Small/Very Small Plant Guide

Applying for a
Federal Grant of Inspection
For Meat and Poultry Establishments

United States Department of Agriculture
Food Safety and Inspection Service
Office of Field Operations
Date

Name  
Address  
City/State/Zip

Dear Name

Thank you for your interest in applying for Federal Meat, Poultry, or Import Inspection. Enclosed is an application form for full completion and return to the above address. A preprinted envelop is included. In addition to the application form, a computer disc of reference materials is also included. The disc contains the In-Depth Guidelines On How To Obtain Federal Meat and Poultry Inspection including regulatory references. Additional information may also be obtained through the telephone numbers and Internet sites provided in the packet.

Upon acceptance of your application, the Frontline Supervisor assigned to your area will be notified of your application. You will be provided with that persons name and contact information. The Frontline Supervisor will be able to provide additional information specific to your type of operation, should it be needed.

If you have any questions about the application, please contact our office at (123) 456-7890.

Sincerely,

/s/ Name  
District Manager  
Location
An Introduction from the District Manager

The United States Department of Agriculture (USDA), Food Safety and Inspection Service (FSIS) is responsible for inspecting meat, poultry, and processed egg products for safety, wholesomeness and proper labeling. Federal inspection personnel are present at all times in virtually all slaughter and egg processing plants and for at least part of each day in establishments that further process meat and poultry products. The purpose of this fact sheet is to broaden your knowledge of the FSIS inspection program and the requirements for applying for and receiving a Federal Grant of Inspection.

Meat inspection became law under the Federal Meat Inspection Act of 1906, which requires inspection of red meat products sold in interstate and foreign commerce. The Act established strict sanitation requirements for plants and calls for examination of all labels for truthfulness and accuracy. In 1968, the Poultry Products Inspection Act extended the same provisions to poultry inspection. Under the Meat and Poultry Acts, FSIS inspects all meat and poultry sold in interstate commerce.

Federal inspection assures the consumer that meat, poultry and egg products are clean, safe, and wholesome for human consumption at the time of purchase. This involves inspection of the live animal, carcass, internal organs, plant facilities, equipment, personnel, and transportation system.

In 1996, FSIS issued the Pathogen Reduction/Hazard Analysis Critical Control Point (HACCP) final rule. As the name implies, there are two components to the 1996 rule: the reduction of pathogens and the development and implementation of HACCP systems. Today, all federally inspected meat and poultry establishments are operating under a HACCP system and all new establishments must have a HACCP inspected meat system developed before receiving a grant of inspection. HACCP allows establishments to identify food safety hazards that are reasonably likely to occur in the process or type of product being produced and establish points of control to prevent adulteration from occurring. FSIS inspection personnel verify that an establishment has developed and is implementing the HACCP system as designed.

The HACCP final rule also requires the development and implementation of Sanitation Standard Operating Procedures (SSOPs). These programs are intended to prevent direct product contamination or adulteration, and focus on pre-operational and operational activities. Every establishment must develop, implement, and maintain effective SSOPs. FSIS has developed generic HACCP and SSOP plans to aid prospective applicants in developing these required components. The order form (attachment 7) is enclosed for your use or you may access this information from the FSIS internet website at:

www.fsis.usda.gov
The inspection process starts with the live animal. Ante-mortem inspection involves a visual and physical evaluation of the live animal prior to slaughter to identify any conditions that may indicate disease or illness. Humane handling is also a primary concern. Strict guidelines are in place and are strongly enforced to prevent the mishandling of animals. FSIS inspection personnel are responsible for conducting a thorough examination of all slaughtered animals. The Post mortem inspection allows inspection personnel to further evaluate the health of carcass and tissues.

The inspection system continues throughout the entire processing segment of the industry, including both raw and fully cooked products. Inspection personnel are responsible for verifying that an establishment is maintaining sanitary conditions and following all food safety related procedures and labeling regulations.

Meat, poultry and egg production is the most highly regulated food industry. FSIS is responsible for developing rules and regulations for the production of wholesome and safe foods and providing regulatory oversight during the day-to-day production of these products.

As you begin the process of applying for a Federal Grant of Inspection, FSIS personnel at District locations through the country, Headquarters in Washington, DC and the FSIS Technical Service in Omaha, NE, are available to assist you with the application process and to answer any questions you might have concerning HACCP and SSOP regulatory requirements (see attached list for locations and phone numbers).

The combination of regulatory oversight and the commitment and dedication of you as a plant operator allows consumers to purchase and prepare meat and poultry products with confidence in the safety of these products. Food safety begins with the establishment, follows with regulatory verification, and ends with the consumer. We look forward to assisting you with this process and working together to ensure a safe, meat and poultry products supply.

