Questions and Answers Related to PHIS Export Implementation

Exports Technical Webinar and Conference Call with Industry (March 27, 2017)

A. XSD, UID and GUID

1. In the briefing and documents, you use three abbreviations. What are the XSD, UID and GUID abbreviations?

XML Specification Document (**XSD**) language is the standard schema language for all XML documents and data. The XSD enables programmers to define the structure and data types for XML documents. Extensible Markup Language (XML) is a markup language that defines a set of rules for encoding documents in a format that is both human-readable and machine-readable. The applicant provides a UID (Unique Identifier) for the export mark on the consignment when the applicant does not use the certificate number to mark the product. PHIS generates the GUID (Global Unique Identifier) for each batch file received and PHIS returns the GUID to the batch file submitter.

B. Minimum Data Requirements for an Application

1. Applicants may submit incomplete applications for export. What are the minimum data elements required for a successful incomplete application transmission?

The data required to initiate an application are:
- one person or entity granted permission at the Access control level,
- Application UID,
- Country of Destination,
- Country of Final Destination,
- Date of Request,
- Consignor/Exporter Name,
- Export Establishment Number,
- Consignee/Importer Name,
- Submit flag (outside of 9060-6 fields; should be set to false for partial applications), and;
- At least one Product with a Product UID

2. What elements of the application can the applicant add later?

The elements that are "required" for submission can be added later.

<u>**C.   9060-6 Application for Export Certificate**</u>

1. Can applicants use the PHIS Export user interface to update or submit an incomplete application for export?

Yes. Applicants may provide the rest of the needed information and submit an application manually at the PHIS export website.

2. Can applicants edit a submitted export application?

Applicants may edit and resubmit an application up until the point FSIS personnel have opened and saved the associated export task in PHIS. PHIS creates an Export Task for each submitted export application. PHIS identifies each export task with the corresponding export application number.

3. Does PHIS export design allow establishments to use computer-to-computer and person-to-computer data entry methods simultaneously?

Applicants may initiate applications for export via batch file processing and update those records at the user interface.

4. Please advise when and how the applicant can edit the application and provide more details on each editing step.

Once an applicant submits the application, the lock icon will appear in the edit column. To edit a submitted application, click on the lock icon. Then the applicant can click on the pencil icon in the edit column anytime to edit the application. The applicant cannot edit the application if the lock icon or pencil icon is not present.

5. At what point can an application be locked or unlocked, and by whom?

The application is locked by PHIS when the applicant clicks the submit button. Only an applicant with access to the application can unlock and perform edits to the application.

6. What can the applicant do when the application is locked or unlocked?

Applicants cannot perform edits on a locked application. Unlocked applications are fully editable.

7. What does PHIS mean by the phrase "inspectors open the tasks"?

Each submitted application for export is associated with a single PHIS export task. PHIS locks the application when inspection personnel open and save the task on the Establishment Task Calendar. However, the application can be deleted/cancelled by clicking on the trashcan icon in the delete column.

8. Does the export applicant need to be associated with an exporting establishment in order to initiate and submit an application?

Yes, an establishment applicant must have an association with an establishment to submit an application.

9.   Should the applicant select their exporting establishment as the establishment number on the initial application screen?

Yes, the establishment selected on Select Establishment page is the exporting establishment. The applicant will be able to select the establishment number (M, P or V number as appropriate) from a dropdown menu on the Export Applicant Information page.

10.   When will the 9060-5 be available for review by the applicant?

FSIS personnel will be able to preview the 9060-5 prior to printing and signing. Applicants will not be able to preview the 9060-5, but they are able to preview the application, 9060-6. The applicant can only view the electronic pdf copy of the signed export documents (9060-5 and any required supplemental documents such as letterhead certificates) once the certifying official has uploaded the signed documents into PHIS.

