

OPI: PEPS/RDU

PERFORMANCE-BASED INSPECTION SYSTEM: OVERVIEW OF POLICIES  
AND IMPLEMENTING PROCEDURES

I. PURPOSE

This directive provides an overview of the policies and implementing procedures for FSIS's performance-based inspection system, the elements of which are described in detail in other FSIS Directives.

II. (RESERVED)

III. (RESERVED)

IV. REFERENCES

Federal Meat Inspection Act  
Poultry Products Inspection Act  
MPI Regulations, 9 CFR Chapter III  
FSIS Directive 5220.2, 4/16/90  
FSIS Directive 5400.1, Rev. 1, Amend. 1, 12/7/90  
FSIS Directive 8800.1, 11/1/89  
FSIS Directive 8810.1, 9/21/88  
FSIS Directive 8820.1, Rev. 1, 3/1/91  
FSIS Directive 8830.1, 3/1/91

V. ABBREVIATIONS AND FORMS

For the purposes of this directive, the following abbreviations and forms will be used:

ADP	Automatic Data Processing
CORE	Common On-line Reference for Establishments
CS	Circuit Supervisor
DA,IO	Deputy Administrator, Inspection Operations
ERAIE	Establishment Requiring Additional Inspection Effort
FSIS	Food Safety and Inspection Service
IIC	Inspector in Charge
IRE	Intensified Regulatory Enforcement
ISG	Inspection System Guide
PBIS	Performance-Based Inspection System
PDR	Process Deficiency Record
TPS	Team Problem Solving
FSIS Form 8800-2,	Inspector Assignment Schedule
FSIS Form 8800-2A,	Inspector Assignment Schedule Summary
FSIS Form 8800-2B,	Inspector Assignment Schedule Summary

FSIS Form 8800-2C, Inspector Assignment Schedule Summary  
FSIS Form 8810-1, Plant Profile  
FSIS Form 8820-2, Process Deficiency Record

## VI. DEFINITIONS

A. PBIS. The FSIS management system which integrates weekly schedules of inspection tasks; documents inspection findings including deviations, deficiencies and corrective actions, and provides a database for the ADP support system.

B. Plant Profile. An individual establishment's physical characteristics, hours of operation, products produced, quality control programs and other information needed to update CORE and PBIS. (See FSIS Directive 8810.1)

C. Common On-line Reference for Establishments. The system used by FSIS to assign establishment numbers to the establishments which have been granted Federal inspection services. (See FSIS Directive 5220.2.)

D. Inspection System Guide. A summary of FSIS requirements and compliance standards to be applied in performing inspection tasks under PBIS. (See FSIS Directive 5400.1.)

E. Corrective Action System. Systematic procedures ensuring correction of deviations and deficiencies documented in PBIS. (See FSIS Directive 8820.1.)

F. Official Control Action. Application of U.S. Retained or U.S. Rejected tags and related enforcement measures to control product movement or activities, according to applicable regulations and directives.

G. Corrective Action. A step or action taken to correct a deviation or a deficiency. (See FSIS Directive 8820.1.)

H. Preventive Measure. A step, or series of steps, taken to keep a pattern of deviations or deficiencies from recurring. (See FSIS Directives 8820.1 and 8830.1.)

I. Process Deficiency Record. A description of the inspector's findings of deficiencies and deviations and the establishment's corrective actions are recorded on FSIS Form 8820-2. The PDR is completed the day that a deficiency or deviation is found. It is maintained at the plant level by the Federal inspector and is the subject of a weekly conference with plant management.

J. Progressive Enforcement Action. Administrative enforcement action taken when preventive measures fail to eliminate the recurrence of a pattern of deficiencies. (See FSIS Directive 8830.1.)

## VII. OVERVIEW OF PBIS.

A. PBIS Activities, Purposes, Directives and Forms. The PBIS daily inspection process requires the inspector to inspect various facets of each establishment's operations in accordance with FSIS Form 8800-2 and to identify deviations and to classify deficiencies when FSIS requirements have not been met, taking official control action whenever appropriate. Establishment management is then expected to take corrective actions and adopt the preventive measures needed to avoid recurrence of deviations and deficiencies.

Attachment 1 summarizes the primary activities that comprise the PBIS inspection process and the purpose of each activity, and lists the governing FSIS directive and associated FSIS form, if any. For a full description of the activity and its implementing procedures, please refer to directives referenced.

If a pattern develops in which the establishment management's preventive measures fail, a decision may be made to modify the routine PBIS activities and put the establishment in a special status, increasing inspection oversight until it meets FSIS requirements. FSIS Directives 8820.1 and 8830.1 describe the corrective action system and progressive enforcement actions.

B. PBIS Activities. In Attachment 2, the PBIS inspection process is charted from beginning of operation to consultation with establishment management at the inspector's weekly conference.

C. PBIS and Progressive Enforcement. Establishment management is expected to take the actions needed to correct deviations and deficiencies during the normal course of business.

Similarly, if a pattern of recurring deviations or deficiencies develops, the establishment will be expected to implement preventive measures to eliminate their recurrence.

If the preventive measures fail to eliminate the pattern, FSIS may conclude that it is necessary to intensify inspection oversight. The various steps of the corrective action system and the stages of progressive enforcement action are described in detail in FSIS Directives 8820.1 and 8830.1.

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### Attachments

- 1 Table 1: PBIS Activities, Purposes, Directives & Forms  
(Reference hard copy of this directive)
- 2 Figure 1: PBIS Inspection Process (Reference hard copy of this

directive)