
FSIS DIRECTIVE

5220.1

5/24/19

GRANTING OR REFUSING INSPECTION; VOLUNTARY SUSPENDING OR WITHDRAWING INSPECTION; AND REINSTATING INSPECTION UNDER THE PUBLIC HEALTH INFORMATION SYSTEM

I. PURPOSE

This directive provides instructions to the Office of Field Operations (OFO) Frontline Supervisors (FLSs), District Managers (DMs), and Grant Curators (GCs) for issuing a grant of inspection (GOI); to have the grant voluntarily suspended or withdrawn; and to reinstate the grant after voluntary suspension or voluntary withdrawal. This directive also provides instructions to the Office of Investigation, Enforcement and Audit (OIEA), Enforcement and Litigation Division (ELD) for conducting background inquiries for applicants. Finally, this directive provides instructions for entering data related to these activities into the Public Health Information System (PHIS).

KEY POINTS:

- *Clarifies FSIS employees' responsibilities for gathering and recording information related to the application for Federal inspection into PHIS*
- *Provides an option to file the application for Federal inspection and associated forms electronically*
- *Clarifies instructions to GCs for submitting FSIS Form 5200-2, Application for Federal Inspection, to ELD for compliance background inquiries*

II. CANCELLATION

FSIS PHIS Directive 5220.1, Rev. 1, *Granting or Refusing Inspection; Voluntary Suspending or Withdrawing Inspection; and Reinstating Inspection under PHIS*, 1/30/13

III. SIGNIFICANT CHANGES

A. FSIS is reissuing this directive to provide new instructions for:

1. Entering egg products plants into PHIS;
2. Processing import inspection establishment applications for Federal inspection at the District Office (DO);
3. Accepting electronic copies of [FSIS Form 5200-2](#) via e-mail;
4. Ensuring that FSIS Form 5200-2s, including Form 5200-2s from new applicants, or new persons responsibly connected with the applicant, are sent to OIEA ELD for compliance background inquiries;
5. Digitally signing PDF forms associated with this directive; and

6. Granting Federal inspection to establishments that process Siluriformes fish (hereafter referred to as fish).

B. FSIS is also reissuing this directive to incorporate and clarify previously issued instructions for:

1. Processing GOI application changes (change of mailing address, officers, etc.) in PHIS, including new applications that address changes in ownership and location; and
2. Assigning establishment numbers in PHIS.

IV. OFO GC RESPONSIBILITIES FOR GRANTING INSPECTION FOR NEW OFFICIAL MEAT AND POULTRY ESTABLISHMENTS, EGG PRODUCT PLANTS AND IMPORT INSPECTION ESTABLISHMENTS

A. When an applicant requests a new GOI for meat (including fish), poultry, or egg products, the GC or the GC's designee, is to confirm that inspection is required based on the information provided by the applicant on intended activity. Inspection is required, per [9 CFR 302.1](#), [381.6](#), [532.1](#), and [590.20](#), at establishments that slaughter or prepare meat food products; slaughter or process poultry; or process egg products for human food that is subsequently transported and held for sale in commerce. Examples of preparing meat or poultry products include, but are not limited to, canning, salting, rendering, boning, cutting up, or otherwise manufacturing or processing. Inspection is also required, per [9 CFR 327.6](#), [381.199](#), [557.4](#), and [590.925](#) for products presented for entry to the United States for sale or distribution.

B. If inspection is required, the GC is to provide the following link to the [Federal Grant of Inspection Guide](#), to the applicant. If the applicant does not have access to a computer, the GC is to provide the applicant with paper copies of the following documents:

1. [FSIS Form 5200-2](#), *Application for Federal Inspection* and FSIS Form [5200-15](#), *Hours of Operations Request/Approval*;
2. [Sanitation Performance Standards Compliance Guide](#) (not applicable for egg products plants at this time);
3. [How to Develop a Meat and Poultry Product Recall Plan](#) (not applicable for egg products or import inspection establishments);
4. [FSIS Compliance Guideline HACCP Systems Validation](#) (not applicable for egg products or import inspection establishments);
5. [FSIS Compliance Guide for a Systematic Approach to the Humane Handling of Livestock](#) (for livestock slaughter establishments); and
6. [FSIS Food Defense Plan Security Measures for Food Defense](#).

C. For all applications for meat, poultry, egg product, or import inspection, upon receipt of a paper or electronic copy of [FSIS Form 5200-2](#), the GC or the GC's designee is to review the application for accuracy and completeness. The GC or the GC's designee is to return to the applicant any application that is not complete and specify the areas of the form that need attention.

D. For all new applications, the GC or the GC's designee is to forward an electronic copy of the application to ELD, at AEBCorrespondence@fsis.usda.gov and request a compliance background inquiry of the applicant's business and responsibly connected persons as identified on the application. For applications with changed or updated information, the GC or the GC's designee is to forward a copy of the application to ELD if it meets the criteria in Section V. below.

E. If ELD notifies the GC that there is no basis to refuse inspection, the GC is to process the application, provided all other requirements are met, which include:

1. Initiating a record in PHIS to reserve an establishment number (see [Attachment 1](#) for inputting establishment information into PHIS, beginning with the “Reserved” status.) and informing the applicant of the reserved establishment number so it can prepare labels;
2. Providing the contact information for the FLS to the applicant in preparation for the FSIS facility review and other reviews, including generic labeling reviews and reviews of required written plans and procedures, i.e., Hazard Analysis and Critical Control Point (HACCP) plans, Sanitation Standard Operating Procedures (Sanitation SOPs), recall plan or procedures, etc., and informing the FLS of the applicant’s information; and
3. Completing the top and bottom portions of [FSIS Form 5200-4, Recommendation on Application for Inspection](#), forwarding it and the [FSIS Form 5200-15](#), to the FLS, and instructing the FLS to initiate the review of the facility.

NOTE: For a new applicant, the GC or the GC’s designee is to reserve an establishment number in PHIS for the requested type of inspection and all corresponding establishment numbers for other types of inspection will be reserved for future use by the establishment. The establishment numbers will be reserved for a period of one year for new applicants and for applicants adding types of inspection i.e., adding poultry to a meat establishment. The reserved establishment number will be cancelled if the applicant does not or has not communicated its intentions during the year. The applicant can always reapply after the reserved number has been cancelled by resubmitting a new application for a GOI.

V. PROCESSING APPLICATIONS FOR CHANGES OF OWNERSHIP, LOCATION, OR FOR ALL OTHER UPDATES FOR ESTABLISHMENTS WITH GOIs

A. The regulations [9 CFR 304.1\(c\)](#), [381.16](#), and [590.140](#) require that a new application shall be made in cases of a change of ownership or location. The DO also requests new applications to be submitted for other updates, such as change of officers, doing business as (DBA), etc.

B. The GC is to use the chart below to determine when to send an updated FSIS Form [5200-2](#) to the ELD for a background compliance check. For updates to existing applications/GOIs, the GC may continue to update the GOI while the ELD background compliance check is conducted. If information comes back from ELD informing the GC that a recipient of inspection or anyone responsibly connected to the recipient is unfit, the GC is to inform the DM immediately. The DM will follow the instructions in [FSIS Directive 8010.5, Case Referral and Disposition](#), for referring cases to ELD to refuse or withdraw inspection in accordance with [9 CFR Part 500](#).

<i>Send the FSIS Form 5200-2 to ELD - For Review and Approval Under the Circumstances Listed Below</i>
<u>Block 2 - Type of Application requests or changes</u>
<ul style="list-style-type: none"> • <i>New Requests for Inspection</i> • <i>Change of Ownership</i>
<u>Block 4 – Any Form of Organization updates or changes</u>
<u>Block 22 - Section IV. Persons Responsibly Connected with Applicant updates or changes</u>
<ul style="list-style-type: none"> • Any application where the applicant has entered new, added to, or otherwise changed/updated/modified the information in Box 22 as to Persons Responsibly Connected with Applicant or Ownership Percentage must be sent to ELD.