11.   Are both the Country of Destination and Country of Final Destination required fields?

Only the country of destination is required for the PHIS web based application. Every export consignment must have a Country of Destination. This is the country where the applicant ships the product from the US and is the country that FSIS will issue the export certificate. Occasionally, some consignments are exported to the country of destination, with intent for processing in that country, and later on exported by that country (Country of Destination) to a third country (Country of Final Destination). An example of this may be the country of destination is Mexico, with the country of final destination being Japan. FSIS will certify the shipment to Mexico with a letterhead certificate for Mexico to include with their export documents when they export the product to Japan. If the products are not intended to go to a third country, then the applicant would enter the same country as the country of destination and country of final destination when completing the batching file.

D.   Batch File Processing

1. What information does PHIS need to differentiate between one application and another in a large batch communication?

Each XML file is one application. If submitting multiple applications, the applications must be separate XML files. When the application includes attachments, the applicant submits the attachments with the XML in the same ZIP file. If there are no attachments, the applicant can submit the XML file without a ZIP file.

2.   How does PHIS export know what type of file is transmitted (certificate replacement request, an update request, or a certificate consolidation request)?

The transmitted file contains a designator called Application Type.

3.   How do I attach a physical document to the electronic XML transmission?

The applicant must first scan the paper document and then save it as an electronic file (PDF). The PDF document is then included in the same zip file as the XML file.

4.   Does PHIS accept multiple file attachments or is the applicant required to combine all relevant material into one document?

PHIS will accept multiple attachments. The size limit on any one attachment is 5 MB.

5.   The batch specification documents do not address seal and container numbers. Must the applicant always access the application via the web and manually enter this information?

The batch process XML does not include specific fields for container and seal numbers. When appropriate, applicants can add this information in the XML Additional Statement field. In addition, the applicant can add and edit seal and container numbers via the user interface using the Export Applicant role. Seal and container numbers added at the 9060-6 Shipment Information page do not appear on the 9060-5. When applicants add seal and container information at the 9060-6 Shipment Information page, PHIS makes the information available to the importing country officials via the foreign officials PHIS export roles.

6.   Why is there an ApplicationUID field and how is it used?

The ApplicationUID field is unique identifier created by your systems for identifying the applications you submit. You can use it to validate your applications. You can use the ApplicationUID field to validate your applications have been submitted.

7.   Can applicants use the standard ISO county codes in the "Country of Destination" and "Country of Final Destination" fields?

Yes. Use the three-digit numeric country codes. The codes are available at <ins>International Organization for Standardization</ins> (ISO).

8. What should the applicant enter in the "Export Application Attachments" field? What file types are acceptable? How does the applicant structure attachments within this field?

Applicants are to place the file name of the attachment in the "Export Application Attachments" field. Applicants are to enter only PDF file types. The applicant structures attachments within the field as instructed in the XSD and XML Specification document.

9. Will PHIS require users to attach a PDF file for each application in the XML?

No.

10. What is the required method to transmit XML files?

The access point is a web service.

E.   PHIS Export Design and Function

1. Importing countries have weight unit of measure (UOM) requirements. There are several possible combinations, pounds (lbs.) only, both lbs. and kilograms (kgs), and only kgs.   When countries have UOM requirements (lbs. only or both lbs. and kgs.), how will PHIS determine the UOM?

PHIS will accept either English (pounds) or Metric (kilograms) UOM standards. The applicant inputs data into every weight field on the application for export. PHIS does not add weights to determine a total weight, such as total net weight.

2. Can the applicant report product weight in both lbs. and kgs?

Yes.

3. The product's HACCP category is required. Our product master fields do not list HACCP category today. We do not communicate the HACCP category to the loading facilities, which also requires system modification. How does PHIS Export Library use the HACCP category, and can this field be discretionary compared to mandatory?

Product's HACCP category is a required field for all export applications processed in PHIS. The PHIS Export Library Validation System (ELVS) determines product export eligibility based on HACCP category, species, maturity and ….

4. Company addresses may require more than four lines of text. Does PHIS accommodate more than four lines of text in the address sections?

Yes. There are six lines available for alphanumeric text.

