Food Safety and Inspection Service (FSIS)
United States Department of Agriculture (USDA)
PHIS Industry User Guide

Public Health Information System

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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 Administrator, Corporate Administrator, Plant Management, Export Applicant, and Export Broker.

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:

- Adobe Acrobat Reader

You can use either of the following Web browsers:

- Microsoft Edge
- Google Chrome

2.3 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.

2.4 Electronic Identification Access

Every person that uses PHIS must have an electronic identification account that includes identity verification steps. As of 9/11/2023, Industry users, new to PHIS, must create an account using Login.gov and then sign in to PHIS using Login.gov.

Users with existing eAuth accounts may continue to login using their eAuth User ID and Password until the transition to Login.gov is complete. Once Login.gov is the only account sign-in method, users will need to create a Login.gov account and then link that to their old eAuth account. To successfully link to the existing eAuth account, make sure the email address used for Login.gov matches the eAuth account. It is recommended that the first name and last name match as well to avoid confusion.

2.5 Creating an Login.gov account

Login.gov is used by multiple government agencies and provides multi-factor authentication (MFA) options for public customers for an added layer of protection of your personal information.

For more information on Login.Gov, visit the website at https://login.gov/what-is-login/

Step 1	Open a web browser and go to https://www.login.gov

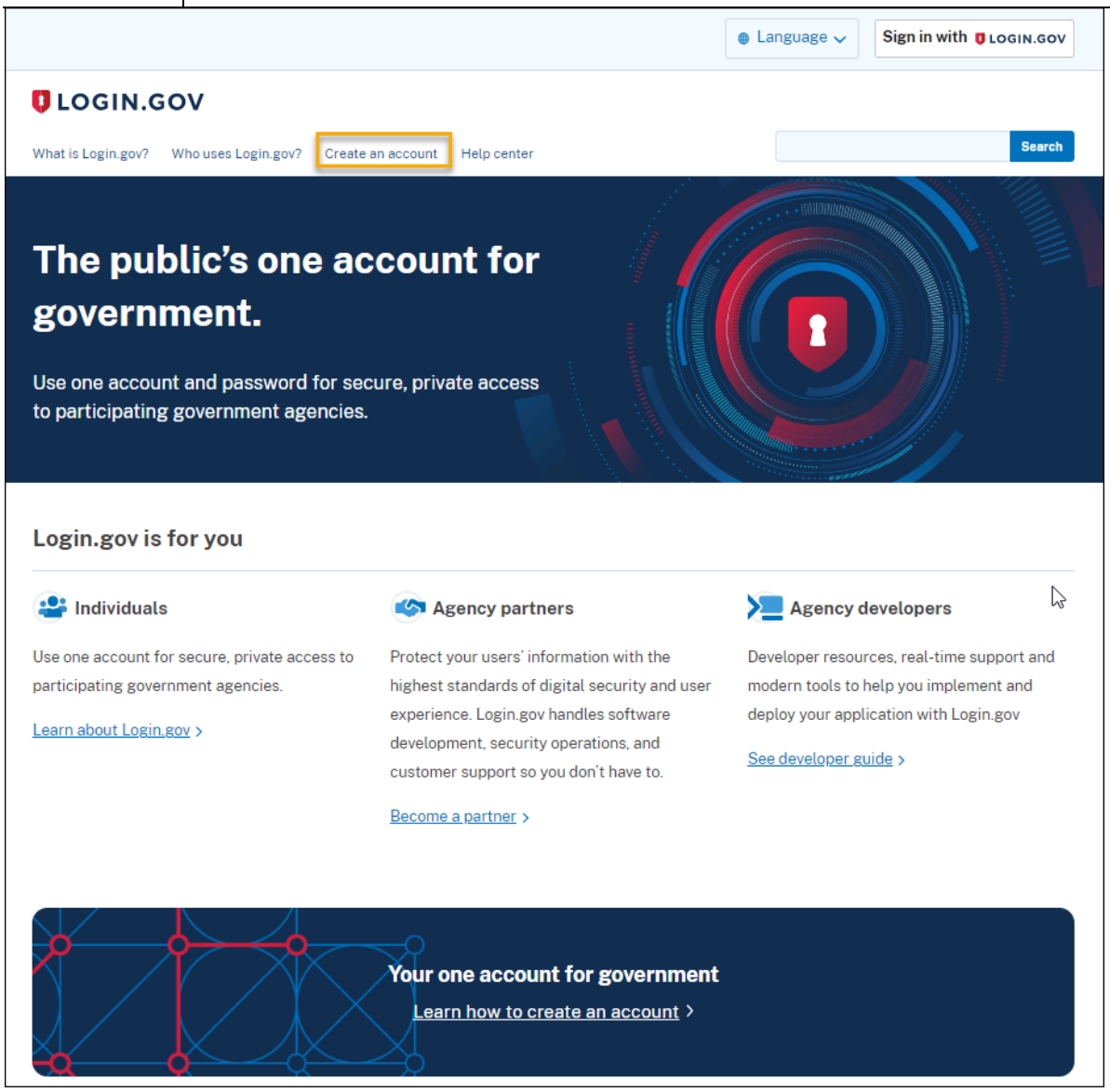


Figure 1: LOGIN.GOV

Step 2	From the Login.gov page, select the Create an account option. A new window opens providing an overview of the Create an account process.