**Blocks 23 and 24 – Section IV. Persons Responsibly Connected with Applicant
(continued) updates or changes**

- Any application where the applicant has entered new, added to, or otherwise changed/updated/modified the information in Boxes 23 and 24 related to convictions of applicants for inspection, recipients of inspection, or responsible connected persons must be sent to ELD.

C. In addition to those circumstances identified in the chart above, the DM may contact ELD in any other situation that the DM believes merits correlation/consultation with ELD, such as applications/GOIs related to legal cases, consent orders, and establishments or plants where FSIS previously withdrew or denied inspection.

D. Conditional GOIs do not apply to import inspection establishments or egg product plants.

VI. OIEA ELD RESPONSIBILITIES

A. Upon receipt of the request for a compliance background inquiry on an applicant, ELD is to conduct applicable database and other inquiries related to any criminal or compliance background of the individuals or establishments/plants listed on the application. ELD is to respond in writing (via e-mail) to the GC or the GC's designee with its findings for all applications received from the DOs.

B. If ELD determines that a refusal to grant inspection or a withdrawal of inspection may be warranted, it is to make a determination on the appropriate action and proceed in accordance with [FSIS Directive 8010.5](#). ELD is to keep the DM informed and updated about the application evaluation process and any associated enforcement activities. ELD is also to establish communication with the applicant as FSIS's primary point of contact during the case evaluation and enforcement process.

VII. OFO FLS RESPONSIBILITIES

A. When a prospective meat or poultry establishment notifies the DO that it is ready to be reviewed, the FLS is to:

1. Confirm the prospective establishment will be performing slaughtering or processing activities that require FSIS inspection, per 9 CFR 302.1, 381.6 or 532.1. If a prospective establishment will not actually be performing activities that require inspection, the DM is to refer the establishment to [9 CFR 350](#), Special Services Relating to Meat and Other Products;
2. Review the physical establishment and equipment and determine whether these comply with [9 CFR 416.1](#) through 416.5;
3. Determine whether the prospective establishment has developed written sanitation SOPs in accordance with [9 CFR 416.11](#) through 416.16;
4. Determine whether the prospective establishment has conducted a hazard analysis, or had one conducted for it, for all processes and has developed a HACCP plan covering each product produced by the establishment that according to the hazard analysis includes one or more hazards that are reasonably likely to occur, as described in [9 CFR 417.2\(b\)](#);
5. Determine whether the prospective establishment has developed written recall procedures in accordance with [9 CFR 418.3](#);
6. Complete all sections of [FSIS Form 5200-4](#), including Block 8 by checking "yes," if compliant;

7. Complete [FSIS Form 5200-15](#), with the establishment management to ensure core hours of operation are consistent with other establishments on the assignment, if applicable; and
 8. E-mail completed and signed [FSIS Form 5200-4](#), and [FSIS Form 5200-15](#), and any associated attachments, to the GC. FSIS Forms 5200-4 and 5200-15 may be digitally signed. See instructions in XIII below.
- B. When a prospective egg product plant notifies the FLS that it is ready to be reviewed, the FLS is to:
1. Review the blueprint drawings and specifications accompanying the application for egg product plant inspection by following the instructions found in [FSIS Directive 5030.5, Review of Egg Products Plants Drawings and Specifications](#);
 2. Visit the prospective egg product plant to review the physical plant and equipment and determine whether it complies with [9 CFR 590.146](#);
 3. Complete all sections of [FSIS Form 5200-4](#), including Block 8 by checking “yes,” if compliant;
 4. Complete the [FSIS Form 5200-15](#), with plant management; and
 5. E-mail completed and signed [FSIS Form 5200-4](#) and [FSIS Form 5200-15](#), and any associated attachments, to the GC. FSIS Forms 5200-4 and 5200-15 may be digitally signed. See instructions in XIII below.
- C. When a prospective import inspection establishment notifies the DO that it is ready to be reviewed, the FLS is to:
1. Ensure the establishment has the equipment necessary to complete the import inspections identified on the application. This includes sufficient refrigerated space to hold entire shipments of refrigerated or frozen products, as applicable;
 2. Ensure the establishment has a thaw tank and white trays, as appropriate which are needed to be eligible to receive product from countries determined to have rinderpest or foot and mouth disease (FMD); such establishments must be [USDA Animal and Plant Health Inspection Service \(APHIS\)](#)-approved facilities. To determine whether an official import inspection establishment is an APHIS approved facility, refer to the [USDA Animal Product Manual](#), APHIS-Approved Foreign Establishments for Cooked Beef, Figure 3-17-1;
 3. Visit the physical establishment and ensure the equipment complies with [9 CFR 416](#), [327.6](#), [381.199](#), [557.6](#), and [590.935](#);
 3. Complete all sections of [FSIS Form 5200-4](#), including Block 8 by checking “yes,” if compliant;
 4. Complete the [FSIS Form 5200-15](#), with plant management; and
 5. E-mail the completed and signed FSIS Form 5200-4, and any associated attachments, to the GC. FSIS Forms 5200-4 and 5200-15 may be digitally signed. See instructions in XIII below.
- D. If the FLS determines the prospective establishment is not compliant, he or she is to inform the establishment of his or her concerns. If the establishment notifies the FLS that all noncompliant observations are corrected, the FLS is to revisit the establishment and e-mail the completed FSIS Form 5200-4 and FSIS Form 5200-15 to the GC, if appropriate.

VIII. OFO DM RESPONSIBILITIES

- A. The DM is to review the returned FSIS Forms 5200-2, 5200-4, and 5200-15, and other pertinent information provided by the FLS and GC to determine whether the establishment should be granted a conditional GOI, a final GOI, or a GOI update; or follow the instructions in [FSIS Directive 8010.5](#) for case referral to ELD to withdraw or refuse inspection in accordance with 9 CFR 500.6 or 500.7.
- B. If the DM decides that inspection should be provided to the establishment, he or she is to issue a signed conditional GOI, final GOI, or updated GOI on [FSIS Form 5200-1](#), *Grant of Inspection*. For new GOIs, the DM is also to return a signed copy of FSIS Form 5200-15 to the establishment, stating the approved operating hours and agreeing with establishment management on a date to inaugurate conditional inspection. The DM is then to ensure that the GC updates to PHIS reflect the GOI status as “Conditional,” and the establishment’s approved operating hours (see *PHIS Users Guide*). FSIS Forms 5200-1 and 5200-15 may be digitally signed. See instructions in Section XIII.
- C. During the 90 days following the issuance of the conditional GOI to meat and poultry establishments, in accordance with [9 CFR 304.3\(b\)](#) and [381.22\(b\)](#), the DM is to decide whether the establishment meets the terms of the conditional GOI, by drawing on information in PHIS, and information gathered by the FLS and the Inspector-in-Charge (IIC). The DM is to ensure inspection program personnel (IPP) verify that the establishment has validated its HACCP plans as per [FSIS Directive 5000.1](#), *Verifying an Establishments Food Safety System*, in accordance with [9 CFR 305.1\(c\)](#), [381.22\(c\)](#) and [417.4](#).
- D. During the 90 days following the issuance of the conditional GOI to meat and poultry establishments, the DM is to ensure that the District Veterinary Medical Specialist (DVMS) verifies that livestock are being handled humanely at livestock slaughter establishments and that poultry are being handled in a manner consistent with poultry good commercial practices (GCPs) at poultry slaughter establishments. The DVMS is to follow the instructions in [FSIS Directive 6910.1](#), *District Veterinary Medical Specialist (DVMS) – Work Methods* and issue a Memorandum of Interview (MOI) that sets out his or her findings to the DM.
- E. For meat and poultry establishments, within 90 days of issuing the conditional GOI, if the DM determines that the establishment has validated its HACCP system as required by [9 CFR 417.4\(a\)](#) and has met all other applicable requirements, he/she is to sign and issue a final GOI on FSIS Form 5200-1 and ensure the GC updates PHIS to reflect the establishment’s grant status as “Granted.”
- F. For most meat and poultry establishments, an initial 90-day validation period corresponds to approximately 60 working days of records for review. Some small and very small establishments may operate less than 5 days per week. However, at least 13 production days of records need to be available for review by FSIS for the Agency to determine whether an establishment operating less than 5 days per week has validated its HACCP system adequately. To allow such small and very small establishments the time necessary to gather data to validate their HACCP systems, a written request from the establishment may be sent to the DM to extend the validation period. Specifically, the DM may allow an additional 30 calendar days under the conditional GOI for an establishment to complete validation of its HACCP system.
- G. If at the end of the 90-day conditional GOI period or 120- day period if an additional 30 days has been granted to the establishment or plant for validation, the DM determines that the establishment has not validated its HACCP system in accordance with [9 CFR 417.4](#), the DM may take an appropriate enforcement action in accordance with the [9 CFR 500](#), Rules of Practice.
- H. To enter the Application for Federal Inspection (AFI) information in PHIS for establishments that prepare fish:

