

OKLAHOMA DEPARTMENT OF AGRICULTURE,
FOOD, AND FORESTRY
MEAT AND POULTRY INSPECTION SERVICE
OKLAHOMA CITY, OK

<h1 style="margin:0">MPI NOTICE</h1>	901	8/24/2011
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ESTABLISHMENT REVIEWS

I. PURPOSE

This notice provides updated instructions to Oklahoma Department of Agriculture, Food & Forestry (ODAFF) Meat & Poultry Inspection (MPI) personnel concerning the policies for the supervisory oversight and review of both inspected and custom exempt establishments which operate under the jurisdiction of the ODAFF MPI Program and the documentation of the results of the reviews using Form 5000-9-OK. This notice cancels OK MPI Notice 06-08 and it contains updated references that reflect the revised MPI numbering system.

II. CANCELLATION

OK MPI Notice 06-08

III. REFERENCES

2 O.S. §§ 6-181 et seq.; 6-251 et seq.; 6-280.1 et seq.; and 6-290.1 et seq.
O.A.C. §§ 35:37-3-1 et seq.; 35:37-5-1 et seq.; 35:37-7-1 et seq.; 35:37-9-1 et seq.;
and 35:37-11-1 et seq.
MPI Notice 301; 302 and 902
9 CFR Part 300 to End

IV. BACKGROUND

It is the policy of the ODAFF MPI Program that every inspected and custom exempt establishment will receive either a supervisory review or a certification review each quarter of the calendar year. The supervisory review is used to verify compliance with all regulatory requirements and to document deficiencies and noncompliances found in meat and poultry plants. This review should cover all aspects of operations that are conducted in meat and poultry establishments. The Certification Review process will be described in another MPI Notice. The results of all reviews are documented on Form 5000-9-OK – Establishment Review Checklist which replaces the Establishment Review and Evaluation Report Form FSD-MIS 695. The ODAFF MPI Program uses the Establishment Review process to ensure that meat and poultry establishments are meeting regulatory requirements and that inspection personnel are performing their duties as required. The Form 5000-9-OK provides distinct information about conditions in meat and poultry plants, which is used as the basis for these decisions.

V. ESTABLISHMENT REVIEW CHECKLIST

The Establishment Review Checklist (Form 5000-9-OK) is used to document the results of each Supervisory Review conducted. This form is to be completed by the reviewer after the completion of the review. The review is to be documented as follows:

1. General Information

- Block 1 – Enter the name and address of the establishment.
- Block 2 – Enter the establishment number.
- Block 3 – Select the district number.
- Block 4 – Enter the date the review was conducted.
- Block 5 – Enter the name of the person(s) who conducted the review.
- Block 6 – Check the box for the appropriate type of review.

NOTE: Every block in Parts A through G must have a review result entered. Only conditions that are not documented either by establishment records (i.e. SSOP, HACCP or pre-requisite programs) or inspection personnel records (i.e NRs, NOIEs Verification Plans or MOIs documenting weekly meetings with establishment management) are to be entered as noncompliant. The letter codes to be used are as follows:

- UN – Noncompliance which represents a potential public health threat (adulterated or contaminated product or product contact surface).
- P – Noncompliance which does not involve direct product contamination or adulteration
- A – Acceptable
- n/a – Not applicable
- N – Not available

2. Part A – Sanitation Standard Operating Procedure (SSOP)

Basic Requirements

- Block 7 – Select the result which best describes the plant's compliance with the requirements for a written SSOP provided in 9 CFR § 416.11-12.
- Block 8 – Select the result which best describes the plant's compliance with the requirements for SSOP records provided in 9 CFR § 416.11-12.
- Block 9 – Select the result which best describes the plant's compliance with the requirement that the SSOP is signed and dated provided in 9 CFR §416.12.

Ongoing Requirements

- Block 10 – Select the result which best describes the plant's compliance with the requirement for SSOP implementation provided in 9 CFR § 416.13.
- Block 11 – Select the result which best describes the plant's compliance with the requirement for SSOP maintenance provided in 9 CFR § 416.14.

- Block 12 – Select the result which best describes the plant's compliance with the requirement for SSOP corrective actions provided in 9 CFR § 416.15.
- Block 13 – Select the result which best describes the plant's compliance with the requirement for SSOP daily records which document the activities in blocks 10 – 12 provided in 9 CFR § 416.16.

3. Part B – Hazard Analysis and Critical Control Point (HACCP) System

Basic Requirements

- Block 14 – Select the result which best describes the plant's compliance with the requirements for the development and implementation of HACCP Plan(s) provided in 9 CFR § 417.2.
- Block 15 – Select the result which best describes the plant's compliance with the requirements for the content(s) of the HACCP Plan(s) provided in 9 CFR § 417.2.
- Block 16 – Select the result which best describes the plant's compliance with the requirements for records of the HACCP Plan(s) provided in 9 CFR § 417.2.
- Block 17 – Select the result which best describes the plant's compliance with the requirement for a dated signature of the HACCP Plan(s) provided in 9 CFR § 417.2.

