot acceptance, and any other statement which pertains to the shipment.

Note: When the shipment is in compliance with all the Commodity Specification requirements show in the REMARKS block: Meets requirements of Commodity Specification for (product and date of specification).

Waiver authorized, show in the REMARKS block:

a. Fails requirements of Commodity Specification for (product and date of specification) account fails (insert reason). Acceptance authorized by (name of person authorizing) Commodity Procurement Staff per Amendment/Modification No._____ (or Waiver) dated (month/day/year).

b. A facsimile of the "OFFICIALLY SAMPLED" stamp and the applicable statement (all cases stamped, all visible cases stamped, or placards on pallets stamped) in lieu of checkloading.

Other statements that should be shown in the REMARKS block:

a. Show the sales order number, destination city and state, and the number of cases for each stop off for split shipments. An example of FV-419-1 – Split Shipment, is shown at the end of this section.

b. For **corrected** Certificates of Loading, state the following: "THIS CERTIFICATE SUPERSEDES CERTIFICATE OF LOADING NO._____, FOR PURCHASE ORDER NO. _____, DATED _____."

c. When the purchase order document is not available at the time of loading, show that the contractor supplied shipping information.

d. For frozen items, show the temperature of the product prior to entering the carrier. Also note the temperature reading of the

carrier on completion of loading. Product temperature should also be noted, especially if the frozen product is subjected to conditions that may raise temperatures above 10 degrees F.

23. **Self-Explanatory** - Place an X in the appropriate box(s).

24 **Address of Inspection Office/Signature of Inspector** - The address and signature shown will be in accordance with instructions in the AIM Inspection Series, Certification Manual.

25. **Self-Explanatory -** Signature of Inspector

26. **Date** - Show the date of final acceptance, which is normally the date of checkloading or case stamping. **The date will be different than the checkloading date if domestic origin is in question.** If the domestic origin is in question and certificates withheld, show the date the acceptable domestic origin review is completed and certificates released.

Distribution

Make copies of the original Certificate of Loading and distribute as follows:

Original to the contractor;
One copy to the area field office;
One copy for SCI Division in-plant file; and
One copy to the contractor (provided that Domestic Origin requirements are met – see page 7).

NO. 1

FV-419-1 Certificate of Loading

U.S. DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF LOADING

PURCHASE ORDER NO. 2	SALES ORDER NO./PURCHASE REQUISITION NO. 4
SOLICITATION NO. 3	PURCHASE ORDER ITEM NO. 5

COMMODITY	DATE INSPECTED	CERTIFICATE NO.(S)	SHIPPING POINT
6	7	8	9

CONTRACTOR 10	CITY AND STATE 11
LOT, STOCK, OR BIN NO. 12	TYPE OF CASE 13

CODE MARKS SHIPPED

14

LABEL 15	MARKS ON CASE 16

LOADED IN CARS (TRUCKS OR TRAILERS) AS FOLLOWS:

CAR NO. (OR TRUCK/TRAILER)	NO. OF CASES	SEAL NO(S).	DATE LOADED	DESTINATION
17	18	19	20	21

REMARKS:

22

THIS IS TO CERTIFY ON THE DATE(S) SHOWN:

☐ The product listed herein was inspected and found to be the quality and condition shown, subject to any restrictions. 23

☐ I personally supervised the loading of the lots described above.

☐ I verified the loading procedures of the lot(s) described above under the Processed Products Division, Quality Assurance Program.

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR *(Print and Sign Name)*	DATE
24	25	26

NO. 5 FINAL

FV-419-1 – Split Shipment – Frozen Product

U.S. DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF LOADING

PURCHASE ORDER NO. 4100000251	**SALES ORDER NO./PURCHASE REQUISITION NO.** 5000017287 and 5000017293
SOLICITATION NO. 2000001883	**PURCHASE ORDER ITEM NO.** 17 and 135

COMMODITY	DATE INSPECTED	CERTIFICATE NO.(S)	SHIPPING POINT
FROZEN PEAS	05-01-2011	A-002345	Gardners, PA 17305

CONTRACTOR Frozen Foods, Inc.	**CITY AND STATE** Inwood, WV 87909
LOT, STOCK, OR BIN NO. As per code	**TYPE OF CASE** 30 pound domestic corrugated fiber cases

CODE MARKS SHIPPED

52691 19; 52691 20 and 52691 21 . . .

LABEL	MARKS ON CASE
Labeled in accordance with Commodity Specification for Frozen Vegetables (enter date)	Case markings in accordance with Commodity Specification for Frozen Vegetables (enter date)

LOADED IN CARS (TRUCKS OR TRAILERS) AS FOLLOWS:

CAR NO. (OR TRUCK/TRAILER)	NO. OF CASES	SEAL NO(S).	DATE LOADED	DESTINATION
TN 123456, #1313	912	USFPI 38542	05-01-11	SEE REMARKS

REMARKS:

First Stop-off: Florence, SC (462 cases) – SO# 5000017287, PO Item #17.
Second and Final Stop-off: Walterboro, SC (450 cases) – SO# 5000017293, PO Item #135.
Product minus 4 to minus 1 degree Fahrenheit at time of loading.
Temperature of carrier: Zero degrees Fahrenheit.
Meets requirements of Commodity Specification for Frozen Vegetables (enter date).

THIS IS TO CERTIFY ON THE DATE(S) SHOWN:

- [x] The product listed herein was inspected and found to be the quality and condition shown, subject to any restrictions.
- [x] I personally supervised the loading of the lots described above.
- [ ] I verified the loading procedures of the lot(s) described above under the Processed Products Division, Quality Assurance Program.

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR *(Print and Sign Name)*	DATE
Example	Example	Example

NO. 1 FV-419-1 – Split Shipment – Indefinite Delivery Indefinite Quantity (IDIQ)

U.S. DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF LOADING

PURCHASE ORDER NO.	SALES ORDER NO. /PURCHASE REQUISITION NO.
4100000251	5000017286 and 5000017286A
SOLICITATION NO.	**PURCHASE ORDER ITEM NO.**
2000001883	54 and 55

COMMODITY	DATE INSPECTED	CERTIFICATE NO.(S)	SHIPPING POINT
FROZEN PEAS	05-01-2011	A-002345	Gardners, PA 17305

CONTRACTOR	CITY AND STATE
Frozen Foods, Inc.	Inwood, WV 87909
LOT, STOCK, OR BIN NO.	**TYPE OF CASE**
As per code	30 pound domestic corrugated fiber cases

CODE MARKS SHIPPED

52691 19; 52691 20 and 52691 21 . . .

LABEL	MARKS ON CASE
Labeled in accordance with Commodity Specification for Frozen Vegetables (enter date)	Case markings in accordance with Commodity Specification for Frozen Vegetables (enter date)

LOADED IN CARS (TRUCKS OR TRAILERS) AS FOLLOWS:

CAR NO. (OR TRUCK/TRAILER)	NO. OF CASES	SEAL NO(S).	DATE LOADED	DESTINATION
TN 123456, #1313	912	USFPI 38542	05-01-11	SEE REMARKS

REMARKS:

First Stop-off: Florence, SC (462 cases) – SO# 5000017286, PO Item #54.
Second and Final Stop-off: Walterboro, SC (450 cases) – SO# 5000017286A, PO Item #55.
Product minus 4 to minus 1 degree Fahrenheit at time of loading.
Temperature of carrier: Zero degrees Fahrenheit.
Meets requirements of Commodity Specification for Frozen Vegetables (enter date).
This Purchase order in reference to Contract (enter Contract number).

THIS IS TO CERTIFY ON THE DATE(S) SHOWN:

- [x] The product listed herein was inspected and found to be the quality and condition shown, subject to any restrictions.
- [x] I personally supervised the loading of the lots described above.
- [ ] I verified the loading procedures of the lot(s) described above under the Processed Products Division, Quality Assurance Program.

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR *(Print and Sign Name)*	DATE
Example	Example	Example

NO. 9 FV-419-1 - Case Stamped – Canned Product

U.S. DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF LOADING

PURCHASE ORDER NO.	SALES ORDER NO. /PURCHASE REQUISITION NO.
4100000251	5000017287
SOLICITATION NO.	**PURCHASE ORDER ITEM NO.**
2000001883	17

COMMODITY	DATE INSPECTED	CERTIFICATE NO.(S)	SHIPPING POINT
CANNED APPLESAUCE	04-01-2010	A-001234	Gardners, PA 17305

CONTRACTOR	CITY AND STATE
Apple Spice, Inc.	Inwood, WV 87909
LOT, STOCK, OR BIN NO.	**TYPE OF CASE**
Identified by stamp as shown below	6/#10 Commercial corrugated

CODE MARKS SHIPPED

CN116138; CN116145; and CN116147 . . .

LABEL	MARKS ON CASE
Labeled in accordance with Commodity Specification for Canned Fruit (enter date)	Case markings in accordance with Commodity Specification for Canned Fruit (enter date)

LOADED IN CARS (TRUCKS OR TRAILERS) AS FOLLOWS:

CAR NO. (OR TRUCK/TRAILER)	NO. OF CASES	SEAL NO(S).	DATE LOADED	DESTINATION
– – – – – – – – – – – – – –	912	– – – – – – – – – – –	– – – – – – –	Florence, SC

REMARKS:

Meets requirements of Commodity Specification for Canned Fruit April 2011.
Cases stamped in lieu of checkloading.
or
All visible cases stamped in lieu of checkloading.
or
Placards on pallets stamped in lieu of checkloading.

Show only applicable stamping statement.

OFFICIALLY SAMPLED
APR 11 2010
U.S. DEPARTMENT OF AGRICULTURE
FV 00

THIS IS TO CERTIFY ON THE DATE(S) SHOWN:

- [x] The product listed herein was inspected and found to be the quality and condition shown, subject to any restrictions.
- [ ] I personally supervised the loading of the lots described above.
- [ ] I verified the loading procedures of the lot(s) described above under the Processed Products Division, Quality Assurance Program.

