



**Food Safety and Inspection Service**  
U.S. DEPARTMENT OF AGRICULTURE

# Import Refresher Training

## Applications

## Learning Objectives

- Explain the processes for submitting import applications either on paper or electronically, and how IPP review them
- Explain how to proceed when errors or missing information are discovered on either a paper or electronic application
- List the import application data elements
- Describe the relationship and interface between PHIS, the automated commercial environment (ACE), and electronic certification (eCert)

## Resources

- [FSIS Directive 9900.4](#)
- [9 CFR part 327.5](#)
- [9 CFR part 381.198](#)
- [9 CFR part 590.920](#)
- [9 CFR part 557.5](#)

## Background

Prior to implementation of the PHIS Import Component, applicants\* submitted applications for the import of meat and poultry products on FSIS Form 9540-I and for egg products on FSIS Form 5200-8.

Applicants now have the option of either using the Form 9540-I or submitting applications electronically for all amenable meat, poultry, and egg products. Applicants use unique software developed for the Automated Broker Interface (ABI) which allows them to both submit applications and receive messaging back from PHIS.

\*

## Types of Applications

There are **2 types** of applications IPP may encounter:

1. Paper applications (FSIS Form 9540-I)
2. Electronic applications (via the Partner Government Agency (PGA) Message Set)

Also, recall the **"prior notice"** regulatory requirement: Paper applications must be provided to FSIS at the time the entry is filed, in advance of the arrival of the shipment at the official import establishment.

## Types of Applications - Paper

When the applicant submits a paper application (FSIS Form 9540-1), IPP will create the application **manually** by entering the required data elements into PHIS. Regardless of whether the applicant submits a paper or electronic certificate (non-eCert vs. eCert), the application status in PHIS will show as **Unsubmitted**, and the Lot Status will show as **CBP Received**.

## Types of Applications - Electronic

When the applicant submits an electronic application using the PGA Message Set, the application is created by the interface between the automated commercial environment (ACE) and PHIS. A paper Form 9540-I is *not* required, and IPP should not have to enter any application data manually. The application status will show as [Submitted](#), and the Lot Status will show as [PGA Received](#).

**Remember that even though it is clearly more efficient, use of the PGA Message Set by the applicant is entirely voluntary!**

## Application-Certificate Combinations

Now that we have differentiated between paper and electronic applications, let's review the four **application-certificate combinations** that IPP may encounter when import shipments are received, and implications of each.



## Application-Certificate Combinations

### CBP Entry in ACE *without* PGA Message Set, non-eCert Country:

- **Incomplete** application - An application is created in PHIS by data transfer from ACE based on the Harmonized Tariff Schedule (HTS) code entered by the applicant
- Must be accompanied by paper Form 9540-I
- IPP will need to enter data manually using the Form 9540-I and paper certificate
- Application status = **Unsubmitted** \*
- Lot Status = **CBP Received**\*

## Application-Certificate Combinations

### **CBP Entry in ACE *without* PGA Message Set, eCert Country:**

- **Incomplete** application - An application is created in PHIS by data transfer from ACE based on the Harmonized Tariff Schedule (HTS) code entered by the applicant
- Must be accompanied by paper Form 9540-I
- IPP will need to enter data manually
- Application status = **Unsubmitted**
- Lot Status = **CBP Received** or **No child records to display**

## Application-Certificate Combinations

### CBP Entry in ACE with PGA Message Set, non-eCert Country:

- **Complete** application - An application is created in PHIS by data transfer from ACE; the HTS code is irrelevant
- Paper Form 9540-I not required and should not be requested
- IPP will not need to enter data manually; no paper certificate needed
- Application status = [Submitted](#)
- Lot Status = [PGA Received](#)

## Application-Certificate Combinations

### CBP Entry in ACE with PGA Message Set, eCert Country:

- **Complete** application - An application is created in PHIS by data transfer from ACE; the HTS code is irrelevant
- Paper Form 9540-I not required and should not be requested
- IPP will not need to enter data manually; no paper certificate needed
- Application status = [Submitted](#)
- Lot Status = [ECert Received](#)

## Import Application Data Elements in PHIS

There are 5 tabs under the import application page in PHIS, with numerous data elements under each. Rather than restate *everything* in FSIS Directive 9900.4, Section IV, we will list the data elements out and note some highlights from the first three tabs.

Required data elements are denoted with an asterisk. Of course, whether or not IPP must enter data manually depends on whether the applicant uses the PGA Message Set.

## Import Application Data Elements in PHIS

### Application tab:

- Country of Origin\*
- Inspection Certificate Number\*
- Exporting Establishment
- U.S. Point of Entry\*
- U.S. Port of Unlading
- Reference Number
- Type of Establishment\*
- Official Establishment\*
- Estimated Date of Arrival\*
- Bill of Lading Number

## Import Application Data Elements in PHIS

### **Importer/Applicant tab:**

These data elements identify the Applicant/Broker, Consignee, and Importer of Record.

Regulations require the name and address of the consignee or importer and the name and address of the exporter or consignor to be certified by the foreign government's central competent authority (CCA) on the inspection certificate. Note that these names and numbers may change in transit for business reasons and are not to be considered errors. These elements are all auto-populated when the application is filed with CBP into ACE.

