



SUPERVISORY REVIEWS OF AGRICULTURAL COMMODITY GRADERS

This instruction provides guidance on conducting formal supervisory reviews on non-probationary Agricultural Commodity Graders (ACGs) regarding their grading, inspection certification, documentation, and other inspection related elements. ACGs in probationary status fall under a more comprehensive review schedule not covered by this instruction. In addition to this instruction, it is expected that supervisors perform regular informal performance spot checks on inspection personnel throughout the year or season as inspection services are being performed.

Supervisory reviews are intended to help management observe the application of Division instructions and identify inspection related performance non-conformities which need to be addressed. It establishes standard requirements and responsibilities for Specialty Crops Inspection (SCI) Division employees and licensees when performing these reviews and for taking corrective actions when non-conformities are noted. It also sets forth SCI policy regarding the requirements that all Supervisors perform reviews on all ACGs under their supervision on a regular basis. Each supervisory review will consist of a [Supervisory Review Checklist](#).

For full-time ACGs, two supervisory reviews must be completed each performance year. For ACGs employed less than full-time (e.g., mixed-tour, intermittent), one supervisory review must be completed every six months or one per season if less than six months. Frequency of reviews may be increased at the supervisor's discretion if performance deficiencies persist or in conjunction with an approved extension on an in-plant assignment longer than five years. It is the responsibility of each supervisor to assure that resources are in place to meet this goal.

Primary responsibility for completing supervisory reviews is that of the Officer-In-Charge (OIC), Assistant OIC (AOIC), Shift Supervisor, Sub Area Supervisor (SAS), or Federal-State Supervisor for state licensees. Responsibility may be delegated to an Inspector-In-Charge (IIC) or Training Officer (TO) as needed. A supervisor must co-sign the Supervisory Review Report completed by the IIC or TO.

DEFINITIONS

Agricultural Commodity Grader (ACG)

An Agriculture Commodity Grader, Supervisory Agricultural Commodity Grader, Inspector-In-Charge or Training Officer employed by SCI or a state agency licensed by SCI for the purpose of conducting or supervising SCI Terminal Market Inspection (TMI) services.

Supervisor

For the purpose of this instruction a supervisor is referred to as a Regional Operations Branch Chief, Assistant Regional Operations Branch Chief, HQ Inspection Operations personnel, OIC, AOIC, Shift Supervisor, SAS, Federal-State Supervisor, Federal Program Manager or delegated IIC or TO.

Supervisory Review Checklist

A checklist documenting on-site observations made, inspection services being performed and a certification/documentation review on services and results previously issued. Listed scopes will be evaluated for conformance to all relevant policies and procedures. All deficiencies and corrective actions will be noted in the Remarks section.

- **On-Site Observation**

The portion of the Supervisory Review Checklist in which a supervisor accompanies an ACG on one or more inspections and works with and observes them in order to evaluate whether they are following proper inspection procedures, scoring defects in accordance with current guidelines and properly completing the inspection documentation (i.e., notesheets, tally sheets, worksheets or certificates).

- **Documentation Review**

The portion of the Supervisory Review Checklist in which a supervisor completes a desk review of completed inspection documentation or validates results of submitted review samples in order to evaluate whether proper inspection procedures, scoring of defects and proper documentation of results have occurred.

RESPONSIBILITIES

The responsibilities of the supervisor in performing supervisory reviews are as follows:

Supervisory Review Checklist (On-Site Observation Section)

- The supervisor will accompany the ACG or as appropriate arrive at the inspection location unannounced to observe and evaluate whether the ACG is following proper

inspection procedures, scoring defects in accordance with current guidelines and properly completing the inspection documentation (i.e., notesheets, tally sheets, worksheets or certificates).

- The supervisor is there to observe, not lead, but may participate in the inspection-related activity. They must ask questions if necessary to ensure that the product has been properly inspected or inspection-related activity has been properly completed.
- Where applicable, inspections performed with the ACG must bear the initials and/or signatures of the supervisor on all corresponding notesheets, worksheets, tally sheets and certificates.
- Where applicable, the supervisor will accompany the ACG on a plant sanitation tour (before or during operation), for applicable facilities, to observe the performance and effectiveness of the inspector performing the tour.
- The supervisor will review inspection equipment and tools used by SCI employees and report conditions that do not meet SCI instructions on cleanliness and/or sanitation. All equipment used must be properly calibrated and documentation of the calibration(s) maintained.
- As applicable, the supervisor will observe the ACG during check loading.
- Where applicable, the supervisor will assure that all Good Manufacturing Practices (GMPs), as outlined in the AIM Inspection Series, [Sanitation Manual](#) and [Safety Manual](#), are being practiced by the facility.
- Employees must follow SCI instructions on safety. Safety equipment must be available and in use by employees.
- Analytical and grade deviants must be used correctly. Lot grades must be correctly designated. Proper terminology is necessary for non-scoreable quality factors.
- Instructions and standards must be used correctly.
- Where applicable, performance of microscopic analysis must comply with SCI instructions. Documentation of analysis must be current and accurate. All microscopes must have appropriate lighting and be in good working order.
- Supervisors will accompany the ACG while sampling to observe adherence to instructions and GMPs.
- Non-conformities must be addressed immediately to prevent inspection results from being reported incorrectly.

Effective Date: May 2016

Page 4 of 8

- The ACG will be evaluated under the listed scopes for conformance to all relevant policies and procedures.
- Non-conformities found must be clearly noted, along with the corresponding corrective actions, in the Remarks section of the Checklist.