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR *(Print and Sign Name)*	DATE
Example	Example	Example

NO. 9 FV-419-1 – Meets (or Fails Accepted with Waiver) - Canned Product

U.S. DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF LOADING

PURCHASE ORDER NO.	SALES ORDER NO./PURCHASE REQUISITION NO.
4100000251	5000017287
SOLICITATION NO.	**PURCHASE ORDER ITEM NO.**
2000001883	17

COMMODITY	DATE INSPECTED	CERTIFICATE NO.(S)	SHIPPING POINT
CANNED APPLESAUCE	05-01-2011	A-002345	Gardners, PA 17305

CONTRACTOR	CITY AND STATE
Apple Spice, Inc.	Inwood, WV 87909
LOT, STOCK, OR BIN NO.	**TYPE OF CASE**
As Per Code	6/#10 Commercial corrugated

CODE MARKS SHIPPED

CN116138; CN116145; and CN116147 . . .

LABEL	MARKS ON CASE
Labeled in accordance with Commodity Specification for Canned Fruit (enter date)	Case markings in accordance with Commodity Specification for Canned Fruit (enter date)

LOADED IN CARS (TRUCKS OR TRAILERS) AS FOLLOWS:

CAR NO. (OR TRUCK/TRAILER)	NO. OF CASES	SEAL NO(S).	DATE LOADED	DESTINATION
TN 123456, #1313	912	USFPI 38542	05-01-11	Florence, SC

REMARKS:

Meets requirements of Commodity Specification for Canned Fruit (enter date).

or

Fails requirements of Commodity Specification for Canned Fruit (enter date), account fails label declaration for average net weight. Acceptance authorized by: _____, Commodity Procurement Staff, per Amendment/Modification No. ___ (or Waiver) dated (month/day/year).

THIS IS TO CERTIFY ON THE DATE(S) SHOWN:

- [x] The product listed herein was inspected and found to be the quality and condition shown, subject to any restrictions.
- [x] I personally supervised the loading of the lots described above.
- [ ] I verified the loading procedures of the lot(s) described above under the Processed Products Division, Quality Assurance Program.

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR *(Print and Sign Name)*	DATE
Example	Example	Example

K. Loading Report, Form FV-420

The Loading Report, Form FV-420 may be found on the AMS Forms Catalog at the following intranet address: http://agnis/AMSFormsCatalog/Forms/AllItems.aspx. The FV-420 serves as a permanent record of the loading pattern and a work sheet to verify the case count. A duplicate copy may be placed in the carrier. This form also serves as an unloading guide to the receiver, and shows that the loading was supervised. Additionally the form serves as a work sheet for filling out the Certificate of Loading, Form FV-419-1 accurately.

If a truck trailer is used for shipment, only one section of the Loading Report must be completed to show the loading pattern. See FV-420 Truck Trailer. For railcars, there's a section to be completed for each part of the railcar; the brake end, the "A" end, and the doorway. See FV-420 Railcar. The doorway has the only access to the carrier, so it must be kept clear for the tow motor to enter with cases for loading. Railcar ends are loaded first, and are frequently braced with doors after loading. The doorway is loaded last. It is unloaded first - if there is a stop-off for the load, all or part of the total cases for the first stop-off must be loaded in the doorway.

Railcar dimensions are not uniform, and each must be individually fitted. It is the responsibility of the shipper to properly load the carrier. This may require a special loading pattern, with cases stacked up from the floor of the carrier rather than the typical method of loading unitized cases. If cases are hand-loaded, be sure that the count for each tier is the same to permit an accurate final case count. It is the Inspector's responsibility to accurately document the case count and stacking pattern loaded on the carrier.

1. **Seal Nos.** - Show the numbers/letters of ALL the seal(s) used on the carrier. If the trailer/railcar has multiple stops (split shipment), record the original seal plus any additional seals to be used to complete the shipment. (Note: ALL seals used on the shipment are recorded on the Loading Report, Form FV-420. However, only the original seal number, applied by the inspector at origin, is reported on the Certificate of Loading, Form FV-419-1.)

2. **Car or Truck No.** - Show the license plate of the trailer (not the tractor/truck) and/or the number on the outside of the carrier door.

3. **Date** - Show the date the trailer is being loaded.

4. **Brake or Cab End (width x height and floaters)** - Show how the trailer/railcar is loaded. Show the positioning of the pallets in the trailer.

5. **Total** - Show the total for the row.

6. **Brake End Total** - Show the total for all the rows.

7. **"A" End (width x height and floaters)** - Show how the trailer/railcar is loaded. Show the positioning of the pallets.

8. **Total** - Show the total for the row.

9. **"A" End Total** - Show the total for all the rows.

10. **Doorway (width x height and floaters)** - Show how the trailer/railcar is loaded. Show the positioning of the pallets.

11. **Total** - Show the total for the row.

12. **Doorway Total** - Show the total for all the rows.

13 - 15. **Self-explanatory** Show the total cases for the applicable section.

16. **Grand Total** - Show the total of all the areas of the trailer/railcar.

17. **First stop-off** - Show total cases for first stop-off/only stop if no other stops made.

18. **Second stop-off** - Show total cases for second stop-off if, applicable.

19. **Third stop-off** - Show total cases for third stop-off if, applicable.

20. **Grand Total** - Show total cases for all stops.

21. **Remarks** - Show the load number, purchase order number, code marks, or any other pertinent information relating to the shipment loaded. **Optional** information that may be shown: destination of shipment, sales order number, product temperatures (if frozen product), carrier temperature (if frozen product), and number of cases to each destination (if more than one stop).

22. **Checker for Vendor or Transportation Company** - Show name of company, or print name of person verifying shipment for the company. May include signature of the person in addition to the printed name.

23. **Check loaded by USDA Inspector (*Signature*)** - Print and sign name of inspector performing the checkloading.

24. **Date** - Show date loaded and form signed.

FV-420 Loading Report

U.S. DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE **LOADING REPORT**	SEAL NOS. 1	CAR OR TRUCK NO. 2 DATE 3

ROW NO.	BRAKE OR CAB END *(Width x height and floaters)*	TOTAL	ROW NO.	"A" END *(Width x height and floaters)*	TOTAL
1			1		
2			2		
3			3		
4			4		
5	4	5	5	7	8
6			6		
7			7		
8			8		
9			9		
10			10		
11			11		
12			12		
13			13		
	BRAKE END TOTAL	6		**"A" END TOTAL**	9

ROW NO.	DOORWAY *(Width x height and floaters)*	TOTAL	BREAKDOWN SUMMARY Brake end	13
1			Doorway	14
2			"A" end	15
3				
4	10	11	**GRAND TOTAL**	16
5			First stopoff	17
6			Second stopoff	18
7				
8			Third stopoff	19
	DOORWAY TOTAL	12	**GRAND TOTAL**	20

REMARKS:

EXAMPLE

21

CHECKER FOR VENDOR OR TRANSPORTATION COMPANY	CHECKLOADED BY USDA INSPECTOR (*Signature*)	DATE
22	23	24

FV-420 ***(Previous editions may be used*** Example

FV-420 Truck Trailer
Split Shipment

U.S. DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE **LOADING REPORT**	SEAL NOS. USFPI 38542-43	CAR OR TRUCK NO. TN 123456, #1313 DATE **05-01-11**

ROW NO.	BRAKE OR CAB END *(Width x height and floaters)*	TOTAL	ROW NO.	"A" END *(Width x height and floaters)*	TOTAL
1	(6X8)	48	1		
2	(6X8) + (6X8)	96	2		
3	(6X8) + (6X8)	96	3		
4	(6X8) + (6X8)	96	4		
5	(6X8)	48	5		
6	(6X8) + (6X8)	96	6		
7	(6X8) + (6X8)	96	7		
8	(6X8) + (6X8)	96	8		
9	(6X8)	48	9		
10	(6X8) + (6X8)	96	10		
11	(6X8) + (6X8)	96	11		
12			12		
13			13		
	BRAKE END TOTAL	912		**"A" END TOTAL**	

ROW NO.	DOORWAY *(Width x height and floaters)*	TOTAL	BREAKDOWN SUMMARY	
1			Brake end	912
2			Doorway	0
3			"A" end	0
4			**GRAND TOTAL**	912
5			First stopoff	462
6			Second stopoff	450
7			Third stopoff	0
8				
	DOORWAY TOTAL		**GRAND TOTAL**	912

REMARKS:

Mandatory Information to be included on this form.

Load No.: 5 FINAL
P.O. No.: 4100000251
Code Marks: CN116138; CN116145; and CN116147 . . .
Product and Carrier Temperature: If Applicable

*****Optional Information that may be included on this form*****

Destination: First stop-off: Florence, SC (462 cases): SO No. 2000001883, PO Item No. 17.
Second and Final stop-off: Walterboro, SC (450 cases): SO No. 2000001884, PO Item No. 18.

