

## PHIS INSPECTION VERIFICATION (PART 1)

### Objectives

After completing this section of the training, participants will be able to:

1. Navigate the Inspection Results page in PHIS
2. Record the result of an inspection task in PHIS
3. Document the regulations verified during the performance of a inspection task
4. Create an Inspection Note in PHIS

### Documenting Inspection Task Results in PHIS

FSIS intends to use the results of inspection tasks and information about establishment operations to guide policy development and target Agency resources to those activities that will best protect public health. To assist with these types of decisions, the **Public Health Information System** (PHIS) is designed to capture information about inspection tasks such as:

1. Which regulatory requirements IPP verified, and whether they observed compliance or noncompliance;

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**Note:** PHIS will prompt IPP to select the specific regulatory requirements that they verified while performing the inspection task from a list. The list contains mandatory regulatory requirements that must be verified during the performance of the inspection task. The list also includes non-mandatory regulatory requirements that may be verified. In this context, “mandatory” **does not** mean that an establishment has to meet only that regulation and not the others in the list. Establishments must still meet **all** applicable regulations. “Mandatory” means that IPP must verify that regulation before they can mark the inspection task as “completed” in PHIS. Mandatory regulations in the list of regulations will have a blue highlight.

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2. How IPP verified the regulatory requirements (e.g. recordkeeping or review and observation).

## Inspection Task Status Definitions

Each inspection task has a status displayed in PHIS. The task statuses are defined in the following table.

	Status in PHIS	Definition
Inspection Task	Not Open (blue on task calendar)	<ul style="list-style-type: none"> <li>Task has been added to inspector's task calendar</li> <li>Verification component option has <b>NOT</b> been selected in PHIS</li> </ul>
	Open or in progress (yellow on the task calendar)	<ul style="list-style-type: none"> <li>Verification component option has been selected in PHIS</li> <li>IPP have begun to enter results</li> </ul>
	Completed (green on the task calendar)	<ul style="list-style-type: none"> <li><b>All</b> verification has been performed and <b>all</b> results for the task have been entered into PHIS</li> <li>If an NR was issued, the NR's status has been updated to "completed"</li> <li>"Inspection completed" box has been marked on "the inspection results" page for the task</li> </ul>
	Not Performed (red on the task calendar)	<ul style="list-style-type: none"> <li>IPP has NOT started the task before its end date (usually the last work day of the month)</li> </ul>

## Hands-on Activity

The following hands-on activity is intended to provide familiarity and experience with the PHIS **Inspection Result** page that is used to document the results of inspection tasks performed by IPP. The hands-on activity will also demonstrate documenting an inspection task that results in compliance with the regulations that the IPP verified.

Holland Point Foods, a large establishment that prepares RTE deli lunch meat and hot dog products, is the example establishment used for this hands-on activity.

For this hands-on activity, you (as Robert Barclay) will:

- navigate the Inspection Results page and
- document the results of a SPS verification task with no noncompliance observed.

Follow these steps along with the instructor.

- ▶ Open the laptop
- ▶ Log-onto laptop:
  - User Name: **FSIS\_user**
  - Password: **FSIS**
- ▶ Double click the Start Internet Explorer icon
- ▶ PHIS Log-in
  - Select User: **Robert Barclay (your #)**

### **Schedule a SPS Verification Task**

1. Click **Task Calendar** option in the left navigation menu
2. From the **Establishment Task List**, click the drop-down arrow and select **Holland Point Foods** as the establishment
3. Type **SPS** in the task name filter
4. Click the **Filter icon**
5. Click **Contains** in the pick list
6. Find the **SPS Verification task** on the task list
7. Click the **Add** link in the routine column for the **SPS Verification task**
8. Type the number “**1**” in the box for **Today’s Date** in the task calendar pop-up window
9. Click the **Save** button
10. Scroll down to the **Task Calendar** and see if the **SPS Verification task** is on the calendar for **Today**
11. Sign out of PHIS-Click the **Red X** top right of the screen

IPP use PHIS to document the results of their inspection tasks. After IPP perform an inspection task, they are to open the “**Inspection Results**” page for the specific inspection task, select applicable “tabs”, and record their results in PHIS. They are to make the appropriate entries regarding the task and their findings of regulatory compliance or noncompliance by checking appropriate boxes, making appropriate selections from lists, or typing in text. PHIS will allow inspection tasks to extend over more than one day. Thus, IPP may enter partial results on one day and then continue/finish performing the task by entering the remaining results on another day.

The primary method of accessing the Inspection Results page is through the Task Calendar. Other pathways are also available in PHIS for accessing the Inspection Results page. For example, IPP can also access the Inspection Results page using the Inspection Verification left navigation menu. The results of **all** inspection tasks are documented on **Inspection Results** page.