1. In the **Animals to be Slaughtered** field, do not select fish from the list. Although PHIS includes fish as an option in the **Animals to Be Slaughtered** list, fish do not go through ante-mortem or postmortem inspection procedures. Therefore, the traditional slaughter process and inspection procedures do not apply to fish. In addition, selecting fish in this list will trigger distribution of slaughter tasks that do not apply to fish.
2. In the **Types of Products, Raw-intact** field, do not select fish in the list under **Carcasses**, because raw-intact fish products are prepared in a continuous process, rather than derived from carcasses.
3. In the **Types of Products** field, do not select **Slaughter**, for the reasons stated above.
4. All other information for fish is entered in the same manner as for other meat species.

NOTE: If IPP later determine that there is a discrepancy between the information on the GOI and the actual operations at the establishment, they are to contact the DO for assistance.

I. When the DM grants inspection, the GC is to send an electronic copy or paper copy of the FSIS Form 5200-1, and the FSIS Form 5200-2, to the:

1. Applicant;
2. Official establishment or official plant if the establishment or plant and the applicant have different addresses;
3. IIC at the establishment or plant;
4. FLS;
5. FSIS [Financial Services Center](#) in Des Moines, Iowa;
6. FSIS Office of Management, Office of Administrative Services, (electronic copy only to FSIS.Printing@fsis.usda.gov); and
7. Appropriate State meat or poultry inspection program personnel, for Talmadge-Aiken establishments.

J. The DM is to ensure the GC maintains official file electronic copies, or paper copies, of the application, the recommendation, the grant, and any related documents, as per [FSIS Directive 2620.1](#), *FSIS Records Management Program*. In addition, the DM is to ensure that PHIS is updated by the GC to accurately reflect the GOI status of the establishment or plant.

K. If an official establishment or official plant is inactive for more than 120 days, the DM is to follow the instructions in [FSIS Directive 5220.3](#), *Issuance of a Ten-Day Letter for Inactive Operations*.

IX. PROCESSING REQUESTS FOR CHANGE IN APPROVED WORK SCHEDULES BY AN OFFICIAL ESTABLISHMENT OR OFFICIAL PLANT

An official establishment or official plant that wishes to alter its approved hours of operation, including a request for an additional shift or the elimination of a shift, will submit a revised FSIS Form 5200-15, to the FLS. The FLS is to send the revised form, along with his/her recommendation, to the DM for review. The DM is to consider the request for change in hours of operation, or shifts, as set out in [9 CFR 307.4](#) and [381.37](#). If the DM approves the request, the GC is to send an electronic copy or paper copy of the approved FSIS Form 5200-15 to the establishment, to the FLS, and to the IIC and update PHIS accordingly.

X. NOT GRANTING INSPECTION AT AN ID WAREHOUSE

A. An ID warehouse is a facility at which FSIS provides voluntary identification service for meat and poultry products, or egg products as described in [9 CFR 350.3\(a\)](#), [362.2\(c\)](#), and [592](#). 9 CFR 350.3(a)(2) and 362.2 (c)(2) permit FSIS to provide identification service only on premises other than those of an official meat or poultry establishment.

B. The DM is not to approve a GOI for a facility that does not require inspection. Inspection is required at establishments that slaughter or prepare livestock, poultry, or fish, or which process egg products, per 9 CFR 302.1(a), 381.6(a), 532.1, and 590.24, respectively.

XI. OFFICIAL ESTABLISHMENT OR OFFICIAL PLANT VOLUNTARY SUSPENSION OR WITHDRAWAL OF INSPECTION

Voluntary Suspensions

A. A voluntary suspension of inspection occurs when an establishment or plant submits a written (i.e., fax, electronic, paper) request to the DM or his/her designee for a temporary suspension of operations (e.g., for purposes of sale, major structural changes, or remodeling). A voluntary suspension of inspection is temporary and normally does not exceed 120 calendar days. Upon receipt of such requests, the DM is to issue FSIS Form 5200-3, Voluntary Suspension or Voluntary Withdrawal of Inspection Service. After 120 calendar days, the DO is to follow the instructions found in [FSIS Directive 5220.3](#).

B. An establishment or plant under a voluntary suspension of inspection may need to remain under voluntary suspension more than 120 days due to circumstances that are beyond its control, i.e., inability to obtain equipment on schedule, inability to complete major structural changes because of weather conditions, etc. In such cases, the DM or his/her designee may extend the 120-day voluntary suspension period but may need to assign an FLS to conduct another review of the establishment prior to resuming inspected operations.

C. If suspended by FSIS, per 9 CFR 500.3 or 500.4, effective corrective actions must be proffered by the establishment to bring the establishment into voluntary compliance. A voluntary suspension by the establishment would not negate the ability of FSIS to proceed with an enforcement action such as a suspension.

D. The DM or his/her designee may grant establishments that operate on a seasonal basis a voluntary suspension of inspection of more than 120 days based on the effective and efficient use of FSIS personnel. If a seasonal establishment has gone one year or more without conducting any operations, the DM is to follow instructions in [FSIS Directive 5220.3](#).

E. When an establishment or plant submits a written (e.g., electronic, paper) request for reinstatement of inspection to the DM or his/her designee (e.g., GC, FLS, DDM) after a voluntary suspension, the DM or his/her designee is to:

1. Instruct the FLS to visit the establishment or plant, if necessary, to determine whether its written plans, facilities and equipment warrant the reinstatement of inspection;
2. In cases where the establishment or plant warrants reinstatement of inspection, the FLS is to e-mail the DM with a recommendation for reinstatement of inspection; or
3. In cases in which the establishment or plant does not warrant reinstatement of inspection, the FLS is to e-mail the DM with a recommendation to not reinstate inspection.

F. If reinstatement of inspection is warranted, the DM is to issue FSIS Form 5200-3 reinstating inspection. The GC is to ensure that the data in PHIS is updated to reflect the establishment's current GOI status. The GC is to maintain an electronic or paper copy of FSIS Form 5200-3 and any related documents.