CHECKER FOR VENDOR OR TRANSPORTATION COMPANY	CHECKLOADED BY USDA INSPECTOR (*Signature*)	DATE
EXAMPLE	EXAMPLE	EXAMPLE

FV-420 Example

FV-420 Railcar

U.S. DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE **LOADING REPORT**	SEAL NOS. USFPI 38542-44	CAR OR TRUCK NO. Rail car CSX 188 DATE 1/26/11

ROW NO.	BRAKE OR CAB END (Width x height and floaters)	TOTAL	ROW NO.	"A" END (Width x height and floaters)	TOTAL
1	14 x 8	112	1	14 x 8	112
2	14 x 8	112	2	14 x 8	112
3	14 x 8	112	3	14 x 8	112
4	14 x 8	112	4	14 x 8	112
5	14 x 8	112	5	14 x 8	112
6	14 x 8	112	6	14 x 8	112
7	14 x 8	112	7	14 x 8	112
8	14 x 8	112	8	14 x 8	112
9	14 x 8	112	9	**DOOR**	
10	14 x 8	112	10		
11	**DOOR**		11		
12			12		
13		1120	13		
	BRAKE END TOTAL			**"A" END TOTAL**	896

ROW NO.	DOORWAY (Width x height and floaters)	TOTAL	BREAKDOWN SUMMARY Brake end	1120
1	14 x 9	126	Doorway	784
2	14 x 9	126	"A" end	896
3	14 x 9	126		
4	14 x 9	126	**GRAND TOTAL**	2800
5	14 x 10	140	First stopoff	784
6	14 x 10	140	Second stopoff	2016
7				
8			Third stopoff	0
	DOORWAY TOTAL	784	**GRAND TOTAL**	2800

REMARKS:

Load Number: 4
Purchase Order Number 4100000000 EXAMPLE
Code Marks: MA611. MA613. MA614. MA616.
Destination: First Stop-off: Florence, SC (784 cases) – SO No. 5000017287, PO Item No. 27
Second and Final Stop-off: Walterboro, SC (2016 cases) – SO No. 5000017288, PO Item No. 32

CHECKER FOR VENDOR OR TRANSPORTATION COMPANY	CHECKLOADED BY USDA INSPECTOR (*Signature*)	DATE
EXAMPLE	EXAMPLE	EXAMPLE

FV-420 Example

SUBMITTAL OF REVIEW SAMPLES

A. General

For **every** purchase order awarded:

1. **Submit two sample units** (canned product - **two cans** from each style and each facility producing the product), **one sample unit** frozen/dried/dehydrated product - 2 to 3 pound sub-sample) **for each type and style. (Refer to Section B. National Office Samples below when sending samples to Headquarters.**)

2. **All** review samples shall be shipped during the shipping period. The "shipping period" is created using the "Required By" dates from the PO. The shipping period will from the **earliest** "Required By" date to the **last** "Required By" date on a single PO. (Example: If some items have a "Required By" dates of 04/01/2016 – 04/15/2016 and some items with "Required By" dates of 04/16/2016 – 04/30/2016, the "shipping period" is 04/01/2016 – 04/30/2016.) When completing the Review Sample Submittal Sheet (SC-378), enter the "Shipping Period" dates from the PO.

3. **All** canned review samples shall be selected after product has been labeled and cased for shipment (**bright stack or unlabeled product is not acceptable**).

4. If more than one code is produced, review samples shall include two different codes. If only one code is produced, then **two samples** of the same code shall be submitted.

5. See the **Indefinite Delivery - Indefinite Quantity (IDIQ) Contracts** section of this manual for IDIQ specific review sample submittal instructions.

DO NOT SUBMIT UNLABELED CANNED PRODUCT.

Mark each sample unit submitted with the packer's name, location, and purchase order number.

When a plant is under the Quality Assurance Program (QAP), SCI Division verification form(s) and the plant's quality control sheets shall be submitted along with the review sample(s). However, if the review sample(s) selected is from a lot that was not verified, then submit the applicable quality control sheet(s) and indicate the following: **NO USDA VERIFICATION PERFORMED**. Enclose a completed Review Sample Submittal Sheet (SC-378) (which may be found on the AMS Forms Catalog at the following intranet address: http://agnis/AMSFormsCatalog/Forms/AllItems.aspx) with the sample units. Staple all pages of the score sheet(s) or tally sheet(s) for the lot to the Review

Sample Submittal Sheet, highlighting the submitted code(s). Send the score sheet(s) or tally sheet(s) for the lot(s) represented by the review sample(s). If the lot contains 29 samples and has three score sheet pages, include all three pages for the lot.

Submit one Review Sample Submittal Sheet (SC-378) per product, per style, per facility, per purchase order. **Submit duplicate sample units of Review Samples with appropriate paperwork to the area field office, Regional office, and National office (Attention: Inspection Operation).**

Clearly mark one side panel of each shipping case to read **"USDA REVIEW SAMPLES"** and include the name of the product. Clearly indicate **"FROZEN SAMPLES"** on the shipping container if you are shipping frozen product.

On completion of the National office evaluation, a copy of the Review Sample Submittal Sheet (SC-378) will be posted by the National office to the area office folder listed in the "USDA Review Samples" review log on the AGNIS Washington DC Federal Inspection Management Site at the following intranet address:
http://agnis/sites/FV/FV%20Inspection%20Service%20Division/inspection/USDA%20Purchase%20Review%20Submittal%20Sheets/Forms/AllItems.aspx.

B. National Office Samples

When the shipping period begins, submit **two sample units** of canned product of different code marks (**if only one code, submit two cans of the same code with different times**) directly to the National office.

For dried or frozen product, submit **one sample unit** (2-3 pound sub-sample) from a lot for **each** purchase order awarded to the National office. When submitting product in containers under one pound, (i.e., 4 oz. cups), submit a total of **eight individual units**. When you are submitting frozen samples for product larger than six pounds, submit **ONLY** a 2-3 pound sub-sample. Each purchase order must have its own review samples.

Review samples shipped through the U.S. Postal Service must be addressed as follows:

ATTENTION: Inspection Operations
USDA AMS SCP Specialty Crops Inspection Division
1400 Independence Ave. SW, STOP 0247
Washington DC 20250-0247

Note: **Pack sample units in suitable protective packing to minimize damage to the container(s). Clearly mark frozen samples as "FROZEN SAMPLES" on the shipping containers.**

DO NOT MAIL FROZEN SAMPLES ON FRIDAY OR IF THEY WILL ARRIVE ON A HOLIDAY

When shipping review samples by an overnight air express carrier, inside (in house) delivery is required. The shipping label must read as follows:

ATTENTION: Inspection Operations
USDA AMS SCP Specialty Crops Inspection Division
Room 0726 South Building
1400 Independence Avenue SW
Washington DC 20250-0247

C. Regional and Field Office Samples

Duplicate sample units of canned and dried products that are shipped to the National office shall also be submitted to the applicable Regional office and area field office.

DO NOT SUBMIT FROZEN REVIEW SAMPLES TO REGIONAL OFFICES UNLESS REQUESTED.

D. Security of Samples

To prevent the possibility of substitution, inspectors and licensed samplers are responsible for handling officially drawn samples such as review samples, samples for evaluation, and analytical test samples. Division procedures for sample control, and sending and receiving lab results and other sensitive materials are outlined below.

1. All official samples sent to AMS laboratories, field offices, regional offices, or the National office will be sent using Government mail or Government parcel service account numbers only.

2. All official samples sent to AMS laboratories, field offices, regional offices, or the National office will remain in the possession of the official inspector until they are turned over to the carrier.

3. Use of company fax machines will continue until electronic mail is available in all plant locations. If electronic mail is not available, the inspector will be notified to stand by the fax machine for receipt of any sensitive documentation (i.e., lab results, certificates) that may be sent. Alternatively, the documentation may be mailed to “Addressee Only.”

4. Use tamper-proof tape as indicated below.

   Tamper-proof tape is to be applied to all officially drawn samples that are no longer in the possession of the inspector/sampler. The use of tamper-proof tape is applicable to unpackaged primary containers, and to the sealed shipping cases that contain the sample.

Note: The tamper-proof tape will not adhere directly to the surface of primary containers of frozen or refrigerated products. However, application directly to the shipping case is acceptable.

Apply the tamper-proof tape to the side or lid of the primary container(s) that is left unattended at the grading site, or to the upper and lower closures of the shipping case.

Prior to packaging the sample for shipment, prepare as follows:

a. Add a four to six digit identification number (consecutively numbered) with the sender's initials to the tamper proof strip.

b. Include this same identification number and initials in the inspector's or sampler's name block of the accompanying document(s).

c. Position a tamper-proof strip across the upper and lower closures of the shipping case after the closures have been secured with regular tape. The tamper-proof strips are extremely fragile and should not be used to secure the closures of the shipping case.

The Division uses "Zipr-Weld" – “stock number 88895” , 7 inch strips of red tamper proof tape labeled "USDA SCID Official Samples NO._____." Supplies may be obtained through the Lynn Peavey Company at (800) 255-6499, extension 6642.

"Zipr-Weld" tamper-proof strips must be stored and maintained in a secure manner, similar to other accountable materials such as, the "Officially Sampled" stamp and "Certificates of Quality and Condition". When distributing the tamper-proof tape, the area field office will prepare a "Memorandum Receipt" form, and the receiver will maintain a ledger to account for this material.

E. Microbiological Testing Laboratory

Some products require microbiological testing for the USDA Purchase Programs. Samples for all other testing should continue to be shipped to the laboratory you have been using for these tests in the past.

Please send items to the address below for the following microbiological testing when required:

Standard Plate Count	**Yeast and Mold***	**Coliform**
E. coli	***Staphylococcus aureus***	**Salmonella**

National Science Laboratory
801 Summit Crossing Place Suite B
Gastonia, NC 28054
Tel. 704-867-3873
Fax 704-853-2800

United States Department of Agriculture

USDA PURCHASE REVIEW SAMPLE SUBMITTAL SHEET

TO: ☐ AREA FIELD OFFICE ☐ REGIONAL OFFICE ☐ NATIONAL OFFICE

DATE SUBMITTED:	AREA FIELD OFFICE:
PURCHASE ORDER NO.:	SHIPPING PERIOD (REQUIRED BY DATES FROM PO):
COMMODITY SPECIFICATION:	SOLICITATION NO.:
PACKER'S NAME AND ADDRESS (CITY, STATE, ZIP):	CONTRACTOR'S NAME AND ADDRESS (CITY, STATE, ZIP):
PRODUCT:	
NUMBER/SIZE/TYPE OF CONTAINER:	
CONTAINER CODE MARKS:	
QUANTITY AWARDED:	DATE DOMESTIC ORIGIN CERTIFICATION (EXHIBIT 1) SIGNED:
TYPE OF INSPECTION:	
☐ IN PLANT ☐ LOT ☐ QUALITY ASSURANCE PROGRAM (QAP)	
TAMPER PROOF STRIP NUMBERS:	
PRINT AND SIGN NAME OF INSPECTOR:	

EXAMPLE

THE FOLLOWING SECTION IS TO BE COMPLETED BY THE FIELD/REGIONAL/NATIONAL OFFICE REVIEWER(S)

DATE RECEIVED BY REVIEWING OFFICE:	NAME OF RECEIVER:	
RESULTS OF EVALUATION:	CORRECTIVE ACTION (IF NEEDED):	
PRINT AND SIGN NAME OF REVIEWER:	INSPECTION SECTION STAMP:	DATE:

SC-378 (07/16) (Destroy previous editions. Reproduce locally.) USDA is an equal opportunity provider, employer, and lender.

