

Instructions for completing State AER Form (MPID 20)

Block 1: Report number – AER # - NC - Year of issuance (e.g. 03-NC-2019)

Block 2: Est. #: Establishment number; applies only to inspected establishments

Block 3: Est. ID.: Not applicable for inspected or custom establishments; applies only to warehouses

Block 4: Non-compliance: Check applicable boxes which pertain to the enforcement action or specify under “other” and complete adjacent text box with description

Block 5 (a-c): Name, address, city/state/zip of business; if the report applies to a custom or custom/retail establishment, check adjacent block for “non-state inspected facility.”

Block 6: Type of Non-State Inspected Business: Only completed if “non-state inspected facility” block in #5 is marked. Specify as needed for “other.” “Custom” or “custom/retail” are examples that should be identified in this text box for “other.”

Block 7: Establishment size: Refer to PHIS profile for inspected; Based on production volume for custom

Block 8: HACCP Processing Categories: If non-compliance type shown in Block 2 is HACCP, check all that apply to NOIE/Suspension letter issued. This block applies only to inspected establishments.

Block 9: Product type (meat, poultry, or both): Indicate product type; applies to both inspected and custom establishments.

Block 10: Laboratory findings: Indicate positive sample results related to enforcement action or recall.

Block 11: Report Type and Date of Actions: Enter dates of issuance for each of the following:

- a) Notice of Intended Enforcement (NOIE)
- b) Deferral
- c) Suspension
- d) Abeyance
- e) Reinstatement: Date plant is provided written notice of reinstatement
- f) Withholding of Labels
- g) Custom (1): date LOW #1 (or Letter of Concern) is issued
- h) Custom (2): date of LOW #2 was issued
- i) Custom (3): date of LOW #3 was issued
- j) Detention: Date affected product was tagged. This action is taken when firm’s recall strategy is not adequate to remove recalled product from commerce.
- k) Termination: Date affected product was destroyed
- l) Recall (1): Date product was recalled by firm
- m) Recall (2): Date that compliance completed final recall effectiveness check

- n) Recall (MPID Recall Number): Include recall number and year (e.g. 01-2021)
- o) Prohibited activity: Date written notification provided to establishment for failure to properly recall products or notify consignees
- p) Appeal (1): Date of plant appeal to State Director, if applicable
- q) Appeal (2): Date of plant appeal to Office of Administrative Hearing, if applicable
- r) Appeal (3): Date of decision made by Office of Administrative Hearing, if applicable
- s) Illness outbreak (1): Date investigation was closed with no enforcement action
- t) Illness outbreak (2): Date enforcement action was initiated (If evidence that illness is linked to product produced by establishment)
- u) Non-Routine Incident: Date incident was reported to State Director

Block 12: Comprehensive Assessment of the Execution and Design of an Establishment's Food Safety Systems: Entrance and exit meeting dates for Food Safety Assessment (FSA)

Block 13: Other Special Review: Date Ranges of other special reviews, if applicable

Block 14: Referred to Compliance Team: Date referred to Compliance Team for complaint, seizure, terminate custom privileges, criminal investigation, other; for "Other", describe in adjacent text box.

Block 15: List Past/Related Reports: Describe previous related enforcement actions with dates

Block 16: Complete with case closed: Indicate date of Letter of Ineligibility (Custom plants), LOW (inspected) or Other as needed. For "Other", describe in adjacent text box.

Block 17: EIAO signature (when applicable)

Block 18: Case Specialist Signature (when file is closed)

Block 19: Date of AER file Closure

Page 2 (and beyond)

- Headers transfer to continuation pages
- Number each exhibit in left column
- Right column will contain brief description of applicable documentation related to the enforcement action including, but not limited to the following:
 - MOIs, Related email correspondence
 - NOIEs, Deferral letters (Notice of Deferral - NOD)
 - NOS, Abeyance letters (Notice of Suspension held in Abeyance - NOSHIA)
 - NORS (Notice of Reinstatement of Suspension)
 - Letters of Concern (LOC), Letters of Warning (LOW)
 - Non-compliances
 - Verification plan (VP) templates, Verification plans
 - Humane handling verification visits (for humane handling)
 - Custom, custom/retail review reports