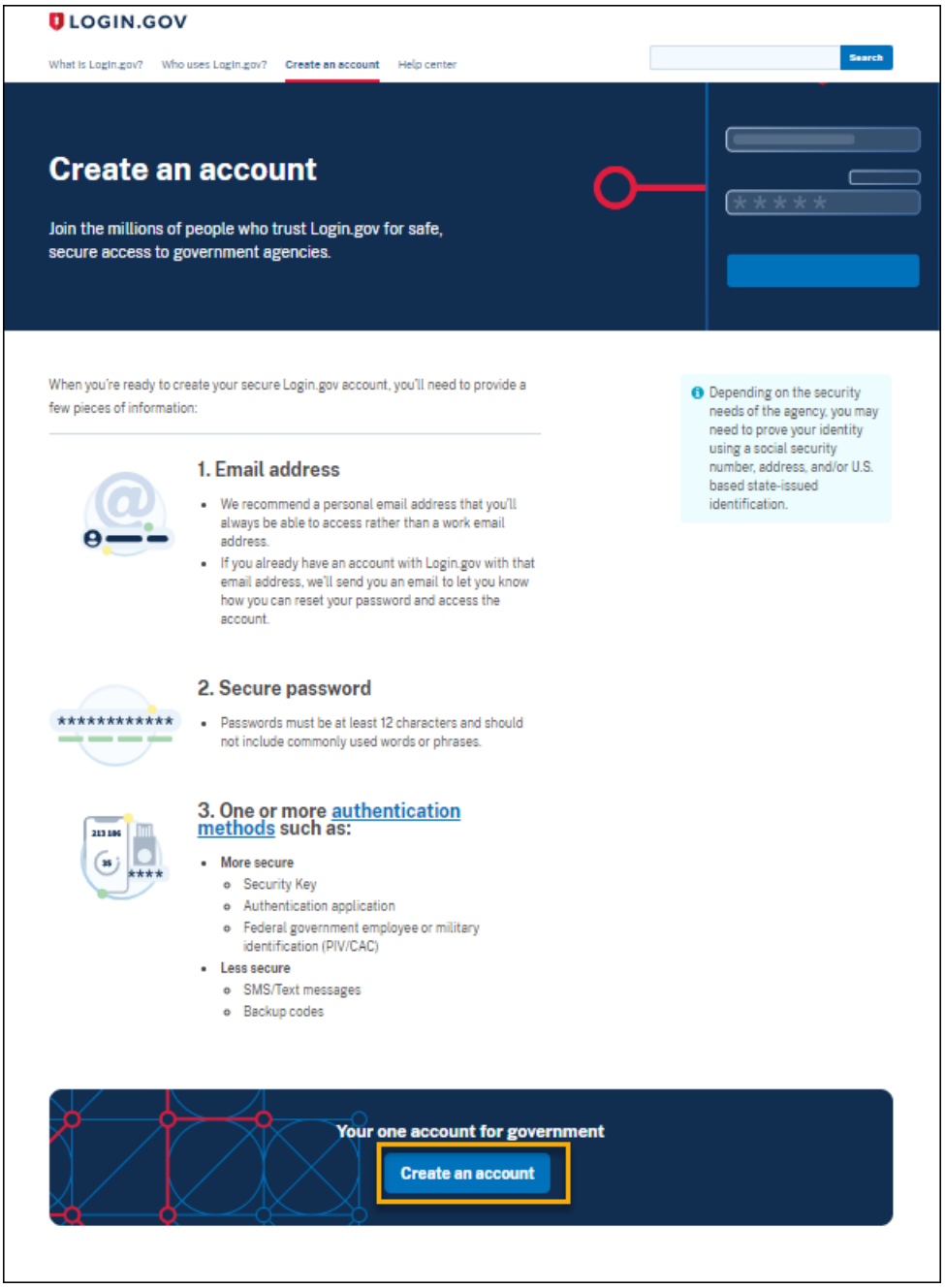


Figure 2: Create an account overview

Step 3	From the overview page, select Create an account. A new page opens requesting you to enter an email address. Make sure to use the same email address if this account is to be linked to an existing eAuth account. The first and last name are not used for account matching but are necessary for enrollment/activation of certain industry administrator roles.

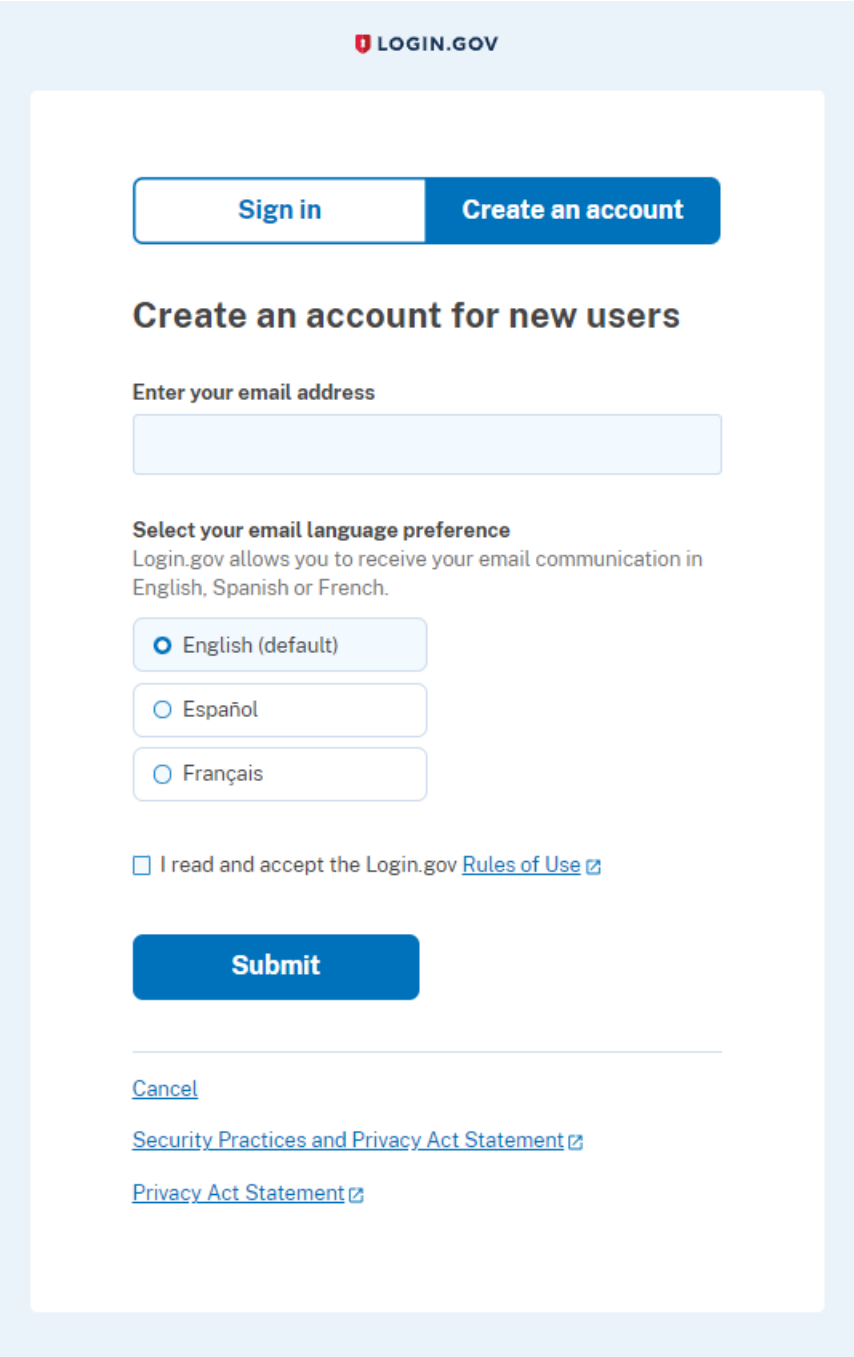


Figure 3: Create an account for new users

Step 4	Enter your email address, select language preference, read and accept Login.gov Rules of Use (https://www.login.gov/policy/rules-of-use/).
Step 5	Select **Submit**. A confirmation message is sent to the email address entered.

