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

An Overview of the Steps Required for Obtaining Federal Meat and Poultry Inspection
This Presentation Will Cover the Following Topics:

- The Seven Steps to Becoming an FSIS-Inspected Establishment
  - Application
  - OFO District Offices
  - FSIS Regulations and Requirements
    - Facilities and Equipment
    - Labels and Brands
    - Water and Sewage
    - Standard Operating Procedure for Sanitation
    - Hazard Analysis and Critical Control Point
This Presentation Will Cover the Following Topics:

• General Information
  — FSIS Regulations and Requirements
    ▪ Separation of Official Establishments and Inauguration of Inspection
    ▪ Inspection Office
    ▪ Laundry Service
    ▪ Hours of Operation
    ▪ Inspection Charges and Hours of Duty
    ▪ Rules of Practice and Withdrawal of Inspection
    ▪ Regulations Pertaining to *E. coli* and *L. monocytogenes*
FSIS is the public health agency in the U.S. Department of Agriculture (USDA) responsible for ensuring that the nation's commercial supply of meat, poultry, and egg products is safe, wholesome, and correctly labeled and packaged.

You will need to apply to FSIS for a Federal Grant of Inspection if you are producing meat and poultry products to ship in interstate commerce.
File an Application for Inspection

Contact the FSIS Office of Field Operations (OFO) district office with jurisdiction over plants in your State.

There are currently 15 district offices. The contact information for each district office can be found on the FSIS Web site at:

The district office will provide you with a packet of information which will include FSIS Form 5200.2, *Application for Federal Meat, Poultry or Import Inspection.*
In addition to completing the application, pay particular attention to item 10(b), “Attach a Description of the Physical Limits of the plant Premises that is to be under Federal Inspection.”
Facilities Must Meet Regulatory Performance Standards

• To operate under a Grant of Inspection from USDA’s Food Safety and Inspection Service, plants must operate in compliance with FSIS regulations, which are in Title 9 of the Code of Federal Regulations (9 CFR 301 through 592).
• Part 416 (9 CFR 416) sets forth the basic requirements for establishing and maintaining sanitary operating conditions.
Facilities Must Meet Regulatory Performance Standards

There is a compliance guide on the FSIS Web site that contains a lot of practical information on sanitation performance standards. It can be found at

9 CFR 416.2 contains the regulations regarding a plant’s grounds and facilities. They include provisions for the following:

(a) Grounds and pest control
(b) Construction
(c) Light
(d) Ventilation
(e) Plumbing
(f) Sewage disposal
(g) Water supply and water, ice, and solution reuse
(h) Dressing rooms, lavatories, and toilets
(a) *Grounds and pest control.*

The grounds about an establishment must be maintained.
(a) Grounds and pest control.

Pest control substances used must be safe and effective
(b) *Construction.*

(1) Establishment buildings

(2) Walls, floors, and ceilings within establishments
(b) Construction.

(3) Walls, floors, ceilings, doors, windows

(4) Rooms or compartments in which edible product is processed, handled, or stored
(c) Light.

Lighting of good quality and sufficient intensity must be provided.
(d) **Ventilation.**

Adequate ventilation must be provided.
(e) *Plumbing.*

Plumbing systems must be installed and maintained to:

1. Carry sufficient quantities of water;

2. Properly convey sewage;
(e) **Plumbing**.

(3) Prevent adulteration of product;

(4) Provide adequate floor drainage;
(e) *Plumbing.*

(5) Prevent back-flow conditions; and

(6) Prevent the backup of sewer gases.
(f) Sewage disposal.

Sewage must be disposed into a sewage system separate from all other drainage lines or disposed of through other means.
(g) *Water supply and water, ice, and solution reuse.*

(1) A supply of running water must be provided that

- Complies with the National Primary Drinking Water regulations (40 CFR part 141),

- Is at a suitable temperature and under pressure as needed
(g) Water supply and water, ice, and solution reuse.

• If an establishment uses a municipal water supply, it must have a water report from a State or local health agency.

• If an establishment uses a private well for its water supply it must make available to FSIS documentation certifying water potability.
(g) *Water supply and water, ice, and solution reuse.*

(2) Water, ice, and solutions used to chill or cook ready-to-eat product may be reused for the same purpose, provided they are

- Free of pathogenic organisms
- Free of fecal coliform organisms
- Physical, chemical, and microbiological contamination have been reduced
(g) **Water supply and water, ice, and solution reuse.**

(3) Water, ice, and solutions used to chill or wash raw product may be reused.