### **Access the Inspection Results Page from the Task Calendar**

1. Log back into PHIS as **Robert Barclay (#)**
2. Click the **Task Calendar** option on the navigation menu
3. Scroll down and filter the task calendar for **Robert Barclay (#)** and **Holland Point Foods**
4. Scroll down and locate the **SPS Verification task** scheduled for **Today** on the calendar
5. Right-click on the task and select **Document**
  - Right clicking on the task displays the **Task Menu**
  - The **Inspection Results** page is displayed when **Document** is selected from the Task menu
6. Click the **Square** in upper right corner of the pop box to maximize the screen

The Inspection Results page can be divided into four sections: a header, tabs, tab details, and footer. The **header** and **footer** are the same for all seven tabs. PHIS will assign a 14 character alpha numerical number to each inspection result. The create date is set when the IPP claims (starts) the task. The update date is set every time the IPP clicks “save” on the Inspection Results page. The start and end date default to the create date but these dates can be adjusted by the IPP if results are being recorded on a different date than start date. The dates do not change unless the IPP adjusts them manually. The header also lists the type of inspection, the task name, the IPP’s name and the task status.

There are **eight tabs** on the Inspection Results page. The “Task” tab is the **default view**. The current tab has black text, a white background, and a gold highlight along the top of the tab. Tabs that are available have black text on a gray background. Tabs that are unavailable tabs have **gray text** on a gray background.

IPP can click on any tab to see the **detail (information fields)** for that tab. The detail section is determined by PHIS based on the requirements of the inspection task being performed. The detail section changes for each tab.

There is a check box and several buttons in the **footer**. When the IPP clicks the **Save** button, information entered on **all** the tabs is saved to the PHIS database. The cancel button just closes the Inspection Results page without saving. The Create/Edit NR is enabled when IPP find a regulatory noncompliance. The Create/Edit NR button takes the IPP to the Noncompliance Record page. The

Create/Edit MOI button is enabled when IPP identify non-regulatory concerns. IPP check the “Inspection Completed” box when **all** verification has been performed and **all** results for the task have been entered into PHIS.

### **Inspection Results Page Navigation**

Because a SPS verification task was selected on the task calendar the HATS and Vulnerable Points tabs are disabled (note the gray text). The HATS tab is only available when the IPP is documenting the results of a Humane Handling or Good Commercial Practices (GCP) task. The Vulnerable points tab is only available when IPP are documenting the results of a Food Defense task. The Task tab is the default view, so let’s examine the four remaining tabs that are available.

#### 7. Click the **Activity** tab

The details section for this tab requires the IPP to select a verification activity or **component** as denoted by the red asterisk. Recordkeeping is selected when IPP verify regulatory requirements by only looking at records. Review and observation is selected when IPP either obtain their own inspection result or measurement, or observe an establishment employee perform an activity. “Both” is selected when IPP use both verification components to verify the regulatory requirements.

For HACCP Verification tasks, IPP should enter the HACCP plan, CCPs and prerequisite programs that were verified while performing the task. This information is not entered for other tasks only HACCP Verification tasks.

**When all or part of the task was performed on reimbursable overtime, IPP check the box.**

#### 8. Click the **Regulations** tab

- A grid with regulations is displayed

PHIS will prompt IPP to select the specific regulatory requirements that they verified while performing the inspection task from a list. The list contains mandatory regulatory requirements that must be verified during the performance of the inspection task. The list also includes non-mandatory regulatory requirements that may be verified. “Mandatory” means that IPP must verify that regulation or designate it as “not applicable” before they can mark the inspection task as “completed” in PHIS.

#### 9. **Scroll down** the page

- Mandatory regulations are highlighted
- Other regulations that may be verified are also listed but are not highlighted

10. Click the **416.1** link
  - Brings up Part 416-Sanitation Regulations
  - IPP can review the regulatory requirement if necessary
11. Click the **Black X** in the top right corner to close the pop-up box
12. Click the **Findings** tab

Non-regulatory concerns are findings or observations that **do not** represent noncompliance but should be communicated to establishment management. IPP may check the Non Regulatory Concern box, then click the save button which will enable the Create/Edit MOI button in the footer. The MOI is used to document inspection findings discussed with establishment management and management's responses.

**Note:** IPP are to use the non-regulatory check box to create an MOI when the performance of a Good Commercial Practice (GCP) task indicates mistreatment of poultry.

Two text areas are provided for the Findings tab that IPP may use to document findings and comments as necessary. Comments could include any additional information the IPP wants to record that is **directly related** to the task. For example, IPP should enter the production lot number or identification, and the CCPs and prerequisite programs as they are verified for the HACCP tasks. If for some reason, the IPP that started the task unable to complete it, the IPP that is assigned to complete the task will know the specific production and not duplicate verifying the regulatory requirements.

The IPP should use the "Inspection Notes" tool when an observation or finding relates to the overall operations of the establishment rather than a particular inspection task or if the finding should be shared with all IPP assigned to the establishment.

