

Connecticut Department of Agriculture Bureau of Regulatory Services Small Poultry Processor Inspection Program



Compliance Guide

In accordance with Section 4 of Public Act No. 10-103 (codified as Connecticut General Statute Section 22-326t) the Connecticut Department of Agriculture (DoAg) has established an inspection program for **poultry producers** who intend to operate a small poultry slaughter facility which is exempt from or not eligible to operate under a United States department of Agriculture (USDA) grant of inspection and intend to supply poultry products to retail establishments, restaurants, hotels and boarding houses. **Note: this program does not make a small poultry processor eligible to sell poultry or poultry products to a wholesaler or distributor for resale or distribution.** It is strongly suggested that anyone participating in this program consult with their attorney and insurance agent concerning product liability.

For small poultry processors, Public Act No. 10-103 provides an alternative to USDA grant of inspection in order to be considered an approved food source eligible to supply retail establishments, restaurants, hotels and boarding houses. Public Act No. 10-103 mandates that small poultry processors in the DoAg program must meet the applicable sanitation and construction requirements of the federal Poultry Products Inspection Act (PPIA) and the applicable provisions of the Code of Federal Regulations. This document is consistent with USDA, Food Safety Inspection Service (FSIS) standards for PPIA exempt establishments.

Connecticut General Statute Section (C.G.S. §) 22-326t (P.A. # 10-103):	3
Section 1. Definitions	4
Section 2. Application.	7
Section 3. Inspection, certificate and enforcement.	7
Section 4. Poultry Health	8
Section 5. Records	8
Section 6. Facility design and construction.	9
Section 7. Water Supplies and plumbing.	10
Section 8. Toilet Facilities.	11
Section 9. Equipment.....	11
Section 10. Protection of products.	12
Section 11. Marking and Labeling.....	13
Section 12. Cleanliness, Sanitation.....	13
Section 13. Personnel Cleanliness.	14
Section 14. Persons with disease.	14
Section 15. Disposal of refuse, trash, poultry waste and offal	14
Section 16. HACCP System	16
Section 17. Processing customer owned and raised live poultry	18
Mobile Poultry Processing Unit (MPPU).....	19
CT Small Poultry Processor Registration	20
INSPECTION/AUDIT REPORT	21

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Connecticut Small Poultry Processor Inspection Program

Connecticut General Statute Section (C.G.S. §) 22-326t (P.A. # 10-103):

Sec. 22-326t. Inspection of poultry producers and poultry processing facilities. Standard.

(a) For purposes of this section:

(1) "Poultry" has the same meaning as provided in section 22-326s; and

(2) "Producer" means any person, firm or corporation engaged in the breeding, raising or keeping of not more than five thousand turkeys or twenty thousand poultry of all species in a calendar year for the purpose of food production.

(b) The Commissioner of Agriculture shall be the state official in charge of inspecting any producer and any producer that also operates as a poultry processing facility. Any inspection conducted pursuant to this subsection shall be consistent with the requirements of the federal Poultry Products Inspection Act and any applicable provision of the Code of Federal Regulations, including, but not limited to, any health, sanitary and safety related provision. Poultry processing facilities that meet the applicable criteria for federal Food Safety and Inspection Services exemptions and that have passed Department of Agriculture facility inspections pursuant to this subsection shall be designated as approved food sources for household consumers, restaurants, hotels, boarding houses and retail food establishments.

Adapted from the Association of Food and Drug Officials Guidelines for Exempt Slaughter and Processing Operations and USDA, FSIS guidance documents.

Section 1. Definitions

For the purposes of this compliance guide the following definitions shall apply.

- (1) “Adulterated” has the same meaning as in 9 CFR 381.1.
- (2) “Certificate of inspection” means a certificate issued by the Department of Agriculture stating that this facility has met the standards of Public Act 10-103.
- (3) “Certification period” means the twelve (12) months from the date the Certificate of inspection was issued.
- (4) “Commissioner” means the Commissioner of Agriculture
- (5) “Department” and means the Connecticut Department of Agriculture.
- (6) “Flock” means all poultry on one farm or any group of poultry segregated on one farm with no comingling with other birds for a period of at least twenty one (21) days.
- (7) “FSIS” means the United States Department of Agriculture, Food Safety and Inspection Service.
- (8) “Hazard Analysis Critical Control Point (HACCP) Plan” means a written plan resulting from the systematic approach to the identification of food safety hazards. The plan includes hazard controls, monitoring activities, corrective actions, record keeping and verification activities associated with each identified food safety hazard.
- (9) “Hazard Analysis Critical Control Point (HACCP) system” means a food safety management tool that provides a structured and a scientific approach to the control of identified food safety hazards. It includes prerequisite programs and the implementation and execution of a HACCP plan.
- (10) “Misbranded” has the same meaning as in 9 CFR 381.1.
- (11) “Prerequisite Programs” means the universal procedures used to control conditions in a plant that contribute to the overall safety of the product. They include and reference the Good Manufacturing Practices (GMPs) and Sanitation Standard Operating Procedures (SSOPs) and other programs that address operational conditions and provide the foundation for the HACCP System.
- (12) “Operator” means the owner, manager, partner, officer or most responsible person in charge of a CT Small Poultry Processing facility.
- (13) “USDA” means the United States Department of Agriculture.