Reuse that has come into contact with raw product may not be used on ready-to-eat product.
(g) Water supply and water, ice, and solution reuse.

(4) Reconditioned water that has never contained human waste and that has been treated by an onsite advanced wastewater treatment facility may be used except in product formulation.
(g) *Water supply and water, ice, and solution reuse.*

(5) Any water that has never contained human waste and that is free of pathogenic organisms may be used in edible and inedible product areas, provided it does not contact edible product.
(g) Water supply and water, ice, and solution reuse.

(6) Water that does not meet the use conditions of paragraphs (g)(1) through (g)(5) of this section may not be used.
(h) *Dressing rooms, lavatories, and toilets.*

(1) Dressing rooms, toilet rooms, and urinals must be
- Sufficient in number,
- Ample in size,
- Conveniently located,
- Maintained in a sanitary condition and in good repair
9 CFR 416.2

(h) Dressing rooms, lavatories, and toilets.

(2) Lavatories with running hot and cold water, soap, and towels,

(3) Refuse receptacles
9 CFR 416.3 contains the regulations regarding a plant’s equipment and utensils.

(a) Equipment and utensils used for processing or otherwise handling edible product or ingredients must be easy to clean.
(b) FSIS inspection program employees must be able to inspect equipment and utensils to determine whether they are in sanitary condition.
(c) Receptacles used for storing inedible material cannot cause adulteration of product or insanitary conditions. Such receptacles must not be used for storing edible product.
Step 3

Obtain Approved Labels and/or Brands

All labeling material must be federally approved and on-hand before inspection will be granted.
FSIS labeling regulations can be found in 9 CFR 312.2, 9 CFR 312.3, 9 CFR 316 and 9 CFR 317 for red meat, and 9 CFR 381.96 through 9 CFR 381.144 for poultry.
To obtain approval of labels, you must fill out and Submit FSIS Form 7234.1.

The form may be located through the FSIS Web site at http://www.fsis.usda.gov/Forms/index.asp
Food Safety and Inspection Service

FSIS Form 7234.1, Application for Approval of Labels, Marking, or Device

INSTRUCTIONS FOR PREPARATION OF FSIS FORM 7234-1

Name: (The following is a check to ensure compliance with applicable federal laws. Only one page is needed for Foreign, Local, National, and Organic Claims.)

A. PREPARATION OF APPLICATION

Signatures (including official positions, if any) and acknowledgment of compliance with requirements. The form is required to be signed by the appropriate officer, as defined in 9 CFR 403.1.

B. SUBMISSION OF LABELS

Include all of the following: (a) Product Formula, (b) Processing Procedures, (c) Photos of finished product, (d) Forms 10 and 20, if applicable. The form must be signed by the appropriate officer, as defined in 9 CFR 403.1.

C. FOREIGN LABORATORY

A product description in English must be accompanied by a complete description in the official language of the country where the product is manufactured or processed. The form must be signed by the appropriate officer, as defined in 9 CFR 403.1.

D. ASSEMBLY OF APPLICATION

If a Form 7234-1 is required for each product, please submit a complete set of application forms for each product. The form must be signed by the appropriate officer, as defined in 9 CFR 403.1.

E. MAIL COMPLETE APPLICATION TO:

USDA – FSIS

OFFICE OF PRODUCT SAFETY

ATTN: 7234-1

WASHINGTON, DC 20250

F. ATTACH ADDITIONAL SHEETS TO APPLICATION FORMS

If necessary, please attach additional sheets to the application forms. The form must be signed by the appropriate officer, as defined in 9 CFR 403.1.

G. SIGNATURES

All signatures must be original and must be signed by the appropriate officer, as defined in 9 CFR 403.1.

H. ACKNOWLEDGMENT

Allacknowledgment must be signed by the appropriate officer, as defined in 9 CFR 403.1.

I. ACKNOWLEDGMENT

Allacknowledgment must be signed by the appropriate officer, as defined in 9 CFR 403.1.

