



United States
Department of
Agriculture



Food Safety and Inspection Service

Protecting Public Health and Preventing Foodborne Illness



Food Safety and Inspection Service:

Public Health Information System (PHIS)

Export 2.0: Functionality Updates

July 30, 2020

Food Safety and Inspection Service:

Agenda

- PHIS Industry Enrollment
- Corporate and Establishment Administrator
- Application Edits and History
- Updates to Applications
- Statements and Custom Placeholders
- Batch
- Industry Test Environment

Food Safety and Inspection Service:

PHIS Industry Enrollment

- Streamlined access for Establishment Administrator and Corporate Administrator roles
- Industry enrollees notified when there are no active users to approve enrollment request
- Eligible users notified when enrollment requests are pending

Food Safety and Inspection Service:

Corporate and Establishment Administrator

- Expanded menu items for the Corporate Administrator to manage domestic and export records
- User records expand to display associated establishments
- Filter user records by Establishment
- Prompts added to indicate pending Enrollment and Change Requests



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Food Safety and Inspection Service:

Application Edits and History

- Expansion of fields available to edit after review of the application by IPP has begun until record is updated to Pending Upload status:
 - Exporter, Importer, Statement and Submit pages
 - Product Name on the Product Details page of product records
- 9060 unlock moved to within the application
- Application history grid
- Spell check



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Food Safety and Inspection Service:

Statements and Custom Placeholders

Statement selection options are added to incorporate documentation requirements for importing countries in accordance with the export library, posted on the FSIS website.

Food Safety and Inspection Service:

Batch

Updated XSD and Excel templates include all options available in creating and editing an application in the UI.



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Food Safety and Inspection Service:

Industry Test Environment (ITE)

- Updated user guides will be emailed within this presentation.
 - Final user guides will be posted by August 21st on the FSIS website. URL: www.fsis.usda.gov/phs
- ITE will reopen on August 1st with the new features. URL: <https://phisindsite.fsis.usda.gov>
 - Vietnam is the test country for the statements feature.
 - ITE will close on August 21st and reopen on August 24th.
- If you have questions or receive errors, please send an email to: PHIS Technical Q and A - FSIS
PHISTechnicalQA@usda.gov.

Food Safety and Inspection Service:

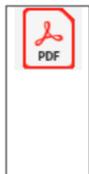
User Guides

- USDA FSIS PHIS Industry User Guide



(included as appendix A)

- USDA FSIS PHIS Export Batch User Guide



(included as appendix B)



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Food Safety and Inspection Service

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**Food Safety and Inspection Service (FSIS)
United States Department of Agriculture
(USDA)**

PHIS Industry User Guide

August 2020

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1. Introduction

This *Public Health Inspection System (PHIS) Industry User Guide* is designed for all industry representatives who produce and sell meat, poultry, and processed egg products regulated by the United States Department of Agriculture, Food Safety and Inspection Service (USDA/FSIS). Industry representatives include users with these roles: Establishment Administrators, Corporate Administrators, Plant Management, Export Applicants, and Export Brokers.

1.1 Purpose

This guide provides detailed, role-based, step-by-step instructions on performing all industry actions within the PHIS. This resource provides guidance on entering data and working directly within the PHIS.

2. Overview of PHIS

2.1 What is PHIS?

The United States Department of Agriculture (USDA) Food Safety and Inspection Service (FSIS) is the public health regulatory agency responsible for ensuring that domestic, exported, and imported meat, poultry, and processed egg products are safe, wholesome, and correctly labeled and packaged.

FSIS implemented the Public Health Information System (PHIS) as part of an effort to collect, consolidate, and analyze data. PHIS is a web-based application that improves the way FSIS detects and responds to foodborne hazards.

PHIS has four components: domestic inspection, import activities, export activities, and predictive analytics.

2.2 Requirements

In order to use PHIS, your computer must have the following software installed:

- One of the following Web browsers:
 - Internet Explorer 11 or later and Microsoft Edge
 - Mozilla Firefox
 - Google Chrome
- Adobe Acrobat Reader

Compatibility mode is not required. The supported operating system is Windows 10.

2.3 Business Functionality Overview

PHIS provides functionality to support FSIS' main lines of business in four areas:

- Domestic inspection
- Import management
- Export certification
- Predictive Analytics

2.4 Role-based Access

PHIS is a role-based system. When users access PHIS, the functionality and data to which they have access depends on their assigned PHIS roles.

User authentication is the foundation of PHIS' role-based access. Each user's privileges and the scope of data they can access (i.e., establishment versus national data) is based on their specific work assignments, responsibilities, and assigned PHIS roles.

2.5 Creating an eAuthentication Account

Every person that uses PHIS must have electronic Authentication account that includes the identity verification step. The verification step is covered in Section 2.6. The Department of Agriculture manages this process, not the individual Agencies, such as FSIS. For more information on eAuthentication, visit the eAuthentication website at <http://www.eauth.egov.usda.gov/>.

Step 1 Open a web browser and go to <https://www.eauth.usda.gov/MainPages/index.aspx>.

Step 2 On the eAuthentication Home page, select **Create an Account**.

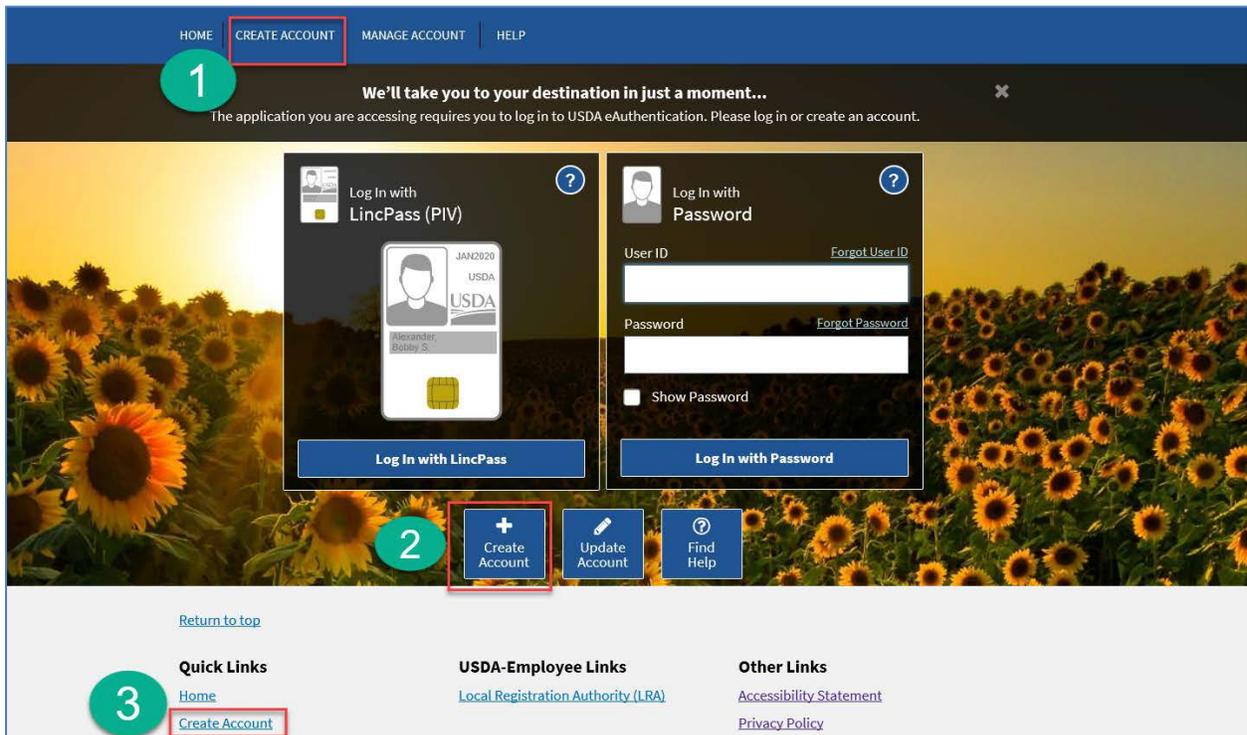


Figure 1: Create an eAuthentication Account

Step 3 The Account Registration type page opens. Select the option for Customer and then select the **Continue** button.

The image is a screenshot of the 'Account Registration' page. The title is 'Account Registration' with a question mark icon. A green circle containing the number '1' is in the top right corner. The question is 'What type of user are you?'. There are two radio button options: 'Customer' (which is selected) and 'USDA Employee / Contractor'. At the bottom, there is a blue 'Continue' button.

Figure 2: Identify Account Type

Step 4 Enter your email address.

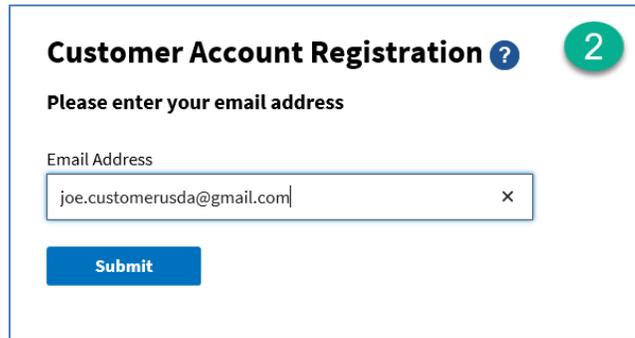
The screenshot shows a web form titled "Customer Account Registration" with a help icon and a green circle containing the number "2". Below the title is the instruction "Please enter your email address". There is an input field labeled "Email Address" containing the text "joe.customerusda@gmail.com" and a clear button (X). Below the input field is a blue "Submit" button.

Figure 3: Enter Email Address

Step 5 Select **Submit**.

Step 6 A registration confirmation email completes the account registration.

Step 7 Open your Confirmation email and select confirm email address link located in the email. Completing this step must happen within 30 minutes before the link provided in the email expires.

Step 8 The Customer Account Registration page opens. Enter your name as provided on a government issued ID. This is important for completing the identity verification step later.

Step 9 Enter a password for the account.

Step 10 Select **Submit**.
A new window displays indicating that the account registration process is complete.

Note: The eAuthentication identity verification process does not have to happen at a Local Registration Agency (LRA) and can substituted with the self-service identity verification process. Self-Service Identity Verification allows you to complete the identity verification process online by answering *out-of-wallet* quiz questions that only you would know. This process leverages the Experian identity verification system, which meets NIST standards for identity verification.

Additional information on the identity verification process and eAuthentication is located here:
https://www.eauth.usda.gov/GlobalAssets/Documents/USDA_eAuthentication_FAQ_508.pdf

2.6 Performing the Identity Verification Process

To access PHIS, go to <https://phis.fsis.usda.gov>. Your browser re-directs to the online identity verification page. The options presented are complete the process online or visit a USDA Service Center.

Step 1 Select the Online Identity Verification option and Agree to the Terms of Service.

Step 2 Complete the account profile form.

- a. Confirm the first and last name match government issued photo ID, no nicknames. Update if necessary.

b. Complete the remaining fields: address, phone, date of birth, and SSN.

Step 3 Select **Continue**.

Step 4 The identity verification quiz opens. There are five questions displayed from the Experian credit database. There is an option to go to the previous pages to review the answers.

Step 5 On the last page, select **Submit** to complete the process. If you are unsure of the answers, closing the browser allows for a later attempt.

Step 6 There is a notification indicating if the identity verification is successful. Select **Continue** to return to the original application.

There are a number of reasons why visiting an LRA in person may be required:

- Failing too many attempts at identity verification.
- Not enough data available to generate the quiz.

Valid documentation is necessary to complete identity verification at the LRA.

2.7 Logging in to PHIS

Note: Verify that all PHIS emails are not being directed to your junk/spam folder.

To access PHIS, go to <https://phis.fsis.usda.gov>. Your browser re-directs to the eAuthentication Login page (Figure 4).

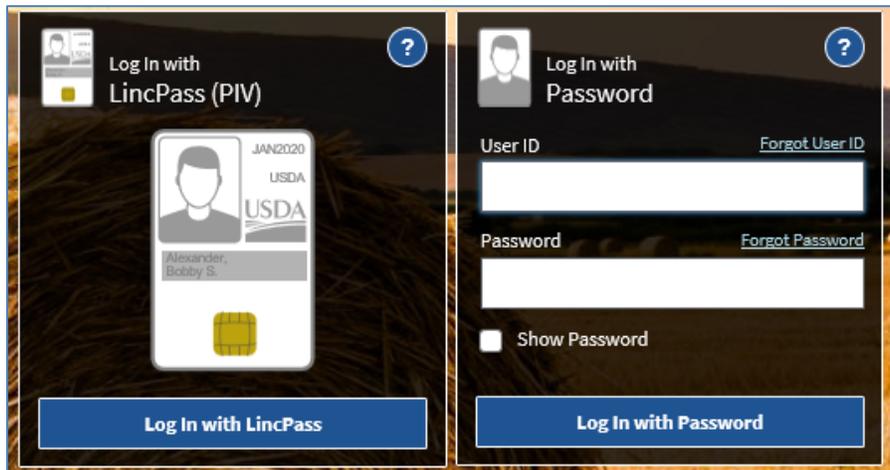


Figure 4: eAuthentication page

Provide an eAuthentication User ID and Password and then select **Log In with Password**. The USDA eAuthentication system validates the User ID, Password, and that identity verification is complete before opening the PHIS application.

Below the log in is a warning for USDA eAuthentication consent. By logging into PHIS, you are agreeing to this statement.

Warning

Upon Login You Agree to the Following Information:

- You are accessing a U.S. Government information system, which includes (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only.
- Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.
- By using this information system, you understand and consent to the following:
 1. You have no reasonable expectation of privacy regarding any communications or data transiting or stored on this information system. At any time, the government may for any lawful government purpose monitor, intercept, search and seize any communication or data transiting or stored on this information system.
 2. Any communications or data transiting or stored on this information system may be disclosed or used for any lawful government purpose.
 3. Your consent is final and irrevocable. You may not rely on any statements or informal policies purporting to provide you with any expectation of privacy regarding communications on this system, whether oral or written, by your supervisor or any other official, except USDA's Chief Information Officer.

Figure 5: USDA eAuthentication Consent

2.8 PHIS User Interface Overview

The PHIS user interface is labeled in Figure 6. It incorporates many features that are standard across many USDA websites.

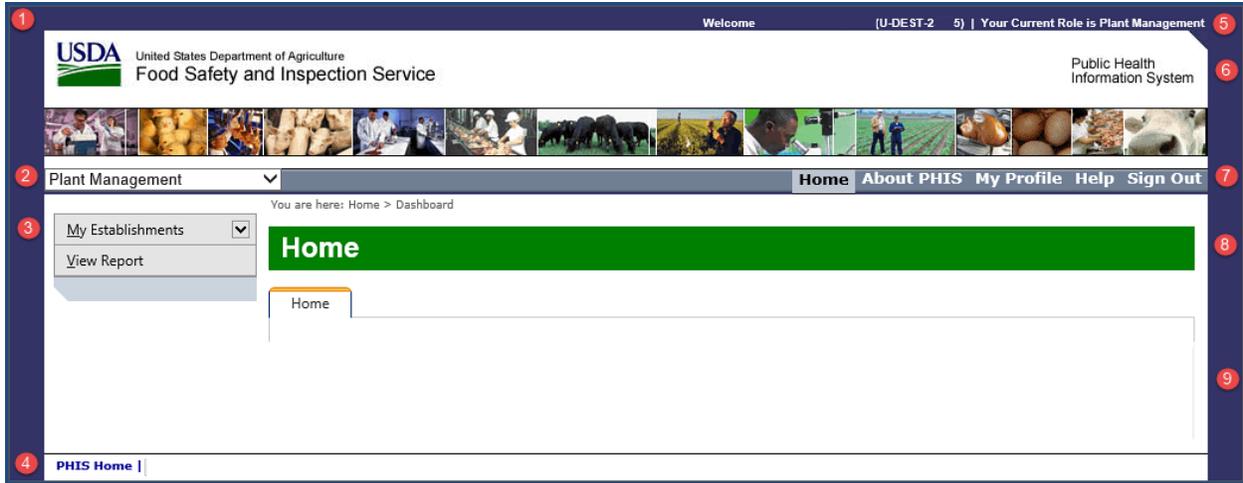


Figure 6: PHIS User Interface

Item	Name	Notes
1	Banner	This banner appears on all USDA web pages.
2	Role	Displays your current role. Certain users may be assigned multiple roles and change roles using this selection list.
3	Navigation Menu	Appears on many PHIS pages; menu options depend upon user role.
4	Quick links	Appears at the bottom of every page; with links to additional resources if applicable.
5	Welcome statement	Appears on all PHIS pages; indicates your name and current role. Also on this line is the PHIS assigned user access code, known as your PHIS ID.
6	PHIS	Appears on all pages within the PHIS system.
7	PHIS Menu Bar	<p>Home Navigates to the PHIS Home page.</p> <p>About PHIS Provides an overview of PHIS.</p> <p>Help Provides access to online PHIS support resources.</p> <p>Contact Us Provides point of contact information for the PHIS administration team and a messaging interface.</p> <p>Sign Out Exits PHIS.</p>

Item	Name	Notes
8	Header	Appears on every PHIS page; indicates the functionality displayed in the context area. Includes a path that shows the page navigation followed to reach the current page and allows you to navigate back to previous pages.
9	Content Area	Central to all PHIS pages, this area of the screen provides the functionality needed for the user to perform a task within PHIS.

Table 1: PHIS User Interface Attributes

2.9 Navigation Menu

The Navigation Menu is the primary way that one accesses the PHIS functionality. It is customized based upon the user's role. The user sees only those navigation links that are appropriate to the user's role. Items in the Navigation Menu may implement a hierarchy of links and selecting on an item in the Navigation Menu may cause a menu of sub-items to be displayed. The lowest level of items in a menu are links which, when selected, present a PHIS functional page in the Content Area.

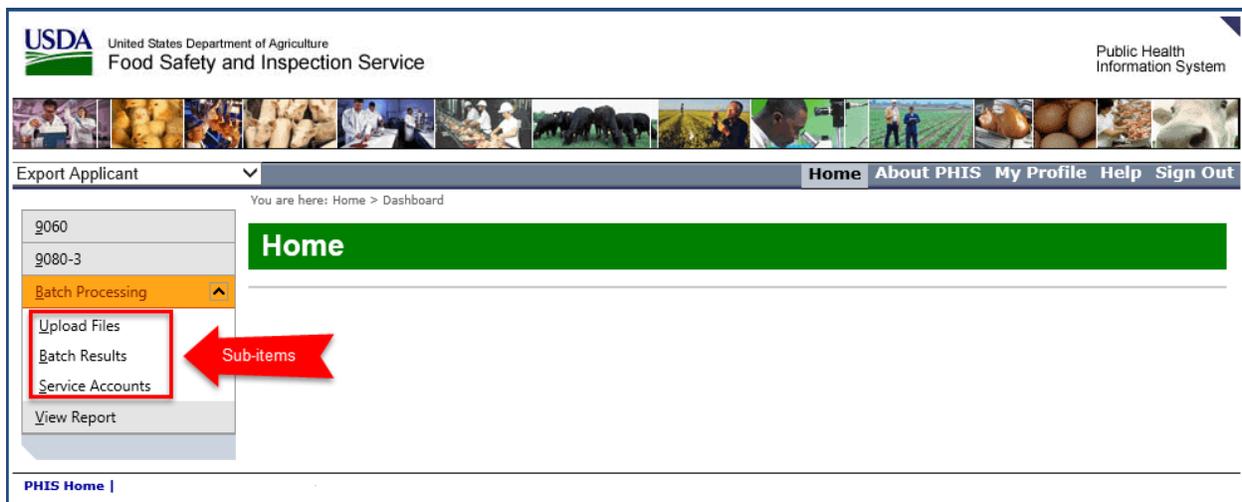


Figure 7: Navigation Menu

2.10 PHIS Home Page

The PHIS Home Page provides a point of entry to PHIS. The Home Page is customized so each user sees information that is relevant to the user's role. The information provided in the Home Page may also provide access to PHIS functionality via links, i.e., an alternative way to access system functions, augmenting the Navigation Menu.

Figure 8 provides an example of the Home Page as seen by a user with the Plant Management role.

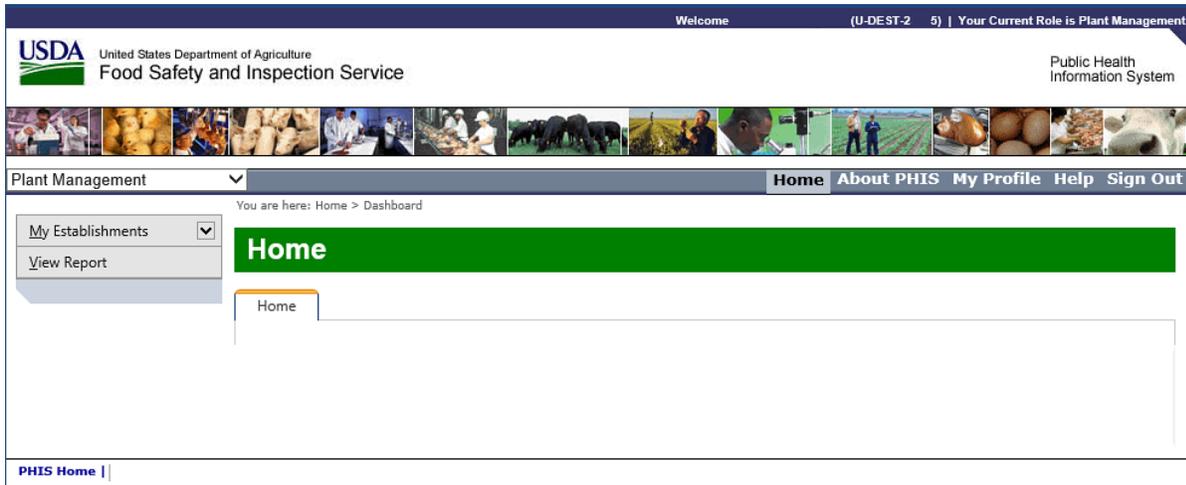


Figure 8: PHIS Home Page Example: Plant Management Role

Note: The Plant Management role does not have any tabs or tables displayed on the Home page; in these cases, all required functionality is accessed via the navigation menu.

3. PHIS Guide for Industry Users: User Enrollment and Administration

3.1 Overview

This section provides an overview of the PHIS User Enrollment and Administration application. This application links your eAuthentication account with your user role and establishment in PHIS.

PHIS supports these roles: Establishment Administrator, Plant Management, Corporate Administrator, Export Applicant, and Export Broker.

Each establishment is responsible for managing whom they give access to within PHIS. This includes removing individuals that are no longer associated with the establishment or corporate entity. FSIS recommends having more than one Establishment Administrator to manage the roles.

Additionally, because PHIS is password and security protected, ninety days of inactivity by any one individual, triggers PHIS to make that individual's account inactive.

Establishment Administrator and Corporate Administrator access is centered on PHIS identifying a matching contact record associated with establishment(s).

Users with Establishment Administrator and Corporate Administrator roles can approve enrollment requests, add roles, deactivate and reactivate accounts for users with Plant Management, Export Applicant, and Establishment Administrator roles at their establishment(s). Corporate Administrators can manage other Corporate Administrator accounts at their establishment(s).

If an account with the Establishment Administrator or Corporate Administrator role is deactivated due to inactivity, as long as the matching contact record has not been deleted from the system, PHIS automatically reactivates their user account and displays the FSIS Dashboard when the user logs in.

If matching contact record(s) have been deleted, the system notifies the user that no FSIS accounts were found with a link to Enroll by Submitting Enrollment Request that can be approved by an active user at the specified establishment with the Establishment Administrator or Corporate Administrator role.

Table 2 describes each role and the associated functionality.

Role	Functionality
Establishment Administrator	<ul style="list-style-type: none"> • Search for existing users associated with the establishment • Update the following details for establishment users <ul style="list-style-type: none"> ○ Salutation ○ Display Name ○ Credentials ○ Work Phone ○ Mobile Phone ○ Fax • View enrollment requests for the establishment • Approve enrollment requests for the establishment • Add roles to users associated with the establishment • Revoke roles from users associated with the establishment • Deactivate user accounts associated with the establishment • The FSIS in-plant personnel can assign up to three Establishment Administrators when provided names by the establishment. An establishment can assign an additional 10 Establishment Administrators per establishment • View Reports for any associated establishments

Role	Functionality
Corporate Administrator	<ul style="list-style-type: none"> • Search for users associated with corporate establishments • Update the following details for establishment users <ul style="list-style-type: none"> ○ Salutation ○ Display Name ○ Credentials ○ Work Phone ○ Mobile Phone ○ Fax • View enrollment requests associated with corporate establishments • Approve enrollment requests associated with corporate establishments • Add roles to users associated with corporate establishments • Revoke roles from users associated with corporate establishments • Deactivate user accounts associated with corporate establishments • A Corporate Administrator can assign up to 10 Corporate Administrators per establishment • View reports for any associated establishments • All functionality of the Plant Management role • All functionality of the Export Applicant role

Role	Functionality
Plant Management	<ul style="list-style-type: none"> • Respond to noncompliance records • Appeal noncompliance records • View and respond to Memorandum of Interview (MOI) records • View and print pre-defined reports • Save reports to your local computer • Add establishment Contact information • Update the following details for establishment users <ul style="list-style-type: none"> ○ Job Title ○ Salutation ○ Display Name ○ Credentials ○ Work Phone ○ Mobile Phone ○ Fax • Link the establishment to a corporate entity • An Establishment or Corporate Administrator can assign up to 10 Plant Management users per establishment • View Establishment Profile information • View slaughter information • View disposition records • View/print Condemnation Certificates • Manage Establishment Sorting records • View Waivers & No Objection Letters
Export Applicant	<ul style="list-style-type: none"> • Create and view 9060-6 Export Applications • View PDFs associated with approved 9060-5 Export Certificates • Upload 9060-6 Export Application files for batch processing • View results of batch file uploads • Create and view 9080-3 Applications • There is no limit per establishment on the number of related Export Applicant users.

Role	Functionality
Export Broker	<ul style="list-style-type: none"> • Create and view 9060-6 Export Applications • View PDFs associated with approved 9060-5 Export Certificates • Upload 9060-6 Export Application files for batch processing • View results of batch file uploads • The Export Broker role is not associated with any specific establishment

Table 2: Roles and Functionality

3.1.1 Establishment Administrator: User Enrollment

Establishment administrators are responsible for managing users in their establishment(s) who have the Plant Management, Export Applicant, or Establishment Administrator roles. In order for an establishment to have a user with the Establishment Administrator role, FSIS IIC or CSI must add at least one contact to PHIS with the Establishment Administrator role. Information added to the list of plant contacts must **match exactly** (case sensitive) with that associated with the eAuthentication record (first name, last name, and email address). After a contact has been added, that individual can log into PHIS following the instructions outlined in section 3.1.1.1 *Establishment Administrator: How to Access PHIS for the First Time*. FSIS personnel can specify up to three users as Establishment Administrators per establishment. The establishment can identify up to ten additional Establishment Administrators.

As another option, subsequent prospective users seeking the Establishment Administrator role can submit an enrollment request for the role and an associated Establishment or Corporate Administrator can approve the request. To do so, one can follow the instructions for submitting an enrollment request in section 3.1.4.1 *Plant Management: How to Submit an Enrollment Request* but request the Establishment Administrator role instead of the Plant Management role.

Any other establishment users who do not require the Establishment Administrator or Corporate Administrator roles must follow the instructions for submitting an enrollment request in section 3.1.4.1 *Plant Management: How to Submit an Enrollment Request*.

3.1.1.1 Establishment Administrator: How to Access PHIS for the First Time

After a contact has been added to the Establishment Profile Contacts' page, to activate the PHIS account, complete the following steps:

- Step 1** Open a web browser and go to <https://phis.fsis.usda.gov/enrollment/>.
- Step 2** Log in to PHIS with your eAuthentication user ID and password.
- Step 3** If PHIS identifies one or more matching contact record(s), PHIS displays the FSIS Dashboard (see Figure 9); otherwise, PHIS displays the Welcome to the FSIS Enrollment Application with a link to submit an Enrollment Request. Refer to section 3.1.4.1 *Plant Management: How to Submit an Enrollment Request* or contact your local FSIS representative.

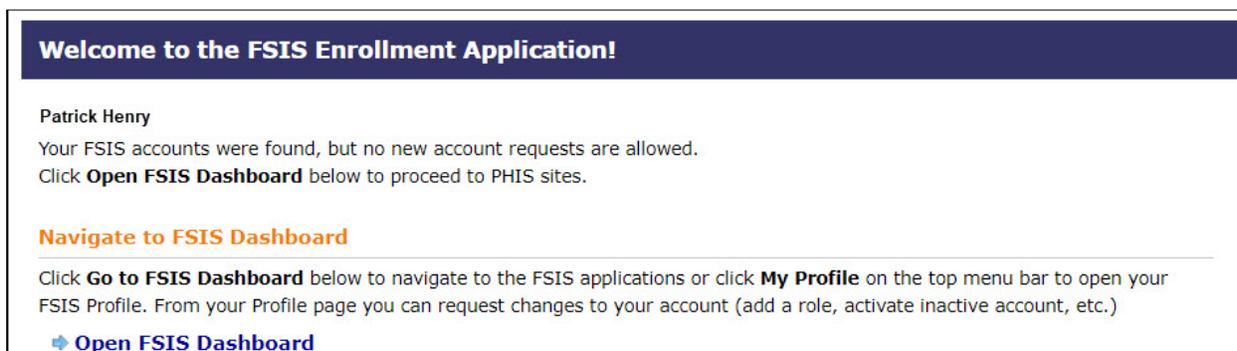


Figure 9: FSIS Enrollment Welcome page

Note: If an Establishment Administrator user account is deactivated due to inactivity after ninety days, the user should follow the same steps as when first accessing PHIS. As long as a related Contact record is still associated with the Establishment in PHIS, the user should see an option to

reactive their account by navigating to the FSIS Dashboard after logging in through eAuthentication.

3.1.2 Establishment Administrator/Corporate Administrator: User Management

Establishment Administrators and Corporate Administrators are responsible for managing user accounts for their establishments, which includes approving enrollment requests and adding or removing roles. Establishment Administrators can assign the Plant Management, Export Applicant, or Establishment Administrator roles to users of their establishments. Corporate Administrators can assign the Corporate Administrator role, in addition to the Plant Management, Export Applicant, and Establishment Administrator roles to users at their establishments.

PHIS provides an establishment filter for administrators who manage users at multiple establishments.

You can expand records to see the establishment(s) users are associated.

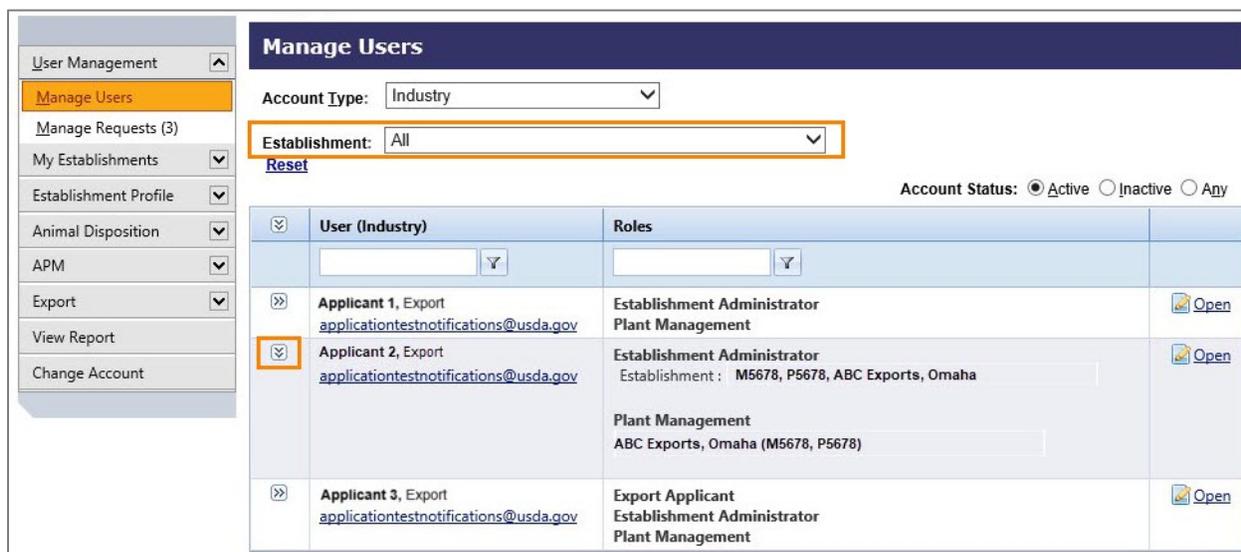


Figure 10 Manage Users: Sort by Establishment and Expand Records

3.1.2.1 Establishment Administrator: How to Manage New User Enrollment Requests

Personnel from your establishment who have completed the eAuthentication verification process may submit enrollment requests to create PHIS user accounts. As an Establishment Administrator, you can respond to enrollment requests by completing the following steps:

- Step 1** Log in to PHIS with your eAuthentication user ID and password.
- Step 2** From the navigation menu, select **Manage Requests**.
- Step 3** Select **Edit** next to the Enrollment request you want to review. The Request page (Figure 11) appears and you can review the request, make changes to it, or approve/reject it.
- Step 4** Review the request and make any changes to the user’s profile, such as assigning an additional role or removing a role, if necessary.
- Step 5** Do one of the following:

- Select **Reject** if you do not know the user or do not have enough information. If the user has provided contact information, you can also contact him or her to verify the request.
- Select **Approve**, if you want to approve the request.

Request Number - [REDACTED] by [REDACTED]

Account Information

First Name: [REDACTED] **R**equest Type: New Account

Middle Name: [REDACTED]

Last Name: [REDACTED]

Email: [REDACTED]

Job Title: Corporate Operations Manager

Work Phone: [REDACTED]

User Comments

Requests from the user appear in this area.

Establishment Information

Establishment Number: [REDACTED]

Establishment Name: [REDACTED]

Address: [REDACTED]

Add/Edit Roles

[+ Add a Role...](#)

Role	From	To	
<div style="font-size: small;"> [Primary role] Plant Management [ESTABLISHMENT] 1 work area assigned. </div>			

Feedback

Include any feedback here before you finish responding to the request.

Send Feedback to the Requestor

[Approve](#)
 [Reject](#)

Figure 11: Review Requests page

3.1.2.2 Establishment Administrator: How to Manage Change Requests from Existing Users

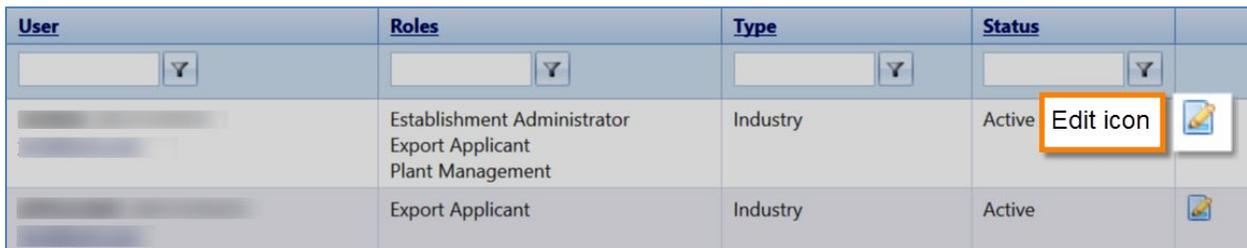
Users in your establishment may request changes to their PHIS accounts using the Requests feature. As an Establishment Administrator, you can respond to the requests by completing the following steps:

- Step 1** Log in to PHIS with your eAuthentication user ID and password.
- Step 2** From the navigation menu, select **Manage Requests**.
- Step 3** Select **Edit** next to the request you want to review.
- Step 4** View and process the narrative request. To grant the request, go to the Manage Users page and modify the user account appropriately.
- Step 5** On the User Profile page, select **Run PHIS Data Feed**. PHIS displays a confirmation message.
- Step 6** After you are finished modifying the user account, navigate to the Manage Requests page, select the **Delete** icon to remove the request from the grid.

3.1.2.3 Establishment Administrator: How to Assign a Role

To assign a role to another user in your establishment, complete the following steps:

- Step 1** Log in to PHIS with your eAuthentication user ID and password.
- Step 2** On the Manage Users page, search for a user by typing all or part of the user's last name in the Last Name field and select **Search**.
- Step 3** Select **Edit** (Figure 12).



The screenshot shows a table with four columns: User, Roles, Type, and Status. The first row is highlighted in grey. The 'Roles' column for this row lists 'Establishment Administrator', 'Export Applicant', and 'Plant Management'. The 'Type' column contains 'Industry', and the 'Status' column contains 'Active'. An orange box highlights the 'Edit icon' (a pencil icon) in the rightmost column of the first row.

User	Roles	Type	Status	
	Establishment Administrator Export Applicant Plant Management	Industry	Active	Edit icon 
	Export Applicant	Industry	Active	

Figure 12: Edit icon

- Step 4** Select the Roles tab.

Step 5 Select **Add a Role...** (Figure 13).



Figure 13: Roles Tab on Profile page

Step 6 From the Role drop-down list, select the role you want to add to the selected user's account.

Step 7 If you only want to add a role to a user's account for a specific timeframe, enter dates in the Effective From and Expires After fields. If you want the user to have the role until you revoke it, leave the Effective From and Expires After fields empty.

Step 8 Select **Save**.

Step 9 Select **Add Work Areas** (work areas for industry users are affiliated establishments) (Figure 14).

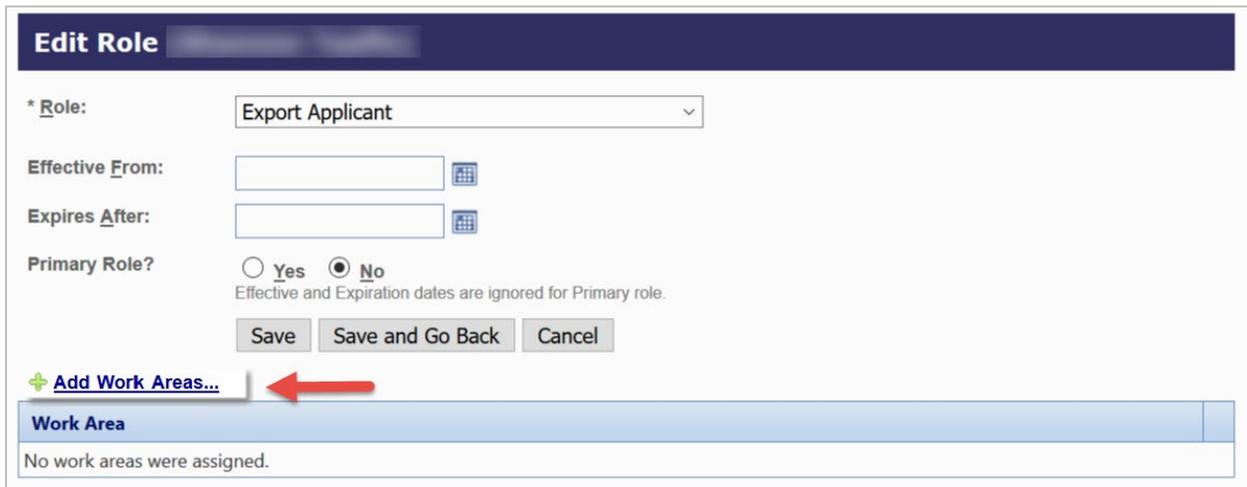


Figure 14: Edit Role page

Step 10 Establishments for which the account can be associated appear.