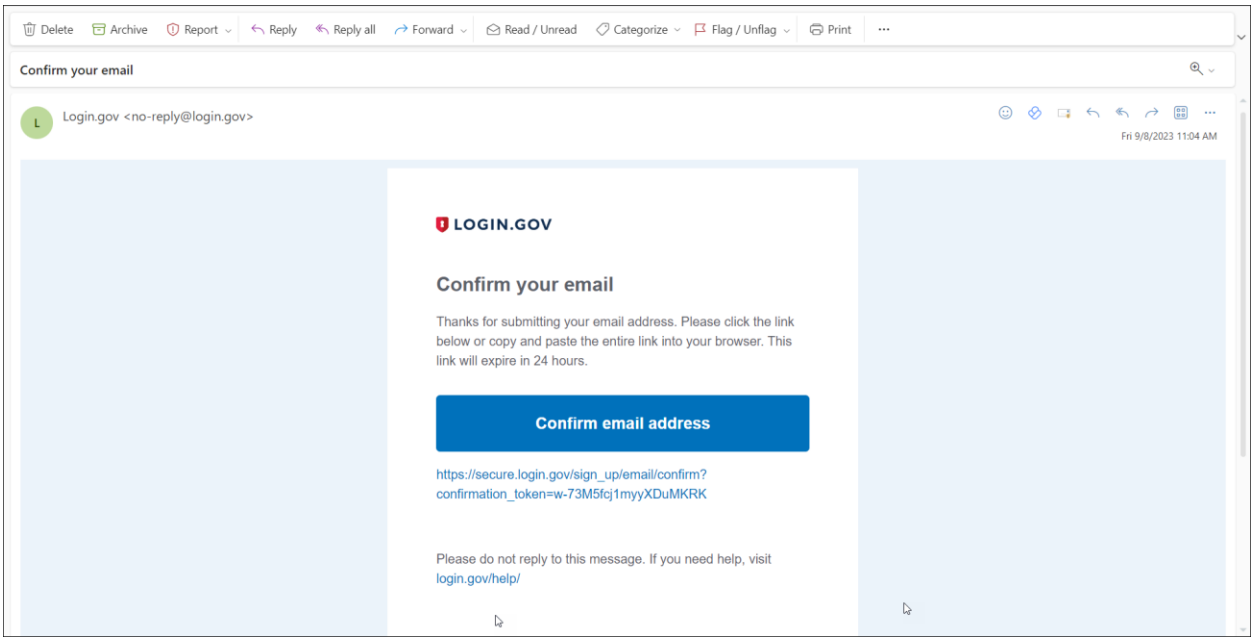


Figure 4: Confirmation email

Step 6	Select Confirm email address Confirmation is displayed with a request to enter a strong password

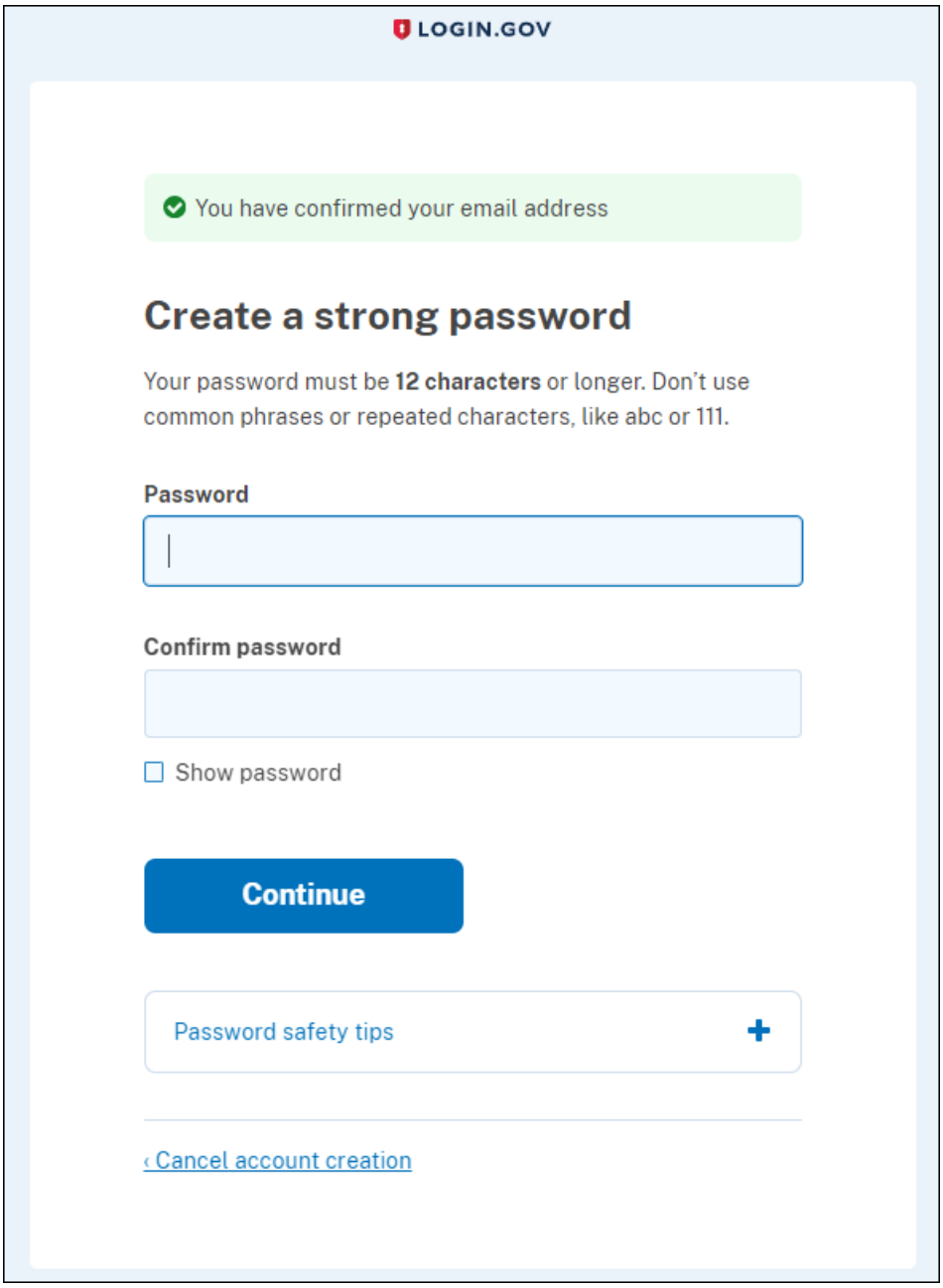


Figure 5: Message confirming verification of email address with create a strong password

Step 7	Enter a password for the account.
Step 8	Select **Continue**. A new window displays indicating that the account registration process is complete.

2.6 Linking to an existing eAuth account

When first accessing an application from Login.gov where eAuthentication was previously used, a page asks if the Login.gov account should be linked to eAuth if there is a possible data match.

