

IPPS Reviews Module

OBJECTIVES

After completing this module, you will be able to:

1. Identify 4 tools available to supervisors during IPPS visits.
2. Define who will conduct an IPPS Review.
3. Describe the purpose of an IPPS Review.
4. List 4 areas of evaluation for which the IPPS Supervisory Guideline provides information (e.g., for HACCP, SSOP, Sampling, etc.).
5. List what the supervisor must know/have in order to conduct an IPPS review.
6. State the minimum number of IPPS visits that must occur annually.
7. Describe how an IPPS Assessment Worksheet is used.
8. Describe where and how IPPS Assessment Worksheets are filed.
9. Describe how the IPPS Assessment Worksheet is shared with the inspection program personnel.
10. Describe the relationship of the IPPS Assessment Worksheet to FSIS Form 4330-6 used to document progress reviews.
11. List the steps in preparing for an IPPS Review visit.
12. List the performance elements for inspection program personnel addressed in the IPPS Supervisory Guideline.
13. State whether completed IPPS Assessment Worksheets are available under FOIA.

RESOURCES

IPPS Tools video

IPPS TOOLS OUTLINE

I. Who conducts an IPPS Review

II. Purpose of an IPPS Review

III. Tools Available to Supervisors during IPPS Visit

A. Regulations

B. FSIS Directive 4430.3

C. IPPS Supervisory Guideline

D. IPPS Assessment Worksheet

V. Steps in Preparation for an IPPS Visit

A. Select sub-elements

B. Decide how much time to spend on review

C. Review PBIS, PREP, LEARN

D. Review IPPS Supervisory Guideline

E. Review feedback from previous visit

F. Develop plan for visit

G. Be consistent

IV. Mechanics of the IPPS Assessment Worksheet

V. Filing and Sharing IPPS Worksheets

VI. Relationship of IPPS Assessment Worksheet to Performance Evaluations

VII. IPPS Worksheets and FOIA

METHODS for CONDUCTING IPPS REVIEWS (from IPPS Supervisory Guideline)

When conducting IPPS reviews, supervisors must verify that inspection program personnel are:

1. Applying the appropriate inspection methodology, such as observing establishment employees conducting procedures, reviewing establishment records, and performing tests;
2. Utilizing effective decision making to determine whether there is noncompliance;
3. Documenting their findings appropriately, and
4. Implementing enforcement actions properly when warranted.

In general, supervisors must use the following methods when conducting IPPS reviews.

1. Observe inspection program personnel performing procedures;
2. Review documentation, reports, and correspondence in the government files;
3. Observe plant conditions and compare them to Noncompliance Records; and
4. Ask questions and discuss inspection methods, regulatory decision making, documentation, and enforcement procedures with inspection program personnel.

INSTRUCTIONS FOR COMPLETING THE IPPS ASSESSMENT SHEET

(Numbers corresponding to the steps below appear on the completed example assessment sheet on the following page. Please refer to the example for more information.)

1. Complete the ASSESSMENT YEAR block by filling in the appraisal year, e.g., 2002, 2003.
2. Complete the NAME OF EMPLOYEE block.
3. Complete the NAME OF SUPERVISOR block (your name).
4. Select the appropriate column (1st, 2nd, 3rd) for the review and write in the date. For example, if this is the first IPPS review this fiscal year, enter the date in the ASSESSMENT 1ST column.
5. If performance evaluation for a sub-element meets your standards, enter OK under the DATE column and in line with the sub-element assessed.
6. Place a check mark (✓) or an "X" under the DATE column in line with the category and sub-elements reviewed and assessed if performance of the sub-element needs improvement or is exceptional in some way. The mark will remind you to explain the reason in the FEEDBACK column.
7. Place a check mark (✓) or an "X" in the FOLLOW UP column beside any element where the performance of inspection program personnel needs improvement. The mark serves as a quick reminder to you of items that need to be re-addressed or followed up in the next review.
8. When you have comments or feedback about the sub-elements, make them in the space provided in the NOTES/FEEDBACK block adjacent to the category reviewed. A check mark (✓) or "X" in the same line as an element should remind you to document your findings for that item.
9. Transfer the information from the assessment sheet into electronic form, and then email a copy to the employee.