Enclosures
FSIS Contacts

(As of 7/18/2011)

Policy Development Division (formerly the Technical Service Center)

Omaha, NE
Dr. Laura McKee, Director
Edward Zorinsky Federal Building
1616 Capitol Avenue
Suite 260
Omaha, NE 68102-5908
Phone: (402) 344-5000
FAX: (402) 344-5005
Admin. Functions:
1-800-233-3935
(402) 344-5000
Or via AskFSIS at http://askfsis.custhelp.com/

OFO

Alameda, CA
District 05
States: California
Dr. Yudhibir Sharma, District Manager
620 Central Avenue
Building 2C
Alameda, CA 94501
Phone: (510) 337-5000
Ext. 1 for DM or DDM
FAX: (510) 337-5081
Emergency 24-Hour: 1-866-729-9307
Admin. Functions:
Ms. Cindy Jones
(510) 769-5713

Albany, NY
District 65
States: Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont
Mr. Haroon Mian, District Manager
230 Washington Ave. Extension
Albany, NY 12203-5369
Phone: (518) 452-6870
FAX: (518) 452-3118
Emergency 24-Hour: (518) 452-6870, Ext. 250
Admin. Functions:
Ms. Linda Kane
(518) 452-6870

**Atlanta, GA**
District 85
States: Florida, Georgia, Puerto Rico, Virgin Islands
Vacant, District Manager
Contact: Dr. Muhammad Mughal, Dr. Celia Brown,
or Mr. Dennis Reisen, Deputy District Managers
100 Alabama St., SW; Bldg 1924
Suite 3R90
Atlanta, GA 30303
Phone: (404) 562-5900
FAX: (404) 562-5877
Emergency 24-Hour: 1-800-282-7005
Admin. Functions:
Ms. Kimberley Beall
(404) 562-5900

**Beltsville, MD**
District 75
States: Delaware, District of Columbia, Maryland,
Virginia, West Virginia
Dr. Mohamed Ibraheim, District Manager
5601 Sunnyside Ave.
Suite 1-2288 B
Beltsville, MD 20705-5200
Phone: (301) 504-2136
FAX: (301) 504-2140
Emergency 24-Hour: 1-800-289-4116
Admin. Functions:
Ms. Leigh Nichols
(301) 504-2128

**Chicago, IL**
District 50
States: Illinois, Indiana, Ohio
Mr. Paul Wolseley, District Manager
1919 South Highland Avenue
Suite 115C
Lombard, IL 60148
Phone: (630) 620-7474
FAX: (630) 620-7599
24-Hour Emergency: (630) 544-9805, (630) 699-8850, or (630) 544-9886
Admin. Functions:
Chicago: Ms. Karen Higgs
(630) 620-7474

**Dallas, TX**
District 40
States: Texas
Dr. Jennifer McKean, District Manager
1100 Commerce Street
Room 516
Dallas, TX 75242
Phone: (214) 767-9116
FAX: (214) 767-8230
24-Hour Emergency: (214) 767-9116
Admin. Functions:
Mr. Dale Jackson
(214) 767-9116

Denver, CO
District 15
States: Alaska, American Samoa, Arizona, Colorado,
Guam, Hawaii, Idaho, New Mexico, Nevada,
Northern Mariana Islands, Oregon, Utah,
Washington
Dr. Ron C. Nelson, District Manager
Denver Federal Center
P.O. Box 25387, Building 45
Denver, CO 80225
Phone: (303) 236-9800
FAX: (303) 236-9794
24-Hour Emergency: (303) 236-9800
Admin. Functions:
Ms. Ann Layman
(303) 236-9787

Des Moines, IA
District 25
States: Iowa, Nebraska
Dr. Dawn Sprouls, District Manager
Room 985, Federal Building
210 Walnut Street
Des Moines, IA 50309
Phone: (515) 727-8960
or 1-800-990-9834
FAX: (515) 727-8992
24-Hour Emergency: (402) 681-1556 or (515) 343-4499
Admin. Functions:
Mr. Paul Palmer
(515) 727-8960

Jackson, MS
District 90
States: Alabama, Mississippi, Tennessee
Dr. Paul Resweber, District Manager
713 South Pear Orchard Road
Suite 402
Ridgeland, MS 39157
Phone: (601) 965-4312
FAX: (601) 965-5901
24-Hour Emergency: (601) 965-4312
Admin. Functions:
Ms. Christina Walker, SRMA
(601) 965-4312

**Lawrence, KS**
District 30
States: Kansas, Missouri
Dr. Keith Gilmore, District Manager
4920 Bob Billings Parkway
Lawrence, KS 66049-3855
Phone: (785) 841-5600
FAX: (785) 841-5623
24-Hour Emergency: (785) 840-0020
Admin. Functions:
Vacant
(785) 841-5600, Ext. 133

**Madison, WI**
District 45
States: Michigan, Wisconsin
Mr. Paul Kiecker, District Manager
2810 Crossroads Dr.
Suite 3500
Madison, WI 53718-7969
Phone: (608) 240-4080
FAX: (608) 240-4092
24-Hour Emergency: (608) 240-4080 and follow the prompts
Admin. Functions:
Mr. Mike Reitmeier
(608) 240-6959

**Minneapolis, MN**
District 20
States: Minnesota, Montana, North Dakota, South Dakota, Wyoming
Dr. Phyllis Adams, District Manager
Butler Square West, Suite 989-C
100 N. 6th Street
Minneapolis, MN 55403
Phone: (612) 659-7056
FAX: (612) 370-2411
24-Hour Emergency: 1-800-843-1974
Admin. Functions:
Ms. Patti Kelly
(612) 659-8626

**Philadelphia, PA**
District 60
States: New Jersey, Pennsylvania
Mr. Jan T. Behney, District Manager
U.S. Dept of Agriculture
Mellon Independence Center
701 Market Street, Suite 4100A
Philadelphia, PA 19106
Phone: (215) 430-6301
FAX: (215) 597-4217
24-Hour Emergency: 1-800-637-6681, enter 1 then 5
Admin. Functions:
Ms. Jane Smith
(215) 430-6228

