

Appendix E

Summary of Contract Audit Findings - Food Inspections

INTRODUCTION

The summary of the performance factor ratings for all contract audits allows the District, State agency, and Office of Partnerships (OP) to recognize trends in inspectional coverage and identify specific areas in the State agency's inspection program that may need improvement. A corrective action plan is required when an overall rating is below 90 percent for the contract period of performance or a single performance factor is rated as "needs improvement" in four or more audits. If fewer than four audits are conducted, a performance deficiency may be considered for a single performance factor at the discretion of the District and State agency.

Workbook E is used to report audit findings, calculate an overall rating for the contract period of performance, and identify single performance factors rated as "needs improvement" in multiple audits. The performance factors are found in Appendix B, FDA Form 3610. The workbook contains six worksheets labeled as:

1. Contract Dates
2. Tracking Sheet
3. Food Audit Records-Quarter 1
4. Food Audit Records-Quarter 2
5. Food Audit Records-Quarter 3
6. Food Audit Records-Quarter 4

The workbook may be used to track multiple State contracts when the contract start dates are very close.

INSTRUCTIONS FOR COMPLETING THE WORKSHEETS

The following instructions are provided for completing the worksheets.

Worksheet 1. Contract Dates

Data entered on this worksheet will populate the Tracking Sheet and the Food Audit Record worksheets.

1. Enter the name of the FDA reviewer.
2. Select the District from the drop down list.
3. Select the State from the drop down list.
4. Enter the number of required audits for the contract period of performance.
5. Enter the start date of the contract period of performance (MM/DD/YYYY).

Worksheet 2. Tracking Sheet

Data is not entered on this worksheet. This sheet automatically counts and calculates data reported on the Food Audit Record worksheets. The Tracking Sheet has two tables.

Table 1, Audit and Joint Inspections Performed, counts the number of audits and joint inspections and calculates the running total and the percentage of completed audits and joint inspections for the contract period of performance.

Table 2, Number of "NI" Ratings per Performance Factor, counts the number of NI ratings for each performance factor and calculates the overall rating for the contract period of performance.

Worksheets 3-6. Food Audit Records (Quarters 1-4)

Record the number of audits and joint inspections on the sheet designated for the quarter. The header is automatically filled with the information entered on worksheet 1.

Column A displays the entry numbers 1-100 for each sheet.

Data must be entered in columns B-AC. The instructions are provided here.

| | |
|--|---|
| Column B | Select the State from the drop down list in Column B. |
| Column C | Enter the name of the firm. |
| Column D | Enter the firm FEI/CFN number. |
| Column E | Select the type of inspection from the drop down list. |
| Column F | Enter the start date of the audit. |
| Column G | Enter the auditor's initials. |
| Columns H-AC except Columns T- W | Select the rating from the drop down list for each performance factor listed in FDA Form 3610. If a joint inspection was conducted, select "J" for all performance factors. |
| Columns T-W | For audits of inspections other than HACCP inspections, select N/A from the drop down list. Note: Performance factors IIA.1-4 on the FDA Form 3610 should be not rated. |

For audits of HACCP inspections, select a performance rating, “A” or “NI”, from the drop down list.

Column AD The rating for each performance factor is automatically counted and the overall rating for the audit automatically populates the field. To ensure accuracy, compare the ratings on the FDA form 3610 to the data entered on the worksheet.

Column AE Use this space for notes about the audit.

INSTRUCTIONS FOR NAMING THE WORKBOOK

When naming Workbook E, the following document-naming convention must be use. The standard document name will help distinguish the contents of the workbook simply by name and ensures that the workbook can be located quickly and easily.

The name of the Workbook E contains four elements. The name of the workbook begins with the 3-digit district abbreviation, for example, NYK for New York, followed by the State agency abbreviation, for example, NYSDAM for New York State Department of Agriculture and Markets. The next element of the workbook name is the inspection program, which is Food. The final element of the workbook name is the beginning year of the contract period of performance.

Here is a sample workbook name showing the four elements explained above.

NYK-NYSDAM-Food-2012

If the workbook is used to reporting audit findings for multiple State programs, the workbook name will contain the State agency abbreviations for each State program.

If the naming convention is not followed, the workbook will be returned to the District for correction.

INSTRUCTIONS FOR SUBMITTING AUDIT FINDINGS

Quarterly reports are due 10 business days after the end of each quarter of the contract period of performance. Report the number of audits and joint inspections on the sheet designated for the quarter. The District must save and email the complete workbook to the OP audit mailbox
ContractAudits@fda.hhs.gov