## Import Application Data Elements in PHIS

### Lots tab:

- Lot Number
- Shipping Mark\*
- Customs Entry Number (CEN)\*
- Production Dates
- Lot Net Weight\*
- Shipping Container Package Type\*
- Shipping Container Units\*
- Immediate Container Package Type
- Immediate Container Number per Unit
- Seal Number
- Process Country\*
- Process Establishment\*



## Import Application Data Elements in PHIS

### **Lots tab (continued):**

- Source Countries and Establishments
- Harmonized Tariff Code
- Process Category\*
- Product Category/Product Group\*
- Species\*
- Supplemental Product Code

## Reviewing Import Applications

The process for reviewing import applications is essentially boiled down to ensuring that all required data elements are present and that the data on the application match those on the certificate (with some exceptions). The process will mainly depend on whether or not the applicant utilizes the PGA Message Set.

## Reviewing Import Applications

### **CBP Entry in ACE *without* PGA Message Set, *non*-eCert Country:**

1. Compare paper application to paper certificate.
2. Do not request or require additional information other than the required fields.

### **CBP Entry in ACE *without* PGA Message Set, eCert Country:**

1. Steps 1 and 2 are the same.
2. Do not request or require information on the paper application that are required on the foreign inspection certificate...because eCert is being used, these will auto-populate when you enter the certificate number.

## Reviewing Import Applications

### **CBP Entry in ACE with PGA Message Set, eCert or non-eCert Country:**

Review the application in PHIS before Receiving lots. Focus on the required data elements, and do not request additional information other than what is required.

## Correcting Missing or Inaccurate Data

### **Paper Applications (FSIS Form 9540-I):**

If you observe missing or inaccurate data on the paper application, but the data is present and correct on the certificate, enter the correct data from the certificate into the application in PHIS.

### **PGA Message Set Applications:**

If you observe missing or inaccurate data on the application in PHIS, but the data is present and correct on the certificate, enter the correct data from the certificate into the application in PHIS. The applicant *can* make changes via ACE, but only within 10 days of release by CBP -- after 10 days, you will need to make the changes (if required).

## Correcting Missing or Inaccurate Data

If an application is missing information, and you cannot find results after searching the application in PHIS, you are to request the applicant submit a correction via ACE (either directly or through establishment management).

If there are still no results in PHIS, send an email to [importinspection@usda.gov](mailto:importinspection@usda.gov), use "PGA Message Set" as the subject line, provide the CEN and as much detail as needed to describe the issue, then wait for further instructions.

## Event Messaging

As discussed back on slide 4 of this module, PHIS supports incoming data from ACE as well as event messaging back to ACE. ACE in turn relays that messaging back to the applicant in the automated broker interface (ABI). Examples include notification of refusals, partial refusals, laboratory samples collected, failures to present (FTP), and releases of product.

## Knowledge Check

The following questions are for review purposes only...  
they are not graded!



## Knowledge Check

Applicants or brokers file import applications with:

7 Foreign government central competent authority (CCA)

7 Animal and Plant Health Inspection Service (APHIS)

7 Customs and Border Protection (CBP)

7 Food Safety and Inspection Service (FSIS)

☐ Check

## Knowledge Check

When an applicant uses the PGA Message Set, they must also submit a paper FSIS Form 9540-1:

☐ True

☐ False

☐ Check

## Knowledge Check

The name and address of the consignee or importer on the application must be the same as the name and address of the consignee or importer listed on the certificate:

☐ True☐ False☐ Check

## Knowledge Check

An applicant has filed with CBP using the PGA Message Set and an electronic certificate (eCert) for a shipment of frozen beef trimmings. While reviewing the application in PHIS, you observe that a required data element (species) is inaccurate -- it says "lamb." However, when you check the certificate data in PHIS, it lists the species as "beef." You should: ☐

Refuse entry on the product and notify the applicant

Request that the applicant file a new application with CBP

Request a corrected application on the paper Form 9540-I

Correct the application to match the species listed on the certificate

## Knowledge Check

When you find missing required information on an application and, after searching the application and certificate in PHIS, you find no results, you should [select **all** that apply]:

☐ Request the applicant submit a correction in ACE

☐ Email [importinspection@usda.gov](mailto:importinspection@usda.gov) if the applicant does not (or cannot) submit a correction

☐ Refuse entry on the shipment and notify the applicant

☐ Manually enter the *best* option based on the information you have and proceed with reinspection

☐ Check

## Learning Objectives Summary

- Explain the processes for submitting import applications either on paper or electronically, and how IPP review them
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## **End of Module 2**

You have completed Module 2 - Applications!

Click [here](#) to proceed to Module 3 - Label Verification.

Slide	Score/ Total
Slide 25: Untitled Multiple Choice	0/1
Slide 26: Untitled True/False Question	0/1
Slide 27: Comparing Applications and Certificates	0/1
Slide 28: Corrections	0/2
Slide 29: Corrections	0/2
<div>Total Score<div>★ 0/7</div></div>	
<div><div>Show solutions</div><div>Retry</div></div>	