Step 11 Select establishment(s).

Step 12 Select **Save**.

Step 13 Select **Save and Go Back**.

Step 14 On the User Profile page, select **Run PHIS Data Feed**.
PHIS displays a confirmation message.

3.1.2.4 Establishment Administrator: How to Update a User's Personal Information

To update another user's personal information, such as contact information, complete the following steps:

Step 1 Log in to PHIS with your eAuthentication user ID and password.

Step 2 On the Manage Users page, search for the user by typing all or part of the user's last name in the Last Name field and select **Search**.

Step 3 Select **Edit**.

Step 4 Select the Personal Information tab.

Step 5 If desired, type the user’s information in the available fields, which are defined in Table 3: Personal Information Fields and Definitions. All the fields on the Personal Information tab are optional.

Field	Definition
Salutation	The user’s formal salutation, such as Mr., Mrs., Ms., or Dr.
Credentials	The user’s certifications or degrees
Work Phone	The user’s 10-digit work or office phone number
Mobile Phone	The user’s 10-digit mobile phone number
Fax	The user’s 10-digit fax machine number

Table 3: Personal Information Fields and Definitions

Step 6 Select **Update**.

3.1.2.5 Establishment Administrator: How to Remove a Role

Establishment Administrators can remove roles from users in their establishment. To remove a role from a user’s account, complete the following steps:

Step 1 Log in to PHIS with your eAuthentication user ID and password.

Step 2 On the Manage Users page, search for the user by typing all or part of the user’s last name in the Last Name field and select **Search**.

Step 3 Select **Edit**.

Step 4 Select the Roles tab.

Step 5 Select **Delete Role** (Figure 15).

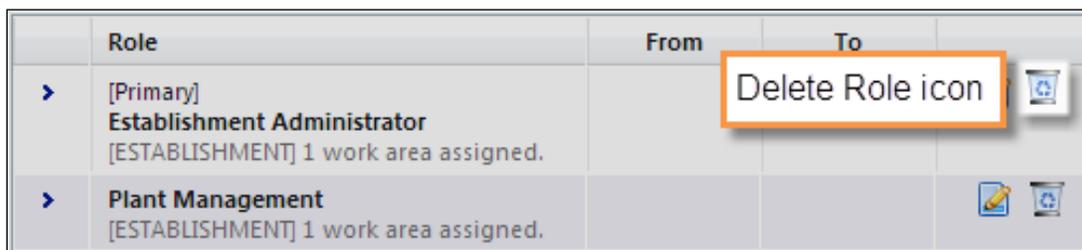


Figure 15: Delete Role icon

Step 6 If you are certain you want to delete the role, select **OK** in the confirmation window (Figure 16).

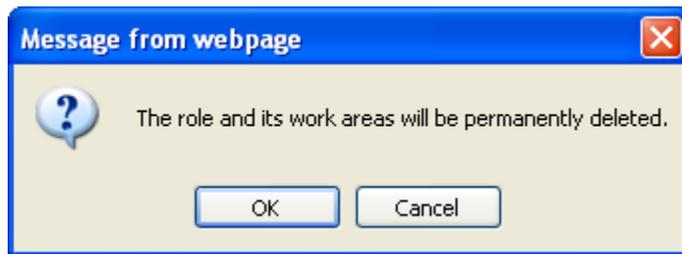


Figure 16: Delete Role Confirmation

3.1.3 Corporate Administrator: User Enrollment

Corporate administrators can manage industry users with Plant Management, Establishment Administrator, and/or Export Applicant roles for establishments that they are associated with in PHIS. Users with the Corporate Administrator role can also manage the records of other corporate account type users associated with the same establishment(s).

In order for a user to add the Corporate Administrator role associated with a specific establishment, an enrolled user from the establishment with a Plant Management role must add a contact to PHIS with the Corporate Administrator role.

Users with the Corporate Administrator role have access to all Plant Management and Export Applicant menus without needing the Plant Management and Export Applicant roles associated with their account.

3.1.3.1 Corporate Administrator: How to Access PHIS for the First Time

Once a Corporate Administrator contact record has been added to the Establishment's Establishment Profile Contacts' page, to activate your PHIS account, complete the following steps:

- Step 1** Open a web browser and go to <https://phis.fsis.usda.gov/enrollment/>.
- Step 2** Log in to PHIS with your eAuthentication user ID and password.
- Step 3** If PHIS identifies one or more matching contact record(s), PHIS will navigate the user to the FSIS Dashboard; otherwise, if PHIS is unable to identify a contact record that is an exact match with the information associated with the eAuthentication record, the system displays the Welcome to the FSIS Enrollment Application page with a link to submit an Enrollment Request. Refer to section *3.1.4.1 Plant Management: How to Submit an Enrollment Request* or contact your local FSIS representative.

3.1.4 Plant Management: Request User Enrollment

In order to use PHIS to respond to noncompliance records, appeal noncompliance, view MOIs, or view reports, a user needs the Plant Management role or a Corporate Administrator role. There are two ways the Plant Management role can be assigned: An Establishment Administrator or Corporate Administrator adds the role to an existing account related to the Establishment, or a prospective user submits an enrollment request and an Establishment Administrator or Corporate Administrator approves the request.

3.1.4.1 Plant Management: How to Submit an Enrollment Request

To activate your PHIS account and request a role for the first time (you do not already have a PHIS account), complete the following steps:

- Step 1** Open a web browser and go to <https://phis.fsis.usda.gov>.
- Step 2** Log in to PHIS with your eAuthentication user ID and password.
- Step 3** On the Enrollment Welcome page, select **Submit Enrollment Request**.

Step 4 On the Step 1 page, select **Next**.

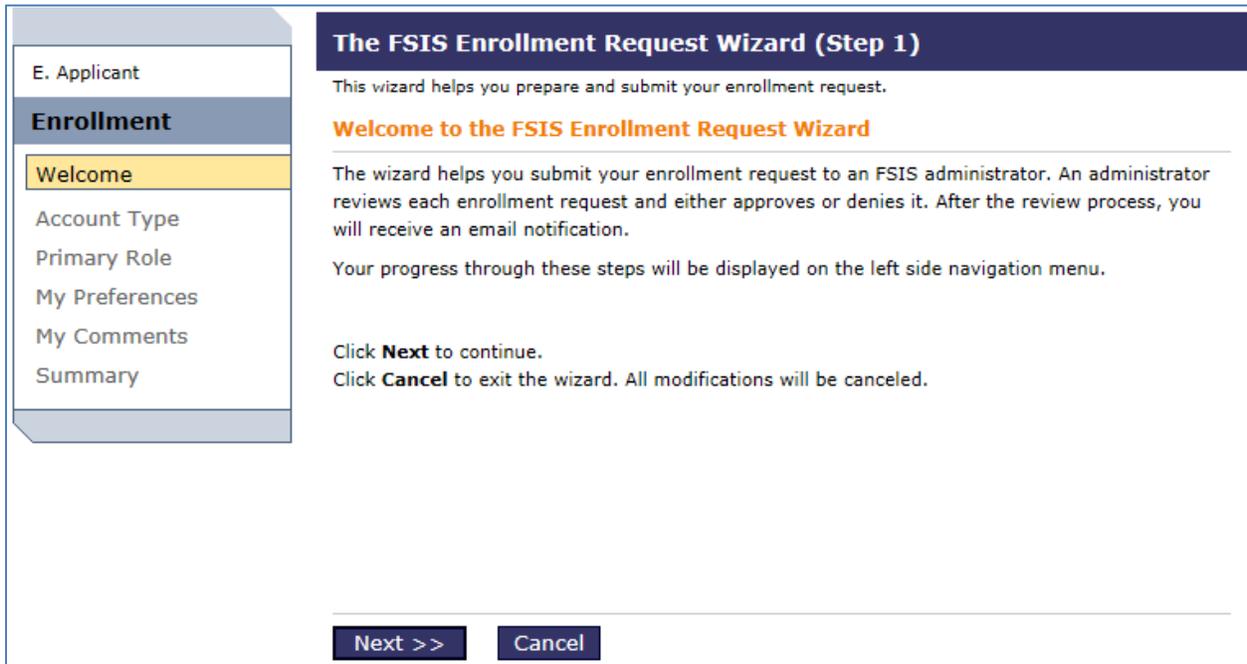


Figure 17: FSIS Enrollment Request Wizard

Step 5 On the Step 2 page, in the Account Type field, select Domestic and select **Next**.

Step 6 On the Step 3 page, in the Role field, select Plant Management and select **Next**.

- Step 7** On the Step 4 page, enter filter criteria to find the establishment and select **Find**.
- Step 8** Choose **Select** next to the Establishment and select **Next**.

The FSIS Enrollment Request Wizard (Step 4 of 7)
 This wizard helps you prepare and submit your enrollment request.

Select Domestic Establishment

Select or verify your establishment. You may choose from the list below by clicking the **Select** on the right side of the entry, or search by entering your establishment's information in the boxes provided and clicking **Find**.
 Note that if an establishment hasn't been rolled out yet or it has inactive status in the system, it is not eligible for user enrollment and it will not be displayed here.

Name: Full or partial name.
Number: An establishment number

Find **Reset**

Establishment: [Blurred text]

Establishment	Address	
[Blurred]	[Blurred]	✓ Select

<< Previous Next >> Cancel

Figure 18: Select Domestic Establishment feature

- Step 9** On the Step 5 page, complete optional user account information and select **Next**.
- Step 10** On the Step 6 page, add optional comments and select **Next**.
- Step 11** On the Step 7 page, verify that all the information is correct and select **Finish**. After you submit the request, your Establishment Administrator or Corporate Administrator must approve your request before you will be able to use PHIS.

3.1.4.2 Plant Management: How to Request Additional Roles

If you already have a PHIS account, but need an additional role, complete the following instructions:

- Step 1** Open a web browser and go to <https://phis.fsis.usda.gov>.
- Step 2** Log in to PHIS with your eAuthentication user ID and password.
- Step 3** Select **My Profile** in the PHIS Menu Bar (Figure 19).

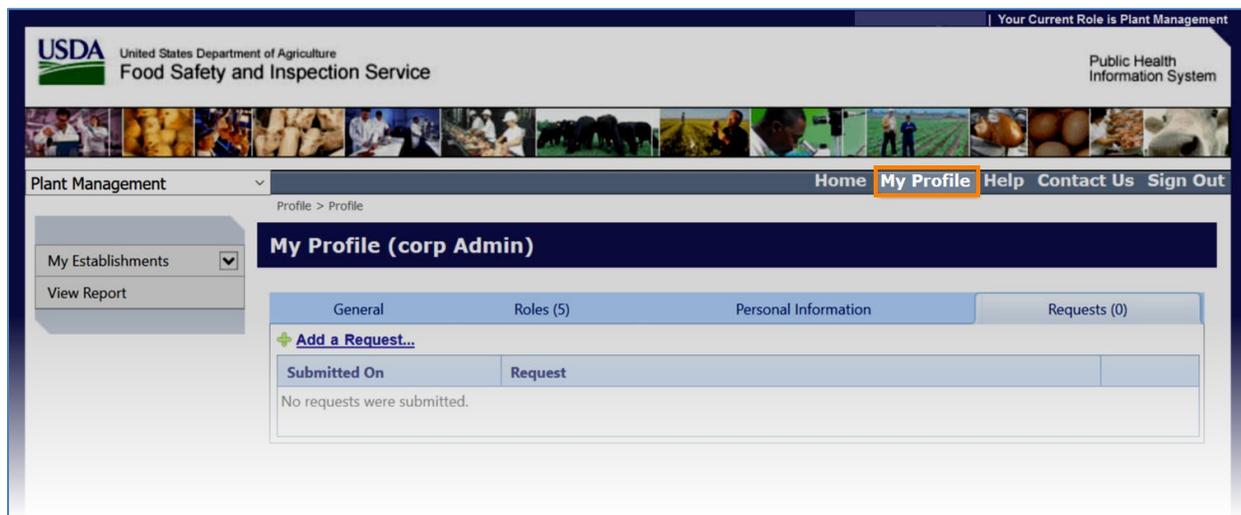


Figure 19: My Profile

- Step 4** Select the Requests tab.
- Step 5** Select **Add a Request...**
- Step 6** Enter your request details in the text box.
- Step 7** Select **Create Request**.
After creating the request, your Establishment Administrator or Corporate Administrator will need to modify your account accordingly (section 3.1.2 *Establishment Administrator/Corporate Administrator: User Management*). You can modify the request or delete it by selecting the appropriate icon on the Requests page before your Establishment Administrator or Corporate Administrator act on your request.

3.1.5 Export Applicant: Request User Enrollment

In order to use PHIS to complete 9060 and 9080-3 export applications, a user needs the Export Applicant role. There are different ways the Export Applicant role can be assigned:

- A prospective user submits an enrollment request with this role and the Establishment Administrator or Corporate Administrator approve the request (see Section 3.1.5.1)
- An existing establishment user requests the Export Applicant role and the request is approved (see Section 3.1.4.2)
- An Establishment Administrator or Corporate Administrator adds the role to an existing account related to the Establishment (See section 3.1.2.3)

3.1.5.1 Export Applicant: How to Submit an Enrollment Request

To activate your PHIS account and request a role for the first time (you do not already have a PHIS account), complete the following steps:

- Step 1** Open a web browser and go to <https://phis.fsis.usda.gov>.
- Step 2** Log in to PHIS with your eAuthentication user ID and password.
- Step 3** On the Enrollment Welcome page, select **Submit Enrollment Request**.
- Step 4** On the Step 1 page, select **Next**.

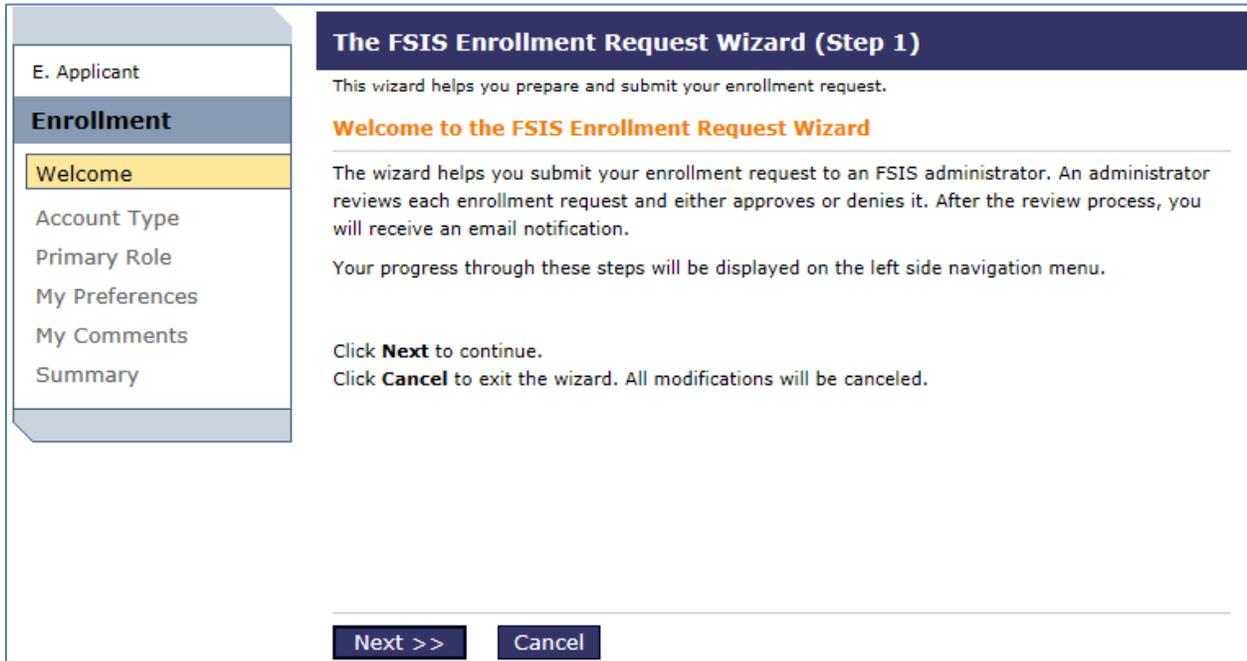


Figure 20: FSIS Enrollment Request Wizard

- Step 5** On the Step 2 page, in the Account Type field, select Domestic and select **Next**.
- Step 6** On the Step 3 page, in the Role field, select Export Applicant and select **Next**.

- Step 7** On the Step 4 page, enter filter criteria to find the establishment and select **Find**.
- Step 8** Choose **Select** next to the Establishment and select **Next**.

The FSIS Enrollment Request Wizard (Step 4 of 7)
 This wizard helps you prepare and submit your enrollment request.

Select Domestic Establishment

Select or verify your establishment. You may choose from the list below by clicking the **Select** on the right side of the entry, or search by entering your establishment's information in the boxes provided and clicking **Find**.
 Note that if an establishment hasn't been rolled out yet or it has inactive status in the system, it is not eligible for user enrollment and it will not be displayed here.

Name: Full or partial name.
Number: An establishment number

Find **Reset**

Establishment: [Blurred]

Establishment	Address	
[Blurred]	[Blurred]	✓ Select

<< Previous Next >> Cancel

Figure 21: Select Domestic Establishment feature

- Step 9** On the Step 5 page, complete optional user account information and select **Next**.
- Step 10** On the Step 6 page, add optional comments and select **Next**.
- Step 11** On the Step 7 page, verify that all the information is correct and select **Finish**. After you submit the request, your Establishment Administrator or Corporate Administrator must approve your request before you will be able to use PHIS.

3.1.5.2 Export Applicant: How to Request Additional Roles

If you already have a PHIS account, but need an additional role, complete the following instructions:

- Step 1** Open a web browser and go to <https://phis.fsis.usda.gov>.
- Step 2** Log in to PHIS with your eAuthentication user ID and password.
- Step 3** Select **My Profile** in the PHIS Menu Bar (Figure 19).

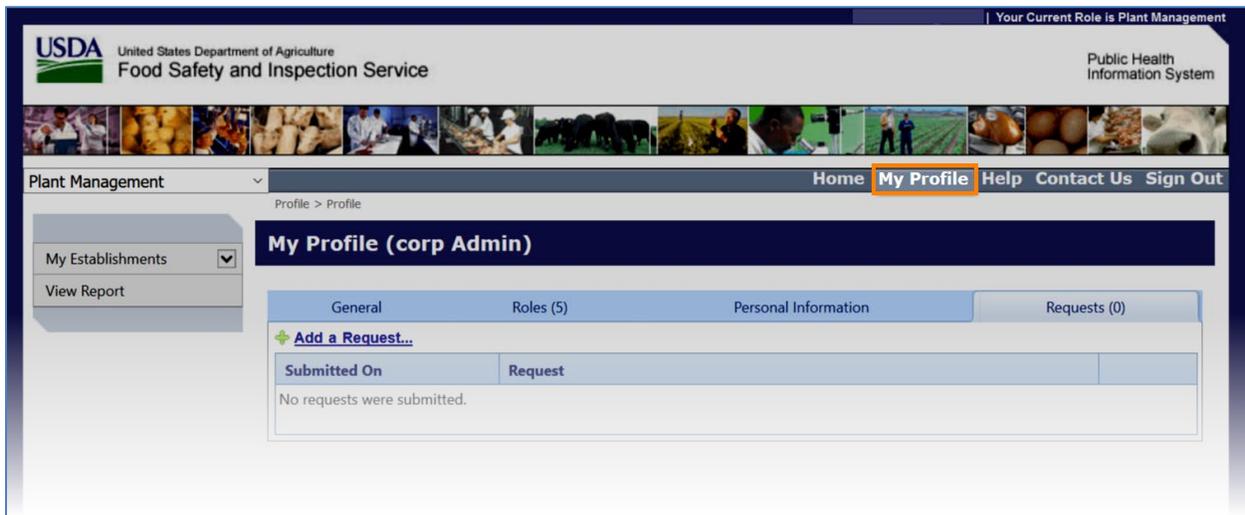


Figure 22: My Profile

- Step 4** Select the Requests tab.
- Step 5** Select **Add Request...**
- Step 6** Enter your request details in the text box.
- Step 7** Select **Create Request**.

After creating the request, your Establishment Administrator or Corporate Administrator will need to modify your account accordingly (section 3.1.2 *Establishment Administrator/Corporate Administrator: User Management*). You can modify the request or delete it by selecting the appropriate icon on the Requests page before your Establishment Administrator or Corporate Administrator acts on the request.

3.1.6 Export Broker: Request User Enrollment

Users with the Export Broker role in PHIS can create and submit 9060-6 Applications for Export Certificate for any regulated establishment in PHIS. Export brokers can manage and upload batch files to create, edit and submit 9060-6 applications. Export brokers can edit or delete applications that they personally created and any applications for which their PHIS ID record is associated with Read-Write access. Export Brokers cannot create, edit, delete, or submit 9080-3 Establishment Applications for Export.

Brokers cannot edit, delete, submit, re-submit, view data related to 9060-6 applications and certificates that they did not create by entering the data manually or uploading the associated batch file, unless their PHIS ID is associated with an application via Access Control. The broker's defined access level is associated at the individual application level.

The Export Broker role, unlike the Export Applicant role, is not associated with any particular establishment in PHIS and therefore, the enrollment process is different, and PHIS does not limit from which establishments brokers can submit export applications.

3.1.6.1 Export Broker: How to Submit an Enrollment Request

To activate your PHIS account and request a role for the first time (you do not already have a PHIS account), complete the following steps:

- Step 1** Open a web browser and go to <https://phis.fsis.usda.gov>.
- Step 2** Log in to PHIS with your eAuthentication user ID and password.
- Step 3** On the Enrollment Welcome page, select **Submit Enrollment Request**.
- Step 4** On the FSIS Enrollment Request Wizard (Step 1) page, select **Next**.

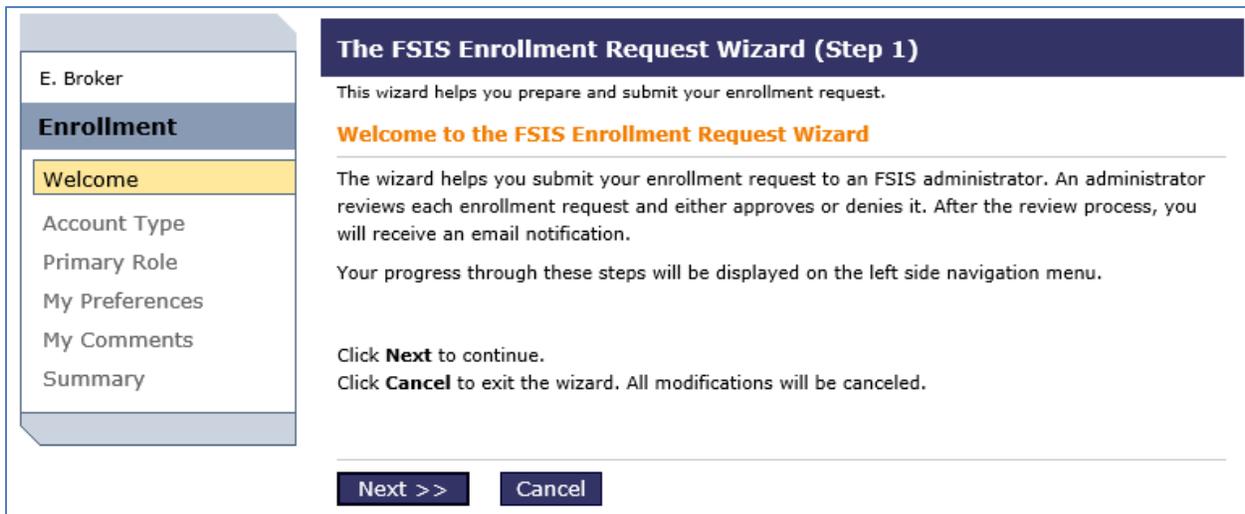


Figure 23: FSIS Enrollment Request Wizard

- Step 5** On the Step 2 page, in the Account Type field, select Brokers and select **Next**.

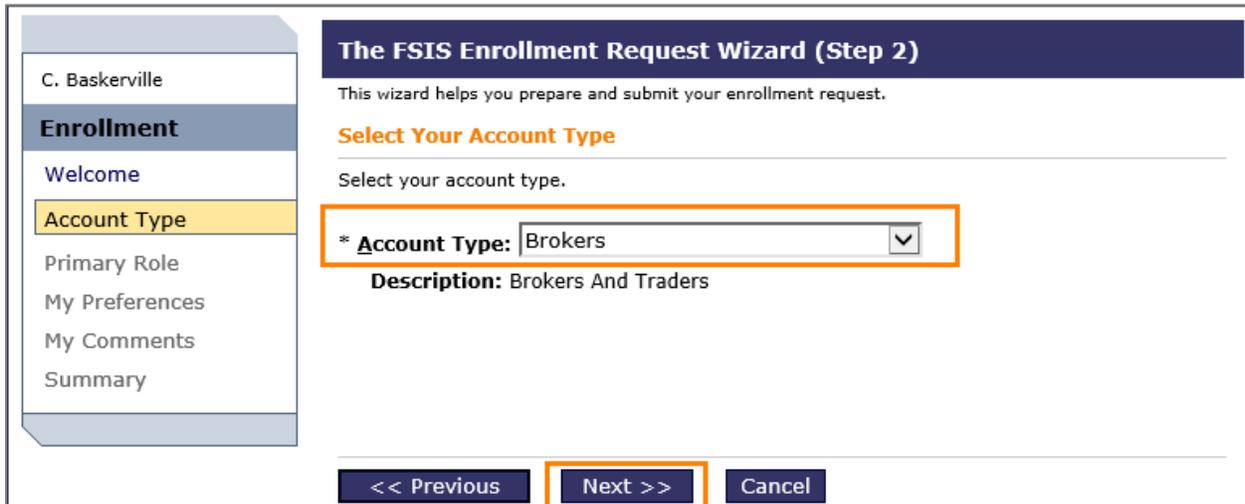


Figure 24: Enrollment Wizard select Account Type

Step 6 On the Step 3 page, in the Role field, select Export Broker and select **Next**.

The screenshot shows the 'The FSIS Enrollment Request Wizard (Step 3 of 8)'. On the left is a navigation menu with 'Primary Role' selected. The main content area has a title bar, a description, and a section titled 'Select Your Primary Role'. A dropdown menu for '* Role:' is set to 'Export Broker'. Below it is a 'Description:' field. At the bottom, the 'Next >>' button is highlighted with an orange box.

Figure 25: Enrollment Wizard select Role

Step 7 On the step 4 page, Disclaimer page (Figure 26), read the disclaimer and select the checkbox next to I Agree.

Step 8 Select **Next**.

The screenshot shows the 'The FSIS Enrollment Request Wizard (Step 4 of 5)'. On the left is a navigation menu with 'Disclaimer' selected. The main content area has a title bar, a description, and a section titled 'Disclaimer'. It contains several paragraphs of text and a checkbox labeled 'I Agree' which is highlighted with an orange box. At the bottom, the 'Next >>' button is highlighted with an orange box.

Figure 26: Enrollment Wizard Disclaimer

Step 9 The system displays a notification that an email containing an Activation Code has been sent to the email account associated with the eAuthentication account.

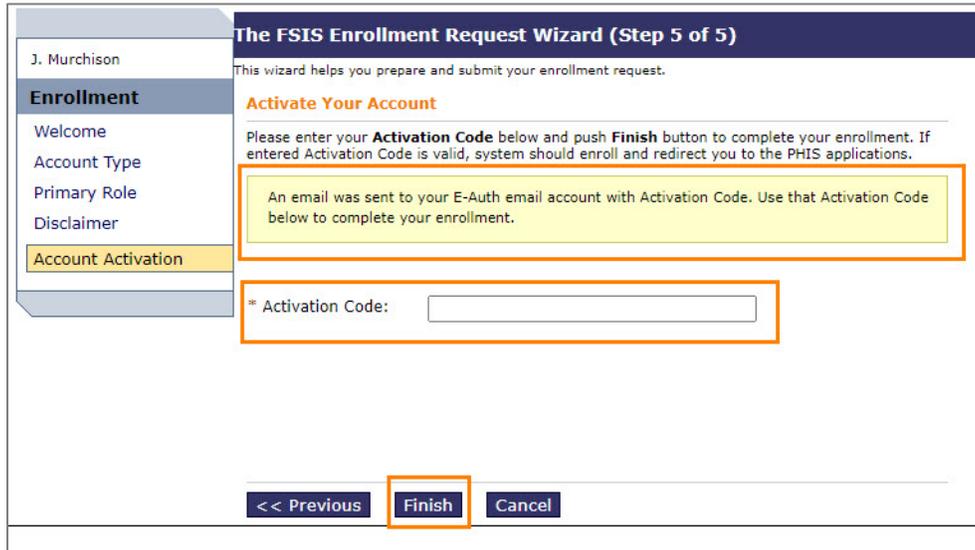


Figure 27: Enrollment Wizard notification and Activation Code field

Step 10 Check your email account for a message containing the Activation Code

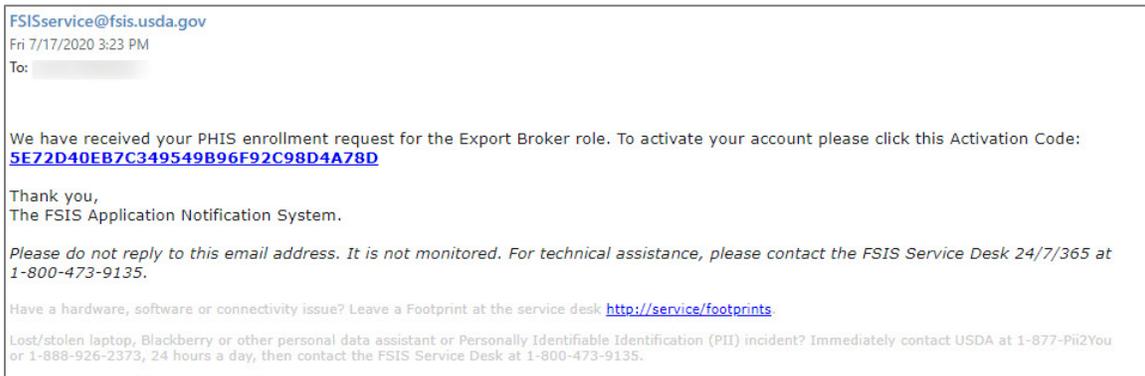


Figure 28: Email notification with Activation Code

Step 11 Enter your Activation Code received by email into the Activation Code field and select **Finish**.

PHIS opens the Export Broker home page and the user may begin adding 9060 applications and/or uploading batch files.

3.1.7 Change Account

Some Corporate and Establishment industry users may have another FSIS account type. If so, a Change Account option appears on the left menu to allow the user to switch back and forth from one account to another, Corporate ↔ LSAS Submitter (Figure 29). Once you select the Change Account menu option, PHIS displays the Change Session Account page (Figure 30) and you can choose from the available Account type options available.

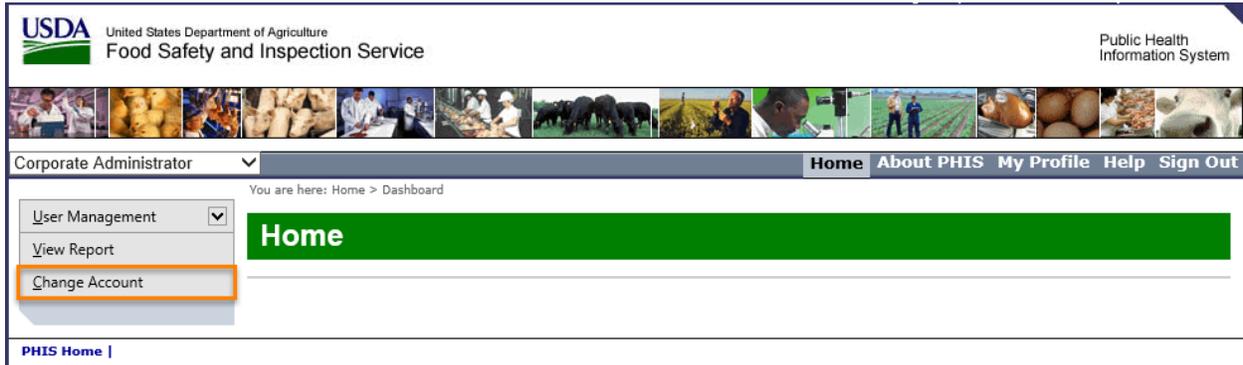


Figure 29: Change Account

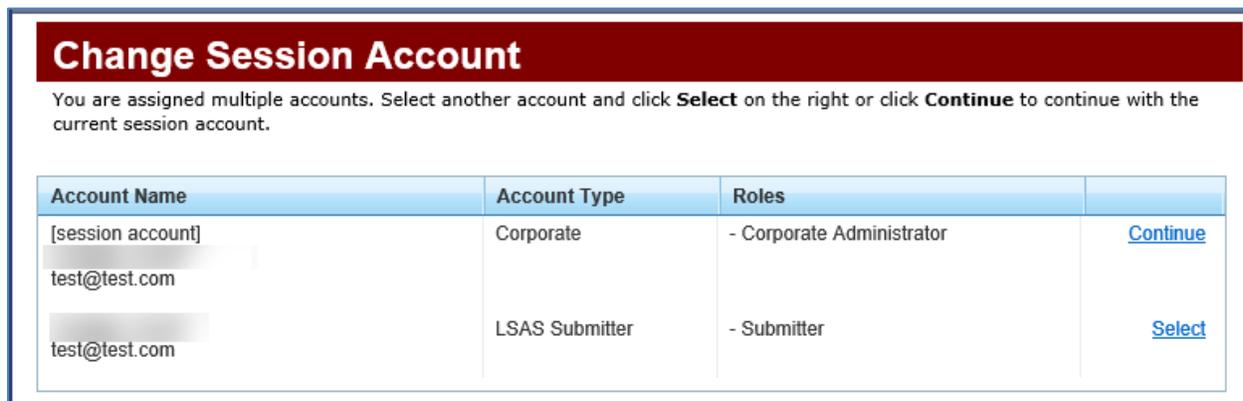


Figure 30: Change Session Account

4. PHIS Guide for Industry Users: Domestic Inspection

4.1 Overview

This section provides an overview of the plant management functions within PHIS that are accessible by and designed for establishment management. Users with the Corporate Administrator role also have access to Plant Management related menus and functions.

4.1.1 Plant Management Role: Domestic Inspection

One of the primary responsibilities in PHIS for users with the Plant Management role is to respond to MOI records and noncompliance records (NRs). The Plant Management role also manages the establishment's contact records that are entered by industry users. This role also can view Establishment Profile information along with any associated Waivers and No Objection Letters. For establishments associated with corporate entities, the Plant Management role manages their association with a corporate entity. For slaughter establishments, the Plant Management role can view slaughter and disposition records and can print Condemnation Certificates. For establishments with New Swine Inspection System (NSIS) slaughter lines, users with the Plant Management role manage establishment sorting records on the Establishment Reporting page.

4.1.1.1 Plant Management: How to Add Corporate Profile

- Step 1** Log on to PHIS with the Plant Management role.
- Step 2** From the menu, select **My Establishments > Select Establishment**.
- Step 3** On the Domestic Inspection - Select Establishment page, select the appropriate establishment.

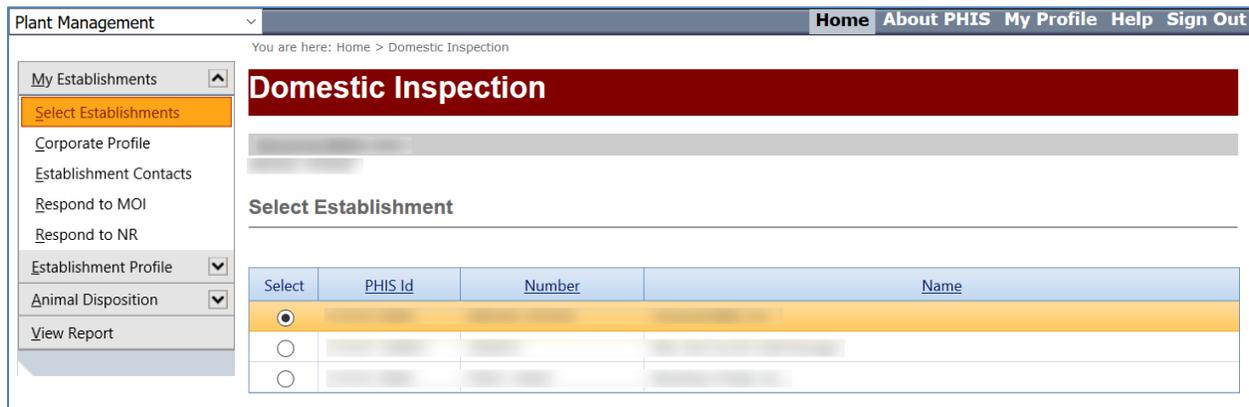


Figure 31: Domestic Inspection - Select Establishment page for Plant Management

- Step 4** From the menu, select **Corporate Profile**.
- Step 5** On the Corporate Profile page, select the Add New Corporate Profile radio button or if the profile already exists, go to Step 7.

Step 6 Enter the Corporate Profile details: name, all address fields, and phone number and select **Add**.
 Once created the Corporate entity is assigned a PHIS ID (E-FCHQ-#####), the PHIS ID (E-FCHQ-#####) functions as a link among the different establishments under the Corporate entity.

The screenshot shows a web interface with a left-hand navigation menu and a main content area. The navigation menu includes: My Establishments (dropdown), Select Establishments, Corporate Profile (highlighted in orange), Establishment Contacts, Respond to MOI, Respond to NR, Establishment Profile (dropdown), Animal Disposition (dropdown), and View Report. The main content area has a red header 'Associate Corporate Profile'. Below the header, it says 'No Corporate Profile Found.' and 'Select an option to associate the Corporate Profile with the Establishment.' There are two radio buttons: 'Add New Corporate Profile' (selected) and 'Search and Associate an Existing Corporate Profile'. Below the radio buttons is a section titled 'Add new Corporate Profile to Establishment' containing form fields for Corporation Name*, Address Line1*, Address Line2, City*, State/Province* (dropdown menu), Postal Code*, and Phone Number* (format: () - ext ()). An 'Add' button is at the bottom left of this section.

Figure 32: Associate Corporate Profile page with Add Option Selected for Plant Management

Step 7 On the Corporate Profile page, select the Search and Associate Existing Corporate Profile radio button.