U.S. DEPARTMENT OF AGRICULTURE FOOD SAFETY AND INSPECTION SERVICE ON-PLANT PERFORMANCE SYSTEM ASSESSMENT SHEET Assessment Values: NA = does not perform NI – needs improvement M = meets standards E = exceeds standards		ASSESSMENT YEAR	NAME OF EMPLOYEE		
		2002	John Smith		
		NAME OF SUPERVISOR			
		Jennifer Morris			
ELEMENT	Follow Up	ASSESSMENT*			NOTES/FEEDBACK (For additional notes, use the reverse side of this form.)
		1 st Date 6-1-02	2 ND Date	3 RD Date	
1. VERIFICATION OF HACCP PLANS					7
a. Reviews plans					
b. Reviews/verifies records					
c. Determines appropriate corrective actions by plant					
d. Determines regulatory compliance					
e. Documents regulatory noncompliance					
f. Takes regulatory action					
2. VERIFICATION OF SSOP's					b. John failed to review the SSOP for currency – did not know about change in procedure for monitoring pre-op sanitation.
a. Monitors Implementation		OK			
b. Evaluates adequacy/effectiveness	✓	✓			
c. Determines regulatory compliance		OK			
d. Documents noncompliance		OK			
3. PERFORMS INSPECTION/ CONDUCTS SAMPLING					<div style="border: 3px double black; padding: 10px; width: fit-content; margin: auto;"> SAMPLE ONLY </div>
a. Inspection					
b. Collects/sends samples					
c. On-site tests					
d. Reviews records					
e. Interprets data					
f. Analyzes results					
4. MAINTAINS LIAISON/ ADMINISTRATIVE DUTIES					
a. Discussion with plant					
b. Listens to concerns					
c. Interviews plant employees for information					
d. Maintains official records					
e. Prepares reports					
f. Provides advise/assistance					
5. PERFORMS AM/PM INSPECTION					
a. Performs AM inspection		OK			
b. Monitors QC slaughter operations		OK			
c. Assures handling and ID of condemned retained/inedible carcasses & parts		OK			
d. Performs PM inspection procedures		OK			
e. Assures sanitary dressing procedures are followed		OK			
f. Completes AM/PM reports		OK			
g. Prepares/submit required lab samples		OK			

IPPS ASSESSMENT SHEET EXERCISE

Read the following scenario. Based on the information provided and your judgment, complete the IPPS Assessment Sheet on the following page.

SCENARIO:

On July 12, 2003, you conducted an IPPS review for Inspector Bertha Bewley, a GS-7 line inspector with HACCP training. You made observations about her performance in category 1 (Verification of HACCP Plans) and category 3 (Performs Inspection/Conducts Sampling). It was Bertha's 2nd IPPS review during the appraisal year so you checked the first IPPS review report to see what, if anything, you needed to follow up.

You made the following observations.

- There were no follow-up issues on the first IPPS review record.
- When you reviewed the NR's file prior to the meeting to assess Bertha's ability to complete documentation, you found that her descriptions were adequate and her regulatory citations were accurate.
- Bertha verified the 03J HACCP plan in a poultry slaughter plant. She selected CCP2 (fecal contamination) for verification.
- She watched a QA technician conduct a fecal contamination monitoring procedure at the CCP. The monitoring procedure showed that the process failed to meet the critical limits.
- Bertha followed the employee actions as the monitor contacted the QA manager, the person responsible for verifying the HACCP plan. Plant employees began corrective actions immediately. Production personnel identified a slightly misaligned evisceration spoon as the cause of contamination. The equipment was adjusted for correction immediately. The QA technician conducted additional monitoring at the CCP every 10 minutes until 5 consecutive tests met the critical limit. Additional chlorine was added to the chill water to bring the available level to 20 ppm and thereby reduce the pathogen load. All product produced since the last passing monitoring test was segregated and designated for re-washing with 20 ppm chlorine. The production supervisor decided to have maintenance observe the eviscerator for correct adjustment every 30 minutes of production for the next 3 days. Bertha followed the plant procedures, observing that all four parts of corrective action were met.
- She followed up by reviewing HACCP records. In conversations with Bertha after the review she described to you what she checked for in the records. She verified that the deviation had been documented immediately. She observed that all parts of corrective action had been completely and accurately documented. She determined that the CCP had been monitored at the designated frequencies, that the record had the correct date, and verified that the time, and monitor's initials had been included in the records. She told you that the once daily random-time verification had not been documented yet, nor had a pre-shipment review yet been completed on the lot of product.
- She did not write an NR or conduct an O2 procedure for the 03J01 procedure.
- In your preliminary review of the LEARN records you observed that none of the *Salmonella* samples submitted to the lab that were collected by Bertha were ever discarded.