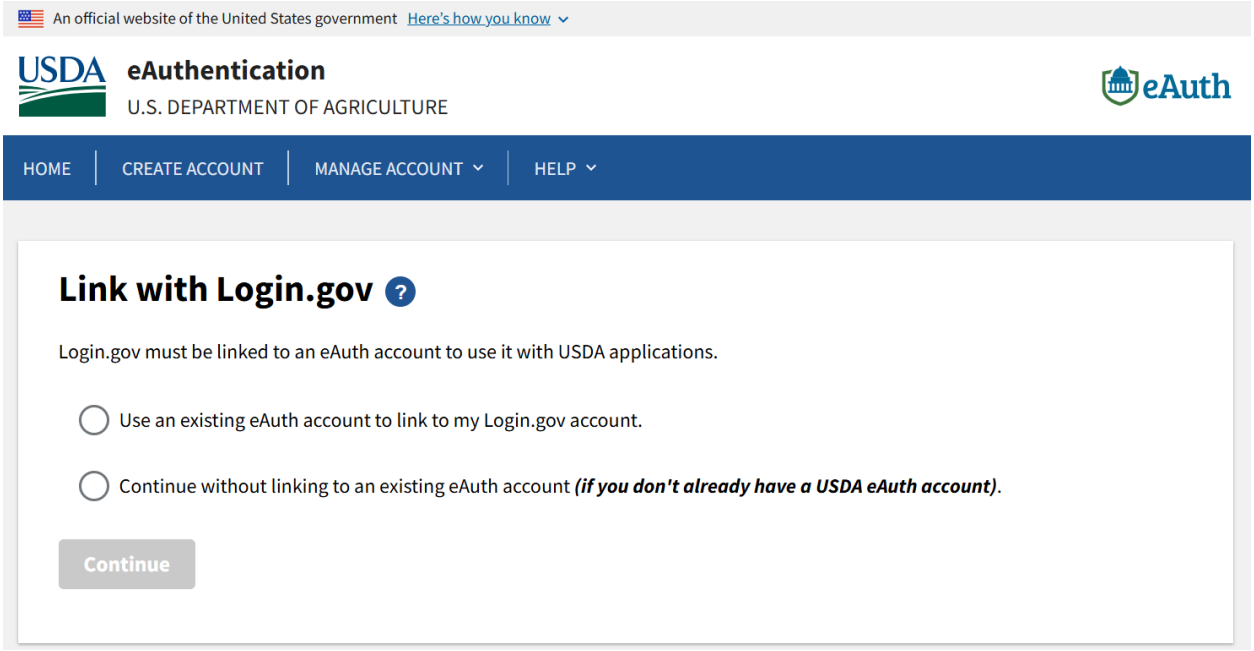


Figure 6: Request to link to an existing eAuth account

Select the appropriate option depending on if there is an existing account to link or if this is a new account connecting to PHIS. The eAuth application then requests the legal name that is to be verified.

Note: if there is a difference between the Login.gov account and the eAuth account being linked, it can cause an issue with the PHIS activation. This could happen because the eAuth identity verification process could have allowed a nickname to be used, whereas the Login.gov process requires the legal name. Also, if the email and name combination does not match the link could end up with the wrong account. If there is a chance that the information does not match, first login to eAuth to confirm the account information. For example, a general email address may have been used for an account initially, but later the company switched to individual emails.

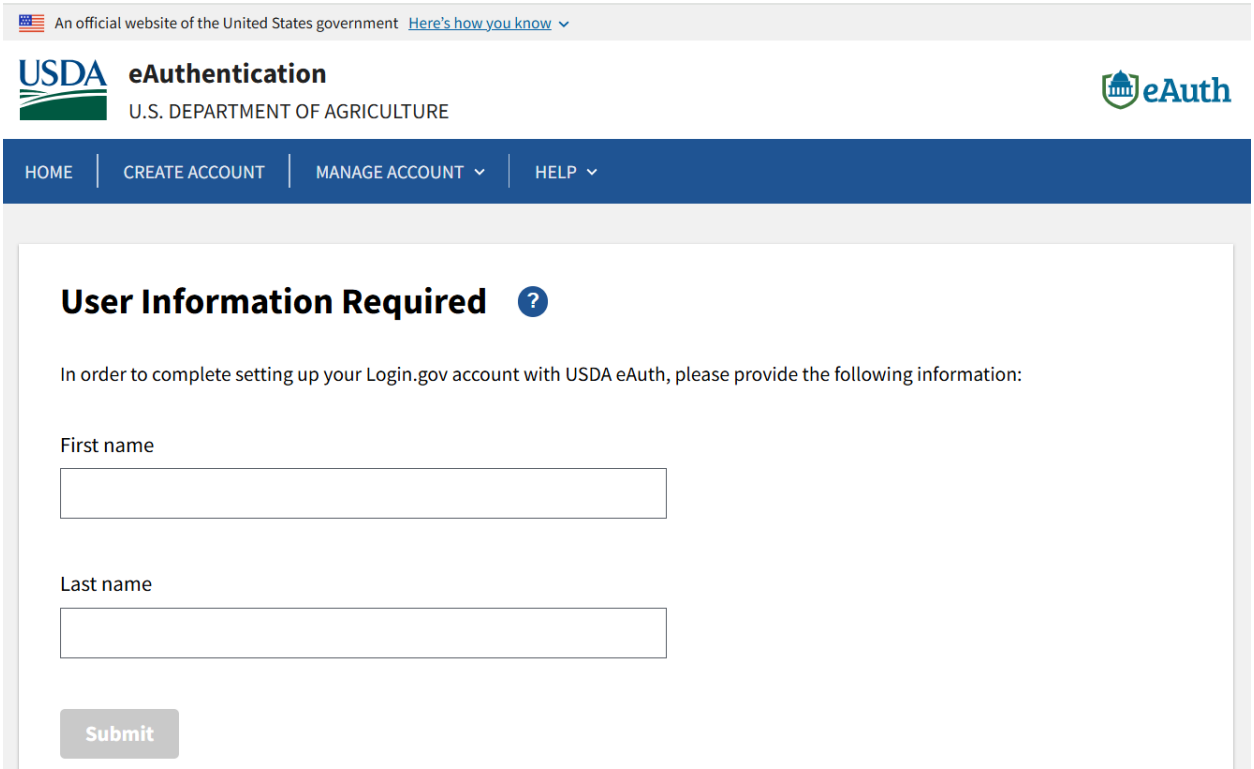


Figure 7: Provide legal name

Note: The identity verification process does not have to happen at a USDA Service Center and can substituted with the self-service identity verification process available at Login.gov. Self-Service Identity Verification allows you to complete the identity verification process online by providing a copy of a government issued photo ID, Social Security number, Phone number and address.

2.7 Performing the Identity Verification Process

To access PHIS, go to https://phis.fsis.usda.gov. If not previously completed, your browser re-directs to the online identity verification page. The options presented are to complete the process online or visit a USDA Service Center.