This screenshot is similar to Figure 32 but with the 'Search and Associate an Existing Corporate Profile' radio button selected and highlighted with an orange box. The 'Add' button is replaced by a 'Search' button. The form fields for Corporation Name, City, State/Province, Postal Code, and Phone Number are present but empty. The breadcrumb 'You are here: Home > Add Edit CorporateProfile.aspx' is visible at the top of the main content area.

Figure 33: Associate Corporate Profile page with Search Option Selected for Plant Management

Step 8 Select the **House** icon in the Associate column related with desired corporate record.



Figure 34: Associate Corporate Profile page for Plant Management

Step 9 Notice that the establishment is listed on the Corporate Profile’s page. When this process is repeated for other establishments, they will appear in the grid as well.



Figure 35: Corporate Profile page for Plant Management

4.1.1.2 Plant Management: How to Remove Establishment from the Corporate Profile

- Step 1** Log on to PHIS with the Plant Management role.
- Step 2** From the menu, select **My Establishments > Select Establishment**.
- Step 3** On the Domestic Establishment – Select Establishment page, select the appropriate establishment.
- Step 4** Select **Corporate Profile**.
- Step 5** In the Establishments Associated to Corporate section, find the establishment that needs to be removed.
- Step 6** Select **Delete**.

Step 7 On the confirmation message, confirm the deletion.

Note: If the delete button does not appear, verify the following:

- The user completing the process has both the Corporate Administrator and Plant Management roles. The user completing the process is logged in to the system under the Plant Management role.
- A Corporate Administrator has an active user account associated with the establishment.

4.1.1.3 Plant Management: How to Manage Establishment-Entered Contacts

Note: Contacts entered by Plant Management may be deleted only by users with the Plant Management role. Contacts entered by FSIS Personnel may be deleted only by FSIS users.

Step 1 Log on to PHIS with the Plant Management role.

Step 2 From the menu, select **My Establishments > Select Establishment**.

Step 3 On the Domestic Establishment – Select Establishment page, select the establishment to which you are adding the contact.

Step 4 From the menu, select **Establishment Contacts**.

Step 5 On the Establishment Contacts page, select **Add New Contact**.

Step 6 On the Add/Edit Contact page, fill in required fields.

Step 7 Enter the required information. The First Name, Last Name, and Email Address must match the user’s eAuthentication information.

Step 8 Select applicable Type from the list: Plant Management, Establishment Administrator or Corporate Administrator roles.

Step 9 Select **Save**.



Figure 36: Establishment Contacts page for Plant Management

Step 10 To delete an establishment contact, select **Delete**.

4.1.1.4 Plant Management: How to Respond to a Memorandum of Interview

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** Once on the Plant Management Homepage from the menu, select **My Establishments > Select Establishments**.
- Step 3** On the Domestic Inspection – Select Establishment page, select the appropriate establishment.
- Step 4** From the menu, select **Respond to MOI**.
The system displays the list of MOI records that have been recorded by an FSIS Inspector for your establishment on the MOI List page.

Date	Inspector	MOI Number	Type	Plant Management Response	Status	Respond to MOI	Print
10/25/2019			MOI / weekly meeting 10/23/19	No	Finalized		
10/23/2019			MOI / Micro Record Review	No	Finalized		
10/19/2019			MOI / weekly meeting 10/16/19	No	Finalized		
10/15/2019			MOI / weekly meeting 10/9/19	No	Finalized		
10/15/2019			MOI / Meeting with Establishment Management / ACA35101055151	No	Finalized		
10/08/2019			MOI / Meeting with Establishment Management / ACA00131002081	No	Finalized		
10/05/2019			MOI / Weekly meeting 9/25/19	No	Finalized		
10/05/2019			MOI / weekly meeting 10/2/19	No	Finalized		
10/05/2019			MOI / RSA humane handling 9/27/19	No	Finalized		
10/02/2019			MOI / Micro Record Review 10/1/19	No	Finalized		

Figure 37: MOI List page for Plant Management

- Step 5** Select the red arrow in the grid for any MOI record that you want to review. The Memorandum of Interview page appears.
- Step 6** On the Memorandum of Interview page, you have the option to enter comments or associate attachments to the MOI.

Figure 38: Memorandum of Interview (MOI) page for Plant Management

- Step 7** After you have typed in your comments, the comments can be saved in a draft status by selecting **Save**. The record is not submitted and is not be available for the inspectors to view.
- Step 8** When you are ready to submit your response to FSIS, select **Submit**.
- Step 9** On the dialog box, confirm whether you want to submit the response for the inspectors to view. If you would like to submit the response select **OK**. The record is now submitted and available for the inspectors to view.

4.1.1.5 Plant Management: How to Respond to a Noncompliance Record

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** Once on the Plant Management Homepage from the menu, select **My Establishments > Select Establishments**.
- Step 3** On the Domestic Inspection – Select Establishment page, select the desired establishment.
- Step 4** From the menu, select **Respond to NR**. The system displays the list of noncompliance records that have been recorded by an FSIS Inspector for your establishment.

Step 5 Select the red arrow in the grid (Figure 39) for any noncompliance record that you want to review.

You are here: Home > Domestic Inspection > Plant Management

Plant Management

My Establishments ▲

- Select Establishments
- Corporate Profile
- Establishment Contacts
- Respond to MOI
- Respond to NR
- Establishment Profile ▼
- Animal Disposition ▼
- View Report

NR Number	Date	Inspector Name	Under Appeal	View	Response
	9/26/2017		No		
	9/25/2017		No		
	9/14/2017		No		
	9/12/2017		No		
	9/7/2017		No		
	9/7/2017		No		
	8/25/2017		No		
	8/24/2017		No		
	8/17/2017		No		
	8/17/2017		No		

14
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4
5
6
7
8
9
10
...
▶
▶▶
Page size: 10
153 items in 16 pages

Figure 39: Plant Management - Respond to NR page for the Plant Management

Step 6 The Plant Management Response page appears.

Step 7 On the Plant Management Response page (Figure 40), you have the option to select the Accept FSIS’s decision or Appeal option and enter written response in the available text box.

Plant Management Response

NR Number: [Redacted]

Plant Management Response

NonCompliance 1

Cited Regulations:

416.13(c): plant monitors implementation of SSOP procedures

Description of NonCompliance:

Accept FSIS's decision Appeal

Design HTML Preview Zoom

History

Action	Establishment Management Response	Reason for Decision	Submitted By	Submitted On
No records to display.				

Attachments

Add Attachment

File Name	Title	Date Added	Delete
No records to display.			

Figure 40: Plant Management Response page for Plant Management

- Step 8** After you have selected the appropriate option and typed your comments, select **Save**.
A confirmation message appears.
- Step 9** When you are ready to submit (lock) your response to FSIS, select **Submit**.
- Step 10** On the dialog box, confirm whether you want to submit (lock) the record. If you accept the decision and select **OK**, the record is now locked, and the process is over. If you are appealing the decision and select **OK**, the record is now locked until FSIS responds.
- Step 11** PHIS returns you to the NR List page.

4.1.1.6 Plant Management: How to View Establishment Profile

Industry users with the Plant Management role can view profiles for their establishments but cannot edit the information. If you notice an error, please contact your FSIS inspector.

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** Once on the Plant Management Homepage from the menu, select **Establishment Profile > Select Establishment**.
- Step 3** On the Select Establishment page, select the appropriate establishment. PHIS displays the Establishment Profile for the selected establishment (Figure 41). The Establishment Profile page contains several expandable/collapsible sections.

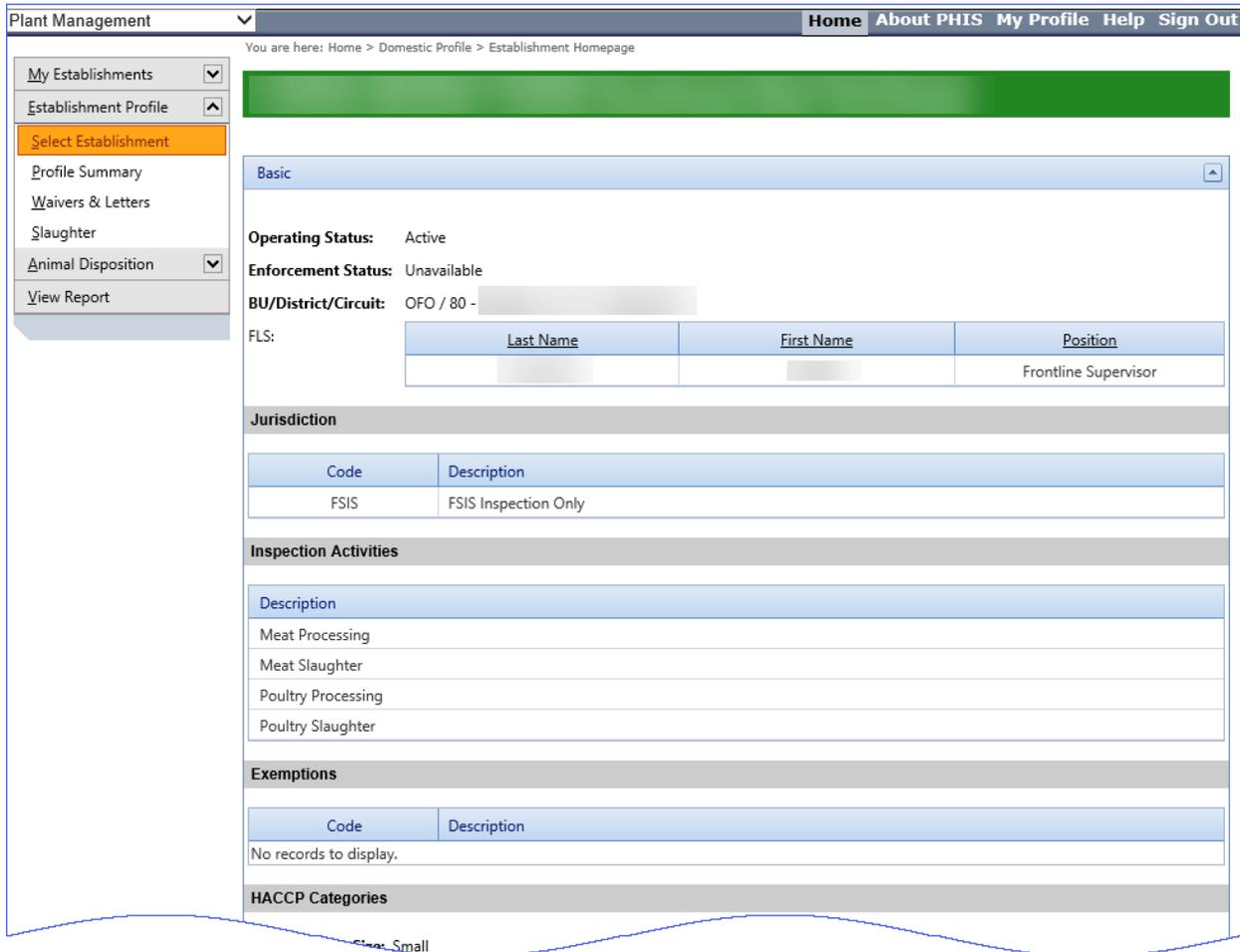


Figure 41: Establishment Profile page for Plant Management

4.1.1.7 Plant Management: How to View Waivers

Industry users with the Plant Management role can view waivers and any associated attachments for their establishments but cannot edit the information. If you notice an error, please contact your district office.

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** From the menu, select **Establishment Profile > Select Establishment**.
- Step 3** On the Select Establishment page, select the appropriate establishment.
- Step 4** From the menu, select **Waivers & Letters**.
PHIS displays the Waivers & Letters page.
- Step 5** Select **View** for one of the waivers in the Waivers grid.
PHIS displays the View Waiver page with an Attachments grid.

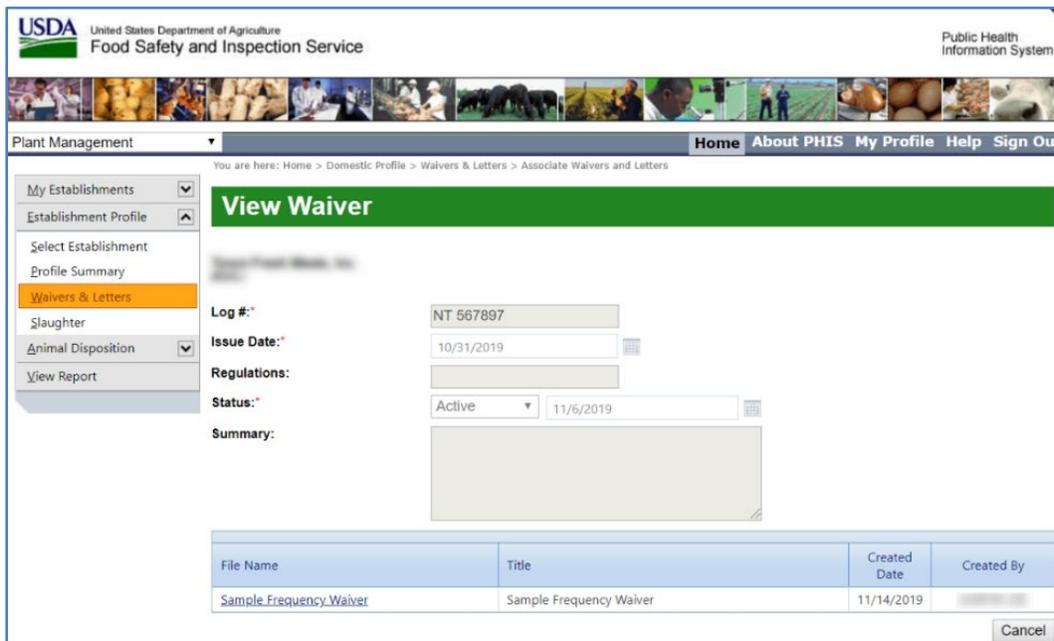


Figure 42: View Waiver page for Plant Management

- Step 6** If attachments are associated with the waiver record, select the File Name to open the PDF.
- Step 7** On the pop-up message, select **Open**.
PHIS opens the PDF on a separate tab.
- Step 8** Close the tab.
- Step 9** On the View Waiver page, select **Cancel**.
PHIS displays the Waivers & Letters page.

4.1.1.8 Plant Management: How to View No Objection Letters

Industry users with the Plant Management role can view no objection letters and any associated attachments for their establishments but cannot edit the information. If you notice an error, please contact your district office.

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** From the menu, select **Establishment Profile > Select Establishment**.
- Step 3** On the Select Establishment page, select the appropriate establishment.
- Step 4** From the menu, select **Waivers & Letters**.
PHIS displays the Waivers & Letters page.
- Step 5** Select **View** for one of the letters in the No Objection Letters grid.
PHIS displays the View No Objection Letter page with an Attachments grid.

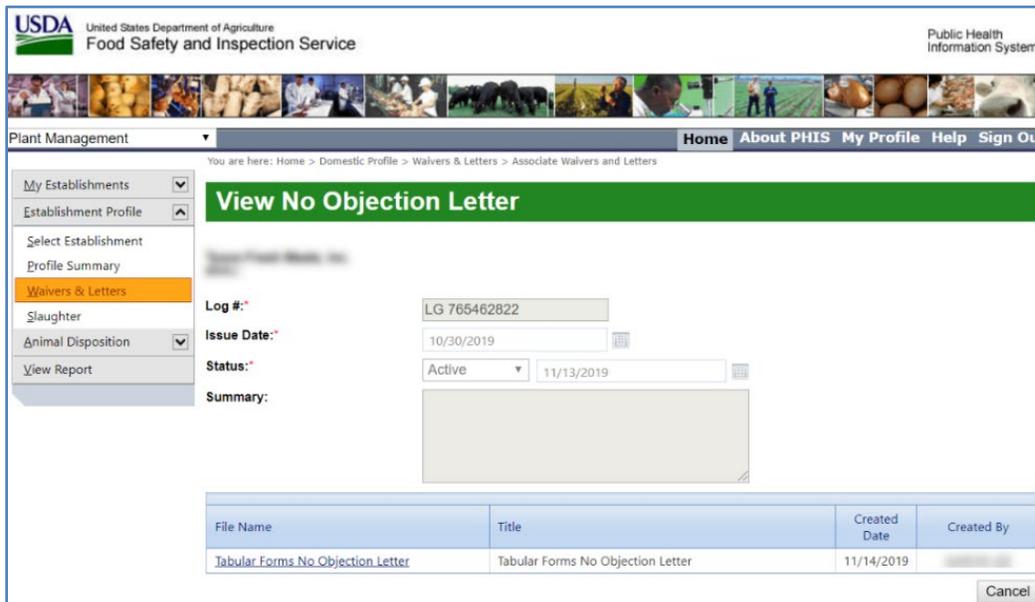


Figure 43: View No Objection Letter page for Plant Management

- Step 6** If attachments are associated with the letter record, select the File Name to open the PDF.
- Step 7** On the pop-up message, select **Open**.
PHIS opens the PDF on a separate tab.
- Step 8** Close the tab.
- Step 9** On the View Waiver page, select **Cancel**.
PHIS displays the Waivers & Letters page.

4.1.1.9 Plant Management: How to View Slaughter Line Information

Industry users with the Plant Management role can view the slaughter lines for their establishments but cannot edit the information. If you notice an error, please contact your FSIS inspector.

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** From the menu, select **Establishment Profile > Select Establishment**.
- Step 3** On the Select Establishment page, select the appropriate establishment.
- Step 4** From the menu, select **Slaughter**.
PHIS displays the Slaughter page.

The screenshot shows the 'Slaughter' page in the PHIS system. The breadcrumb trail is 'Home > Domestic Profile > Slaughter'. The left navigation menu includes 'My Establishments', 'Establishment Profile', 'Select Establishment', 'Profile Summary', 'Waivers & Letters', 'Slaughter' (highlighted), 'Animal Disposition', and 'View Report'. The main content area features a table of slaughter lines:

Shift	Type	Name	Class	Slaughter System	Inspection System	Max Line Speed	Staffing
Shift 1	M		Cattle	Chain Driven Rail	Using Viscera Table with Tongue-Out	216	7
Shift 1	M		Swine	Bed Dressing	NSIS	0	0
Shift 1	P		Chicken	Meyn-Maestro	SIS	0	0
Shift 1	P		Ratite	Not Specified	Not Specified	0	0

Below the table is the 'Slaughter Line Parameters' section, which includes the following fields:

- Number of Physical Slaughter Lines: * 4
- Number of Slaughter Lines Operating Simultaneously:
 - Shift 1: * 4
 - Shift 2: * 1

A red asterisk indicates required fields.

Figure 44: Slaughter page for Plant Management

4.1.1.10 Plant Management: How to View Slaughter and Disposition Records

These instructions assume that your establishment has at least one slaughter line defined in its Establishment Profile.

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** From the menu, select **Animal Disposition > Establishment Reporting**.
- Step 3** On the Establishment Reporting page, select an establishment from the drop-down field.
- Step 4** Select a date.

- Step 5** If applicable, select a shift.
PHIS displays the Establishment Reporting page with one or more of the following tabs: Meat, Poultry, Ratite, and All (Figure 45).
- Step 6** Expand any of the slaughter rows to view disposition records by selecting the **triangle** to the left of the row.

Establishment Reporting

Establishment:

Date:

Meat Shift 1 [Shift 2](#)

	Sub-Class	Type	Head Count	Live Weight (lbs)	Dressed Weight (lbs)	Weight Not Reported	
▶	Heifer	Inspected	703	892676	561736		
▶	Steer	Inspected	792	1052634	662647		

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Establishment Sorting Records

[+ Add Sorting Record](#) [↻ Refresh](#)

Shift	Total Number of Hogs Sorted and Removed Before FSIS Ante-Mortem Inspection	Total Number of Carcasses Sorted and Removed Before FSIS Post-Mortem Inspection	Created By	Edited By	Reviewed By		
No sorting records to display.							

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Figure 45: Establishment Reporting page with Meat Slaughter and Establishment Sorting Record grids for Plant Management

Note that in Figure 45 there are two slaughter records in the Meat grid. The Print icon for the first row is disabled because there are no disposition records for that sub-class. The Print icon is also disabled when there are no disposition records with a Disposition of Post-Mortem Condemned or Ante-Mortem Condemned. The Print icon for the second row is enabled because there are disposition records (with a Disposition of Post-Mortem Condemned and/or Ante-Mortem Condemned) for that sub-class.

Note how in Figure 46, no disposition records are displayed after the first row is expanded and two disposition records are displayed after the second slaughter record is expanded.

Establishment Reporting

Establishment:

Date:

Meat Shift 1 [Shift 2](#)

Sub-Class	Type	Head Count	Live Weight (lbs)	Dressed Weight (lbs)	Weight Not Reported																						
Heifer	Inspected	703	892676	561736																							
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Tag Number</th> <th>Tag Type</th> <th>Animal ID</th> <th>Condition</th> <th>Disposition</th> <th>KIS</th> <th>Narrative</th> </tr> </thead> <tbody> <tr> <td colspan="7">No disposition records to display.</td> </tr> </tbody> </table>							Tag Number	Tag Type	Animal ID	Condition	Disposition	KIS	Narrative	No disposition records to display.													
Tag Number	Tag Type	Animal ID	Condition	Disposition	KIS	Narrative																					
No disposition records to display.																											
Steer	Inspected	792	1052634	662647																							
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Tag Number</th> <th>Tag Type</th> <th>Animal ID</th> <th>Condition</th> <th>Disposition</th> <th>KIS</th> <th>Narrative</th> </tr> </thead> <tbody> <tr> <td>MPD-██████████</td> <td>U.S. Retained</td> <td>lot 29 #12...</td> <td>Gen. Miscellaneous</td> <td>Post-mortem Condemned</td> <td>(-)</td> <td></td> </tr> <tr> <td>MPD-██████████</td> <td>U.S. Retained</td> <td>lot 25 #11...</td> <td>Abscess/Pyemia</td> <td>Passed without Restriction</td> <td>(-)</td> <td></td> </tr> </tbody> </table>							Tag Number	Tag Type	Animal ID	Condition	Disposition	KIS	Narrative	MPD-██████████	U.S. Retained	lot 29 #12...	Gen. Miscellaneous	Post-mortem Condemned	(-)		MPD-██████████	U.S. Retained	lot 25 #11...	Abscess/Pyemia	Passed without Restriction	(-)	
Tag Number	Tag Type	Animal ID	Condition	Disposition	KIS	Narrative																					
MPD-██████████	U.S. Retained	lot 29 #12...	Gen. Miscellaneous	Post-mortem Condemned	(-)																						
MPD-██████████	U.S. Retained	lot 25 #11...	Abscess/Pyemia	Passed without Restriction	(-)																						

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Establishment Sorting Records

[+ Add Sorting Record](#) [Refresh](#)

Shift	Total Number of Hogs Sorted and Removed Before FSIS Ante-Mortem Inspection	Total Number of Carcasses Sorted and Removed Before FSIS Post-Mortem Inspection	Created By	Edited By	Reviewed By			
No sorting records to display.								

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Figure 46: Establishment Reporting page with Expanded Meat Slaughter grid for Plant Management

4.1.1.11 Plant Management: How to Generate Condemnation Certificates

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** From the menu, select **Animal Disposition > Establishment Reporting**.
- Step 3** On the Establishment Reporting page, select an establishment from the drop-down field.
- Step 4** Select a date.
- Step 5** If applicable, select a shift.
PHIS displays the Establishment Reporting page with one or more of the following tabs: Meat, Poultry, Ratite, and All.

- Step 6** On the Meat or Ratite tab, select **Print** for the appropriate slaughter record.
- Step 7** On the Condemnation Report Parameter Section pop-up, do one of the following:
- To generate individual reports for all the selected records, accept the default checkboxes and select **View/Print Individual Report**.
 - To generate one consolidated report for all the selected records, accept the default checkboxes and select **View/Print Consolidated Report**.
 - To generate individual reports for some but not all of the selected records, remove one or more checkboxes and select **View/Print Individual Report**.
 - To generate one consolidated report for some but not all of the selected records, remove one or more checkboxes and select **View/Print Consolidated Report**.
- Step 8** PHIS opens the report on a separate tab. View and/or print report.
- Step 9** Close the tab.
- Step 10** On the Condemnation Report Parameter Selection pop-up, select **Cancel**. PHIS displays the Establishment Reporting page.

4.1.1.12 Plant Management: How to Add an Establishment Sorting Record

These instructions assume that

- No sorting record exists for the selected establishment, date, and shift.
- The selected establishment has an NSIS shift defined

Sorting records cannot be added for a slaughter date that is more than 90 days in the past.

- Step 1** Log in to PHIS with the Plant Management role.
- Step 2** From the menu, select **Animal Disposition > Establishment Reporting**.
- Step 3** On the Establishment Reporting page, select an establishment from the drop-down field.
- Step 4** Select a date.
- Step 5** If applicable, select a shift.

Step 6 On the Establishment Sorting Records grid, select **Add Sorting Record**.

Plant Management Home About PHIS My Profile Help Sign Out

You are here: Home > Animal Disposition

Establishment Reporting

Establishment:

Date:

Meat Poultry Ratite All Shift 1 [Shift 2](#)

Meat

Sub-Class	Type	Head Count	Live Weight (lbs)	Dressed Weight (lbs)	Weight Not Reported
No slaughter records to display.					

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Establishment Sorting Records

Shift	Total Number of Hogs Sorted and Removed Before FSIS Ante-Mortem Inspection	Total Number of Carcasses Sorted and Removed Before FSIS Post-Mortem Inspection	Created By	Edited By	Reviewed By
No sorting records to display.					

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Figure 47: Establishment Reporting page for Plant Management

Step 7

On the Establishment Reporting - Sorting Record page, enter the appropriate number for each applicable condition. Note that on this page there are three system-generated total fields that display a running total based on your entries.

Establishment Reporting - Sorting Record

Establishment:

Date: 11/15/2019

Shift: Shift 1

Reviewed

1. Total number of Hogs Sorted and Removed Before FSIS Ante-Mortem Inspection: 0

2. Total number of Carcasses Sorted and Removed Before FSIS Post-Mortem Inspection: 0

Primary Reasons for Removal:

Conditions Identified and Removed Before FSIS Ante-Mortem Inspection and Slaughter

Dead:	<input type="text" value="0"/>	Pyrexia:	<input type="text" value="0"/>
Moribund (Dying):	<input type="text" value="0"/>	Central Nervous System:	<input type="text" value="0"/>
Septicemia:	<input type="text" value="0"/>	Erysipelas:	<input type="text" value="0"/>
Other:	<input type="text" value="0"/>		

If Other, please specify: Enter up to 500 characters.

Conditions Identified For Disposal Before FSIS Post-Mortem Inspection

Arthritis:	<input type="text" value="0"/>	Pigmentary Condition:	<input type="text" value="0"/>
Carcinoma:	<input type="text" value="0"/>	Pneumonia:	<input type="text" value="0"/>
Contamination:	<input type="text" value="0"/>	Pyemia:	<input type="text" value="0"/>
Cysticercosis:	<input type="text" value="0"/>	Residues:	<input type="text" value="0"/>
Emaciation:	<input type="text" value="0"/>	Sarcoma:	<input type="text" value="0"/>
Myiasis:	<input type="text" value="0"/>	Septicemia:	<input type="text" value="0"/>
Icterus:	<input type="text" value="0"/>	Skin Conditions:	<input type="text" value="0"/>
Injuries:	<input type="text" value="0"/>	Swine Erysipelas:	<input type="text" value="0"/>
Malignant Lymphoma:	<input type="text" value="0"/>	Sexual Odor:	<input type="text" value="0"/>
Misc. Parasitic Conditions:	<input type="text" value="0"/>	Toxemia:	<input type="text" value="0"/>
Misc. Degenerative & Dropsic Diseases:	<input type="text" value="0"/>	Tuberculosis:	<input type="text" value="0"/>
Misc. Infectious Diseases:	<input type="text" value="0"/>	Uremia:	<input type="text" value="0"/>
Mastitis:	<input type="text" value="0"/>	Vesicular Diseases:	<input style="border: 1px solid orange;" type="text" value="0"/>
Metritis:	<input type="text" value="0"/>	Foot & Mouth Diseases:	<input type="text" value="0"/>
Nephritis:	<input type="text" value="0"/>	Other Vesicular Diseases:	<input type="text" value="0"/>
Pericarditis:	<input type="text" value="0"/>	Other:	<input type="text" value="0"/>
Peritonitis:	<input type="text" value="0"/>		

Reviewed

Figure 48: Establishment Reporting – Sorting Record page for Plant Management

Step 8 Once you are finished, select **Save**.
PHIS displays a confirmation message.

Step 9 Select **Cancel** to return to the Establishment Reporting page.
Note that your name appears in the Created By column.

4.1.1.13 Plant Management: How to Edit an Establishment Sorting Record

If an FSIS user added the sorting record or if the record is for a slaughter date more than 90 days in the past, you cannot edit it.

Step 1 On the Establishment Reporting page, select **Edit** for the existing sorting record in the Establishment Sorting Records grid.

Step 2 On the Establishment Reporting - Sorting Record page, edit the necessary data entry fields and select **Save**.
PHIS displays a confirmation message.

Step 3 Select **Cancel** to return to the Establishment Reporting page.
Note that your name appears in the Edited By column.

4.1.1.14 Plant Management: How to Delete an Establishment Sorting Record

If an FSIS user added the sorting record or if the date is more than 90 days in the past, you cannot delete it.

Step 1 On the Establishment Reporting page, select **Delete** for the existing sorting record in the Establishment Sorting Records grid.

Step 2 On the confirmation message, select **OK**.
PHIS deletes the record.

4.1.1.15 Plant Management: How to Generate Reports

Step 1 Log in to PHIS with the Plant Management role.

Step 2 From the menu, select **View Report**.
The Inventory of Standard Reports page appears.

You are here: Home > Reports Inventory

Inventory of Standard Reports

[Show Description](#)

Page size: 20 | [First](#) [Prev](#) Page: 1 of 1 [Next](#) [Last](#) | Displaying page 1 of 1, items 1 to 4 of 4

Title	Description	Category	
Industry Establishment Profile	Establishment profile report for plant management users (Industry).	Industry	Run
Industry NR and Task Summary for an Establishment	Non-compliance Records and task summary for an establishment for plant management only.	Industry	Run
Industry PHR Noncompliance Report	PHR Noncompliance report by establishment. Shows the PHR NR Rate for a three month period.	Industry	Run
Industry Sampling Results Summary	Sampling results summary for an establishment for plant management only.	Industry	Run

Figure 49: The Inventory of Standard Reports page for Plant Management

- Step 3** Select **Run** for the desired report.
- Step 4** A Report Parameters popup appears requesting to indicate report date range, report format, and Establishment ID values.
- Step 5** Fill in the data range fields if applicable, select establishment for the report, and select the desired report format (Microsoft Excel or PDF) and select **Submit**.

Report Params

Report Parameters

Enter Inspection Date(Start):

Enter Inspection Date(End):

Report Format:

Enter value(s) for Establishment ID:

(Hold down the Shift key to select multiple Establishments)

Reset Submit

Figure 50: Report Parameter page for Plant Management

Step 6 The report opens in a new window where you can export the report as a Microsoft Excel or PDF file.

Step 7 For reports exported to an Excel format, a navigation bar with tabs is available to move from section to section page to page.

	A	B	D	F	G	H	I	J	K	L	
1	Public Health Information System										
2											
3	Report Name:	NRs for an Establishment									
4											
5	Purpose:	List of non-compliances, percent non-compliant by task, monthly trends, regulations cited summary, and linked NRs.									
6											
7											
8	Directives:	13000.1									
9											
10	Special Instruction:	This Report may contain Confidential Business Information									
11											
12											
13	Terminology:	<p>Non-compliance (NC): A finding by IPP during the performance of a verification task that an establishment has not complied with one or more regulatory requirements. A NR may have one or more non-compliances.</p> <p>NR Creator: Inspector who created the non-compliance record</p> <p>NR Last Editor: Last inspector to edit the non-compliance record.</p> <p>NR Status - Status of the parent noncompliance record. Finalized - NR is ready to be issued to the establishment. Completed - Indicates that IPP have verified that the establishment has been brought back into compliance that IPP found non-compliant in an NR.</p> <p>Noncompliance Status: Status of individual non-</p>									
14											
15											
16	Source:	PHIS									
	<div style="border: 1px solid black; padding: 2px;"> < > Cover NC List NC Summary - Estab Trend Regs Cited Summary Linked NCs </div>										

Figure 51: Sample Industry Report Output in Excel for Plant Management

5. PHIS Guide for Industry Users: Export

5.1 Overview

This section provides an overview of export functions within PHIS. PHIS supports two industry export roles: Export Applicant and Export Broker. The difference between these roles is that Export Brokers can select any regulated domestic establishment as the exporting establishment on the export application, while Export Applicants can select only from the list of associated establishments.

5.1.1 9060 Application for Export Certificates

5.1.1.1 PHIS IDs for 9060 Access Control

Due to the information available on 9060 applications, PHIS restricts access to these applications. In order to do this, PHIS uses the concept of PHIS IDs. Each industry user and establishment in PHIS is assigned a PHIS ID. Entity PHIS IDs apply to establishments (E-FCLT-#####). Access Control functions do not extend to PHIS IDs assigned to corporate entities. User PHIS IDs apply to industry users Export Applicants (U-DEST-#####), Corporate Administrators (U-CORP-##### and Export Brokers (U-BRKR-#####).

The PHIS ID for a user appears after the user's name in the top right corner of PHIS pages. PHIS IDs for Establishments appear on Select Establishment pages within Plant Management and on the Corporate Profile page.

The PHIS ID for individuals is an attribute of a user's account. Other attributes include last name, email, and phone number. PHIS does not change a user's account or identifiers when the user leaves one establishment and moves to another. A user's account can be associated with one or more establishments (also called work areas).

When data is manually entered to create a 9060 application, PHIS by default associates the application with the PHIS ID for the user who created the record. The user can add additional PHIS IDs during the creation process to expand access to the record. When the PHIS ID for an establishment (E-FCLT-#####) is added under access control to a 9060 record, then all users with an active Export Applicant role associated with the Establishment will be able to access the record the 9060 record.

The schema for creating batch files includes PHIS IDs. A minimum of one PHIS ID must be included in a batch record to grant access to the resulting 9060 record from the UI. This ability to add or remove PHIS IDs from 9060 records is called Access Control.

There are additional security features in place to control access to 9060 records. For Export Brokers to access specific applications, at least one of the following must be true:

- Their PHIS User IDs must be listed on the Access Control page
- They must have created the application via the user interface

For Export Applicants to access specific applications, at least one of the following must be true:

- Their PHIS User IDs must be listed on the Access Control page

- The PHIS Establishment ID of one of their establishments must be listed on the Access Control page
- They must have created the application via the user interface

Corporate Administrators can access all export records for establishments that they are associated with in PHIS and in addition, any records where someone has added their PHIS User ID to the Access Control page

PHIS Account Type	Code
Export Applicant	EXPT
Corporate Administrator	CORP
Export Broker	BRKR
Establishment	FCLT

Table 4: Access Control can be assigned to the above PHIS Account Types

Access Control is discussed further on page 73, Step 33 of Section 5.1.1.2.

5.1.1.2 Export Applicant: How to Create New 9060 Applications

Note: These instructions are for creating new 9060 applications. To create any of the replacement types of 9060 applications, see Section 5.1.2 Replacements.

- Step 1** Log in to PHIS with the Export Applicant role.
- Step 2** On the left navigation menu, select **9060**.
The system displays the Create/View 9060-6 Export Applications page,
- Step 3** Select **Create Application**.

Export Applicant Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: All Status: All Importing Country: All

Date Range: Two Days One Week One Month Date Range Search Reset

Create Application

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043816	Replacement		CANADA	Submitted	7/8/20						
0043815	New		CANADA	Pending Replacement	7/8/20	TUCKER					
0043814	New		BOLIVIA	Submitted	7/7/20						
0043813	New		BOLIVIA	Submitted	7/7/20						
0043812	New		AFGHANISTAN	Submitted	7/7/20						
0043811	New		AFGHANISTAN	Pending Upload	7/7/20	LEE					
0043810	New		BOLIVIA	Approved	7/7/20	LEE					
0043806	New		AFGHANISTAN	Submitted	7/7/20						

8 items in 1 pages Download

Figure 52: Create/View 9060-6 Export Applications

Step 4 From the list of establishments that you are associated with, select the **House** icon for the desired exporting establishment.

Export Applicant Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Select Establishment 9060

Select Establishment

My Establishments

	Name	Number

Exit Menu

Figure 53: Associate Establishment with 9060

Step 5 On the Select 9060-6 Export Application page, select one of the options in the Shipment Type drop-down.

Choices available are Commercial Sale, Ship's Stores, U.S. Military Installation, Personal Consumption, Samples, U.S. Embassy, and Airlines.

Step 6 For the Application Type drop-down menu, select New.
Choices available are Consolidate, New, Replacement, and Split.

Step 7 Select Next.

Export Applicant

Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Application Type

Select 9060-6 Export Application

All fields with * are required.

9060 Application Header

Exporting Establishment Name:		Application Type:	None
Exporting Establishment Number:			
Certificate(s) being replaced:			
Replacement Reason:			

Shipment Type : (Select One) v

Application Type : (Select One) v

Previous Next

Figure 54: Select Shipment and Application types for 9060

Step 8 On the Exporter page, complete all required fields.

For the Export Establishment Number, select from the options displayed in the drop-down menu that best corresponds with the product (M for meat, P for poultry etc. or an Establishment Number without the commodity prefix).

The screenshot shows the PHIS 'Exporter' page for a 9060 Application. The page has a navigation menu on the left with options like 'My Establishment', 'Application Type', 'Exporter', 'Importer', 'Products Summary', 'Shipment Information', 'Access Control', 'Statements', 'Submit Application', and 'History'. The main content area has a header with 'Exporter' and a note: 'All fields with * are required.' Below this is a '9060 Application Header' table with the following information:

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Status:	Unsubmitted

Below the header is a form with the following fields:

- Company Name *: [Text Field]
- Address Line 1 *: [Text Field]
- Address Line 2: [Text Field]
- Address Line 3: [Text Field]
- City *: [Text Field]
- Country *: [Dropdown Menu: UNITED STATES]
- State/Province *: [Dropdown Menu: (Select One)]
- Postal Code *: [Text Field]
- Phone Number: [Text Field]
- Export Establishment Number *: [Dropdown Menu: Select Number]
- Export Mark to be Used *: USDA Export Mark Unique Identifier [Text Field]

A 'Next' button is located at the bottom right of the form.

Figure 55: Exporter Information for 9060

Step 9 For Export Mark to be Used, select one of the available options, USDA Export Mark or Unique Identifier.

- When the unique identifier is selected and the associated text field is completed, PHIS generates a remarks statement on the Submit Application page. If desired, the statement can be selected by the user to be printed in the Remarks section on the export application and export certificate.

Step 10 Select **Next**.

Step 11

On the Importer page, complete all required and applicable fields.