- Bertha collected a *Salmonella* sample for submission to the lab (05A03). She used the best aseptic technique for gloving that you have ever seen.
- Bertha collected the liquid from a whole bird rinse, handling the sample deftly without spilling a drop. She packed the sample and prepared it for shipment following the steps in FSIS Directive 10,230.5.
- You observed Bertha complete a review of the plant's *E. coli* test result records.
- You asked questions about her interpretation of the records and discovered that she did not understand how to apply m/M values to determine whether the process was in control. She only looked for notations on the records that the plant made to indicate a slaughter process failure.
- In further discussions you learned that Bertha was confused about how to determine whether the plant had taken corrective action after the slaughter process was deemed to be out of control.
- Bertha successfully completed the PS for the procedures you observed during the review.

IN-PLANT PERFORMANCE SYSTEM ASSESSMENT SHEET

NAME OF SUPERVISOR

ELEMENT	FOLLOW-UP	Assessment			NOTES / FEEDBACK (For additional notes, use the reverse side of this form)
		1ST Date:	2ND Date:	3RD Date:	
1. VERIFICATION OF HACCP PLANS					
a. Reviews plans					
b. Reviews / verifies records					
c. Determines appropriate corrective actions by plant					
d. Determines regulatory compliance					
e. Documents regulatory noncompliance					
f. Takes regulatory action					
g. Recommends compliance inquiry or investigation					
2. VERIFICATION OF SSOPs					
a. Monitors implementation					
b. Evaluates adequacy / effectiveness					
c. Determines regulatory compliance					
d. Documents non compliance					
e. Takes regulatory action					
3. PERFORMS INSPECTION / CONDUCTS SAMPLING					
a. Inspection					
b. Collects / sends samples					
c. On-site tests					
d. Reviews records					
e. Interprets data					
f. Analyzes results / makes conclusions					
g. Documents findings					
4. MAINTAINS LIAISON / ADMINISTRATIVE DUTIES					
a. Discussion with plant					
b. Listens to concerns					
c. Interviews plant employees for information					
d. Maintains official records / files					
e. Prepares reports					
f. Provides advise / assistance					
g. Secures accountable items					
5. PERFORMS AM/PM INSPECTION					
a. Performs AM inspection					
b. Monitors QC slaughter operations					
c. Assures handling and ID of condemned retained/inedible carcasses & parts					
d. Performs PM inspection procedures					
e. Assures sanitary dressing procedures are followed					
f. Completes AM/PM reports					
g. Prepares/submits required lab samples					

Entry training for PHV

INSTRUCTIONS FOR COMPLETING THE IPPS ASSESSMENT SHEET

(Numbers corresponding to the steps below appear on the completed example assessment sheet on the following page. Please refer to the example for more information.)

10. Complete the ASSESSMENT YEAR block by filling in the appraisal year, e.g., 2002, 2003.
11. Complete the NAME OF EMPLOYEE block.
12. Complete the NAME OF SUPERVISOR block (your name).
13. Select the appropriate column (1st, 2nd, 3rd) for the review and write in the date. For example, if this is the first IPPS review this fiscal year, write today's date in the ASSESSMENT 1ST column. If you conduct more than the minimum of 3 reviews in a fiscal year, write the number of the review in place of the pre-printed number. For example, cross through 1st and write in 4th for the fourth review.
14. When documenting the results of the review, select a value that reflects your assessment from the title block of the form. Those you can select from are:
 - NA (does not perform)
 - NI (needs improvement)
 - M (meets standards)
 - E (exceeds standards)
15. Write the value in the 1st, 2nd, or 3rd DATE column, whichever is applicable, in line with the category and sub-elements reviewed and assessed.
16. If you have comments or feedback about the sub-elements, make them in the space provided in the NOTES/FEEDBACK block adjacent to the category reviewed.
17. Transfer the information from the assessment sheet into electronic form, and then email a copy to the employee.