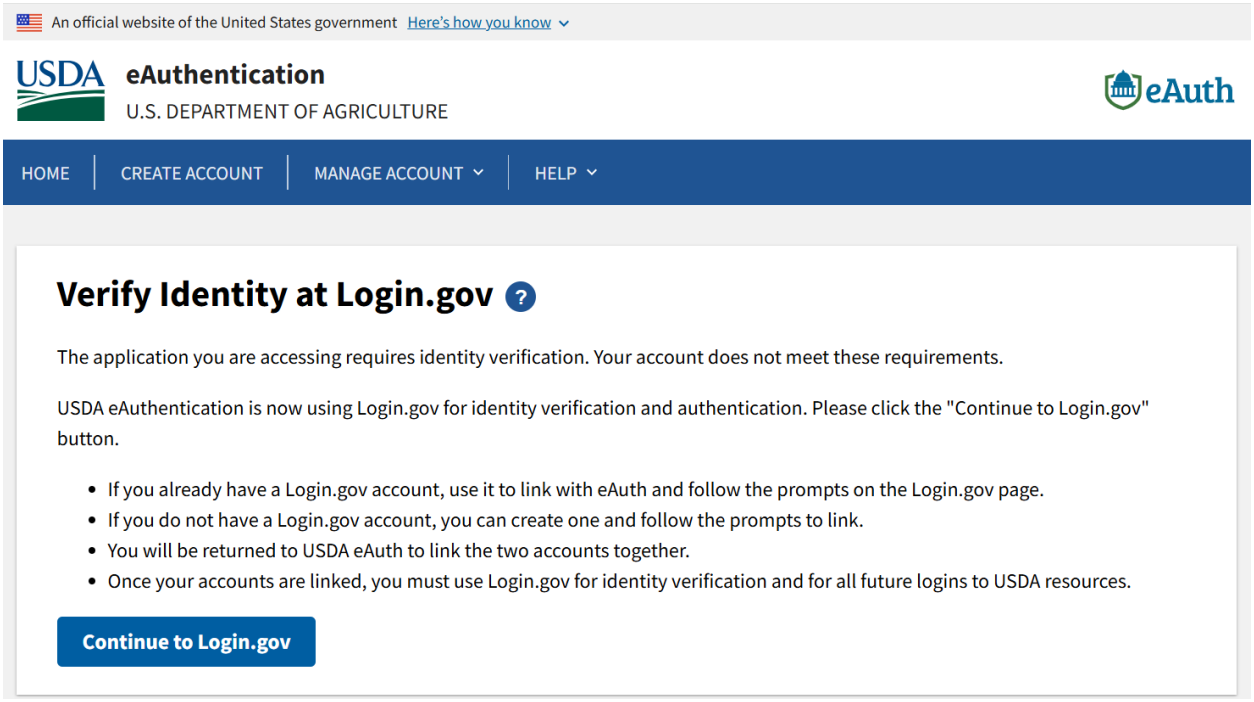
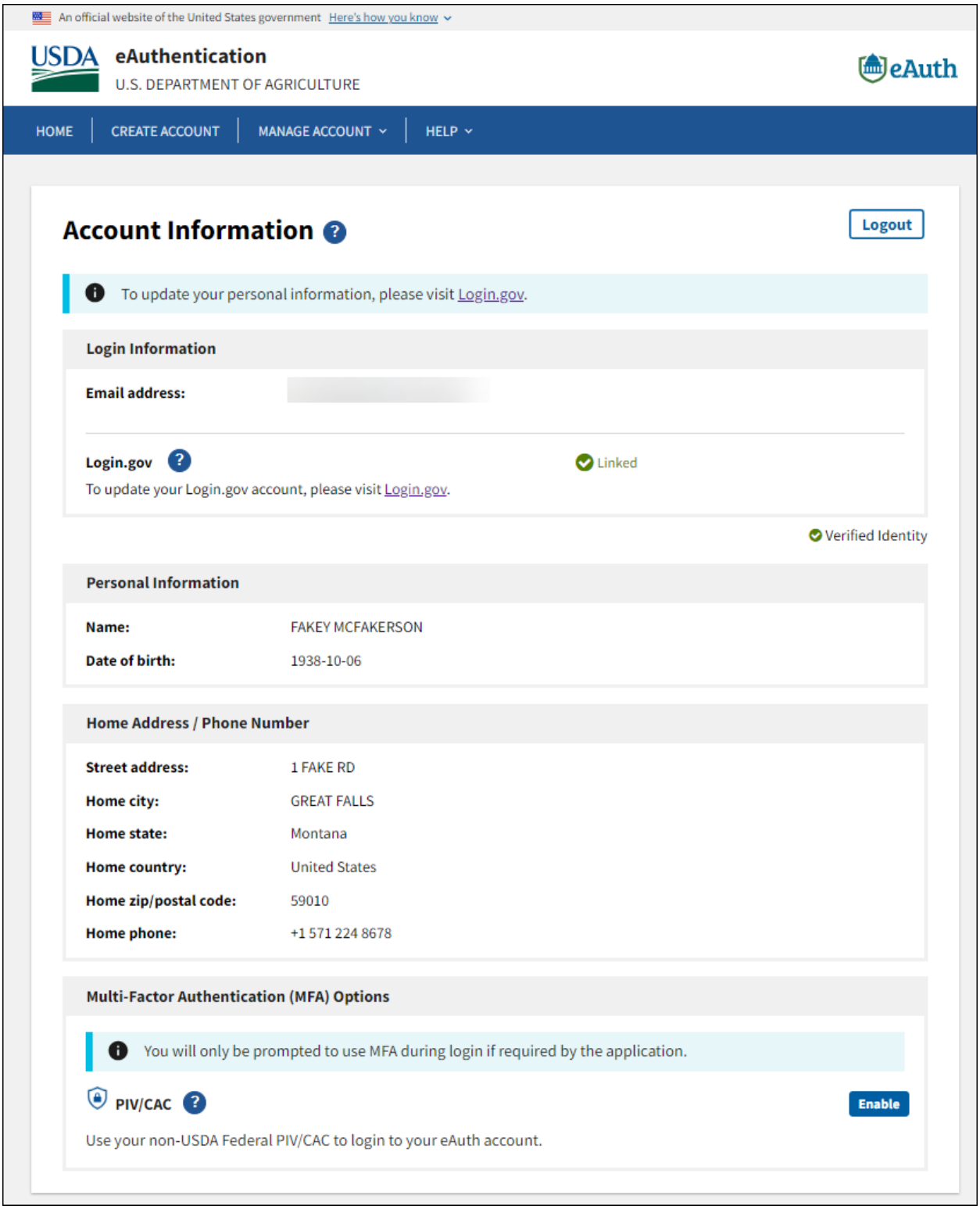


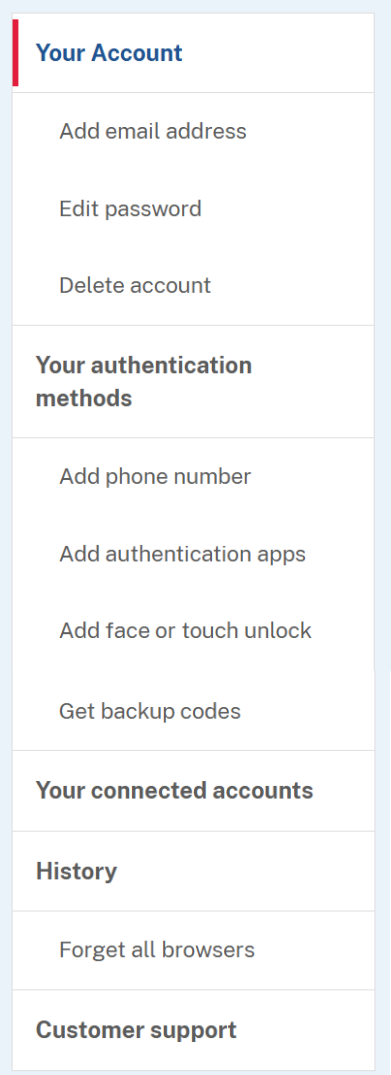
Figure 8: Message account does not meet requirements

Step 1	Select Verify my identity at Login.gov and **Continue** If you have not completed the identity verification process at Login.gov you will be redirected.
Step 2	Select Continue to Login.gov
Step 3	A wizard will take you through steps the following steps. • Verify your ID by uploading and front and back photos of your state-issued (can be completed via a mobile phone or computer). • Enter Social Security number • Verify your identification information Step 4 Verify phone or address (https://www.login.gov/help/verify-your-identity/phone-number/)
Step 5	Once completed, enter your password for account encryption.
Step 6	Personal key will be issued. Copy personal key to a safe place and select **Continue**.
Step 7	Once you have successfully verified your identity, complete the option to connect your verified information to your USDA eAuth-Cert by selecting **Agree and Continue**.
Step 8	Page refreshes to display Account Information verifying your Login.gov account has been linked to your USDA eAuth-Cert


An official website of the United States government Here's how you know
USDA eAuthentication
U.S. DEPARTMENT OF AGRICULTURE
eAuth
HOME
CREATE ACCOUNT
MANAGE ACCOUNT
HELP
Account Information
Logout
To update your personal information, please visit Login.gov.
Login Information
Email address:
Login.gov
Linked
To update your Login.gov account, please visit Login.gov.
Verified Identity
Personal Information
Name: FAKEY MCFAKERSON
Date of birth: 1938-10-06
Home Address / Phone Number
Street address: 1 FAKE RD
Home city: GREAT FALLS
Home state: Montana
Home country: United States
Home zip/postal code: 59010
Home phone: +1 571 224 8678
Multi-Factor Authentication (MFA) Options
You will only be prompted to use MFA during login if required by the application.
PIV/CAC
Enable
Use your non-USDA Federal PIV/CAC to login to your eAuth account.