- Select the importing country from the Country field dropdown.
- State/Province and Port of Entry field options are available only when related reference data is associated with the Country in PHIS.
- PHIS does not validate export requirements for the Final Destination Country.

Export Applicant ▼ Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Import Country Information

Importer

All fields with * are required.

9060 Application Header			
Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Status:	Unsubmitted

Company Name* :

Address Line 1* :

Address Line 2:

Address Line 3:

City* :

Country* : (Select One) ▼

Phone Number:

Final Destination Country: (Select One) ▼

Previous Next

Figure 56: Importer Information for 9060

Step 12 Select **Next**.

- After data is saved on the Importer page, Export Library links are added to the header for the related Country of Destination (data comes from the Country field) and when applicable, the Final Destination Country.
- A draft PDF of the certificate package that will be generated from the 9060 record is also available in the header.

Step 13 On the Products Summary page, select **Add Product**.

- Poultry, Meat, and Siluriformes certification statements all appear prior to adding the product.

Export Applicant | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > 9060 Applications > Products Summary

Products Summary

9060 Application Header

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
		Status:	Unsubmitted
Country of Destination:			

Add Product ←

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf-Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit	Delete
No records to display.										

Total Net Weight*: lbs kgs

Under penalty of law, I certify that the product covered by this application for export meets the inspection requirements for the country of destination. I will provide documentation to FSIS program employees upon request.

Certification Statements*

Select all that apply.

I CERTIFY that the meat, meat food product or meat byproduct specified hereon is from animals that received both antemortem and postmortem inspection and were found sound and healthy and that it has been inspected and passed as provided by law and regulations of the Department and is sound and wholesome.

I CERTIFY that the poultry, poultry products or poultry food products specified above came from birds that were officially given an antemortem and postmortem inspection and passed in accordance with applicable laws and regulations of the United States Department of Agriculture and are wholesome and fit for human consumption.

I CERTIFY that the Siluriformes fish and fish products specified on this form have been inspected and passed in accordance with the applicable laws and regulations of the United States Department of Agriculture and are wholesome and fit for human consumption.

None of the above

Previous | Next

Figure 57: Products Summary page

Step 14 On the Product Details page, at a minimum, complete all required Product Information fields.

Step 15 To enter Establishment Number on Product, select the **Pencil** icon.

Export Applicant | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > 9060 Applications > Products Summary > Product Details

Product Details

9060 Application Header

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
		Status:	Unsubmitted
Country of Destination:			

All fields with * are required.

Product Information

Product Name:*

Product Code:

HACCP Category:*

Species:*

Is the Maturity Less than 30 Months:

Is the Product Frozen/Shelf-Stable:* Yes No

Marked Net Weight of Lot* lbs
 kgs

Number of Packages in Lot:*

Package Type:*

Shipping/Identification Marks:

Est. Number on Product*  

Processing Establishment(s)

Slaughter Establishment(s)

Cancel Finish

Figure 58: Product Details page

Step 16 An Establishment Search window appears. Complete applicable fields to filter the results.

The screenshot shows a window titled "Establishment Search" with various input fields and a search button. Below the search fields is a table with three rows of results. The first row is highlighted with an orange box around the "House" icon in the "Select" column. The table has columns for Name, Number, Circuit, City, and State. The search button is also highlighted with an orange box.

Select	Name	Number	Circuit	City	State
			19 - Richmond,VA	Smithfield	Virginia
			19 - Richmond,VA		
			30 - Miami,FL	Miami	Florida

Page: 1 of 13 Go Page size: 3 Change Item 1 to 3 of 37

Figure 59: Establishment Search Menu

Step 17 Select **Search**.
A grid with the results of the search is added to the page.

Step 18 Select an establishment by selecting the **House** icon.

Step 19 Once you have the establishment selected, move to the next field to the right and select the appropriate option from the list. There will be at least one option with a letter/grant designation and one option without the grant designation. Select the option that matches the establishment number on the product label.

Figure 60: Select Establishment Number

Step 20 When the importing Country of Destination requires Processing and/or Slaughter establishment data, PHIS displays extra data entry fields so that you can enter this information in your application.

Figure 61 Additional Establishment Data Fields Displayed

Step 21 Select **Finish**.

Step 22 If you have additional products, add them now; otherwise, go to the next step.

Step 23 Add Total Net Weight data in lbs. and/or kgs.

- Only the weight fields for which data was entered at individual product level is available at the Total Net Weight level. In other words, if you entered the weight for all your products in pounds, PHIS displays only the Total Net Weight (lbs) field.

Add Product										
Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf- Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit	Delete
Chicken Wings (Frozen)	Raw - Intact	Chicken		Yes	1000 lbs	500	Bag, plastic			
Total Net Weight*:					<input type="text"/>	lbs	<input type="text"/>	kgs		

Figure 62: Add Total Net Weight

Step 24 Accept the Under Penalty of Law statement by selecting the checkbox.

Step 25 Accept the Certification Statement(s) by selecting the applicable checkbox(es).

- If the added product is meat or poultry related, PHIS displays only the meat and poultry statements.
- If the added product is Siluriformes, PHIS displays only the Siluriformes-related statement.

Step 26 Select Next.

The screenshot shows the PHIS 'Products Summary' page. 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 > 9060 Applications > Products Summary'. The main heading is 'Products Summary'. A '9060 Application Header' section contains the following details:

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
Country of Destination:		Status:	Unsubmitted

Below the header is an 'Add Product' section with a table:

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/Shelf-Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit	Delete
Chicken Wings (Frozen)	Raw - Intact	Chicken		Yes	1000 lbs	500	Bag, plastic			

Below the table, there are input fields for 'Total Net Weight*': 1000 lbs and a field for kgs.

The 'Under penalty of law' section contains a checkbox that is checked, with the text: 'Under penalty of law, I certify that the product covered by this application for export meets the inspection requirements for the country of destination. I will provide documentation to FSIS program employees upon request.'

The 'Certification Statements*' section has the instruction 'Select all that apply.' and three checkboxes:

- I CERTIFY that the meat, meat food product or meat byproduct specified hereon is from animals that received both antemortem and postmortem inspection and were found sound and healthy and that it has been inspected and passed as provided by law and regulations of the Department and is sound and wholesome.
- I CERTIFY that the poultry, poultry products or poultry food products specified above came from birds that were officially given an antemortem and postmortem inspection and passed in accordance with applicable laws and regulations of the United States Department of Agriculture and are wholesome and fit for human consumption.
- None of the above

At the bottom right, there are 'Previous' and 'Next' buttons.

Figure 63: Penalty of Law disclaimer and Certification Statements

Step 27 On the 9060-6 Shipment Information page, if you know the Container and Seal Information (Figure 64), complete Step 28 - Step 32; otherwise, continue to Step 33.

The screenshot shows the '9060-6 Shipment Information' page. 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 > 9060 Applications > Shipment Information 9060'. A left sidebar contains a menu with '9060 Application' expanded, showing options like 'My Establishment', 'Application Type', 'Exporter', 'Importer', 'Products Summary', 'Shipment Information' (highlighted), 'Access Control', 'Statements', 'Submit Application', 'History', and 'Exit Menu'. The main content area has a title '9060-6 Shipment Information' and an 'Application Header' section with the following details:

- Exporting Establishment Name: [Redacted]
- Exporting Establishment Number: [Redacted]
- Shipment Type: Commercial Sale
- Country of Destination: [Redacted]
- Application Number: 0043817
- Application Type: New
- Certificate Package: [Certificate Package](#)
- Status: Unsubmitted

Below the header is the 'Container and Seal Information' section, which includes a '+ Add new record' button (highlighted with an orange box) and a 'Refresh' button. A table with columns 'Commercial Container Number', 'Commercial Seal Number', 'Edit', and 'Delete' is shown, but it is currently empty with the text 'No records to display.' at the bottom. 'Previous' and 'Next' buttons are located at the bottom right of the page.

Figure 64: Commercial Seal and Container Information

- Step 28** Select **Add New Record**.
- Step 29** For the Commercial Container Number field, enter the appropriate number.
- Step 30** For the Commercial Seal Number field, enter the appropriate number.
- Step 31** Select **Insert**.

This screenshot shows the 'Container and Seal Information' form in a more detailed view. It features a '+ Add new record' button (highlighted with an orange box) and a 'Refresh' button. The table structure is the same as in Figure 64. Below the table, there are two input fields: 'Commercial Container Number' with the value '123' and 'Commercial Seal Number' with the value '456'. An 'Insert' button (highlighted with an orange box) and a 'Cancel' button are positioned below these fields. The text 'No records to display.' is visible at the bottom of the table area. 'Previous' and 'Next' buttons are at the bottom right.

Figure 65: Enter Seal and Container Information

Step 32 Select **Next**.

Step 33 On the Access Control page (Figure 66), if applicable, grant Read-Only, Read-Write, or Read Write and Access to the 9060 record to person(s) and/or companies by adding the associated record(s) linked to the related PHIS ID(s) using the instructions in Step 34 - Step 38.

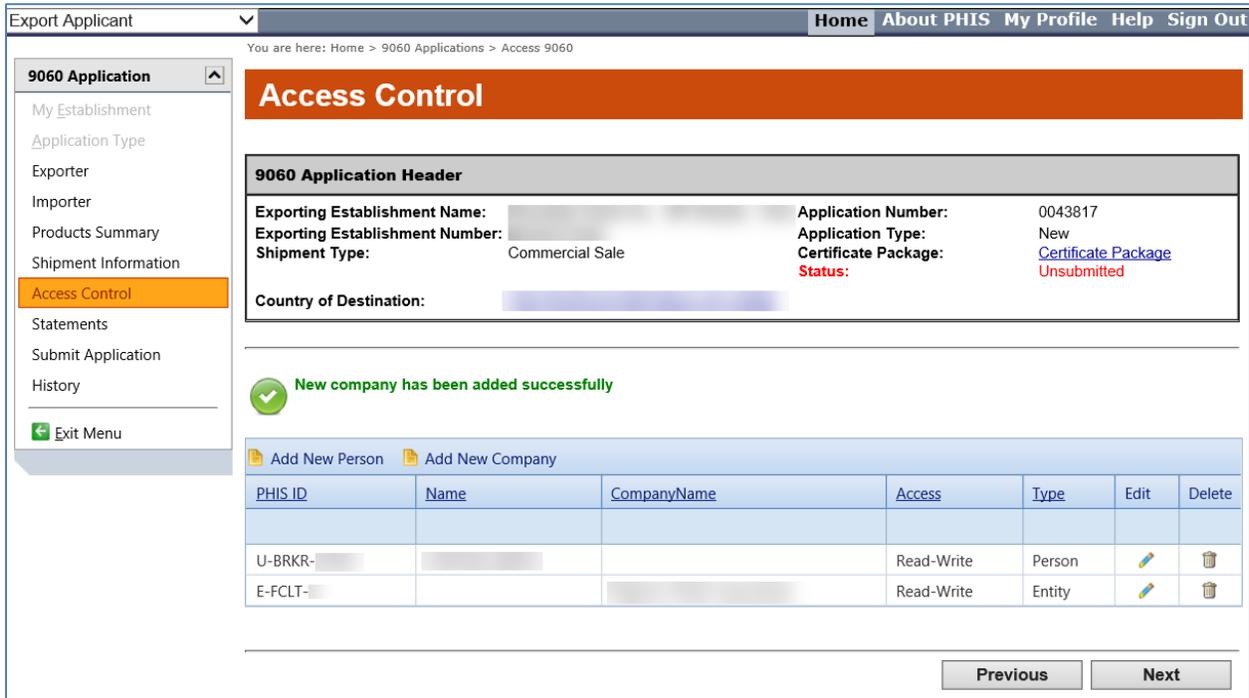


Figure 66: Access Control page

Step 34 Select **Add New Person** or **Add New Company**.

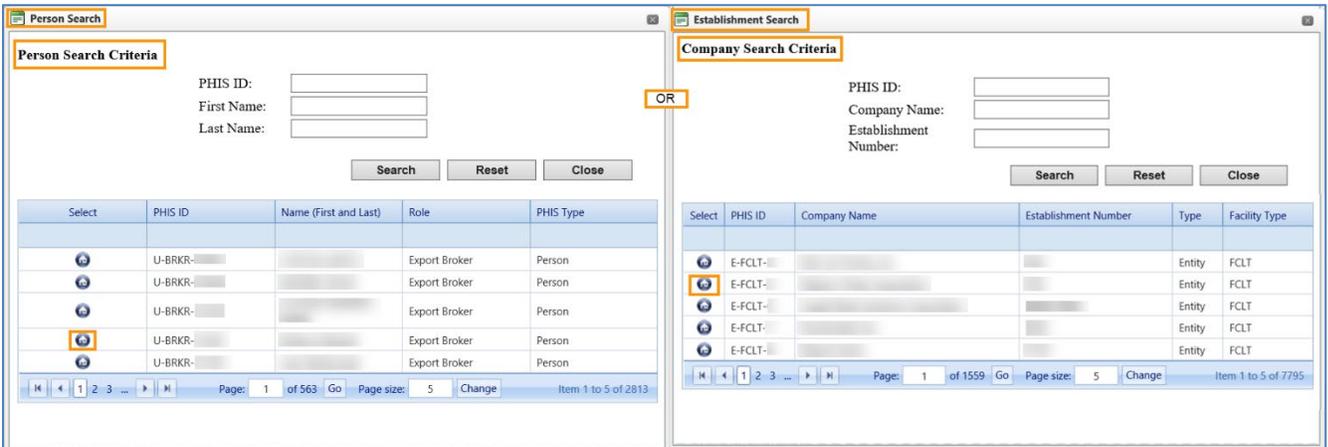


Figure 67: Add Establishment or Person Search Windows

Step 35 Search for person or company for whom you would like to define access.

Step 36 Select **House** icon associated with the record you would like to add.

Step 37 Selected record is added to the Access Control grid with the default Access level of Read-Write.

Step 38

If desired, select **Edit** associated with any added records and update the defined Access level and select **Save**.

- Read Write and Access allows associated users to add or remove from the Access Control grid records for both persons and companies associated with the application.
- When an access level is granted to a company record, all export users associated with that company receive the same specified access level.

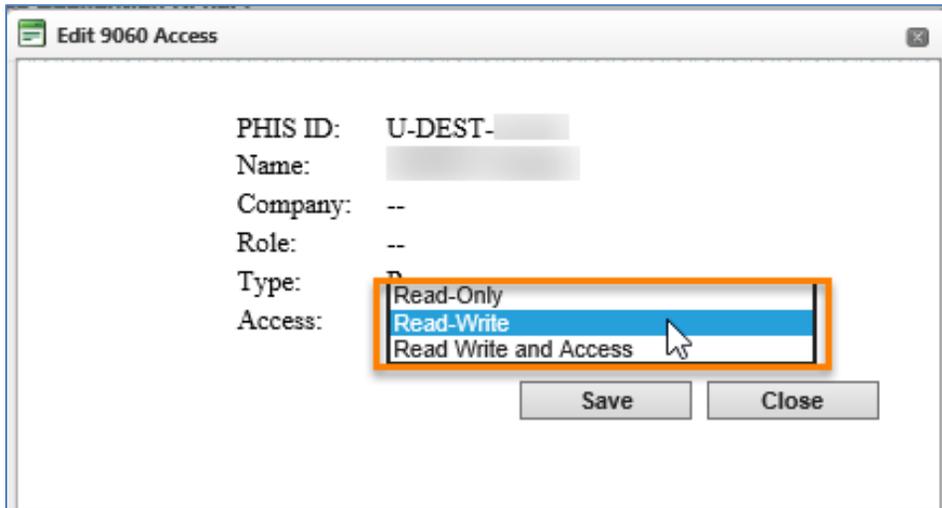


Figure 68: Edit Level of Access

Step 39

Select Next.

The Select Statements for Application Package page appears.

- When statements have been published in PHIS that match the Importing Country or Importing Country/Species combination of the record being added, a grid with an **Add Statements** button is displayed (See Figure 69).
- If no statements are available for selection, PHIS displays this message: **No related statements in PHIS apply to this application.**
- When multiple Statements are selected and associated with a 9060 record, the Re-Order Statements and Remove Statements options are also available.
- Some statements contain data values required by the importing country that one of the default data entry fields available in PHIS when creating an export application. When extra data is **required** by selected statement(s), an Add Statement Data button is available. Once entered, the data entered is inserted into selected Statements. If data has not been entered, a yellow warning icon is displayed and after data has been entered, a green checkmark icon is displayed. Statement data is not required to submit an application but is required for final approval.

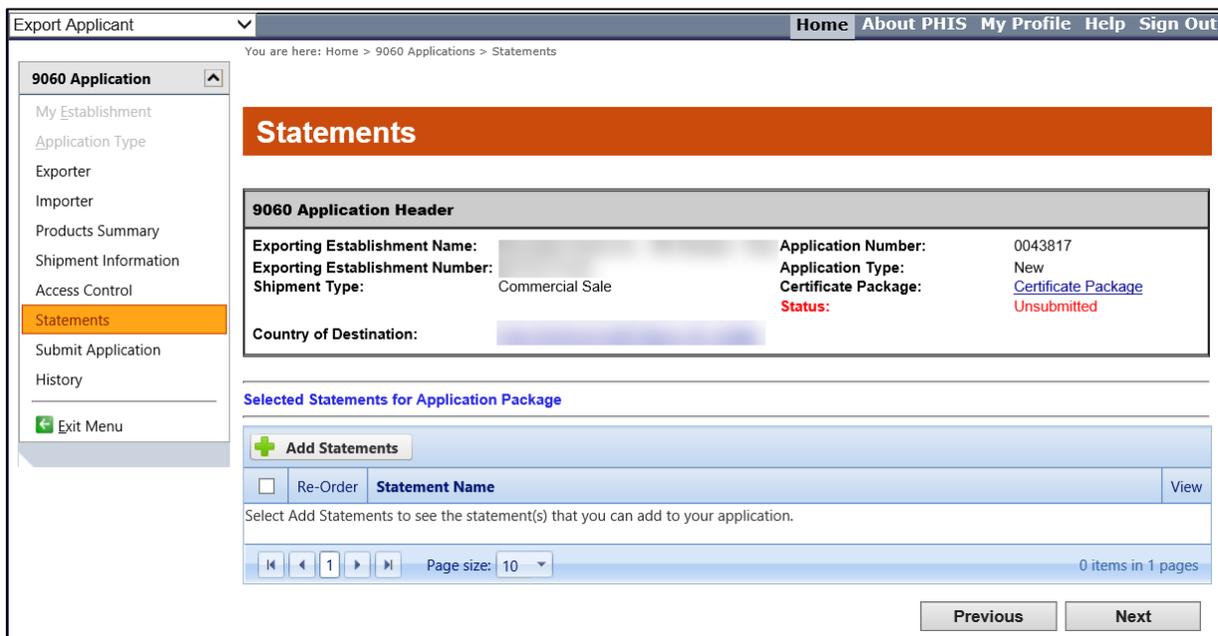


Figure 69: Statements

Step 40

Select Add Statements.

The page refreshes and displays a grid of Select from Statements records associated with Importing Country or Importing Country/Species combination, that have not previously been selected for the application package being created or edited.

Step 41

To insert text connected with statement record(s), complete associated checkboxes.

Step 42

Click Select.

PHIS updates the Select Statements for Application Package grid to display only those records not selected.

Note:

If any of the statements are later removed from one of the Selected grids (the grid on the Statements page or from the grid that appears on the Submit Application page, they are returned to the Select Statements for Application Package grid (see Figure 70).

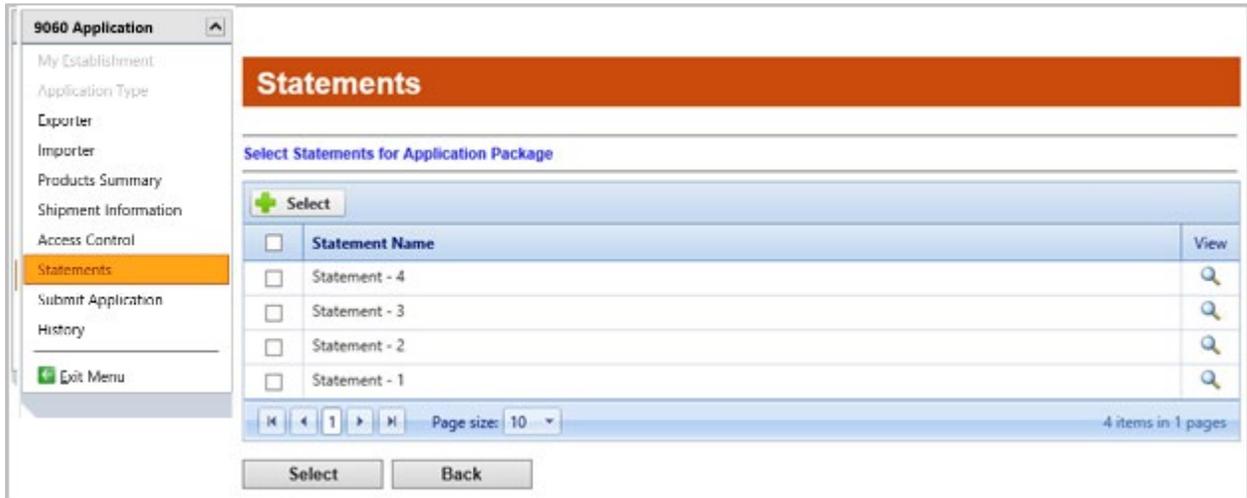


Figure 70: Select Statements for Application Package grid

Step 43

Insert number values in the Re-Order text boxes associated with the Selected Statements and select **↑↓Re-order Statements** function.

Records in the Selected Statements grid re-order per the values entered into the Re-Order text boxes per lesser to greater values.

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements**
- Submit Application
- History
- Exit Menu

Statements

9060 Application Header

Exporting Establishment Name: [Redacted] Application Number: 0043817
 Exporting Establishment Number: [Redacted] Application Type: New
 Shipment Type: Commercial Sale Certificate Package: Certificate Package
 Status: Unsubmitted
 Country of Destination: [Redacted]

Selected Statements for Application Package

+ Add Statements ⇅ Re-order Statements ✕ Remove Statements

<input type="checkbox"/>	Re-Order	Statement Name	View
<input type="checkbox"/>	1	Statement - 3	
<input type="checkbox"/>	2	Statement - 4	
<input type="checkbox"/>	3	Statement - 1	
<input type="checkbox"/>	4	Statement - 2	

Page size: 10 4 items in 1 pages

Previous Next

Figure 71: Selected Statements for Application Package

- Step 44** Complete checkboxes associated with any statements you no longer want to be inserted into the Remarks selection of the 9060 record and select X Remove Statements option.
 The statements removed are no longer displayed on the Selected Statements for Application Package grid. If the user selects the Add Statements option, statement records removed are once again displayed on the Select Statements for Application Package grid.
- Step 45** When present, select Add Statement Data button

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements**
- Submit Application
- History
- Exit Menu

Statements

This application is currently under review. Only fields that are not grayed out may be edited.

9060 Application Header

Exporting Establishment Name:	Application Number:	0071719
Exporting Establishment Number: V	Application Type:	New
Shipment Type: Commercial Sale	Certificate Package:	Certificate Package
Country of Destination: AFGHANISTAN	Status:	Unlocked

Selected Statements for Application Package

<input type="checkbox"/>	Re-Order	Statement Name	View
<input type="checkbox"/>	0	Slaughter Date(s)	<input type="button" value="View"/>

Page size: 10 | 1 items in 1 pages

Figure 72: Add Statement Data

Step 46 Enter required data into available Custom placeholder data fields and select **Save**.

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements**
- Submit Application
- History
- Exit Menu

Statements

This application is currently under review. Only fields that are not grayed out may be edited.

9060 Application Header

Exporting Establishment Name:	Application Number:	0071719
Exporting Establishment Number: V	Application Type:	New
Shipment Type: Commercial Sale	Certificate Package:	Certificate Package
Country of Destination: AFGHANISTAN	Status:	Unlocked

Custom Placeholder Values:

Slaughter Date(s):

Figure 73 Required data field(s) for selected Statement(s)

Step 47 Select **Next**.

Step 48 On the Submit 9060-6 Application page, a summary of the application information appears in the 9060 Application Header with a link to open a Certificate Package PDF. The next part of the page is the Products on Application grid. Verify the information in both the header and the grid.

The screenshot shows the 'Submit 9060-6 Application' page. The top navigation bar includes 'Export Applicant', 'Home', 'About PHIS', 'My Profile', 'Help', and 'Sign Out'. The breadcrumb trail is 'You are here: Home > 9060 Applications > Submit 9060 Application'. The left sidebar lists navigation options: 'My Establishment', 'Application Type', 'Exporter', 'Importer', 'Products Summary', 'Shipment Information', 'Access Control', 'Statements', 'Submit Application' (highlighted), 'History', and 'Exit Menu'. The main content area has a title 'Submit 9060-6 Application' and a section for the '9060 Application Header' with the following details:

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
Country of Destination:		Status:	Unsubmitted

Below the header is the 'Products on Application' section, which includes an 'Add Product' button and a table with the following data:

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf-Stable	Package Type	Est. No. on Product	Edit	Delete
Chicken Wings (Frozen)	Raw - Intact	Chicken		Yes	Bag, plastic			

At the bottom of the page, there is a section titled 'Supplemental Documentation Required for the 9060'.

Figure 74: Verify Header and Product Information

Step 49 To provide any Supplemental Documentation, select **Add New File**. Supplemental documents include any scanned .pdf versions of completed letterhead certificates required by a foreign country.

Step 50 Identify the document type as either a Transit (Letterhead) Certificate or Other. If Transit is selected, identify the transit country in the drop down.

The screenshot shows the 'Supplemental Documentation Required for the 9060' section. It features an 'Add New File' button and a table with the following columns: 'File Name', 'Title', 'Created Date', 'Created By', and 'Delete'. The table currently contains no records, with the text 'No records to display.' below it.

Figure 75: Add Supplemental Documentation

Step 51 Select **Browse**, select file, complete the document type

Step 52 If Transit Letterhead is selected, select Country.
The Country select option appears only when Transit Letterhead is chosen.

Supplemental Documentation Required for the 9060

Add New File

File Name	Title	Created Date	Created By	Document Type	Delete
No records to display.					

Document Type * : (Select Document type:)
 Other
 Transit Letterhead

(Select country being transited) ▾

File Name * : Browse...

Document Title * :

*Note: The file size cannot exceed 5 MB. File type must be PDF.

Upload Cancel

Figure 76: Supplemental Documentation Upload

Step 53 Select **Upload**.

Supplemental Documentation Required for the 9060

Add New File

File Name	Title	Created Date	Created By	Document Type	Delete
Transit Certificate test document.pdf	Transit Letterhead - Finland	05/29/2018	Beebe Applicant	Transit - Finland	

Figure 77: Document appears in Grid

Step 54 To provide any Supportive Documentation, select **Add New File**.
Supportive documents include scanned .pdfs that you want to share with the inspector but do not want to be part of the certificate package that goes to the foreign country.

Supportive Documentation Provided by Applicant

Add New File

File Name	Title	Created Date	Created By	Delete
No records to display.				

Figure 78: Add Supportive Documentation

Step 55 Just as with Supplemental documentation, select **Browse**, select file, and complete the required Document Title field.

Step 56 Select **Upload**.
If applicable, the PHIS-generated Statements appear under the PHIS Generated Statements. Deselecting on the Final page move the options back to the Available for selection grid on the prior page.

Step 57 When applicable, add the PHIS-generated statement(s) located under the Remarks heading, by selecting the associated checkbox(es).

Notes:

PHIS generates potential remarks and displays them in this grid in the following scenarios:

- When you have opted to use a unique identifier for this application’s Export Mark, (see Step 9 on page 64), PHIS inserts a statement “The product covered by this Certificate is marked with <your unique identifier.”
- When your application is any of the three replacement types.
- When the Country of Destination requires one or more of the following values: Container, Seal, and/or Port of Entry.

When selected, the PHIS-generated statement(s) appear first in the Additional Statement section on the export application and the Remarks section on the export certificate PDFs.

Remarks	
Select the statement(s) to insert into the remarks section of the export application and export certificate PDFs.	
<input type="checkbox"/>	Remarks
<input checked="" type="checkbox"/>	This certificate replaces certificate no. 0012886 dated 09/05/2019. The product covered by this Certificate is marked with UI 12545474.
<input type="checkbox"/>	Container: c38444
<input type="checkbox"/>	Seal: S32423
<input type="checkbox"/>	Port of Entry: <input type="text"/> Port

Figure 79: PHIS-Generated Remarks

Step 58 When applicable, review any statements displayed under the PHIS Generated Statements per Country Requirements heading. These statements appear immediately after any selected remarks related to a unique identifier value and/or replacement related text but before any custom remarks entered into the Application.

To remove any of the displayed remarks under PHIS Generated Statements per Country Requirements heading, select the associated red X. PHIS removes the statement from the grid and returns to the Select from Statements grid accessed via the left menu Statements option.

PHIS Generated statements per Country Requirements	
Statement Name	Remove
Statement - 4	✘
Statement - 2	✘

Page size: 10
 2 items in 1 pages

Figure 80: PHIS Generated statements per Country Requirements

Step 59 For PHIS to print any other Required Statements on the PDFs, type additional statements in the text box. These statements appear in the Remarks field of the 9060 export certificate exactly as you typed them. You also can copy and paste from Export Library or other documents.

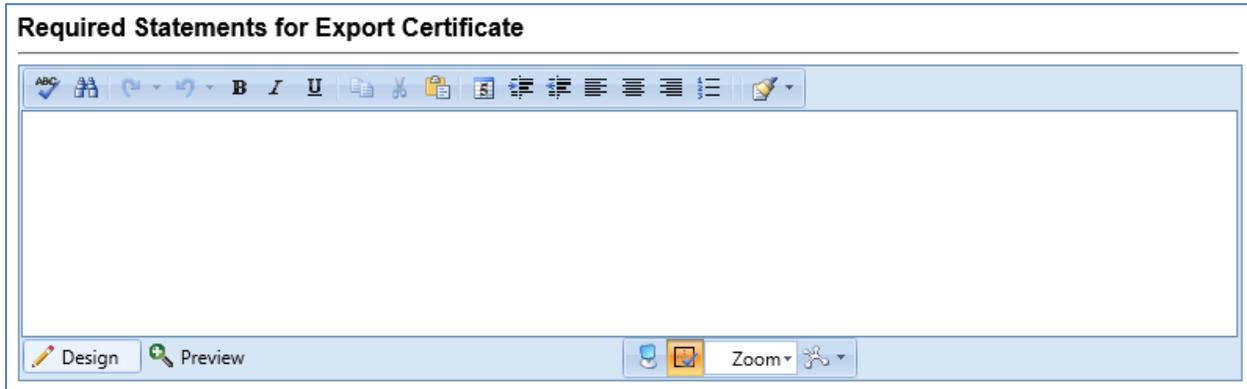


Figure 81: Text field to enter Required Statements for Export Certificates

Step 60 Select Review Application Submission to open a PDF of the application in a separate tab. PHIS does not enable the Submit Application button until you have completed your initial review of the application package.

If you navigate back to another tab prior to selecting the Submit Application button, the Review Application Submission button needs to be re-selected to re-enable the Submit Application button. This also applies when an application is unlocked and updated.

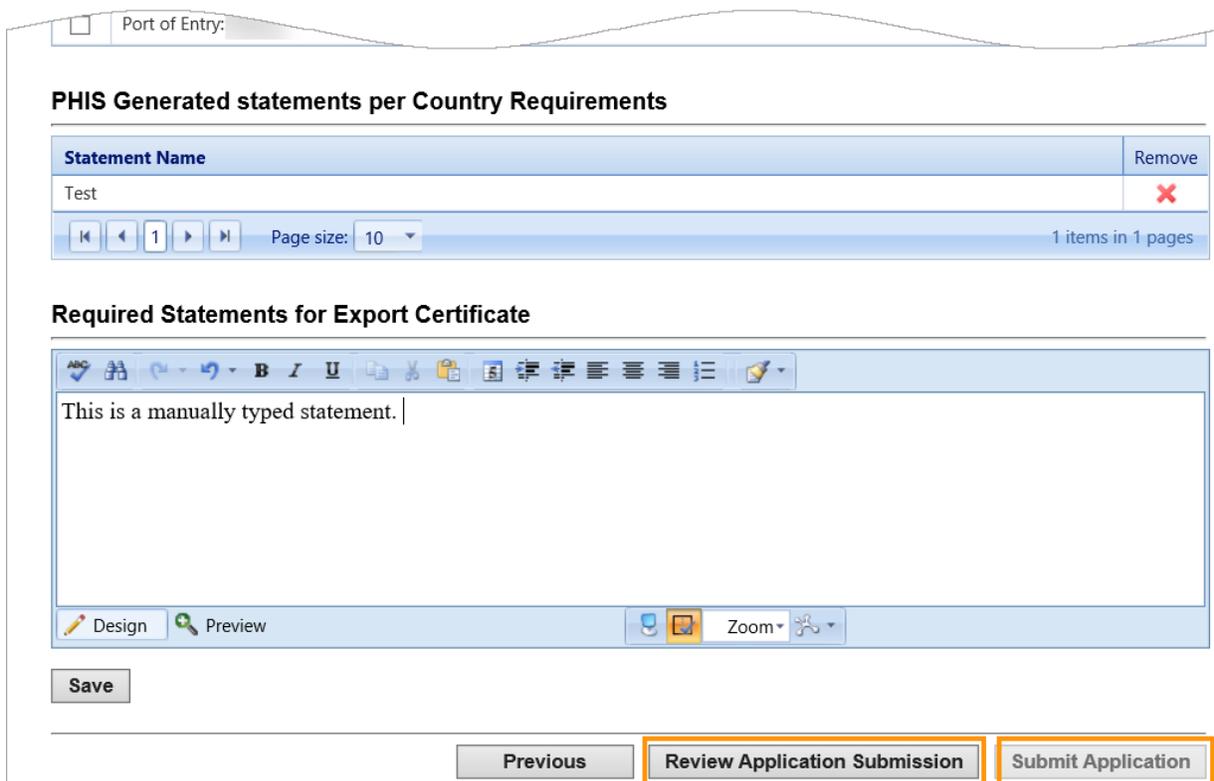


Figure 82: Review Application Submission – Submit Application button is disabled

Step 61 Select **Submit Application**.

Port of Entry:

PHIS Generated statements per Country Requirements

Statement Name	Remove
Test	

Page size: 10 1 items in 1 pages

Required Statements for Export Certificate

This is a manually typed statement.

Design Preview Zoom

Save

Previous Review Application Submission **Submit Application**

Figure 83: Submit Application button is enabled

Step 62 The page refreshes and if all required data has been entered, PHIS displays a confirmation message.

Submit 9060-6 Application

Export Application 9060 - 6 has been submitted successfully

Figure 84: Confirmation Message

In addition, to the FSIS maintained Export Library website with exporting requirements by importing country, an Export Library is also maintained in PHIS by country to validate per the application data that certain exporting requirements have been met. PHIS verifies these requirements when the 9060 record is submitted.

If a requirement is not met, PHIS displays an error message notifying the user of the issue identified preventing the application from being submitted or approved. Lack of such messages in no way ensures that the 9060 record is complete and will be approved by FSIS.

Export requirements related to the Final Destination Country are not validated by PHIS.

Step 63 If a country requires data be entered for one or more of the following fields: Container, Seal, Port of Entry, Slaughter Establishment, and/or Processing Establishment and PHIS has validated that related data has not yet been entered, a message appears alerting you that these fields are required.

PHIS allows you to select **Yes** to proceed and submit the application for approval in order to start the review of the application by IPP or select **No** to Cancel the submission, complete the missing fields, and resubmit.

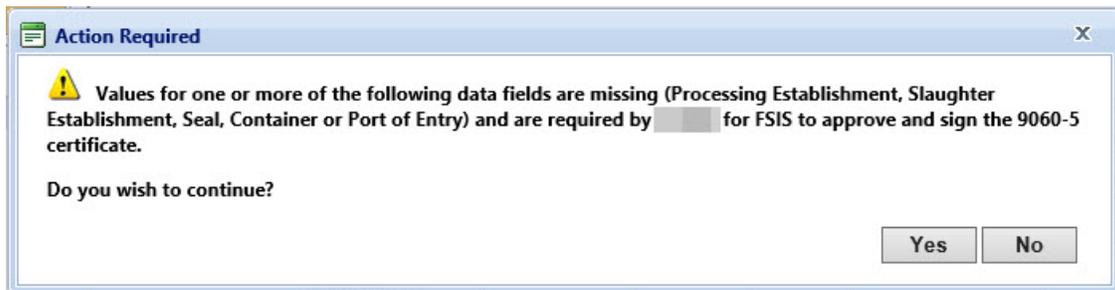


Figure 85: Action required warning message

5.1.1.3 Export Broker: How to Create New 9060 Applications

To create a new 9060 application as an Export Broker, follow these steps:

- Step 1** On the navigation menu, select **9060**.
- Step 2** On the Create/View 9060 page, select **Create Application**.
- Step 3** Select the exporting establishment on the Select Establishment page by entering establishment number in the Number field.
- Step 4** Select **Search**.
- Step 5** Select an establishment by selecting the **House** icon.
- Step 6** On the Application Type page, select Shipment Type and an Application Type of New.
- Step 7** Select **Next**.
- Step 8** On the Exporter page (Figure 55), complete required fields and select **Next**.
- Step 9** On the Importer page (Figure 56), complete required fields and select **Next**.
- Step 10** On the Products Summary page (Figure 57), select **Add Product** to start adding product.
- Step 11** On the Product Details page (Figure 58), add information about your first product including the establishment number marked on the shipping cartons of the product.
- Step 12** To complete the establishment number field, select the **Pencil** icon to the right of the field. When you select the Pencil icon, an Establishment Search window appears where you can search for any establishment.
- Step 13** Select one of the search fields and select the desired establishment by selecting the **House** icon (Figure 59).

- Step 14** After you have selected the establishment, narrow down which establishment number (with or without commodity prefix) appears on the 9060-5 certificate by selecting one of the options in the drop-down list (Figure 60).
- Step 15** Select **Finish**.
- Step 16** After you select Finish, PHIS refreshes the page and displays the updated Product Grid. At this point you can add more products or continue with the remaining part of the data entry for the application.
- Step 17** Add Total Net Weight data in lbs. and/or kgs (Figure 62).
- Step 18** After you have added all the products, it is important to look at the attestation and certification statements on the Products Summary page. This page also contains certification statements
- Step 19** Accept Under Penalty of Law statement by selecting the checkbox (Figure 63).
- Step 20** Accept Certification Statement(s) by selecting the applicable checkbox(es).
- If the added product is meat or poultry related, PHIS displays only the meat and poultry statements.
 - If the added product is Siluriformes, PHIS displays only a Siluriformes-related statement.
- Step 21** Select **Next**.
- Step 22** On the 9060-6 Shipment Information page (Figure 64), if you know the Container and Seal Information, complete the following sub-steps; otherwise, continue to the next step.
- a. Select **Add New Record** (Figure 65).
 - b. For the Commercial Container Number field, enter the appropriate number.
 - c. For the Commercial Seal Number field, enter the appropriate number.
 - d. Select **Insert**.
 - e. Select **Next**.
- Step 23** On the Access Control page (Figure 66), give Read-Only, Read-Write, or Read, Write and Access to the 9060 record to persons or companies by adding associated record linked to the related PHIS ID using the following steps.
- a. Select **Add New Person** or **Add New Company** (Figure 67).
 - b. Search for person or company for whom you would like to define access.
 - c. Select the **House** icon associated with the record you would like to add.
 - d. Selected record is added to the Access Control grid with the default Access level of Read-Write.
 - e. If desired, select edit pencil associated with any added records and update the defined Access level and select **Save** (Figure 68).
 - f. Select **Next**.