J. ACKNOWLEDGMENT

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K. ACKNOWLEDGMENT

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L. ACKNOWLEDGMENT

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M. ACKNOWLEDGMENT

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N. ACKNOWLEDGMENT

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O. ACKNOWLEDGMENT

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P. ACKNOWLEDGMENT

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Q. ACKNOWLEDGMENT

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R. ACKNOWLEDGMENT

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U. ACKNOWLEDGMENT

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V. ACKNOWLEDGMENT

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W. ACKNOWLEDGMENT

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X. ACKNOWLEDGMENT

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Y. ACKNOWLEDGMENT

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Z. ACKNOWLEDGMENT

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CONTINUATION SHEET FOR APPLICATION FOR APPROVAL OF LABELS, MARKING, OR DEVICE (FSIS 7234-1)

<table>
<thead>
<tr>
<th>PRODUCT NAME</th>
</tr>
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<tbody>
<tr>
<td>This area is used for additional information required to be filed.</td>
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</tbody>
</table>

This area is used for additional information required to be filed.
There are up to 8 features required on labels. These features include:

1. Product name
2. USDA inspection legend
3. Net weight
4. Handling statement
5. Address (signature) line
6. Ingredients statement
7. Nutrition facts
8. Safe handling instructions
It is the responsibility of each official establishment’s owner or operator to furnish ink brands, burning brands, and any other device for marking products with official marks of inspection.

All official devices for marking products with the official Inspection legend, or other official inspection marks, including self-locking seals, shall be used only under supervision of an FSIS employee.
Examples of the Inspection Legend as Used on Labels and Brands
Obtain Approved Water Source Letter

- Water entering a plant is supplied by a city, county, or other public water system
- Water is from a private water supply such as a private well
No matter where the letter is from, it should:

- Identify the source;
- State that the source is approved;
- State that the water is suitable for drinking (potable)
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
Obtain an Approved Sewage System Letter

State or local health authorities can provide a letter stating that the plant’s sewage system is acceptable.
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
Provide a Written Standard Operating Procedure for Sanitation (Sanitation SOPs)

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

The pertinent FSIS regulations include 9 CFR 304.3(a), 381.22 (a), and 416.11 through 416.17.
These two regulations, identical for meat and poultry, require that Sanitation SOPs be Developed:

“Conditions for Receiving Inspection,” paragraph (a) states “Before being granted Federal inspection, an establishment shall have developed written sanitation Standard Operating Procedures, as required by part 416 of this chapter.”
These are the FSIS regulations that provide the requirements for Sanitation SOPs. They include the following:

416.11 General Rules
416.12 Development of Sanitation SOP’s
416.13 Implementation of SOP’s
416.14 Maintenance of Sanitation SOP’s
416.15 Corrective Actions
416.16 Recordkeeping requirements
416.17 Agency verification
Step 7

Provide a Written Hazard Analysis and Hazard Analysis and Critical Control Point (HACCP) Plan
Whenever a hazard analysis identifies that one or more food safety hazards are reasonably likely to occur, a written Hazard Analysis and Critical Control Point (HACCP) plan shall be developed.

The pertinent FSIS regulations include 9 CFR 304.3(b) and (c), 381.22(b) and (c), and 417.
These are the FSIS regulations that require a hazard analysis be done and a HACCP plan be developed before Federal inspection is granted.

9 CFR 304.3 and 381.22 “Conditions for Receiving Inspection,” paragraph (b) states “Before being granted Federal inspection, an establishment shall have conducted a hazard analysis and developed and validated a HACCP plan, as required by §§ 417.2 and 417.4 of this chapter. A conditional grant of inspection shall be issued for a period not to exceed 90 days, during which period the establishment must validate its HACCP plan.”
These are the FSIS regulations that require a hazard analysis be done and a HACCP plan be developed before new product is produced or distributed in commerce.

9 CFR 304.3 and 381.22 “Conditions for Receiving Inspection,” paragraph (c) states “Before producing new product for distribution in commerce, an establishment shall have conducted a hazard analysis and developed a HACCP Plan applicable to that product in accordance with § 417.2 of this chapter. During a period not to exceed 90 days after the date the new product is produced for distribution in commerce, the establishment shall validate its HACCP plan, in accordance with § 417.4 of this chapter.”
These are the FSIS regulations that provide the requirements for the hazard analysis and HACCP plan. They include the following:

417.1 Definitions
417.2 Hazard Analysis and Hazard Plan
417.3 Corrective Actions
417.4 Validation, Verification, Reassessment
417.5 Records
417.6 Inadequate HACCP Systems
417.7 Training
417.8 Agency verification
You may utilize an outside consultant who is not employed by the plant to conduct your hazard analysis and develop your HACCP plan(s).

In addition, each state is assigned a HACCP contact and a HACCP Coordinator to assist establishments with the development of HACCP Programs. A list of the state HACCP contacts and coordinators may be found on the FSIS Web site at:

http://www.fsis.usda.gov/contact_us/state_haccp_contacts_coordinators/index.asp
There are 7 steps to becoming an FSIS inspected plant. They are:

Step 1  File an application for inspection. Complete FSIS Form 5200.2 and send it to the FSIS district office with jurisdiction over plants in your state.