This is an **example** of the Review Sample Submittal Sheet (SC-378). The actual form can be found on the AMS Forms Catalog at the following address: http://agnis/AMSFormsCatalog/Forms/AllItems.aspx

DELINQUENT PURCHASE ORDERS

When an inspector becomes aware of possible delinquency in a purchase order, shortages in shipment, or failure to meet deadlines, it is important to **notify the Regional and National office through your supervisor** of such deviation in a timely manner. Include any correspondence or documentation indicating the potential deviation. The Division is not responsible for any purchase order delinquency and the inspector shall never imply assumption of such responsibility.

INSPECTION OF FARM SERVICE AGENCY (FSA) PEANUTS AND PEANUT PRODUCTS

The in-plant inspector will obtain sample units for the required tests, evaluate each lot for quality and non-quality factors, perform condition of container examination, and verify that the product label and case markings meet the announcement requirements. Form FV-146, Certificate of Quality and Condition, will be completed for lots that meet and for lots that fail the announcement.

The peanuts used in the FSA feeding programs must be as specified by FSA. Any questions concerning eligibility requirements for peanuts should be directed to the National office through normal supervisory channels.

Eligibility of Raw Peanuts

A. Quality Requirements

Quality of raw or unprocessed peanuts utilized in the manufacture of peanut butter, roasted peanuts, and peanut granules must be evidenced by an inspection certificate issued by representatives of the SCI Division, Federal-State and Federal Inspection Service not more than 30 days prior to processing. Custom blanching will be considered the first phase of processing.

The in-plant inspector shall obtain from the Purchasing Agent/ Contractor the Fresh inspection certificate to determine if the raw peanuts meet the grade requirements of the FSA Announcement.

B. Aflatoxin Requirement (Shelled Peanuts)

Raw shelled peanuts used to manufacture peanut butter, roasted peanuts, and peanut granules shall be tested for aflatoxin and found to be negative (i.e., not more than 15 parts per billion or 15 PPD).

The aflatoxin analysis must be made not more than 30 days prior to processing. An AMS laboratory is responsible for performing the aflatoxin analysis. The manufacturer shall provide a Certificate of Analysis (or Report of Analytical Test Results) as verification of aflatoxin testing. Any certificate over 30 days old is

not acceptable and the peanuts will need to be retested prior to use. The Purchasing Agent/ Contractor will need to provide the in-plant inspector with a certificate that is within the required time frame in order for the covered peanuts to be used as ingredients for peanut butter for FSA.

The contractor is responsible for notifying the in-plant inspector of any lot of peanuts received that does not meet the aflatoxin requirements either because the certificate is over 30 days old, or the aflatoxin results are above 15 PPD.

Peanut Butter

A. Sampling Finished Product

Sample the finished product on an on-line or lot basis, whichever is applicable, in accordance with the AIM Inspection Series Sampling Manual and 7 CFR 52.38 Sampling Plans and Procedures to Determine Lot Compliance, Table III, Canned, Frozen, or Otherwise Processed Fruits, Vegetables, Related Products of a Comminuted, Fluid or Homogeneous State, (which may be found at the following internet address: http://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR).

B. Quality and Non-quality Evaluations

Evaluate non-quality factors and grade the product in accordance with the U.S. Standards for Grades of Peanut Butter, and follow the guidelines shown for peanut butter in the FSA requirements. Samples for consistency, stabilization, and spread-ability will be evaluated when the temperature of the peanut butter is between 70 and 80 degrees Fahrenheit. Do not cool artificially (e.g., in a cooler or water bath). Perform testing in accordance with the Analytical and Bacteriological Requirements section on the following pages of this manual.

C. Salt Testing

1. Approved Methods

The U.S. Standards for Grades of Peanut Butter state that salt in peanut butter is determined in accordance with the latest official method outlined in the Official Methods of Analysis of the Association of Analytical Communities (AOAC), or any other method that gives equivalent results. Refer to the SCI Division Grading Manual for Peanut Butter for guidance regarding salt testing.

2. Sample Rate for Salt Testing

Refer to the SCI Division Grading Manual for Peanut Butter

3. Failure Verification

If a lot fails quality requirements for salt testing only, the failing salt results will be verified by a "referee lab." When a lot fails, report the failure to the Regional office. The Regional office will determine if the salt testing needs to be verified and select an office to be used as a referee lab. Sub-samples for the referee salt testing will be a parallel set of samples drawn from the same samples used for the original testing. The samples will be express mailed to the referee office. Once tested, the results will be reported to the Regional office. The Regional office will consider all results and make the final determination of acceptability.

D. Aflatoxin Analysis

Follow instructions in the AIM Inspection Series Technical Procedures Manual, Aflatoxin Analysis of Peanut Butter and Other Peanut Products. Request the AMS testing laboratory to Fax and/or email the certificate of analysis showing the results of the aflatoxin tests to the area field office and the inspector, if still at the plant. The request for testing form should specify where and how results should be sent.

E. Water-Insoluble Inorganic Residue (WIIR), Light Filth, and Heavy Filth

Follow instructions in accordance with the AIM Inspection Series Foreign Material Manual using procedures in the grading manual.

F. Salt Testing Review Program

To ensure that all offices are evaluating flavor and performing salt testing in a uniform manner, a review will be performed. This review will be conducted on each lot of peanut butter graded. All lots of peanut butter will be sampled in the normal manner. All lots will be graded by the field office using the normal grading procedures. The review sample will be selected from one of the samples used by the field office to determine the quality grade of the lot. The following procedures shall be used by each field office or inspection point grading peanut butter:

1. Sample all lots in the normal manner as stated in accordance with current instructions.

2. Grade all lots in the normal manner as stated in accordance with current instructions.

3. The review sample must contain 16 ounces or an aggregate number of containers totaling 16 ounces of peanut butter.

4. Select the 16 ounce review sample from the samples used to determine the quality grade of the lot.

5. Complete the score sheet and indicate which sample was submitted for review.

6. Make three copies of the score sheet. See item 10 for distribution.

7. Prepare a speed memo indicating the name of the applicant, product name, lot number, code, and field office. Make three copies of the speed memo. See item 10 for distribution. Speed memos (form AD-0311) may be found on the Office of the Chief Information Officer, Approved Computer Generated Forms site at the following internet address: http://www.ocio.usda.gov/policy-directives-records-forms/forms-management/approved-computer-generated-forms. .

8. Mark the sample to clearly identify the applicant, lot number, and field office. Also mark on the shipping container "Peanut Butter Salt and Flavor Review."

9. Send the 16 ounce review sample of peanut butter to the College Park, Georgia Area office within 2 working days after grading the lot. Include a copy of the score sheet and memo. (NOTE: If the College Park office performed the initial grading, the review sample will be sent to the San Antonio, Texas Area office for review.)

10. Send duplicate copies of the review sample memo and score sheet to your respective Regional office and the National office.

11. The College Park office will perform a salt analysis on the review sample and grade the sample for flavor. The results shall be noted on the speed memo and in the remarks of the copy of the score sheet. The results shall be provided to the submitting field office, the regional office, and the National office within 5 working days after receipt of the sample.

Roasted Peanuts and Peanut Granules

A. Sampling Finished Product

Sample the finished product on an on-line or lot basis, whichever is applicable in accordance with the AIM Inspection Series Sampling Manual and 7 CFR 52.38, Sampling Plans and Procedures to Determine Lot Compliance, Table I, Canned or Similarly Processed Fruits and Vegetables and Products Containing Units of Such Size and Character as to be Readily Separable.

B. Quality and Non-quality Evaluations

Use the following guide in evaluating roasted peanuts and peanut granules for FSA purchases. Follow instructions in the AIM Inspection Series General Procedures Manual when recording inspection results on the score sheet. Perform testing in accordance with the Analytical and Bacteriological Requirements section of this manual. Do not allow any deviants for vacuums or finished product requirements.

1. Obtain net weights and verify the following for roasted peanuts and peanut granules. See the AIM Inspection Series Technical Procedures Manual, Net Weights, for good commercial practice guidelines.

   a. Roasted Peanuts

      Number 10 cans: Lot average not less than 64.0 ounces.

      Twelve ounce cans: Lot average not less than 12.0 ounces.

      Brick-Pack foil containers: Lot average not less than 56.0 ounces.

   b. Peanut Granules

      Number 10 cans: Lot average not less than 56.0 ounces.

2. Evaluations of finished product will be in accordance with FSA requirements, and the following instructions:

   a. When classifying color, consider the mass as a whole. Remove the skins from Redskin and Spanish peanuts before evaluating color.

   b. Allow an average of 1.5 sq. in. (10 sq. cm.) of peanut skin in one pound of peanuts with a limit of 2 sq. in. (13 sq. cm.) in one pound. No deviants are allowed. Do not fail a lot based on the defects in a subsample of a can. If a subsample is failing or borderline for defects, use the entire contents of the can.

   c. Define extraneous material as husks, shells, leaves, and vines of the peanut plant. Allow an average of 1.5 sq. in. (10 sq. cm.) of extraneous material in six number 10 cans with a limit of 0.5 sq. in. (3 sq. cm.) in an individual number 10 can.

   d. Foreign material may consist of stones, sharp splinters, burlap, etc. Refer to the AIM Inspection Series Foreign Material Manual for Foreign Material.

C. Aflatoxin Analysis

Follow instructions in the AIM Inspection Series Technical Procedures Manual, Aflatoxin Analysis of Peanut Butter and Other Peanut Products. An AMS laboratory is responsible for performing the aflatoxin analysis. Request the AMS testing laboratory to Fax and/or email the certificate of analysis showing the results of the aflatoxin tests to the area field office and the inspector, if still at the plant. The request for testing form should specify where and how results should be sent.

D. Water-Insoluble Inorganic Residue (WIIR), Light Filth, and Heavy Filth

Follow instructions in accordance with the AIM Inspection Series Foreign Material Manual using procedures in the grading manual.