U.S. DEPARTMENT OF AGRICULTURE FOOD SAFETY AND INSPECTION SERVICE				ASSESSMENT YEAR 2002	NAME OF EMPLOYEE <i>John Smith</i>
IN-PLANT PERFORMANCE SYSTEM ASSESSMENT SHEET				NAME OF SUPERVISOR <i>Jennifer Morris</i>	
*Assessment Values: NA = does not perform NI – needs improvement M = meets standards E = exceeds standards					
ELEMENT	VALUE	ASSESSMENT*			NOTES/FEEDBACK (For additional notes, use the reverse side of this form.)
		1 st Date: <i>6-1-02</i>	2 ND Date:	3 RD Date:	
6. VERIFICATION OF HACCP PLANS					7
a. Reviews plans					
b. Reviews/verifies records					
c. Determines appropriate corrective actions by plant					
d. Determines regulatory compliance					
e. Documents regulatory noncompliance					
f. Takes regulatory action		6			
g. Recommends compliance inquiry or investigation					
7. VERIFICATION OF SSOP'S					<i>b. John failed to review the SSOP for currency – did not know about change in procedure for monitoring pre-op sanitation.</i>
a. Monitors Implementation		<i>M</i>			
b. Evaluates adequacy/effectiveness		<i>NI</i>			
c. Determines regulatory compliance		<i>M</i>			
d. Documents noncompliance		<i>M</i>			
e. Takes regulatory action		<i>M</i>			
8. PERFORMS INSPECTION/ CONDUCTS SAMPLING					SAMPLE ONLY
a. Inspection					
b. Collects/sends samples					
c. On-site tests					
d. Reviews records					
e. Interprets data					
f. Analyzes results/makes conclusions					
g. Documents findings					
9. MAINTAINS LIAISON/ ADMINISTRATIVE DUTIES					
a. Discussion with plant					
b. Listens to concerns					
c. Interviews plant employees for information					

d. Maintains official records/ files					
e. Prepares reports					
f. Provides advise/assistance					
g. Secures accountable items					
10. PERFORMS AM/PM INSPECTION					
a. Performs AM inspection				<i>M</i>	
b. Monitors QC slaughter operations				<i>M</i>	
c. Assures handling and ID of condemned retained/inedible carcasses & parts				<i>M</i>	
d. Performs PM inspection procedures				<i>M</i>	
e. Assures sanitary dressing procedures are followed				<i>M</i>	
f. Completes AM/PM reports				<i>M</i>	
g. Prepares/submits required lab samples				<i>M</i>	

IPPS ASSESSMENT SHEET EXERCISE

Read the following scenario. Based on the information provided and your judgment, complete the IPPS Assessment Sheet on the following page.

SCENARIO:

On July 12, 2003, you conducted an IPPS review for Inspector Bertha Bewley, a GS-7 line inspector with HACCP training. You observed her performance in category 1 (Verification of HACCP Plans) and category 3 (Performs Inspection/Conducts Sampling). It was Bertha's 2nd IPPS review during the appraisal year.

You made the following observations.

- Bertha verified the 03J HACCP plan in a poultry slaughter plant. She selected CCP2 (fecal contamination) for verification.
- She watched a QA technician conduct a fecal contamination monitoring procedure at the CCP. The monitoring procedure showed that the process failed to meet the critical limits.
- Bertha followed the employee actions as the monitor contacted the QA manager, the person responsible for verifying the HACCP plan. Plant employees began corrective actions immediately. Production personnel identified a slightly misaligned evisceration spoon as the cause of contamination. The equipment was adjusted for correction immediately. The QA technician conducted additional monitoring at the CCP every 10 minutes until 5 consecutive tests met the critical limit. Additional chlorine was added to the chill water to bring the available level to 20 ppm and thereby reduce the pathogen load. All product produced since the last passing monitoring test was segregated and designated for re-washing with 20 ppm chlorine. The production supervisor decided to have maintenance observe the eviscerator for correct adjustment every 30 minutes of production for the next 3 days. Bertha followed the plant procedures, observing that all four parts of corrective action were met.
- She followed up by reviewing HACCP records. In conversations with Bertha after the review she described to you what she checked for in the records. She verified that the deviation had been documented immediately. She observed that all parts of corrective action had been completely and accurately documented. She determined that the CCP had been monitored at the designated frequencies, that the record had the correct date, and verified that the time, and monitor's initials had been included in the records. She told you that the once daily random-time verification had not been documented yet, nor had a pre-shipment review yet been completed on the lot of product.
- She did not write an NR or conduct an O2 procedure for the 03J01 procedure.
- Bertha collected a *Salmonella* sample for submission to the lab (05A03). She used the best aseptic technique for gloving that you have ever seen.
- Bertha collected the liquid from a whole bird rinse, handling the sample deftly without spilling a drop. She packed the sample and prepared it for shipment following the steps in FSIS Directive 10,230.5.
- You observed Bertha complete a review of the plant's *E. coli* test result records.
- You asked questions about her interpretation of the records and discovered that she did not understand how to apply m/M values to determine whether the process was in

