

UNITED STATES DEPARTMENT OF AGRICULTURE
FOOD SAFETY AND INSPECTION SERVICE
WASHINGTON, DC

FSIS DIRECTIVE	5030.5	9/12/16
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REVIEW OF EGG PRODUCTS PLANTS DRAWINGS AND SPECIFICATIONS

I. PURPOSE

This directive includes information from FSIS Notice 55-14, *Review of Egg Products Plants Drawings and Specifications*, and provides instructions to Office of Field Operations (OFO), District Office (DO) personnel, District Managers (DMs), Frontline Supervisors (FLS), and Inspectors in Charge (IIC) personnel, regarding the review and approval process for the drawings and specification submissions for FSIS inspected egg products plants. Drawings and specifications are also called “blueprints.”

NOTE: This directive does not apply to import inspection personnel at official import inspection establishments (OIEs) that are approved to reinspect shipments of imported egg products; FSIS does not approve blueprints for OIEs or eligible foreign establishments.

KEY POINTS:

- *Provides instructions on Drawing/Blueprint Approval as it relates to the Grant of Continuous Inspection for egg products plants*
- *Provides instructions when reviewing drawing/blueprint submissions for modifications of an existing domestic egg products plant*

II. BACKGROUND

Under [9 CFR 590.146](#), egg products plants applying for a grant of inspection and operational egg products plants planning to make significant modifications to the interior of their facility have traditionally submitted a copy of the blueprints and specifications to the Policy Development Staff (PDS) in the Office of Policy and Program Development (OPPD). In the past, PDS reviewed the blueprints and specifications as a service for the OFO District Offices. However, the responsibility for blueprint review and approval has now been transferred to the OFO DO staff. PDS will continue to answer questions from FSIS employees and industry about the blueprint review process. PDS has developed a [PowerPoint slide presentation](#), [guidance document](#) and [sample letters](#). These items provide information on the regulatory requirements of [9 CFR 590.146](#) and the approval process.

III. DM, FLS, IIC AND OTHER DO PERSONNEL'S RESPONSIBILITIES FOR BLUEPRINT REVIEW PROCESS FOR A NEW APPLICATION REQUEST

A. When the DO receives a request for a grant of inspection for a new egg products plant, the DO is to provide the applicant with a copy of the 9 CFR Part 590 regulations, blueprint drawing guidance documents, and FSIS Form 5200-2, *Application for Federal Inspection*. FSIS Form 5200-2 is available on the FSIS website at the link: [FSIS Forms](#).

DISTRIBUTION: Electronic

OPI: OPPD

- B. Upon receipt of the completed application for inspection, the DM is to notify the FLS to review the blueprint drawings and any supplemental information and conduct an on-site visit (initial survey) to determine whether the plant meets FSIS regulatory requirements for processing egg products.
- C. After reviewing the blueprint drawings and any supplemental information and conducting the on-site visit with the person who will serve as the IIC, the FLS is to provide a recommendation by checking the “Yes” or “No” box; write a justification that supports his or her recommendation on FSIS Form 5200-4, *Recommendation on Application for Inspection* and then forward the form to the DO.
- D. If the FLS recommends granting inspection service, the DM or designee (e.g., Grant Curator) (hereafter the DM) is to process the application. If the DM decides to accept the FLS’s recommendation or if the FLS submits a recommendation to deny, and the DM overrules the FLS’s decision, the DM is to provide a “Provisionally Approved Application” letter to the owner or applicant of the egg products plant informing him or her of the provisional approval of the application. Approval remains provisional until the FLS conducts a final survey of the plant and premises to determine whether the plant is constructed and facilities are installed in accordance with the approved blueprint drawings and in compliance with regulations under 9 CFR Part 590.
- E. If the FLS recommends granting inspection service and the DM disagrees or if the FLS recommends denying the application and the DM agrees to the denial, then the application is denied. The DM is to provide the applicant with a written response that includes the justification for the denial, in accordance with [FSIS Directive 5220.1](#), *Granting or Refusing Inspection; Voluntary Suspending or Withdrawing Inspection; and Reinstating Inspection Under PHIS*.
- F. After the DM issues the “Provisionally Approved Application” letter and prior to granting the inauguration of continuous service, the FLS and IIC are to conduct a final survey of the plant and premises ([9 CFR 590.146\(e\)](#)). Upon completion of the final survey, the FLS is to provide a recommendation for approval or denial and forward a FSIS Form 5200-4 to the DM. The DM is to process the application and grant or deny final approval for continuous inspection service to the plant.

IV. DM, DO PERSONNEL, FLS, AND IIC’s RESPONSIBILITIES FOR BLUEPRINT REVIEW PROCESS FOR A REQUEST TO REMODEL A PLANT

- A. When an egg products plant decides to modify a specific department within a facility, FSIS requires the submission of revised blueprint drawings that detail the proposed modification and any relevant supplemental information to the FLS before making changes ([9 CFR 590.146\(d\)](#)). Under 9 CFR 590.146(d), once this information has been approved by the DM, the plant can implement those modifications in its operation.
- B. The FLS is to review significant changes to the blueprint drawings and conduct an on-site visit with the IIC of the egg products plant to go over the proposed remodel modifications.
- C. After determining whether the proposed modifications meet FSIS regulatory requirements, the FLS is to provide a recommendation by checking either the “Yes” or “No” box and writing a justification for the recommendation on FSIS Form 5200-4, and is to forward the form to the DM.
- D. If the FLS recommends approving the proposed modifications submitted by the plant and the DM accepts that recommendation, then the application is provisionally approved. If the FLS submits a recommendation to deny the proposed modifications submitted by the plant and the DM overrules the FLS’s decision, then the application is provisionally approved. In both cases the DM is to provide a “Provisional Acceptance” letter to the owner or applicant informing them that the application is provisionally approved until the final survey is conducted.

E. If the FLS recommends approving the proposed modifications submitted by the plant and the DM disagrees or if the FLS recommends denying the proposed modifications and the DM agrees to deny, then the application is denied. In both cases, the DM is to provide the applicant with a written response that includes a justification for the denial in accordance with [FSIS Directive 5220.1](#).

F. After the DM issues the "Provisionally Approved Application" letter, the FLS and IIC are to conduct a final survey of the completed alterations and additions to determine whether the changes are in accordance with the approved blueprint drawings, supplemental information, and 9 CFR Part 590. Upon completion of the final survey, the FLS is to provide a recommendation to the DM on whether to grant approval. The FLS is to submit a FSIS Form 5200-4 to the DM to support his/her the recommendation. If the DM decides to approve the application, the plant may resume production. The plant may be approved for operation only when these requirements have been met.

V. QUESTIONS

Refer questions regarding this Directive to PDS through [askFSIS](#) or by telephone at 1-800-233-3935. When submitting a question, use the Submit a Question tab, and enter the following information in the fields provided:

Subject Field: Enter **Directive 5030.5**
Question Field: Enter question with as much detail as possible.
Product Field: Select **General Inspection Policy** from the drop-down menu.
Category Field: Select **Egg Products** from the drop-down menu.
Policy Arena: Select **Domestic (U.S.)** from the drop-down menu.

When all fields are complete, press **Continue** and at the next screen press **Finish Submitting Question**.

NOTE: Refer to [FSIS Directive 5620.1](#), *Using askFSIS*, for additional information on submitting questions.



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