

## **SUPPORTING STATEMENT JUSTIFICATION FOR INDUSTRY RESPONSES TO NONCOMPLIANCE RECORDS**

### **1. Circumstances Making Collection Of Information Necessary:**

This information collection requests an extension of the previously approved information collection for Industry Responses to Noncompliance Records

The Food Safety and Inspection Service (FSIS) has been delegated the authority to exercise the functions of the Secretary as provided in the Federal Meat Inspection Act (FMIA) (21 U.S.C. 601 et seq.), the Poultry Products Inspection Act (PPIA) (21 U.S.C. 451 et seq.), and the Egg Products Inspection Act (EPIA) (21 U.S.C. 1031, et seq.). These statutes mandate that FSIS protect the public by verifying that meat and poultry products are safe, wholesome, not adulterated, and properly labeled and packaged.

If FSIS in-plant personnel discover noncompliances with regulatory requirements they issue Noncompliance Records (NRs). Establishment management has the opportunity to respond in writing.

### **2. How, By Whom and Purpose Information Is To Be Used:**

The following is a discussion of the required information collection and recordkeeping activities.

#### *Responses to Noncompliance Records*

The Noncompliance Records, FSIS Form 5400-4, and FSIS Form 5400-4 FISH serve as FSIS' official record of noncompliance with one or more regulatory requirements. Inspection program personnel use the forms to document their findings and provide written notification of the establishment's failure to comply with regulatory requirement(s). The establishment management receives a copy of the form and has an

opportunity to respond in writing using the Noncompliance Record form. Response by the establishment's management is voluntary.

There are a total of 119,969 burden hours for the information collection requests relating to establishment responses to receiving a Noncompliance Record.

### **3. Use Of Improved Information Technology:**

Establishments that wish to submit responses electronically have the option to enroll in the Public Health Information System (PHIS) to submit their responses.

### **4. Efforts To Identify Duplication:**

FSIS has determined that these information collections will not duplicate any other information collections. The required records and reports are not available from other sources, either within government or from non-government sources. There is no similar information that can be used or modified.

### **5. Methods To Minimize Burden On Small Business Entities:**

Data collected from small businesses are the same as for large ones. The number of small businesses in this collection is 2,000.

### **6. Consequences If Information Were Collected Less Frequently:**

To conduct the information collections less frequently would reduce the effectiveness of the meat, poultry, and egg products inspection program.

## **7. Circumstances That Would Cause The Information Collection To Be Conducted In A Manner:**

- requiring respondents to report information to the agency more often than quarterly;
- requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
- requiring respondents to submit more than an original and two copies of any document;
- requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years;
- in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;
- requiring the use of a statistical data classification that has not been reviewed and approved by OMB;
- that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or
- requiring respondents to submit proprietary trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

There are no special circumstances that require the collection of information to be inconsistent with 5 CFR 1320.6.

## **8. Consultation With Persons Outside The Agency:**

FSIS published a 60 day notice in the Federal Register (81 FR 44581; July 8, 2016). The Agency received no responses.

## **9. Payment Or Gifts To Respondents:**

Respondents do not receive gifts or payments.

**10. Confidentiality Provided To Respondents:**

No assurances other than routine protection provided under the Freedom of Information Act have been provided to respondents.

**11. Questions Of A Sensitive Nature:**

The applicants are not asked to furnish any information of a sensitive nature.

**12. Estimate Of Burden:**

The total estimated burden for this information collection is 119,969 burden hours.

Responses to Noncompliance Reports

FSIS estimates that 7,057 establishments will 17 times a year take an average of 60 minutes to respond to Noncompliance Records on the 5400-4 and 5400-4 FISH for a total of 119,969 responses and 119,969 hours.

**RESPONSES TO NONCOMPLIANCE RECORDS  
(FSIS Forms 5400-4)**

Type of Establish- Ment	No. of Respon- dents	No. of Responses per Respondent	Total Annual Responses	Time for Response in Mins.	Total Annual Time in Hours
Ests./I- houses	7,057	17	119,969	60	119,969

The cost to the respondents is estimated at \$4,558,822 annually. The Agency estimates that it will cost respondents \$38 an hour in fulfilling these paperwork requirements. Respondents will spend an annual total of 119,969 hours and \$4,558,822. The hourly rate for the respondents was attained from the Department of Labor Bureau of Labor and Statistics wage data 2015-2016.

**13. Capital, Start-up Cost, And Subsequent Maintenance**

There are no capital or start-up costs related to this information collection activity.

**14. Annual Cost To The Federal Government:**

The cost to the Federal Government for this information collection is \$760,000 annually. The Agency estimates a cost of \$38 per hour for the time of its personnel.

**15. Reasons For Changes In Burden:**

There is a decrease in burden due to a decrease in the average annual number of Noncompliance Records written.

**16. Tabulation, Analyses And Publication Plans:**

There are no plans to publish the data for statistical use.

**17. OMB Approval Number Display:**

The form will display the OMB Control Number and date.

**18. Exceptions To The Certification:**

There are no exceptions to the certification. This information collection accords with the certification in item 19 of the OMB 83-I.