13. Observe the **Approvals** and **Questionnaire** tabs
  - Questionnaires can be attached to inspection tasks as needed by the Agency
  - The tab is disabled if there is no approval or questionnaire available

### **Enter the Inspection Result for the SPS Verification Task**

Before the results of an inspection task can be entered on the Inspection Result page, the IPP must claim the task. The IPP that claims the task is responsible for performing it and documenting the results. Recall from the task calendar presentation, that another IPP can complete it, but he or she will have to unlock the task and provide a reason for unlocking it.

14. Click the **Activity** tab again

15. Click the radio button for the **Review and Observation** verification component
16. Click the **Save** button
  - The task is now claimed
  - A message at the top of the screen says “inspection result saved successfully”

**Note:** If a verification component is not selected before the IPP saves, he or she will get an error message at the top of the page.

IPP identify the specific regulations they verified during the performance of each inspection task. PHIS does not allow a task to be designated as “completed” in the system unless all of the mandatory regulations for the task have been verified or the N/A (not applicable) box has been checked and a justification for not verifying the regulation has been provided.

17. Click the **Regulations** tab
18. Check the **mandatory regulation** as verified- 416.1
  - The SPS Verification task only has one mandatory regulation
19. Check **416.2(b)(1), 416.2(h)(2) and 416.4(b)** as also verified
  - Recall that IPP are to choose one or more of the Sanitation Performance Standards to verify while performing this task
20. Click the **Save** button

When **all** verification has been performed and **all** results for the task have been entered into PHIS, the IPP can complete the inspection task. All verification includes verifying that the establishment is back in compliance with the regulatory requirements if an NR was issued. In this example, noncompliance was not observed.

21. Check the **Inspection Completed** box at the bottom of the screen
22. Click the **Save** button
23. Click **Close** button
  - The inspection result has been entered
  - The SPS verification task on the calendar turns green to indicate it has been completed
  - The number in the “done” column for the SPS verification task on the task list will increase by 1
24. Click the **Home** bread crumb

## The Role of Inspection Notes

The “Notes” tool enables IPP to document observations, trends, and other issues that relate to establishment operations that should be brought to the attention the establishment. Notes can also be used as memory joggers for IPP to follow-up on a particular observation or issue. For example, IPP should document and

discuss less-than-perfect sanitary conditions or execution of establishment procedures and programs with establishment management that at the time do not represent noncompliance but could lead to noncompliance.

Inspection notes are maintained within the system in 10 categories: facilities, equipment, sanitation, processing, safety, FSA, food defense, export, support and records.

There are **several advantages** to entering specific observations into PHIS using the inspection notes feature. For instance, entering notes into PHIS can facilitate communication between:

1. IPP in the same assignment,
2. relief IPP and the assigned IPP,
3. IPP and their supervisors, and
4. IPP and other parts of the FSIS chain of command.

The inspection notes tool allows IPP in the same assignment and relief IPP to review findings, issues, or concerns previously observed. By having access to such information, they are better equipped to identify developing problems. They can act to prevent issues that could affect public health. For example, while performing inspection verification tasks, assigned IPP can continue to focus attention on a particular finding, trend, or issue and if necessary, continue to document the establishment's inability or unwillingness to address or correct the issue before it leads to noncompliance.

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**Note:** The use of inspection notes is not intended to replace documentation of noncompliance on NRs. All regulatory noncompliance should be documented on an NR.  
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## Hands-on Activity

For this hands-on activity, you (as Robert Barclay) will create inspection notes in PHIS. While performing the SPS verification task, you observed some conditions in the establishment that did not rise to the level of noncompliance. You feel the conditions you observed need to be documented and discussed with establishment management.

## **Creating Inspection Notes**

1. Click the **Down Arrow** next to Inspection Verification in the left navigation menu
2. Click **Select Establishment** from the sub menu
3. Click the **radio button** to select **Holland Point Foods** even if there is a green dot in front of Holland Point Foods
4. Click on **Inspection Notes** in the left navigation menu
  - The Inspector Notes List page and grid is displayed
5. Click the **Create Note** button
6. Check the **Enable Auto Save** box and select the “autosave content for every” 20 minutes

**Note:** If you don't hit the save button often you may lose data. Using “auto save” provides a warning so you can save your data.

7. Populate Data:
  - ▶ **Today's** date (change if needed)
  - ▶ **First shift** radio button selected
  - ▶ Select **Facilities** as the category
8. In the text box **Type:** Several lights were out in the formulation room and a few out in the sliced product packaging room
9. Click the **Save** button and then the **Cancel** button
  - Notice the note you created is displayed in the grid
10. Create an additional note for **Today** using the information below; select the best fit category
  - ▶ Three times this week one of the hand wash sinks in the sliced product packaging room has had no paper towels

**Note:** These examples represent less-than-perfect issues that need to be discussed with establishment management. Both of them could lead to noncompliance if the establishment does not take action.

11. Click the **Save** button and then the **Cancel** button
12. Sign out of PHIS by clicking the **Red X** in the top right corner of the screen