control. She only looked for notations on the records that the plant made to indicate a slaughter process failure.

- In further discussions you learned that Bertha was confused about how to determine whether the plant had taken corrective action after the slaughter process was deemed to be out of control.
- Bertha successfully completed the PS for the procedures you observed during the review.
- When you gave Bertha an opportunity to describe how she thought she had exceeded the standards for any of the categories reviewed, she told you that while on floor duty, on three separate occasions, she had helped fellow inspectors improve their aseptic gloving technique.

U.S. DEPARTMENT OF AGRICULTURE FOOD SAFETY AND INSPECTION SERVICE IN-PLANT PERFORMANCE SYSTEM ASSESSMENT SHEET <small>*Assessment Values: NA = does not perform NI – needs improvement M = meets standards E = exceeds standards</small>					ASSESSMENT YEAR	NAME OF EMPLOYEE
					NAME OF SUPERVISOR	
ELEMENT	VALUE	ASSESSMENT*			NOTES/FEEDBACK (For additional notes, use the reverse side of this form.)	
		1 st Date:	2 ND Date:	3 RD Date:		
1. VERIFICATION OF HACCP PLANS						
a. Reviews plans						
b. Reviews/verifies records						
c. Determines appropriate corrective actions by plant						
d. Determines regulatory compliance						
e. Documents regulatory noncompliance						
f. Takes regulatory action						
g. Recommends compliance inquiry or investigation						
2. VERIFICATION OF SSOP'S						
a. Monitors Implementation						
b. Evaluates adequacy/effectiveness						
c. Determines regulatory compliance						
d. Documents noncompliance						
e. Takes regulatory action						
3. PERFORMS INSPECTION/ CONDUCTS SAMPLING						
a. Inspection						
b. Collects/sends samples						
c. On-site tests						
d. Reviews records						
e. Interprets data						
f. Analyzes results/makes conclusions						
g. Documents findings						
4. MAINTAINS LIAISON/ ADMINISTRATIVE DUTIES						
a. Discussion with plant						
b. Listens to concerns						
c. Interviews plant employees for information						

d. Maintains official records/ files					
e. Prepares reports					
f. Provides advise/assistance					
g. Secures accountable items					
5. PERFORMS AM/PM INSPECTION a. Performs AM inspection					
b. Monitors QC slaughter operations					
c. Assures handling and ID of condemned retained/inedible carcasses & parts					
d. Performs PM inspection procedures					
e. Assures sanitary dressing procedures are followed					
f. Completes AM/PM reports					
g. Prepares/submits required lab samples					

FSIS DIRECTIVE

4430.3

6/17/02

IN-PLANT PERFORMANCE SYSTEM REVIEWS

I. PURPOSE

This directive for FSIS front-line supervisors:

- A. Describes the purpose and process for conducting IPPS reviews.
- B. Introduces In-Plant Performance System Supervisory Guidelines as a tool for conducting IPPS reviews.
- C. Introduces FSIS Form 4430-8, In-Plant Performance System Assessment Sheet, as a tool for documenting results of IPPS reviews.

