

SUPPORTING STATEMENT FOR
FOOD CANNING ESTABLISHMENT REGISTRATION, PROCESS FILING AND
RECORDKEEPING FOR ACIDIFIED FOODS AND THERMALLY PROCESSED FOODS
IN HERMETICALLY SEALED CONTAINERS

*(Formerly Food Canning Establishment Registration, Process Filing
and Recordkeeping for Low Acid and Acidified Canned Foods)*

OMB Control No. 0910-0037

A. Justification

1. Necessity for the Information Collection

The Food and Drug Administration (FDA) has the responsibility under the Federal Food, Drug and Cosmetic Act (the act) to prevent the interstate distribution of food products that may be injurious to health or that are otherwise adulterated, as defined in sections 402 of the act (21 U.S.C. 342) (Attachment A). Under the authority granted to FDA by section 404 of the act (21 U.S.C. 344), FDA regulations require registration of food processing establishments, filing of process information and other data, and maintenance of processing and production records for acidified foods and thermally processed low-acid canned foods in hermetically sealed containers (21 CFR 108.25(c) and 108.35(c))(Attachment B). These requirements are intended to ensure safe manufacturing, processing and packing procedures and to permit FDA to verify that these procedures are being followed. Improperly processed low-acid foods present life-threatening hazards if contaminated with foodborne microorganisms, especially *Clostridium botulinum*. The spores of *Clostridium botulinum* must be destroyed or inhibited to avoid production of the deadly toxin which causes botulism. This is accomplished with good manufacturing procedures, which must include the use of adequate heat processes and/or other means of preservation.

To protect the public health, FDA regulations require each firm that manufactures, processes or packs acidified foods or thermally processed low-acid foods in hermetically sealed containers for introduction into interstate commerce register the establishment with the Food and Drug Administration using Form FDA 2541 (21 CFR §§ 108.25(c)(1) and 108.35(c)(2)). In addition to registering the plant, each firm is required to provide data on the processes used to produce these foods, using Form FDA 2541a for all methods except aseptic processing, or Form FDA 2541c for aseptic processing of low-acid foods in hermetically sealed containers (21 CFR §§ 108.25(c)(2), 108.35(c)(2)). Plant registration and process filing may be accomplished simultaneously. Process data must be filed prior to packing any new product, and operating processes and procedures must be posted near the processing equipment or made available to the operator (§113.87(a))(Attachment B).

Regulations in Parts 108, 113, and 114 (21 CFR Parts 108, 113, 114) require firms to maintain records showing adherence to the substantive requirements of the regulations (Attachment B). These records must be made available to FDA on request. Firms are

also required to document corrective actions when process controls and procedures do not fall within specified limits (§§ 113.89, 114.89, 114.100(c)); to report any instance of potential health-endangering spoilage, process deviation, or contamination with microorganisms where any lot of the food has entered distribution in commerce (§§ 108.25(d), 108.35(d)-(e)); and to develop and keep on file plans for recalling products that may endanger the public health (§§ 108.25(e), 108.35(f)). To permit lots to be traced after distribution, acidified foods and thermally processed low-acid foods in hermetically sealed containers must be marked with an identifying code (§§ 113.60(c) (thermally processed foods), 114.80(b) (acidified foods)).

We are requesting OMB's approval of the following specific citations:

21 CFR 108.25(c)(1) - Reporting (Establishment Registration)

Commercial processors file information on each establishment engaged in processing acidified foods not later than 10 days from start-up.

21 CFR 108.25(c)(2) - Reporting (Process Filing)

Provide information on the scheduled processes before packing any new acidified food product not later than 60 days after registration.

21 CFR 108.25(d) - Reporting

Requires packers to report any instance of potential health endangering significance wherein the food has entered distribution in interstate commerce.

21 CFR 108.25 (e) - Recordkeeping

Requires processors of acidified foods to develop and keep on file plans for recalling products that may endanger the public health.

21 CFR 108.25(g) - Recordkeeping

Requires packers to prepare, review, and retain all production records for 3 years from date of manufacture.

21 CFR 108.35(c)(1) - Reporting (Establishment registration)

Commercial processors file information on each establishment engaged in processing low-acid foods not later than 10 days from start-up.

21 CFR 108.35(c)(2) - Reporting (Process Filing)

Provide information on the scheduled processes for low-acid foods prior to packing any

new product.