Step 2  Facilities must meet regulatory performance standards. Review Title 9 of the Code of Federal Regulations, Sections 416.2 and 416.3 (9 CFR 416.2 and 9 CFR 416.3). Make sure your plant meets the requirements.
Summary

Step 3   Obtain approved labels. Review labeling regulations found in 9 CFR 316 and 317 for red meat, and 381.96 through 381.144 for poultry. Complete FSIS Form 7234.1, and submit 2 copies of it plus 2 copies of the sketch to FSIS Labeling and Program Delivery Division.

Step 4   Obtain approved water source letter. For public water systems, contact the municipality, State Public Health Service or its county office. For private water supplies, contact the State Public Health Service or the appropriate county office. A water potability certification must accompany the letter.
Step 5  Obtain an approved sewage system letter.
Contact the state or local health authorities to provide a letter stating that the plant’s sewage system is acceptable.

Step 6  Provide a written Standard Operating Procedure for Sanitation (SSOP)

Step 7  Provide a written hazard analysis and HACCP plan
Separation of Official Establishments

Each official establishment shall be separate and distinct from any unofficial establishment.

The pertinent FSIS regulations include 9 CFR 305.1, 9 CFR 305.2, and 9 CFR 381.26
Inauguration of Inspection

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

The pertinent FSIS regulations include 9 CFR 305.4 and 9 CFR 381.27
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.
Laundry Service

Laundry service for inspection program personnel’s outer work clothing shall be provided by each establishment.

The pertinent FSIS regulations include 9 CFR 307.1, 9 CFR 307.2, 9 CFR 307.3, 9 CFR 381.27, and 9 CFR 381.36(a)
Operating hours must be submitted to, and approved by, the District Manager.

No department in which operations are being conducted that requires inspection will be operated except under the supervision of an FSIS employee.
Hours of Operation

The operator of the official establishment shall inform the inspector in charge (IIC) when the day’s operations are over and when operations will resume.

The pertinent FSIS regulations include 9 CFR 307.4 and 9 CFR 381.37
Food Safety and Inspection Service

General Information

Inspection Charges

Inspection service is provided free of charge for the first 8 hours per shift on 5 consecutive days (Sunday through Saturday).
Inspection Charges

The prevailing hourly overtime rate is charged if the plant works on any Federal holiday.
Inspection Charges

When any of the Federal holidays fall on a weekday, that day becomes a holiday.

The pertinent FSIS regulations include 9 CFR 307.5, 9 CFR 307.6, 9 CFR 381.38, and 9 CFR 381.39
Part 500, “Rules of Practice”

This part spells out enforcement measures that may be taken by FSIS, such as suspension or withdrawal of inspection. They include due process provisions such as notice requirements and appeal rights.
Withdrawal of Inspection

Inspection may be withdrawn from an establishment because of:

• Insanitation causing product adulteration
• Failure to destroy condemned product
• Assault, threats, intimidation or interference with FSIS employees
Other Administrative Actions

- The inspector in charge may withhold inspection (conditional withdrawal or suspension) and notify the establishment.
- Frontline Supervisors and District Managers have authority to grant an establishment’s request to receive inspection or to have inspection services voluntarily suspended or withdrawn.
Other Administrative Actions

Decisions made by FSIS inspection personnel may be appealed by plant management.

Guidance on appealing inspection decisions may be found at
Under the Pathogen Reduction/HACCP Regulation, livestock and poultry slaughter establishments are required to test carcasses for generic *Escherichia coli* (*E. coli* Biotype 1) as a means of verifying process control.

Additional Regulations

9 CFR 310.25; 381.94(a)
Listeria monocytogenes (L. monocytogenes) can contaminate ready-to-eat (RTE) products that are exposed to the pathogen after they have undergone a lethality treatment. L. monocytogenes is a hazard that an establishment producing post-lethality exposed RTE products must control through its HACCP plan or prevent in the processing environment through a Sanitation SOP or other prerequisite program.
For information on receiving FSIS inspection of egg products plants, contact the OFO District Office with jurisdiction over establishments in your state.

FSIS regulations governing egg products are 9 CFR 590 and 9 CFR 592.
State and local authorities may have additional steps, including permits that you must obtain to operate a meat or poultry establishment.
FSIS Web site at
http://www.fsis.usda.gov

Brochures, Pamphlets, and DVDs are available free of charge from the FSIS Office of Outreach, Employee Education and Training: Phone 1-800-336-3747