- Step 24** Select **Statements** for Application Package page appears. When statements have been published in PHIS that match the Importing Country or Importing Country/Species combination of the record being added, a grid with an Add Statements button is displayed. If no statements are available for selection PHIS displays message: No related statements in PHIS apply to this application.
- Step 25** When applicable, Statements previously selected and associated with the 9060 record are displayed on the Selected Statements grid with the Add Statements, Re-Order Statements, and Remove Statements options.
- Step 26** On the Submit 9060-6 Application page, a summary of the application information appears in the 9060 Application Header and a Products on Application grid. Verify the information that appears in both the header and the grid (Figure 74).
- Step 27** To provide any Supplemental Documentation, select **Add New File** (Figure 76 and Figure 77). Supplemental documents include any scanned .pdf versions of completed letterhead certificates required by a foreign country. Identify the document type of Transit Letterhead or Other. If transit is selected, identify the transit country.
- Step 28** Select **Browse** and add a Document Title.
- Step 29** To provide any Supportive Documentation, select **Add New File** (Figure 78). Supportive documents include scanned .pdfs that you want to share with the inspector but do not want to be part of the certificate package that goes to the foreign country.
- Step 30** Select **Browse** and add a Document Title.
- Step 31** When applicable, add the PHIS-generated statement(s) located under the Remarks heading, by selecting the associated checkbox(es).
- Step 32** When applicable, review any statements displayed under the PHIS Generated Statements per Country Requirements heading. To remove any of the displayed remarks under PHIS Generated Statements per Country Requirements heading, select the associated red X.
- Step 33** To include custom statements for the export application and certificate, type your remarks in the Remarks text box. These statements appear in the Remarks field on the 9060 export certificate exactly as you type them. You also can copy and paste from the Export Library or other documents.
- Step 34** Select **Review Application Submission**. This action opens a PDF of the application in a separate tab. The Submit button appears after you have completed the initial review of the application package.
- Step 35** Statements generated by PHIS per 9060 application country – species data. Remarks selected are inserted into the remarks section of the export application and export certificate PDFs. Perform the final review and deselect options no longer desired.

- Step 36** If you navigate back to another tab prior to selecting the Submit button, the Review Application Submission button needs to be re-selected to re-enable the Submit button. This applies when an application is unlocked and updated.
- Step 37** Select **Submit Application**.
- Step 38** If a country requires data be entered for one or more of the following fields: Container, Seal, Port of Entry, Slaughter Establishment, and/or Processing Establishment and PHIS has validated that related data has not yet been entered, a message appears alerting you that these fields are required.
- Step 39** PHIS allows you to select Yes to proceed and submit the application for approval in order to start the review of the application by IPP or select No to Cancel the submission, complete the missing fields, and resubmit.
- Step 40** Select **Yes**.
The page refreshes and a confirmation message appear.

5.1.1.4 9060 Grid Filters

9060 grid filters are available on the Create/View 9060-6 Export Applications page. The filters are: Application Number, Export Establishment Name/Number and dates. You also can search for records by typing in the Key Word Search text box. You must type a minimum of three characters before PHIS begins returning related records. Multiple values may be incorporated into a search but must be added one at a time. Select the corresponding red X to remove a value from the Key Word Search.

Application Type, Status, and Importing Country filters are also available for selection. Once all desired filters have been set, select **Search**. PHIS returns 9060 records that match the selection criteria.

You may also specify Data range options of Two Days (default selection), One Week, One Month, or a range of dates (not to exceed one year). Selecting a date range option immediately refreshes the results.

Selecting the Reset button returns all filter options, including date range, to display the default values and matching 9060 records.

- Step 1** On the left navigation menu, select **9060**.
The system displays the Create/View 9060-6 Export Applications page, with a set of filters.
- Step 2** In the Key Word Search box, type three digits corresponding to available records to narrow records displayed.
- Step 3** Select a value displayed.
- Step 4** Select **Search**.
PHIS narrows the records displayed.
- Step 5** Select **Reset**.
PHIS removes the filter(s).
- Step 6** In the Key Word Search box, type three letters of a reviewer's last name.
- Step 7** Select a value displayed.

- Step 8** Select **Search**.
PHIS narrows the records displayed.
- Step 9** Select **Reset**.
PHIS removes the filter.
- Step 10** Select the One Month date range option.
PHIS displays all records created during the last month.

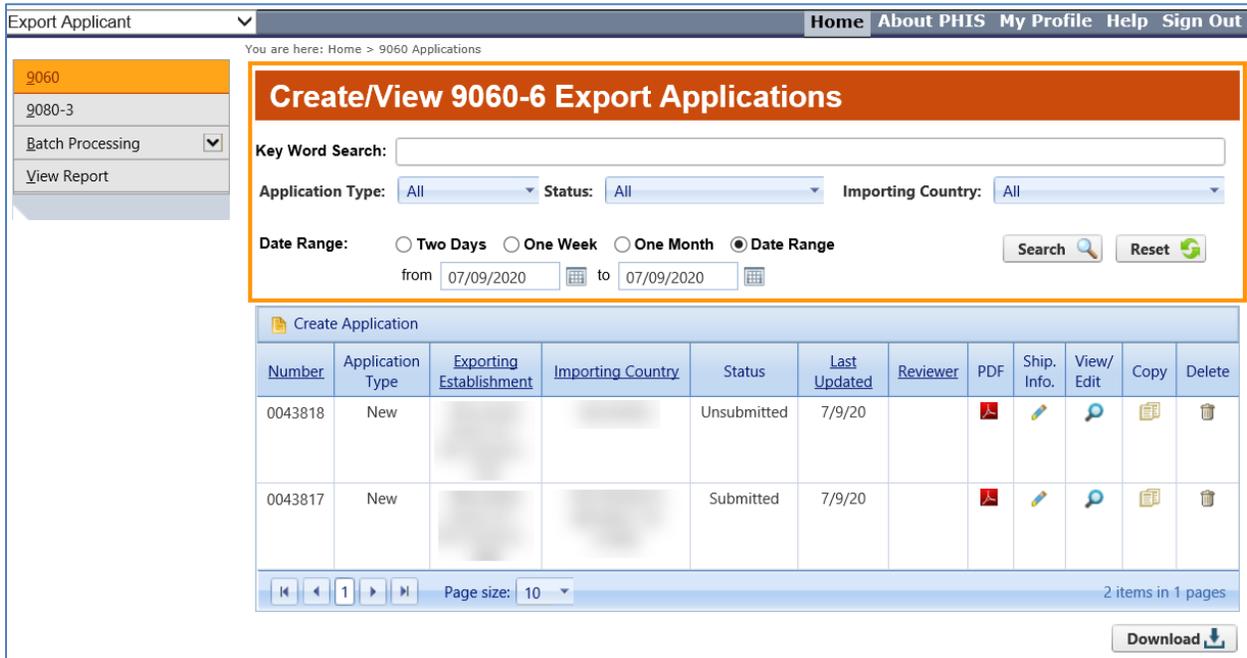


Figure 86: Filter 9060 records

5.1.1.5 Download Records Option

Both export roles have access to download records.

- Step 1** On the Create/View 9060-6 Export Applications page (Figure 87), select **Download**.
- Step 2** Open the Excel file containing filtered set of 9060 records with the following data elements: Number, Application Type, Exporting Establishment, Importing Country, Status, Date Created, Date Submitted, Last Updated Date, Date Approved, Reviewer, Container, and Seal Number.

Export Applicant Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: All Status: All Importing Country: All

Date Range: Two Days One Week One Month Date Range

from to Search Reset

Create Application											
Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043818	New			Unsubmitted	7/9/20						
0043817	New			Submitted	7/9/20						

Page size: 10 2 items in 1 pages

[Download](#)

Figure 87: Download Filtered 9060-6 records

5.1.1.6 View Replacement-Related 9060 Record References

Both export roles can view replacement-related 9060 information.

- Step 1** Log in to PHIS with either an Export Applicant or Export Broker role.
- Step 2** On the left navigation menu, select **9060**.
The system displays the Create/View 9060-6 Export Applications page,
- Step 3** Hover over Application type when it is one of the three Replacement type application.
PHIS displays a message with the related application number(s) that the record(s) replaced or are in the process of replacing.
- Step 4** Hover over an application with a status of Replaced or Pending Replacement.
PHIS displays a message with related application number(s) that are being replaced by the selected record.

Export Applicant | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: All | Status: All | Importing Country: All

Date Range: Two Days One Week One Month Date Range
 from 07/08/2020 to 07/08/2020

Search [magnifying glass] Reset [refresh]

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043816	Replacement			Submitted	7/8/20		[PDF icon]	[Pencil icon]	[Magnifying glass icon]	[Copy icon]	[Trash icon]
0043815	New			Pending Replacement	7/8/20	TUCKER	[PDF icon]		[Magnifying glass icon]	[Copy icon]	

Page size: 10 | 2 items in 1 pages | Download [download icon]

Figure 88: Detailed Replacement Information from Application Status

Note:

You can also find similar information by hovering over an application with a Type of Replacement, Split, or Consolidated (see Figure 89).

Export Applicant | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: All | Status: All | Importing Country: All

Date Range: Two Days One Week One Month Date Range
 from 07/08/2020 to 07/08/2020

Search [magnifying glass] Reset [refresh]

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043816	Replacement			Submitted	7/8/20		[PDF icon]	[Pencil icon]	[Magnifying glass icon]	[Copy icon]	[Trash icon]
0043815	New			Pending Replacement	7/8/20		[PDF icon]		[Magnifying glass icon]	[Copy icon]	

Page size: 10 | 2 items in 1 pages | Download [download icon]

Figure 89: Detailed Replacement Information from Application Type

5.1.1.7 Delete 9060 Applications

Both export roles can delete applications. Most 9060 records can be deleted. Exceptions include rejected applications, approved certificates and those certificates that have been replaced or are currently pending replacement.

- Step 1** Log in to PHIS with either an Export Applicant or Export Broker role.
- Step 2** On the navigation menu, select **9060**.
- Step 3** On the Create/View 9060-6 Export Applications page, select the **Trash Can** icon to delete the selected application.

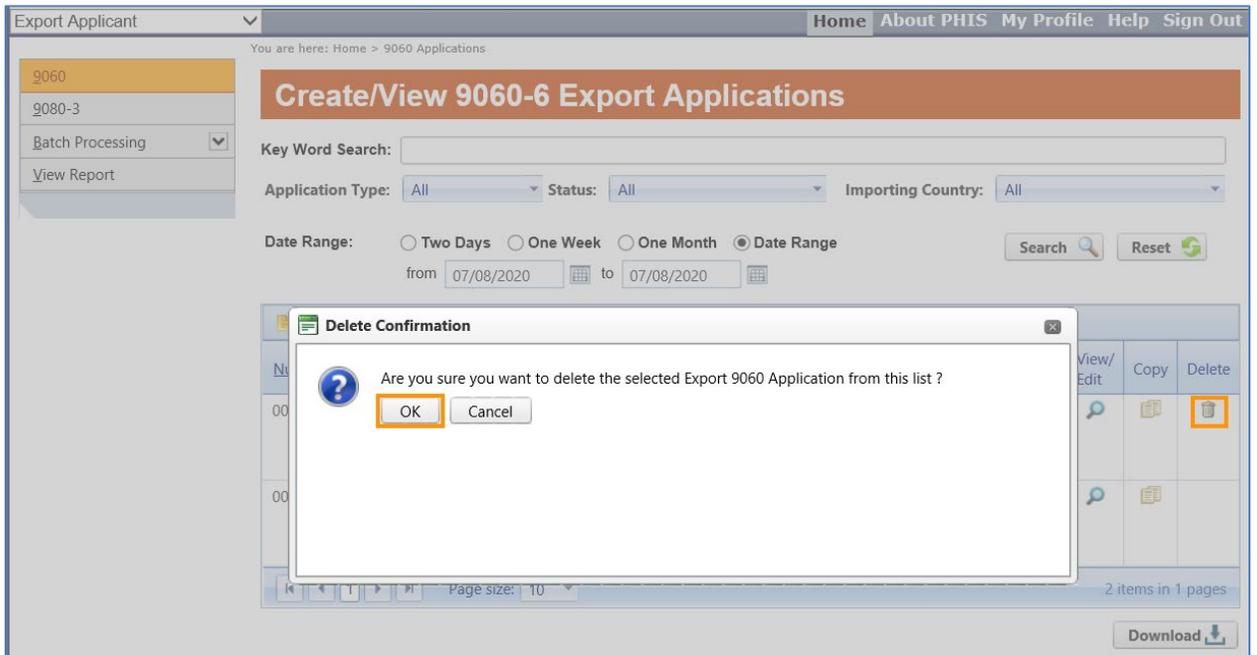


Figure 90: Delete Application

- Step 4** A pop-up window appears asking for confirmation:
- Step 5** Select **OK**.
The page refreshes and the row is removed.

5.1.1.8 Edit 9060 Applications

Both export roles can edit applications. If you want to edit an application that has not been submitted yet, the process is relatively straightforward, and you do not have to unlock the application. When a New application has already been submitted, but the review process by FSIS personnel has not started, all data fields are editable. To make updates, follow these steps:

- Step 1** Log in to PHIS with either an Export Applicant or Export Broker role.
- Step 2** On the navigation menu, select **9060**.
- Step 3** On the Create/View 9060-6 Export Applications page, select the **View/Edit** icon to edit the selected application.
PHIS opens the 9060 application
- Step 4** On the Exporter page, select Unlock Application.

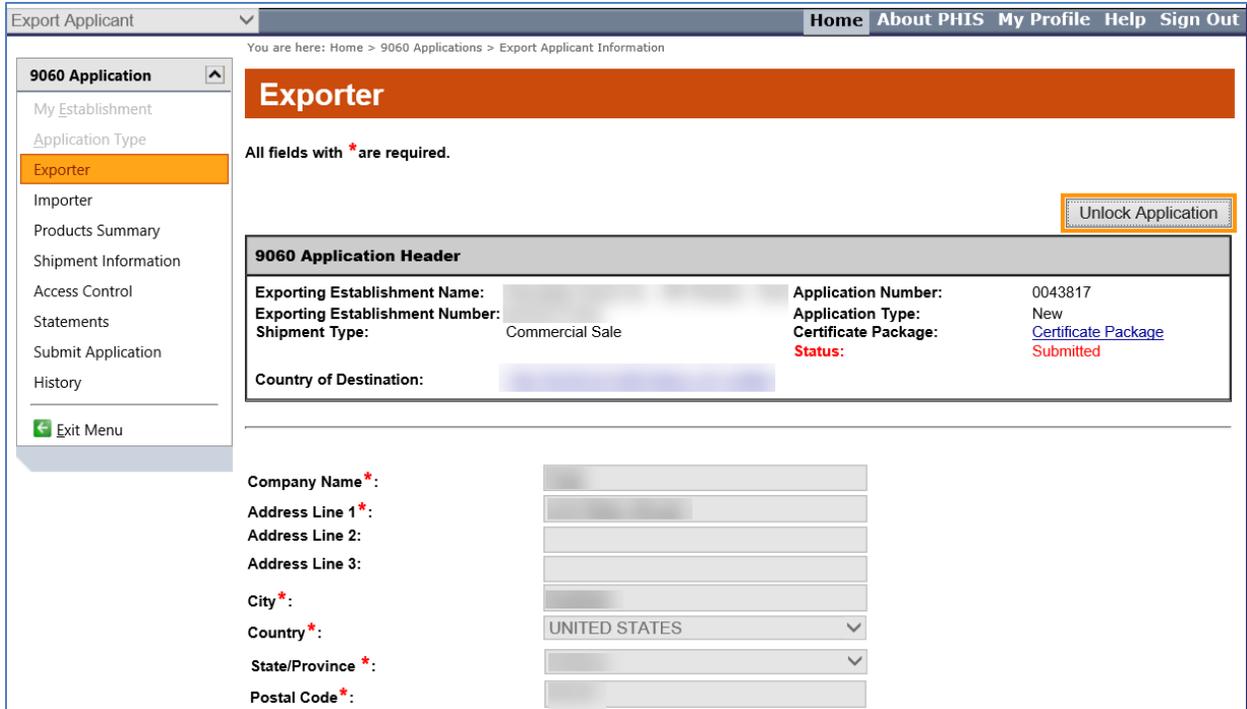


Figure 91: Unlock Application button

Step 5 On the Unlock Application pop-up window, select all the relevant checkboxes and select OK.

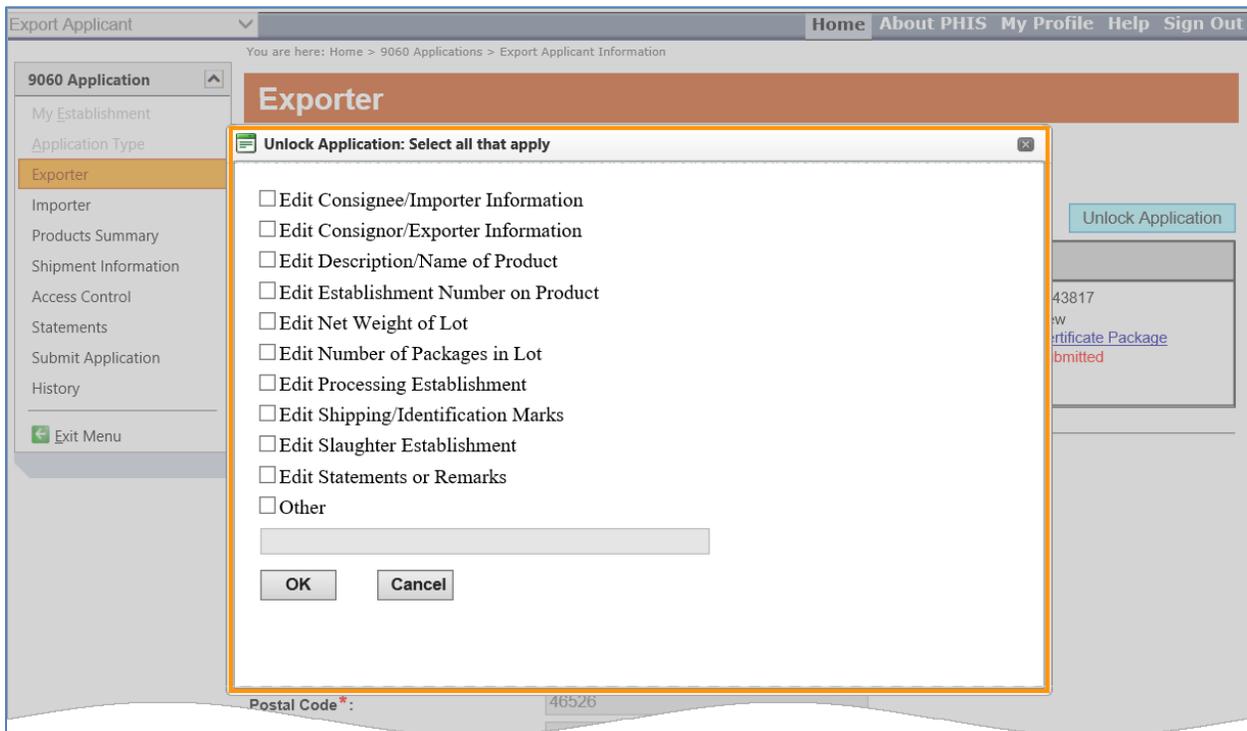


Figure 92: Unlock Application: Select all that apply window

Step 6 The status of the application is updated to Unlocked

- Until the application is re-submitted no further actions may be taken by FSIS to approve application and sign the related export certificate.

Step 7 This action leads you through the same application process as described in Sections 15.1.1.2 and 5.1.1.3. Make edits accordingly.

Step 8 Re-select the Under penalty of law statement.

Step 9 Select **Next**.

Step 10 Continue until you reach the Submit 9060-6 Application page. Select **Review Application Package**.

Step 11 Select **Submit Application**.
The page refreshes and a confirmation message appears.
The application status returns to Submitted.

5.1.1.9 Allowable Edits after the Review Process by FSIS Personnel has Started

Edits are allowed to fields on the Exporter and Importer pages. Product related edits are limited to editing the Product Name, product weight (lbs and kgs) and the number of packages on product records and the Total Weight fields for the application.

Statements can be selected, re-ordered, and removed and required statement data added and edited. On the Submit page, PHIS generated statements may be selected and deselected and custom remarks entered can be modified or deleted. Edits are no longer allowed when the status of the record is Pending Upload, Replaced, Pending Replacement, or Approved.

Step 1 Log in to PHIS with the Export Applicant or Export Broker role.

Step 2 On the Create/View 9060-6 Export Applications page, select the **View/Edit** icon to edit the selected application.

The screenshot shows the PHIS interface for managing 9060-6 export applications. The page title is 'Create/View 9060-6 Export Applications'. There is a search bar and several filters: Application Type (All), Status (All), and Importing Country (All). A 'Date Range' section has radio buttons for 'Two Days', 'One Week', and 'One Month', along with a 'Date Range' option. A 'Search' button and a 'Reset' button are also present. Below the filters is a table with the following data:

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info	View/Edit	Copy	Delete
0043845	New			Pending Upload	7/10/20						
0043842	New			Pending Upload	7/10/20						
0043841	New			Rejected	7/10/20						
0043840	New			Submitted	7/10/20						

At the bottom of the table, there is a pagination control showing 'Page size: 10' and '4 items in 1 pages'. A 'Download' button is located at the bottom right of the page.

Figure 93: Edit Application

Step 3 PHIS displays the Products Summary page.

Export Applicant Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Products Summary

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements
- Submit Application
- History
- [Exit Menu](#)

Products Summary

i This application is currently under review. Only fields that are not grayed out may be edited.

Unlock Application

9060 Application Header

Exporting Establishment Name:	Application Number: 0043840	
Exporting Establishment Number:	Application Type: New	
Shipment Type: Commercial Sale	Certificate Package: Certificate Package	
	Status: Submitted	
Country of Destination:		

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf-Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit
FROZEN BONELESS BEEF	Raw - Intact	Beef	Yes	Yes	2370.7000 lbs (0 kgs)	53	Box		
FROZEN BONELESS BEEF	Raw - Intact	Beef	Yes	Yes	45.9000 lbs (0 kgs)	1	Box		

Net Weight*: kgs

Figure 94: Products Summary page with Unlock Application button

Step 4 Select **Unlock Application**.

Step 5 On the Unlock Application pop-up window, select the Edit Net Weight of Lot checkbox and select **OK**.

The Status of the application is Unlocked and until the application is re-submitted, no further actions may be taken by FSIS to approve application and sign the related export certificate.

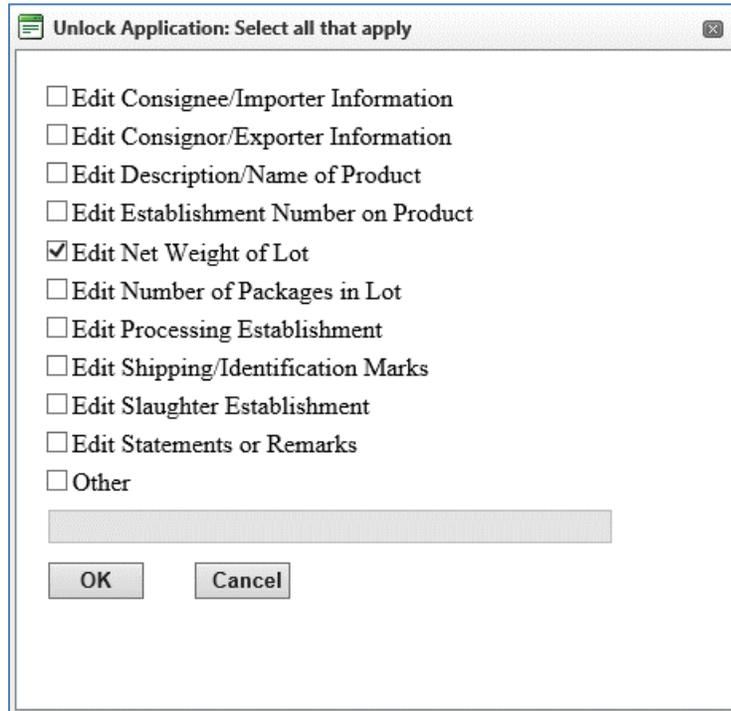


Figure 95: Unlock Application: Select all that apply pop-up window

Step 6

On the Products Summary page, if you need to edit a product record, select the **Edit** icon and go to the next step; otherwise go to Step 9.

The screenshot shows the PHIS 'Products Summary' page for a 9060 Application. The page is under review, and only non-grayed-out fields are editable. The '9060 Application Header' section contains the following details:

- Exporting Establishment Name: [Redacted]
- Exporting Establishment Number: [Redacted]
- Shipment Type: Commercial Sale
- Country of Destination: [Redacted]
- Application Number: 0043840
- Application Type: New
- Certificate Package: [Certificate Package](#)
- Status: **Unlocked**

The 'Products' table below lists two items:

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf-Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit
FROZEN [Redacted]	Raw - Intact	Beef	Yes	Yes	2371.7000 lbs (0 kgs)	53	Box	[Redacted]	
FROZEN [Redacted]	Raw - Intact	Beef	Yes	Yes	45.9000 lbs (0 kgs)	1	Box	[Redacted]	

At the bottom, the 'Total Net Weight*' is shown as 2416.6000 lbs, with the '2416.6000' value highlighted in an orange box.

Figure 96: Update Catch Weights on Products Summary page

Step 7 On the Product Details page, edit Product Name, edit the Net Weight of Lot field(s) and Number of Packages in Lot field as applicable.

Step 8 Select **Finish**.

The screenshot displays the 'Product Details' page for a 9060 Application. On the left is a navigation menu with options: My Establishment, Application Type, Exporter, Importer, Products Summary, Shipment Information, Access Control, Statements, Submit Application, History, and Exit Menu. The main content area has a header 'Product Details' and a message: 'This application is currently under review. Only fields that are not grayed out may be edited.' Below this is the '9060 Application Header' section with the following details:

Exporting Establishment Name:	Pilgrim's Pride Corporation	Application Number:	0094231
Exporting Establishment Number:	P6638	Application Type:	New
Shipment Type:	Samples	Certificate Package:	Certificate Package
Country of Destination:	IRELAND	Status:	Unlocked

Below the header, a note states: 'All fields with * are required.' The 'Product Information' section contains the following fields:

- Product Name*: Beef Tenderloin
- Product Code: [Empty]
- HACCP Category*: Raw - Non Intact
- Species*: Beef
- Is the Maturity Less than 30 Months: Yes
- Is the Product Frozen/Shelf-Stable*: Yes No
- Marked Net Weight of Lot*: 20 lbs, 20 kgs
- Number of Packages in Lot*: 10
- Package Type*: Box
- Shipping/Identification Marks: [Empty]
- Est. Number on Product*: [Empty] M25

At the bottom right, there are 'Cancel' and 'Finish' buttons.

Figure 97: Edit Product Name and Update Catch Weights on the Product Details page

Step 9 If applicable, on the Products Summary page, edit the Total Net Weight field.

Step 10 Re-select the Under penalty of law statement.

Step 11 Select **Next**.

Step 12 Continue until you reach the Submit 9060-6 Application page.

Step 13 Select **Review Application Submission**.

Step 14 Select **Submit Application**.

The page refreshes and a confirmation message appears and the application status is returned to its prior status.

5.1.1.10 Edit Slaughter Establishment and Processing Establishment on 9060 Application

When the importing country requires slaughter/processing information, you can edit those fields on the Products Summary page even after the approval process has begun as long as the status of the record is **not** Pending Upload, Replaced, Pending Replacement, Rejected, or Approved.

5.1.1.11 Manage Seal, Container and Port of Entry Information

Both export roles can manage seal, container, and port of entry information for export applications.

Unless required by the importing country for approval; seal, container, and port of entry values can be edited regardless of the status of the 9060 record.

If the importing country requires values to be entered prior to approval, once the 9060 is approved, PHIS displays these fields in a read-only format. Values also may **not** be edited if the record has a status of Pending Replacement, Replaced, or Rejected.

Port of Entry field options are available only when related reference data is associated with the Country in PHIS.

To manage seal, container, and port of entry information, follow these steps:

- Step 1** From the navigation menu, select **9060**.
- Step 2** In the Ship. Info. column, select **Edit**.
The Shipment Information window appears.
- Step 3** Edit Container and Seal information accordingly (see Figure 64 and Figure 65).
These are the same fields from the 9060 application data entry process.
Note: Select **Insert** once finished, otherwise PHIS does not save the data.

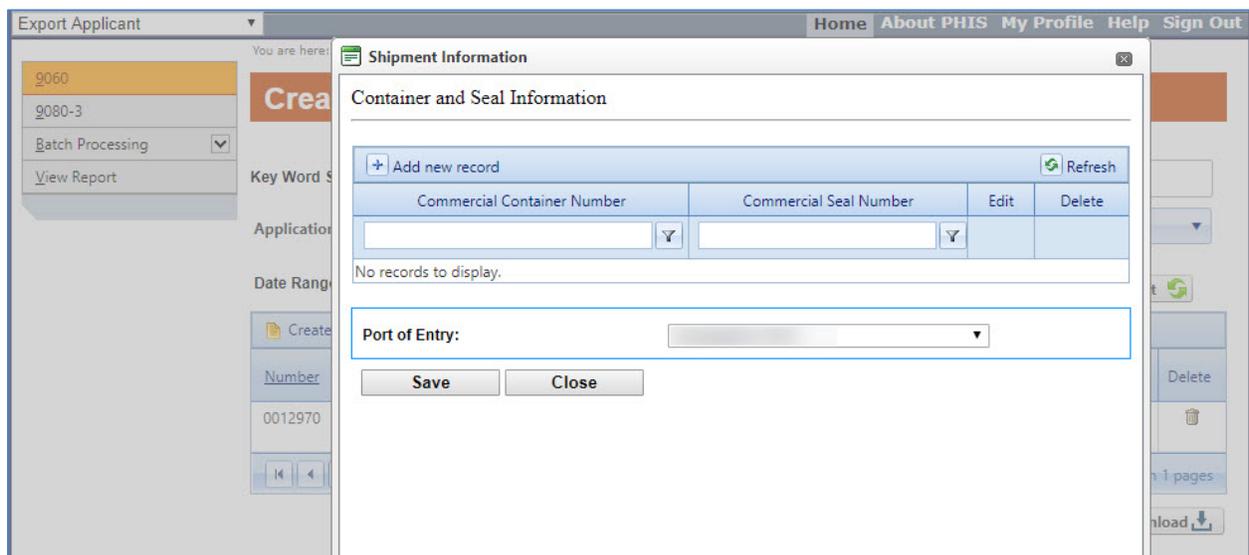


Figure 98: Shipment Information window

5.1.1.12 History page

PHIS displays in a History grid with the user names and date/time stamps associated with the following actions:

- Create Application
- Submit Application
- Unlock Application (+Justification captured)
- Edit Shipment Information

An indicator (B) is also displayed to the right of the action text if the action occurred by the processing of a batch file. The History page is available for records of all statuses.

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements
- Submit Application
- History**
- Exit Menu

History

9060 Application Header

Exporting Establishment Name:	Application Number:	0094235
Exporting Establishment Number:	Application Type:	New
Shipment Type: Commercial Sale	Certificate Package:	Certificate Package
Country of Destination: ANDORRA	Status:	Submitted
Final Destination Country: AFGHANISTAN		

User	Action	Justification	Date/Time
Afzal Applicant	Create Application		7/16/2020 10:48:16 AM
Afzal Applicant	Submit Application		7/16/2020 3:16:47 PM
Afzal Applicant	Unlock Application		7/16/2020 3:31:47 PM
Afzal Applicant	Submit Application(B)		7/16/2020 3:34:00 PM
Afzal Applicant	Unlock Application		7/16/2020 3:56:53 PM
Afzal Applicant	Submit Application(B)		7/16/2020 3:57:39 PM
Afzal Applicant	Unlock Application		7/16/2020 5:26:16 PM
Afzal Applicant	Submit Application(B)		7/16/2020 5:26:20 PM
Afzal Applicant	Unlock Application	Edit Slaughter Establishment	7/16/2020 6:03:36 PM
Afzal Applicant	Edit Shipment Information		7/17/2020 4:15:02 PM
Afzal Applicant	Submit Application		7/17/2020 4:15:39 PM

Page size: 20 | 11 items in 1 pages

Previous

Figure 99: History page

5.1.1.13 Copy Data from One Application or Certificate to Create a New Application

The Copy function helps reduce the amount of data entry needed to create new applications. Both export roles can copy an application or approved certificate to create a new application by taking the following steps:

- Step 1** From the navigation menu, select **9060**.
- Step 2** Select **Copy** for an existing record.
- Step 3** On the confirmation window, select **OK**.
PHIS adds a new application with an unsubmitted status added to the top of the 9060 grid.

- Step 4** Select **Edit** for the new application and make the necessary changes. When copying one record to another, PHIS does *not* copy the following data elements:
- The checkmark from the Under penalty of the law statement on the Products Summary page
 - Any checkmarks for Certification Statements on the Products Summary page
 - The Container and Seal Information and Access Control information
 - Supplemental and Supportive documents
- Step 5** On the Products Summary page, accept the Under Penalty of Law statement by selecting the checkbox.
- Step 6** Select the appropriate Certification Statement(s).
- Step 7** Continue until you reach the Submit 9060-6 Application page. Select **Review Application Submission** to review the certificate before submitting.
- Step 8** Select **Submit Application**.
The page refreshes and a confirmation message appears.

5.1.2 Replacements

This section covers the different type of replacements possible in PHIS. Replacements have three types: 1:1 Replacement, Consolidated, and Split. Both Export Brokers and Export Applicants can do replacements. All replacements start with one or more approved certificates and result in one or more applications. If you have paper certificates that you want to replace, the only replacement type available is 1:1 replacement.

5.1.2.1 Replace One Paper Certificate with One Electronic Application

To replace a paper certificate, follow these steps:

- Step 1** On the Application Type page, for the Shipment Type field, select a value from the drop-down list.
- Step 2** For the Application Type, select Replacement from the drop-down list.
- Step 3** Select a reason for replacement from the drop-down list.

The screenshot shows a web application window titled "Export Applicant". The breadcrumb trail is "Home > 9060 Applications > Application Type". The main heading is "Select 9060-6 Export Application". A note states "All fields with * are required." Below this is a "9060 Application Header" section with the following fields: "Exporting Establishment Name:" (blurred), "Exporting Establishment Number:" (blurred), "Application Type:" (set to "None"), "Certificate(s) being replaced:", and "Replacement Reason:". Below the header are three dropdown menus: "Shipment Type:" (set to "Commercial Sale"), "Application Type:" (set to "Replacement"), and "Why are you replacing this certificate?:" (set to "(Select One)"). The dropdown for "Why are you replacing this certificate?:" is open, showing options: "Certificate Missing Required Information", "Importer/Exporter Changed", "Importing Country Border Closure", "Incorrect Certificate", and "Lost Certificate". At the bottom right are "Previous" and "Next" buttons.

Figure 100: Reasons for Replacement

- Step 4** Type the certificate number you are replacing. As this certificate was generated outside of PHIS, the format should be three letters and six numbers, for example: MPL123456.
- Step 5** Select **Next**.
- Step 6** Follow the same process as creating a new application.
 - Because this is an application for the approval of 9060 replacement certificate, export users are responsible for typing any required statements in the Required Statements field on the Submit Application page and/or selecting the checkbox associated with PHIS-generated statement (if a Unique Identifier was entered for the Export Mark to be Used on the Exporter page).
 - Export users must upload applicable supplemental and supportive documentation to the replacement application.
- Step 7** Continue until you reach the Submit 9060-6 Application page, select **Review Application Submission**.
- Step 8** Close the PDF window.
- Step 9** Select **Submit Application**.

Step 10 Receive the following Action Required message and select **Yes**, if desired. The page refreshes and a confirmation message appears.

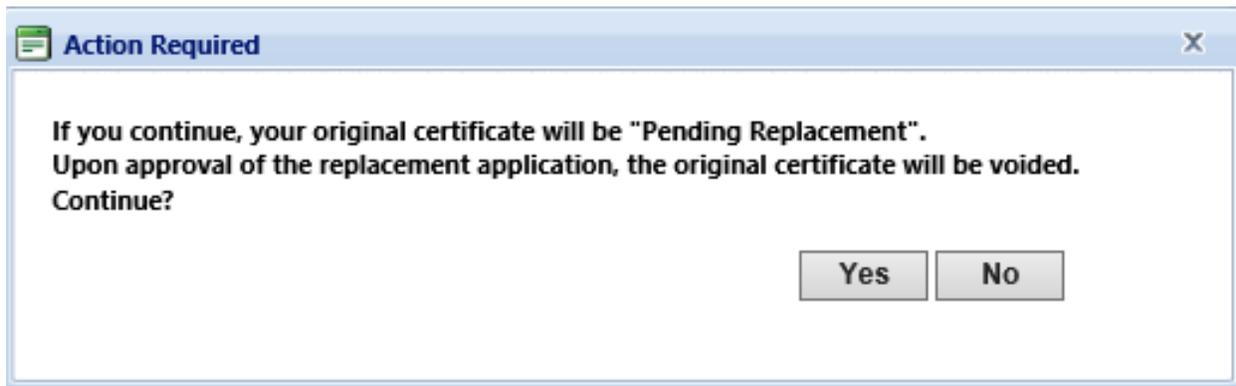


Figure 101: Action Required message

5.1.2.2 Replace One Electronic Certificate with an Electronic Application

To replace a certificate that was originally created in PHIS, follow these steps:

- Step 1** On the Application Type page, for the Shipment Type field, select a value from the drop-down list.
- Step 2** For the Application Type field, select Replacement from the drop-down list.
- Step 3** Select a reason for replacement from the drop-down list.
- Step 4** Type the certificate number being replaced. The certificate being replaced must have an approved status.
- Step 5** Select **Next**.
- Step 6** At this point, the process is similar to creating a new application, but most fields are pre-populated and editable.
 - A link to the approved certificate being replaced appears in the 9060 application header.
 - The Export Mark to be Used data is copied over to the replacement application from the original approved certificate and displays as a read-only value.
 - Total Net Weight value(s) do not transfer.
 - The PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer to replacement type applications from the original certificate. To include such statements, select **Statements** from left menu and select from the available Statement options.

