

UNITED STATES DEPARTMENT OF AGRICULTURE
FOOD SAFETY AND INSPECTION SERVICE
WASHINGTON, DC

<h1>FSIS NOTICE</h1>	79-05	12/5/05
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PERFORMANCE BASED INSPECTION SYSTEM (PBIS) VERSION 5.1.3

I. PURPOSE

This notice announces that in December 2005, inspection program personnel will begin using PBIS 5.1.3, which is an updated and enhanced version of the PBIS 5.1 system and provides for the inclusion of more information and improved security features. The significant changes to the system are:

A. A modified means of preparing Noncompliance Records (NRs) which involves use of an expanded list of relevant regulations in creating the NR.

B. The inclusion of **Profile Extensions** that the Agency will use to gather information about establishment activities that are not already found in the **Plant Profile**. This would include the gathering of information about exported product and the establishment's Food Defense Plan.

II. RELEVANT REGULATIONS

PBIS 5.1.3 has been updated to facilitate the Agency's ability to do a search of NRs. In previous PBIS versions when documenting NRs, inspection program personnel selected applicable Sanitation Performance Standards (SPS), Sanitation SOP, and HACCP regulations from a pick list and if necessary, manually entered additional regulations specific to a product. The "Relevant Regs" pick list on the NR screen now includes a comprehensive list of the regulations relevant to the particular procedure code. A short description appears next to each regulation to assist inspection program personnel in selecting applicable regulations. In addition, a new regulation look-up feature is available to allow inspection program personnel to view particular sections of 9 CFR in PBIS.

DISTRIBUTION: Inspection Offices; T/A Inspectors; Plant Mgt; T/A Plant Mgt; TRA; ABB; TSC; import offices	NOTICE EXPIRES: 12/1/06	OPI: OPED
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For each procedure code, the relevant regulations are viewable and are grouped under appropriate headings. For example, when documenting a noncompliance under 01B01/02 and 01C01/02, the regulations applicable to the Sanitation SOPs are grouped under the following headings: “Development of SSOPs,” “Implementation of SSOPs,” “Maintenance of SSOPs,” “Corrective Actions,” “Record Requirement,” and “Agency Verification.”

The regulations listed for a particular procedure code will include not only the relevant Sanitation SOP, SPS, and HACCP regulations, but also other regulations that relate to food safety. For example, when documenting a noncompliance for an *E. coli* O157:H7 confirmed positive in ground beef, inspection program personnel could cite the noncompliance under the 03B01 procedure code and select the HACCP regulation 417.4(a) (Adequacy of HACCP in Controlling Food Safety Hazards) as well as the food safety regulation 301.2, Definitions (Adulterated, *E. coli* O157:H7), as the relevant regulations.

When documenting noncompliances in the NR, inspection program personnel will select all regulations that have been violated by the establishment. Inspection program personnel are no longer to manually enter the regulations in the “Relevant Regs” field.

To select relevant regulations:

1. Select the magnifying glass next to the “Relevant Regs” field to display a dialogue box. The dialogue box contains a list of regulations relevant to the procedure code.
2. Click the plus sign (+) next to the appropriate category or categories to expand the list of regulations, then select all relevant regulations by clicking the adjacent box. Clicking the negative (-) sign will collapse the list.
3. Click the "OK" button to close the dialogue box. All regulations selected will automatically appear in the “Relevant Regs” field and be transferred to block 6 of the NR.

Detailed instructions on completing fields on the NR screen and on the new regulation look-up feature can be found in section 2-7 of the PBIS user guide, *Documenting Noncompliances*. The establishment’s actions that violated the selected regulations are to be stated in the narrative section of the NR. The narrative should address each of the regulations violated.

III. PROFILE EXTENSIONS

PBIS 5.1.3 provides for “Profile Extensions,” which are for the collection of establishment-specific information that is reported by using a web interface with PBIS. Extended profile information parallels the information in the regular PBIS Establishment Profile, in that when the Profile is reviewed, Profile Extensions should also be reviewed (this review should occur at least every 120 days as indicated in FSIS Notice 04-05). Profile Extensions may also be used to gather information for one-time use such as a

survey. Survey information will appear under Profile Extensions for a limited time and are not subject to routine review.

Extended profile information is reported on the Comprehensive Profile and on the "ad-hoc" report section of PBISReader. Profile Extension information may not be the same for all establishments. For example, slaughter questions in the extended profile will not be visible for a processing-only establishment, and questions pertaining specifically to meat products will not be visible for poultry-only establishments.

Inspection program personnel will be notified that they are to complete a Profile Extension via a PBIS "alert screen" (i.e., a message that provides inspection program personnel with important information or requests (See FSIS Notice 04-05)). To access Establishment Profile Extensions, inspection program personnel are to select File/Update/Establishment Profile Extensions from the PBIS pull-down menu. After the inspector's computer establishes a PBIS/FSIS intranet connection, a web-based Establishment Profile Extension window will appear.

IV. OTHER NEW FEATURES OF PBIS 5.1.3

A very important change has occurred with login credentials. The database password is **no longer required**, and users are now allowed to access PBIS through their domain login credentials.

The new PBIS 5.1.3 also provides for additional information fields under "Establishment Profile" as follows:

1. a new check box under the **Processing** tab for the purpose of indicating whether an establishment produces products subject to MT03 sampling (See FSIS Notice 80-05);
2. check boxes in the **Slaughter Inspection Systems** section of the Establishment tab for the *MAESTRO*, *Nu-Tech*, and "Religious Slaughter" systems; and
3. check boxes under the **Egg/Import** tab for purposes of indicating egg and import activities performed at an establishment.

The new PBIS 5.1.3 also provides improvements such as:

1. the addition of an export feature that allows non-narrative reports to be exported into Microsoft Excel;
2. the ability to print "Profile Extension" information with the "Comprehensive Profile" report;
3. an added screen to view incomplete "establishment surveys" on the "Profile Extension;"

4. the archiving of data older than one year on a server at Headquarters; and
5. the ability to unlock and edit NRs.

NOTE: Once an NR is marked **Final** on the **Manage NR** screen, and the noncompliance report is printed on paper, the NR is locked. To unlock and edit an NR, inspection program personnel are to enter a justification statement after selecting the “Unlock NR” button on the **Manage NR** screen.

Some corrections to earlier versions of PBIS 5.1 were also made, such as the situation where the “T” trend indicator automatically required that an NR be completed whenever it was recorded. A “T” trend indicator is not an automatic noncompliance, and this is reflected in PBIS 5.1.3.

Inspection program personnel with technical PBIS questions, or who experience technical problems, should contact the FAIM Help Desk at 1-800-473-9135. Other policy related questions should be referred to the Technical Service Center at 1-800-233-3935.



Assistant Administrator
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