Adulterated. “Adulterated” applies to any poultry product under one or more of the following circumstances:

(i) If it bears or contains any poisonous or deleterious substance which may render it injurious to health; but in case the substance is not an added substance, such article shall not be considered adulterated under this clause if the quantity of such substance in or on such article does not ordinarily render it injurious to health;

(ii)(a) If it bears or contains (by reason of administration of any substance to the live poultry or otherwise) any added poisonous or added deleterious substance (other than one which is a pesticide chemical in or on a raw agricultural commodity; a food additive; or a color additive) which may, in the judgment of the Administrator, make such article unfit for human food;

(b) If it is, in whole or part, a raw agricultural commodity and such commodity bears or contains a pesticide chemical which is unsafe within the meaning of section 408 of the Federal Food, Drug, and Cosmetic Act;

(c) If it bears or contains any food additive which is unsafe within the meaning of section 409 of the Federal Food, Drug, and Cosmetic Act;

(d) If it bears or contains any color additive which is unsafe within the meaning of section 706 of the Federal Food, Drug, and Cosmetic Act:

Provided, That an article which is not otherwise deemed adulterated under paragraphs (b)(4)(ii) (b), (c), or (d) of this section shall nevertheless be deemed adulterated if use of the pesticide chemical, food additive, or color additive in or on such article is prohibited by the regulations in this part in official establishments;

(iii) If it consists in whole or in part of any filthy, putrid, or decomposed substance or is for any other reason unsound, unhealthful, unwholesome, or otherwise unfit for human food;

(iv) If it has been prepared, packed, or held under insanitary conditions whereby it may have become contaminated with filth, or whereby it may have been rendered injurious to health;

(v) If it is, in whole or in part, the product of any poultry which has died otherwise than by slaughter;

(vi) If its container is composed, in whole or in part, of any poisonous or deleterious substance which may render the contents injurious to health;

(vii) If it has been intentionally subjected to radiation, unless the use of the radiation was in conformity with a regulation or exemption in effect pursuant to section 409 of the Federal Food, Drug, and Cosmetic Act; or

(viii) If any valuable constituent has been in whole or in part omitted or abstracted therefrom; or if any substance has been substituted, wholly or in part therefor; or if damage or inferiority has been concealed in any manner; or if any substance has been added thereto or mixed or packed therewith so as to increase its bulk or weight, or reduce its quality or strength, or make it appear better or of greater value than it is.

Misbranded. This term applies to any poultry product under one or more of the following circumstances:

(i) If its labeling is false or misleading in any particular;

(ii) If it is offered for sale under the name of another food;

(iii) If it is an imitation of another food, unless its label bears, in type of uniform size and prominence, the word “imitation” and immediately thereafter, the name of the food imitated;

(iv) If its container is so made, formed, or filled as to be misleading;

(v) If in a package or other container, unless it bears a label showing:

(a) The name and place of business of the manufacturer, packer, or distributor; and

(b) An accurate statement of the quantity of the contents in terms of weight, measure, or numerical count; except as otherwise provided in §381.121(a) with respect to the quantity of contents;

(vi) If any word, statement, or other information required by or under authority of the Act to appear on the label or other labeling is not prominently placed thereon with such conspicuousness (as compared with other words, statements, designs, or devices, in the labeling) and in such terms as to render it likely to be read and understood by the ordinary individual under customary conditions of purchase and use;

(vii) If it purports to be or is represented as a food for which a definition and standard of identity or composition is prescribed by the regulations in subpart P of this part unless:

(a) It conforms to such definition and standard, and

(b) Its label bears the name of the food specified in the definition and standard, and insofar as may be required by such regulations, the common names of optional ingredients (other than spices, flavoring, and coloring) present in such food.

(viii) If it purports to be or is represented as a food for which a standard or standards of fill of container have been prescribed by regulations of the Secretary,² and falls below the standard of fill of container applicable thereto, unless its label bears, in such manner and form as such regulations specify, a statement that it falls below such standard;

²No such standards are currently in effect. However, §381.129 prohibits the use of false or misleading containers.

(ix) If it is not subject to the provisions of paragraph (b)(vii) of this section, unless its label bears:

(a) The common or usual name of the food, if any there be, and

(b) In case it is fabricated from two or more ingredients, the common or usual name of each ingredient, except as otherwise provided in §381.118(c);

(x) If it purports to be or is represented for special dietary uses, unless the label bears such information concerning its vitamin, mineral, and other dietary properties as is required by §381.124;

(xi) If it bears or contains any artificial flavoring, artificial coloring, or chemical preservative, unless it bears a label stating that fact; except as otherwise provided in §381.119, or

(xii) If it fails to bear, directly thereon or on its containers, when required by §381.123, the official inspection legend and the official establishment number of the establishment where the product was processed; and unrestricted by any of the foregoing; such other information as the Administrator may require in the regulations to assure that it will not have false or misleading labeling and that the public will be informed of the manner of handling required to maintain the article in a wholesome condition.

Section 2. Application.

- (a) The Connecticut Department of Agriculture CT Small Poultry Processor Inspection Program is available to any **poultry producer** of not more than five thousand (5,000) turkeys or twenty thousand (20,000) poultry whose products are sold or offered for sale to restaurants, hotels and boarding houses.
- (b) Application to operate an Small Poultry Processing facility may be made to the department on forms provided by the department and annually thereafter. Such application shall minimally include:
1. Owners/operators name;
 2. Address;
 3. Location of the slaughter facility;
 4. Approximate number of poultry to be slaughtered annually;
 5. Social Security number or Federal Employer Identification Number;
 6. Signature of the owner;
 7. Approximate annual production schedule; and
 8. Type and approximate number of poultry;

Section 3. Inspection, certificate and enforcement.