- Step 7** On the Product Details page, the only editable fields are Product Name, weight and number of packages.
Please note:
- You cannot add more product than what was on the original certificate.
 - You can enter a value in lbs field at the product level, even if it was not completed on the original approved certificate. The system validates only that the value you typed is positive.
 - You can enter a value in the kgs field at the product level, even if it was not completed on the original approved certificate. The system validates only that the value you typed is positive.
- Step 8** On the Products Summary page, enter appropriate values into the available Total Net Weight value fields.
- You cannot enter into the Total Net Weight field values greater than those values recorded on the original approved certificate.
 - If a value was added to the kgs field at the product level that was not part of the original approved certificate, you need to type a value in the Total Net Weight kgs field. The system validates only that the value you typed is positive.
 - If a value was added to the lbs field at the product level that was not part of the original approved certificate, you need to type a value in the Total Net Weight lbs field. The system validates only that the value you typed is positive.
- Step 9** Accept the Under Penalty of Law statement by selecting the checkbox.
- Step 10** You may now move through the rest of the application and make any necessary edits.
- The PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer to replacement type applications from the original certificate. To include such statements, select **Statements** from left menu and select from the available Statement options.
 - Because this is an application for the approval of 9060 replacement certificate, export users are responsible for either typing any required statements in the Required Statements field on the Submit Application page and/or selecting the checkbox associated with PHIS-generated statement.
 - Supplemental and Supportive documents attached to the application submitted with the application for the originally approved certificate do not transfer to the Replacement application. As needed, users must upload applicable supplemental and supportive documentation to the replacement application.
- Step 9** Select **Review Application Submission** to review the certificate before submitting.
- Step 10** Close the PDF window.

- Step 11** The Submit Application button is enabled, select **Submit Application**.
- Step 11** Receive the Action Required message (Figure 101) and select **Yes**, if desired. The page refreshes and a confirmation message appears.

5.1.2.3 Consolidate Multiple Certificates to One Application

To consolidate two or more electronic PHIS certificates, follow these steps:

- Step 1** On the Application Type page, for the Shipment Type field, select a value from the drop-down list.
- Step 2** For the Application Field, select Consolidate from the drop-down list.
- Step 3** Select a reason from the drop-down list for this replacement.
- Step 4** Type the Certificate Numbers you are consolidating.
Note: Separate the numbers with a comma without spaces.

Figure 102: Completed Fields for Consolidation

- Step 5** Select **Next**.
- Step 6** At this point, the process is the similar to creating a new application, but most fields are pre-populated and editable.
- PHIS displays a link to the approved certificates being replaced appears in the 9060 application header.
 - The Export Mark to be Used data is copied over to the consolidated application from the original approved certificates and cannot be edited.
 - Total Net Weight fields on the Products Summary page are not pre-populated.
 - PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer.
- Step 7** On the Product Details page, the only editable fields are Product Name, weight and number of packages. Please note:

- You cannot add more product than what was on the original certificate.
- A value can be entered into the kgs field associated with product(s) even if it was not completed on the original approved certificate.
- If a value is entered into the previously empty kgs field, the system validates only that a positive value has been entered.

Step 8 There is no way to add or delete product lots from the Products Summary grid during the consolidation process.

Step 9 On the Products Summary page, enter appropriate values into the available Total Net Weight value fields.

- A user cannot enter into the Total Net Weight field values greater than the summed values per weight unit recorded on the original approved certificates.
- However, if a value was added to the kgs field at the product level that was not part of any of the original approved certificates, values must also be entered into the Total Net Weight kgs field.
- The system validates only that the value entered into a previously empty kgs field is positive.

Step 10 Accept Under Penalty of Law statement by selecting the checkbox.

Step 11 You may now move through the rest of the application and make any necessary edits.

- The PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer to replacement type applications from the original certificate. To include such statements, select **Statements** from left menu and select from the available Statement options.
- Because this is an application for the approval of consolidated 9060 approved certificates, you are responsible for either typing any required statements in the Required Statements field on the Submit Application page and/or selecting the checkbox associated with PHIS-generated statement.
- Supplemental and Supportive documents attached to the application submitted with the application for the originally approved certificates do not transfer to the Consolidated application. As needed, users must upload applicable supplemental and supportive documentation to the replacement application.

Step 12 Select **Review Application Submission** to review the certificate before submitting.

Step 13 The Submit Application button is enabled. Select **Submit Application**.

Step 14 Receive a variation of the Action Required message (Figure 101) and select **Yes**, if desired.

The page refreshes and a confirmation message appears.

5.1.2.4 Split One Certificate to Multiple Applications

To split one electronic PHIS certificate into two or more applications, follow these steps:

- Step 1** On the Application Type page, for the Shipment Type field, select a value from the drop-down list.
- Step 2** For the Application Type, select Split from the drop-down list.
- Step 3** Select a reason for doing the replacement.
- Step 4** Type the Certificate Number you are replacing and enter the number of new applications you want to create.
PHIS displays a grid based on your entry and the product information of the original approved certificate.

Click on the weight or packages column cells to edit.							
Splits	Product Name (Code)	Species	Weight (lbs)	Weight (Kg)	Packages	Package Type	Est Number on Product
Split: 1; Export Establishment Name:							
	FROZEN CHICKEN LEG QUARTERS ()	Chicken	0	0	0	Case	P165H
Total weight for new Application 1 *							
Split: 2; Export Establishment Name:							
	FROZEN CHICKEN LEG QUARTERS ()	Chicken	0	0	0	Case	P165H
Total weight for new Application 2 *							
Split: 3; Export Establishment Name:							
	FROZEN CHICKEN LEG QUARTERS ()	Chicken	0	0	0	Case	P165H
Total weight for new Application 3 *							
Total:	FROZEN CHICKEN LEG QUARTERS()		0	0	0		
			of 57000	of 25849.5	of 1425		

Figure 103: Split Application Product Data Entry Grid

Step 5 Divide up product as desired by weight and number of packages and enter the values into the Weight, Package and Total Net Weight fields for each new application.

- For your convenience, previous weight and package totals are listed by product at the bottom of the grid. PHIS tracks your entries as they are assigned to the proposed applications based upon the original weight and package values of the approved certificate.
- If a value was added to the kgs field at the product level that was not part of the original approved certificate, you need to type a value in the Total Net Weight kgs field. The system validates only that the value you typed is positive.
- If a value was added to the lbs field at the product level that was not part of the original approved certificate, you need to type a value in the Total Net

Weight lbs field. The system validates only that the value you typed is positive.

- Values entered cannot total to a value greater than those associated with the original approved certificate.

Step 6 Select the pencil icon to the right of the Export Establishment Name field to select the appropriate Export Establishment Number for each application.

Step 7 Select **Next**.
Upon selecting Next, PHIS compares the entered values to the values on the original certificate and one of the following happens:

- If the value(s) you entered per product on each application add up to an amount greater than that of the source certificate, PHIS displays the following message and you must adjust the values entered in order to proceed:



Figure 104: Exceeds the Values of the Original Certificate Message

- If the value(s) you entered per product on each application add up to an amount less than that of the source certificate, PHIS displays the following message. Select **Yes** to continue or select **No** to go back and adjust the values entered for each proposed application.

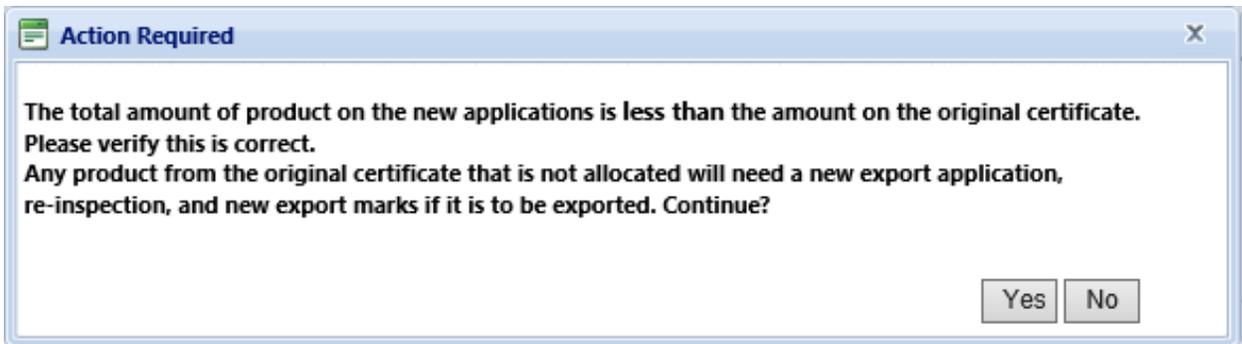


Figure 105: Values Entered are Less than those on the Original Certificate

- If the value(s) you entered per product on each application add up the exact amounts on the source certificate, PHIS does not display a message (go to the next step).

Step 8 PHIS refreshes the page and displays a list of the system-generated remarks. Select the associated checkbox(es) to include the remark(s) on the Application and Certificate.

Step 9 If applicable, type any required statements in the Required Statements field on the Submit Application page.
(PHIS does not copy any Required Statements from the original approved certificate to the resulting split applications.)

Step 10 Once satisfied, you have two buttons from which to choose from: Finish or Submit.

- If the Finish button is selected, PHIS creates the requested number of applications with the defined values, but the resulting applications have a status of Unsubmitted and can be immediately edited from the 9060 grid.
- If the Submit button is selected, PHIS creates the requested number of applications with the defined values and the resulting applications have a status of Submitted.

Notes:

- If you edit any of the resulting applications, PHIS displays a link to the approved certificate that is being split in the header of the 9060 application.
- PHIS does not transfer the Supplemental and Supportive documents that were attached to the application for the originally approved certificate to the Replacement applications. As needed, you must edit the replacement applications and upload applicable supplemental and supportive documentation.
- PHIS does not transfer any of the PHIS-Generated Statements per Importing Country or Importing Country/Species combination from the original approved certificate. To include such statements, you must edit the replacement applications, select **Statements** from the left menu and then select the applicable statements.

5.1.3 Batch Export

PHIS includes option for processing a batch of export applications. An applicant can create data files for upload to PHIS, initiating the application process.

This process allows for:

- Creation of applications by individual XML files
- Creation of application packages that include the XML file(s) and associated supplemental documentation in PDF format, placed in a *.zip file
- Creation of applications by individual Excel files
- Creation of application packages that include the Excel file and associated supplemental documentation in PDF format, placed in a zip file

Once the files are successfully uploaded, processed, and submitted, FSIS personnel review the applications as they do manually entered applications.

There are two options for loading the files to PHIS:

- Machine-to-machine (XML or Zip files that contain XML and PDF files only)
- Through the PHIS Interface (XML, Excel, Zip files that contain XML and PDF files, or Zip files that contain Excel and PDF files)

These options provide flexibility for different establishments and for various corporate structures.

For more information, see the *PHIS Industry Export Batch User Guide*.

5.1.4 9080-3 Applications

5.1.4.1 Export Applicant: How to Create/View 9080-3 Applications

Only certain countries require establishments to have approved 9080-3 Applications in order to export product and only the Export Applicant role can create them. To create and view a new 9080-3 application as an Export Applicant, follow these steps:

- Step 1** Log in to PHIS with the Export Applicant role.
- Step 2** From the left navigation menu, select **View 9080-3**.
- Step 3** On the Create/View Establishment Application for Export page, select **Create Application**.
- Step 4** On the Select Establishment page, select the **House** icon associated with the desired Establishment.
- Step 5** On the General Information page, enter the required data and select **Next**.
- Step 6** For the Category of Product section, enter 9080-3 related data and select **Next**.

The screenshot shows the 'Establishment Application For Export' page. On the left is a navigation menu with options: '9080 Application', 'Select Establishment', 'General Information', 'Product Information' (highlighted), 'Submit Application', and 'Exit Menu'. The main content area has an orange header 'Establishment Application For Export' with a 'View Report' link. Below the header are three sections, each with a text input field and a list of checkboxes:

- Category of Product:** Includes checkboxes for 'Check All', 'EGG PRODUCTS', 'MEAT', and 'OTHER'.
- Type of Operation(s):** Includes checkboxes for 'Check All', 'BONING/CUT-UP', 'COLD STORAGE', 'GRINDING', 'OTHER', 'PROCESSING', and 'SLAUGHTER'.
- Class of Product(s) To Be Exported:** Includes checkboxes for 'Check All' and various product codes: '03B RAW PRODUCT-GROUND', '03C RAW PRODUCT-NOT GROUND', '03D THERMAL PROCESSED/COM. STERILE', '03E NOT HEAT TREATED-SHELF STABLE (S.S)', '03F HEAT TREATED-SHELF STABLE', '03G FULLY COOKED/NOT SHELF STABLE', '03H HEAT TREATED/NOT FULLY COOKED-NOT S.S', and '03I PRODUCT WITH SECONDARY INHIBITOR-NOT S.S'.

At the bottom of the form is a 'Species' text input field.

Figure 106: Product Information page

- Step 7** On the Establishment Application for Export page, add an attachment by selecting **Add New File**.
- Step 8** Select **Browse** to locate the file and then select **Open**.

Step 9 Fill in the Document Title field and select **Upload**.

Step 10 After all the necessary files are uploaded and the application is complete, select **Submit**.

Step 11 Select **OK** to confirm that you want to submit the application.
A confirmation message appears.

Step 12 Select **Exit Menu**.

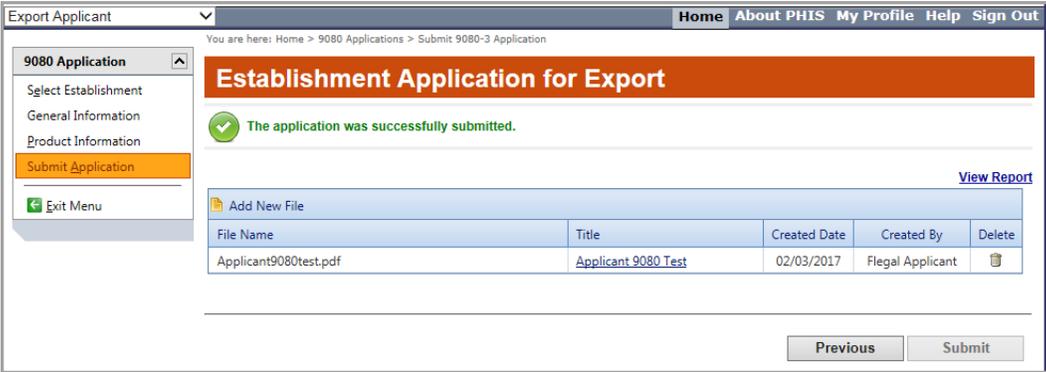


Figure 107: Confirmation Message for Submitting 9080-3 Application

Step 13

On the grid, your application appears with a status of Submitted. At this point, if you select the **PDF** icon, the application opens a PDF of the 9080-3 in read-only mode.

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 5 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.

UNITED STATES DEPARTMENT OF AGRICULTURE FOOD SAFETY AND INSPECTION SERVICE ESTABLISHMENT APPLICATION FOR EXPORT OF <input type="checkbox"/> MEAT <input type="checkbox"/> POULTRY <input type="checkbox"/> EGG PRODUCTS <input type="checkbox"/> OTHER		2. DATE OF REQUEST _____																			
TO: USDA/FSIS/OPPD/IE/PDS 1400 Independence Ave., SW Room 2137S Washington, DC 20250 Email: ImportExport@fsis.usda.gov PHONE: (202) 720-0082 FAX: (202) 720-7980		3. COUNTRY (To which product will be exported) _____ 4. DISTRICT OFFICE (Name and Number) _____																			
6. FROM: (Establishment name and address as shown on current Grant of Inspection, FSIS Form 5200-1, and include DBA's if applicable) _____		5. USDA ESTABLISHMENT NO. (Specify Est. No., M, P, ID, I, etc) _____ (Check if Voluntary Inspection) <input type="checkbox"/>																			
7. PHONE NO. _____		8. FAX NO. _____																			
9. TYPE OF OPERATION(s) (Check) <input type="checkbox"/> Slaughter <input type="checkbox"/> Boning/Cut-up <input type="checkbox"/> Grinding <input type="checkbox"/> Processing <input type="checkbox"/> Cold Storage <input type="checkbox"/> Other		10. CLASS OF PRODUCT(s) TO BE EXPORTED (Check) <input type="checkbox"/> 03B Raw Product-Ground <input type="checkbox"/> 03C Raw Product-Not Ground <input type="checkbox"/> 03D Thermal Processed/Com. Sterile <input type="checkbox"/> 03E Not Heat Treated-Shelf Stable (S.S.) <input type="checkbox"/> 03F Heat Treated-Shelf Stable <input type="checkbox"/> 03G Fully Cooked/Not Shelf Stable <input type="checkbox"/> 03H Heat Treated/Not Fully Cooked-Not S.S. <input type="checkbox"/> 03I Product With Secondary Inhibitors-Not S.S.																			
11. SPECIES (Check all that apply): <table border="0"> <tr> <td><input type="checkbox"/> Beef</td> <td><input type="checkbox"/> Bison</td> <td><input type="checkbox"/> Buffalo</td> <td><input type="checkbox"/> Chicken</td> <td><input type="checkbox"/> Lamb</td> <td><input type="checkbox"/> Siluriformes Fish</td> </tr> <tr> <td><input type="checkbox"/> Duck</td> <td><input type="checkbox"/> Emu</td> <td><input type="checkbox"/> Horse</td> <td><input type="checkbox"/> Turkey</td> <td><input type="checkbox"/> Rhea</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Mutton</td> <td><input type="checkbox"/> Ostrich</td> <td><input type="checkbox"/> Pork</td> <td><input type="checkbox"/> Veal</td> <td><input type="checkbox"/> Egg Products</td> <td></td> </tr> </table>				<input type="checkbox"/> Beef	<input type="checkbox"/> Bison	<input type="checkbox"/> Buffalo	<input type="checkbox"/> Chicken	<input type="checkbox"/> Lamb	<input type="checkbox"/> Siluriformes Fish	<input type="checkbox"/> Duck	<input type="checkbox"/> Emu	<input type="checkbox"/> Horse	<input type="checkbox"/> Turkey	<input type="checkbox"/> Rhea		<input type="checkbox"/> Mutton	<input type="checkbox"/> Ostrich	<input type="checkbox"/> Pork	<input type="checkbox"/> Veal	<input type="checkbox"/> Egg Products	
<input type="checkbox"/> Beef	<input type="checkbox"/> Bison	<input type="checkbox"/> Buffalo	<input type="checkbox"/> Chicken	<input type="checkbox"/> Lamb	<input type="checkbox"/> Siluriformes Fish																
<input type="checkbox"/> Duck	<input type="checkbox"/> Emu	<input type="checkbox"/> Horse	<input type="checkbox"/> Turkey	<input type="checkbox"/> Rhea																	
<input type="checkbox"/> Mutton	<input type="checkbox"/> Ostrich	<input type="checkbox"/> Pork	<input type="checkbox"/> Veal	<input type="checkbox"/> Egg Products																	
12. The undersigned requests that the firm identified in item 6 be included on the list of establishments certified by USDA as meeting the requirements of the country specified with respect to the importation of meat/poultry or meat/poultry products. We make this request with the understanding that, in addition to compliance with normal U.S. inspection requirements, the above-named firm voluntarily agrees to the following: <ul style="list-style-type: none"> • To comply with all provisions of appropriate inspection laws and regulations of the importing country when preparing product for export to that country. These requirements have been reviewed by officials of this firm and are fully understood. • To reimburse USDA for any inspections over and above U.S. requirements. (Reference FSIS Directive 5110.1). • To segregate and maintain identity of product eligible for export from noneligible product. • To operate in the mode to meet the importing country's requirements anytime an export audit is made by a U.S. review team or by a foreign official. • To notify appropriate FSIS officials promptly when firm wishes to be removed from the list of plants that are eligible to export to the country named herein (Item 3). 																					
13. SIGNATURE OF AUTHORIZED FIRM REPRESENTATIVE (Type or Print Name Above Signature)		14. TITLE (Type or Print)	15. DATE SIGNED																		
16. NAME OF CONTACT PERSON IF DIFFERENT FROM ABOVE		17. TITLE (Type or Print)	18. PHONE:																		
			19. FAX:																		
FSIS SECTION (Type or Print Name Above All Signatures)																					
20. I surveyed the above-named establishment on the date indicated below and in my opinion, it meets the requirements for export to (Name of Country) _____, subject to comments if any on the attached correspondence.																					
21. SIGNATURE OF INSPECTOR-IN-CHARGE			22. DATE SURVEYED																		
23. SIGNATURE OF CIRCUIT SUPERVISOR/DATE		24. SIGNATURE OF DISTRICT MANAGER/DATE																			
FSIS FORM 9080-3 (06/22/2017) (PREVIOUS EDITIONS OBSOLETE)																					

Figure 108: PDF of 9080-3 Application



**Food Safety and Inspection Service (FSIS)
United States Department of Agriculture (USDA)**

**Public Health Information System (PHIS)
Export Batch User Guide**

August 2020

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Introduction

The PHIS Batch process allows you to create and update PHIS export applications by:

- Uploading export application data via individual XML files
- Uploading export application packages that include XML application files and associated supplemental PDF documents as a zip file
- Uploading export application data via individual Excel files
- Uploading export application packages that include the Excel application files and associated supplemental PDF documents as a zip file

There are two options for uploading (or transferring) the files to PHIS:

- Machine-to-machine (XML only)
- PHIS Interface (XML and Excel)

These options provide flexibility for different-sized establishments and various corporate structures to manage PHIS export applications.

Using the machine-to-machine option (via a web service) requires that you:

- Have an eAuthentication account with a completed identity verification
- Register for a Service Account in PHIS (requires either the Export Broker or Export Applicant role)

Using the PHIS Interface requires that you:

- Have an eAuthentication account with a completed identity verification
- Have either the Export Broker or Export Applicant role

Once the file(s) are uploaded, the batch processor operates the same as the online process. As the process reaches certain milestones, status updates are recorded within PHIS. Batch result updates are available by:

- An Application Program Interface (API) call from the web service
- The Batch Results page in PHIS
- Email messages from the application (the application sends messages to the email addresses referenced in the XML or Excel files)
- For information about other calls you can make from the web service, see Appendix D: Sample SOAP Request and Appendix E: Service Calls and Responses starting on page 93

Methods for Transferring Batch Files

Two methods are available to transfer Batch files to PHIS:

Method 1: Machine-to-machine

Applicant system connects to the web service, which results in the following events happening:

- eAuthentication procedure
- File(s) transferred
- Logging process begins

Method 2: PHIS Interface

Applicant logs into PHIS

- Opens the Batch Processing menu
- Selects Upload Files and follows steps to upload the file(s)
- Logging process begins

Process Flow

The batch application process follows many of the same steps as the online process. You still need to collect the necessary information to create the application, but rather than entering the information online via the PHIS application, you enter the data into a local system that then creates an application file. The created application file provides data for the following pages/tabs in PHIS:

- My Establishment
- Application Type
- Export Country Information
- Import Country Information
- Products Summary
- Shipment Information
- Access Control
- Statements
- Submission for Approval

Files can be .xml, .xlsx, or .xls.

The XML file contains:

- Application envelope (the beginning and end of the xml message, mandatory element)
- Product data
- Access control information

The Excel file (either .xlsx or .xls) contains the following tabs:

- Instructions (Do not edit information on this tab.)
- Overall
- Access Control
- Application
- Statements

- Custom Placeholders
- Container
- Importer & Exporter
- Attachments
- Products

PHIS Pre-Processing Steps

Once the files are transferred, PHIS performs the following steps:

- Export Batch Pre-Processor
 - Receives the files from the web service
 - Evaluates the file types
 - Verifies the files are .xml, .xls, .xlsx, or .zip
 - Generates email response, if applicable
 - For the PHIS Interface process, PHIS displays status messages in real-time
 - Unpacks the zip files (if applicable)
 - Zip files are required for PDF attachment files
 - At least one XML or Excel file must be included in each zip file
 - Zip files can contain multiple application XML and Excel files and associated PDFs
 - Extracts data from the XML or Excel file
 - Stores application data in a temporary location
 - Verifies the PDF attachment exists if referenced in the batch file

PHIS Processing and Application Creation Steps

When the Pre-Processing milestone is successful, the system uses the Batch Application Processor to create one or more applications in PHIS based on the information from the XML/Excel file(s).

- Batch Application Processor
 - Processes application data, including:
 - Identity data (ApplicationUID/Application Number/Applicant Name/Notification Email)
 - Access control information
 - Exporter information
 - Importer information
 - Processes the product data
 - Processes each product individually
 - Submit Flag
 - Application can be marked for submission (Submit=true or 1) or added with a status of Unsubmitted (Submit=false or 0)
Note: The Submit flag is case-sensitive and it must be in all lowercase letters. The next section explains more about how to submit an application for approval.

PHIS Submission Steps

As PHIS finishes with the processing step, PHIS notes if the Submit flag in the file is set to true or false (or 1 or 0). If false, PHIS adds the application as an unsubmitted application; otherwise, PHIS starts the submission steps. These steps are analogous to selecting the Submit button on the Submit Application

page in the user interface.

- Submission
 - All required application fields are populated
 - All required product fields are populated
 - Product information, together with other information, is validated against published Rule Sets in the PHIS Export Library.

If the submission process is successful, PHIS changes the status of the application to Submitted. If the submission process is not successful, PHIS still creates the application, but the status is Unsubmitted.

PHIS Review and Approval Steps

The review and approval steps for export applications are the same regardless of how the applications were created.

PHIS Status

Successfully created applications are viewable from the Create/View 9060-6 Export Applications page. If you are an Export Broker or an Export Applicant, this page includes only the applications and certificates that you can access based on the Access Control page of the record.

On the 9060 grid, PHIS lists the status of the applications and other attributes but does not indicate how the applications were created. However, after selecting an application to view or edit from the 9060 grid, a History tab is available that displays user information, date and time stamps for the following actions:

- Create
- Submit
- Update
- Unlock

When applicable, PHIS indicates when those actions were processed through the batch function.

Updates

You can edit unsubmitted applications via the:

- User interface
- Transfer of updated application records by manual file uploads via the batch function
- Transfer of updated application records by machine-to-machine file uploads via the batch function

For all applications with a status of Submitted, PHIS creates inspection tasks for FSIS personnel. Updates to a submitted application can be made up until the final approval by FSIS by unlocking the application. Applications with statuses of Submitted, Reviewed by CSI, and Signed by 1st PHV can be unlocked, edited, and re-submitted. Please notify your FSIS In-Plant Personnel (IPP) of any updates you make to the application after the first Submittal action. Statuses that do not allow updates, with a few exceptions (detailed in the next paragraph) include: Pending Upload, Approved, Pending Replacement, Replaced, and Rejected.

The updates that are allowed up until final approval (Statuses = Pending Upload and Approved) include: Exporter and Importer data, Product Name(s), weights and numbers of packages, slaughter and processing establishments, Total Net Weight, container, seal and Port of Entry values. Additional

updates include, adding or removing statements and custom placeholder data, selecting or deselecting PHIS generated statements for replacements and unique identifier. For replacement type applications, values for Total Net Weight, product weight and number of packages can be only reduced in value.

Another exception is that most countries allow you to edit the seal and container information, even after the application is Approved. You cannot update the seal and container information for certificates that are pending replacement (Status = Pending Replacement) have been replaced (Status = Replaced) or applications that have been rejected (Status = Rejected). Some importing countries require that additional data values are completed at the time of approval. For example, before approval by FSIS, applications to export product to China require Commercial Seal and Container data values to be present at the time when the application is reviewed by FSIS and prior to signing of the Certificate by an FSIS PHV.

PHIS Milestones

When the processing is complete, you can view the milestones of your file transfers through a number of methods.

The first such method is email. If you included email addresses in your files, PHIS sends status emails for every failed application. Only one email address is allowed per XML or Excel file. PHIS may send multiple email messages for a failed application as the system reviews the application at several processing stages. For each set of successful applications transferred over a 24-hour period, PHIS sends a summary email with a list of all the successfully transferred applications.

The second method is the Batch Results page. The Batch Results page in PHIS displays the upload and processing details for all file transfers.

The third method is a web-service API call. You can request the status information for a specific batch ID by using web service API call. The web service returns the batch ID as part of the return information once the file upload process concludes. For more information about calls you can make from the web service, see Appendix D: Sample SOAP Request and Appendix E: Service Calls and Responses starting on page 93

Batch Upload through PHIS User Interface

Upload Files

The Upload Files page (*Figure 1*) has options to:

- Download the Statements Record CSV file for country-specific Statement Records by selecting one or more Importing Countries from the drop-down list. The downloaded Excel file contains Statement Record Codes. When you insert a Statement Record Code is into a batch file, the code instructs PHIS to include one of the importing country's statements. Some Statement records also require additional data values that are required by the importing country. The Statement Record CSV file has a second worksheet that contains Statement Record Codes and related Custom Placeholder Codes.
- Download the Export Batch Schema XSD to create well-formed XML files.
- Download the Export Batch Schema Excel File to create well-formed Excel files.
- Select a file or files to upload to PHIS. Multiple files can be selected at a time when choosing files to upload. Like the web service (used for machine-to-machine communication), only XML,

Excel, and zip files can be uploaded. The PDF files must be in a zip file to be uploaded. A maximum of 5 MB is enforced for each file in the zip file, while the zip file itself should not be larger than 25 MB. Multiple PDFs can be included for each application as long as those attached PDF files are identified within the corresponding XML or Excel files.

You are here: Home > Upload Files

- 9060
- 9080-3
- Batch Processing
- Upload Files**
- Batch Results
- Service Accounts
- View Report

Upload File of Export Applications

[Download the Statement Records CSV](#)

Importing Country:

[Download the Export Batch Schema XSD](#)

[Download the Export Batch Schema Excel File](#)

*Please select the file(s) to upload:

(Only .xls, .xlsx, .xml, and .zip files can be uploaded. The maximum file size for a PDF file is 5 MB. All PDF files must be zipped before uploading.)

Figure 1 - Upload File Page

Batch Results

The Batch Results page provides a view of all the attempted batch application file uploads that passed the first critical milestone of having the application Global Universal ID (GUID) read. The results are recorded in Central Time.

Batch Results

Date Range: **1** Two Days One Week One Month Date Range
 File Name: ?
 Establishment Number: ?
 Identifier: ?

Search [Reset](#) **2**

UI/Service UI Service **3** All With Errors Without Errors

Received On	Type	Batch Info	# of App.	# of Attach.	Errors?	Batch	Log
02/28/2018 1:36 PM	XML	Create New Application_mistake.xml [3.6 KB] 32733BA8-55E0-4F18-A43B-7AD7622E143A submitted by [redacted] (U-DEST-30532)	--	--	with errors	4	
7 02/28/2018 1:35 PM	XML	Create New Application.xml [3.6 KB] 8E2D42C8-B904-4CA6-B799-02564DB73276 submitted by [redacted] (U-DEST-30532)	1	--			
Batch File Details			9060-6 Export Application				
App. Info	# of Attach.	Errors?	Log	App. Number	9060 Status	Cert. Number	
New (P46320) 0832686E-BB6C-423E-98E7-EA6EBAE3AE05 [Marked as Submitted]	--		4	0000330 5	Submitted 6	0000330	
02/28/2018 9:38 AM	XML	Create New Application.xml [3.6 KB] B19C3E65-1527-48FF-8F47-8FE94D73370D submitted by [redacted] (U-DEST-30532)	1	--			
02/28/2018 9:36 AM	XML	Create New Application_mistake.xml [3.6 KB] 3601D2EE-5F9D-4C41-A68E-50F2A44004FC submitted by [redacted] (U-DEST-30532)	1	--	with errors		
Batch File Details			9060-6 Export Application				
App. Info	# of Attach.	Errors?	Log	App. Number	9060 Status	Cert. Number	
New (P46320) 56C39C1D-C678-478A-B5A7-36778921E55F	--	with errors		0000316	Deleted	0000316	

Figure 2 - Batch Results Page

The Batch Results page includes the following functions:

1. Filter by date, file name, establishment, and/or Application UID (unique identifier generated specifically for each application)
2. Filter by method by which the files were transferred to PHIS
3. Filter records with and/or without errors
4. Download batch file submitted for processing along with milestone log files with details of any errors recorded at both the record and application levels
5. Ability to directly access the application created through a hyperlink
6. Ability to view the 9060 application status
7. Ability to expand batch record and display application record on one page

A list of common error messages is available in Appendix B – Common Error Messages.

If you uploaded an XML/Excel file, but do not see a corresponding entry on the Batch Results page, this may be because you were not granted access in the Access Control section of the XML/Excel file.

Manage Service Accounts

The service administrator uses the Manage Service Accounts page to complete the Non-Disclosure Agreement/Interconnection Security Agreement (NDA/ISA) agreement required for machine-to-machine communication and to set up the service accounts and settings. Any active user with Export Applicant or Export Broker role can create a service account on behalf of their organization.

Account	Roles	Status		
Applicant account	Export Batch Submitter	Active	Open	Delete

Figure 3 - Service Accounts Main Page

Details on completing the NDA/ISA and setting up service accounts are provided in a later section of the guide (see page 74).

Data File Specifications

Data files must conform to certain specifications to be accepted by the system.

- Application files are in XML or Excel
- Files can perform different functions:
 - Create a new application
 - Update an existing application
 - Cancel an existing application
 - Perform certificate replacement functions:
 - One-to-one
 - Split
 - Consolidation
- Rules
 - Follow the XSD validation
 - The XSD allows creation of incomplete applications
 - Product fields are required for submission
 - Excel files do not have an XSD, but the system performs a set of similar data validations

XML Assumptions

In processing XML files to create 9060 applications in PHIS for review and approval, the following assumptions are made:

- XML, Excel, and zip files are uploaded through a web service accessible through a PHIS user interface (human-to-machine interaction) or through a programmatic interface (machine-to-machine interaction).
- You can upload an incomplete application based on the assumption that an updated XML/Excel will be uploaded later or that updates will be made through the PHIS user interface to complete any outstanding information.
- After submitting properly formed XML/Excel application files and after processing by PHIS, you can expect PHIS to assign Application Number(s).
- Each XML/Excel application produces either a message with an Application Number or an error message explaining the nature of the error.
- A previously submitted application can be updated by using the same application UID. PHIS subjects the data to the same validation as the originally accepted application. For more information, see Updates on page 9.
- You can upload a Cancel file to cancel an application as long as the application is not Rejected, Replaced, or Approved. You identify the application by using the same application UID that was used to create it or its application number.

XML fields that are not on the 9060 but maintained in PHIS as part of the Batch Results record:

- Application UID. This ID is a GUID provided by the applicant that is a unique identifier for the application.
- Product UID. Similar to the Application UID but at the product level.

XSD

General notes used to evaluate the XSD elements necessary to create a well-formed XML file.

Application Number vs. Certificate Number

When a 9060 application is first created, PHIS assigns it an Application Number. This Application Number is used to identify the application as it goes through the PHIS system. Once the application has been approved by IPP, the Application Number becomes the Certificate Number.

Data Size

Elements with a String data type in the following tables have a size value in parenthesis if it is limited in length outside of what is listed in the XSD. For example, the Additional Statement information included in the XML is limited to 500 characters.

Decimal numbers have a similar layout as strings but show two values: precision and scale. Precision indicates how many total digits can be used in the number while scale indicates the number of digits that can be used to the right of the decimal point.

Structures

Envelope

Table 1 contains elements required for all applications in an XML file. Each file must have one and only one envelope structure.

Table 1: Envelope Structure

Element	Node Name	Req	Data Type	Count	Notes
Access Control	AccessControl		Access Control	1	Information regarding the permissions applied to the resultant application.
Notification Email	NotificationEmail	See note	Email	0 or 1	An email address to send process notifications. See note on page 23. This field is optional but recommended.
Export Application 9060s	ExportApplication9060s		Collection of Export Application 9060	1	Collection of all 9060 applications to process (at least one application is required)

Export Application 9060

Table 2 represents a single, new 9060 application in XML form.

Only a basic amount of information is required to create an application. Subsequent update files may be uploaded to submit the application for approval. In Table 2, the Req (Required) column provides two answers. The first answers the question whether the element is required to create the application and the second answers the question whether the element is required to submit the application. If there is only one answer, the same answer applies to both questions.

Table 2: Export Application 9060 Structure

Element	Node Name	Req	Data Type	Count	Notes
Additional Statement	AdditionalStatement	No	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products.
Applicant	Applicant	No/ Yes	Applicant	0 or 1	The name of the individual responsible for the 9060 application. This name goes in the signature section of the 9060 application. Once an application has been created through the batch process, the only way to update this value is through an Export Application 9060 Update structure. The Applicant field is not available in the user interface when editing an application record.
Application UID	ApplicationUID	Yes	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the application.

Element	Node Name	Req	Data Type	Count	Notes
Country of Destination	CountryOfDestination	Yes	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Country of Final Destination	CountryOfFinalDestination	Yes	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Export Application Attachments	ExportApplicationAttachments	No	Collection of Attachment	0 or 1	A collection of all attachments associated with this application. This block is optional.
Consignor/ Exporter	ConsignorExporter	Yes	Import/Export Entity	1	The block containing the consignor/exporter information
Export Establishment Number	ExportEstablishmentNumber	Yes	String (64)	1	The official establishment number of the exporting establishment. Include the predominant Grant type as it applies to the application, i.e. M9999 or P1111.

Element	Node Name	Req	Data Type	Count	Notes
Include Prefix	IncludePrefix	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 – Include Commodity prefix false or 0 – Do not include Commodity prefix
I Certify Statement	IcertifyStatement	No/ Yes	String (selection)	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above
Consignee/ Importer	ConsigneeImporter	Yes	Import/Export Entity	1	The block containing the consignee/ importer information

Element	Node Name	Req	Data Type	Count	Notes
Shipment Type	ShipmentType	No/Yes	Integer	0 or 1	<p>Acceptable values are:</p> <ul style="list-style-type: none"> • 1: Commercial Sale • 2: Personal Consumption • 3: Ship's Store • 4: U.S. Military • 5: Samples • 6: U.S. Embassy • 7: Airlines <p>Once an application has been created through the batch process, the only way to update this value is through an Export Application 9060 Update structure. There is no Shipment Type field available in the user interface when editing an application record.</p>
Submit	Submit	See note	Boolean	1	<p>true or false (or 1 or 0)</p> <p>**The Submit field is required. See note on page 23.</p> <p>More information on the Submit Flag and submission is on page 8.</p>
Total Net Weight in Pounds	TotalNetWeightInPounds	No/Yes	Weight	0 or 1	<p>The total net weight of all the products in pounds.</p> <p>This field or Total Net Weight in Kilograms is required to submit the application.</p>

Element	Node Name	Req	Data Type	Count	Notes
Total Net Weight in Kilograms	TotalNetWeightInKilograms	No/Yes	Weight	0 or 1	The total net weight of all the products in kilograms. This field or Total Net Weight in Pounds is required to submit the application.
Unique Identifier	UniqueIdentifier	No/Yes	String (50)	0 or 1	The unique identifier to use as the export mark. This ID cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2
USDA Export Mark	UsdaExportMark	No/Yes	Integer	0 or 1	Acceptable values are: <ul style="list-style-type: none"> 1: USDA Export Mark 2: Unique Identifier
Final Destination Port	FinalDestinationPort	No	String	0 or 1	This is the receiving port for the importing country. This corresponds to the field labeled Port of Entry in the PHIS user interface.
Containers	Containers	No	Collection of Container	0 or 1	A collection of all containers associated with this application

Element	Node Name	Req	Data Type	Count	Notes
Statements	StatementCode	No	String (64)	0 or 1	Statement record(s) are inserted into the Remarks section of the application to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Statement Code values.
Placeholder Code	PlaceholderCode	No	String (64)	0 or 1	Placeholder record(s) are inserted into the statements that are in turn inserted into Remarks section of the application to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Placeholder Code values.
Placeholder Value	PlaceholderValue	No	String (64)	0 or 1	Placeholder value(s) are inserted into the indicated statements that are in turn inserted into Remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple values for multiple Placeholder Value entries.