Ongoing Requirements

- Block 18 – Select the result which best describes the plant's compliance with the monitoring requirements of HACCP Plan(s) provided in 9 CFR § 417.2(c)(4).
- Block 19 – Select the result which best describes the plant's compliance with the verification and validation requirements of HACCP Plan(s) provided in 9 CFR § 417.4.
- Block 20 – Select the result which best describes the plant's compliance with the corrective action requirements of HACCP Plan(s) provided in 9 CFR § 417.3 (a)(b)(c).
- Block 21 – Select the result which best describes the plant's compliance with the reassessment requirements of HACCP Plan(s) provided in 9 CFR § 417.4(a)(3).
- Block 22 – Select the result which best describes the plant's compliance with the records requirements of HACCP Plan(s) provided in 9 CFR § 417.5.

4. Part C – Economic/Wholesomeness

- Block 23 – Select the result which best describes the plant's compliance with the requirements for % Yield/Shrink; finished weight and green weight provided in 9 CFR Part 319.
- Block 24 – Select the result which best describes the plant's compliance with the requirements for X % Added Solution provided in 9 CFR Part 319.
- Block 25 – Select the result which best describes the plant's compliance with the requirements for Mechanically Separated Species/Mechanically Separated

Poultry/ Partially Defatted Beef Fatty Tissue/Partially Defatted Pork Fatty Tissue/ Partially Defatted Chopped Beef/Advanced Meat Recovery System provided in 9 CFR §§ 318.24, 319.5, 319.6, 319.15(e), 319.29 and 381.47(c).

- Block 26 – Select the result which best describes the plant's compliance with the requirements for batter/breading provided in 9 CFR §§ 319.880 and 381.166.
- Block 27 – Select the result which best describes the plant's compliance with the requirements for labeling – product standards provided in 9 CFR Parts 319 and 381 Subpart P.
- Block 28 – Select the result which best describes the plant's compliance with the requirements for labeling – Child Nutrition/grade labeling/declared count, vignette provided in 9 CFR §§ 317.8 and 381.116.
- Block 29 – Select the result which best describes the plant's compliance with the requirements for labeling – net weight provided in 9 CFR §§ 317.2(h)(1), 317.18 – 317.22 and 318.121(a) – (e).
- Block 30 – Select the result which best describes the plant's compliance with the requirements for general labeling provided in 9 CFR Parts 316, 317 and 381 Subpart N.
- Block 31 – Select the result which best describes the plant's compliance with the requirements for finished product standards/acceptable quality limit (AQL)/ product re-inspection/retained water provided in 9 CFR §§ 310.3, 318.2, 318.5, 318.6, 381.76, 381.145 and 441.

5. Part D – Sampling

Generic *E. coli* Testing

- Block 32 – Select the result which best describes the plant's compliance with the requirements for a written procedure for Generic *E. coli* sampling provided in 9 CFR §§ 310.25(a)(2)(i) and 381.94..
- Block 33 – Select the result which best describes the plant's compliance with the requirements for Generic *E. coli* sample collection provided in 9 CFR §§ 310.25(a)(2)(ii) and 381.94.
- Block 34 – Select the result which best describes the plant's compliance with the requirements for Generic *E. coli* records provided in 9 CFR §§ 310.24(a)(4) and 381.94.

Salmonella Performance Standards

- Block 35 – Select the result which best describes the plant's compliance with the requirements for *Salmonella* Performance Standards corrective actions provided in 9 CFR §§ 310.25(b)(3)(i) and 381.94.
- Block 36 – Select the result which best describes the plant's compliance with the requirements for *Salmonella* Performance Standards reassessment provided in 9 CFR §§ 310.25(b)(3)(ii) and 381.94.
- Block 37 – Select the result which best describes the plant's compliance with the requirements for *Salmonella* Performance Standards written assurance provided in 9 CFR §§ 310.25(b)(3)(iii) and 381.94.

Sampling

- Block 38 – Select the result which best describes the plant’s compliance with the requirements for directed sampling provided in 9 CFR §§ 310.25(b), 318.22, 381.146, 417.8 and 430.
- Block 39 – Select the result which best describes the plant’s compliance with the requirements for residue determination, in-plant residue testing and/or diagnostic sampling provided in 9 CFR §§ 310.21, 381.78, 381.80 and 381.146.

