

# 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



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](http://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

**Technical Service Center**

**Omaha, NE**

Dr. Garry McKee, Director  
Suite 300, Landmark Center  
1299 Farnam Street  
Omaha, NE 68102  
Phone: (402) 344-5000  
FAX: (402) 344-5005  
Emergency 24-Hour: 1-800-233-3935  
Admin. Functions:  
(402) 344-5000

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**District Offices**

**Alameda, CA**

District 05  
States: California  
Dr. Neal Westgerdes, 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. Darlene Mullins  
(510) 337-5000 Ext. 234

**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

Dr. Larry Smith, District Manager

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. Geneva Dennis

(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. Cindy Jones

(301) 504-2126

**Chicago, IL**

District 50

States: Illinois, Indiana, Ohio

Mr. Richard Mackey, District Manager

1919 South Highland Avenue

Suite 115C

Lombard, IL 60148

Phone: (630) 620-7474

FAX: (630) 620-7599

24-Hour Emergency: (630) 730-8225, (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

Mr. Alfred Almanza, District Manager

1100 Commerce Street

Room 516

Dallas, TX 75242-0598

Phone: (214) 767-9116

FAX: (214) 767-8230

24-Hour Emergency: (214) 767-9116, Ext. 250

Admin. Functions:

Mr. Leonard Parsley

(214) 767-9116, Ext. 521

**Denver, CO**

District 15

States: Alaska, American Samoa, Arizona, Colorado,  
Guam, Hawaii, Idaho, New Mexico, Nevada, Northern  
Mariana Islands, Oregon, Utah, Washington

Dr. Ronald K. Jones, District Manager

**Denver Office**

Denver Federal Center

PO 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

Mr. Dennis Greening, District Manager

Room 985, Federal Building

210 Walnut Street

Des Moines, IA 50309

Phone: (515) 727-8960

or 1-800-990-9834

FAX: (515) 727-8991

24-Hour Emergency: (515) 360-0347, (402) 681-1556,  
or (515) 229-3718

Admin. Functions:

Ms. Linda Lister

(515) 727-8976

**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) 662-3407  
Admin. Functions: Ms. Patty Halbleib  
(601) 965-4312

**Lawrence, KS**

District 30  
States: Kansas, Missouri  
Dr. William M. Walker, 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:  
Ms. Ruth Mounkes  
(785) 841-5600, Ext. 133

**Madison, WI**

District 45  
States: Michigan, Wisconsin  
Dr. Linda Madson, District Manager  
2810 Crossroads Dr.  
Suite 3500  
Madison, WI 53718-7969  
Phone: (608) 240-4080  
FAX: (608) 240-4092  
24-Hour Emergency: 1-877-802-2979  
Admin. Functions:  
*Vacant*  
(608) 240-4080, Ext. 2236

**Minneapolis, MN**

District 20  
States: Minnesota, Montana, North Dakota, South  
Dakota, Wyoming  
Mr. Jim Grems, District Manager



Butler Square West, Suite 989-C  
100 N. 6th Street  
Minneapolis, MN 55403  
Phone: (612) 370-2400  
FAX: (612) 370-2411  
24-Hour Emergency: 1-800-923-9535  
Admin. Functions:  
*Vacant*  
(612) 370-2400, Ext. 225

**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) 597-4219, Ext. 101  
FAX: (215) 597-4217  
24-Hour Emergency: 1-800-637-6681, Ext. 101 or Ext.  
113  
Admin. Functions:  
Ms. Jane Smith  
(215) 597-4219, Ext. 107

**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  
Dr. Marcia Endersby, District Manager  
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

National HACCP Small Plants Coordinator  
14<sup>th</sup> & Independence Avenue, S.W.  
Room 303 Annex Building  
Washington, DC 20250  
[Kathleen.barrett@fsis.usda.gov](mailto:Kathleen.barrett@fsis.usda.gov)

Telephone Number: 202-205-6520

**GUIDELINES FOR OBTAINING A FEDERAL GRANT OF INSPECTION  
FOR  
MEAT AND POULTRY ESTABLISHMENTS**

**INTRODUCTION**

- STEP 1 ..... File an Application
- STEP 2 ..... Facilities Must Meet Regulatory Performance Standards
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- STEP 4 ..... Obtain Approved Water Source Letter
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- STEP 6 ..... Provide a Written Standard Operating Procedure for Sanitation (SSOP)
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**GENERAL INFORMATION**