- (a) As a condition of certification, each operator of a slaughter facility participating in the CT Small Poultry Processor Inspection Program shall:
1. register their facility with the department and USDA FSIS;
 2. have an approved plan for the disposal of liquid waste from slaughter operations;
 3. have an approved plan for the disposal of offal;
 4. have an approved water supply and test the water supply every six (6) months or if operated seasonally, test the water supply no more than 30 days prior to the date processing starts. (required water testing is not applicable to municipal water supplies);
 5. have an approved site bio-security protocol;
 6. have a written system of product labeling and record keeping to facilitate product tracking and trace-back to the slaughter/process facility;
 7. successfully complete a safe poultry slaughter course approved by the department. The safe poultry slaughter course shall educate operators of safe food handling, storage and packaging methods and, the risks to human health associated with consuming poultry which is not properly handled, stored and packed. The safe poultry slaughter course shall be designed to assist producers with designing and implementing a HACCP system;
 8. be in compliance with all local ordinances (public health, building, zoning etc.); and
 9. satisfactory initial inspection.
- (b) The commissioner or the commissioner's designated agent may make unannounced inspections during normal business hours of each poultry slaughter facility participating in the CT Small Poultry Processor Inspection Program. The inspection shall audit the HACCP system and evaluate the sanitation, sanitary practices, food handling equipment design and construction, handling of animals, record keeping, water supply and compliance with the standards established in this document. The inspection results shall be retained by the operator for 1 year and shall be available for inspection.

- (c) If during an inspection, insanitary or other conditions of a CT Small Poultry Processing facility are found, which, in the judgment of the department, endangers public health, a written notice to the CT Small Poultry Processing facility operator, citing such conditions, specifying the corrective action to be taken, and specifying the time period within which such corrective action shall be taken may be issued, and, if deemed necessary such written notice may order immediate correction. If correction is not made in the stated time, a written order may be issued to remove the operator from CT Small Poultry Processing facility program.
- (d) The commissioner may refuse to register or may by order, suspend or revoke the registration of any CT Small Poultry Processing facility for any violation of these standards. In refusing to register, suspending or revoking a CT Small Poultry Processing facility registration, the commissioner shall consider the history of violations and the nature of the violations. Any person aggrieved by a refusal to register or an order of the commissioner may appeal such order and request an administrative hearing, provided such appeal is in writing and received by the commissioner within ten days of the date the order was received. Such appeal shall be limited to whether such violation occurred or was occurring at the time the order or refusal to register was issued.
- (e) The sale or introduction into the marketplace of poultry or poultry products which are adulterated or misbranded as they are defined in 9 CFR 381.1 is prohibited.

Section 4. Poultry Health

- (a) Only healthy poultry shall be slaughtered, processed and offered for sale.
- (b) CT Small Poultry Processor's may establish a prerequisite program as part of their HACCP system to address the control of human pathogens within their poultry flock. Poultry producers may enroll their flock in the Connecticut Voluntary Salmonella Enteritidis Reduction Program.
- (c) Poultry producers shall obtain import permits for imported poultry as required by C.G.S § 22-325. Import permit are free and may be obtained by calling (860) 713-2504

Section 5. Records

- (a) Each operator of a CT Small Poultry Processing facility shall maintain records of poultry slaughtered for a period of 1 year. Records shall minimally include the source, date, number and species of poultry processed each day.
- (b) Each operator of a CT Small Poultry Processing facility shall maintain records of poultry sold to wholesale accounts (retail establishments, restaurants, hotels and boarding houses) for a period of 1 year. Records shall minimally include the name of the business sold to, date of each sale, number, species of poultry sold and the process date or lot number of the poultry sold. Such records shall only be disclosed whenever a recall is conducted, but may be inspected to verify their existence at the establishment.
- (c) Each operator of a CT Small Poultry Processing facility shall maintain a current list of wholesale accounts that includes contact information for each account in the event a recall or product withdrawal from the market is conducted. Such list shall only be disclosed whenever a recall is conducted, but may be inspected to verify its existence at the establishment.

Section 6. Facility design and construction.

- (a) There shall be sufficient natural and/or artificial lighting and sufficient ventilation for all rooms and compartments to ensure sanitary conditions.
- (b) Establishment buildings, including their structures, rooms, and compartments shall be of sound construction and in good repair, and be of sufficient size to allow for processing, handling, and storage of product.
- (c) All animal holding areas shall be free of any conditions that could cause pain or injury to the animals.
- (d) The surfaces of doors, walls, ceiling, partitions, posts and other parts of structures used for slaughter or processing shall be finished with impervious easily cleanable materials.
- (e) Floors shall be of watertight and impervious materials sloped to drain. Any floor mats shall be designed to be removable and easily cleanable.
- (f) Window sills shall be sloped and shall not pool water.
- (g) All outer openings shall be screened or otherwise constructed and maintained to prevent the entry of rodents, flies and other vermin. Outer doors shall be self-closing. The use of poisons for any purpose in rooms or compartments where any unpacked product is stored or handled is forbidden, except under such restrictions and precautions as the department may prescribe. Dogs and cats and other companion animals shall be excluded from the slaughter facility.
- (h) The grounds of the establishment shall be maintained to prevent any unsanitary conditions, excessive dust, mud, or rodent, insect or other vermin harborages.
- (i) The establishment is responsible for controlling food safety hazards and preventing the adulteration of product even if the cause of adulteration originates from conditions outside the designated boundaries of the establishment.
- (j) Insect control devices used to electrocute or stun flying insects shall be designed to retain insects within the device and the devices shall not be located within eight (8) feet of exposed food.
- (k) The eviscerating, cutting and packing operations shall be separated from the killing, scalding and carcass dressing operations by the use of separate rooms or by a thorough and complete cleanup prior to the eviscerating, cutting and packaging.
- (l) Mobile poultry slaughter units design and construction shall provide at least the same level of protection as permanent poultry slaughter facilities.