Voluntary Withdrawals

G. A voluntary withdrawal of inspection occurs when an establishment or plant submits a written request to cease operations. Upon receipt of such requests, the DM or his/her designee then issues FSIS Form 5200-3. A voluntary withdrawal of inspection is permanent, and establishments or plants wishing to reinstate inspection must reapply by completing and submitting FSIS Form 5200-2.

H. The DM is to ensure that the GC properly records and documents voluntary suspensions or withdrawals of inspection in PHIS. The GC is to maintain an electronic or paper copy of the FSIS Form 5200-2 and any related documents.

XII. REFUSAL OR WITHDRAWAL OF INSPECTION

A. The DM is to notify the Director of ELD when there is reason to believe inspection should be refused or withdrawn (other than voluntary withdrawal) from an applicant or recipient of inspection.

B. The DM is responsible for initiating inquiries, assembling documentation, and maintaining contact with ELD, regarding the refusal or withdrawal of inspection. In those instances when the DM has a basis, under the 9 CFR Part 500 Rules of Practice, to refuse to provide, or to initiate action for the withdrawal of inspection, the DM is to refer the matter to ELD for review and appropriate action in accordance with [FSIS Directive 8010.5](#). The DM is to provide pertinent information (e.g., information regarding withdrawal of inspection for failure to maintain sanitary conditions, HACCP violations; inhumane slaughter or handling) to ELD to support the refusal or withdrawal of inspection. When the DM decides there may be a basis to refuse to provide inspection, he or she is to write or e-mail the applicant informing the applicant that the matter has been referred to OIEA ELD.

XIII. DIGITALLY SIGNING PDF FSIS FORMS ASSOCIATED WITH THIS DIRECTIVE

A. The DM, FLS, or their designees may digitally sign PDFs of FSIS Forms associated with granting or refusing inspection with a LincPass Certificate. Note that record retention requirements above in VIII, J apply.

B. If an employee chooses to use an electronic digital signature to sign FSIS Forms, the employee can only do so using his or her USDA LincPass in a government computer. Electronic digital signatures are only valid when using a USDA LincPass. Employees are to refer to the following Tech Tips for instructions about using electronic digital signatures: "Tech Tip #685: Verify Digital Signature file on LincPass Card" and "Tech Tip #686: Digitally Sign a PDF with a LincPass Digital Signature," which are located in the August 2017 Tech Tips Archive on [InsideFSIS](#).

XIV. QUESTIONS

Refer questions regarding this directive to the Office of Policy and Program Development through [askFSIS](#) or by telephone at 1-800-233-3935, if needed, after correlation with your supervisor. When submitting a question, use the **Submit a Question** tab, and enter the information indicated below in the designated fields.

Subject Field: Enter **Directive 5220.1**.
Question Field: Enter the question with as much detail as possible.
Product Field: Select **General Inspection Policy** from the drop-down menu.
Category Field: Select **Regulations/Issuances** from the drop-down menu.

Policy Arena: Select **Domestic** or **Import**, as appropriate, from the drop-down menu.

When all fields are complete, press **Continue** and at the next screen press **Finish Submitting Question**.

NOTE: Refer to [FSIS Directive 5620.1](#), *Using askFSIS*, for additional information on submitting questions.

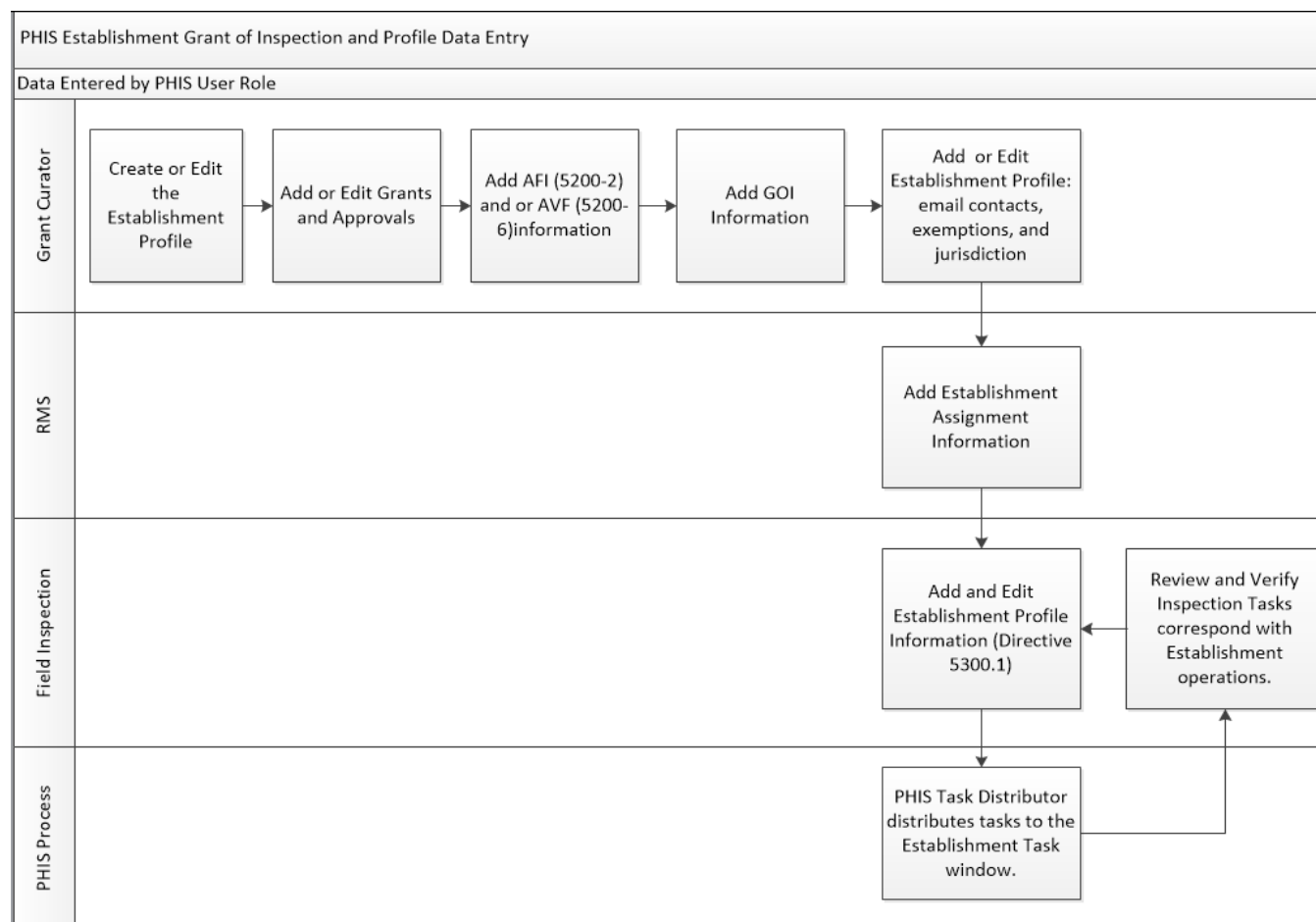
A handwritten signature in black ink that reads "Subrata J. Wagner". The signature is written in a cursive style with a large initial 'S'.

Assistant Administrator
Office of Policy and Program Development

Attachment 1: PHIS Data Entry Instructions for Existing and New Establishments

A. Overview

The following flow chart describes the basic process for setting up an establishment and assignment in PHIS so inspectors can begin scheduling tasks and entering inspection results. The instructions in this attachment are written primarily for the GC role, but also include information for the Resource Management Analyst (RMA).



B. Users

In order to completely set up an establishment and its profile, several user roles are required. Table 1 lists the user roles and the process each role is responsible for completing.