21 CFR 108.35(c)(2)(ii) - Reporting (Process Filing)

Intentionally modified process shall be substantiated as to its adequacy and recorded in writing in the packer's files prior to its use and to report process changes to FDA within 30 days after first use.

21 CFR 108.35(c)(2)(ii) - Recordkeeping

Requires packer to record and file full information on any change of a previously filed scheduled process.

21 CFR 108.35(d) - Reporting

Requires packers to report any instance of potential health endangering significance wherein the food has entered distribution.

21 CFR 108.35(e) - Reporting

Requires packer to report any instance wherein such food, which may be injurious to health because of microbial contamination, has entered distribution.

21 CFR 108.35(f) - Recordkeeping

Requires processors of thermally processed low-acid foods sealed in hermetically sealed containers develop and keep on file plans for recalling products that may endanger the public health.

21 CFR 108.35(h) - Recordkeeping

Requires packer to prepare, review, and retain all records of processing, processing deviations, container closure inspections, and other records for a period of 3 years.

21 CFR 113.60(c)- Disclosure (Language approval only)

Requires thermally processed low-acid foods in hermetically sealed containers be marked with an identifying code to permit lots to be traced after distribution.

21 CFR 113.83 - Recordkeeping

Requires preparation and permanent retention of complete records covering process establishment by the person or organization establishing the process.

21 CFR 113.87(a) - Recordkeeping/Disclosure

Requires that process data must be filed prior to packing any new product, and operating processes and procedures must be posted near the processing equipment or made available to the operator.

21 CFR 113.89 - Recordkeeping

Requires a record of evaluation procedures used for process deviation evaluations for thermally processed low-acid foods; a separate file or log identifying process deviations, and the actions taken.

21 CFR 113.100 - Recordkeeping

Specifies processing and production information to be observed and recorded by retort or processing operator.

21 CFR 114.80(b) - Disclosure (Language approval only)

Requires acidified foods be marked with an identifying code to permit lots to be traced after distribution.

21 CFR 114.89 - Recordkeeping

Retention of records of procedures and results of evaluating acidified finished food products for potential hazard to public health.

21 CFR 114.100(a) through (d) - Recordkeeping

Specifies three year retention of records and reports dealing with production processes and controls.

We are also requesting OMB approval of the following forms:

1. Form FDA 2541, Food Canning Establishment Registration (21 CFR 108.25(c)(1) and 108.35(c)(1)). (Attachment C)

Form FDA 2541a, Food Canning Establishment Process Filing Form For All Methods Except Aseptic (21 CFR 108.25(c)(2) and 108.35(c)(2)). (Attachment D)

Form FDA 2541c, Food Process Filing For Low-Acid Aseptic Systems (21 CFR 108.35(c)(2)). (Attachment E)

2. Uses of the Information

The information recorded and submitted by food processors is periodically reviewed during factory inspections by FDA field investigators, and reported to the Center for Food Safety and Applied Nutrition, Food and Drug Administration. Reports are technically evaluated to assure that the processing and packing of these foods meet the requirements established by processing experts as adequate to provide for protection of the public health and to provide commercial sterility. In the event of a public health emergency, records are used to pinpoint potentially hazardous foods rapidly and thus limit recall activity to affected lots.

3. Use of Improved Information Technology

FDA management of acidified foods and thermally processed low-acid foods establishment, registration and process filing is achieved through receipt of completed forms and keyed into a computerized data entry and retrieval system.

The information recorded on processing records, by industry, is the primary means whereby the safety and freedom from adulteration of acidified foods and thermally processed low-acid foods in hermetically sealed containers may be assured. The recorded information is specific to each individual food processing establishment and can only be generated by that food processing establishment. It is not of a general nature and is not available in libraries and academia. Any use of improved technology appropriate to satisfy the requirements is acceptable to FDA

4. Efforts to Avoid Duplication and Unavailability of Similar Information

The data submitted are specific to the individual food processing establishments. No other regulation or information collection duplicates this effort.

The need for recording procedures was realized and initiated by the industry. Prior to recordkeeping becoming mandatory, the procedures were reviewed to avoid duplication. Most would be unique to each manufacturer.

The information collected is available only from the individual food processing establishments and remains current unless canceled or replaced by the firms.