Analytical and Microbiological Tests

Review the FSA documents for instructions for submitting samples of peanut butter, roasted peanuts, and peanut granules for aflatoxin testing, peroxide value, and microbiological testing to an AMS laboratory.

The inspector is responsible for the selection and control of laboratory sample units that are officially drawn for testing.

A. Laboratory Results

The designated AMS laboratory will provide test results on an AMS laboratory report. Request the testing laboratory to forward the results by Fax and/or email to the area field office and the inspector, if still at the plant. The request for testing form should specify where and how results should be sent.

B. Aflatoxin Analysis

Follow instructions in the AIM Inspection Series Technical Procedures Manual, Aflatoxin Analysis of Peanut Butter and Other Peanut Products. Request the AMS testing laboratory to fax and/or email the certificate of analysis showing the results of the aflatoxin tests to the area field office and/or the inspector, if still at the plant. The request for testing form should specify where and how results should be sent.

The samples for aflatoxin should be sent to the Science Specialty Laboratory in Blakely, Georgia.

FLS-Science Specialty Laboratories (SSL)
Jana Humphries, Laboratory Manager
E-mail: Jana.Humphries@ams.usda.gov
6567 Chancey Mill Road
Blakely, Georgia 39823
Phone: 229-723-4570 Fax: 229-723-7251

C. Peroxide Value and Microbiological Tests

The inspector will select two parallel containers from the production lot. One container will be submitted to the AMS laboratory for peroxide value and microbiological testing. The second container is a standby sample and will be kept under control of the in-plant inspector.

Complete form FV-637, Laboratory Sample Submittal Sheet, which may be found on the AMS forms catalog at the following intranet address: http://agnis/AMSFormsCatalog/Forms/AllItems.aspx, and submit with the sample unit. Indicate all the required tests on the form (peroxide value and each microbiological test shown in the FSA requirements).

The samples for peroxide and microbiology should be sent to the National Science Laboratory in Gastonia, North Carolina.

FLS-National Science Laboratory
Roger Simonds, Laboratory Manager
Email: Roger.Simonds@ams.usda.gov
801 Summit Crossing Place, Suite B
Gastonia, North Carolina 28054
Phone: 704-867-3873 Fax: 704-853-2800

A certificate of quality and condition must be issued for each lot that meets or fails the FSA requirements. **DO NOT** delay certification of a lot that fails to comply with the peroxide value or microbiological requirements because a retest or an appeal has been requested by the processor. When grading and/or test results for a lot indicates non-compliance, issue a certificate showing the reason for the failure.

When the results of the retest or appeal shows compliance with the FSA peroxide value or microbiological requirements, issue a corrected certificate to supersede the one previously issued.

RE-DONATION OF USDA PURCHASES

Requests from FNS for the inspection of USDA commodities for re-donation normally require only a condition of container and product condition examination. The request may cover several products at one warehouse. Certify on a FV-146, and distribute the certificate and billing documents as indicated in the following Re-Inspection of USDA Purchases section.

RE-INSPECTION OF USDA PURCHASES - QUALITY AND CONDITION

A. Procedure

Occasionally, the Division receives requests to perform a re-inspection on products purchased under the School Lunch and Domestic Feeding programs. The request for a re-inspection is made to the Food and Nutrition Service (FNS), Food Distribution Division (FDD), Program Support Branch (PSB) in Alexandria, VA, hereafter referred to as FNS. A re-inspection request must always come from FNS in Alexandria, VA, to the National office. The National office will forward the request to the appropriate field and regional offices. Procedures applicable to performing an FNS re-inspection are as follows.

1. Upon receipt of the re-inspection notice from the National office, field offices will schedule the inspection immediately. Any office that receives a re-inspection notice will receive a telephone call from Inspection Operations within twenty-four hours to ensure that the inspection has been scheduled. Notify the Inspection Operations of any difficulties encountered.

2. Sample at the school or warehouse where the complaint originated.

3. Examine sample units at the next higher sampling rate for the lot size.

4. Prepare a FV-146, Certificate of Quality and Condition to issue results following the guidelines in the AIM Inspection Series, Certification Manual. Specify under the GRADE statement the reason for the re-inspection. Show the product grade and score points (if applicable). Show the standard information and secondary container label markings under the REMARKS portion of the certificate.

   Example: U.S. Grade A, presence of defects insignificant (two stems found).
   Meets quality requirements of Commodity Specification for Canned Vegetables

5. Do not advise anyone on the disposition of the product without contacting the Inspection Operations first.

6. Do not sample any lot which has not been requested by FNS, Alexandria, VA. Local personnel do not have the authority to request a re-inspection.

7. Examine the product only for the factor(s) involved and related to the complaint.

DO NOT perform a complete grading when the complaint is based on the presence of foreign material. Comments on other factors may be recorded on the score sheet or tally sheet and if obviously out of grade, notify the Regional Chief and Inspection Operations, Washington DC.

DO NOT send re-inspection certificates and billing documents to USDA, Farm Service Agency Kansas City Commodity Office (KCCO). FNS will forward all documents to KCCO if necessary. Do not report re-inspection results until the inspection documents and certificates have been reviewed and approved by the applicable regional office and the National office.

Payment for re-inspections will be determined by the outcome of the inspection results.

- If the re-inspection **MEETS**, show "USDA, Food and Nutrition Service" as the applicant and send the original certificate with a copy of the billing document to FNS.

- If the re-inspection **FAILS**, show the Contractor as the applicant and send the original certificate and billing for the re-inspection to the Contractor. A copy of the certificate with a copy of the billing document shall be sent to FNS.

  USDA, Food and Nutrition Service
  Food Distribution Division, Program Support Branch
  3101 Park Center Drive, Room 508
  Alexandria, VA 22302
  Telephone: (703) 305-2662
  Fax: (703) 305-1410

USDA Purchase Program - Re-Inspection for Condition - Fails

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF QUALITY AND CONDITION
(PROCESSED FOODS)

Please refer to this certificate by number and inspection office.

Z-000000

This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws.
WARNING: Any person who knowingly falsely, make, issue, alter, forge or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than $1,000 or imprisonment for not more than one year. or both (7U.S.C. 1622 (h)).
The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

DATE
October 1, 2011

APPLICANT	ADDRESS
Western Spuds Inc.	Connerville, ID 01234
RECEIVER OR BUYER	ADDRESS
- - - - - - - - - - - - - - -	- - - - - - - - - - - - - - - - - -
SOURCE OF SAMPLES	PRODUCT INSPECTED
Officially Drawn	FROZEN FRENCH FRIED POTATOES

CODE MARKS ON CONTAINERS
03 1110 AND 03 1111 . . .

PRINICIPAL LABEL MARKS
Meets labeling requirements of Commodity Specification for Frozen Potatoes (enter date)

Flavor and Odor: Poor (not typical to product)
Condition of Containers: Meets applicable U.S. Standards for Condition of Food Containers.

GRADE:
Fails quality requirements of Commodity Specification for Frozen Potatoes (enter date) account flavor (musty). Inspection and certification restricted to condition of container examination and product condition at the request of the applicant.

REMARKS:
This certificate covers 967 corrugated cases (29,010 pounds), 6/5 pound plastic bags applicant's count and weight). Lot located at Green County Food Warehouse, Yakima, WA, and identified by codes as shown above. Lot further identified by SO No. 5000006789, PO Item No. 13, and FNS complaint No. 3012.

PURCHASE ORDER NUMBER: 4100000002

Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 *U.S.C.* 1621-1627), *governing the inspection certification of the product designated herein. I certify that the quality and condition of the product* as *shown by samples inspected on the above date* were as *shown, subject to any restrictions specified above.*

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR
Example	Example

USDA Purchase Program - Re-Inspection for Quality - Meets

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF QUALITY AND CONDITION
(PROCESSED FOODS)

Please refer to this certificate by number and inspection office.

Z-000000

This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws.
WARNING: Any person who knowingly falsely, make, issue, alter, forge or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than $1,000 or imprisonment for not more than one year. or both (7U.S.C. 1622 (h)).
The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

DATE
October 1, 2011

APPLICANT	ADDRESS
USDA Food and Nutrition Service	Alexandria, VA 22302
RECEIVER OR BUYER	ADDRESS
- -	- -
SOURCE OF SAMPLES	PRODUCT INSPECTED
Officially Drawn	CANNED GREEN BEANS

CODE MARKS ON CONTAINERS
YYXX17 . . .

PRINICIPAL LABEL MARKS
Meets labeling requirements of Commodity Specification for Canned Vegetables (enter date).

Style:	Cut, 1½ inch length
Type:	Round
Size:	Medium
Drained Weight:	Meets recommended minimum of 60 ounces.
Condition of Containers:	Meets applicable U.S. Standards for Condition of Food Containers.

GRADE:
U.S. Grade B
Meets quality requirements of Commodity Specification for Canned Vegetables (enter date).

REMARKS:
This certificate covers 912 cases 6/No. 10 cans (warehouse count). Product packed in beaded-bodied cans and cased in corrugated fiber cartons. Lot located a D & D Storage Co., warehouse, Dillon, GA. and identified by code marks as shown above. Lot further identified by SO No. 5000012345, PO Item No. 47, and FNS complaint No. 3145.

PURCHASE ORDER NUMBER: 4100000001

Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 *U.S.C.* 1621-1627), *governing the inspection certification of the product designated herein. I certify that the quality and condition of the product* as *shown by samples inspected on the above date* were as *shown, subject to any restrictions specified above.*

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR
Example	Example

RE-INSPECTION OF USDA PURCHASES - MISSING SEALS

Occasionally, a truck will arrive at its destination without the required security seal intact. When this happens, an office will receive a request to "reload" and reseal the truck. When a load is rejected at destination because of a missing or "incorrect seal" (and only because of a missing or incorrect seal), this type of request can be processed at the area office level without the need to contact either the Regional or National offices. (Examples of "incorrect seals": Wrong type of seal used, wrong seal number on Bill of Lading, missing seal numbers on Bill of Lading, or seal present but removed by truck driver prior to being unloaded and not verified by warehouse personnel as intact at time of unloading.)