II. **(RESERVED)**

III. **(RESERVED)**

IV. **REFERENCES**

[In-Plant Performance System Supervisory Guidelines](#)

FSIS Directive 4293.1, Personnel Records

FSIS Directive 4430.1, Performance Evaluation Plan

V. **ABBREVIATIONS AND FORMS**

The following will appear in their shortened form in this directive:

HACCP	Hazard Analysis and Critical Control Point
IIC	Inspector-in-Charge
IPPS	In-Plant Performance System
LEARN	Laboratory Electronic Application for Results Notification
PBIS	Performance-Based Inspection System
SSOP	Sanitation Standard Operating Procedures
VMO	Veterinary Medical Officer
TSC	Technical Service Center

FSIS Form 4430-5, Performance Appraisal

[FSIS Form 4430-8, In-Plant Performance System Assessment Sheet](#)

VI. **APPLICABILITY**

This directive applies to front-line supervisors in positions that include Circuit Supervisors, Multi-IPPS Supervisors, Supervisory Veterinary Medical Officers, and Supervisory Food Technologists.

VII. **CONDUCTING IPPS REVIEWS**

A. ***What is an IPPS review?***

As front-line supervisors, you must use the IPPS as a tool to conduct reviews and assess the overall performance of *nonsupervisory* inspection program personnel. During an IPPS review, you and your program personnel discuss each performance element and how well you think personnel are performing in relation to established performance standards. The IPPS review offers potential benefits that may:

1. Encourage good communication between you and your employees.
2. Help you identify and address the need to improve employee's knowledge about jobs and responsibilities.
3. Encourage correlation with employees to ensure consistency in methods and applications of methods.
4. Help you identify and address performance problems as outlined in FSIS Directive 4430.1.
5. Help you to recognize and reward on target employee performance.

To conduct an effective IPPS review, you need to know the plant and its processes and operations (even though IPPS is *not* a system to evaluate plant performance). You also need to know FSIS program requirements, performance standards, and principles of supervision.

B. ***How often will you conduct IPPS reviews?***

You may carry out as many as three (3) IPPS reviews, one every 4 months, then complete the rating of record, in this order:

1. Carry out the first review.
2. Carry out the second review
3. Carry out the third review (if necessary).
4. Complete the rating of record at the end of the rating period.

VIII. THE SUPERVISORY GUIDELINES

A. *What are the IPPS Supervisory Guidelines?*

The Supervisory Guidelines explain your role as a supervisor regarding the IPPS reviews. They explain how you can ensure consistency in process and methods, and they provide specific instructions on carrying out the reviews.

1. The Guidelines are a reference for verifying that inspection program personnel are carrying out responsibilities. These include applying the appropriate inspection methods; using effective regulatory decision-making; documenting findings appropriately, and when warranted, implementing enforcement actions properly.
2. The Guidelines outline performance standards for inspection program personnel, including the following:
 - a. Verification of HACCP plans.
 - b. Verification of SSOPs.
 - c. Inspection and sampling for food safety and other consumer protection.
 - d. Liaison with plants and completion of administrative duties.
 - e. Ante-mortem and post-mortem inspections, including testing for residues.
3. The April 2002 version of the Supervisory Guidelines applies to the nonsupervisory, in-plant positions. The positions covered are listed by title, grade level, and standard job number in an appendix to the Supervisory Guidelines.
NOTE: Future versions of the Supervisory Guidelines will incorporate egg products, custom exempt responsibilities, exports, and imports.

B. *Where can you find additional copies of the Supervisory Guidelines?*

The In-Plant Performance System Supervisory Guidelines for Front-Line Supervisors in the FSIS is available electronically as a link from FSIS Directive 4430.3 in the Outlook Public Folders, All Public Folders, Agency Issuances, Directives.

C. *How will the Technical Service Center update the Supervisory Guidelines?*

As necessary, the TSC plans to update the Supervisory Guidelines electronically with additions (**Example:** instructions such as import, export, and egg products inspections), changes, and deletions. The TSC notifies you by e-mail about the update of the Supervisory Guidelines and tells you how to access and use them.

IX. **IPPS ASSESSMENT SHEETS**

A. ***What is the IPPS Assessment Sheet and how should you use it?***

FSIS Form 4430-8, IPPS Assessment Sheet, is an electronic form to use in two ways. First, print out the Assessment Sheet, select the elements that apply, and use it as a worksheet during IPPS reviews to record your assessments of the performance of inspection program personnel. After completing the Assessment Sheet as a worksheet, summarize the information it contains into its electronic version. The assessment process and the information you gather can help you develop the annual ratings of employees. See Attachment 1 for a sample copy of the IPPS Assessment Sheet. Supervisors can link to FSIS Form 4430-8 from FSIS Directive 4430.3, or link directly in Outlook, Public Folders, All Public Folders, Agency Issuances, Forms, FSIS 4000 series.