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- Hours of Operation
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- Inspection Charges
- Hours of Duty
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**ATTACHMENTS**

1. Privacy Act Notice
2. Additional FSIS Contacts for Assistance
3. Sample Letters for Approved Water and Sewage
4. Sample Sanitation Standard Operating Procedure (SSOP)
5. FSIS Form 7234.1 Application for Label Approval and instructions
6. FSIS Directive 5200.1 and Sample FSIS Form 5200.2, Application for Federal Inspection
7. Food Safety Resources for Small and Very Small Plant Outreach

## ***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.
- ◆ Item 25 – You must develop a written Sanitation Standard Operating Procedure (SSOP) for the Establishment. See Step 6 in this package “Standard Operating Procedures for Sanitation.”

**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.

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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)

[http://www.fsis.usda.gov/FSIS\\_Employees/IKE/index.asp](http://www.fsis.usda.gov/FSIS_Employees/IKE/index.asp)

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](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](http://www.fsis.usda.gov/contact_us_/state_haccp_contacts_&_coordinators/index.asp)

Small and Very Small Plants Page

[http://www.fsis.usda.gov/Small\\_Very\\_Small\\_Plants/index.asp](http://www.fsis.usda.gov/Small_Very_Small_Plants/index.asp)

Business and Partners Page

<http://www.fsis.usda.gov/business/index.asp>

Labeling and Consumer Protection Staff (LARC)

[http://www.fsis.usda.gov/About\\_FSIS/labeling\\_&\\_consumer\\_protection/index.asp](http://www.fsis.usda.gov/About_FSIS/labeling_&_consumer_protection/index.asp)

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](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 retrain 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 retrain 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 retrained and corrective actions are recorded on Operational Sanitation form.

Collection of this information is voluntary. It is needed before Federal inspection of meat and poultry is granted. It is used by FSIS to determine whether the applicant should be issued a grant of inspection. (9 CFR 304.1 and 9 CFR 381.16) FORM APPROVED OMB 0583-0082

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 "N/A" 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 <input checked="" type="checkbox"/> NEW <input type="checkbox"/> CHANGE OF OWNER <input type="checkbox"/> CHANGE OF LOCATION <input type="checkbox"/> OTHER (Specify)		3. TYPE OF INSPECTION REQUIRED <input checked="" type="checkbox"/> MEAT <input type="checkbox"/> IMPORT <input checked="" type="checkbox"/> POULTRY		4. EXEMPTED ACTIVITIES (Specify) CS, CP, RE	
5. FORM OF ORGANIZATION <input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> COOPERATIVE ASSOCIATION <input type="checkbox"/> PARTNERSHIP <input checked="" type="checkbox"/> CORPORATION <input type="checkbox"/> 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		9. AREA CODE TELEPHONE NUMBER (515) 111-2222	
10a. LOCATION OF PLANT AND MAILING ADDRESS IF DIFFERENT FROM ITEM 8 (Include Zip Code) 9876 Oak Avenue Newton, IA 50332				FEDERAL EMPLOYER IDENTIFICATION NO. (As assigned by Internal Revenue Service) 12-1456		11. AREA CODE TELEPHONE NUMBER (641) 888-4321	
10b. ATTACH A DESCRIPTION OF THE LIMITS OF THE ESTABLISHMENT PREMISES THAT IS REQUESTED UNDER FEDERAL INSPECTION (e.g., Diagram, written narrative, or schematic)							
12. NAME AND ESTABLISHMENT NUMBER OF OTHER ESTABLISHMENTS LOCATED IN THE SAME FACILITY None				13. OTHER NAMES (If 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		15. HOURS PER WEEK PLANT WILL OPERATE EXEMPT 10    NON-EXEMPT 60		16. HOURS PER DAY PLANT WILL OPERATE EXEMPT 2    NON-EXEMPT 8		17. MONTH AND YEAR WHEN PLANT WILL BE READY TO OPERATE UNDER INSPECTION PROGRAM EXEMPT 09/01/2006    NON-EXEMPT 09/01/2006	