Table 1: PHIS Roles and Processes

Role	Process
Grant Curator (GC)	Create the Initial Profile Add Application for Inspection Add Grant of Inspection Edit Existing Grant or Profile
Consumer Safety Inspector (CSI) Frontline Supervisor (FLS) Public Health Veterinarian (PHV)	Enter and Maintain Establishment Profile Information as per FSIS Directive 5300.1

Resource Management Analyst (RMA) Resource Management Financial Planning Staff (RMFPS)	Create and Edit PHIS Inspection Assignments
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C. Information and Materials Required for Existing or New Establishments

Where applicable, the source of the information is noted in parentheses after the step. In some cases, specific block numbers are given, such as (Source: Block #3 AFI). Note that those numbers are derived from the most recent version of Form 5200-2. If you are working with older versions of this form, please be aware the numbering may have changed.

The following information is necessary:

- Original/Copy of the Application for Federal Inspection (AFI), FSIS Form 5200-2 and or
- Original/Copy of the Application for Voluntary Reimbursable Service (AVS), FSIS Form 5200-6
- Original/Copy of the Grant of Inspection (GOI)
- Assignment list with personnel
- Contact information for the FSIS Inspection Office Mailing Address

Access PHIS

PHIS is a Web-based application that you access through a Web browser, such as Internet Explorer. Your computer must be connected to the FSIS network for this task. To access PHIS:

1. Open a Web browser and navigate to the [PHIS Dashboard](#) or click **Start > FSIS Applications > Inspection Assignments > PHIS > USDA FSIS PHIS Online**.
2. Log in with your LincPass (PIV).
3. The PHIS Dashboard opens.

D. Add Establishment (GC Role)

Before adding a new establishment to PHIS, confirm with the RMA that the appropriate circuit has already been created in PHIS.

To add a new establishment to PHIS, you will need the information contained in the FSIS Form 5200-2, AFI. A user with the GC user role starts the process of adding an establishment to PHIS through the PHIS **Establishment Profile** feature.

Tip: Be sure to save your work periodically so you do not lose any data you have entered.

These instructions explain how to add a meat or poultry establishment that has been approved for a new GOI. For voluntary reimbursable service agreements, see the next section titled “To add a voluntary reimbursable service agreement.”

1. Log in as a GC.
2. Click **Establishment Profile > Add Establishment**.
3. Click **Add new Grant**.

The **Application for Federal Inspection (AFI)** (PHIS AFI from this point forward)page opens.

4. For the **Date** field, enter the date you, as the GC, are adding the establishment to PHIS.
5. For the **Type** field, select **New**.
6. Select the **Type of Inspection Required** and select all that apply by checking the corresponding box: **Meat, Poultry, Egg** and/or **Import**. (Source: FSIS Form 5200-2 Block #3 AFI)

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0583-0153. The time required to complete this information collection is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

U.S. DEPARTMENT OF AGRICULTURE FOOD SAFETY AND INSPECTION SERVICE APPLICATION FOR FEDERAL INSPECTION (Meat, Poultry, Siluriformes Fish, Egg Products and Import Inspection)		Submit this application electronically, or by mail, to the Grant Curator at the appropriate U.S. Department of Agriculture, Food Safety and Inspection Service, District Office . Complete all sections. If a section is not applicable, enter N/A or None. If additional space is needed for any items, use the continuation sheet provided or an attachment. Number the item.
SECTION I. APPLICANT INFORMATION		
1. Date of Application	<input type="text"/>	1a. Existing Establishment Number (if applicable)
2. Type of Application (check all that apply)	<input type="checkbox"/> New <input type="checkbox"/> Change of Location <input type="checkbox"/> Change of Ownership <input type="checkbox"/> Other, specify: <input type="text"/>	
3. Type of Inspection (check all that apply)	<input type="checkbox"/> Meat <input type="checkbox"/> Poultry <input type="checkbox"/> Egg Products <input type="checkbox"/> Import <input type="checkbox"/> Siluriformes Fish	

Please note FSIS Form 5200-2 Block #3 may specify “Siluriformes Fish”; if so, please select **Meat** in the PHIS AFI as per the instructions in Section VIII. H of the Directive.

The page refreshes each time you select, by placing a check in the corresponding box, a **Type of Inspection Required**. Please allow time for the page to refresh after each selection is made; otherwise, you may have to redo some data entry. It is okay to check multiple boxes, you just need to pause between each selection. If you do check multiple Types of Inspection, a separate section for each Type of Inspection selected is made available for data entry further down on the page.

7. Select the **Form of Organization**. (Source: Block #4 AFI)

Organization
Form of Organization* : <input checked="" type="radio"/> Individual <input type="radio"/> Cooperative Association <input type="radio"/> Partnership <input type="radio"/> Corporation <input type="radio"/> Educational Institution <input type="radio"/> LLC <input type="radio"/> Other

By default, **Individual** is selected. If you select a different option, the page refreshes and additional fields may become available. For example, if you select **Corporation**, the page refreshes and fields for **Corporate Information** appear on the page. Use the information from the applicable Blocks # 4-9 on the FSIS Form 5200-2, AFI to complete the sections in the PHIS AFI.

FSIS 5200-2 (11-18-2015), AFI Blocks # 4-14

4. Form of Organization (check applicable box)

Individual
 Cooperative Association
 Partnership
 Corporation
 Education Institution
 Limited Liability Company (LLC)
 Other

5. If Corporation, Name of State or Territory where Incorporated <input type="text"/>		6. Date Incorporated mm/ dd/ yyyy <input type="text"/>	7. Name and Address of Corporate Headquarters Name <input type="text"/> Address <input type="text"/> City <input type="text"/> State <input type="text"/> Zip Code <input type="text"/> Country <input type="text"/>	
8. Federal Employer ID# <input type="text"/>		9. Dun & Bradstreet # (if applicable) <input type="text"/>		
10. Firm's Code (Import Only) <input type="text"/>				
11. Name of Applicant (person, firm or corporation making application) and mailing address Name <input type="text"/> Address <input type="text"/> City <input type="text"/> State <input type="text"/> Zip Code <input type="text"/> Country <input type="text"/>			12. Telephone number and e-mail address of applicant phone <input type="text"/> e-mail <input type="text"/>	
13. Actual Name of Company and Physical Location Address of Establishment Name <input type="text"/> Address <input type="text"/> City <input type="text"/> State <input type="text"/> Zip Code <input type="text"/> Country <input type="text"/>			14. Telephone number, mailing address and e-mail address of establishment phone <input type="text"/> mailing address <input type="text"/> e-mail <input type="text"/>	

NOTE: The e-mail contact information identified on the FSIS Form 5200-2 will be entered in **PHIS Establishment Profile > Contacts** section by the in-plant CSI. See Part E. below for directions.

8. Complete the required fields (*) in the **Applicant (Owner)** section. (Source: Blocks #11 and #12 AFI)

Applicant (Owner)

TIN: (at least 3 characters)

DUNS#:

Name*:

Telephone*:

Mailing Address

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

9. Complete the required fields (*) in the **Plant** section. (Source: Blocks #13 and #14 AFI)

Plant*

Name*:

Telephone*:

Phone Number Same as Applicant's Phone Number

Physical Location Physical Location Same as Applicant's Mailing Address

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

Mailing Address Mailing Address Same as:

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

NOTE: If the information in the **Telephone**, **Physical Location**, or **Mailing Address** fields is the same as the applicant's, you can select the appropriate check boxes to copy the information.

- a. Enter information in the **Co-located Official Establishments** block if you have co-located establishment information. (Source: Block #16 AFI)
- b. Enter information in the **Doing Business As** block if you have doing-business-as information. (Source: Block #17 AFI)
- c. The **Ready to Operate** date is not required for existing establishments, but if you have the historical information, you can enter it. (Source: Block #18 AFI)

Co-Located Official Establishments

Add new Co-Located Establishment

Number	Name
No records to display.	