Element	Node Name	Req	Data Type	Count	Notes
Replacement history remarks	ShowReplacementHistoryRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1- PHIS generated replacement history remarks false or 0 - Do not include PHIS generated history remarks
Display export remarks (unique identifier)	ShowExportMarkRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated remarks when unique identifier value is entered as the export mark false or 0- Do not include PHIS generated remarks when unique identifier value is entered as the export mark
Display container remarks	ShowContainerRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated container remarks with container data value false or 0 - Do not include PHIS generated container remarks

Element	Node Name	Req	Data Type	Count	Notes
Display seal remarks	ShowSealRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated seal remarks with seal data value false or 0 - Do not include PHIS generated seal remarks
Display Port of Entry remarks	ShowPortRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated port of entry remarks with port data value false or 0 - Do not include PHIS generated port of entry remarks
Export Application Products	ExportApplication9060Products	Yes	Collection of Export Application 9060 Product	1	A collection of all products in the export application.

****A Submit value of true or 1 explicitly informs PHIS that after the file has been parsed and the first stage of processing has been successful, it should apply the PHIS Export Library rule set validation process. If the validation fails, PHIS returns an error indicating the problem or problems with the file and/or the application to the Batch Results page. PHIS also emails the pertinent information about the failure to the notification user. Even though the file was not submitted, it stills resides in PHIS for future resubmission.**

A Submit value of false or 0 explicitly informs PHIS to not apply the PHIS Export Library rule set validation process.

Export Application 9060 Cancel

This structure includes the Cancel tag and requests cancelation of an existing 9060 application. To identify the application, either the Application Number or Application UID must be provided. If the

Application Number is provided, the Application UID is ignored.

Table 3 Export Application 9060 Cancel Structure

Element	Node Name	Req	Data Type	Count	Notes
Application Number	ApplicationNumber	See note	Application Number	0 or 1	The Application Number of the 9060 that is being cancelled. PHIS uses this field over the Application UID if both are provided. This field is required if ApplicationUID is not present.
Application UID	ApplicationUID	See note	GUID	0 or 1	An arbitrary unique identifier previously assigned by the applicant to identify the application that is being cancelled. This field is required if ApplicationNumber is not present.

Export Application 9060 Basic

Table 4 describes the structure of a basic 9060 application where only an identifier is needed. This is used to reference previously submitted applications for actions during Cancels, Replacements, Splits, and Consolidations.

To identify the application, either the Application Number or Application UID must be provided. If the Application Number is provided, the Application UID is ignored.

Table 4: Export Application 9060 Basic Structure

Element	Node Name	Req	Data Type	Count	Notes
Application Number	ApplicationNumber	See note	Application Number	0 or 1	The Application Number of the 9060 Certificate that is being replaced, updated or canceled. PHIS uses this field over the Application UID if both are provided. This field is required if ApplicationUID is not present.
Application UID	ApplicationUID	See note	GUID	0 or 1	An arbitrary unique identifier previously assigned by the applicant to identify the application. This field is required if ApplicationNumber is not present.

Export Application 9060 Update

This structure contains the Update tag and represents an update of a single existing 9060 application in XML form. This is largely the same as Export Application 9060 except for the application number element, which can be used as an alternate identifier for the application instead of the Application UID.

Table 5: Export Application 9060 Update Structure

Element	Node Name	Req	Data Type	Count	Notes
Additional Statement	AdditionalStatement	No	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products.

Element	Node Name	Req	Data Type	Count	Notes
Applicant	Applicant	No/ Yes	Applicant	0 or 1	<p>The name of the individual responsible for the 9060 application. This name goes in the signature section of the 9060 application.</p> <p>Once an application has been created through the batch process, the only way to update this value is through an Export Application 9060 Update structure. The Applicant field is not available in the user interface when editing an application record.</p>
Application Number	ApplicationNumber	See note	Application Number	0 or 1	<p>The PHIS-generated Application Number that uniquely identifies the application. If present for new files, it is ignored</p> <p>PHIS uses this field over the Application UID if both are provided.</p> <p>This field is required if ApplicationUID is not present.</p>

Element	Node Name	Req	Data Type	Count	Notes
Application UID	ApplicationUID	See note	GUID	0 or 1	An arbitrary unique identifier assigned by the applicant to identify the application. This field is required if ApplicationNumber is not present.
Country of Destination	CountryOfDestination	Yes	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Country of Final Destination	CountryOfFinalDestination	Yes	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Export Application Attachments	ExportApplicationAttachments	No	Collection of Attachment	0 or 1	A collection of all attachments associated with this application.
Consignor/ Exporter	ConsignorExporter	Yes	Import/Export Entity	1	The block containing the consignor/exporter information.

Element	Node Name	Req	Data Type	Count	Notes
Export Establishment Number	ExportEstablishmentNumber	Yes	String (64)	1	The official establishment number of the exporting establishment. Include the predominant Grant type as it applies to the application, i.e. M9999 or P1111.
Include Prefix	IncludePrefix	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 – Include Commodity prefix false or 0 – Do not include Commodity prefix
I Certify Statement	ICertifyStatement	No/ Yes	String (selection)	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above
Consignee/Importer	ConsigneeImporter	Yes	Import/Export Entity	1	The block containing the consignee/importer information.

Element	Node Name	Req	Data Type	Count	Notes
Shipment Type	ShipmentType	Yes	Integer	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • 1: Commercial Sale • 2: Personal Consumption • 3: Ships Store • 4: U.S. Military • 5: Samples • 6: U.S. Embassy • 7: Airlines
Submit	Submit	Yes	Boolean	1	**The Submit field is required. See note on page 23. More information on the Submit Flag and submission is on page 8.
Total Net Weight in Pounds	TotalNetWeightInPounds	See Note	Weight	0 or 1	The total net weight of all the products in pounds. This field or Total Net Weight in Kilograms is required to submit the application.
Total Net Weight in Kilograms	TotalNetWeightInKilograms	See Note	Weight	0 or 1	The total net weight of all the products in kilograms. This field or Total Net Weight in Pounds is required to submit the application.

Element	Node Name	Req	Data Type	Count	Notes
Unique Identifier	UniqueIdentifier	See note	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2.
USDA Export Mark	UsdaExportMark	No/ Yes	Integer	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • 1: USDA Export Mark • 2: Unique Identifier
Final Destination Port	FinalDestinationPort		String	0 or 1	This is the receiving port for the importing country. This corresponds to the field labeled Port of Entry in the PHIS user interface.
Containers	Containers		Collection of Container	0 or 1	A collection of all containers associated with the application.

Element	Node Name	Req	Data Type	Count	Notes
Statements	StatementCode	No	String (500)	0 or 1	Statement record(s) matching codes is inserted into the remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Statement Code values.
Placeholder Code	PlaceholderCode	No	String (64)	0 or 1	Placeholder values matching codes is inserted into the statements that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Placeholder Code values.

Element	Node Name	Req	Data Type	Count	Notes
Placeholder Value	PlaceholderValue	No	String (64)	0 or 1	Placeholder values matching placeholder codes are inserted into statements indicated that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple values for multiple Placeholder Code entries.
Replacement history remarks	ShowReplacementHistoryRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 – PHIS generated replacement history remarks false or 0 – Do not include PHIS generated history remarks

Element	Node Name	Req	Data Type	Count	Notes
Display export remarks (unique identifier)	ShowExportMarkRemarks	No	Boolean	1	<p>true or false (or 1 or 0)</p> <p>9060-6 and 9060-5 PDFs</p> <p>true or 1 – PHIS generated remarks when unique identifier value is entered as the export mark</p> <p>false or 0 – Do not include PHIS generated remarks when unique identifier value is entered as the export mark</p>
Display container remarks	ShowContainerRemarks	No	Boolean	1	<p>true or false (or 1 or 0)</p> <p>9060-6 and 9060-5 PDFs</p> <p>true or 1 – PHIS generated container remarks with container data value</p> <p>false or 0 – Do not include PHIS generated container remarks</p>

Element	Node Name	Req	Data Type	Count	Notes
Display seal remarks	ShowSealRemarks	No	Boolean	1	true or false(or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 – PHIS generated seal remarks with seal data value false or 0 – Do not include PHIS generated seal remarks
Display Port of Entry remarks	ShowPortRemarks	No	Boolean	1	true or false(or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated port of entry remarks with port data value false or 0 - Do not include PHIS generated port of entry remarks
Export Application Products	ExportApplication9060Products	Yes	Collection of Export Application 9060 Product	1	A collection of all products in the application for export.

Export Application 9060 Replacement

This structure contains the Replacement tag and represents the 1:1 replacement of an approved 9060 certificate.

This structure is largely the same as Export Application 9060 except for the presence of the Application Number element, which can be used as an alternate identifier for the approved application, and Products are represented by a more restricted Product block.

This operation differs from an Update in that this operation, if successful, results in one new Application Number. All Update operations keep the existing Application Number.

Table 6: Export Application 9060 Replacement Structure

Element	Node Name	Req	Data Type	Count	Notes
Additional Statement	AdditionalStatement	No	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products.
Applicant	Applicant	No/ Yes	Applicant	0 or 1	<p>The name of the individual responsible for the 9060 application. This name goes in the signature section of the 9060 application.</p> <p>Once an application has been created through the batch process, the only way to update this value is through an Export Application 9060 Update structure. The Applicant field is not available in the user interface when editing an application record.</p>

Element	Node Name	Req	Data Type	Count	Notes
Application Number	ApplicationNumber	See note	Application Number	0 or 1	The PHIS-generated Application Number that uniquely identifies the application. PHIS uses this field over the Application UID if both are provided. This field is required if ApplicationUID is not present.
Application UID	ApplicationUID	See note	GUID	0 or 1	An arbitrary unique identifier assigned by the applicant to identify the application. This field is required if ApplicationNumber is not present.
Country of Destination	CountryOfDestination	Yes	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code

Element	Node Name	Req	Data Type	Count	Notes
Country of Final Destination	CountryOfFinalDestination	Yes	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Export Application Attachments	ExportApplicationAttachments	No	Collection of Attachment	0 or 1	A collection of all attachments associated with this application.
Consignor/ Exporter	ConsignorExporter	Yes	Import/Export Entity	1	The block containing the consignor/exporter information.
Export Establishment Number	ExportEstablishmentNumber	Yes	String (64)	1	The official establishment number of the exporting establishment. Include the predominant Grant type as it applies to the application, i.e. M9999 or P1111.
Include Prefix	IncludePrefix	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 – Include Commodity prefix false or 0 – Do not include Commodity prefix

Element	Node Name	Req	Data Type	Count	Notes
I Certify Statement	ICertifyStatement	No/Yes	String (selection)	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above
Consignee/Importer	ConsigneeImporter	Yes	Import/Export Entity	1	The block containing the consignee/importer information.
Reason for Replacement	ReasonForReplacement	Yes	Integer	1	The reason the replacement is requested. Acceptable values are: <ul style="list-style-type: none"> • 1: Lost Certificate • 2: Incorrect Certificate • 3: Importer/Exporter Changed • 4: Certificate Missing Required Information • 5: Importing Country Border Closure

Element	Node Name	Req	Data Type	Count	Notes
Shipment Type	ShipmentType	No/ Yes	Integer	0 or 1	Acceptable values are:” <ul style="list-style-type: none"> • 1: Commercial Sale • 2: Personal Consumption • 3: Ships Store • 4: U.S. Military • 5: Samples • 6: U.S. Embassy • 7: Airlines
Submit	Submit	Yes	Boolean	1	The Submit field is required. See note on page 23. More information on the Submit Flag and submission is on page 8.
Total Net Weight in Pounds	TotalNetWeightInPounds	See Note	Weight	0 or 1	The total net weight of all the products in pounds. This field or Total Net Weight in Kilograms is required to submit the application.
Total Net Weight in Kilograms	TotalNetWeightInKilograms	See Note	Weight	0 or 1	The total net weight of all the products in kilograms. This field or Total Net Weight in Pounds is required to submit the application.

Element	Node Name	Req	Data Type	Count	Notes
Unique Identifier	UniqueIdentifier	See note	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2.
USDA Export Mark	UsdaExportMark	No/Yes	Integer	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • 1: USDA Export Mark • 2: Unique Identifier
Final Destination Port	FinalDestinationPort	No	String	0 or 1	This is the receiving port for the importing country. This corresponds to the field labeled Port of Entry in the PHIS user interface.
Containers	Containers	No	Collection of Container	0 or 1	A collection of all containers associated with this application

Element	Node Name	Req	Data Type	Count	Notes
Statements	StatementCode	No	String (500)	0 or 1	Codes assigned to statement records documented in PHIS to indicate inclusion in Application and Certificate packages. Statements apply to Importing Countries or Importing Country/Species combinations.
Placeholder Code	PlaceholderCode	No	String (64)	0 or 1	Placeholder values are inserted into the statements that are in turn inserted into Remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Placeholder Code values.

Element	Node Name	Req	Data Type	Count	Notes
Placeholder Value	PlaceholderValue	No	String (64)	0 or 1	Placeholder values are inserted into the indicated statements that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple values for multiple Placeholder value entries.
Replacement history remarks	ShowReplacementHistoryRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated replacement history remarks false or 0 - Do not include PHIS generated history remarks

Element	Node Name	Req	Data Type	Count	Notes
Display export remarks (unique identifier)	ShowExportMarkRemarks	No	Boolean	1	<p>true or false(or 1 or 0)</p> <p>9060-6 and 9060-5 PDFs</p> <p>true or 1 - PHIS generated remarks when unique identifier value is entered as the export mark</p> <p>false or 0 – Do not include PHIS generated remarks when unique identifier value is entered as the export mark</p>
Display container remarks	ShowContainerRemarks	No	Boolean	1	<p>true or false(or 1 or 0)</p> <p>9060-6 and 9060-5 PDFs</p> <p>true or 1 - PHIS generated container remarks with container data value</p> <p>false or 0 - Do not include PHIS generated container remarks</p>

Element	Node Name	Req	Data Type	Count	Notes
Display seal remarks	ShowSealRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated seal remarks with seal data value false or 0 - Do not include PHIS generated seal remarks
Display Port of Entry remarks	ShowPortRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated port of entry remarks with port data value false or 0 - Do not include PHIS generated port of entry remarks
Export Application 9060 Product Replacement	ExportApplication9060Products	Yes	Collection of Export Application 9060 Product Replacement	1	A collection of products from the original approved certificate. Changes from original values are limited to Product Name(s) and decreases in marked Net Weight of Lot values

Export Application 9060 Paper Replacement

This structure contains the Export Application 9060 Paper Replacement tag represents a request to replace an existing paper export certificate with a digital application in PHIS. This differs from a Replacement application in that it does not require an existing certificate in PHIS.

Table 7: Export Application 9060 Paper Replacement Structure

Element	Node Name	Req	Data Type	Count	Notes
Additional Statement	AdditionalStatement	No	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products.
Applicant	Applicant	No/Yes	Applicant	0 or 1	The name of the individual responsible for the 9060 application. This name goes in the signature section of the 9060 application. Once an application has been created through the batch process, the only way to update this value is through an Export Application 9060 Update structure. The Applicant field is not available in the user interface when editing an application record.
Application Number	ApplicationNumber	Yes	Application Number	1	The original paper application number is inserted into the Applicant Number field to create a 1:1 paper replacement. The format should be three letters and six numbers, for example: MPL123456. This field is required when creating a 1:1 paper replacement application record.

Element	Node Name	Req	Data Type	Count	Notes
Application UID	ApplicationUID	Yes	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the application.
Country of Destination	CountryOfDestination	Yes	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Country of Final Destination	CountryOfFinalDestination	Yes	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Export Application Attachments	ExportApplicationAttachments	No	Collection of Attachment	0 or 1	A collection of all attachments associated with this application. This block is optional.
Consignor/ Exporter	ConsignorExporter	Yes	Import/Export Entity	1	The block containing the consignor/exporter information.
Export Establishment Number	ExportEstablishmentNumber	Yes	String (64)	1	The official establishment number of the exporting establishment. Include the predominant Grant type as it applies to the application, i.e. M9999 or P1111.

Element	Node Name	Req	Data Type	Count	Notes
Include Prefix	IncludePrefix	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 – Include Commodity prefix false or 0 – Do not include Commodity prefix
I Certify Statement	ICertifyStatement	No/Yes	String (selection)	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above
Consignee/Importer	ConsigneeImporter	Yes	Import/Export Entity	1	The block containing the consignee/importer information.
Reason for Replacement	ReasonForReplacement	Yes	Integer	1	The reason the replacement is requested. Acceptable values are: <ul style="list-style-type: none"> • 1: Lost Certificate • 2: Incorrect Certificate • 3: Importer/ Exporter Changed • 4: Certificate Missing Required Information • 5: Importing Country Border Closure
Shipment Type	ShipmentType	No/Yes	Integer	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • 1: Commercial Sale • 2: Personal Consumption • 3: Ships Store • 4: U.S. Military • 5: Samples • 6: U.S. Embassy • 7: Airlines

Element	Node Name	Req	Data Type	Count	Notes
Submit	Submit	No/ Yes	Boolean	1	The Submit field is required. See note on page 23. More information on the Submit Flag and submission is on page 8.
Total Net Weight in Pounds	TotalNetWeightInPounds	See Note	Weight	0 or 1	The total net weight of all the products in pounds. This field or Total Net Weight in Kilograms is required to submit the application.
Total Net Weight in Kilograms	TotalNetWeightInKilograms	See Note	Weight	0 or 1	The total net weight of all the products in kilograms. This field or Total Net Weight in Pounds is required to submit the application.
Unique Identifier	UniqueIdentifier	See note	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2.
USDA Export Mark	UsdaExportMark	No/ Yes	Integer	0 or 1	Acceptable values are: 1: USDA Export Mark 2: Unique Identifier
Final Destination Port	FinalDestinationPort	No	String	0 or 1	This is the receiving port for the importing country. This corresponds to the field labeled Port of Entry in the PHIS user interface.
Containers	Containers	No	Collection of Container	0 or 1	A collection of all containers associated with this application.

Element	Node Name	Req	Data Type	Count	Notes
Statements	StatementCode	No	String (500)	0 or 1	Statement record(s) matching codes is inserted into the remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Statement Code values.
Placeholder Code	PlaceholderCode	No	String (64)	0 or 1	Placeholder values matching codes is inserted into the statements that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Placeholder Code values.
Placeholder Value	PlaceholderValue	No	String (64)	0 or 1	Placeholder values matching placeholder codes are inserted into statements indicated that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple values for multiple Placeholder value entries.
Replacement history remarks	ShowReplacementHistoryRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated replacement history remarks false or 0 - Do not include PHIS generated history remarks

Element	Node Name	Req	Data Type	Count	Notes
Display export remarks (unique identifier)	ShowExportMarkRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 – PHIS generated remarks when a unique identifier value is entered as the export mark false or 0 - Do not include PHIS generated remarks when a unique identifier value is entered as the export mark
Display container remarks	ShowContainerRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated container remarks with container data value false or 0 - Do not include PHIS generated container remarks
Display seal remarks	ShowSealRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 PHIS generated seal remarks with seal data value false or 0 - Do not include PHIS generated seal remarks
Display Port of Entry remarks	ShowPortRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 PHIS generated port of entry remarks with port data value false or 0 - Do not include PHIS generated port of entry remarks

Element	Node Name	Req	Data Type	Count	Notes
Export Application Products	ExportApplication9060 Products	Yes	Collection of Export Application 9060 Product Replacement	1	A collection of all products in the application for replacement. IPP validate that weight values entered do not exceed original product and total net weights.

Export Application 9060 Consolidate Replacement

This structure contains the tag called Export Application 9060 Consolidate Replacement and represents the consolidation of multiple 9060 certificates into one 9060 application.

Table 8: Export Application 9060 Consolidate Replacement Structure

Element	Node Name	Req	Data Type	Count	Notes
Source Applications	SourceApplications	Yes	Collection of Export Application 9060 Basic	1	This is a collection of 9060 certificates that are being consolidated into one application.
Consolidated Application	ConsolidatedApplication	Yes	Collection of Export Application 9060	1	Collection of 9060 source application data
Reason for Replacement	ReasonForReplacement	Yes	Integer	1	The reason the replacement is being requested. Acceptable values are: <ul style="list-style-type: none"> • 1: Lost Certificate • 2: Incorrect Certificate • 3: Importer/Exporter Changed • 4: Certificate Missing Required Information • 5: Importing Country Border Closure

Table 9 represents a truncated view of a 9060-application data used for consolidations. The data contained in this object is a subset of the overall 9060 data and represents the fields that can be updated through the Batch Export process.

Table 9: Consolidation Source Application

Element	Node Name	Req	Data Type	Count	Notes
Additional Statement	AdditionalStatement	No	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products.
Applicant	Applicant	No/Yes	Applicant	0 or 1	<p>The name of the individual responsible for the application. This name goes in the signature section of the 9060 application.</p> <p>Once an application has been created through the batch process, the only way to update this value is through an Export Application 9060 Update structure. The Applicant field is not available in the user interface when editing an application record.</p>
Application UID	ApplicationUID	Yes	GUID	1	An arbitrary unique identifier assigned by the applicant/broker to identify the application.
Country of Destination	CountryOfDestination	Yes	String (3)	1	<p>The country code where the export is immediately headed. This can be:</p> <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code

Element	Node Name	Req	Data Type	Count	Notes
Country of Final Destination	CountryOfFinalDestination	Yes	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Export Application Attachments	ExportApplicationAttachments	No	Collection of Attachments	0 or 1	A collection of all attachments associated with this application.
Consignor/ Exporter	ConsignorExporter	Yes	Import/Export Entity	1	The block containing the consignor/exporter information
Export Establishment Number	ExportEstablishmentNumber	Yes	String (64)	1	The official establishment number of the exporting establishment. Include the predominant Grant type as it applies to the application, i.e. M9999 or P1111.
Include Prefix	IncludePrefix	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 – Include Commodity prefix false or 0 – Do not include Commodity prefix
I Certify Statement	ICertifyStatement	No/ Yes	String (selection)	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above
Consignee/ Importer	ConsigneeImporter	Yes	Import/Export Entity	1	The block containing the consignee/ importer information

Element	Node Name	Req	Data Type	Count	Notes
Shipment Type	ShipmentType	No/ Yes	Integer	0 or 1	Acceptable values are: 1: Commercial Sale 2: Personal Consumption 3: Ship's Store 4: U.S. Military 5: Samples 6: U.S. Embassy 7: Airlines
Submit	Submit	Yes	Boolean	1	The Submit field is required. See note on page 23. More information on the Submit Flag and submission is on page 8.
Total Net Weight in Pounds	TotalNetWeightInPounds	See Note	Weight	0 or 1	The total net weight of all the products in pounds. This field or Total Net Weight in Kilograms is required to submit the application.
Total Net Weight in Kilograms	TotalNetWeightInKilograms	See Note	Weight	0 or 1	The total net weight of all the products in kilograms. This field or Total Net Weight in Pounds is required to submit the application.
Unique Identifier	UniqueIdentifier	See note	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2

Element	Node Name	Req	Data Type	Count	Notes
USDA Export Mark	UsdaExportMark	No/Yes	Integer	0 or 1	Acceptable values are: 1: USDA Export Mark 2: Unique Identifier
Final Destination Port	FinalDestinationPort	No	String	0 or 1	This is the receiving port for the importing country. This corresponds to the field labeled Port of Entry in the PHIS user interface.
Containers	Containers	No	Collection of Container	0 or 1	A collection of all containers associated with this application
Statements	StatementCode	No	String (500)	0 or 1	Statement record(s) matching codes is inserted into the remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Statement Code values.
Placeholder Code	PlaceholderCode	No	String (64)	0 or 1	Placeholder values matching codes is inserted into the statements that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Placeholder Code values.

Element	Node Name	Req	Data Type	Count	Notes
Placeholder Value	PlaceholderValue	No	String (64)	0 or 1	Placeholder values matching placeholder codes are inserted into statements indicated that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple values for multiple Placeholder Code entries.
Replacement history remarks	ShowReplacementHistoryRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated replacement history remarks false or 0 - Do not include PHIS generated history remarks
Display export remarks (unique identifier)	ShowExportMarkRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated remarks when unique identifier value is entered as the export mark false or 2 - Do not include PHIS generated remarks when unique identifier value is entered as the export mark

Element	Node Name	Req	Data Type	Count	Notes
Display container remarks	ShowContainerRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true - PHIS generated container remarks with container data value false or 0 - Do not include PHIS generated container remarks
Display seal remarks	ShowSealRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated seal remarks with seal data value false or 0 - Do not include PHIS generated seal remarks
Display Port of Entry remarks	ShowPortRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated port of entry remarks with port data value false or 0- Do not include PHIS generated port of entry remarks
Export Application 9060 Product Replacement	ExportApplication9060Products	Yes	Collection of Export Application 9060 Product Replacement	1	A collection records for all products from the original approved certificates being replaced. Updates are limited to the Product Names and decreases in marked Net Weight of Lot values

Export Application 9060 Split Replacement

This structure contains the tag Export Application 9060 Split Replacement and represents the splitting of one 9060 certificate into two or more new 9060 applications in XML form.

Table 10: Export Application 9060 Split Replacement Structure

Element	Node Name	Req	Data Type	Count	Notes
Source Application	SourceApplication	Yes	Export Application 9060 Basic	1	The 9060 certificate that is to be split into two or more applications.
Split Applications	SplitApplications	Yes	Collection of resulting Export Application 9060	1	These are collections of 9060 applications. The number of Split Application collections determines the number of resulting applications.
Split Application	SplitApplication	Yes	This is once instance of the resulting Export Application 9060	2 to n	These are individual 9060 applications.
Reason for Replacement	ReasonForReplacement	Yes	Integer	1	The reason the replacement is requested. Acceptable values are: 1: Lost Certificate 2: Incorrect Certificate 3: Importer/ Exporter Changed 4: Certificate Missing Required Information 5: Importing Country Border Closure

Element	Node Name	Req	Data Type	Count	Notes
Statements	StatementCode	No	String (500)	0 or 1	Statement record(s) matching codes is inserted into the remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Statement Code values.
Placeholder Code	PlaceholderCode	No	String (64)	0 or 1	Placeholder values matching codes is inserted into the statements that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple Placeholder Code values.

Element	Node Name	Req	Data Type	Count	Notes
Placeholder Value	PlaceholderValue	No	String (64)	0 or 1	Placeholder values matching placeholder codes are inserted into statements indicated that are in turn inserted into remarks section of the applications to be a part of the Certificate package by country or country/species combination. Repeat node sequence for multiple values for multiple Placeholder value entries.
Replacement history remarks	ShowReplacementHistoryRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated replacement history remarks false or 0 - Do not include PHIS generated history remarks

Element	Node Name	Req	Data Type	Count	Notes
Display export remarks (unique identifier)	ShowExportMarkRemarks	No	Boolean	1	<p>true or false (or 1 or 0)</p> <p>9060-6 and 9060-5 PDFs</p> <p>true or 1 - PHIS generated remarks when unique identifier value is entered as the export mark</p> <p>false or 0 - Do not include PHIS generated remarks when unique identifier value is entered as the export mark</p>
Display container remarks	ShowContainerRemarks	No	Boolean	1	<p>true or false (or 1 or 0)</p> <p>9060-6 and 9060-5 PDFs</p> <p>true or 1 - PHIS generated container remarks with container data value</p> <p>false or 0 - Do not include PHIS generated container remarks</p>

Element	Node Name	Req	Data Type	Count	Notes
Display seal remarks	ShowSealRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated seal remarks with seal data value false or 0 - Do not include PHIS generated seal remarks
Display Port of Entry remarks	ShowPortRemarks	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1 - PHIS generated port of entry remarks with port data value false or 0 - Do not include PHIS generated port of entry remarks
Export Application 9060 Product Replacement	ExportApplication9060Products	Yes	Collection of Export Application 9060 Product Replacement	1	A collection of all products in the application for replacement. Updates to original data values are limited to Product Name(s) and decreases in marked Net Weight of Lot.

Export Application 9060 Product

This structure provides details on individual products within new or update applications. This is the actual product being exported. This represents an entire line as seen on a 9060 application form.

Table 11: Export Application Product Structure

Element	Node Name	Req	Data Type	Count	Notes
Establishment Number on Product	EstablishmentNumberOnProduct	Yes	String (50)	0 or 1	The establishment number stamped on the shipping cartons. Include the predominant Grant type as it applies to the application, i.e. M9999 or P1111.
Include Prefix	IncludePrefix	No	Boolean	1	true or false (or 1 or 0) 9060-6 and 9060-5 PDFs true or 1– Include Commodity prefix false or 2– Do not include Commodity prefix
Frozen Shelf Stable	FrozenShelfStable	Yes	Boolean	0 or 1	true or false (or 1 or 0)
HACCP Category	HaccpCategory	Yes	String (selection)	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • 03B • 03C • 03D • 03E • 03F • 03G • 03H • 03I
Line Number	LineNumber	No	Integer	1	Number associated with the product allowing for identification of products otherwise not sent in via Batch Export. This value is not actively processed.

Element	Node Name	Req	Data Type	Count	Notes
Maturity Less Than 30 Months	MaturityLessThan30Months	No/Yes	Boolean	0 or 1	true or false (or 1 or 0) No value or Null is accepted when the species is not beef.
Net Weight of Lot in Pounds	NetWeightOfLotInPounds	See Note	Weight	0 or 1	The total net weight of all the products in pounds. This field or Total Net Weight in Kilograms is required to submit the application.
Net Weight of Lot in Kilograms	NetWeightOfLotInKilograms	See Note	Weight	0 or 1	The total net weight of all the products in kilograms. This field or Total Net Weight in Pounds is required to submit the application.
Number of Packages in Lot	NumberOfPackagesInLot	Yes	Integer	0 or 1	A value greater than 0 must be entered.
Product Code	ProductCode	No	String (100)	0 or 1	The product code used in part to create the Description for the product.
Product Name	ProductName	Yes	String (100)	0 or 1	The name of the product used in part to create the Description for the product. This field is required to submit for approval.
Product UID	ProductUID	Yes	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the individual product.
Shipping Identification Marks	ShippingIdentificationMarks	No	String (50)	0 or 1	The shipping/identification marks that links this product to an FSIS export certificate.

Element	Node Name	Req	Data Type	Count	Notes
Species	Species	Yes	String (selection)	0 or 1	<p>Acceptable values are:</p> <ul style="list-style-type: none"> • Antelope • Beef • Bison • Buffalo • Catalo • Chicken • Deer • Duck • Egg Products • Elk • Emu • Goat • Goose • Guinea • Horse • Lamb • Mutton • Ostrich • Pheasant • Pork • Quail • Rabbit • Ratite • Reindeer • Rhea • Siluriformes Fish • Squab • Turkey • Veal • Water Buffalo <p>Field is case-sensitive. Species should be listed with the first letter upper case and the remaining letters lower case.</p>

Element	Node Name	Req	Data Type	Count	Notes
Type of Packages in Lot	TypeOfPackagesInLot	Yes	String (selection)	0 or 1	Acceptable values are: <ul style="list-style-type: none"> • AG • BG • BI • BJ • BX • CA • COM • CS • CT • CX • DR • EC • FT • FX • IB • IC • JR • MB • NA • NE • NF • NG • PAL • PB • PK • PL • PO • PU • PX • SA • SW • TB • TN • TU • TY • VA • VP • 5M

Element	Node Name	Req	Data Type	Count	Notes
Processing Establishments	ProcessingEstablishments	No	String (50)	0 or 1	The processing establishment is only displayed in the PHIS user interface when the importing country requires FSIS verification as part of the approval process.
Slaughter Establishments	SlaughterEstablishments	No	String (50)	0 or 1	The slaughter establishment is only displayed in the PHIS user interface when the importing country requires FSIS verification as part of the approval process

Export Application 9060 Product Replacement

This structure provides information on an individual product within any replacement application. This represents a partial line as seen on a 9060 application form, exposing the only information that can be changed during a Replacement action.

Table 12: Export Application Product Replacement Structure

Element	Node Name	Req	Data Type	Count	Notes
Line Number	LineNumber	No	Integer	1	Number associated with the product allowing for identification of products otherwise not sent in via Batch Export This value is not actively processed.
Product Name	ProductName	Yes	String (100)	0 or 1	The name of the product used in part to create the Description for the product. The product name value can be changed. This field is required to submit for approval.

Element	Node Name	Req	Data Type	Count	Notes
Net Weight of Lot in Pounds	NetWeightOfLotInPounds	See Note	Weight	0 or 1	The total net weight of all the products in pounds. This field or Total Net Weight in Kilograms is required to submit the application. Updates from original values are limited to decreases in marked Net Weight of Lot values.
Net Weight of Lot in Kilograms	NetWeightOfLotInKilograms	See Note	Weight	0 or 1	The total net weight of all the products in kilograms. This field or Total Net Weight in Pounds is required to submit the application. Updates from original values are limited to decreases in marked Net Weight of Lot values.
Number of Packages in Lot	NumberOfPackagesInLot	Yes	Integer	0 or 1	A value greater than 0 must be entered.
Product UID	ProductUID	Yes	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the individual product.
Processing Establishments	ProcessingEstablishments	No	String (50)	0 or 1	The processing establishment is only displayed in the PHIS user interface when the importing country requires FSIS verification as part of the approval process.
Slaughter Establishments	SlaughterEstablishments	No	String (50)	0 or 1	The slaughter establishment is only displayed in the PHIS user interface when the importing country requires FSIS verification as part of the approval process

Attachment

Table 13 represents a single document attached to a 9060 application for consideration when processing the application.

Table 13: Attachment Structure

Element	Node Name	Req	Data Type	Count	Notes
Description	Description	No	String (500)	0 or 1	Any additional information about the attached document.
Document Name	DocumentName	See note	String (260)	0 or 1	The filename of the attached document (without path). This field is required when the Attachments tag is populated.
Attachment Type	AttachmentType	No	String (selection)	0 or 1	Identifies if the attached document is Supplemental or Supportive. Acceptable values are: <ul style="list-style-type: none"> • Supplemental • Supportive
Subtype	Subtype	See note	String (selection)	0 or 1	When paired with a Supplemental attachment type identifies whether the attached document is defined as Other or Transit Letterhead. Acceptable values are: <ul style="list-style-type: none"> • Other • TransitLetterhead This field is required for submittal when the Attachment Type = Supplemental.
Transit Country	TransitCountry	See note	String (3)	0 or 1	Identifies the country for the Transit Letterhead Certificate. This field is required for submittal when the Subtype = TransitLetterhead.

Each attachment node also contains an attribute named **AttachmentType**. This attribute has two possible values:

- **Supplemental:** Indicates that this attachment is required for approval, which can be paired with the following subtypes:
 - Other
 - TransitLetterhead
- **Supportive:** Indicates that this attachment is not required but is useful in evaluating the application

Container

Table 14 represents the container information for products in the 9060 application. Repeat node when multiple commercial seal and container values apply.

Table 14: Container Structure

Element	Node Name	Req	Data Type	Count	Notes
Commercial Seal Number	CommercialSealNumber	No	String (100)	0 or 1	The seal number found on the container.
Commercial Container Number	CommercialContainerNumber	No	String (100)	0 or 1	The number found on the container.

PHIS ID

This represents the arbitrary ID used to identify entities within PHIS for permission assignment. This value is set within PHIS. The format is as follows:

C-CCCC-9999

The first character can be E, S, or U. The next four characters allow for any capital combination of characters. The final four represent any digit.

The rules within Batch Export allow for more flexibility than the standard format. The central four characters could be as few as three characters and there is no true upper limit. Likewise, the numeric portion at the end can be one or more.

PHIS checks this ID against the database to ensure that it exists before processing continues. PHIS-IDs for individual export users can be found in the upper right corner of the page after the name of the person logged in. Plant Management users can view their establishment's PHIS-ID from their Select Establishment page.

Permission

Table 15 represents the permissions granted or denied a user. The individual elements are as follows:

Table 15: Permission Structure

Element	Node Name	Req	Data Type	Count	Notes
ID	ID	Yes	PHIS ID	1	The ID of the entity either being granted or denied permissions.
Permission	Permission	Yes	String (selection)	1	Acceptable values are: <ul style="list-style-type: none"> • Read • Read Write • Read Write Access

Access Control

Table 16 shows how PHIS applies permissions to any and all applications within the Batch File. At least one entity has to be granted permissions in a Batch File. In the event of conflicting permissions, PHIS assumed the most pessimistic (restrictive) option. The individual elements are as follows:

Table 16: Access Control Structure

Element	Node Name	Req	Data Type	Count	Notes
Grant	Grant	No/ Yes	Permission	1	A list of all entities that are specifically allowed access to the application.
Deny	Deny	No	Permission	0 or 1	A list of all entities that are specifically denied access to the application.

Address

Table 17 is the basic structure identifying the accepted address information for a company, person, or entity in PHIS. The individual elements are as follows:

Table 17: Address Structure

Element	Node Name	Req	Data Type	Count	Notes
Address Line 1	AddressLine1	No/ Yes	String (250)	0 or 1	
Address Line 2	AddressLine2	No	String (250)	0 or 1	
Address Line 3	AddressLine3	No	String (250)	0 or 1	
City	City	No/ Yes	String (250)	0 or 1	
Country	Country	No/ Yes	String (3)	0 or 1	This code can be (country code formats should not be mixed within a record): <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code
Postal Code	PostalCode	No/ Yes	String (20)	0 or 1	

Element	Node Name	Req	Data Type	Count	Notes
State or Territory	StateOrTerritory	See note	String (4)	0 or 1	Two character (A-Z, case-insensitive) abbreviation for the State or Territory information. If no state or territory exists, enter the value NA. This field is required for Consignor/Exporter Address to submit for approval. This field is optional for Consignee/Importer address and if not included, the node can be excluded.
Telephone	Telephone	No	String (16)	0 or 1	

Applicant

Table 18 represents the user who is taking responsibility for the 9060 application.