**Raleigh, NC**
District 80
States: Kentucky, North Carolina, South Carolina
Mr. Steve Lalicker, District Manager
6020 Six Forks Road
Raleigh, NC 27609
Phone: (919) 844-8400
or 1-800-662-7608
FAX: (919) 844-8411
24-Hour Emergency: (919) 844-8400
Admin. Functions:
Mr. Kent Jacobs
(919) 844-8400

**Springdale, AR**
District 35
States: Arkansas, Louisiana, Oklahoma
*Vacant*, District Manager
Contact: Mr. Robert Bane or Dr. Julie Cornett,
Deputy District Managers
Country Club Center
Bldg. B, Suite 201
4700 South Thompson
Springdale, AR 72764
Phone: (479) 751-8412
FAX: (479) 751-9049
24-Hour Emergency: (479) 751-8412
Admin. Functions:
Ms. Sue Nelsen
(479) 751-8412

[State HACCP Contacts and Coordinators]
GUIDELINES FOR OBTAINING A FEDERAL GRANT OF INSPECTION
FOR
MEAT AND POULTRY ESTABLISHMENTS

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INTRODUCTION

These guidelines are intended to aid those who are contemplating applying for a Federal Grant of Inspection.

There are 7 basic steps required for obtaining Federal Meat and Poultry Inspection.

1. File an Application for Inspection
2. Facilities Must Meet Regulatory Performance Standards
3. Obtain Approved Labels and/or Brands
4. Obtain Approved Water Source Letter
5. Obtain Approved Sewage System Letter
6. Provide a Written Standard Operating Procedure for Sanitation
7. Provide a Written Hazard Analysis and HACCP Plan

Each of these steps are explained in the next few pages, providing general information to the applicant. In addition, the Federal Regulations are also provided and are referenced throughout this document. You are encouraged to refer to the regulations as you review each step of the guidelines.

Upon receipt of your application and completion of all items, the District Manager or designee will conduct a review of the establishment. If all is found acceptable, a Conditional Grant of Inspection will be issued to allow you 90 days to produce and validate your HACCP Program.
**STEP 1  File an Application**

Complete application (FSIS Form 5200.2, which is included in this package). Directions for completing FSIS Form 5200.2 are included in Attachment 2. Mail your completed application to the appropriate District Office, who will have Federal jurisdiction over the operation of your plant. Your local Frontline Supervisor or designee can assist you, if you have any questions.

In addition to completing the application, pay particular attention to item 106. “Attach a Description of the Limits of the Establishment Premises that is to be under Federal Inspection.” This can be a written description or a drawing. If a drawing, place a North compass heading on the drawing.

**Special note of instruction:**

- Complete all of the sections and numbered items. If an item is not applicable enter “N/A” or none. If blocks 23 and 24 are not applicable, you must write “None.” N/A is not acceptable.

See - Application for Federal Meat, Poultry, or Import Inspection

(FSIS Form 5200-2, dated 7/97)
STEP 2  Facilities Must Meet Regulatory Performance Standards

Establishments that conduct operations under a Grant of Inspection from USDA’s Food Safety and Inspection Service must conduct operations under the Provisions of Part 416. These requirements include the following Regulations – 416.2(a) (b) (c) (d) (e) (f) (g) (h) and Regulation 416.3

See - Code of Federal Regulations (CFR) Part 416
**STEP 3   Obtain Approved Labels**

After an application for inspection has been filed, an official plant number will be reserved upon request by the applicant. This number is used to identify all inspected and passed products prepared in the establishment. All carcasses from slaughtered animals must be ink-branded with the U.S. Inspection legend, which includes the plant number. All packaged meat products must have the U.S. Inspection legend, with the plant’s number printed on the label of the package. All labeling material must be federally approved and on-hand before inspection will be granted.

See - [FSIS Form 7234.1 and instructions](#)

See – CFR Parts 316, 317, & 381.96 thru 381.144

See Attachment 2 – Additional FSIS Contacts for Information
**STEP 4  Obtain Approved Water Source Letter**

If the water entering an establishment is supplied by a Municipal water supply system (i.e. city, county, or other public water system) the letter is issued by the Municipality, or the State Public Health Service or its county office. If the water is from a private water supply (such as a private well), the letter must be issued by the State Public Health Service or the appropriate county office. The letter should identify the source, state that the source is approved, and that the water is potable and meets tests prescribed by the Environmental Protection Agency in its “Drinking Water Standards.” In addition to the water approval letter, a current acceptable water laboratory sample report (water potability certification) must be on file before inspection is granted.

**NOTE:** If the water is supplied from private wells, the letter must state that the wells are on the premises of the establishment and are effectively protected from pollution.

See [Attachment 3 – Sample Letter for Approved Municipal Water Supply](#)
**STEP 5   Obtain an Approved Sewage System Letter**

State or Local health authorities can provide a letter stating that the plant’s sewage system is acceptable. If State and Local authorities certify the water source, they may certify the sewage system in the same letter.

See [Attachment 3– Sample Letter for Approved Sewage System](#)
STEP 6  Provide a Written Standard Operating Procedure for Sanitation (Sanitation SOPs)

A written Standard Operating Procedures for Sanitation (Sanitation SOPs) tailored to your plant will need to be developed before being granted Federal Inspection.

See – CFR Parts 304.3(a), 416.11-416.17

See Attachment 4 – Sample Sanitation Standard Operating Procedure (SSOP)
**STEP 7  Provide a Written Hazard Analysis and HACCP Plan**

A hazard analysis is the process used to determine the food safety hazards reasonably likely to occur in the production process and identifies the preventive measures that the establishment can apply to control those hazards. Whenever a hazard analysis identifies that one or more food safety hazards are reasonably likely to occur, a written HACCP plan shall be developed.