Doing Business As

Add new Name

Name
No records to display.

Ready to Operate

Month & Year:

Comments:

Ownership and Management Information

10. Select the **Animals to be Slaughtered** and/or **Types of Products** in the **Meat Inspection, Poultry Inspection, Egg Product** or **Import** sections. Be sure to select all applicable by placing checks in the appropriate boxes. This information is critical to the proper assignment of tasks to the establishment. (Source: Section III of the AFI.) If the applicant has checked “Siluriformes Fish” in block 19-A of the AFI, do not check **Siluriformes** in the **Animals to be Slaughtered** section as per the instructions in Section VIII. H of the Directive. Remember, the selection made in Step 5 above, **Type of Inspection Required** will determine which parts of the Section III AFI information is made available to you in PHIS. The screenshot example below shows Section III AFI information which would be needed in PHIS if **Meat, Type of Inspection Required** was selected in Step 5 above:

Animals to be Slaughtered

Calf

Cattle

Goat

Sheep

Siluriformes

Swine

Types of Products

Fully Cooked - Not Shelf Stable

Heat Treated - Not Fully Cooked - Not Shelf Stable

Heat Treated - Shelf Stable

Not Heat Treated - Shelf Stable

Product with Secondary Inhibitors - Not Shelf Stable

<input type="checkbox"/> Raw - Intact	<input type="checkbox"/> Cuts (including Bone in and Boneless Meats) <input type="checkbox"/> Boneless and/or Skinless Parts <input type="checkbox"/> Other Intact	Carcasses: <input type="checkbox"/> Calf <input type="checkbox"/> Cattle <input type="checkbox"/> Goat <input type="checkbox"/> Sheep <input type="checkbox"/> Siluriformes <input type="checkbox"/> Swine
<input type="checkbox"/> Raw - Non Intact	<input type="checkbox"/> Ground Product <input type="checkbox"/> Other Non-Intact	
<input type="checkbox"/> Slaughter		
<input type="checkbox"/> Thermally Processed/Commercially Sterile	<input type="checkbox"/> Soups <input type="checkbox"/> Corned (species) <input type="checkbox"/> Other <input type="checkbox"/> Ham	

NOTE: For slaughter establishments, you must select by checking a box in the **Animals to be Slaughtered** section. The **Import, Type of Inspection** cannot be selected with any other **Type of Inspection**.

- a. The Information in AFI Section III, 19 C, Exemptions, and 19 D, Jurisdiction will be entered in the **PHIS Establishment Profile > General** section. See Part E. below for directions.

11. In the **Ownership and Management Information** section enter the required field of **Person Signing Application** (This is the non-FSIS person who signed application). (Source: Block #28 AFI)

12. In the FSIS **Information** section, enter the required fields (*):

The screenshot shows the 'Information' tab of the PHIS Establishment Profile > General section. It features a table for 'Establishment Number' with columns for 'Type of Inspection' and 'Establishment Number'. Below the table are input fields for 'Approver's Name*', 'Date Approved*', 'Business Unit', 'Area/District*', and 'Circuit*'. At the bottom right, there are 'Finish', 'Save', and 'Cancel' buttons.

a. Establishment Number

- i. Click **Add new Establishment Number**. (Source: Block #2 Grant of Inspection.

ii. NUMBERING FORMAT

- 1) FSIS alone controls the assignment and use of establishment number(s). Once a number is assigned to an establishment for a particular type of inspection that number remains with that operation for as long as the establishment remains in operations. Note: The establishment profile remains in PHIS after inspection is withdrawn.
- 2) The establishment number includes any number created by adding alpha letters as suffixes to the number to identify two or more establishments under the same ownership or control. Note: this is an optional choice for the applicant or new owner.
- 3) When a company is sold, the establishment number can be transferred to the new company. The transfer is subject to approval by the District Manager and requires the issuing of a new GOI to reflect the changes

in ownership. Note: the former owner's GOI is withdrawn but the establishment number remains active.

- 4) If a previous owner has a debt with Financial Services Center (FSC) for reimbursable services, that debt remains with the establishment number(s).
- 5) The new owner can also request a different establishment number.
- 6) If an establishment voluntarily withdraws for a short period of time and then desires to re-apply for inspection, the number can be reissued to the same establishment, if that request is received in writing as communicated with the DO GC. Note: The PHIS plant profile can be reactivated by contacting RIS Help at RISHelp@fsis.usda.gov.
- 7) One official establishment will have one establishment number with different inspection type indicators (e.g., M38, P38, V38, G38, I38) to differentiate the types of service that FSIS provides. In certain limited circumstances, an establishment can request a specific establishment number(s), such as when a new application is submitted because of a change of location or ownership of an establishment, as set out in 9 CFR 304.1(c).

Note, there are some existing establishments with different numbers and indicators, (e.g., M38 and P1234); however, PHIS recognizes a "Primary Establishment Number" which is by default the "M" number when there is an M, P and or V; or the P number when there is a P or V.

- iii. Select the **Type of Inspection**. The available values are based on what you chose in Step 5. (Source: Block #7 GOI)

For **Ownership Number**, PHIS defaults to the next available number. If you are entering a grant for an existing establishment, delete the default value and type the already assigned establishment number. Enter numerals only.

NOTE: There is a change in the format of establishment numbers in PHIS. Where in PBIS a number could be 00038A M, in PHIS it would be M38A. The M is the "type" (meat); the 38 is the "ownership number;" and the A is the "suffix."

- iv. Enter a suffix in the **Suffix** field if applicable. After you click the **Suffix** field, a preview of what the establishment number will look like appears below the suffix data-entry field.

FSIS Information

Establishment Number*

Add new Establishment Number

Type of Inspection	Establishment Number
Add New Establishment Number	
Type of Inspection*:	Meat
Ownership Number*:	38
Suffix:	A
Establishment Number:	M38A

Save Cancel

- v. Click Save.
- vi. Repeat this process for each Type of Inspection.

- b. **Approver's Name**, typically the District Manager or the approver on the application (Source: Block #26 AVS)
- c. **Date Approved** (Source: Block #27 AVS)

13. In the **Circuit** section, select the **Area** and **Circuit** from the drop-down lists. (For example, "80 – Raleigh, NC" and "16 – Newark, NJ" as the Circuit.)

Circuit

Business Unit: Office of Field Operations

Area/District*: 80 - Raleigh, NC ()

Circuit*: 16 - Newark, NJ

- 14. Click **Finish**. The grants are listed on the **Grant/Voluntary Reimbursable Service** page with a **Status of Reserved**.
- 15. Click **Reserved** to change the status of each grant.
- 16. From the **New Status** field, select **Recommended** for each grant.
- 17. Click **Recommended**. Continue to update the grant until you reach the **Granted** status, or you can begin entering the establishment profile information, which is covered in the next section titled **Enter Establishment Profile**.
- 18. From the **New Status** field, select **Conditional**.

19. Enter the required fields:

- a. **Inauguration Date** (Source: Block #9 GOI)

NOTE: Once you save this record, you can no longer edit the Inauguration Date field. Please verify the date is correct before clicking Save.

- b. **Approved Hours of Operation** (Source: FSIS Form 5200-15 *Hours of Operation Request/Approval* form)

- i. Click **Add new Inspection Hour**
- ii. Select the **Shift**.
- iii. Select the days the establishment operates.
- iv. Enter the **Start time** and **End time**.
- v. Click **Save**.
- vi. Repeat this process for each shift.