In most cases, the request for re-inspection will come from the Contractor (shipping point of the load). When the request is taken, the area office responsible for the origin inspection will need to contact the area office that can perform the re-inspection at the destination. The office that performed the original inspection will need to send copies of the original inspection documentation to the office at the destination. Once the office at the destination has all the necessary records from the original inspection, they can perform the re-inspection for identity, count, condition, etc. and reseal the trailer.

REJECTED LOTS

When a lot is rejected and a waiver for acceptance is not issued, **the contractor is responsible for removing USDA product labels from the rejected merchandise and obliterating all USDA case markings that are applicable to the award.** As representatives of the CPS Contracting Officer, inspectors shall remind applicants of purchase order obligations whenever a labeled and case-marked lot is rejected. In the event of a violation, the inspector shall record the infraction on the inspection document and immediately inform their supervisor. The OIC shall report any suspected or rumored violation, or incidence of a potential violation to the regional offices and the National office. The National office will notify CPS.

The information to report is as follows:

- Contractors name;
- Plant location;
- Purchase order number;
- Product;
- Date packed;
- Codes;
- Quantity; and
- Suspected violation.

REPORT FRAUD OR CRIMINAL CONDUCT

All inspectors and supervisors shall promptly report to the National office any reliable evidence of suspected fraud or criminal conduct coming to their attention in connection with Government purchase orders.

Examples of suspected fraud or criminal conduct in connection with Government purchase orders:

A. Fraud or attempted fraud including the substitution of inferior quality material after inspection.

B. Bribery or attempted bribery of an inspector or any other Government official in connection with a Government purchase order.

C. Conversion and attempted conversion of Government owned property for use other than for the intended purpose.

Inspectors are not authorized to conduct investigations without specific authority. However, information concerning fraud or criminal conduct that comes to the inspector's attention, or is observed during the routine course of performing duties must be reported.

Frozen French Fried Potato Products

The USDA purchase announcement and commodity specification for frozen french fried potato products provides detailed information covering product specifications for frozen french fried strips and preformed potato rounds. The Division will provide in-plant, on-line inspection and grading services for these products, in accordance with the announcement and commodity specification. Do not sample or inspect as a lot inspection.

A. Fry Color Designation

The fry colors permitted are specified in the commodity specification. All sample units shall meet the specified USDA colors (including a combination of colors). No deviants are permitted.

B. Small Pieces, Slivers, and/or Irregular Pieces

The commodity specification specifies not more than 10 percent by count of units, except chips, may consist of small pieces, slivers, and/or irregular pieces. For sample units exceeding 10 percent but not exceeding 15 percent, allow the deviant rate specified in the Regulations (1 in 6, 2 in 13, etc.). Allow 1 in 48 sample units to exceed 15 percent.

C. Total Solids Requirement (Potato Strips Only)

The convection oven method of the AOAC International is the official test for the determination of solids content of frozen french fried potato strips. Three ways in which solids may be determined or verified are:

1. Contractor Uses Official AOAC Method.

The plant inspector will do the actual testing or monitor the testing performed by plant personnel, and obtain a copy of the test results. In either case, the inspector must have a working knowledge of the testing procedure. Product that meets the solids requirement as well as other announcement and commodity specification requirements is eligible for certification.

2. Contractor Uses Test Method Other Than Official AOAC Method.

In lieu of the plant inspector performing the solids determination, he or she will closely monitor the solids determination performed by plant personnel, and obtain a copy of the test results. Since the official test method is not being used, the area field office or an office designated by the Regional Chief will perform verification testing. See D. Verification Testing of this instruction for procedures.

3. Contractor testing is waived.

The USDA draws samples for full testing by the area field office or an office designated by the Regional Chief. The product cannot be certified until the plant inspector receives the test results.

4. Total Solids Determination - Convection Oven Method

a. Procedure

Thoroughly homogenize approximately 10 grams of the frozen sample in a blender and set aside a portion as a duplicate sample in case of error. A small subsample of this preparation will be weighed before and after thorough drying to determine the amount of moisture lost in the process. The ideal containers for this purpose are dishes 60-80 mm in diameter and 25 mm deep, with well-fitting but easily removable lids, preferably made of nickel, aluminum, stainless steel, or glass with a known tare.

Weigh a 1.0 gram subsample on an analytical balance to the nearest 0.1 mg (0.0001 g) in desiccated, weighing dishes as described above. Precision is needed in determining the difference between the weight of the undried subsample and the weight of the dried subsample. This difference is used to calculate the percent total solids in the product.

Place uncovered dishes containing samples (and dish lids spaced separately) in a convection drying oven at 103° C ± 2° C for 16 hours. Place the lids on the dishes and transfer samples to a desiccator to cool. When cool, weigh as quickly as possible (to prevent moisture gain) to 0.1 mg, and record the weight. Uncover and replace dish and lid in oven for an additional 2 hours. Replace lid, cool in desiccators, and re-weigh. Repeat 2 hour drying, desiccation, and weighing steps until any decrease in mass between successive weighing does not exceed 0.5 mg, or until an increase in mass is recorded.

b. Calculations

Calculate percent solids as follows:

$[(M_1 – M_2) \div (M_1 – M_0)] \times 100 = \%$ Moisture

M_0 = mass in grams of dried, dish of known tare, and lid;

M_1 = mass in grams of dried, dish of known tare, lid, and undried subsample;

M_2 = lowest mass in grams of dried, dish of known tare, lid, and dried subsample.

% Total Solids = 100% – % Moisture

Report results to the nearest 0.1 percent

D. Verification Testing

The procedure for verification testing of the contractor's results when the official method is not used is as follows:

For the first lot of 70,000 pounds or less, draw 5 representative samples of 16 ounces each. If possible, these should be portions of the 5 samples tested by the applicant.

1. Divide each of the 5 samples into 2 equal sub-samples of 8 ounces each. Send a set of 5 sub-samples to the designated area office and retain the other set as a reserve sample. Reserve samples should be marked to identify them from other production lots, and stored in an area secured by the USDA inspector at 0° F or below.

2. Unless inspectors are in close proximity to the designated office, the sample must be packed in dry ice and shipped by overnight delivery.

3. On delivery to the area office, if the sample is thawed, or sample bags are open, or the product is out of condition for any other reason, **DO NOT analyze for solids**. Request that the plant inspector send the reserve sample for testing instead.

4. The reserve sample should also be requested if there is any doubt about the test results. When USDA analytical results confirm plant results, reserve samples may be disposed of or returned to the contractor.

E. Reliability of Contractor's Test Results

1. The frequency of testing will depend on the reliability of the contractor's test results. The minimum total solids requirement is 28.0 percent. Reduced testing for solids may be done after the 5 samples from the first lot is tested and the test results meet the total solids requirement.

2. Contractor's test results are considered unreliable when a verification test deviation affects the acceptability of a lot (total solids of less than 28.0

percent). Verification testing is then increased back to testing 5 sub-samples from each lot of 70,000 pounds or less, until test results from 3 consecutive lots indicate contractor's test results are reliable. Reduced testing may resume after reliability has been established. All test results obtained for a lot must meet the minimum solids requirement of 28.0 percent; test results below this minimum are cause for rejection of the lot.

3. The OIC will notify the National office through the Regional Chief about the extent of the deviation, corrective measures taken by the contractor to prevent reoccurrence of the verification deviation, and the results of the verifications performed to re-establish reliability of the contractor's testing program.

F. Fees

Costs for shipping materials and overnight express delivery charges will be billed to the applicant. The laboratory analytical charge for solids determination will be in accordance with instructions in the AIM Inspection Series, General Procedures Manual, Fee Computation section.

Salsa Sampling

When sampling Canned Salsa for USDA purchase orders, use "Table 1, Canned or Similarly Processed Fruits, Vegetables, and Products Containing Units of Such Size and Character as to be Readily Separable," found in the Regulations, 7 CFR 52.38 (found at the following internet address: http://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR), SCI Division Inspection Aid #42, and the AIM Inspection Series, Sampling Manual.

Sodium Content Testing

The USDA Food and Nutrition Service (FNS) and the Agricultural Marketing Service (AMS), Commodity Procurement Staff have limited the sodium content of certain products to 36 mg - 140 mg sodium per ½ cup serving.

A. USDA Testing

USDA Science and Technology has provided the methods for analyzing sodium and either **Atomic Absorption, or Inductively Coupled Plasma Mass Spectrometry (ICP-MS)** can be used. Referenced acceptable methods are: AOAC 966.16; AOAC 975.03; AOAC 976.25; AOAC 984.27; AOAC 985.01; AOAC 985.35; AOAC 993.14; AOAC 2011.14; and AACC 40-71. AMS and FNS have determined that one composite sample shall be tested by USDA per lot. This is a deviation from normal SCI Division sampling procedures in the AIM Inspection Series Sampling Manual and only applies to sodium testing for USDA purchases. Follow the procedures in the AIM Inspection Series Sampling Manual for compositing samples for sodium analysis. The composite sample shall be 454 grams (1 pound) and prepared from subsamples drawn from randomly selected containers. The minimum number of subsamples used to create the composite sample shall be in accordance with SCI Division procedures in the AIM Inspection Series Sampling Manual. The composite samples shall be sent to:

USDA, AMS National Science Laboratory
801 Summit Crossing Place Suite B
Gastonia, NC 28854

B. Vendor or Third Party Testing

As an option, vendors will be allowed to perform sodium analyses themselves or to contract with a certified third party for testing under the following conditions:

1. The vendor must develop a procedure to perform sodium analysis testing for each lot inspected by SCI. If a vendor is unable to develop a suitable procedure, USDA will continue to submit samples to the USDA laboratory for sodium analysis on each lot inspected.

2. All analyses must be performed using the Association of Analytical Communities (AOAC) International, 966.16, Atomic Absorption method.

3. To be approved for reduced sodium analysis testing, all current and any new vendors must pass ten (10) consecutive sodium tests performed by the USDA laboratory.

    - If the verification sample sent to the USDA fails the sodium requirement, the vendor must have the next 10 consecutive lots tested by the USDA laboratory and meet the sodium requirement in order to resume the reduced sodium verification analysis.