Supervisory Review Checklist (Documentation Review Section)

- The supervisor will complete a desk review of completed inspection documentation or when applicable will validate results of submitted review samples in order to evaluate whether proper inspection procedures, scoring of defects and proper documentation of results have occurred.
- For ACGs performing TMI inspection services a sample consisting of 25 of the most recent FV-300 and 10 of the most recent FV-301, 205, 187 or 207 certificates issued within the previous 12 months, are to be reviewed. If less than this amount had been issued within the previous 12 months, all those that have been issued will be reviewed.
- For ACGs performing processed inspection services a sample of ten inspection records relevant to the inspector's grading assignment are to be reviewed.
- A listing of the certificates and/or inspection records reviewed will be kept on the [SCI Division Records Review](#) form and filed with the Supervisory Review Checklist.
- Determine if any vital points on the notesheet, worksheet, tally sheet, or certificate have been omitted.
- Determine if statements are substantiated by information on the notesheet, worksheet, tally sheet, or certificate.
- The ACG will be evaluated under the listed scopes for conformance to all relevant policies and procedures.
- For in-plant inspections, review 5 consecutive days of sanitation score sheets for proper documentation of deficiencies, including ratings and corrective actions.
- Non-conformities found must be clearly noted, along with the corresponding corrective actions, in the Remarks section of the Checklist.

Supervisory Review Checklist Completion and Filing

- Checklists may be completed by IIC or TO but must also be reviewed and signed by the supervisor prior to reviewing with the employee.

Effective Date: May 2016

Page 5 of 8

- The Checklist will be reviewed, with performance and corrective actions discussed with the ACG. The reviewer, supervisor (if different from the Reviewer) and ACG will sign and date the report.
- Reports will be kept on file in employee's Area Office or Sub-Office.
- Completed Checklists will be reviewed during the annual Sub-Office, Area Office Reviews.
- Checklists will be reviewed by the supervisor during subsequent mid-year and year-end performance evaluation timeframes as a tool to report measured and meaningful performance.

APPENDIX I – FV-397 SUPERVISORY REVIEW CHECKLIST

[Electronic version of the FV-397 Supervisory Review Checklist form](#)



**SPECIALTY CROPS INSPECTION DIVISION
SUPERVISORY REVIEW CHECKLIST**

NAME OF EMPLOYEE:				GRADE:				DATE:					
SECTION I: ON-SITE OBSERVATION													
Commodities Inspected During Review:						Notesheet/Score Sheet/Tally Sheet/Certificate Completed During Review:							
SECTION II: DOCUMENTATION REVIEW													
Type of document reviewed (Notesheet, Score Sheet, Tally Sheet, Certificate), including form number (e.g., FV-300, FV-301)						How many of each document type were reviewed?							
Conforms?				Yes	No	N/A	Conforms?				Yes	No	N/A
Applicant Information							Request/Start/Completed Times						
Equipment/Supplies (available and in good condition)							Equipment/Certificate Accountability						
Lot Identification Properly Verified							Thermometer/Temperature Procedures						
PLI/Assigned Stamp Procedures							Sampling Procedures (appropriate unit, number, etc.)						
Defect Identification and Scoring							Grade Accuracy (correct grade assigned/statement)						
Math Accuracy							Tolerances/Applications/Allowances (verbal testing)						
Remarks/Additional Information							Efficient Use of Time						
Legibility of Notesheet/Score Sheet/Tally Sheet/Certificate							Thoroughness of Notesheet/Score Sheet/Tally Sheet/Certificate						
Fees Charged							Sanitation Tour Procedures						
Checkloading and/or Case Stamping							Sanitation Documentation Complete						
Required Safety Equipment (available and in use)							Adherence to GMPs						
Instructions/Standards (utilized/accessed correctly)							Following Safety Instructions and Signage						
Employee Appearance/Uniform Wear							Microscopic Analysis Accuracy						
Conforms?				Yes	No	N/A	Conforms?				Yes	No	N/A
Applicant Information							Request/Start/Completed Times						
PLI/Assigned Stamp Procedures							Sampling Procedures (appropriate unit, number, etc.)						
Defect Identification and Scoring							Grade (correct grade assigned and stated)						
Manual Percentage Calculation (Math Accuracy)							Tolerances/Applications/Allowances (verbal testing)						
Remarks/Additional Information							Efficient Use of Time						
Legibility of Notesheet/Score Sheet/Tally Sheet/Certificate							Thoroughness of Notesheet/Score Sheet/Tally Sheet/Certificate						
Fees Charged							Proper Lot Separation						
Certificate of Sampling							Date of Pack						
Condition of Container							Listed Number of Cases						
Codes Recorded							Version of Score Sheet/Tally Sheet						
Procedures of Correcting Errors							Label Attached and Marks Recorded						
Compliance with Specification Documentation							Documentation of Contract/PO Number						
Quality Factors Correct and Columns Totaled							Average Grade Score Documentation						
Reason Listed for Failing Required Grade (Processed)							Cooked Samples of Frozen Product						
Inspector's Name Printed and Signed							Score Sheet/Tally Sheet Dated						
Foreign Material Evaluations													

APPENDIX II – FV-383 RECORDS REVIEW

[Electronic version of the FV-383 Records Review form](#)



**SPECIALTY CROPS INSPECTION DIVISION
RECORDS REVIEW**

OFFICE:		REVIEWER:	DATES COVERED:	
Inspector's Name	Record Identification	Commodity	Non-Conformities/Remarks	Corrective Action Needed? (Y/N)
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