Section 7. Water Supplies and plumbing.

- (a) There shall be an adequate drainage and plumbing system for the establishment and the slaughter premises. Slaughter operation drains shall not be connected to household septic systems. All plumbing including floor and sink drains shall be properly installed with approved traps and vents and, if required be approved by local officials.
- (b) An adequate potable water supply shall be provided. Hot water and cold water shall be available at all times and delivered under sufficient pressure to convenient outlets for washing carcasses, parts of carcasses, equipment, product contact surfaces, floors, walls and ceilings. Hot water shall be delivered at not less than 60°C (140° F).
- (c) There shall be no connections between safe and unsafe water supplies. All water supply lines which may become submerged shall be protected at all times by an approved reduced pressure backflow preventer or by an air gap as measured from the flood rim of the equipment to the water inlet which is at least twice the diameter of the water supply line. A low pressure cut off switch shall be installed on pumps connected to potable water supply lines which are intended to boost water pressure and/or flow above that supplied by the water system.
- (d) Water supplies shall be properly located and constructed to prevent contamination. Wells shall be located at least seventy-five (75) feet from potential sources of contamination. The operator shall test the water supply at least semi-annually for compliance with potable water standards. Such testing shall be done at an approved water testing laboratory and a copy of the test results shall be available for inspection (not applicable to municipal water supplies).

Section 8. Toilet Facilities.

- (a) Toilet facilities if located outside the poultry processing structure shall be within a reasonable distance to the poultry processing area, shall be made available to all individuals handling and processing poultry and shall be equipped with hot and cold or warm running water, soap and individual single service paper towels or, a hand sanitizing station supplied with an approved hand sanitizer and instructions for use.
- (b) Toilet facilities, if located within the poultry processing structure shall comply with the following:
 - (1) Toilet and dressing rooms shall be separate from the rooms and compartments in which products are prepared, stored or handled;
 - (2) Hand-washing facilities, including running warm or, hot and cold water, soap and individual single service towels, shall be placed in each toilet room;
 - (3) Toilet soil lines shall be separate from slaughter operation drains;
 - (4) Toilet soil lines shall not be connected to household septic systems unless such connection is approved by the local Director of Health; and
 - (5) If required by local authorities, toilet soil waste disposal shall be approved the local Director of Health and/or other local official.
- (c) All employees returning to work after using a toilet facility shall comply with section 12.

Section 9. Equipment.

- (a) All covers or lids for equipment shall overlap the opening and be sloped to drain.
- (b) Receptacles used for inedible material shall be of food grade construction and shall be plainly marked "Inedible".
- (c) Tools, equipment and utensils shall be thoroughly cleaned immediately after each days use and, properly stored and protected from contamination when not in use.
- (d) Sponges shall not be used in contact with cleaned, sanitized, or in-use food-contact surfaces.
- (e) Tools, equipment and utensils shall be properly constructed so they are easily cleanable and made of nontoxic food grade materials. Food contact surfaces shall be smooth; free of breaks, open seams, cracks, chips, and similar imperfections.
- (f) Single-service and single-use articles shall be stored in a clean, dry location; not exposed to splash, dust or other contamination.
- (g) Any fixed pieces of equipment shall have enough space to allow access for cleaning above, behind, and along the sides of the equipment.
- (h) All cleaned in place equipment shall be self-draining.

Section 10. Protection of products.

- (a) Products shall be protected from contamination at all times during production, preparation, storage and transportation.
- (b) Refrigerated storage of adequate capacity shall be provided and maintained at temperatures not to exceed 5°C (41° F). Vehicles used to transport products shall be constructed to maintain refrigeration temperatures.
- (c) All tubs, barrels, and boxes used as containers of products shall be of such construction and material as to protect products adequately from dust, dirt, flies, insects and other contamination, and a satisfactory sanitary liner shall be provided for such containers where necessary.
- (d) All cleaners and sanitizers shall be properly identified and stored to prevent contamination of edible product, packaging materials and product contact surfaces.
- (e) Water chilling tanks or vats shall be made of smooth, non-corrosive food grade materials. Water chilling tanks or vats shall be emptied at least daily and thoroughly cleaned and sanitized. Ice shall be from an approved source. Ice machines and equipment in contact with ice shall be kept clean and sanitized. All water used in the facility shall comply with section 6.
- (f) Air used to chill poultry carcasses shall not contaminate poultry carcasses.
- (g) Wild game shall not be processed with or come in contact with poultry carcasses or parts thereof or other edible products. Whenever wild game is processed there shall be a complete wash and sanitization of all equipment, utensils, product contact surfaces and slaughter rooms before resuming slaughter of animals covered under these rules.
- (h) Inedible waste shall be identified, stored separately and shall be so located as to insure no contamination to edible products. Containers used for inedible waste shall be legibly marked with the word "INEDIBLE" and shall not be used for any other purpose.
- (i) All ingredients used shall be food grade, non-toxic or generally recognized as a safe and suitable ingredient as defined in 21 CFR 184 and, appropriate for the product being manufactured, properly labeled and stored according to the manufacturer's directions.