4. After receiving SCI approval for its reduced sodium analysis testing, SCI will perform one verification composite sample per purchase order, per product, per location. The USDA laboratory will perform this testing to ensure that the vendor is in compliance with the sodium requirement.

5. The vendor must provide SCI with documentation that verifies that each lot inspected by the vendor or its delegate meets the sodium requirement.

6. The SCI inspector shall submit a composite verification sample to the USDA laboratory for any lot SCI suspects as not meeting the sodium requirement.

Vitamin C Analysis of Fortified Juices

The commodity specification for canned fruit and vegetable juices for delivery to USDA Purchase Programs stipulates that juices be fortified to contain at least 34 milligrams of Vitamin C (Ascorbic Acid) per 100 milliliters of juice. This requirement is because of the seasonality of certain juices. The procedures for performing these analyses are as follows:

A. **Do not** composite samples.

B. Run at least one analysis per code mark, but no less than three sample units or fifty percent of the sample units per lot, whichever is greater.

C. The procedure for Vitamin C analysis will vary with the product. Consult your Supervisor for instructions for this analysis as given in the AIM Inspection Series, Technical Procedures Manual.

D. Report the actual findings on the score sheet. Report the milligrams to the nearest whole number.

E. As long as the average meets the minimum, apply the deviant rate specified in the Regulations (1 in 6; 2 in 13; etc.) when a test result is below the minimum required.

F. Charges assessed for Vitamin C analyses will be in accordance with the AIM Inspection Series, General Procedures Manual, Fee Computation section. **(Not applicable if inspected on-line.)**

Task List for Fresh Sliced Apple Review

This task list will assist and clarify procedures that have been implemented for the purchase of Fresh Sliced Apples. Please review the Commodity Specifications for Fresh Fruit prior to performing the reviews.

The prerequisites for the fresh sliced apple contracts are completed prior to the date of the contract award so the Plant Surveys, Food Defense Systems Surveys, GAP/GHP, and HACCP plan reviews should have already been completed and meet the requirements for the solicitation. The vendors have 10 days prior to the first delivery period to complete the GAP/GHP requirements. The reviews are performed **monthly**. The reviews are announced and pre-scheduled with the vendor for the following reasons:

A. To verify that the vendor is following GMPs during production and to perform sanitation.

B. To allow the vendor time to compile all production records for product already produced for USDA.

C. To compile and provide documentation from a pre-selected production code for the trace-back during the review.

D. In order to grade three verification samples pulled from the production line/days production.

During the review the inspector will:

A. Perform sanitation inspections during production and complete the FV-416-2.

B. Review processing records to verify that the vendor has properly graded the product to the commodity specification. Review a minimum of six production codes and document the vendor's results on the Fresh Sliced Apple worksheet. There are six columns on the worksheet to record the results of the six production codes reviewed.

C. Review documents to verify that the microbiological testing has been performed. Microbiological testing must be performed on each packaged production code or lot produced for USDA.

D. Grade three 16 ounce samples from the production line for product verification. Record the results of the three samples graded in the three columns on the Fresh Sliced Apple worksheet.

E. Perform the domestic origin trace-back on a pre-selected production code. A minimum of **one trace-back per contract** must be performed

F. Verify that GAP/GHP certificates trace to the grower that supplied the raw product.

If there is not adequate time to complete the domestic origin trace-back at the facility or the trace-back is too complicated to complete within a reasonable amount of time, take copies back to the field office for completion. The additional time spent on the trace-back review shall be added to the review billing.

Documents needed to perform the review:

A. Commodity Specification for Fresh Sliced Apples,

B. Work sheet for Fresh Sliced Apples (SC-364-170E). The form SC-364-170E may be found on the AMS Forms Catalog at the following intranet address: http://agnis/AMSFormsCatalog/Forms/AllItems.aspx)

C. Fresh Sliced Apple deficiencies and inspectors notes worksheet,

D. FV-416-2, sanitation score sheet, and

E. Exhibit A, code trace-back request

While performing the reviews, if questions or problems should arise, please contact your Regional Chief who will in turn contact the National Office.

Task List for Fresh Baby-Cut Carrots Review

This task list will assist and clarify procedures that have been implemented for the purchase of Fresh Baby-Cut Carrots. Please review the Commodity Specifications that are attached to the solicitation and the Commercial Item Description (CID) A-A-20191 in affect at the time of the solicitation prior to performing the reviews.

The prerequisites for the fresh baby-cut carrot contracts are completed prior to the date of the contract award so the Plant Surveys, Food Defense Systems Surveys, and HACCP plan reviews should have already been completed and met the requirements for this invitation. The vendors have 10 days prior to the first delivery period to complete the GAP/GHP requirements. The reviews are performed **monthly**. The reviews are announced and pre-scheduled with the vendor for the following reasons:

A. To verify that the vendor is following GMPs during production and perform sanitation.

B. To allow the vendor time to compile all production records for product already produced for USDA.

C. To compile and provide documentation from a pre-selected production code for the trace-back during the audit.

D. In order to grade three verification samples pulled from the production line/days production.

During the review the inspector will:

A. Perform sanitation inspections during production and complete the FV-416-2.

B. Review processing records to verify that the vendor has properly graded the product to the commodity specification. Review a minimum of six production codes and document the vendor's results on the Fresh Baby-Cut Carrots work sheet. There are six columns on the worksheet to record the results of the six production codes reviewed.

C. Review documents to verify that the microbiological testing has been performed. Microbial testing must be performed on each packaged production code or lot produced for USDA. Record the microbiological testing results of the six production codes reviewed on the Fresh Baby-Cut Carrots work sheet.

D. Grade three samples from the production line for product verification. Each sample shall consist of **50 carrots**. Salient characteristics are determined **by weight**. Record the results of the three samples graded in the three columns on the Fresh Baby-Cut Carrots work sheet.

E. Perform the domestic origin trace-back on a pre-selected production code. A minimum of **one trace-back per contract** must be performed.

F. Verify that GAP/GHP certificates are traced to the grower that supplied the raw product.

1. If there is not adequate time to complete the domestic origin trace-back at the facility or the trace-back is too complicated to complete within a reasonable amount of time, take copies back to the field office for completion. The additional time spent on the trace-back review shall be added to the review billing.

Documents needed to perform the reviews:

A. Commodity Specification for Fresh Baby-Cut Carrots,

B. CID A-A-20191*, Carrots, Fresh, Ready-To-Use, (* the solicitation will specify which revision of the CID to use.)

C. U.S. Standards for Grades of Topped Carrots,

D. Fresh Baby-Cut Carrots worksheet,

E. Fresh Baby-Cut Carrots deficiencies and inspectors notes worksheet,

F. FV-416-2, sanitation score sheet (intranet link), and

G. Exhibit A, code trace-back request.

While performing the reviews, if questions or problems should arise, please contact your Regional Chief who will in turn contact the National Office.

The solicitations include these specifications.

CID A-A-20191**: (**use the CID revision specified in the solicitation.)
https://www.ams.usda.gov/grades-standards/cids

U.S. Standards for Grades of Topped Carrots:
https://www.ams.usda.gov/grades-standards/vegetables

Instructions for the Inspection of Pit Material and Quality of Dried Plum Pieces

A. General

Currently no U.S. Standards for Grades exist for this product. SCI Division will be responsible for inspecting dried plum pieces in accordance with SCI Division procedures and instructions which are provided here and in other official instructions.

The dried plum pieces shall be Fruit Type 1 in accordance with Commercial Item Description (CID) A-A-20333, Trail Mix in effect at the time of the solicitation, and applicable commodity specifications. Whole pitted dried plums used for pieces must be plunger pitted U.S. Grade "B" or better product. The dried plum pieces shall be inspected in accordance with these procedures and SCI Division instructions.

The requirements will be those published in the current commodity specifications, amendment(s), invitation, and other instructions in effect at the time the product is offered for inspection.

B. Sampling Dried Plum Pieces

The maximum lot size offered for inspection shall not exceed 15,000 pounds. Sample size for quality and pit material shall be as stated below.

Sample Size - On-Line Inspection and Lot Inspection

For each lot of 15,000 pounds (or fraction of 15,000 pounds) of product, draw 6 subsamples of approximately 16 ounces (454 grams) each for a total of 96 ounces (2724 grams). **Examine each of the 6 subsamples separately**. Each lot of 6 subsamples must meet the requirements of CID A-A-20333 and commodity specifications. Consult your supervisor if there are any questions.

C. Quality Factors for Dried Plum Pieces

1. Size
Dried plum pieces shall be uniformly cut into ¼ to ½ inch pieces. With respect to size of pieces, not more than 20 percent by weight shall be less than ¼ inch, or more than ½ inch in any dimension.

2. Moisture
The moisture content of dried plum pieces shall not exceed 24 percent by weight when tested with the Dried Fruit Association of California (DFA) moisture meter.

3. Defects

Dried plum pieces shall be practically free from pits and/or pit fragments. A defect is defined as a pit and/or pit fragment 2 mm or longer in the longest dimension loose or with fruit attached as defined in CID A-A-20333, Dried Diced Prunes. The total weight of all scoreable pits and/or pit fragments with fruit attached found in the 6 subsamples shall not exceed 2.8 grams (0.1 percent of the total subsample weight of 2724 grams), and loose pits and/or pit fragments shall not exceed 3 by count (in the total subsample weight of 2724 grams).

4. Flavor And Odor

Dried plum pieces shall have a normal characteristic flavor and odor that is free from objectionable flavors (including scorched flavor) and free from objectionable odors of any kind.

Instructions for the Inspection of Foreign Material and Quality of Dried Fruit and Nut, and Fruit mix

A. General

Trail mix shall be produced in accordance with CID A-A-20333, Trail Mix in effect at the time of the invitation, and applicable commodity specifications. Trail mix components shall be inspected by USDA prior to blending in accordance with applicable U.S. Food and Drug Administration (FDA) tolerance for "Defect Action Levels", U.S. Standards for Grades, commodity specifications, and SCI Division instructions.

