



United States Department of Agriculture

Agricultural Marketing Service, Specialty Crops Program, Specialty Crops Inspection Division

SERIALLY NUMBERED FORMS ACCOUNTABILITY

All Federal and Federal-State offices will maintain a [Carton Log \(Appendix I\)](#) of all serially numbered forms. When receiving a new order of serially numbered forms, those cartons are entered into the current inventory.

Keep cartons containing serially numbered forms in a locked storage room, or locked cabinet. Only the Officer-In-Charge (OIC), Assistant Officer-in-Charge (AOIC), District Supervisor, Assistant District Supervisor or other delegated authorized personnel may have access to the storage area.

Only the OIC, AOIC, District Supervisor, Assistant District Supervisor or a delegated authorized person may open, remove or assign forms from the cartons. Graders/inspectors are not authorized to remove forms from opened cartons, or to remove cartons from storage areas.

All forms assigned must have a [Record of Assignment and Completion of Serially Numbered Forms \(Appendix II\)](#) kept on file.

Accountability Procedures

Cartons Logs:

When an order of official serially numbered forms is received, assign a unique number to each carton. This is done by sequentially organizing the cartons by the serialized numbers (from lowest number to highest number) shown on the printer's label attached to the outside of the cartons. Then, in a clearly visible fashion on the outside of each carton, assign the unique number to each carton by writing the form number, a hyphen, and the sequential number of the carton (e.g., if an order of FV-300 certificates contains 5 cartons, the unique carton numbers would be "300-001," "300-002," "300-003," etc. The next order received would start with the unique number "300-006"). No two cartons of the same form in an office should have the same number. Number carton up to "xxx-999," and then start over with "xxx-001." When a new order of serially numbered forms is received, the beginning and ending serial numbers will be entered into the Carton Log.

Maintain a written Carton Log of carton numbers using the format noted above. At the top of each log page, designate the form number (certificate type) and record the unique number given to each carton received in the column marked "Carton Number."

Log Entries:

When a carton is first opened, the OIC or authorized person opening the carton will immediately record the starting number of each serially numbered book into the log below the carton number. As each serially numbered book is removed from the carton, the person removing the book must initial the log beside the appropriate book number.

Carton Security:

Government Accountability Office (GAO) regulations require that controlled documents (i.e., serially numbered forms) must be kept in a secure location accessible only by authorized personnel. After assigning a unique number to each carton, the opened and unopened cartons should be stored in a secure (locked) area accessible only by the OIC, Supervisor or other authorized personnel. If a separate storage room is not available or cannot be locked, then cartons may be stored in lockable office filing cabinets. If storage rooms and/or cabinets do not have locks, OICs and authorized personnel must properly obtain the hardware necessary to secure the rooms and/or cabinets.

Note: OICs, authorized personnel, and graders/inspectors are cautioned against leaving unused serially numbered forms and books unattended, such as on desktops, office mailboxes, at the worksite, in unlocked vehicles, or any other location that is not secure and under the control of the Inspection Service.

Record of Assignment and Completion of Serially Numbered Forms:

When the serially numbered books are assigned to inspectors the unique carton number the book originates from, the beginning and ending serial numbers the book consists of and the date of assignment must be recorded and initialed by the OIC or authorized supervisor on the [Record of Assignment and Completion of Serially Numbered Forms \(Appendix II\)](#). Appendix II must accompany the serially numbered forms book at all times. As each form is issued the individual serialized number, applicant, inspector, and date of issuance must be recorded and initialed by the grader/inspector.

When assigned serially numbered books are returned but not completed, the date they are returned will be entered in the record. When the book is reassigned the date of reassignment is placed below the original date. The acquiring grader/inspector will continue the record using the same method as described above utilizing his or her own information.

When a book of serially numbered forms is fully completed the completion date will be recorded and initialed by the OIC or authorized personnel in the record.

The copies of each issued or voided serially numbered form will be placed in a file. Forms should be filed in the same manner and number they are assigned. Each file will also contain the corresponding Record of Assignment and Completion of Serially Numbered Forms (Appendix II) affiliated with the copies. The file will be checked for missing numbers and marked to indicate it is complete.

Effective Date: March 2017

Page 3 of 6

After the completion of a fiscal year, offices will perform a physical inventory of all serially numbered forms. This inventory will validate the accuracy of all serially numbered forms recorded on the [Carton Log \(Appendix I\)](#) and [Record of Assignment and Completion of Serially Numbered Forms \(Appendix II\)](#) with certificates and forms in the possession of graders/inspectors and inventory stored in the office.

Any missing books or incomplete series of forms will be noted in the Carton Log. In addition, this information will be immediately reported to Operations (for Federal offices) or the Federal Program Manager/Federal Supervisor (for Federal-State offices).

Offices Utilizing the Fresh Electronic Inspection Reporting/Resource System (FEIRS):

In addition to the above instructions each electronic FEIRS FV-301 used to bill a serially numbered paper certificate will include the paper certificate serialized number. This serialized number must be entered exactly as it appears on the serially numbered paper certificate and entered in the FORM NUMBER block located under the PAPER FORM heading in the SUMMARY tab of the FEIRS FV-301 certificate. This will ensure proper and complete tracking of all forms.

“SCI moving forward in the 21st Century using technology, innovation, and old fashioned hard work”

Non-Discrimination Policy: In accordance with Federal civil rights law and U.S. Department of Agriculture (USDA) civil rights regulations and policies, the USDA, its Agencies, offices, and employees, and institutions participating in or administering USDA programs are prohibited from discriminating based on race, color, national origin, religion, sex, gender identity (including gender expression), sexual orientation, disability, age, marital status, family/parental status, income derived from a public assistance program, political beliefs, or reprisal or retaliation for prior civil rights activity, in any program or activity conducted or funded by USDA (not all bases apply to all programs). Remedies and complaint filing deadlines vary by program or incident.

Persons with disabilities who require alternative means of communication for program information (e.g., Braille, large print, audiotope, American Sign Language, etc.) should contact the responsible Agency or USDA’s TARGET Center at (202) 720-2600 (voice and TTY) or contact USDA through the Federal Relay Service at (800) 877-8339. Additionally, program information may be made available in languages other than English.

To file a program discrimination complaint, complete the USDA Program Discrimination Complaint Form, AD-3027, found online at http://www.ascr.usda.gov/complaint_filing_cust.html and at any USDA office or write a letter addressed to USDA and provide in the letter all of the information requested in the form. To request a copy of the complaint form, call (866) 632-9992. Submit your completed form or letter to USDA by: (1) mail: U.S. Department of Agriculture, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, SW, Washington, D.C. 20250-9410; (2) fax: (202) 690-7442; or (3) email: program.intake@usda.gov. USDA is an equal opportunity provider, employer, and lender.