



Department of Agriculture, Trade
and Consumer Protection

Division of Animal Health
Standard Operating Procedure

SOP # 500

Revision # New

Original
Implementation Date April 1, 2018

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This Revision
Implementation Date New

SOP Owner Bureau of Field Services Director Approval

Portable Enforcements

Purpose

The purpose of this standard operating procedure is to provide instruction for conducting a portable enforcement.

Background

The Division of Animal Health, Bureau of Field Services is required to conduct four portable enforcements per year. Generally, one portable enforcement is conducted per quarter of the year. Portable enforcements are normally conducted at various animal markets, WI Department of Transportation weigh stations, or fairs/exhibitions throughout the state.

Scope

This SOP applies and shall be adhered to by any employee of the division that is responsible for or involved with conducting a portable enforcement.

Definitions

- "Department" and "DATCP" means the Wisconsin Department of Agriculture, Trade and Consumer Protection
- "Division" means the Division of Animal Health within the Wisconsin Department of Agriculture, Trade and Consumer Protection
- "BFS" means the Bureau of Field Services, within the Division of Animal Health, Wisconsin Department of Agriculture, Trade and Consumer Protection
- "CRM" means Customer Relationship Management and is the application used by the Department to manage licenses, cases, complaints, etc.
- "CSR" means case summary report
- "WI DOT" means the Wisconsin Department of Transportation
- "INON" means Initial Notice of Non-Compliance, form AH-IC-800
- "Warning Notice" means an official warning issue on form AH-IC-9001
- "UEG" means Uniform Enforcement Guide

Responsibilities

- Compliance Specialists are the lead of each portable enforcement and are responsible for planning, organizing, and setting up each portable enforcement.
- Animal Health Inspectors assist by searching for violations at each portable enforcement, including issuing INONs and warning notices when appropriate.



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- The Compliance Supervisor assists with planning and finalizing the portable enforcement. This may include working with the program managers if the enforcement is focused in one specific area, or working with the WI DOT to plan a portable enforcement at a weigh station. Upon completion of a portable enforcement, the compliance supervisor will sign-off on the CSR and approve the case.

Procedure

1. The compliance supervisor assigns the compliance specialists four portable enforcements to conduct throughout the calendar year. With communication between the program managers, the bureau director, and other stakeholders in the division, it will be determined if the portable enforcements should be conducted at animal markets, WI DOT weigh stations, fairs/exhibitions, or another appropriate location. The portable enforcements shall be spaced throughout the year so approximately one is conducted per quarter.
2. Planning: The compliance supervisor shall create a portable enforcement assignment in CRM and assign it to the appropriate compliance specialist.
 - If at a WI DOT weigh station, the compliance specialist shall work with the WI DOT to schedule a portable enforcement and notify the other participating compliance specialist(s)/inspectors of the date, time, and location.
 - If at a location other than a WI DOT weigh station, the compliance specialist will pick a location, ask for other compliance specialist and animal health inspector assistance, and schedule dates and times.
3. While the compliance specialist is the lead planner and organizer of the portable enforcement, all present during the actual activity shall participate equally. Each compliance specialist and animal health inspector shall search for violations and write their own INONs or warning notices, or take other action when necessary. All contacts shall be recorded on a portable enforcement contact log which shall be combined and compiled by the compliance specialist into one log at the end of the enforcement. Contacts with no violations only require an entry on the portable enforcement contact log. Contacts with violations will require an entry on the portable enforcement contact log, and a portable enforcement contact form (formerly known as a "Market Surveillance" form) completed.
4. When entities are found to not be in compliance with the requirements and no further investigation is needed, then the UEG will be followed for what action shall be taken (INON, warning notice, etc.) immediately while conducting the enforcement. Education on proper compliance procedures shall also be provided to the entity as needed.
5. Following the portable enforcement activity, create cases for non-compliant entities:



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Director Approval

W. Johnson

- For entities with a license history in CRM, a new compliance action shall be created on that license, by the inspector or compliance specialist who documented the area of non-compliance. The compliance action shall be specific to their violation only, and not to the portable enforcement activity as a whole. The portable enforcement case number shall be noted as the parent case. If action was taken at the time of the portable enforcement, the compliance action may be closed as appropriate, which will include a CSR specific to that entity and violation. If further investigation is still needed, the inspector/compliance specialist who entered the case shall complete the case if it is in their own assigned territory. If not in their own territory, the case shall be referred to their immediate supervisor for proper assignment.
 - For entities that require a license but are operating without a license, no license history exists in CRM, the same as above shall be followed. If action was taken at the time of the portable enforcement, the compliance action may be closed as appropriate, which will include a CSR specific to that entity and violation. If further investigation and action is still needed, the inspector/compliance specialist who entered the case shall complete the case if it is in their own assigned territory. If not in their own territory, the case shall be referred to their immediate supervisor for proper assignment.
 - For entities which are operating under a program not in CRM, the case shall be referred to that employee's supervisor to have a Case Tracking (CT) case created. The supervisor will assign the case to the appropriate employee for completion. The portable enforcement case number shall be noted as the parent case. If action was taken at the time of the portable enforcement, the compliance action may be closed as appropriate, which will include a CSR specific to that entity and violation.
6. To close the portable enforcement case assignment, the compliance specialist shall create and upload the completed CSR to the CRM case along with the contacts log created in step 3. The case will be closed out in CRM as normal (complete final resolution, closed dates, etc.)
 7. The compliance supervisor will review the case, signing and dating the CSR deemed to be satisfactory, and complete the closing of the CRM case.

References

Wis. Admin. Code chs. ATCP 10 through 17
Wis. Stat. ch. 93
Wis. Stat. ch. 95
Wis. Stat. ch. 173

Portable Enforcement Contact Log

	Contact Name (First & Last)	City/Town/Village	State	Violations (Y/N)	Notes/Brief Violation Summary
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					

CASE/CA#

Date:

DAH Staff Completing Log: _____



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PORTABLE ENFORCEMENT CONTACT

Wis. Admin. Code ATCP 10.21, 10.22, 10.70, 12.03 and 95.68, 95.69, and 95.71 Wis. Stats

DATE	INSPECTOR
OPERATOR NAME	LICENSE NUMBER(S)
DBA	CONTACT PHONE NUMBER
BUSINESS ADDRESS	INSPECTION LOCATION ADDRESS
VEHICLE (make/model/license plate #)	ANIMAL ORIGIN ADDRESS
ANIMAL INVENTORY IDENTIFICATION	ANIMAL DESTINATION ADDRESS
Investigation reminders: <ul style="list-style-type: none"> • Applicable CVI/ Import Permit/ Test reports (Ex: EIA test, FHC, etc.) • License card present (AD) • Animals individually identified • Trucking for hire <ul style="list-style-type: none"> • Dock slip or owner / shipper statement available • DATCP license number(s) and registration stickers on vehicle 	
VIOLATIONS	
NOTES	