**Note:** You may utilize an outside consultant who is not employed by the establishment. Questions about the use of consultants may be answered by an FSIS representative.

Workshops are being conducted around the country and a self-study guide and video can be provided by USDA Outreach Program. Each State is also assigned a HACCP Coordinator to assist plants with the development of HACCP Programs.

See – CFR Parts 304.3(b) and (c) and 417

See Attachment 2 – Additional FSIS Contacts for Assistance
GENERAL INFORMATION

**Separation of Official Establishments**

Each official establishment shall be separate and distinct from any unofficial establishment. Inspection will not be granted in any building in which any part of it is used as living quarters, unless the part for which inspection is requested is separated from such quarters by floors, walls, and ceilings of solid concrete, brick, wood, or similar material, and the floors, walls, and ceilings are without openings that communicate directly or indirectly with any part of a building used as living quarters.

See – CFR Parts [305.1](#), [305.2](#) and [381.26](#).

**Inauguration of Inspection**

Prior to the inauguration of inspection, an examination of the establishment and premises will be made by inspection personnel.

See – CFR Parts [305.4](#) and [381.27](#)

**Inspection Office**

Office space shall be provided by official establishments, rent free, for the exclusive official of the inspector and other FSIS employees assigned to the establishment. The space set aside for this purpose shall meet with approval of the frontline supervisor. This space should be suitable for the storage of program supplies and for Inspection program personnel to change clothes if such clothes changing facilities are deemed necessary by the frontline supervisor. Laundry service for Inspection program personnel’s outer work clothing shall be provided by each establishment. At the discretion of the Administrator, small plants requiring the services of less than one full time inspector need not furnish facilities for FSIS employees as prescribed in this section, where adequate facilities exist in a nearby convenient location.

See – CFR Parts [307.1](#), [307.2](#), [307.3](#), [381.27](#) and [381.36(a)](#).
**Hours of Operation**

The operator of the official establishment shall inform the inspector in charge (IIC) when work in each department has been concluded for the day, and provide the IIC with the day and hour when work will be resumed by the establishment. Whenever any product is to be overhauled or otherwise handled during unusual hours, the establishment operator shall notify the IIC a reasonable time in advance of the day and hour when such work will begin and such product shall not be handled prior to that time. No department, in which operations are being conducted, that requires inspection, will be operated except under the supervision of an FSIS employee. Prior to the initial start of operations, you will be asked to provide a written schedule of the establishment’s your hours of operation. The frontline supervisor for your area will contact you for that information.

See – CFR Parts 307.4 and 381.37

**Inspection Charges**

Inspection service is provided free of charge for the first 8 hours per shift consecutive days (Sunday through Saturday). Any work conducted over 8 hour shift, or any time past the initial 5 consecutive day period, will be charged to the plant at the prevailing hourly overtime rate. If the operator of the establishment requests inspection during odd hours, a minimum of 2 hours will be charged to the plant at the above rate. This rate is also charged if the plant works on any Federal holiday. Federal holidays are the first day of January, the third Monday of January, the third Monday of February, the last Monday of May, the fourth day of July, the first Monday of September, the second Monday of October, the eleventh day of November, the fourth Thursday of November, the twenty-fifth day of December and any other day designated as a holiday by Federal statute or Executive Order. When any of the above listed holidays fall on a weekday, that day becomes a holiday. When a holiday falls on a Saturday, the preceding work day (Friday) becomes a holiday. When a holiday falls on a Sunday, the next work day (Monday) becomes a holiday.

See – CFR Parts 307.5, 307.6, 381.38 and 381.39
**Hours of Duty**

The maximum time a slaughter inspector may be assigned daily to a post mortem inspection position is 10 hours per day, and the inspector shall not work more than a total of 12 hours per day. The 10 hour post mortem time, does not include time spent before and after slaughter operations, conducting ante-mortem, sanitation, and offal inspection; supervising disposal of condemned material, and preparing reports. Processing assignments shall not be more than 12 hours per day. Time used for meals is not included in counting the above hours. Lunch periods shall not be less than 30 minutes nor more than one hour. Lunch periods shall begin between the fourth and fifth hour of duty.

*See – CFR Parts 307.4 and 381.37*

**Withdrawal of Inspection**

Inspection may be withdrawn from an establishment where the sanitary conditions are such that its products are rendered adulterated, or for failure of the operator to destroy condemned products as required by the Act and regulations.

The assignment of inspectors may be temporarily suspended, in whole or in part, to the extent it is determined necessary to avoid impairment of the effective conduct of the program when the operator of any official establishment or any subsidiary therein, or any officer, employee, or agent of any such operator, or agency, threatens to forcibly assault or forcibly assaults, intimidates, or interferes with any FSIS employee in or on account of the performance of his/her official duties.

The inspector in charge can withhold inspection (conditional withdrawal or suspension) and notify the establishment.