5. Phone numbers are required by some countries. Is there a field for phone numbers?

Yes, a field for phone numbers is under development. In addition, applicants may place phone numbers on one of the six lines of text available in the address field.

6. The export requirements for Australia require complete addresses and establishment numbers for the slaughter and processing establishments and cold storage facility in the remarks section. Does the applicant use the text box labeled *Required Statements for Export* to input this information?

Yes. The field accepts alphanumeric characters and standard text formatting. Applicants must enter all the information required to appear in the Remarks section of the 9060-5 as a single statement in the Required Statements for Export text box. Standard text formatting applies, so applicants can enter addresses, names and other formatted text as needed. There is space available for additional information such as seal, container, vessel and voyage numbers. PHIS will automatically place that portion of a statement that does not fit into the Remarks section of the 9060-5 onto a 9060-5b continuation sheet.

7. Is pounds required for the weights field?

PHIS will accept either English (pounds) or Metric (kilograms) UOM standards. The applicant inputs data into every weight field on the application for export. PHIS does not add weights to determine a total weight, such as total net weight.

8. How many digits are available past the decimal in weight fields?

The system accommodates up to four digits past the decimal point. PHIS captures and uses weight field numbers exactly as the applicant entered them.

9. Will PHIS convert pounds to kilograms or metric tons, if a country requires it?

No, PHIS will not convert pounds to kilograms. PHIS does not accommodate metric ton values in the weight fields.

10. Will PHIS pass back the application number after FSIS approves the application?

The application number—which becomes the export certificate number—is available to the applicant when creating an application manually on-line, upon receipt of batch file acceptance and by reviewing the Create/View 9060-6 Export Applications grid on-line.

11. On the process flow diagram, what does PHIS mean by "application locked"?

An application receives the Application Locked status when FSIS personnel save the opened export task. Application Locked status prevents applicants from editing applications while under review by FSIS.

Applicants can unlock and edit submitted applications as long as FSIS personnel have not opened and saved the export task.

12. **Will we be able to print documents from the PHIS system? Will PHIS allow applicants to print documents?** Yes.

13. **How long will PHIS store applications and approved documents?**

PHIS maintains records indefinitely.

14. **Will we need to print a copy of the approved documents and send them to the customer or country as we are doing today? Will there still be a need for the applicant to print documents to provide to customers?**

Industry document handling does not change with PHIS Export. PHIS Export does however; provide the importing country's officials electronic images of export certificates for product destined to their country.

F. PHIS XML Specification

1. Will FSIS provide various samples of XML structures? Yes

G. HACCP

1. Is the HACCP Category field required, and if yes, what are the definition of the codes?
Yes, the HACCP category is a required field.

      03B = Raw Ground
      03C = Raw 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 Not Fully Cooked-not shelf stable
      03I = Product with Secondary Inhibitors-not shelf stable

H. Country Phase In

1. What is the timeline for phasing in additional countries into PHIS Export?

The PHIS export module will launch with 19 countries, including three with additional export requirements and 16 that do not have any additional export requirements. FSIS will implement a phase in

plan to add new countries over time. FSIS will send out notification in advance of phasing new countries into the PHIS export module.

2.   Can submitted applications be unlocked and edited?

Yes. Submitted applications can be unlocked and are fully editable once unlocked. Submitted applications are fully editable prior to FSIS opening and saving the associated export task. After FSIS opens and saves the task, only product weights and package counts are editable. Package counts and weights are not editable after FSIS approves the export application in PHIS.

3.   The current Technical specifications say that the accepted file types are XML and ZIP.   There is also a mention of PDF files being zipped. Does FSIS expect PDF files with every Application? What type of images (PDF) are expected?

No, FSIS does not expect attachments with each submission. When applicants submit an application via batch, applicants must submit an XML file. That XML file may be associated with attachments that are PDF files. Combinations of XML and PDF files are submitted as one ZIP file. The PDFs are attachments associated with the 9060-6 application, such as letterheads or their supplemental/supportive documents. Applicants provide PDF attachments only when required as per FSIS's Export Library.