Section 11. Marking and Labeling

- (a) The wrapper containing poultry shall be labeled with:
1. The name and address of the poultry producer/processor.
 2. The statement "exempt poultry P.L. 90-492".
 3. Connecticut Small Poultry Processor registration number.
 4. Safe handling and cooking instructions.
 5. The date of slaughter or other code to identify the lot.
 6. The name of the food.
 7. A statement of ingredients if the name of the food is not sufficient to describe the contents.
 8. Allergen labeling if necessary.
- (b) All other label claims shall be approved by the department prior to use. Labels shall be truthful and not misleading.

Section 12. Cleanliness, Sanitation.

- (a) Equipment, vehicles, rooms, compartments, places, equipment and utensils used for preparing, processing, storing or otherwise handling any product, and all other parts of the establishment shall be kept in a clean and sanitary condition.
- (b) Tools, equipment and utensils used for preparing, processing and otherwise handling any product shall be thoroughly washed each day. Tools, equipment and utensils used for preparing, processing and otherwise handling any product shall be sanitized just prior to use by immersion in hot water of not less than 82°C (180° F) for 5 minutes or by use of an approved EPA registered chemical sanitizer.
- (c) All cleaners, sanitizers and pesticides shall be approved for use in food processing establishments and, shall be used and stored according to manufacturer's instructions.
- (d) There shall be no handling or storing of materials which create an objectionable condition in rooms, compartments or places where products are prepared, stored and otherwise handled.
- (e) Rooms and compartments in which animals are slaughtered or any product is processed or prepared shall be kept reasonably free of steam and vapors to enable proper inspections and to insure clean operations. The walls, ceilings and overhead structures of rooms and compartments in which products are prepared, handled or stored shall be kept reasonably free of moisture. Ventilation shall be adequate to control odors, vapors, and condensation to the extent necessary to prevent adulteration and/or the creation of unsanitary conditions.

Section 13. Personnel Cleanliness.

- (a) Hand wash stations shall be conveniently located to processing operations and shall be equipped with soap and individual single service towels. All persons handling edible product shall thoroughly wash their hands with soap and water, rinse them in clean water and dry them with a single service paper towel prior to commencing operations.
- (b) Employees who handle any edible product shall keep their hands clean. In all cases all persons handling edible products or poultry processing equipment shall thoroughly wash hands after handling any insanitary item or visiting toilet rooms.
- (c) Outer garments shall be clean. Aprons shall be in good condition. Care shall be taken to prevent the contamination of products with perspiration, hair, cosmetics, loose personal items, etc.
- (d) Smoking or use of tobacco products shall not be permitted in areas where edible products are handled or processed. Signs prohibiting smoking shall be conspicuously posted in such areas.

Section 14. Persons with disease.

Any person affected with a disease transmissible to humans through food shall be excluded from any area where any edible product is handled or prepared. The commissioner or the commissioner's designated agent, when he or she has reasonable grounds to believe such action necessary, may require a medical examination of any person handling edible products and a certificate issued by a duly licensed physician showing the absence of any communicable disease as a condition of continued work in a food contact area.

Section 15. Disposal of refuse, trash, poultry waste and offal.

- (a) Offal, waste containing blood, viscera, bone or poultry parts shall be disposed of in a manner acceptable to the department and if required by local officials, be approved by the local director of health and/or the Department of Energy and Environmental Protection. Disposal methods may include but are not limited to:

Liquid Waste:

- Dispose of it in a sanitary sewer system with consent of the system operator.
- Dispose of it in a manure lagoon with consent of the owner
- Collect and land apply provided no nuisances are created, the application area is sufficient, no application to saturated ground and there is no runoff into surface water.
- Incorporate into farm compost provided the compost plan considers the added water and is approved.
- A plan developed by the Natural Resource Conservation Service or other professional organization

Offal:

- On farm composting (approved plan)
- Transport in leak proof container by a commercial trash hauler to an approved disposal site
- Commercial rendering service
- A plan developed by the Natural Resource Conservation Service or other professional organization

- (b) In all cases the plan(s) for disposal of wastes and offal shall minimize risk to surface and groundwater, offensive odors, vermin and fly breeding. In the case of composting, the area chosen shall be a sufficient distance from any processing area to prevent vermin and pests from entering. A composting plan shall be submitted to the department with the application. The composting plan may be reviewed by the Department of Energy and Environmental Protection and shall be reviewed and approved by the department and prior to implementation. The department may modify or void composting plans at any time. Composting operations shall be subject to inspection.

- (c) Trash and refuse shall be covered and properly stored to prevent fly breeding, odors and rodent infestations and shall be removed from the premises at a frequency that minimizes their accumulation and prevents nuisances. The department may increase the waste removal frequency for cause.

Section 16. HACCP System

BACKGROUND: Hazard Analysis Critical Control Point (HACCP) is a management tool that provides a structured and scientific approach to the control of identified food safety hazards. HACCP is a logical basis for better decision-making with respect to product safety. HACCP has international recognition as an effective means of controlling food safety hazards and is endorsed as such by the joint Food and Agriculture Organization of the World Health Organization (FAO)/World Health Organization (WHO) Codex Alimentarius Commission, The Food and Drug Administration and the United States Department of Agriculture. The U.S. National Advisory Committee on Microbiological Criteria for Foods (NACMCF) has also endorsed it.

