

## **Records Management, Quality Assurance of Inspection and Compliance Outgoing Correspondence via NCAH Portal**

Records Management will perform a Quality Review audit of electronic Inspection and Compliance (IC) outgoing correspondence sent via the NCAH Portal. Hard copy responses mailed to the firms will follow the process listed in **ICWI0111**, *CVB-IC Mail/Filing*.

Correspondence finalized by CVB-IC will be moved forward in the Mail Log System to the Records Management (RM) activity. This activity is a pool that any RM staff has access to perform their duties.

Mail Log items that are received by 4:30 p.m. will be reviewed for sufficiency (see list of “Items to Audit” below), and completed by 3 p.m. the following day. This will ensure the firms, who will receive this information back through the NCAH Portal, will receive the information in a timely fashion.

Submission Subtypes that must be completed in the above timeframe include the following (in priority order)

- Mandatory Stop Sale – *Reviewed the same day received, if possible.*
- Warning Letter
- Hold Release
- Infraction,
- Letter of Advice,
- Voluntary Stop Sale, or
- Inspection Report,
- Correspondence without a subtype

Deviations from the above timeframe may be considered with prior notification to the IC staff.

### **Items to Audit**

1. Mail Log Item
  - a. Portal Return? – Checked Yes, then there should be no Yellow copy.
  - b. Portal Return? – Checked No, then there should be a Yellow file copy to be filed.
  - c. Product Code and/or Serial Numbers – match the outgoing correspondence.
2. Documents Tab – there are four document types for outgoing correspondence:
  - a. Outgoing General Correspondence
    - i. May be sent out with
      1. Outgoing Inspection Report
      2. Outgoing Enclosures
    - ii. Must not be in the same mail log (ML) as Outgoing Compliance Correspondence
  - b. Outgoing Compliance Correspondence
    - i. May be sent out with Outgoing Enclosures
    - ii. Must not be in the same ML as Outgoing General Correspondence

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- c. Outgoing Inspection Report
    - i. Must go out with Outgoing General Correspondence
    - ii. May go out with Outgoing Enclosures
  - d. Outgoing Enclosures
    - i. Must go out with another type of outgoing correspondence
    - ii. Cannot go out as a standalone document type
- Compliance Correspondence and Outgoing Enclosures
- e. Outgoing General Correspondence and Outgoing Compliance Correspondence – should have digital signature (with USDA Logo).
3. Workflow Log
- a. Section Leader Final Authorization with an Approval Step = Yes

Discrepancies to any of the above items should result in the ML being returned back to the last activity (revert move request to any System Administrator).