

Fresh Product Branch Directive

FPB-103
10/1/09

FEDERAL TERMINAL & STATE COOPERATIVE MARKET OFFICE SUPERVISORY REVIEWS

I. PURPOSE

This directive establishes standard requirements and responsibilities for conducting and reporting supervisory reviews of federal terminal and federal-state cooperative market inspection offices (also known as “office checks”) and for taking corrective action when deficiencies are noted.

II. OBJECTIVE

To provide procedures for supervisory reviews of inspection offices, to ensure that reviews are performed and documented on a consistent and timely basis and to ensure that corrective follow-up action is taken and documented whenever necessary.

III. POLICY

Pre-determined elements regarding office functions will be evaluated and written reports of all supervisory reviews will be submitted to the Head of Field Operations Section (FOS) within 15 business days after the completion of the review and reported on standard check list forms as shown in:

Exhibit A (Checklist for On-Site Federal Market Office)

Exhibit B (Checklist for Off-Site Federal Market Office)

Exhibit C (Checklist for On-Site Cooperative Market Office)

Exhibit D (Checklist for Off-Site Cooperative Market Office)

All deficiencies reported that were not corrected at the time of the review will be documented on a Corrective Action Report by the reviewing official. The Corrective Action Report will be forwarded to the Officer-In-Charge (OIC). Within 5 days of receipt, the OIC must complete and submit to FOS or the appropriate Federal Supervisor (FS)/Federal Program Manager (FPM) the completed Corrective Action Report proposing what corrective actions will be taken and the expected timeframe for completion.

IV. RESPONSIBILITIES:

A. Federal Market Offices: The responsibilities of FOS in performing supervisory office reviews are as follows:

1. Perform an on-site review each year in all offices.
2. Submit a Review Plan to the Branch Chief by October 1 each year outlining the tentative schedule of office reviews.

Distribution:
Originating Office
File Maintenance
Instructions

HQ, FPM, FS, CM, TM
Field Operations Section

File in Directive Binder and replace FPB-103, dated 12/27/91

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3. Ensure that a proper rotation of performing these reviews is maintained, which can include FS/FPMs at the discretion of the Head of FOS.
4. Use the applicable checklist forms detailing all reviewable elements to record findings; however, FOS may add any additional elements they deem necessary, upon approval from the Head of FOS. Detail all deficiencies whether corrected at the time or not.
5. Submit the completed checklist forms to the Head of FOS within 15 days after the completion of the review. Exceptions must be approved by the Head of FOS in advance.
6. Provide the OIC with a final report, including all necessary Corrective Action Reports for completion, within 30 days after the completion of the review.
7. Ensure that OICs take satisfactory follow-up action on all deficiencies not corrected at the time of the visit and follow-up with documentation necessary to substantiate this or some other course of action.
8. Provide additional oversight and perform additional reviews as noted below in **one and two person offices and in offices that maintain contracts**:
 - (i) One *additional* on-site office review and one off-site office review each year. However, FOS retains discretionary judgment on modifications to this frequency.
 - (ii) Applicable checklist forms for recording findings of the market reviews will be used for these additional reviews; however, FOS may add any additional information they deem necessary.

B. Federal-State Cooperative Market Offices: The responsibilities of the FS/FPM in performing supervisory office reviews of Federal-State Cooperative Market offices are as follows:

1. Perform an on-site review each year in offices that perform over 400 commercial inspections annually. Commercial inspections include all destination market type inspections, including Section 8e import inspections performed that require an inspection scoresheet.
2. Perform two off-site reviews each year in offices that perform less than

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continued

400 commercial inspections annually, ***except that every other year***, one on-site office review must be conducted that takes the place of an off-site office review.

3. Establish and maintain a list of states that have cooperative market offices performing over 400 commercial inspections annually.
4. Submit a Review Plan to the Head of FOS by October 1 each year outlining which offices/programs need to be reviewed during the upcoming fiscal year and the approximate dates of each review.
5. Ensure that a proper rotation of performing these reviews is maintained.
6. Use the applicable checklist forms detailing all reviewable elements to record findings; however, FOS, FS/FPMs may add any additional elements they deem necessary, upon approval from the Head of FOS. Detail all deficiencies whether corrected at the time or not.
7. Submit the completed checklist forms to the Head of FOS within 15 days after the completion of the review. Exceptions must be approved by the Head of FOS in advance.
8. Provide the OIC with a final report, including all necessary Corrective Action Reports for completion, within 30 days after the completion of the review.
9. Ensure that field offices take satisfactory follow-up action on all deficiencies not corrected at the time of the visit and follow-up with documentation necessary to substantiate this or some other course of action.

C. OIC Responsibilities: The responsibilities of the OIC regarding supervisory office reviews and corrective actions are:

1. Make yourself and other resources available as requested by FOS or FS/FPM for the review.
2. Correct whatever deficiencies can be immediately corrected.
3. Complete and submit the requested Corrective Action Report within 5 business days of receipt of the review report with the following information:

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RESPONSIBILITIES,
continued

- (i) The corrective action(s) proposed; and
 - (ii) The timeline for complete implementation of the proposed corrective action(s).
4. Receive approval from FOS or FS/FPM to proceed; and then make all corrections as soon as practical.
 5. Document all corrections that have been made; or the status of the ongoing corrective action(s). If deficiencies have not been corrected this must also be documented and include the new target date for final completion of the corrective action(s).

D. Miscellaneous:

1. The Head of FOS maintains the discretion to increase the frequency of office reviews at any time.
2. Exceptions to the timeframes shown in the subsections must be approved in advance.
3. Off-site office reviews will focus on the following areas: Fiscal Activities, Custodial Activities, Inspection Certificates and Reports, Personnel and Applicant/Shipper Interviews.
4. A year is defined as occurring between October 1 and September 30.

As Exhibits A-D contain information that requires regular updating, the hardcopy versions are not included within this document; please contact FOS for the most current electronic versions.

Leanne L Skelton 10/20/09

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