The HACCP concept will enable those operating under a HACCP System to move to a preventive approach, whereby potential food safety hazards are identified and controlled in the manufacturing environment, i.e., prevention of product failure. HACCP allows for a preventive, systematic approach to food safety.

A written HACCP System shall be developed and implemented. The HACCP System shall at a minimum include the following:

- A description of the intended consumer;
- A complete up-to-date process flow diagrams for each product;
- A hazard analysis for each product;
- A list of all food safety hazards that are reasonably likely to occur identified in the hazard analysis, the Critical Control Point (CCPs) designed to control each hazard, the Critical Limit (CL) to be met at each of the CCP's and the frequency at which the procedure established to monitor each CL is performed
- A list of the verification and validation procedures and forms, and the frequency with which they are to be performed;
- The procedures to be followed when a deviation from a critical limit occurs; and
- A record keeping system that documents the monitoring of the CCPs and written Prerequisite Programs.

Prerequisite Programs (PP's) are the universal procedures used to control the conditions of the slaughter facility environment and reduce the likelihood that a food safety hazard will become out of control. PP's shall include procedures that can be monitored; records that specify what is monitored; and how often it will be monitored.

PP's are brief written descriptions of the procedures used to control conditions and are not intended to be nor are they intended to replace Sanitation Standard Operating Procedures (SSOP) but they may reference the SSOP's and GMP's to be used.

Eight required PP's shall minimally address each of the following:

- Safety of the water including steam and ice;
- Condition and cleanliness of equipment product-contact surfaces;
- Prevention of cross-contamination from insanitary objects and or practices to products or product-contact surfaces, packaging material and other food-contact surfaces, including utensils, gloves, outer garments, etc., and from raw product to processed product;
- Maintenance of hand washing, hand sanitizing, and toilet facilities;
- Protection of product, packaging material, and product-contact surfaces from adulteration with lubricants, fuel, pesticides, cleaning compounds, sanitizing agents, condensate and other chemical, physical and biological contaminants;
- Proper labeling, storage, and use of toxic compounds;

- Control of employee health conditions, including employee exposure to high risk situations, that could result in the microbiological contamination of products, packaging materials, and product-contact surfaces; and
- Pest exclusion from the facility;

Other Prerequisite Programs may be developed and implemented to control conditions not covered by the 8 required PP's such as the live poultry supply, transport of product, allergens, employee/visitor dress and hygiene, equipment maintenance etc.

Each establishment shall maintain daily records sufficient to document the implementation and monitoring of their PP's and any corrections made when non-conformities are observed .

The HACCP Plan shall be written and implemented to control food safety hazards reasonably likely to occur. In evaluating what food safety hazards are reasonably likely to occur, at a minimum, consideration shall be given to the following:

- Microbiological contamination;
- Parasites;
- Chemical contamination;
- Unlawful drug and pesticide residues;
- Natural toxins;
- Unapproved use of food or color additives;
- Presence of undeclared ingredients that may be allergens; and
- Physical hazards.

Each establishment shall maintain records sufficient to document the monitoring of the Critical Limit (CL) of each CCP and any corrective actions taken when a failure to meet a CL occurs.

The HACCP Plan and Prerequisite Programs shall be reviewed and validated by a trained individual at least annually and whenever a change is made to the process, equipment, intended consumer or ingredients. Each time the HACCP Plan and Prerequisite Program is validated it shall be signed and dated the person conducting the validation and by the person most responsible for the operation.

HACCP System records shall include:

- (a) Records documenting verification and validation of the HACCP system, including the HACCP plan, hazard analysis and Prerequisite Programs.
- (b) Prerequisite Program records
 - The written PP's
 - The PP monitoring records
 - Documentation of corrections of non-conformities to Prerequisite Programs
- (c) HACCP Plan records
 - HACCP Plan
 - Hazard Analysis
 - CCP monitoring of Critical Limits and the corrective action records in response to a deviation from a critical limit
 - Verification records, including calibration records for thermometers used to monitor temperatures
 - HACCP plan validation records

- (d) The establishment employee(s) specified in the and/or HACCP Plan shall authenticate these HACCP System records at the frequency established in the HACCP or Prerequisite program with his or her initials and the date.
- (e) All HACCP System records shall kept for two (2) years and shall be available to department representatives on request.

Section 17. Processing customer owned and raised live poultry

Customer owned and raised poultry may be processed by an operator of a CT Small Poultry Processing facility provided:

- (a) Customer owned and raised poultry are processed on separate days or at the end of a run;
- (b) Customer owned and raised poultry must be marked with the date of slaughter, the name and address of the customer and the statement "Not for Re-sale";
- (c) Records must be maintained by the operator that clearly account for customer owned and raised poultry processed;
- (d) The process used for slaughter operations, handling and packaging of customer owned and raised poultry shall be the same as for poultry intended for sale pursuant to C.G.S. § 22-326t; and
- (e) Whenever poultry or other animal not owned and raised by operator of the slaughter facility are slaughtered there shall be a complete cleaning and disinfection of all product contact surfaces before processing poultry intended for sale pursuant to C.G.S. § 22-326t.

Mobile Poultry Processing Unit (MPPU)

This describes the Connecticut Department of Agriculture's minimal expectations regarding the operation of an MPPU.

MPPU shall undergo an initial review and commissioning by department staff prior to being offered to producer/operators. The department invite USDA FSIS to participate in the review.