5. Methods to Minimize Burden on Small Businesses

The information collected is of a regulatory nature and the requirements are the same for small or large food processing establishments. However, FDA does help small businesses in dealing with regulatory requirements through the Office of Small Manufacturers Assistance.

6. Consequences if Data Were Collected Less Frequently

Commercial processors engaging in the manufacture, processing, or packing of acidified

foods or thermally processed low-acid foods in hermetically sealed containers are required to register with FDA on Form FDA 2541 within 10 days of so engaging, and to file scheduled processes on Forms FDA 2541a, or 2541c within 60 days of registration and prior to the packing of a new product. This timing for reporting assures against improperly or inadequately processed or packed acidified foods or thermally processed low-acid foods in hermetically sealed containers getting into interstate commerce and becoming a public health threat to the nation.

7. Special Circumstances

None of the requirements are inconsistent with the guidelines in 5 CFR 1320.5.

8. Outside Consultation

On May 9, 1996, FDA published a 60-day notice in the Federal Register soliciting public comment as required under the PRA of 1995 (Attachment F). FDA did not receive any comments regarding the information collection requirements contained in this submission.

Because of the high risks of hazard from improperly processed foods, consultation with individuals outside the Food and Drug Administration is a continuous process. Compliance with the acidified foods and thermally processed low-acid foods in hermetically sealed containers regulations necessitate frequent exchange of information and data collection among the food processing industry, trade associations and the federal government. This is accomplished through telephone contacts and written correspondence, seminars and workshops, meetings and on-site consultations. On an annual basis, FDA meets with a trade association and a professional association and obtains feedback on the information and data collection methods and instructions.

The following consultations are representative of ongoing contacts with persons outside the agency:

August 30, 1996

Processing Filing Seminar National Food Authority, Food Development Center Manila, Philippines

Purpose: Discuss process filing requirements

Participants: Industry/Government

FDA: Stephen H. Spinak, CFSAN

December 6, 1998 - FDA, CFSAN, Washington, DC

Purpose: Discuss process filing requirements

Participant: Luco Morini
Procomac North America
210 E. 63rd. Street
New York, NY 10021
Phone: (727) 896-5063

FDA: Dennis M. Dignan, CFSAN
Stephen H. Spinak, CFSAN

FDA personnel consulted with industry representatives on-site in the Peoples Republic of China (1990), Philippines (1991), and Thailand (1992). Likewise, delegations from the following foreign nations have consulted at FDA: Hungary, Thailand, Costa Rica (1991); China (1991); Italy (1991); Japan (1991); Australia (1991), France (1994), South Africa (1995), Guatemala (1995), Honduras (1995) and El Salvador (1995).

9. Gifts

There are no payments or gifts to respondents.

10. Confidentiality

All production records and inspection reports collected by FDA are maintained in FDA District Compliance files which have limited access. The food processing information contained on Forms FDA 2541a and FDA 2541c is privileged and confidential. The process filing information is safeguarded in locked files at the Center for Food Safety and Applied Nutrition, FDA, and are accessible only to properly authorized FDA and contractor personnel. These materials are kept confidential in accordance with 21 U.S.C. 331(j).

11. Sensitive Questions

There are no questions of a sensitive nature.

12. Respondent Hour Burden

The annual burden for this information collection is 1,466,250 hours.

A. Reporting

There are approximately 1,000 respondents, new registrants and previously registered "in-business" firms, which are expected to submit a total of 7,300 responses (300 new plant registrations and 7,000 process filing forms) on an annual basis.

Form FDA 2541: 300 responses x .17 hrs. (10 mins.) = 51 hours;
 Form FDA 2541a: 6,500 responses x .333 hrs. (20 mins.) = 2,165 hours;
 Form FDA 2541c: 500 responses x .75 hrs. (45 mins.) = 375 hours.
 Thus, the total projected burden is 2,590 hours annually.

The reporting burden for 21 CFR 108.25 (d) and 108.35 (d) and (e) is insignificant because notification of spoilage, process deviation or contamination of product in distribution occurs less than once a year. Most firms discover these problems before the product is distributed and are, therefore, not required to report the occurrence.

No burden has been estimated for the disclosure requirements in sections 113.60(c) and 114.80(b) (21 CFR 113.60(c) and 114.80(b)) because the coding process is done as a usual and customary part of normal business activities. Coding is a business practice in foods for liability purposes, inventory control, and process control in the event of a problem. Under 5 CFR 1320.3(b)(2)), the time, effort, and financial resources necessary to comply with a collection of information are excluded from the burden estimate if the reporting, recordkeeping, or disclosure activities needed to comply are usual and customary because they would occur in the normal course of activities.