2.8 Login.gov Profile

Once a Login.gov account has been started, a profile is created. There are pages to add and manage email addresses or the account can be deleted. Authentication methods can be changed or added. There is a view to see what the account is connected to.



2.9 Logging in to PHIS

To access PHIS, go to https://phis.fsis.usda.gov. Your browser re-directs to the eAuthentication Login page (Figure 9).

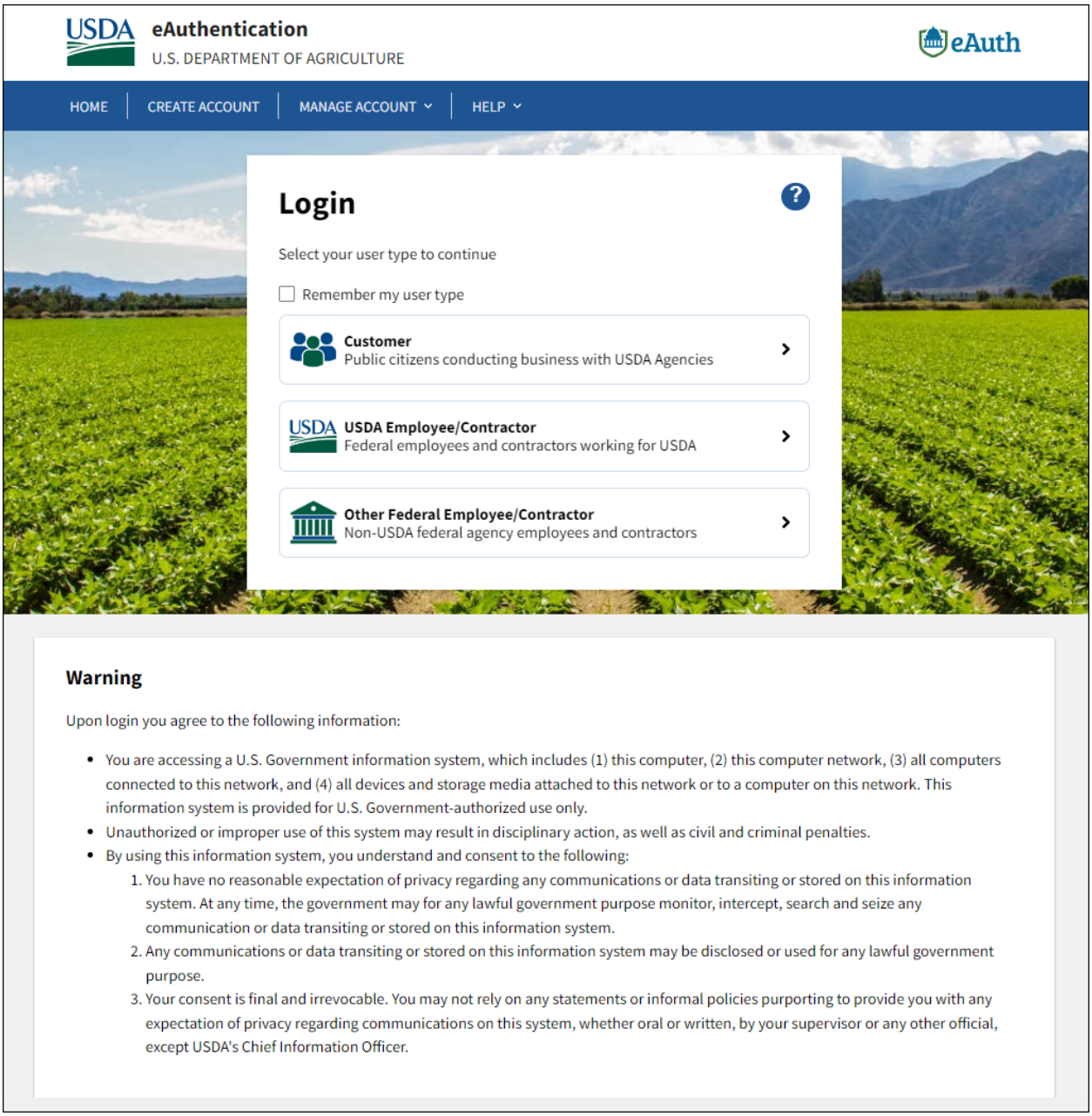
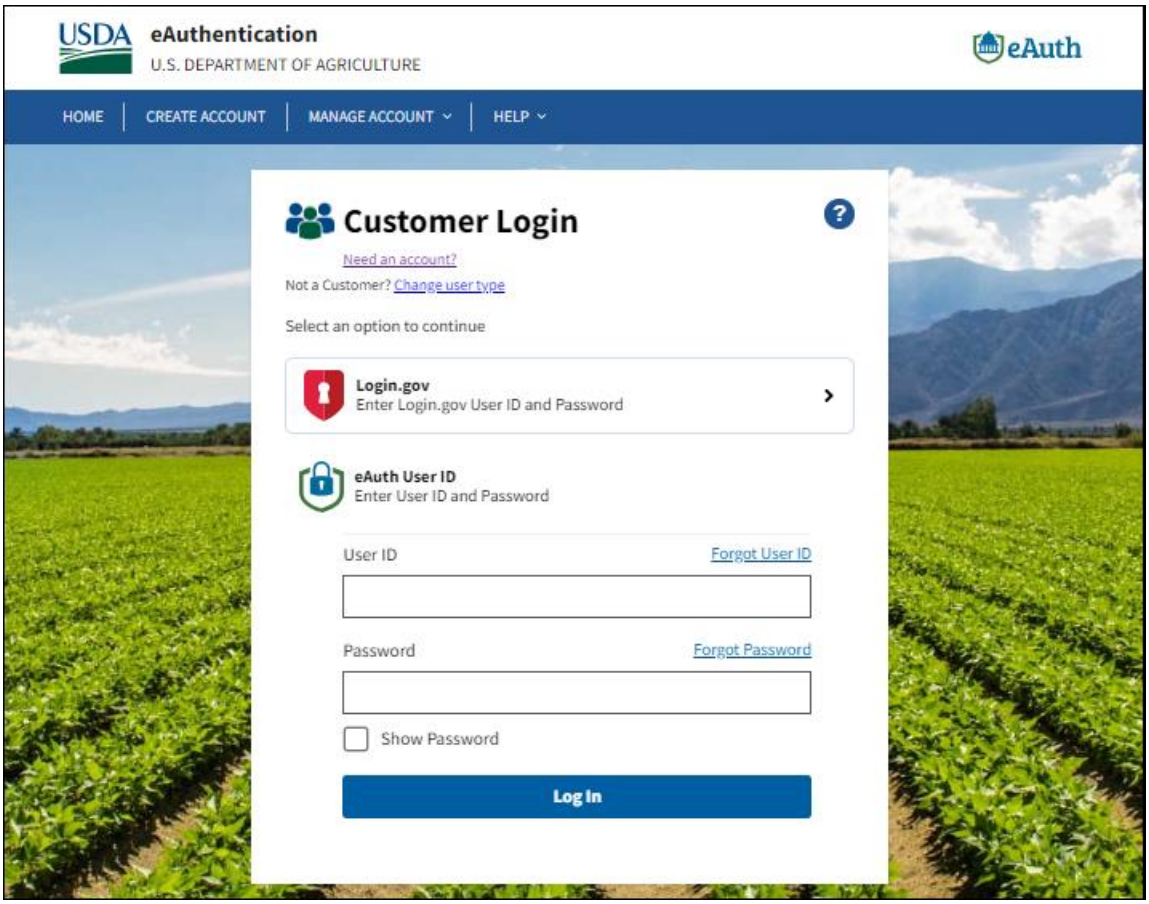