B. ***Where and how should you file the IPPS Assessment Sheets?***

Place electronic copies of current IPPS Assessment Sheets on your government computer in an electronic folder in your working files. FSIS Directive 4293.1 requires that you retain these electronic files of current IPPS Assessment Sheets for 1 year from the date that the last rating of record was completed.

NOTE: Do not file IPPS Assessment Sheets in the Official Personnel Folder or the Employee Performance File.

C. ***How should you use data from different IPPS Assessment Sheets to formulate annual performance ratings for inspection program personnel?***

Use your judgment when combining reviews from IPPS Assessment Sheets conducted during the annual rating period. Examples in FSIS Directive 4430.1 and in the applicable User's Guides can provide valuable information for your decisions on annual performance ratings.

D. ***When do you give inspection program personnel completed IPPS Assessment Sheets?***

At the IPPS review, share verbal feedback on the IPPS assessment. Then, send the inspection program personnel a completed IPPS Assessment Sheet in read-only format by e-mail no later than two workweeks of the IPPS review.

E. ***Can you use IPPS Assessment Sheets for advisory ratings (Example: part-time supervisor providing input to supervisor of rating)?***

No. Use the forms and process in FSIS Directive 4430.1 to provide advisory ratings to the supervisor of record. However, you may use an IPPS Assessment Sheet to help formulate the advisory rating.

F. *Does the IPPS Assessment Sheet replace the Performance Appraisal or Performance Standard forms used to document reviews?*

No. The IPPS Assessment Sheet does not replace any existing performance appraisal process and FSIS forms. Continue to use FSIS Form 4430-5, Performance Appraisal, to set performance standards and to rate employees.

X. IPPS REVIEW PROCESS

A. *What process should you use to conduct IPPS reviews?*

Use the following process to conduct IPPS reviews:

1. **Set performance standards.** At the start of the rating period, follow instructions in FSIS Directive 4430.1 using FSIS Form 4430.5 to set annual standards with inspection program personnel. The standards include defining and discussing elements that apply to a specific individual position. Document results of this meeting (**Example:** a list of elements applicable to the job each individual performs).

2. **Plan and prepare for an IPPS review.** Take these steps:

a. Select a sufficient number of sub-elements (and their sub-sets) to cover during the IPPS reviews so that you have covered all the applicable elements for the positions before the annual review period. Make sure you have covered the most critical elements first.

b. Research and review relevant data (**Example:** PBIS, LEARN) and identify focus areas for the IPPS review.

c. Review Supervisory Guidelines and identify questions for discussion, activities to conduct, and other items for review.

d. If appropriate, review feedback from previous reviews to see whether any follow-up issues need to be covered during the visit.

e. Develop a draft plan and outline for the visit. Include methods (1) to observe inspection program personnel as they conduct procedures, (2) to examine files and records, and (3) to discuss procedures and reach agreement among inspection program personnel.

f. Ensure consistency in planning from review to review.

3. **Conduct the IPPS review.** Execute the plan you developed to conduct the IPPS review. This means that you observe inspection program personnel performing procedures. You then review documentation, reports, and paper and electronic correspondence in the government files. Lastly, you observe plant conditions and compare them to Noncompliance Records. You may ask questions and discuss inspection methods, regulatory decision making, documentation, and enforcement protocol with inspection program personnel.

4. **Document and follow up on the results of the review.**

Share verbal feedback with the inspection program personnel at the end of the review. Provide on and off target verbal feedback. Identify and agree upon what inspection program personnel should be working on between this review and the next one to address all areas for improvement in performance. Indicate the follow-up training or additional visits needed and ensure the completion of these activities. If an employee's performance is unacceptable in one or more critical elements at any time during the performance appraisal cycle, follow the directions outlined in FSIS Directive 4430.1.

5. **Link IPPS review and work unit meetings.** As needed,

use work unit meetings with inspection program personnel to address common or group needs discovered during the IPPS review visits.

XI. **QUESTIONS**

You may direct all questions about conducting IPPS reviews, using the Supervisory Guidelines, and/or using the IPPS Assessment Sheet to the District Offices.



Acting Deputy Administrator
Office of Management

Attachment

1 FSIS Form 4430-8, In-Plant Performance System Assessment Sheet