6. Part E – Sanitation Performance Standards

- Block 40 – Select the result which best describes the plant’s compliance with the requirements for establishment grounds and pest control provided in 9 CFR § 416.2(a).
- Block 41 – Select the result which best describes the plant’s compliance with the requirements for establishment construction and maintenance provided in 9 CFR § 416.2(b).
- Block 42 – Select the result which best describes the plant’s compliance with the requirements for light provided in 9 CFR § 416.2(c).
- Block 43 – Select the result which best describes the plant’s compliance with the requirements for ventilation provided in 9 CFR § 416.2(d).
- Block 44 – Select the result which best describes the plant’s compliance with the requirements for plumbing and sewage provided in 9 CFR § 416.2(e) and (f).
- Block 45 – Select the result which best describes the plant’s compliance with the requirements for water supply and water, ice and solution reuse provided in 9 CFR § 416.2(g).
- Block 46 – Select the result which best describes the plant’s compliance with the requirements for dressing rooms and lavatories provided in 9 CFR § 416.2(h).
- Block 47 – Select the result which best describes the plant’s compliance with the requirements for equipment and utensils provided in 9 CFR § 416.3.
- Block 48 – Select the result which best describes the plant’s compliance with the requirements for sanitary operations provided in 9 CFR § 416.4(a).
- Block 49 – Select the result which best describes the plant’s compliance with the requirements for employee hygiene provided in 9 CFR § 416.5.
- Block 50 – Select n/a
- Block 51 – Select n/a

7. Part F – Other Requirements

- Block 52 – Select the result which best describes the plant’s compliance with the requirements for Custom Exempt/Retail Exempt operations provided in 9 CFR § 303.1.
- Block 53 – Select the result which best describes the plant’s compliance with the requirements for condemned product control provided in 9 CFR §§ 314.1, 314.2, 314.3, 325 and 381.95.

- Block 54 – Select the result which best describes the plant’s compliance with the requirements for humane handling provided in 9 CFR Part 313.
- Block 55 – Select the result which best describes the plant’s compliance with the requirements for ante mortem inspection provided in 9 CFR §§ 309 and 381.70.
- Block 56 – Select the result which best describes the plant’s compliance with the requirements for post mortem inspection provided in 9 CFR §§ 310 and 381.76.
- Block 57 – Select the result which best describes the plant’s compliance with the requirements for Bovine Spongiform Encephalopathy (BSE)/Specified Risk Material (SRM) removal and handling provided in 9 CFR 310.22.

8. Part G – Regulatory Oversight

- Block 58 – Select the result which best describes the plant’s compliance with enforcement actions taken in the plant (NOIE – Verification Action Plan).
- Block 59 – Select the result which best describes the plant’s compliance with the requirements for Agency verification provided in 9 CFR §§ 416.17 and 417.8.

9. Documentation of Findings

- Block 60 – Enter a brief, complete description of every noncompliance (UN) or pending (P) result that was documented in Blocks 7 through 59 of the form during the review process.

NOTE: The plant number and the date of the visit must be entered on the top of pages 2 and 3 of the form.

10. Completion of the form

- Use Blocks 61 – 63 for the name of the reviewer, the signature of the reviewer and the date the review was signed by the reviewer.
- Use Blocks 64 – 66 for the name of the establishment representative, the signature of the establishment representative and the date the establishment representative signed the form.

VI. DISTRIBUTION OF COMPLETED ESTABLISHMENT REVIEW CHECKLISTS

When the Establishment Review Checklist has been completed and signed by the reviewer and the establishment representative, copies of the review will be distributed as follows:

- The signed copy of the review will be maintained by the in-plant inspection personnel in their files.
- An electronic version of the form will be sent to the ODAFF MPI Oklahoma City Office, which will be maintained in the establishment files.

- The supervisor who conducted the review should maintain a copy of the review for their reference.
- Establishment management will be provided a copy of the completed review form.

VII. IN-PLANT INSPECTION PERSONNEL RESPONSIBILITIES

All public health related noncompliances found during the review will require that immediate regulatory control action be taken. It is expected that all noncompliances documented during a review will be corrected prior to the next review unless an alternative completion date has been agreed upon between the ODAFF MPI Program and the establishment management. In-plant inspection personnel are to document the corrective actions taken by the establishment of all deficiencies noted on the Establishment Review Checklist on the Review Corrective Actions – Form FSD-MIS 15. The information provided on this form must include the date **each of** the corrective actions were completed. When all corrective actions have been completed the inspector is to sign and date the form. The supervisor is to sign and date the Review Corrective Action Form when they have verified that the establishment has completed all corrective actions for all noncompliances listed on the last review. The signed copy is to be maintained in the inspector's file and an electronic copy of the form is to be sent to the ODAFF MPI Oklahoma City Office, where it will be attached to the copy of the Establishment Review Checklist.

NOTE: The Review Corrective Actions Form is not used in solely custom-exempt establishments to document the corrective actions taken by the establishment after a Quarterly Review has been conducted. It is used in solely custom-exempt establishments to document the corrective actions taken by the establishment after a Certification Review has been conducted. If custom-exempt operations are conducted in an inspected establishment, this form would be used by inspection personnel to document corrective actions taken by the establishment.

Refer all questions about this review process through supervisory channels.



Stan Stromberg
Director, Food Safety Division

DISTRIBUTION:
All MPI Personnel

SUBJECT CATEGORY:
Reviews