*See - Directive 5220.1*
Additional FSIS Contacts for Assistance

Interactive Knowledge Exchange (IKE)

Small Business Regulatory Enforcement Fairness Act (SBREFA)
http://www.sba.gov/advo/laws/sbrefa.html

FSIS Web Pages

FSIS Home Page
http://www.fsis.usda.gov

FSIS Code of Federal Regulations
http://www.gpoaccess.gov/cfr/index.html

FSIS Directive 5000.1 – Verifying an Establishment’s Food Safety System – Revision 1 (95 pp)
http://www.fsis.usda.gov/regulations_&_policies/5000_Series-Program_Services/index.asp

HACCP Contacts and Coordinators
http://www.fsis.usda.gov/contact_us_/state_haccp_contacts_&_coordinators/index.asp

Small and Very Small Plants Page

Business and Partners Page

Labeling and Consumer Protection Staff (LARC)
Sign up for the FSIS e-mail alert service for up-to-date information at http://www.fsis.usda.gov/news_&_events/email_subscription/index.asp
United States Department of Agriculture
Food Safety and Inspection Service (FSIS)
Field Operations (FO)

PRIVACY ACT NOTICE

The Privacy Act of 1974 (5 U.S.C. 522A) requires that certain information be given to you when you are requested to furnish personal information to a Government Agency. The required information is provided in this Notice. The act does not apply, however, to business information about your firm.

AUTHORITY FOR REQUESTING INFORMATION

Authority for requesting both personal and business information is contained in the Federal Meat Inspection Act (21 U.S.C.601 et seq.) and the Poultry Products Inspection Act (21 U.S.C. 451 et seq.). Under these Acts, the Secretary of Agriculture is authorized to determine the fitness of applicants for or recipients of inspection service to engage in business requiring inspection. Your disclosure of personal information to aid in this determination is mandatory. The Acts also require full and complete disclosure of records and information showing the transactions of your business.

PURPOSE FOR WHICH THE INFORMATION WILL BE USED

This information is being requested to establish and record your identity as a responsible official of the business and to determine your fitness to receive a Grant of Inspection.

ROUTINE USES WHICH MAY BE MADE OF THE INFORMATION

In appropriate situations, a report containing the information you furnish may be referred to other federal, state, local or foreign agencies charged with law enforcement or the investigation or prosecution of law violations.

EFFECTS OF FAILURE TO FURNISH INFORMATION

Failure to provide requested information may delay or interfere with your receiving inspection service and may result in civil penalties of $100.00 per day against you or your business, as prescribed by (15 U.S.C. 50). In addition, persons making false, fictitious, or fraudulent statements or entries are subject to a $10,000.00 fine or imprisonment for not more than 5 years or both, as prescribed by (18 U.S.C 1001).
SAMPLE LETTER FOR APPROVED MUNICIPAL WATER SUPPLY

To: Inspector in Charge  
XYZ Meat Packers, Inc.  
1001 Main Street  
Florence, Mississippi  39073  

Dear Sir:

I certify that XYZ Meat Packers, Inc., located at 1001 Main Street, Florence, Mississippi, is supplied water from the City of Florence Municipal Water Co., which is approved by the Mississippi State Public Health Service. This water is potable, and meets tests prescribed by the Environmental Protection Agency in its “Drinking Water Standards”.

Attached please find a current water potability certification and laboratory sample report from the Mississippi State Public Health Service Laboratory, Jackson, Mississippi.

Sincerely,

Mr. A. B. Clean  
Mr. A. B. Clean  
State Sanitarian

SAMPLE LETTER FOR APPROVED SEWAGE SYSTEM

To: Inspector in Charge  
XYZ Meat Packers, Inc.  
1001 Main Street  
Florence, Mississippi  39073  

Dear Sir:

I certify that XYZ Meat Packers, Inc., located at 1001 Main Street, Florence, Mississippi, is connected to the City of Florence Municipal Sewage System. I have inspected the plant disposal system and have found them to be acceptable to this department.

Sincerely,

Mr. A. B. Clean  
Mr. A. B. Clean  
State Sanitarian
SAMPLE – SANITATION STANDARD OPERATING PROCEDURE (SSOP)

XYZ Meat Packers, Inc. is a red meat processing establishment. This plant receives beef and pork for further processing. This plant cuts and grinds product and also packages it.

MANAGEMENT STRUCTURE
Owner –
Plant Manager –
Team Captains –

The Team Captains are responsible for implementing and daily monitoring of Sanitation SOP and recording the findings and any corrective actions. The Team Captains are responsible for training and assigning specific duties to other employees and monitoring their performance within the Sanitation SOP. All records, data, checklists, and other information pertaining to the Sanitation SOP will be maintained on file and made available to inspection personnel.

I. Preoperational Sanitation – Equipment and Facility Cleaning Objective
   A. All equipment will be disassembled, cleaned, and sanitized before starting production.
      1. Establishment sanitary procedure for cleaning and sanitizing equipment.
         a. All equipment will have product debris removed.
         b. Equipment will be rinsed with water to remove remaining debris.
         c. An approved cleaner will be applied to equipment and properly cleaned.
         d. Equipment will be sanitized with approved sanitizer and rinsed with potable water.
         e. The equipment is reassembled.
      2. Implementing, Monitoring and Recordkeeping
         Team Captains perform daily organoleptic sanitation inspection after preoperational equipment cleaning and sanitizing. The results will be recorded on a Preoperational sanitation form. If found to be acceptable, the appropriate line will be checked. If corrective actions are needed, such actions will be documented.
      3. Corrective Actions
         The Team Captains determines that the equipment on hand does not pass organoleptic examination, the cleaning procedure and inspections are repeated. The Team Captains monitor the cleaning of the equipment on hand and retrains employees if necessary. Corrective actions are recorded on Pre-Operational sanitation forms.
   B. Cleaning of Facilities including floors, walls, and ceilings.
      1. Cleaning procedures:
         a. Debris is swept up and discarded.
         b. Facilities are rinsed with potable water.
         c. Facilities are cleaned with approved cleaner.
         d. Facilities are rinsed with potable water.
      2. Cleaning of floors and walls are done at the end of each production day. Ceilings are cleaned as needed.
      3. Establishment monitoring
         The Team Captain performs daily organoleptic inspection before operation begins. Results are recorded on a preoperational sanitation form.
4. Corrective action
When the Team Captain finds that the facilities do not pass organoleptic inspection, the cleaning procedures and inspections are repeated. The Team Captain inspects the cleaning of the facilities and re-trains employees as needed. Corrective action to prevent direct product contamination or adulteration are recorded on Pre-operational sanitation forms.