MPPU owner should consult with their attorney and insurance agent concerning liability. The MPPU owner shall establish written policies for MPPU operation, safety, bio-security (onsite and between uses), and the MPPU return. **Note: The poultry producer using the unit as the licensed entity is considered the party responsible for the food's safety.**

Each poultry producer using the MPPU must register with the Connecticut Department of Agriculture and USDA, FSIS and develop and implement a HACCP program that addresses the food safety concerns of sanitation, pathogen control, product handling and packaging. Poultry processed using the MPPU must be of the producer/operator's own raising. The poultry producer/operator of the MPPU shall comply with the provisions of this compliance guide.

The MPPU owner shall establish a biosecurity plan for the unit to include cleaning & disinfection between uses, maintaining records of producers using the unit and sign-off that the unit was properly cleaned and disinfected after use or when returned to the MPPU owner. The owner of the MPPU may collaborate with producer/operators in development of their individual HACCP and bio-security plans, provide training required for obtaining a certificate to operate the MPPU and assist the poultry producer with slaughter/processing operations.

MPPU unit may travel to producer/farms or to pre-designated non-poultry farm locations. In either case the bio-security plan must minimize the risk of spreading avian disease. **Note: this is a mobile unit and is expected to move, it is not a mobile unit in one location.**

MPPU host locations are subject to inspection by the department. The MPPU owner shall enter into a written agreement with the host site which details the host site owners responsibilities regarding infrastructure supplied to the MPPU. These may include but are not limited to:

Electric

Potable Water

Liquid Waste Disposal (approved by the department and local officials):

Offal Disposal (approved by the department):

Note: the disposal of wastes and offal is discussed in this compliance guide.

When conducting inspections the department will consider violation of construction standards for fixed pieces of equipment supplied with the MPPU to be the responsibility of the MPPU owner. Not providing proper infrastructure will be considered the responsibility of the MPPU host site owner. Failure to conform with sanitation standards, HACCP program or labeling requirements as described in the Small Poultry Processor Inspection Program Compliance Guide will be the responsibility of the licensed entity operating the MPPU. All violations will be noted on the inspection/audit forms and copies will be provided to the respective parties.

	State of Connecticut Department of Agriculture	PSF # _____
	Bureau of Regulatory Services 450 Columbus Blvd. Suite 702 Hartford, CT 06103 (860) 713-2508 fax (860) 713-2515 Licensing (860) 713-2512 fax (860)713-2585	<input type="checkbox"/> NEW <input type="checkbox"/> RENEWAL

CT Small Poultry Processor Registration

I/we hereby apply to participate in the Connecticut Department of Agriculture CT Small Poultry Processor Inspection Program as authorized by C.G.S. § 22-326t.

PLEASE PRINT OR TYPE:	Federal Employer Identification Number	Social Security Number
Business Name:	EXAMPLE	
Business Address:	Phone:	
City:	State:	Zip:
Address business correspondence should be sent to if different from above:		E-mail
<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Partnership	<input type="checkbox"/> Corporation
<input type="checkbox"/> L.L.C.		

NAME OF LICENSEE (Name of Owner; Name of Partnership; Name of L.L.C. or Name of Corporation)

LIST NAMES of PARTNERS, L.L.C. MEMBERS or CORPORATION OFFICERS.

EXAMPLE

Approximate number and type of animals slaughtered annually: Poultry _____ Turkey _____ Other: Specie _____ Number _____

The undersigned applicant states that all of the information herein is true to the best of his/her knowledge and agrees to comply with all laws, orders, rulings, regulations and directives of the Connecticut Department of Agriculture.

PRINT NAME OF APPLICANT SIGNATURE OF APPLICANT DATE

EXAMPLE

TITLE OF APPLICANT TELEPHONE NUMBER

Approval contingent on compliance with Connecticut Department of Agriculture, Small Poultry Processor Inspection Program standards.

Agency Approved Yes No Inspector _____ Date _____

FEE AMOUNT RECEIVED	CHECK OR MONEY ORDER	DATE PROCESSED	TRANSMITTAL NUMBER	EXPIRATION

Connecticut Department of Agriculture Bureau of Regulatory Services	Small Poultry Processor INSPECTION/AUDIT REPORT	Inspector
Name of facility: Number: Expiration Date:		
EXAMPLE		
Address		

HACCP Plan Validation Date: _____ HACCP Plan Implemented/Followed PP Validation Date: _____ PP Implemented/Followed