- c. Select **Yes** for **Applicant qualified by OIEA ELD?**

- d. Click **Save**.

- e. Repeat steps a-d for each type of inspection.

20. Click **Conditional**.

21. From the **New Status** field, select **Granted**.

22. Select **Yes** for **Has the establishment validated its HACCP Plans?**

23. Click **Save**.

24. Repeat steps 20 – 23 for each grant.

How to add a Voluntary Reimbursable Service Agreement:

These instructions explain how to add voluntary reimbursable service agreements. If you have already entered a meat or poultry grant, much of the information in the voluntary reimbursable service agreement will be pre-populated. The Steps below will function much like the ones above, but you are using the FSIS Form 5200-6 *Application for Voluntary Service (AVS)* as a source reference instead of the AFI.

1. Log in to PHIS as a GC.

- For new establishments, click **Establishment Profile > Add Establishment**. For existing establishments, click **Select Establishment**, search for the establishment, and select it; then select **Grants and Approvals**.
- On the **Grants/Voluntary Reimbursable Service** page, click **Add New Voluntary Reimbursable Agreement**.

Grant Curator (Domestic & Im) | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > Domestic Profile > Grants & Approvals

Grant/Voluntary Reimbursable Service

List of Grants:

Add new Grant

Number	Type	Status	Inauguration Date	Last Application Date	Last Application Type	Edit
There are no records to display						

List of Voluntary Reimbursable Services:

Add new Voluntary Reimbursable Service

Number	Type	Status	Inauguration Date	Last Application Date	Last Application Type	Edit
There are no records to display						

Operating Status:

Save

Operating Status History:

Status	Date From	Date To
There are no records to display		

PHIS Home | Build# v6.3.2

The **Application for Voluntary Services (AVS)** page opens.

- In the **Date** field on the **Application for Voluntary Services (AVS)** page, type today's date. (MM/DD/YYYY)
- For the **Type**, select **New**.
- Select the **Form of Organization**.

NOTE: By default, **Individual** is selected. If you select a different option, the page refreshes and additional fields may become available. For example, if you select **Corporation**, the page refreshes and fields for **Corporate Information** appear on the page.

7. Complete the required fields (*) in the **Applicant (Owner)** section. (Source: Blocks #4 through #8 AVS)

Applicant (Owner)

TIN:  (at least 3 characters)

DUNS#:

Name*:

Telephone*:

Mailing Address

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

8. Complete the required fields (*) in the **Plant** section. (Source: Block #9 and #10 AVS)

Plant*

Name*:

Telephone*:

Physical Location Physical Location Same as Applicant's Mailing Address

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

Mailing Address Mailing Address Same as:

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:


Postal Code*:

NOTE: If the **Telephone**, **Physical Location**, or **Mailing Address** is the same as the applicant's, you can select the appropriate check boxes to copy the information. See Part E. below for directions. As with the AFI, the e-mail contact information identified on the FSIS Form 5200-2 will be entered in the **PHIS Establishment Profile > Contact** section by the in-plant CSI.

9. In the **Services Requested** block, select the appropriate services or voluntary slaughter information. (Source: Block #11 through #18 AVS)
10. Enter the required fields in the **Ownership and Management Information** section for the **Person Signing Application** (This is the non-FSIS person who signed application (AVS Block #19). (Source: Blocks #19 through #22 AVS)
11. In the FSIS **Information** section, enter the required fields (*):


Information

Establishment Number*

 Add new Establishment Number

Type of Inspection	Establishment Number
No records to display.	

Approver's Name*:

Date Approved*: 

- a. Establishment Number
 - i. Click **Add New Establishment Number**.
 - ii. For **Ownership Number**, if a meat or poultry grant already exists, PHIS defaults to already assigned number; otherwise, PHIS displays the next available number. If you are entering information for an existing plant that has a meat or poultry grant, accept the already assigned number. If you are entering information for an existing plant that does not have a meat or poultry grant, but already has an establishment number, overwrite the next available number value so that it matches the current establishment number.
 - iii. Enter a suffix in the **Suffix** field if applicable. After you click the **Suffix** field, a preview of what the establishment number will look like appears below the suffix data-entry field.
 - iv. Click **Save**.
 - b. **Approver's Name**, typically the District Manager or the approver on the application (Source: Block #26 AVS)
 - c. **Date Approved** (Source: Block #27 AVS)
12. In the **Circuit** section, select the **Area** and **Circuit** from the drop-down lists.
 13. Click **Finish**. The voluntary approval is listed on the **Grant/Voluntary Reimbursable Service** page with a Status of **Reserved**
 14. Repeat steps 3-13 for each additional voluntary approval you need to enter.
 15. Click **Reserved** to change the status of the voluntary approval.

16. For the **New Status** field, select **Recommended** for the voluntary approval.
17. Click **Save**.
18. On the **Grant/Voluntary Reimbursable Service** page, click **Recommended**.
19. For the **New Status** field, select **Granted** for the voluntary approval.
20. Click **Save**.
21. On the **Grant/Voluntary Reimbursable Service** page, select the operating status from the drop-down list.
22. Verify that the status is **Active**.
23. Click **Save**.
24. Repeat steps 16-23 to modify the status for each voluntary approval.

Enter Establishment Profile

The following guidance covers only what the GC Role would enter in the Establishment Profile from the AFI, AVS, and/or GOI. Much of the information found in the Establishment Profile is entered by the CSI, PHV, or FLS assigned to the establishment according to [FSIS Directive 5300.1, Managing the Establishment Profile in the Public Health Information System](#) after the GC has added the establishment. Note: For new establishments, field inspection will not be able to update the Profile until after the GC has added the new establishment and the RMA has added the Establishment to an assignment as described in Part F below.

For new establishments, add other information into the PHIS profile from the AFI or AVS, as appropriate, such as Types of Operations from the AFI, or ID services requested from the AVS.

Entering Plant Contact – Information


To add or edit plant contact information:

1. Log in as the CSI, if you have that capability. You cannot edit this information from the GC role.
2. Click **Establishment Profile > Select Establishment**.
3. Enter the establishment number in the **Number** field and click **Search**.

The screenshot shows a web application interface for selecting an establishment. The page title is "Select Establishment". On the left is a navigation menu with options like "Add Establishment", "Select Establishment", "Profile Summary", etc. The main form area contains several input fields and dropdown menus. A red arrow points to the "Number" field, which is a text input box. Other fields include "Name", "Inspection Type", "Business Unit", "Circuit", "State", "Operating Status", "Region", "City", and "Zip Code". A "Search" button is located at the bottom right of the form.

NOTE: The Number field only accepts numerals. Do not enter M, P, or any suffixes.

- Click the Icon to select the establishment.