II. OPERATIONAL SANITATION—EQUIPMENT AND FACILITY CLEANING OBJECTIVE
A. Processing is performed under sanitary conditions to prevent direct and cross contamination of the product.
   1. Sanitary procedures for processing.
      a. Employees clean and sanitize hands, gloves, knives, other hand tools, cutting boards, etc., as necessary during processing to prevent contamination of products.
      b. All equipment tables and other product contact surfaces are cleaned and sanitized throughout the day as needed.
      c. Outer garments such as aprons and gloves are hung in designed areas when employees leave processing area. Outer garments are maintained in a clean and sanitary manner and are changed at least daily and more often if necessary.
   2. Monitoring and Recordkeeping
      The Team Captains are responsible for ensuring that employees’ hygiene practices, sanitary handling procedures and cleaning procedures are maintained. The Team Captain monitors the sanitation procedures during the day. Results are recorded on an Operational Sanitation Form daily.
   3. Corrective Action
      The Team Captain identifies sanitation problems and stops production if necessary and notifies processing employees to take appropriate action to correct sanitation problems. If necessary, processing employees are re-trained and corrective actions are recorded on Operational Sanitation form.
U.S. DEPARTMENT OF AGRICULTURE
FOOD SAFETY AND INSPECTION SERVICE
APPLICATION FOR FEDERAL MEAT,
Poultry, OR IMPORT INSPECTION

INSTRUCTIONS:
Submit this application to the District Manager, Food Safety and Inspection Service, U.S. Department of Agriculture for applicable inspection requests.
Complete all sections. If a section is not applicable enter "NA" or "None." If additional space is needed for any item, attach sheet and number the item.

SECTION I (to be completed for import or Domestic Inspection Activities)

1. DATE OF APPLICATION
08/22/2006

2. TYPE OF APPLICATION
☐ NEW ☑ CHANGE OF OWNER ☐ CHANGE OF LOCATION

3. TYPE OF INSPECTION REQUIRED
☐ MEAT ☑ IMPORT ☑ POULTRY

4. EXEMPTED ACTIVITIES (specify)
CS, CP, RE

5. FORM OF ORGANIZATION
☐ INDIVIDUAL ☐ COOPERATIVE ASSOCIATION ☐ PARTNERSHIP
☑ CORPORATION ☐ OTHER (specify)

6. IF CORPORATION, NAME OF STATE WHERE INCORPORATED
Iowa

7. DATE INCORPORATED (Month and Year)
06/01/2005

8. NAME OF APPLICANT (Company Name AND MAILING ADDRESS (Include Zip Code)
U.S. Foods, Inc.,
1234 Main Street
Des Moines, IA 50312

FEDERAL EMPLOYER IDENTIFICATION NO.
(As assigned by Internal Revenue Service)

9. AREA CODE TELEPHONE NUMBER
12-1456
(515) 111-2222

10a. LOCATION OF PLANT AND MAILING ADDRESS IF DIFFERENT FROM ITEM 8 (Include Zip Code)
9876 Oak Avenue
MAIL: P.O. Box 444
Newton, IA 50332
Newton, IA 50332

11. AREA CODE TELEPHONE NUMBER
(641) 888-4321

12. NAME AND ESTABLISHMENT NUMBER OF OTHER ESTABLISHMENTS LOCATED IN THE SAME FACILITY
None

13. OTHER NAMES OF ANY UNDER WHICH BUSINESS WILL BE CONDUCTED
American Pride Meats
American Pride Poultry

14. DAYS PER YEAR PLANT WILL OPERATE
EXEMPT 100 NON-EXEMPT 250 EXEMPT 10 NON-EXEMPT 8 EXEMPT 09/01/2006 NON-EXEMPT 09/01/2006

15. HOURS PER DAY PLANT WILL OPERATE
EXEMPT 2 NON-EXEMPT 8

16. MONTH AND YEAR WHEN PLANT WILL BE READY TO OPERATE UNDER INSPECTION PROGRAM
09/01/2006

SECTION II (to be completed for Domestic Inspection Activities)

18. ANIMALS TO BE SLAUGHTERED WHEN INSPECTION IS INSTITUTED
☑ CATTLE ☑ SWINE ☐ SHEEP ☐ GOATS ☑ YOUNG CHICKENS ☑ TURKEYS ☑ GEESE ☑ GUINEAS

19. FRESH MEAT OR READY-TO-COOK PRODUCTS TO BE DISPOSED OF IN COMMERCE
☑ BEEF ☑ VEAL ☑ LAMB OR MUTTON ☑ GOAT MEAT ☑ PORK ☑ EQUINE MEAT