- | | | |
|---|--|--|
| <p>1. FLOORS:
Smooth; impervious; in good repair (a) _____
Joints between walls and floors tight; impervious (b) _____
Floor drains properly trapped; floors sloped (c) _____</p> <p>2. WALLS AND CEILINGS:
Smooth; washable ; good repair (a) _____</p> <p>3. DOORS AND WINDOWS:
All outside openings protected against entrance of insects, rodents, dust, and airborne contamination (a) _____
Outer doors tight, self-closing (b) _____</p> <p>4. LIGHTING AND VENTILATION:
Adequate light in all rooms as required (a) _____
Ventilation sufficient..... (b) _____</p> <p>5. SEPARATE ROOMS:
Separate rooms as required; adequate size (a) _____
No direct opening from processing areas to poultry housing (b) _____</p> <p>6. TOILET FACILITIES: <input type="checkbox"/> N/A
Complies with local ordinances (a) _____
No direct opening to processing; self-closing doors..... (b) _____
Clean; well-lighted and ventilated; proper facilities..... (c) _____
Sewage and other liquid wastes disposed of in a sanitary Manner (d) _____
Proper hand washing facilities..... (e) _____</p> <p>7. WATER SUPPLY:
Safe; sanitary quality; complies with bacteriological and construction requirements..... (a) _____
No direct or indirect connection between safe and unsafe water (b) _____
Sampled and examined as required..... (c) _____
Testing records maintained as required..... (d) _____
Adequate hot water available (e) _____</p> | <p>8. HANDWASHING FACILITIES:
Located and equipped as required (a) _____
Hand washing facilities clean..... (b) _____</p> <p>9. PLANT CLEANLINESS:
Floors, walls, ceiling, overhead beams, fixtures, pipes and ducts clean in rooms as required (a) _____
Plant rooms, as required, free of evidence of insects and vermin (b) _____
No unnecessary equipment..... (c) _____</p> <p>10. LOCKER AND LUNCHROOMS : <input type="checkbox"/> N/A
Separate from plant operations; self-closing doors (a) _____
Eating/storage of food prohibited in processing and Storage areas..... (b) _____
Locker and lunchrooms clean..... (c) _____
Cleanable refuse containers provided; properly labeled, Covered (d) _____
Hand washing facilities convenient (e) _____</p> <p>11. CONSTRUCTION AND REPAIR OF EQUIPMENT:
Smooth, impervious ,corrosion-resistant, non-toxic, easily cleanable materials;
in good repair, accessible for inspection..... (a) _____
Approved single-service articles; not reused..... (b) _____</p> <p>12. CLEANING AND SANITIZING OF EQUIPMENT:
Containers, utensils, and equipment effectively cleaned . (a) _____
Approved sanitization of product contact surfaces..... (b) _____
Equipment stored to assure drainage and protection from Contamination (c) _____</p> <p>13. PROTECTION FROM CONTAMINATION:
Operations conducted and located so as to preclude contamination of product (a) _____
Single-service articles protected from contamination (b) _____
Sanitized surfaces not exposed to contamination (c) _____
Improperly handled product discarded (d) _____
Cleaners and sanitizers properly identified (e) _____
Proper disposal of waste product..... (f) _____</p> | <p>14. STORAGE OF MATERIALS AND FINISHED PRODUCT:
Elevated off the floor (a) _____
Stored in clean, dry place, protected from splash, insects, and dust (b) _____</p> <p>15. COOLING:
Product maintained at proper temperature (a) _____
Coolers, vehicles clean and properly maintained..... (b) _____
Approved thermometer located within each refrigerated room (c) _____</p> <p>16. WRAPPING AND PACKAGING:
Wrapping performed in sanitary manner (a) _____
Packaged contents protected from contamination..... (b) _____
Packaging materials in compliance (d) _____</p> <p>17. RECORDS AND LABELING:
Accurate records maintained..... (a) _____
Products offered for sale properly labeled (b) _____
Inedible properly marked (c) _____</p> <p>18. ANIMAL CARE:
Poultry handling appurtenances of proper design (a) _____
No conditions causing pain or injury (b) _____
Water available..... (c) _____</p> <p>19. PERSONNEL CLEANLINESS:
Hands washed before performing plant functions..... (a) _____
Clean outer garments worn (b) _____
No use of tobacco in facility (c) _____</p> <p>20. SURROUNDINGS:
Surroundings neat and clean and free of breeding areas, conditions attracting or harboring insects or rodents..... (a) _____
Driveways graded; no standing water..... (b) _____
Approved Pesticides, safely used (c) _____</p> |
|---|--|--|

Remarks:

EXAMPLE

Date: _____ Received By: _____ Title: _____

HACCP System Review

	Finding
Flow diagram and hazard analysis for each product complete, identifies hazard(s) reasonably likely to occur, reviewed as required when changes to process, formulation or intended consumer occurs?	EXAMPLE
Written hazard analysis for each product signed and dated as required?	
HACCP plan (if required by the hazard analysis) signed, dated, lists critical control point(s) (CCP) for each hazard, control measures and Critical Limit(s) (CL) that are appropriate and adequate to control the hazard(s)?	
HACCP plan defines monitoring procedures for each CCP (what, how, frequency, whom)?	
CL monitoring procedures as defined in the HACCP plan followed and adequately measure the CL at each critical control point?	
Corrective action taken, documented and adequate for products produced during a deviation from a CL defined in the HACCP plan.	
Root cause of cause of a deviation from a CL defined in the HACCP plan determined and corrected?	
Calibration of CCP process monitoring instruments performed as required at the frequency defined in the HACCP plan conducted, documented, signed and dated?	
Prerequisite programs (PP) written, implemented, reviewed, monitored & in substantial compliance?	
Corrections performed in a timely manner when PP monitoring records reflect deficiencies or non-conformities?	
HACCP system records correct, complete and available for official review?	
HACCP system records not falsified?	
A series of observations that lead to a finding of a potential HACCP System failure that is likely to result in a compromise to food safety?	

Auditor

Company Representative

Date

For USDA Grant of Inspection

Ms. Sheila E. Miller, MA,

Phone: 215-597-4219 ext. 4306231

Fax No.: 215-597-5009

Grant Curator – Philadelphia.GrantCurator@fsis.usda.gov

Notes:

- **Grant of Inspection (GOI) Program – process and distribute all grants of inspection and voluntary approvals.**
- **ALL applications are reviewed and sent to OIEA for background compliance inquiry on the applicants listed on the applications.**
- **Guide applicants requesting inspection through the application process (step-by-step and provide application packets, as needed).**