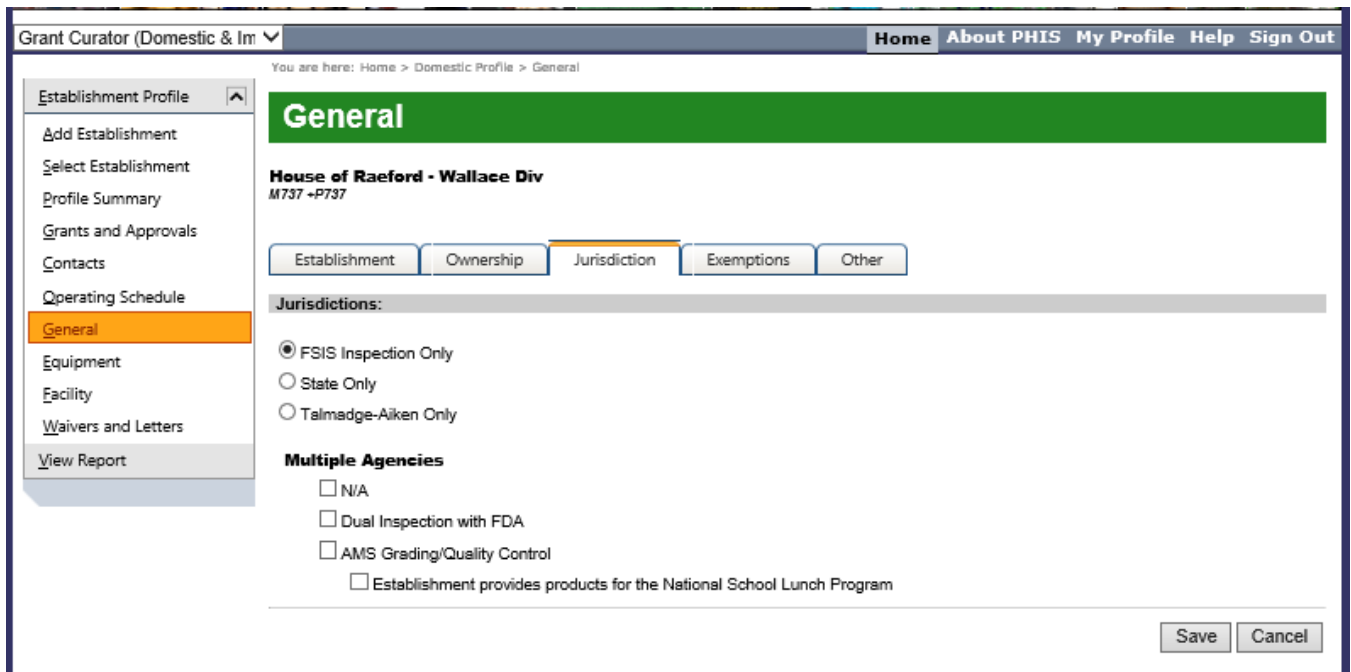
	Name	Number	Circuit	City	State
	Dudley Poultry Co., Inc	M1392 + P1392	35 -	Middlesex	New York

- Click **Establishment Profile > Contacts**.
- In the **Establishment** Tab, Click the **Pencil Icon** next to the Name and Position **Owner** to edit the contact information or click **Add new Contact** to enter a new contact person.
- Click **Save** when entries or edits are complete.

Entering the Jurisdiction

FSIS Form 5200-2, AFI Part 19D identified the Jurisdiction.

After the establishment is selected as above, The GC Role can edit the Jurisdiction under the **Establishment Profile > General** page.



Grant Curator (Domestic & Im) | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > Domestic Profile > General

General

House of Raeford - Wallace Div
M737 +P737

Establishment | Ownership | **Jurisdiction** | Exemptions | Other

Jurisdictions:

FSIS Inspection Only
 State Only
 Talmadge-Aiken Only

Multiple Agencies

N/A
 Dual Inspection with FDA
 AMS Grading/Quality Control
 Establishment provides products for the National School Lunch Program

Save | Cancel

- Click the **Jurisdictions** tab.
- Select the appropriate **Jurisdiction**.
- Click **Save**.

Entering the Exemptions

FSIS Form 5200-2, AFI, Part 19C identified the Exemptions

After the establishment is selected as above, The GC Role can edit the Exemptions under the **Establishment Profile > General** page.

The screenshot shows the PHIS system interface. At the top, there is a navigation bar with 'Home', 'About PHIS', 'My Profile', 'Help', and 'Sign Out'. Below this is a breadcrumb trail: 'You are here: Home > Domestic Profile > General'. The main content area is titled 'General' and shows the establishment name 'House of Raeford - Wallace Div' with ID 'M737 +P737'. There are five tabs: 'Establishment', 'Ownership', 'Jurisdiction', 'Exemptions', and 'Other'. The 'Exemptions' tab is active. Under 'Exemptions:', there is a list of options with checkboxes: 'Custom Processing', 'Custom Slaughter', 'Retail', 'Religious Exemptions of Poultry' (checked), 'Buddhist eviscerated Poultry', 'Confucian Non-eviscerated Poultry', 'Islamic Poultry' (checked), and 'Kosher Non-eviscerated Poultry'. At the bottom right, there are 'Save' and 'Cancel' buttons. A footer at the bottom left reads 'PHIS Home | Build# v6.3.2'.

E. Create Assignments (RMA Role)

Once the establishment has been updated with core data, it must be placed into an inspection assignment. This task must be completed by a user with the **RMA (Domestic-OFO)** user role.

Assignments should be created by supervisory order. For example, create a Supervisory CSI assignment prior to creating any subordinate in-plant assignments, such as a GS-7.

1. Log in as an RMA. If a new IPS needs to be created, follow steps 2 through 9. If the new assignment is going to be added to an existing IPS, skip to step 10.
2. Click **Resource Management > Circuit**.
3. Select your circuit from the list.
4. On the **IPS** tab, click **Add new Circuit IPS**.
5. Enter the required information:
 - a. **Number** (should always be two digits. Example: 01)
 - b. **Type**
6. Click **Save**.
7. Click **Return to Previous Page**.
8. From the left menu, click **Assignments**.
9. To select the IPS you just created, complete the **District**, **Circuit**, and **IPS** fields.

10. Click **Add New Assignment**.
 11. Verify or enter the required information:
 - a. **Number**
 - b. **Number of Positions**
 - c. Click the **Search** button to select the **HQ Point** and **HQ Point Shift**. Once selected the **Tour of Duty** will populate automatically.
 - d. **Slaughter – On Line**
 - e. **Role**
 - f. **Frequency**
 - g. **Coverage**
 - h. **Standard Job**
 - i. **External Travel %**
 - j. **Supervising Assignment**
 12. Click **Save**.
 13. Click the green arrow to assign personnel resources and establishments.
 14. On the **Assign Establishment** tab, click the **Search Establishments** bar to expose the establishment search fields. By default, you will see a list of all the establishments in that circuit (separated by shift).
 15. Click **Assign** next to the establishment you want to add to the assignment.
 16. If the personnel assigned is the IIC, select the **Is IIC** check box.
 17. On the **Staffing Requirements** tab, enter the **External Travel** amount, if necessary, and click **Update**.
 18. If you have another establishment, repeat steps 14-17; otherwise, go to the next step.
 19. Click the **Assign Personnel Resources** tab.
 20. Click the **Search Personnel Resources** bar to expose the personnel search fields.
 21. Search for personnel to assign.
- NOTE:** If you search for a person and cannot find him or her in the resulting list, it is possible that the record is not flagged appropriately. To flag a personnel record: Login as an RMA and click **Resource Management > Personnel**. On the **Personnel** page use the **Filter Personnel Resources** block to search for the record. Select the record and verify that the “**Is field**” check box is selected. Click **Save**.
22. Click **Assign** if the user is permanently in this assignment. Click **Coverage** if the user does temporary coverage.

NOTE: Users can only be in one permanent assignment.

F. Verify Completeness

After the GC Role has completed the data entry for an establishment, verify that the record contains all of the following information:

- One or more grants with inspection activities for each grant (requires GC to check the appropriate boxes under “animals to be slaughtered” or “types of products” on **AFI** page)
- Establishment Jurisdiction
 - This information can also be edited by field inspection.
- Days and Hours of Operation

Depending on the type of establishment, verify that the record contains some the following information which should have been entered by field inspection as per [FSIS Directive 5300.1](#). This information is necessary for PHIS to distribute the correct inspection tasks and for the FSIS Laboratories to send sampling supplies.

- HACCP Processing Category
- Product Volume Information
- Jurisdiction
- Sampling Supplies Address