Page Z. Determination of Plant Status. (Form DA - 151 - 13)

Show All Required Information in the Heading.

A. DMCC Log Averages.

Fill in the last three DMCC averages, if known.

B. Plant Status History.

List the status and date of the three previous plant surveys. If this information is not available from the previous report or the National Field Office, leave one or more of the boxes blank. Showing the products or operations which were approved is not necessary if the current survey covers the same products and operations.

C. Laboratory Results.

If salmonella surveillance samples or alternate fats are sampled in conjunction with the survey, fill in the DMS number(s) and leave the rest of this section blank. The National Field Office will report the lab results.

D. Status Recommendation Worksheet.

Use this section to list the codes that cover the processes and equipment included in the survey. Obtain the sum of the deficiencies in each category for each code and list the total on the worksheet under the appropriate deficiency column. Status for each code shall be determined individually (see Exhibit Z1).

1. List All the Codes on the Status Recommendation Worksheet.

Similar codes can be listed on the same line. For example, the code for American cheese and skim milk cheese for manufacture might be listed on the same line, if the equipment is the same, because the deficiencies in the cheese room will affect both codes.

Plants with multiple systems, requiring multiple Pages (see Section II.B), will have the same code listed more than once. In these instances, the systems shall be clearly identified (see example Z4).

Do not list codes that were not included in the current survey (if performing a partial survey), unless the cursory survey reveals conditions that cause a change in status.

2. Determine the Number of Deficiencies for Each Code.

After you have decided which Pages are required, obtain a total for each category on those Pages. List this total in the appropriate column. Status for each code is determined independently. For example in a cheese plant, the deficiencies in the cheese room are included in the cheese codes, but not the whey codes or the whey cream code.

E. Reference Table.

To the right of the Status Recommendation Worksheet is a box showing the highest status that should be recommended based on the total deficiencies in each category (see Exhibit Z2). Note that some areas are blank. This is because status has been determined by deficiencies in other categories.

The reference box should serve as a general guide when assigning status. This table lists the highest status that can be assigned considering the number of deficiencies noted in each category. The numbers in the parenthesis should be used when assigning status to the raw milk and cream codes (except whey cream, which requires Page W). This table is used with <u>each</u> code the plant requests (except as noted in Item D.1 above).

F. Deciding on a Status Recommendation.

Show <u>your recommendation</u> for status based on your judgement of survey observations and the allowable number of deficiencies in the Reference Table. Directly after the applicable status in the Status of Plant - This Survey table, list the codes for the products or processes for which the plant is being approved (see Exhibit Z3). If a code is to be added or deleted from the plant record, provide a special notation in the remarks section. <u>Do not show a status for uninspected operations in a multi-product plant</u> (i.e., after a partial survey, only list the codes included in the current survey on page Z).

Remember, the objective of this system is to have the Inspector document the deficiencies that led to the status recommendation. If the numbers in the Reference Table indicate that a higher status should be assigned than conditions within the plant seem to warrant, contact the National Field Office.

When the PROBATIONARY 10-DAYS status is assigned, or the APPROVED 3-MONTHS status is assigned on consecutive surveys, provide a short explanation in the remarks section.

1. Status for the Raw Receiving Area and Sweet Cream Codes.

The number of deficiencies in the parenthesis (in the Reference Table on Page Z) is used to determine the maximum status for the M1 and M2 codes. Therefore, a FULL STATUS milk receiving plant must have 4 or less category D deficiencies. A completed Page A is required

at all plants that receive and process raw milk whether the plant requests status for raw milk or not. Page B, Page C, Page D, or Page W can be used to assign the cream code.

2. Status for Other Codes.

The processes, facilities, and equipment of plants producing the same products will sometimes differ greatly, therefore, the Inspector will need to use good judgment when making the status recommendation.

Follow the guidance presented in the Reference Table. Generally, these numbers will be used to decide the status to assign, but the plant's response to previous survey recommendations should also be taken into account. For example, if a plant has made few or no improvements, a status lower than indicated in the table can be assigned. In some instances it is appropriate to assign a lower status to a code because of deficiencies in other departments. If only the milk and cream codes in a multi-product plant qualify for the APPROVED 6-MONTHS or FULL Status, these codes should be assigned the same status as the other codes.

3. Special Considerations for Plants With Multiple Systems.

When surveying plants with multiple systems that require multiple Pages (see Section II.B) the first step is to list the total deficiencies for each system separately on the Status Recommendation Worksheet (see Exhibit Z4). Next, determine the status for each system as outlined above. Then, list the lowest status for that code on the appropriate line in the Status of Plant - This Survey Table (see Exhibit Z5).