The requirements will be those published in the current commodity specifications, amendment(s), solicitation, and other instructions in effect at the time the product is offered for inspection.

B. Sampling Dried Fruit and Nut, and Fruit Mix

Sample the dried fruit and nut, and fruit mix in accordance with SCI Division instructions. Use the current sampling plan from the AIM Inspection Series, Sampling manual, Table IV "Dehydrated (Low-Moisture) Fruits and Vegetables".

Select 16 ounce sample units for quality, foreign material, and defects. Each 16 ounce sample unit shall be examined for ingredient portions, salient characteristics, and foreign material as outlined in the commodity specifications and CID A-A-20333.

C. Quality Factors

1. Proportions

Trail mix shall be composed of any combination of ingredients as specified in the invitation. The **lot average** tolerance for proportions of ingredients shall be plus or minus 2 percent by weight.

2. Consistency

The trail mix shall be free flowing with minimal clumps and stickiness.

3. Defects

A nutshell, pit and/or pit fragment 2 mm or larger in the longest dimension shall be scored as a defect. Allow a **lot average** of 1 nutshell, pit, and/or pit fragment 2 mm or larger in the longest dimension by count per sample

unit, with no more than 3 nutshells, pits, and/or pit fragments by count in any individual sample unit.

The total of all scoreable nutshells, pits, and/or pit fragments found in 13 sample units shall not exceed 13 by count.

D. Flavor and Odor

The trail mix shall have no objectionable odors or flavors, such as, but not limited to, stale, yeasty, burnt, musty, rancid or moldy.

Dried Fruits and Nuts Laboratory Testing for Food Safety

Dried fruits and nuts for USDA/AMS purchases require specific laboratory analyses. Sampling and testing for these purchases will be in accordance with the following instructions.

Dried Fruits shall be tested as described in the CID A-A-20299 Fruits, Infused and Dried (current version in effect) which specifies a composite sample to be tested in accordance with Section 6, Analytical and Microbiological Requirements. For dried fruit purchases (1) composite sample of one (1) pound of the dried fruit shall be submitted for testing on each Purchase Order. These dried fruits include, but are not limited to dried cranberries, dried cherries, and dried blueberries.

For natural almonds, all lots shall be tested for Aflatoxin. Natural almonds are required to be treated with a technology to achieve a minimum of 4 - Log reduction of salmonella bacteria, pursuant to a letter of determination issued by FDA, or acceptance by scientific review panel known as the Technical Expert Review Panel (TERP).

For trail mix each component of the trail mix is graded independently following the procedures outlined in the US Standards for Grade, and FDA Defect Action Levels (DAL) prior to blending. If dried cranberries, dried cherries, dried blueberries, and/or natural almonds are used as ingredients in trail mix, they are required to meet the testing requirements above.

Instructions for the Inspection of Dried Cherries

General

Currently no U.S. Standards for grades for this product exist. SCI Division will inspect dried cherries in accordance with SCI Division procedures and instructions which are provided here and in other official instructions.

The dried cherries shall be Type I, Style A from CID A-A-20299, Fruits Infused and Dried, in effect at the time of the solicitation. They are to be produced from red tart pitted (RTP) cherries in accordance with the applicable commodity specifications. The RTP cherries used for drying must be U.S. Grade B or better for character. After the RTP cherries are properly dried and offered for inspection, the lot shall be inspected in accordance with applicable specifications and SCI Division instructions.

The requirements in the section entitled, "Scoring Quality Factors" will be those published in the current commodity specifications, amendment(s), invitation, and other instruction in effect at the time the product is offered for inspection.

Sampling

Sample the dried cherries in accordance with SCI Division instructions. Use the current sampling plan from the AIM Sampling Manual "Sampling Plan for Dried Fruits other than Dates and Figs".

A. Sample Size - Grading Quality Factors

For each 15,000 pounds (or fraction of 15,000 pounds) of product - 6 sample units of approximately 16 ounces shall be drawn. These are combined into one composite sample of at least 100 ounces. Each composite will be examined separately and must meet the requirements of the CID. Consult your supervisor if there are any questions.

B. Sample Size - Analytical Testing

One composite 16 ounce analytical sample shall be drawn for analytical testing in accordance with CID A-A-20299 in effect at the time of the solicitation. Frequency of analytical testing will be published in the current commodity specifications, amendment(s), solicitation, and other instruction in effect at the time the product is offered for inspection.

Scoring Quality Factors

Evaluate the sample for shape, color, texture, flavor and odor prior to the examination for pit fragments.

A. Shape

Dried cherries shall be intact pieces of fruit which may be irregular in shape.

B. Color

Dried cherries shall possess a bright red to dark red color typical of properly ripened cherries. The number of cherries that vary markedly from this color due to improper processing, other causes, or that are undercolored may not exceed 50% of the sample unit by weight.

C. Texture

The texture of the dried cherries shall be soft and chewy.

D. Flavor And Odor

The dried cherries shall have a distinct, characteristic flavor and odor as would be expected of dried cherries. No foreign flavors or odors such as, but not limited to, stale, rancid, or moldy shall be present.

E. Pits

Definition of pits and pit fragments in dried cherries will be as described and determined in accordance with the instructions in the U.S. Standards for Grades of Frozen Red Tart Pitted Cherries, 7 CFR 52.807, "Freedom from Pits", at the following web address:
http://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR .
The pit tolerance requirement in the commodity specification states that there shall be not more than 1 pit per 80 ounces of the finished dried cherries.

Procedure for Detecting Pits and Pit Fragments

Examine each sample unit (100 ounces) for pits and pit fragments using the following procedure:

1. Arrange cherries in a single layer on the grading tray;
2. Press each cherry with the finger tips to detect pits and pit fragments;
3. Repeat "1" and "2" above until all product is examined; and
4. Record the pits and pit fragments found on the score sheet.

The pit score shall be calculated by dividing the total number of ounces of dried cherries sampled for the composite sample by the number of pits found in the sample. The score shall be reported as a whole number using appropriate SCI Division rounding procedures found in the AIM General Procedures manual.

Example:

1. In the inspection of 6 sample units consisting of a single composite sample of 100 ounces, 1 pit is found. The pit score will be 1 pit in 100 ounces and the sample will meet the requirements. In this case the sample is accepted because the pit tolerance of 1 pit per 80 ounces of dried cherries has not been exceeded.

2. If in the 100 ounce sample 2 pits are found, the sample would fail the requirements. The sample pit score is 1 pit per 50 ounces of dried cherries which exceeds the 1 pit per 80 ounces and the sample is rejected.

Certify the dried cherries in accordance with instructions in the AIM Certification Manual for No Applicable Grade (NAG) items.

DEFINITION OF TERMS

Amendment - A document that includes changes to a commodity specification.

Announcement - A document that identifies products to be purchased, specification requirements, and bidding procedures.

Bid Invitation - (see Solicitation)

Contracting Officer (CO) - A person with the authority to enter into, administer, and/or terminate purchase orders and make related determinations and findings on behalf of the Agency.

Contractor - The person, agency, corporation or other legal entity obligated under a purchase order with the agency.

Purchase orders - When issued by the Government, means an offer by the Government to purchase/buy supplies or services with the acceptance of the contractor under specified terms and conditions.

CPS - The Commodity Procurement Staff is responsible for purchasing commodities for the USDA.

FAR - Federal Acquisition Regulations

Food Purchase Report - A public notice stating intent to buy a commodity or of a purchase that has been made.

Inspector - Official representative of AMS who grades/inspects commodities purchased by USDA purchase programs.

Solicitation – A notice which is separate from the announcement, that specifies the type and quantity of product, product specification (and amendments), delivery dates and destinations, the date and time that all bids are due, and small business and minority small business opportunities.

Processor – A business that takes a raw product and produces an end item through various processing stages. The processor and the supplier may be the same in some cases.

Segregation plan - A plan provided by the holder of a purchase order to indicate how non-domestic product has been isolated or kept separate from domestic product in their facility.

Supplier - Someone whose business is to supply a particular service or commodity including but not limited to raw materials, components, intermediate assemblies, finished products, or supplies.

Supplies - Includes but is not limited to raw materials, components, intermediate assemblies, or finished products.

Trace-back - The process of providing and reviewing documents used to track product from the finished product code back to the product's origin. The trace-back must go back to a grower or list of growers. For all USDA purchases, all products must be domestically grown. A trace-back must include an explanation of documents.

Trust Territory of the United States - A colony or territory placed under the administration of the United States by commission of the United Nations. Examples are American Samoa, Baker and Howland Islands, Commonwealth of the Northern Mariana Islands, etc. Notify CPSD for a complete list.

Waiver - A written statement from a Contracting Officer, Commodity Procurement Staff, indicating acceptance to a non-conforming specific requirement. **Waivers are not granted by SCI Division.**

REFERENCE LINKS

	Version Date (Printed for distribution)
☐ **7 CFR 52** Sections (circle as applicable): 38, 42 http://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR.	_____
☐ **7 CFR 42**: http://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR.	_____
☐ **AMS Forms Catalog:** http://agnis/AMSFormsCatalog/Forms/AllItems.aspx	_____
☐ **Certification Manual:** https://www.ams.usda.gov/publications/content/aim-certification-manual	_____
☐ **Certificate of Loading, Form FV-419-1:** http://agnis/AMSFormsCatalog/Forms/AllItems.aspx.	_____
☐ **Defect Action Levels Handbook:** http://www.fda.gov/Food/GuidanceRegulation/GuidanceDocumentsRegulatoryInformation/SanitationTransportation/ucm056174.htm	_____
☐ **Food Defense Survey:** https://www.ams.usda.gov/services/auditing/food-defense-system-survey	_____
☐ **General Procedures Manual:** https://www.ams.usda.gov/publications/content/aim-general-procedures-manual	_____
☐ **Loading Report, Form FV-420:** http://agnis/AMSFormsCatalog/Forms/AllItems.aspx.	_____
☐ **Sanitation Manual:** https://www.ams.usda.gov/publications/content/aim-inspection-series-sanitation-manual	_____

Checked Materials have been printed from the links in this Manual and included for reference.