☑ YOUNG CHICKENS ☑ MATURE CHICKENS ☑ TURKEYS ☑ GEESE ☑ DUCKS ☑ GUINEAS

20. PREPARED OR PROCESSED WHEN INSPECTION IS INSTITUTED

 TYPE OF PRODUCT
 ☐ MEAT ☐ POULTRY ☑ BOTH

 PROCESSING

 a. ☑ BREAKING/COMBINATION (farm, sheep, goats, poultry parts etc.)
b. ☑ BOILING (manual boiling meat/poultry)
c. ☑ MECHANICAL DEBONING (mechanical deboning meat/poultry)
d. ☑ FABRICATING (meat, steaks, chops, ground beef, hamburger etc.)
e. ☑ CURING (pork cuts, beef cuts, turkey, ham etc.)
f. ☑ FORMULATING (reconstituted meat, bacon, poultry rolls, petmeat sticks etc.)
g. ☑ COOKING/SMOKING (pork cuts, beef cuts, sausages, ham etc.)
h. ☑ CANNING (shelf stable, perishable, casa, potrace, etc.)
i. ☑ DRYING (pork cuts, beef cuts, sausage, dehydrated products)
j. ☑ CONVENIENCE ITEMS (sausage, cheese, pies, pizza etc.)
k. ☑ SLICING (bacon, ham, beef, sausages etc.)
l. ☑ FATSOL (land, salami, sausages, sausage etc.)
m. ☑ OTHER (specify)

FSIS FORM 5202-2 (7/97)
REPLACES FSIS FORM 5202-3 (6/90), WHICH IS OBSOLETE.
## SECTION III (to be completed for Import Inspection Activities)

### a. CARCASSES
- Beef [ ]
- Veal [ ]
- Sheep [ ]
- Goat [ ]
- Equine [ ]

### b. FRESH
- Cuts [ ]

### c. COOKED BEEF
- Boneless MFG Meat [ ]
- Restricted [ ]
- Unrestricted [ ]

### d. PROCESSED PRODUCTS
- Fresh/Frozen [ ]
- Heated [ ]
- Dried/Semi-Dried [ ]

### e. CONTAINERS
- Cuts [ ]
- Boneless MFG Meat [ ]

### f. POULTRY (P causa)
- Raw [ ]
- Cooked [ ]

### g. POULTRY (Whole Carcass)
- Raw [ ]
- Cooked [ ]

## SECTION IV (to be completed for Import and Domestic Inspection Activities)

22. List all persons responsible connected with the applicant. Include all owners, partners, officers, directors, holders or owners of 10 percent or more of voting stock, and employees in a managerial or executive capacity in the business. Notify the District Manager of any changes in the listing given.

<table>
<thead>
<tr>
<th>NAME</th>
<th>SOCIAL SECURITY NO.</th>
<th>DATE OF BIRTH (City and State)</th>
<th>PLACE OF BIRTH (City and State)</th>
<th>PRESENT Mailing Address (Street and Number, City, Zip Code)</th>
<th>HOLDER OF 10% OR MORE VOTING STOCK (of Corp)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mark Steinwijk</td>
<td>321-99-8877</td>
<td>12/12/1965 Riverside, CA</td>
<td>100 North State Street</td>
<td>Minneapolis, MN 55444</td>
<td>YES [ ]</td>
</tr>
<tr>
<td>James Morgan</td>
<td>453-55-2233</td>
<td>09/01/1970 St. Joseph, MO</td>
<td>30022 Maple Court</td>
<td>St. Paul, MN 55122</td>
<td>YES [ ]</td>
</tr>
<tr>
<td>Paul Steinwijk</td>
<td>867-45-6341</td>
<td>02/22/1968 New York, NY</td>
<td>3002 Sunset Drive</td>
<td>Harvey, IA 50321</td>
<td>YES [ ]</td>
</tr>
<tr>
<td>Richard Vickers</td>
<td>987-65-4321</td>
<td>05/29/1963 Albia, IA</td>
<td>3003 Vista Lane News</td>
<td>50331</td>
<td>YES [ ]</td>
</tr>
</tbody>
</table>

23. Enter the name of each person listed under item 22 who has been convicted in any Federal, State or District court of any felony, other than a felony based upon the acquiring, handling, or distributing of unlawful, mislabeled, or deceptively packaged food or food in connection with transactions in food. Include the nature of the crime, the date of conviction and the court in which convicted. If none, write "None".

None

24. List each conviction against the applicant (firm or corporation) in any Federal or State court of any felony. Include the name of each person listed under item 22 who has been convicted in any Federal or State court of more than one conviction of any felony, other than a felony based upon the acquiring, handling, or distributing of unlawful, mislabeled, or deceptively packaged food or food in connection with transactions in food. Include the nature of the crime, the date of conviction and the court in which convicted. If none write "None".

None

25. SANITATION STANDARD OPERATING PROCEDURES HAVE BEEN DEVELOPED FOR THE ESTABLISHMENT IN ACCORDANCE WITH FEDERAL REGULATIONS (Check)

☐ YES [ ]

26. APPLICANT HAS BEEN PROVIDED WITH A COPY OF THE INACTIVITY NOTICE (Check)

☐ YES [ ]

**AGREEMENT AND CERTIFICATION:** If inspection is granted for the application, I (we) expressly agree to conform strictly to the Federal Meat Inspection Act (21 U.S.C. 601 et seq.), the Regulations Governing the Meat Inspection of the United States Department of Agriculture (19 U.S.C. Part 201 et seq.), or the Poultry Products Inspection Act (21 U.S.C. 451 et seq.), and the Poultry Products Inspection Regulations (28 CFR 381 et seq.), or both. I/We certify that all statements made herein are made in good faith of my knowledge and belief.