Figure 9: Login page

Step 1	Select Customer If your account was created after 9/11/2023, enter your Login.gov User ID and Password. (see 2.6, Step 7 to link your Login.gov account to USDA eAuth) If your account was created prior to 9/11/2023, you can continue to user your eAuth User ID and Password until the transition to Login.gov is complete.



Step 2	Select Log In

The Login.Gov and 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 10: USDA eAuthentication Consent

2.10 PHIS User Interface Overview

The Home page for a user with the Plant Management role is labeled in Figure 11. It incorporates many features that are standard across many USDA websites.

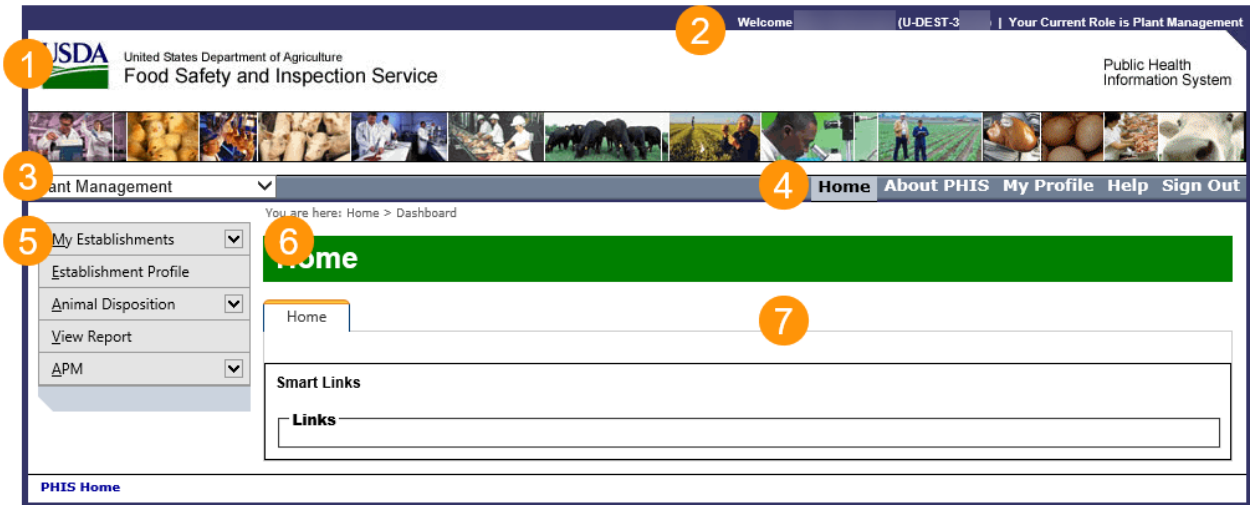


Figure 11: PHIS User Interface

Table 1: PHIS User Interface Attributes

Item	Name	Notes	
1	Banner	This banner appears on all USDA web pages.	
2	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.	
3	Role	Displays your current role. If you have multiple roles, use this drop-down list to change roles.	
4	PHIS Menu Bar	**Home**	Navigates to the PHIS Home page.
		About PHIS	Provides an overview of PHIS.
		My Profile	Displays your account profile.
		Help	Provides access to online PHIS support resources.
		Sign Out	Exits PHIS.
5	Menu	Appears on most PHIS pages; menu options depend upon user role.	
6	Page Header	Appears on every PHIS page; indicates the functionality displayed in the context area. Includes a path (bread crumbs) that shows the page navigation followed to reach the current page and allows you to navigate back to previous pages.	

Item	Name	Notes
7	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.

2.11 Menu

The 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 Menu may implement a hierarchy of links and selecting on an item in the 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.

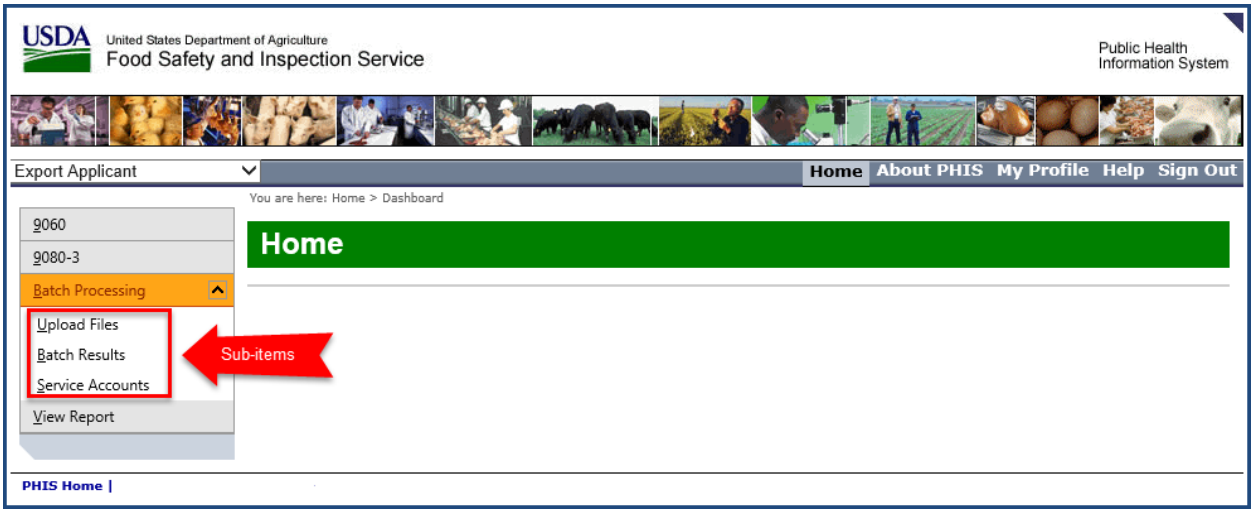


Figure 12: Menu

2.12 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 Menu.

Figure 13 provides an example of the Home Page as seen by a user with the Plant Management role.