Exhibits

Exhibit Z1

Status Recommendation Worksheet from Page Z. In this example, the worksheet has been filled out with codes and the total number of deficiencies for each code.

STATUS RECOMMENDATION WORKSHEET					
CODES THIS SURVEY	TOTAL FOR EACH CATEGORY				
	A	B	C	D	E
M1			*1*	*0*	*3*
M2				*4*	*1*
C3, C6, C45			*6*	*10*	*2*
M3		*1*	*0*	*2*	*1*
W15, W20			*6*	*15*	*0*
W16, W21			*7*	*12*	*2*
W3			*8*	*14*	*1*

Exhibit Z2

Reference Table from Page Z.

REFERENCE TABLE					
HIGHEST STATUS RECOMMENDATION	TOTAL DEFICIENCIES IN EACH CATEGORY				
	A	B	C	D	E
FULL STATUS				8(4)	
APPROVED 6-MONTHS	ALL OTHER PLANTS				
APPROVED 3-MONTHS		1			
			7(3)		
			3	15	
INELIGIBLE	1				
		2(1)			
			8(4)		
			5	20	
( ) INDICATES NUMBER OF DEFICIENCIES ALLOWED FOR CODES FOR RAW RECEIVING FACILITIES AND SWEET CREAM					

Exhibit Z3

Status of Plant from Page Z. In this example, the codes have been assigned status based on the deficiencies in Exhibit Z1.

STATUS OF PLANT - THIS SURVEY *(Indicate Codes)*	
FULL STATUS	
APPROVED 6-MONTHS	C3, C6, C45, M1, M2
APPROVED 3-MONTHS	M3, W15, W16, W20, W21
PROBATIONARY 10-DAYS	
INELIGIBLE	W3
NO STATUS ASSIGNED	

REMARKS:

DA-151-13 (08-97)

In this example the M1, M2, C3, C6, and C45 codes receive the APPROVED 6-MONTHS status because there are no category A or B deficiencies and less than the number of category C deficiencies that requires status to be lowered to APPROVED 3-MONTHS.

The M3 code receives the APPROVED 3-MONTHS status because of one category B deficiency.

The W15 and W20 codes receive the APPROVED 3-MONTHS status because of an excessive number of category C and D deficiencies (3 or more C's <u>and</u> 15 or more D's required the APPROVED 3-MONTHS status to be assigned).

The W16 and W21 codes receive the APPROVED 3-MONTHS status because of an excessive number of category C deficiencies (less than 7 are required to assign the APPROVED 6-MONTHS status).

The W3 code is made INELIGIBLE because of 8 category C deficiencies.

Exhibit Z4

Status Recommendation worksheet from Page Z. In this example, the worksheet has been filled out with the total number of deficiencies for two process cheese lines.

STATUS RECOMMENDATION WORKSHEET					
CODES THIS SURVEY	TOTAL FOR EACH CATEGORY				
	A	B	C	D	E
P 9 Loaf		*1*	*2*	*4*	
P 9 Slice			*3*	*2*	

Exhibit Z5

Status of Plant from Page Z. In this example, status has been assigned based on the deficiencies in Exhibit Z4.

STATUS OF PLANT - THIS SURVEY *(Indicate Codes)*	
FULL STATUS	
APPROVED 6-MONTHS	
APPROVED 3-MONTHS	*P9*
PROBATIONARY 10-DAYS	
INELIGIBLE	
NO STATUS ASSIGNED	

REMARKS:

DA-151-13 (08-97)

The P9 code is assigned the lower APPROVED 3-MONTHS status because of the one category B deficiency noted on the loaf line (see Exhibit Z4).

Appendix A

The following table is provided to assist with status assignments for all codes except M1 and M2.

STATUS ASSIGNMENT	CATEGORY				
	A	B	C	D	E
FULL				8 or Less	
APPROVED 6-MONTHS	All Other Plants				
APPROVED 3-MONTHS		1			
			7	Less than 20	
			3-6	15 or greater	
INELIGIBLE	1				
		2			
			8	Any number	
			5-7	20 or greater	

The following table may help with status assignments for the M1 and M2 codes.

STATUS ASSIGNMENT	CATEGORY				
	A	B	C	D	E
FULL				4 or Less	
APPROVED 6-MONTHS	All Other Plants				
APPROVED 3-MONTHS			3	Any Number	
INELIGIBLE	1				
		1*			
			4	Any number	

* Except as noted in Item A5— Condition of Producer Cans, which permits the assignment of the APPROVED 3-MONTHS STATUS with one category B deficiency .

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