**WARNING:** Persons willfully making false, fictitious, or fraudulent statements or entries are subject to a $500 fine or imprisonment not more than five years or both as prescribed by Title 18 U.S. Code 1001.

This is an Equal Opportunity Program, if you believe you have been discriminated against because of race, color, religion, sex, national origin, age or handicap, write immediately to the Secretary of Agriculture or the Administrator, FSIS, Washington, D.C. 20250.

27. TYPED NAME OF PERSON SIGNING APPLICATION

Paul Steinwijk

28. SIGNATURE

[Signature]

29. TITLE

Treasurer

30. OFFICIAL NUMBER ASSIGNED/RESERVED

EST

31. IS THIS PLANT PRESENTLY UNDER STATE INSPECTION (Completed by District Office)

☐ YES [ ]

32. DATE RECEIVED

☐ NO [ ]

33. DATE REVIEWED

34. THIS PLANT TO BE UNDER TALMADGE-RAVEN ACT

☐ YES [ ]

35. SIGNATURE OF DISTRICT MANAGER

☐ NO [ ]

36. DATE
DIRECTIONS FOR COMPLETION OF FSIS FORM 5200-2

Complete all sections. If a section is not applicable, enter "N/A" or "none". If additional space is needed for any item, attach a sheet and number the item.

1. Date of Application: Shall be the date on which the form is executed.

2. Type of Application: Check applicable block.

3. Type of Inspection Required: Check applicable block.

4. Exempted Activities: There are several possible entries:
   a. Custom Slaughter (CS)
   b. Custom Processing (CP)
   c. Retail Exempt (includes restaurants) (RE)
   d. Kosher (KO)
   e. Islamic (IS)
   f. Buddhist (BU)
   g. Confucianist (CO)
   An applicant can show one or any combination of the seven, if necessary.

5. Form of Organization: Check applicable block.


7. Date Incorporated: Show month and year.

8. Name and address of Applicant: Show official firm name and address. Enter Federal employee identification number in the space provided.


10a. Location of Plant and Mailing Address if Different From Item 8: If the mailing address of item 8 is a P.O. Box number, show location of the plant by street, number, miles from town or highway, etc.

10b. Attach a Description of the Limits of the Establishment Premises that is Requested to be Under Federal Inspection: Self-explanatory.

11. Area Code and Telephone Number: Show plant’s actual telephone number(s).

12. Name and Establishment Number(s) of Other Establishments Located in the Same Facility: Name of person(s) or firm name(s) and establishment number(s) which prepare products within the same facilities of the applicant identified in item 8.

13. Other Names Under Which Business will be Conducted: This refers to subsidiaries doing business under a different name than the applicant requesting inspection.

15. Hours/Week Plant Will Operate: Self-explanatory.


17. Month and Year Plant will be Ready to Operate Under Inspection Program: Self-explanatory.

* There can be overlapping exempt and non-exempt reporting, e.g., an applicant may have in section 16, 8 hours exempt and 8 hours non-exempt. This does not necessarily mean the plant is scheduled to work 16 hours.

18. Animals Slaughtered: Check applicable block(s).

19. Fresh Meat or Ready-to-Cook Poultry to be Disposed of in Commerce: Check applicable block(s).

20. Prepared or Processed When Inspection is Inaugurated: Check applicable block(s) for Meat, Poultry, or Both under type of product. If the "Both" block is checked, indicate whether the activity is for "M", "P", or "B" for entries A through M.

21. Import Inspection Activities: Fill in only if requesting for Import Inspection and then the application should be referred to International Programs. (Separate applications are needed for import requests and domestic requests.)

22. List of Responsible Persons: Shall include person signing the application, owners, officers, directors, managers, or others in an executive capacity. Be sure to show name, title, social security number, date and place of birth, home address and check in the space provided concerning holding of stock.

23. Person(s) Convicted of a Felony: Self-explanatory, if none, write none.


25. Sanitation Standard Operating Procedures have been developed: Check applicable block.

26. Privacy Act Notice: Check appropriate block.

27. Person Signing Application: Applicant's name should be typed or printed.

28. Signature: Applicant needs to sign in ink.

29. Title: Title of applicant whose name appears in Blocks 26 and 27.

30. Official Number Assigned/Reserved: District Manager will complete.


32 through 36: To be completed by USDA.
Labeling and Consumer Protection Staff (LCPS)  
Mailing Address and Phone Numbers

Correspondence about label applications should be addressed:

USDA, FSIS, OPPDE, LCPS  
1400 Independence Ave. SW  
Annex Bldg., Rm. 614  
Washington, DC  20250-3700

You may also fax your application. Please provide the required amount of copies in proper sequence, that is application form and label. Fax to: (202) 205-0145. Include a cover sheet indicating the reason for the fax.

To check the status of a label application, please call (202) 205-0267, and have your establishment number handy.

For questions pertaining to labels or labeling, please call (202) 205-0623.

Web address: www.fsis.usda.gov/oppde/larc

"The Labeling and Consumer Protection Staff (LCPS) develops policies and inspection methods and administers programs to protect consumers from misbranded and economically adulterated meat, poultry, and egg products. The purpose of the Staff's activities is to ensure that all labels are truthful and not misleading. Labeling includes all forms of product identification, claims, net weight, species identification and nutrition related to meat, poultry, and egg products. The staff serves as the Agency expert group on the composition of meat, poultry, and egg products, including safe and suitable ingredients."