

Appendix H

**STATE IMPLEMENTATION AGREEMENT
And
YEAREND EVALUATION**

Background

The Contract Inspection Audit Program (hereafter known as the Audit Program) is described in FDA Field Management Directive No. 76 (FMD-76). The FMD-76 provides procedures for auditing all contract inspection programs. Under the food contract inspection program, State agencies have the opportunity to assume responsibility for auditing their food contract inspections. The transition to a State-based Audit Program occurs in two phases (Phase II and Phase III) after the District has completed Phase I of the Audit Program. Phases I, II, and III are described in FMD-76."

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APPENDIX H
STATE IMPLEMENTATION AGREEMENT
and
YEAREND EVALUATION

I. CONTACT INFORMATION

1. District Office:	2. District Contact:
3. State Agency:	4. State Agency Contact:

II. CONTRACT INFORMATION

1. Period of Performance: start date: _____ end date: _____
2. Audit Phase: Phase II _____ Phase III _____

III. STATE BASED AUDIT PROGRAM

The State agency has provided the training required by the food inspection contract and the FMD-76 to the State inspectors designated as auditors for the Audit Program. Qualifications for auditors are stated in FMD-76. The District agrees that the State program is ready to implement the Audit Program.

Under this agreement, the FDA and the State agency will:

- a. Follow the requirements in the FMD-76 and food contract Statement of Work (SOW).
- b. Develop a plan to train and verify the performance of State auditors assigned to audit contract inspections.
- c. Develop an audit plan based on the firms assigned for inspection by the State agency to verify the performance of State inspectors. The firm selection should be based on the inspection priorities listed in the "Statement of Work" section of the contract and the contract obligation of the State.
- d. Develop a plan for State inspectors who require remedial training to resume conducting inspections or audits under FDA contract.
- e. Complete Section VII, Yearend Evaluation, of this form for the contract performance period.

IV. PLANNED AND COMPLETED AUDITS

	Planned	Completed*
1. Total number of contract inspections		
2. Total number of contract audits		
3. Number of training audits for State auditor trainees completed by State and/or District		
4. Number of verification audits for State auditor trainees completed by State and/or District		
5. Number of verification audits for State auditors completed by State		
6. Number of verification audits for State auditors completed by District		
7. Number of contract audits completed by District		
8. Number of contract audits completed by State agency		
9. Number of joint inspections completed by District		
10. Number of contract audits rated as acceptable		
11. Number of contract audits rated as needs improvement		

* To be completed by District.

VII. YEAREND EVALUATION

This section will be completed by the District. The State will be evaluated on its overall work performance during the contract year, not the outcome of one contract audit. The District and State agency should follow the procedures in FMD-76 when program or performance deficiencies occur. An unacceptable audit will not cause a contract to be altered or unpaid nor will payment for the contract inspection be withheld.

1. Evaluation (*record strengths/weaknesses*):

2. Date yearend evaluation was discussed between District and State agency:

3. Names and titles of persons who participated in yearend evaluation:

CONTINUATION SHEET

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