SAMPLE

**SECTION II (to be completed for Domestic Inspection Activities)**

SLAUGHTER	18. ANIMALS TO BE SLAUGHTERED WHEN INSPECTION IS INAUGURATED	<input checked="" type="checkbox"/> CATTLE	<input type="checkbox"/> PIGS	<input type="checkbox"/> SHEEP	<input type="checkbox"/> GOATS	<input checked="" type="checkbox"/> SWINE	<input type="checkbox"/> EQUINES
		<input checked="" type="checkbox"/> YOUNG CHICKENS	<input type="checkbox"/> MATURE CHICKENS	<input type="checkbox"/> TURKEYS	<input type="checkbox"/> GEESE	<input type="checkbox"/> DUCKS	<input type="checkbox"/> GUINEAS
COMMERCE ONLY	19. FRESH MEAT OR READY-TO-COOK POULTRY TO BE DISPOSED OF IN COMMERCE 1/	<input checked="" type="checkbox"/> BEEF	<input type="checkbox"/> VEAL	<input type="checkbox"/> LAMB OR MUTTON	<input type="checkbox"/> GOAT MEAT	<input checked="" type="checkbox"/> PORK	<input type="checkbox"/> EQUINE MEAT
		<input checked="" type="checkbox"/> YOUNG CHICKENS	<input type="checkbox"/> MATURE CHICKENS	<input type="checkbox"/> TURKEYS	<input type="checkbox"/> GOOSE	<input type="checkbox"/> DUCK	<input type="checkbox"/> GUINEA
PROCESSING	20. PREPARED OR PROCESSED WHEN INSPECTION IS INAUGURATED	TYPE OF PRODUCT <input type="checkbox"/> MEAT <input type="checkbox"/> POULTRY <input checked="" type="checkbox"/> BOTH					
		a. <input checked="" type="checkbox"/> BREAKING/CUTTING (carcasses, primal cuts, whole poultry, poultry parts etc.)	b. <input checked="" type="checkbox"/> BONING (manual boning meat/poultry)		c. <input type="checkbox"/> MECHANICAL DEBONING (mechanical deboning meat/poultry)		d. <input checked="" type="checkbox"/> FABRICATING (roast, steaks, chops, ground beef, hamburger etc.)
		e. <input type="checkbox"/> CURING (pork cuts, beef cuts, turkey, ham etc.)	f. <input type="checkbox"/> FORMULATING (fresh/cured sausages, loaves, poultry rolls, pattie mix etc.)		g. <input checked="" type="checkbox"/> COOKING/SMOKING (pork cuts, beef cuts, sausage, loaves etc.)		h. <input type="checkbox"/> CANNING (Shell stable, perishable, cans, pouches, glass)
		i. <input type="checkbox"/> DRYING (part cuts, beef cuts, sausage, dehydrated products)		j. <input checked="" type="checkbox"/> CONVENIENCE ITEMS (entrees, dinners, pies, pizzas etc.)		k. <input type="checkbox"/> SLICING (bacon, luncheon meats, sausage etc.)	
		l. <input type="checkbox"/> FATSOILS (lard, tallow, shortening, margarine etc.)		m. <input type="checkbox"/> OTHER (Specify)			

**SECTION III (to be completed for Import Inspection Activities)**

**21. IMPORT INSPECTION ACTIVITIES**

<p><b>a. CARCASSES</b></p> <p><input type="checkbox"/> BEEF      <input type="checkbox"/> VENISON</p> <p><input type="checkbox"/> VEAL      <input type="checkbox"/> OTHER <i>(describe)</i></p> <p><input type="checkbox"/> SWINE</p> <p><input type="checkbox"/> SHEEP</p> <p><input type="checkbox"/> GOATS</p> <p><input type="checkbox"/> EQUINE</p>	<p><b>b. FRESH</b></p> <p><input type="checkbox"/> CUTS</p> <p><input type="checkbox"/> BONELESS MFG MEAT</p>	<p><b>d. COOKED BEEF</b></p> <p><input type="checkbox"/> RESTRICTED</p> <p><input type="checkbox"/> UNRESTRICTED</p>	<p><b>f. PROCESSED PRODUCTS</b></p> <p><input type="checkbox"/> FRESH/FROZEN</p> <p><input type="checkbox"/> HEATED</p> <p><input type="checkbox"/> DRIED/SEMI-DRIED</p>	<p><b>h. POULTRY (Parts)</b></p> <p><input type="checkbox"/> RAW</p> <p><input type="checkbox"/> COOKED</p> <p><input type="checkbox"/> OTHER POULTRY <i>(describe)</i></p>
<p><b>c. FROZEN MFG. MEATS</b></p> <p><input type="checkbox"/> CUTS</p> <p><input type="checkbox"/> BONELESS MFG MEAT</p>	<p><b>e. CONTAINERS</b></p> <p><input type="checkbox"/> PERISHABLE</p> <p><input type="checkbox"/> SHELF STABLE</p>	<p><b>g. POULTRY (Whole Carcass)</b></p> <p><input type="checkbox"/> RAW</p> <p><input type="checkbox"/> COOKED</p>		