Table 18: Applicant Description Structure

Element	Node Name	Req	Data Type	Count	Notes
Applicant First Name	ApplicantFirstName	No/Yes	String (50)	1	First name of the individual taking responsibility for the application.
Applicant Last Name	ApplicantLastName	No/Yes	String (50)	1	Last name of the individual taking responsibility for the application.

Application Number

This represents the Application/Certificate number for the 9060. This is restricted to seven digits for all applications with the exception of Export Application 9060 Paper Replacement. Paper applications use nine alphanumeric characters.

Boolean

This is a simple data type indicating true/false, yes/no, on/off. The only allowed data elements are **true** or **false** (or **1** or **0**). The values are case sensitive, so True results in an error.

Email

This is a basic structure identifying the accepted format for email addresses. This is the simple data type of string.

GUID

This is a basic structure representing a standard GUID element. This structure is composed of the simple data type string. Some examples are:

5EA12D76-6668-4932-8184-089E5A1055C2

D1D498AC-E255-4104-8E76-2F110E020BC9

39F9D6BD-DA01-4D63-BC88-4E0D3C995EA1

CA4ACF0F-8D28-41C1-9035-2113EBCBA878

DCFE97E1-3BDF-4C1B-A044-0DEEE1356BFB

The format expected is defined in short as $[0-9a-fA-F]\{8\}-[0-9a-fA-F]\{4\}-[0-9a-fA-F]\{4\}-[0-9a-fA-F]\{4\}-[0-9a-fA-F]\{12\}$. This expanded into the following:

- 8 alphanumeric characters
- A dash
- Four alphanumeric characters
- A dash
- Twelve alphanumeric characters

The criteria listed above has the following restrictions:

- Alphanumeric data is considered any number 0-9 (inclusive) or character A-F (inclusive)
- Character casing is not considered (i.e. ‘ABCDE’ is considered equal to ‘abcde’)

Care should be taken when working with GUIDs. They should be generated programmatically every time a new GUID is required. If a GUID is reused, PHIS assumes that the information associated with that GUID is an update. Likewise, applicants should record used GUIDs in the event data needs to be updated. The GUID is not visible in the user interface.

Import/Export Entity

Table 19 is the structure that defines a consignor/exporter or consignee/importer entity. The format is the same for consignee/importers and consignor/exporters.

Table 19: Import/Export Entity Structure

Element	Node Name	Req	Data Type	Count	Notes
Name	Name	Yes	String (64)	0 or 1	Name of the entity be it a person or company.
Address	Address	No/ Yes	Address	0 or 1	The official address of the entity.

Weight

Weight is a decimal value but grouped into its own type for ease of maintenance. It allows for a maximum inclusive value of 9,999,999.9999.

In all application types, weight is available in pounds or kilograms. Both nodes are marked as optional but at least one node is expected to have a value to submit the application for approval.

Service Accounts

The NDA/ISA organizational level agreement must be completed prior an organization/establishment transferring export files from their system to PHIS using machine-to-machine communication. Additionally, there is the creation of the service accounts and the associated authorization username and password, which are required for connecting and passing data to the web service.

Completing the NDA/ISA and setting up the service accounts is required only when uploading files through the web service. An identity verified eAuth account is necessary to complete the NDA/ISA and to create the authentication username and password information. The web service connection is managed through IP Filtering, roles, and the authentication information.

The following steps need to be performed to create access accounts for the web service connection.

- 1) Create and Accept an NDA/ISA Agreement
- 2) Create a service account
- 3) Generate authorization credentials (username and password) required to connect and pass data to the web service

Creating and Accepting NDA/ISA Agreement

When first entering the Service Accounts menu, PHIS displays a message if an NDA/ISA Agreement has not been completed. Select the **Open NDA/ISA Agreement** link.

The screenshot shows a web interface with a sidebar on the left containing the following menu items: 9060, 9080-3, Batch Processing (with an upward arrow), Upload Files, Batch Results, Service Accounts (highlighted in orange), and View Report. The main content area features a red header with the text "NDA/ISA Agreement". Below the header, it displays "Organization: Great American Snacks, Inc + E-FCLT-571". A message icon (document with a question mark) is followed by the text: "The organization hasn't accepted the NDA/ISA Agreement. Click: Open NDA/ISA Agreement to open the agreement, review and accept it." At the bottom of the message is a blue link labeled "Open NDA/ISA Agreement".

Figure 4 - NDA/ISA Agreement Page

Complete the Industry System Owner and Manager/Supervisor information. Enter the valid IP filter ranges required to complete the agreement. The IP addresses entered here authenticate the machine(s) connecting to the web service. The IP addresses should be static and need to be visible to the web service for the authentication process. Entering multiple individual IP addresses is done by using a semicolon delimiter or ranges can be entered using a hyphen. The final step is to accept the terms of the agreement. Complete the checkbox associated with accepting the terms of the agreement. Anytime there is a new or updated agreement, PHIS sends an email to the Industry Owner and Manager/Supervisor

Figure 5 - NDA/ISA Agreement (New) Page

- NDA/ISA acceptance
 - Must be renewed every 3 years, any edits initiate a new agreement.
 - Reviewed by USDA/FSIS annually

Creating and Modifying Service Accounts

The service account is the machine-level settings needed to connect to the web service. You can create multiple accounts to provide distributed access. Select the **Create an Account** link to begin the process. PHIS displays a page so you can complete the Account Name, Roles, and a description of the account. Once created, the service account grid displays information about the existing account and provides an

option to delete the account. To access the account details, select **Open**. The Service Account page (see *Figure 6*) enables you to edit the Account Name, Description, Active Status, and Roles.

This page also displays the service account credentials that are needed to initiate contact with the web service. Select **Generate Credentials** to generate the username and password. The credentials are valid for 90 days before expiring. If at any point new credentials are needed, they can be created by selecting the same link. Passing these credentials to the web service is necessary in order to initiate the connection.

Service Account

Organization:

General Information

Account Name: Applicant Account Status: ✔ Active [\[Deactivate\]](#)
Description: Batch Export account Last updated by [Clarkson Applicant](#) on 6/8/2017.
✎ [\[Edit\]](#)

Credentials

Reset before: 9/6/2017
User Name: 21B823191A244C29B99F5EF3C85DB068
Password: 505CDBDEAECA5F51111CB960339BA69C
⚙ [\[Generate Credentials\]](#) [\[Hide Credentials\]](#)

Roles

Available Roles: No more roles to assign
Assigned Roles: ✖ [\[Delete\]](#) Export Batch Submitter

Figure 6 - Service Account Page

Limits on Service Account Access

There are a number of prerequisites to access the web service.

- The agreement is signed, and the status is Active.
- Client submitted valid credentials.
- Requests originate from allowed IP ranges.
- Requests originate from specified IP addresses (from agreement that the service accounts are associated with).
- Service account is assigned expected roles (service-specific step).

Modifying NDA/ISA

When you need to make updates to the Industry System Owner or the Manager/Supervisor information associated with the agreement, select the Reset link and input the new data. Any changes to the original agreement, including updating valid IP filtering ranges, set in motion a new agreement and the terms must be accepted. The changes do not modify the existing agreement but create a new agreement. This new agreement resets the start date and is valid for up to three years.

When a completed NDA/ISA exists, the Configuration tab enables you to view or edit the agreement.

The screenshot displays the 'Manage Service Accounts' configuration interface. On the left is a sidebar with a menu containing 'Batch Processing', 'Upload Files', 'View Load Results', 'Manage Service Accounts' (highlighted), and 'View Report'. The main content area has a green header 'Manage Service Accounts' and a sub-header 'Organization:'. Below this are four tabs: 'Accounts', 'Configuration' (selected), 'Service Call Log', and 'Service Update Log'. The 'Configuration' tab is divided into two sections: 'IP Addresses' and 'System Owner and Manager/Supervisor information'. Each section includes a warning that changes require re-acceptance of the NDA/ISA agreement and provides links for 'Open Agreement' and 'Edit Agreement'.

Figure 7 - Configuration Tab to Access the NDA/ISA

Service Call Log

This tab provides important information about any attempted connections to a service account. This is helpful for verifying that the IP address for the machine connecting to the web service is valid in the NDA/ISA.

Creating a Software Application for Web Service Connections

The development of the web service had the intent to be technology agnostic. The service is SOAP-based (Simple Object Access Protocol), meaning it allows programs that run on disparate operating platforms to communicate using HTTPS protocol. It supports WS-I Basic Profile 1.1 specification and SOAP 1.1 as a messaging protocol.

The web service exposes the service description as an XML document conforming to the Web Service Description Language (WSDL). The WSDL defines the methods the web service makes available. It also defines how client applications interact with it.

The web service uses WS-Security 1.0 for message security. All application messages between the client and server are signed and encrypted using an X509 certificate. For example, the web service is using *username* and *password* to authenticate a caller.

Initial connection to the web service:

1. The Web Service Description (WSD) can be retrieved from the web service.
 - For **testing purposes**, use the following service address:
<https://phissvccert2.fsis.usda.gov/ExportBatchServicesDmzITE/ExportBatchProcessingDmzService.svc>
 - For **production** implementation, use the following service address:
<https://phisservices.fsis.usda.gov/ExportBatchServicesDmz/ExportBatchProcessingDmzService.svc>
2. Right-click your project and choose **Add Service Reference...**
3. Select **Advanced...**
4. Select **Add Web Reference...**
5. Add the URL listed above in the URL text box
6. Add a name for your reference in the **Web reference name** text box
7. Select **OK** on all the forms

The application has to complete a number of steps to finalize the connection to the web service.

1. **Prepare** input data (parameters and a batch file).
2. **Instantiate** the proxy object.
3. **Set** username and password (from a service account)
4. **Call** service methods using the proxy object.
5. **Check** returned values.
6. **Dispose** the proxy object.

Implementation for testing uses Microsoft .NET Framework 4.5 and Windows Communication Foundation (WCF) 4.5.

Once the web service connection has been established, files can be sent to PHIS or status requests on previously sent files can be requested. The request response includes a combination of milestone messages and error messages. These messages help with identifying if the processing was successful, where errors were encountered, and details to any issues with the file uploaded.

Access to Application Records

PHIS controls access to 9060 application records based on which user identifier(s), also known as PHIS ID(s), are associated with the application. PHIS IDs can be assigned to individuals or establishment entities. If you grant access to an establishment entity, you are granting access to all users associated with that entity that also have the Export Applicant role. For more information on PHIS IDs, see the next section on page 70.

There are also different levels of access: Read-Only, Read-Write, and Read-Write and Access. You can also use the Grant or Deny settings in your XML/Excel files to define access.

In the User Interface, access information is maintained on the Access Control tab. You must include access control information within XML or Excel files in order to access the resulting application through the UI and retrieve Batch Results. When creating an application in the UI, full access defaults to the user who created the application in the UI.

PHIS ID

All industry and corporate users, establishments in PHIS are assigned a PHIS ID. For individuals, the PHIS ID is located next to the login name in the upper-right corner. You can find the PHIS ID for a single establishment by going to the Access Control page and searching for the establishment.

There are two types of PHIS IDs – Entity PHIS IDs and User PHIS IDs

- Entity PHIS IDs are for establishments entities
- User PHIS IDs are for individuals, such as establishment and corporate-level users

If you change establishments, your PHIS ID moves with you. It is up to the Establishment Administrators at each establishment to manage active user accounts and remove the applicable work area(s) from the user accounts of former employees.

Application Access Control

Access to an application is set within the application data file or through the user interface on the Access Control page.

The screenshot shows the 'Access Control' page in the application. On the left is a navigation menu with options: Products Summary, Shipment Information, Access Control (highlighted), Submit Application, and Exit Menu. The main content area features a green notification: 'New person has been added successfully'. Below this are two buttons: 'Add New Person' and 'Add New Company'. A table displays the current access control records:

PHIS ID	Name	CompanyName	Access	Type	Edit	Delete
	Administrator, Establishment		Read-Write	Person		
			Read-Write	Entity		
	A8, E8		Read-Write	Person		

At the bottom right of the table area are 'Previous' and 'Next' navigation buttons.

Figure 8 - Application Access Control for Applications Online

The Access Control page within the application allows you to grant or deny access to the 9060 application. By selecting **Add New Person** (includes users with Establishment and Corporate level and Export Brokers roles) or **Add New Company**, PHIS displays a new window so you can search for users or companies. At this time, the Deny access to an individual or a company function can only be inserted into a 9060 record when created or updated via batch processing.

Person Search

Person Search Criteria

PHIS ID:

First Name:

Last Name:

Select	PHIS ID	Name (First and Last)	Role	PHIS Type
<input type="radio"/>	U-DEST-27760	Establishment, Administrator	Establishment Administrator	Person
<input type="radio"/>	U-DEST-27761	Test, Test	Establishment Administrator	Person
<input type="radio"/>	U-CORP-27764	Ram, Corp	Corporate Administrator	Person
<input type="radio"/>	U-BRKR-27756	E8, A8	Export Broker	Person
<input type="radio"/>	U-DEST-27765	Henry, Baskerville	Export Applicant	Person

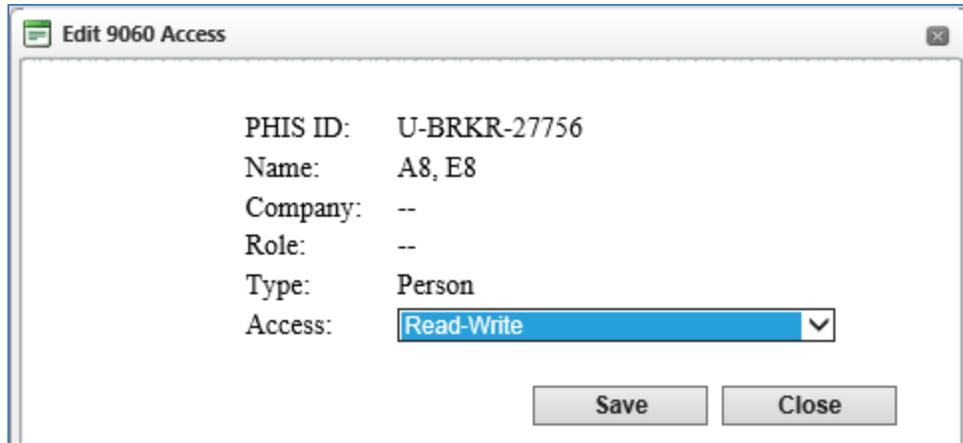
Page: 1 of 25 Go Page size: 5 Change Item 1 to 5 of 124

Figure 9 - User Search for Access Control

Once you add a user or entity, you can select that row and modify the access levels. The different access levels are:

- Read
 - This setting allows the user to view the application but not make updates to it
- Read Write
 - This setting allows the user to make updates to the application
- Read Write Access
 - This setting allows the user to make updates to the application and change the access to the application for other users by adding or removing permissions.

Be certain to review the different permission levels and set the access accordingly.



The screenshot shows a window titled "Edit 9060 Access". Inside the window, the following information is displayed:

- PHIS ID: U-BRKR-27756
- Name: A8, E8
- Company: --
- Role: --
- Type: Person
- Access: Read-Write (selected in a dropdown menu)

At the bottom of the window, there are two buttons: "Save" and "Close".

Figure 10 - Setting Access Control Levels

Export Brokers

As an Export Broker, you enroll by logging into PHIS enrollment page using your identity verified eAuth account. Then complete the following steps:

1. On the FSIS Enrollment Application page, select **Submit Enrollment Request**.
2. Select **Next**.
3. For the account type, select **Export Broker**.
4. Complete the remainder of the enrollment pages.
5. Once the enrollment wizard is complete, PHIS sends an email with an Activation Code to the address recorded in your eAuth account.
6. From the email, copy your code to your clipboard.
7. Return to the Enrollment page.
8. Select **Enter an Activation Code**.
9. Paste the code.
PHIS displays the home page.

Appendix A – Additional Files

You can find the latest Batch XSD on the PHIS Upload File of Export Applications page. Likewise, you can find the latest template for Excel on the PHIS Upload File of Export Applications page. To access that page, from the left menu select **Batch Processing > Upload Files**.

Appendix B – Common Error Messages

The following table provides a list of possible error messages to assist with identifying why a particular upload attempt failed. Some identify connection type issues and others are more for problems with the file itself.

Table 20 Common Error Messages

Error Text	Triggering Event
Failed to connect to PHIS. Waiting {0} minute(s).	An application could not be saved to PHIS. There is a timeout value set in the configuration allowing for the periodic attempt to save the information. OR A Cancel application could not be saved to PHIS. There is a timeout value set in the configuration allowing for the periodic attempt to save the information.
Failed to connect to PHIS after {0} minute(s). Abandoning Save operation.	A connection could not be established and the allotted time for attempting reconnection has elapsed.
Failed to connect to PHIS after {0} minute(s). Abandoning Cancel operation.	A connection could not be established for a Cancel application and the allotted time for attempting reconnection has elapsed.
New Export Application missing I Certify statements. UID: {0}	The I Certify statement was not supplied with the application.
(Export Library rule set validation failure messages)	All Export Library rule set validation failures are passed through without modification.
The Application UID is blank/empty. To correct this error, fill out the ApplicationUID element. Consolidation applications requests cannot already exist in PHIS.	An attempt was made to upload an application without an Application UID.
The Application UID {0} cannot be added to PHIS because it already exists in the database. {1} applications requests cannot already exist in PHIS.	An Application UID is already in use in the database.
A Cancel application requires either an Application UID or Application Number.	A Cancel file was used that was missing both the Application UID and the Application Number. At least one of these fields is required.

Error Text	Triggering Event
The Country of Destination is blank/empty. To correct this error, fill out the CountryOfDestination element.	An application the Country of Destination element was used.
The Country of Destination length is invalid. To correct, update the CountryOfDestination element to {0} characters.	The country code for the Country of Destination was not three digits.
The Country of Destination, {0}, does not exist in PHIS.	The country code for the Country of Destination was invalid.
The Country of Final Destination is blank/empty. To correct this error, fill out the CountryOfFinalDestination element.	An application was uploaded that was missing the Country of Final Destination.
The Country of Final Destination length is invalid. To correct, update the CountryOfFinalDestination element to {0} characters.	The country code for the Country of Final Destination was not three digits.
The Country of Final Destination, {0}, does not exist in PHIS.	The country code for the Country of Final Destination was invalid.
The Export Establishment Number is blank/empty. To correct this error, fill out the ExportEstablishmentNumber element.	An application in the batch file did not have an Export Establishment Number.
The Export Establishment Number, {0}, does not exist in PHIS.	The Export Establishment Number was invalid.
Application Number, {0}, did not have any products submitted with it.	An application in the batch file did not have any products (does not apply to Cancel applications).
A Product ID is blank/empty. To correct this error, fill out the ProductUID element.	A product for an application did not have a Product UID.
The weight of the lot for one of the products is negative. To correct this error, change the NetWeightOfLot element.	The weight of one or more products was listed as a negative number.
The weight of the lot for product {0} is negative. To correct this error, change the NetWeightOfLot element.	The weight of the specified product was negative.
The number of packages in a lot for one of the products is negative. To correct this error, change the NumberOfPackagesInLot element.	The number of packages for one or more products was listed as being negative.

Error Text	Triggering Event
The number of packages in a lot for product {0} is negative. To correct this error, change the NumberOfPackagesInLot element.	The number of packages of the specified product was negative.
The ApplicationUid {0} does not exist. To correct this error, change the ApplicationUid element.	The given Application UID does not exist in the system (does not apply to New applications).
The certification statement has not been filled out. To correct this, fill out the ICertifyStatement element.	The I Certify statement was missing from the application.
The application contains products that are not meat products. To correct this, edit the ICertifyStatement element.	The I Certify statement was in conflict with the product species.
The application contains products that are not poultry products. To correct this, edit the ICertifyStatement element.	The I Certify statement was in conflict with the product species.
The application contains products that are not meat or poultry products. To correct this, edit the ICertifyStatement element.	The I Certify statement was in conflict with the product species.
The application contains products that are not Siluriformes fish. To correct this, edit the ICertifyStatement element.	The I Certify statement was in conflict with the product species.
The Shipment type passed is invalid. To correct, update the ShipmentType element.	The Shipment Type fell outside of the expected enumeration range.
The Application type passed is invalid. To correct, update the ApplicationAction element.	The Application Type was an invalid type.
The Destination Country is blank/empty. To correct, fill out the CountryOfDestination element.	The Country of Destination was missing.
The Country Of Destination length is invalid. To correct, update the CountryOfDestination element to 3 characters.	The length of the Country of Destination code was invalid.
The Exporter Country Code is not a valid value. To correct this error, edit the ConsignorExporter Country element.	The Exporter's country code was invalid.

Error Text	Triggering Event
The Exporter Country Code {0} does not exist. To correct this error, edit the ConsignorExporter Country element.	The Exporter's country code was invalid.
The Exporter Country Code is not a valid value. To correct this error, edit the ConsignorExporter Country element.	The Importer's country code was invalid.
The Exporter Country Code {0} does not exist. To correct this error, edit the ConsignorExporter Country element.	The Importer's country code was not recognized.
The HACCP Category is blank/empty. To correct, fill out the HaccpCategory element.	The HACCP Code for a product was missing.
The HACCP Category length is invalid. To correct, update the HaccpCategory element to 3 characters.	The HACCP Code for a product was not the expected length.
The attachment {0} was not provided.	An attachment appears in the application that did not appear in the zip file.
Batch Processor: The application file was empty.	An application file was empty.
Batch Processor: The application file was empty.	The zip file did not contain any applications.
The XML file failed validation. {0}	The given XML file contained one or more XSD violations.
File larger than 5MB in the ZIP archive.	A PDF attachment exceeded the maximum allowed file size.
The ZIP archive was empty.	The zip file was empty.
There was no XML file in the ZIP archive.	The supplied Batch File did not have an XML file in it.
Too many XML files in ZIP archive.	The zip file contained more than the allowed number of XML files.
Unable to save milestone to the database.	A problem occurred when PHIS tried to save a milestone.

Appendix C – Batch Defined Values

The fields in this section have values defined in either the schema or the code.

Certification Statement - <ICertifyStatement>

Table 21 Certification Statement

Options
Meat
Poultry
Meat and Poultry
Siluriformes Fish
None of the Above

HACCP Categories - <HaccpCategory>

Table 22 HACCP Categories

Code	Description
03B	Raw Product – Ground
03C	Raw product – Not Ground
03D	Thermally Processed – Commercially Sterile
03E	Not Heat Treated – Shelf Stable
03F	Heat Treated – Shelf Stable
03G	Fully Cooked – Not Shelf Stable
03H	Heat Treated but Not Fully Cooked – Not Shelf Stable
03I	Product with Secondary Inhibitors – Not Shelf Stable

Access Control Type - <Type>

Table 23 Access Control Type

Type	Associated Action
Grant	Grants the associated permission
Deny	Prevent the identified user from accessing an application

Access Control Permission – Permission

This is an attribute of the <Add> tag.

Table 24 Access Control Permission

Permission	Description
Read	Allows view only access to the application
Read Write	Allows changes to the application
Read Write Access	Allows changes to the application and changes to the access control of the application

Replacement Reason - <ReasonForReplacement>

Table 25 Replacement Reason

Value	Reason
1	Lost Certificate
2	Incorrect Certificate
3	Importer/Exporter Changed
4	Certificate Missing Required Information
5	Importing Country Border Closure

Package Type - <TypeOfPackagesInLot>

Table 26 Package Type

Code	Package Type Name
BG	Bag
FX	Bag, flexible container
MB	Bag, Multi-ply
5M	Bag, paper
EC	Bag plastic
BI	Bin (includes combos, totes)
BX	Box
BJ	Bucket
CX	Can, cylindrical

Code	Package Type Name
CA	Can, rectangular
CT	Canon
CS	Case
COM	Combo Bins
DR	Drum
FT	Foodtainer
JR	Jar
NA	Not available
PK	Package
IB	Package, display, cardboard
IC	Package, display, plastic
PL	Pail
PAL	Pallet
PX	Pallet
PB	Pallet, box
AG	Pallet, Shrink-wrapped
PO	Pouch
SA	Sack
SW	Shrink-wrapped
TY	Tank, Cylindrical
TN	Tin
PU	Tray or Tray Pack
TB	Tub
TU	Tube
NE	Unpacked or unpackaged
NF	Unpacked or unpackaged, single unit

Code	Package Type Name
NG	Unpacked or unpackaged, multiple unit
VP	Vacuum-packed
VA	Vat

Species - <Species>

Table 27 Species

Species	
Antelope	Beef
Bison	Buffalo
Catalo	Chicken
Deer	Duck
Egg Products	Elk
Emu	Goat
Goose	Guinea
Horse	Lamb
Mutton	Ostrich
Pheasant	Pork
Quail	Rabbit
Ratite	Reindeer
Rhea	Siluriformes Fish
Squab	Turkey
Veal	Water Buffalo

USDA Export Mark - <UsdaExportMark>

Table 28 USDA Export Mark

Value	Description
1	Using the USDA export mark
2	Using a unique identifier

Attachment Type - <Type>*Table 29 Attachment Type*

Value	Description
Supplemental	Indicates that this attachment is required for approval
Supportive	Indicates that this attachment is not required but is useful in evaluating the application

Subtype - <Subtype>*Table 30 Attachment Subtype*

Value	Description
Other	Indicates that this supplemental attachment is required for approval
TransitLetterhead	Indicates that this supplemental attachment is a TransitLetterhead and may require the signature of a PHV

Shipment Type - <ShipmentType>*Table 31 Shipment Type*

Value	Description
1	Commercial Sale
2	U.S. Military Installation
3	Personal Consumption
4	Ship's Stores
5	Samples
6	U.S. Embassy
7	Airlines

Appendix D: Sample SOAP Request

This appendix includes two sections. The first section describes the parts of the SOAP request. The second section is a sample of the request.

Export Batch machine-to-machine request format

SOAP header contains the Username and Password generated for an Export Applicant user. The username and password are found in the Batch Processing > Service Accounts menu then open the service account. This username and password along with the IP addresses whitelisted from the NDA/ISA is what authenticates the machine making the connection to the web service.

<soapenv:Header>

```
<wsse:Security xmlns:wsse="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd" soapenv:mustUnderstand="1">
  <wsse:UsernameToken xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd" wsu:Id="unt_20">
    <wsse:Username><User name></wsse:Username>
    <wsse:Password Type="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-username-token-profile-1.0#PasswordText"><Password></wsse:Password>
  </wsse:UsernameToken>
</wsse:Security>
```

</soapenv:Header>

The **SOAP body** contains the information and data of the file for transfer to the web service.

The Export Batch DMZ service expects the following <soapenv:Body> for the Upload method.

(ExportBatchRequest2 instance in *public ExportBatchResponse2 Upload(ExportBatchRequest2 request)*)

As per WSDL, the ExportBatchElement2 has the following schema:

```
<xs:complexType name="ExportBatchRequest2">
  <xs:sequence>
    <xs:element type="xs:string" name="BatchId" nillable="true" minOccurs="0"/>
    <xs:element type="xs:base64Binary" name="File" nillable="true" minOccurs="0"/>
    <xs:element type="xs:string" name="FileName" nillable="true" minOccurs="0"/>
    <xs:element type="xs:string" name="FileType" nillable="true" minOccurs="0"/>
  </xs:sequence>
</xs:complexType>
```

Note: Please make sure that all ExportBatchElement2 elements are specified in required order as below.

```
<soapenv:Body>
<NS1:Upload xmlns:NS1="http://schemas.fsis.usda.gov/2017/12/Phis/BatchProcessing">
  <NS1:request>
    <NS1:BatchId><client batch GUID></NS1:BatchId>
    <NS1:File><file content as Base64></NS1:File>
    <NS1:FileName><file name with extension></NS1:FileName>
    <NS1:FileType><file type: zip or xml></NS1:FileType>
  </NS1:request>
</NS1:Upload>
</soapenv:Body>
```

Example of a machine-to-machine request

```
<?xml version="1.0" encoding="utf-8"?>
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/">
  <soapenv:Header>
    <wsse:Security xmlns:wsse="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd" soapenv:mustUnderstand="1">
      <wsse:UsernameToken xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd" wsu:Id="unt_20">
        <wsse:Username>85765342BBFQ8686Z830797865432491K</wsse:Username>
        <wsse:Password Type="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-username-token-profile-1.0#PasswordText">857F85609870NV6A.59304643EF32TR74</wsse:Password>
      </wsse:UsernameToken>
    </wsse:Security>
  </soapenv:Header>
  <soapenv:Body>
    <NS1:Upload xmlns:NS1="http://schemas.fsis.usda.gov/2017/12/Phis/BatchProcessing">
```

<NS1:request>

<NS1:BatchId>999ZZ999-9999-9Z9Z-9999-999ZZ9ZZ9Z99</NS1:BatchId>

<NS1:File>UESDBBQACAgIALWAKUwAAAAAAAAANy54bWztWFuTokYUft9f0TUPW8mD0qCoZHuptNCOZBAsLs7OvjHazlCr4AImMb8+pxEVR52d1NTUJqnlqftc2nP5vtMgYcnvfJGPjVd
gwmR80FE1TO1dozLNlnOdxmny88ng0Q7dZXHC0PeJK0olUuUtPTnXSIp7H06gAV7aM4oX+R7xYxNGyeb/JEv5rsenTpDINI0Q6NSXsz1WaFXS1WIRyDXdwfkFexh6LXbtwi6jgSw4Rvf+6TosP
Y2rcWM41MmnA/F8QViVZlhQsd1EDyVjCrXLzLhgyNPZcMzQCdEv9as1MFDom8xBfFcYGiH0au16AJsyzBpZBA8t10E99Nv1Z2F97dISCI0eQEPTCpj5jijomomNQT+Cw/h0SPxQ6QoX8QMSE
TDamXjBiToDcAaLXnmWEhdhB67H20SvMPfk1EbTSi3g0LREY+8yaWwbZpQvnPIIBUhTpaDuIsL5xoyfXbbUPA91R3sLejStQXfasZ7xU12d5PhBJapq5q5kbpM9wYmGqr0R5Q3GAyxo0ehoe2VK
xQde+/cyJGugYYbdy5yfMiTkqF7nwm0lnFwXwAosVFnXpTZXoUUTTR1G8XBLnJnn8kKTZ1o5nAGuRcHDnQ+cHHvOHAMRo4CPLMZoA5G3IzrMMmLbf2HHCZR0Sho6zCXMAXQJFpmdN
WNm3gxEx4mKjm/TGDSgyQ4f5EL4Q7VLUQ3+fkE7GaV5ECyOdcV3t4rZGpJqEldhws4BnQnku7H2TSCfCfQS6OPgk3+2Kwan3izgvK+Osl/egmsjdtKhRLpsQiyDZ8DtzQGSIX4VRDqV72rNub
U8qrVDbftOFDhgnlNSjtrPV9qQXOiK9Rvw1nKeFri2U/RWC8vIR4bH7qCHHhDUNmFUGD3tyE2p+kJD48YGQj/tSQ1kxz1pd9rfaAkNb17Wk3pd/Md4JYoWbGCao90jw0F1BfHX98u40OfRIgfaVj
sSpBCNw4tbHj88FIYyhsBnORzTVmUVNwUtiXTB6MT5Jl6kD1m0FP6yhsG/d9b/YEfCJP665tYMwoShD+kwrCodGAmyGMREOtGTMJ9FW4yNouzLIWEFjI9VAkRFBFB3L8tpaLJdLnk1jml0c4tq
CU5HhUUSBzyhrLvtzKtWIMk9WwM2109Xq3k/tytbtIpDqkZ29xMZZOltPi2+oQXvKMzfZaUdKWwV2PGtDBIn6F0/8R76Y+8KO60W2BoScyskwmk5XBqDzQcAStwwiHYuI4EeVcB2JNTEZRc
UagL2xAdDBY5S08AiK8ZhXP3tRTfYAcud2Wocq6gDKKqheMDpxrkMVKV1Fbqpn/WtQrSo3H0fTL9EDz60ELA5ptsD5rAWpS11y3sQyIlg0Y9HXhzqIcYwPP/cyc7RtG4FmjEdzuMPD6Y7jibWbA
q8LeeTv2qo24KdtGj2nYoI2O2u82sNzS6tcrHsitnrH3Lq9WMSNWcfKwY9gWYof+eUIFRbp1naUXDIj/opPY57rfc7nYFrtiBg7T2vR/wTT4Ix8d21chPl/nQTKW5Naxq8kQVttqU3tVSSAG+OIJGjLd
PhPSfAN3Msd7Qfuj3Fvfhfct94c9/Jrca/1tFcO/++N+94P3P/b5n37zV961Ne+9Cid7ivnPVw6L8M9kLRLjRfi3hjChxXyXNtGKGz6TbNjmyB0LYMh10ND63rIvOc4AXNPZUrDgI+IBsaM/U848aw6v
6S/JC8ddv8B/g1QSwelhiXciB8FAAAOFAAAUEsBAHQAFaAICAgAtYApTIYI3IgfBQAADhQAABQAAAAbAAAAAAAAAAAAAAAAAAsdjwslnlAKJNLCBAAGEFAAAAAA==</NS1:File>

<NS1:FileName>test.zip</NS1:FileName>

<NS1:FileType>zip</NS1:FileType>

</NS1:request>

</NS1:Upload>

</soapenv:Body>

</soapenv:Envelope>

Appendix E: Service Calls and Responses

This appendix explains the available methods that can be called using Batch Machine to Machine including the parameters in the requests and responses. *For technical assistance, contact the FSIS Service Desk at 1-800-473-9135, 24 hours a day/7 days a week.*

Method Name	Action	Fields and Format in the Request	Fields and Format in the Response	Response XML
Upload	Used to upload a new batch file that containing application details.	<p><u>ExportBatchRequest2</u>: The name of the request object being sent to the service. It contains the following:</p> <ul style="list-style-type: none"> • <u>BatchId</u>: Global unique ID of the batch. (Type: String) • <u>FileName</u>: The name of the file that is being sent to the service. (Type: String) • <u>File</u>: The file being sent to the service. (Type: Byte) • <u>FileType</u>: The type of the file being sent to the service. (Type: String) 	<p><u>ExportBatchResponse2</u>: The name of the response object being sent from the service. It contains the following:</p> <ul style="list-style-type: none"> • <u>BatchId</u>: Global unique ID of the batch. (Type: String) • <u>Status</u>: The current status of the batch. (Type: String) • <u>ResponseSuccessMessages</u>: The success message related to the batch if applicable. (Type: mileStoneStatus2) • <u>ResponseFailureMessages</u>: The failure message related to the batch if applicable. (Type: mileStoneStatus2) • <u>LogMessageXml</u>: Empty when calling Upload Method. (Type: String) 	 Upload Output.xml

Method Name	Action	Fields and Format in the Request	Fields and Format in the Response	Response XML
GetStatus	Retrieves the status of a batch import based on the ID of the batch.	<p>ExportBatchRequest2: The name of the request object being sent to the service. It contains the following:</p> <ul style="list-style-type: none"> BatchId: Global unique ID of the batch. (Type: String) FileName: The name of the file that is being sent to the service. (Type: String) File: The file(s) being sent to the service. (Type: Byte) FileType: The type of the file being sent to the service. (Type: String) 	<p>ExportBatchResponse2: The name of the response object being sent from the service. It contains the following:</p> <ul style="list-style-type: none"> BatchId: Global unique ID of the batch. (Type: String) Status: The current status of the batch. (Type: String) ResponseSuccessMessages: The success message related to the batch if applicable. (Type: mileStoneStatus2) ResponseFailureMessages: The failure message related to the batch if applicable. (Type: mileStoneStatus2) LogMessageXml: For GetStatus Method this will contain details of the application including error and milestone logs in XML format. (Type: String) 	 Get Status Output.xml
GetBatchXsd	Retrieves the XSD file that is used to validate incoming batch XML files.	No details required.	Returns a string containing the contents of the XSD. The XSD defines what elements and attributes may appear in the XML applications. It also defines the relationship of the elements and what data may be stored in them.	 Get Batch XSD Output.xml
GetApplicationStatus	This is a placeholder.	Not Currently Implemented.	Not Currently Implemented.	

Method Name	Action	Fields and Format in the Request	Fields and Format in the Response	Response XML
GetBatchApplications	Retrieves a list of applications associated with the given batch identifier.	<p>The request being sent contains the following parameters:</p> <ul style="list-style-type: none"> • PhisId: The current user's PHIS ID. (Type: String) • BatchIdentifier: The unique identifier of the batch. (Type: String) 	<p>ApplicationsearchResult2 – The name of the response object in the list. It contains the following:</p> <ul style="list-style-type: none"> • ApplicationIdentifier: The unique identifier for the application. This property is set by the industry when the application is uploaded via batch. (Type: String) • ApplicationNumber: The PHIS application number, used as a human-readable unique identifier within the PHIS web. (Type: String) • ApplicationType: The application type, i.e. New, Cancel, Consolidate, Replacement, Split, Update. (Type: String) • AttachmentCount: The number of the attachments associated with the current application. (Type: Int) • CurrentState: The current status of the application i.e. Unsubmitted, Submitted, Reviewed by PHV, Signed by First PHV, Pending Upload, Approved, Rejected. (Type: String) • DateOfRequest: The date and time of the application request. (Type: DateTime) • LastUpdatedTimestamp: The date and time when the application was last updated/modified. (Type: DateTime) • OriginalCertificateNumber: The original, approved certificate number for replacements, splits and consolidations. (Type: String) • Submitted: Represents whether or not the application was sent in as submitted. (Type: Bool) 	 <p>Get Batch Applications Output</p>

Method Name	Action	Fields and Format in the Request	Fields and Format in the Response	Response XML
GetBatchUploads	Retrieves a list of batches that were sent by the current user.	<p>The request being sent contains the following parameters:</p> <ul style="list-style-type: none"> • PhisId: The current user's PHIS ID. (Type: String) 	<p>BatchSearchResult2 – The name of the response object in the list. It contains:</p> <ul style="list-style-type: none"> • BatchIdentifier: The unique identifier for the current batch. (Type: String) • Name: The name of the batch file uploaded. (Type: String) • ReceivedOn: The date and time when the current batch was received. (Type: DateTime) 	 Get Batch Upload Output.xml
GetStatements	The method is used to get list of Statements for a specific country and list of species. If list of species is not passed, method will return all statements for that country.	<p>The request contains the following parameters:</p> <ul style="list-style-type: none"> • Int CountryId: ID specific to country needs to be passed to get statements specific to that country. • String lstSpeciesId: This parameter should have comma separated list of IDs corresponding to Species. 	<p>Statements: The name of the object returned by the function/method GetStatements. It will contain the following:</p> <ul style="list-style-type: none"> • int StatementID: The statement version identifier. • int StatementVersionID: The statement version identifier. • string Name: The statements name. • string Code: The statements code. • decimal SortOrder: The statements sort order. 	 Sample XML returned by method