B. Recordkeeping

There are 5,865 food processing establishments both foreign and domestic registered as processors of acidified foods or thermally processed low-acid foods in hermetically sealed containers. Four FDA staff persons who are experienced in actual food processing plant operations and familiar with the regulations reviewed the recordkeeping procedures used by the industry.

Standardized time frame requirements for conducting the recordkeeping procedures do not exist but it is estimated to take 250 hours per establishment to comply with the recordkeeping requirements in 21 CFR 108, 113, and 114. This compares satisfactorily when based upon firsthand food processing plant experience, individual estimates of the time frames and the frequency of recordkeeping. This results in a recordkeeping burden of 1,466,250 hours (5,865 respondents x 250 hours). To avoid double-counting, estimates for 21 CFR 108.25(g) and 108.35(h) have not been included because they merely cross reference recordkeeping requirements contained in parts 113 and 114.

The burden estimates of complying with information collection requirements for OMB No. 0910-0037 is shown below:

Estimated Annual Reporting Burden						
Form No.	CFR Section	No. of Respondents	Annual Frequency per Response	Total Annual Responses	Hours per Response	Total Hours

Estimated Annual Reporting Burden						
Form FDA 2541 (Registration)	108.25(c)(1) & 108.35 (c)(1)	300	1	300	.17	51
Form FDA 2541a (Process Filing)	108.25(c)(2) & 108.35(c)(2)	1,000	6.5	6,500	.333	2,165
Form FDA 2541c (Process Filing)	108.35(c)(2)	1,000	.50	500	.75	375
Total				7,300		2,591

Estimated Annual Recordkeeping Burden					
CFR Section	No. of Record-keepers	Annual Frequency of Recordkeeping	Total Annual Records	Hours per Recordkeeper	Total Hours
21 CFR Parts 113, 114	5,865	1	5,865	250	1,466,250

The estimated annualized cost to respondents for the hour burden for this collection of information is 1,466,250 total annual burden hours x \$23.57/hour = \$34,559,512

13. Estimated Costs Burden to Respondents

There are no capital or operation and maintenance cost associated with this collection.

14. Annualized Costs to Government

The annualized costs to the Federal government is \$397,510. Approximately 1.5 person years (PY) are expended by food technologists for technical review of the process filing forms (FDA 2541a and 2541c). 1.0 PY are expended for administration, coordination and computer programming, and a contract was awarded to provide computer data entry and administrative support (filing, mail handling) to the project. The cost of the contract is \$139,000 per year. The estimated annual cost of printing forms and instructions is \$5,000.00.

The annual burden for on-site review of the manufacturers records is approximately 2 hours at \$47.86 an hour or \$95.72 for on-site records inspection. A total of 360 inspections were performed per year for a total cost of \$34,460. The burden for the review of records which have been copied and forwarded to CFSAN because of potential problems is approximately 6 hours at \$47.86 an hour or \$287.16. Records for 35 inspections reviewed by CFSAN cost \$10,050. The total cost for FDA

inspection and review is \$44,510.

One person year (PY) for a fully supported FDA employee equals 2080 hours at a cost of \$86,000. The estimated costs incurred by the Government are listed below:

o Contract (annual expense)	\$139,000
o Food Technologists - 1.0 PY	\$110,000
o Technicians - 1.0 PY	\$ 90,000
o Printing	\$ 5,000
o On-site Inspections	\$ 44,510
o Records Inspections	<u>\$ 9,000</u>
	Total \$397,510

15. Changes in Burden

While the number of respondents who report on an annual basis has declined, the number of process filing forms (Forms FDA 2541a and 2541c) submitted by registered food processing establishments has grown. The proposed revisions to Form FDA 2541a is not estimated to impose any additional burden upon the food processing establishments to comply with FDA's process filing requirements. Form FDA 2541 and Form 2541c are not being revised.

16. Statistical Analysis, Publication Plans, and Schedule

The information obtained from this data collection will not be published.

17. Approval Not to Display Expiration Dates

No approval requested.

18. Exception to Certification Statement

No exceptions requested.

B. Collections of Information Employing Statistical Methods

This collection of information does not employ statistical methods.