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

22. List all persons responsibly connected with the applicant. Include all owners, partners, officers, directors, holders or owners of 10 per centum 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.

NAME TITLE <i>(Indicate if partner, manager)</i>	SOCIAL SECURITY NO.	DATE OF BIRTH	PLACE OF BIRTH <i>(City and State)</i>	PRESENT HOME ADDRESS <i>(Street and Number, City, State, Zip Code)</i>	HOLDER OF 10% OR MORE VOTING STOCK <i>(If Corp)</i>	
					YES	NO
Mark Stetzill President	321-99-8877	12/12/1965	Riverside, CA	100 North State Street Minneapolis, MN 55444	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
James Morgan Vice-President	453-55-2233	09/01/1970	St. Joseph, MO	30022 Maple Court St. Paul, MN 55322	<input checked="" type="checkbox"/>	
Paul Steinwick Treasurer	867-45-6341	02/22/1968	New York, NY	3002 Sunset Drive Iowa, IA 50321	<input checked="" type="checkbox"/>	
Richard Vickers Plant Manager	987-65-4321	05/29/1963	Albia, IA	903 North Vista Lane Newton, IA 50331		<input checked="" type="checkbox"/>

23. Enter the name of each person listed under Item 22 who has been convicted in any Federal or State court of any felony. List the name of each person listed under Item 22 who has been convicted in any Federal or State court of more than one violation of any law, other than a felony, based upon the acquiring, handling, or distributing of unwholesome, mislabeled, or deceptively packaged food or upon fraud 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 (person, firm or corporation) in any Federal or State court of any felony. List each conviction against the applicant (person, firm or corporation) in any Federal or State court of more than one violation of any law, other than a felony, based upon the acquiring, handling, or distributing of unwholesome, mislabeled, or deceptively packaged food or upon fraud 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 THE REGULATIONS. (Check)

YES       NO

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

YES       NO

**AGREEMENT AND CERTIFICATION:** If inspection is granted under 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 (9 CFR Part 301 et seq.), or the Poultry Products Inspection Act (21 U.S.C. 451 et seq.), and the Poultry Products Inspection Regulations (9 CFR 381 et seq.), or both I CERTIFY that all statements made herein are true to the best of my knowledge and belief.

**WARNING:** Persons willfully making false, fictitious, or fraudulent statements or entries are subject to \$10,000 fine or imprisoned 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 Steinwick	SIGNATURE AND TITLE OF OWNER, PARTNER, OR AUTHORIZED OFFICER MAKING THIS APPLICATION	
	28. SIGNATURE	29. TITLE Treasurer
30. OFFICIAL NUMBER ASSIGNED/RESERVED EST _____ IP. _____	31. IS THIS PLANT PRESENTLY UNDER STATE INSPECTION (Completed by District Office) <input type="checkbox"/> YES <input type="checkbox"/> NO	

**TO BE COMPLETED BY USDA**

32. DATE RECEIVED	33. DATE REVIEWED	34. THIS PLANT TO BE UNDER TALMADGE-AIKEN ACT <input type="checkbox"/> YES <input type="checkbox"/> NO
35. SIGNATURE OF DISTRICT MANAGER		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.
6. **State Where Incorporated:** Self-explanatory.
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.
9. **Area Code and Telephone Number:** Self-explanatory.
- 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.

**DIRECTIONS FOR COMPLETION OF FSIS FORM 5200-2 (Continued)**

- \* 14. Day/Year Plant Will Operate: Self-explanatory.
  - \* 15. Hours/Week Plant Will Operate: Self-explanatory.
  - \* 16. Hours/Day 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.
  - 24. Convictions Against the Applicants: Self-explanatory.
  - 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.
  - 31. Plant Presently Under State Inspection: 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](http://www.fsis.usda.gov/oppde/larc)

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“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.”