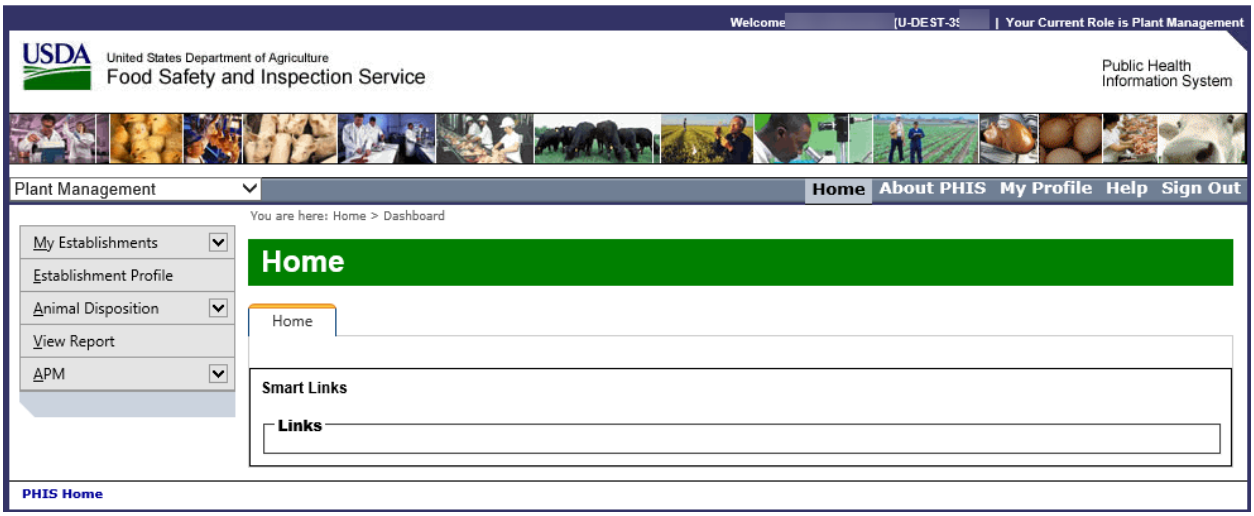


Figure 13: PHIS Home Page Example: Plant Management Role

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 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. The enrollment 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 and remove 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 when accessing the PHIS Enrollment page. They can then select the FSIS Dashboard link to open PHIS.

If matching contact record(s) exist or 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.

If a user submits an enrollment request and no Establishment Administrator or Corporate Administrator is associated to the establishment, the user will be notified that there is no Administrator available to approve their request.

Table 2 describes each role and its associated functionality.

Table 2: Roles and Functions

Role	Functionality

Establishment Administrator	• Search for existing users associated with their associated establishment(s).
	• Update the following details for establishment users.
	  o Salutation
	  o Display Name
	  o Credentials
	  o Work Phone
	  o Mobile Phone
	  o Fax
	• View enrollment requests for their associated establishment(s).
	• Approve enrollment requests for their associated establishment(s).
	• Add roles to users associated with their related establishment(s).
	• Revoke roles from users associated with their related establishment(s).
	• Inactivate user accounts associated with their related establishment.
	Note: To permanently remove access to an establishment go to section 3.1.2.5 Establishment Administrator: How to Remove a Role.
	• The FSIS Inspection Program Personnel (IPP) can assign up to three Establishment Administrators when provided names and emails by the establishment. An Establishment Administrator can assign an additional 10 Establishment Administrators per establishment.
	• Assign up to 10 Plant Management users per establishment.

Role	Functionality
Corporate Administrator	• Search for users associated with their establishments. • View enrollment requests associated with their establishments. • Approve enrollment requests associated with their establishments. • Add roles to users associated with their establishments. • Revoke roles from users associated with their establishments. • Deactivate user accounts associated with their establishments. • Assign up to 10 Corporate Administrators per establishment. • Assign up to 10 Plant Management users per establishment • View reports for any associated establishment. • All functionality of the Plant Management role. • All functionality of the Export Applicant role.
Plant Management	• Respond to noncompliance records (NRs). • Appeal NRs. • View and respond to Memorandum of Interview (MOI) records. • View, generate, print, and save pre-defined reports. • Manage facility contacts. • Link the establishment to a corporate entity. • 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	• 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 on the number of Export Applicant users per establishment.

Role	Functionality
Export Broker	• 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. Note: The Export Broker role is not associated with any specific establishment.

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. To add the first user with the Establishment Administrator role to an establishment, 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 the associated 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	Open a web browser and go to https://phis.fsis.usda.gov/enrollment/.
Step 3	Log in to PHIS with your eAuthentication user ID and password.
Step 4	If PHIS identifies one or more matching contact record(s), PHIS displays a link to Open FSIS Dashboard (Figure 14); 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.

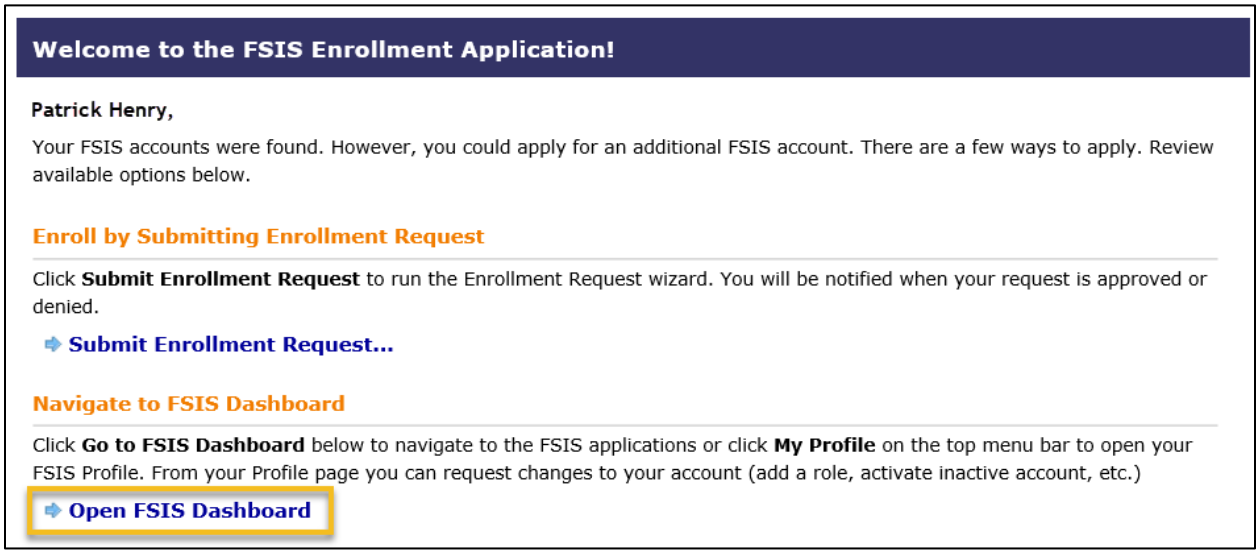


Figure 14: FSIS Enrollment Welcome page

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 through the enrollment page, https://phis.fsis.usda.gov/enrollment/. As long as a related Contact record is still associated with the Establishment in PHIS, the user should see an option to reactivate 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.

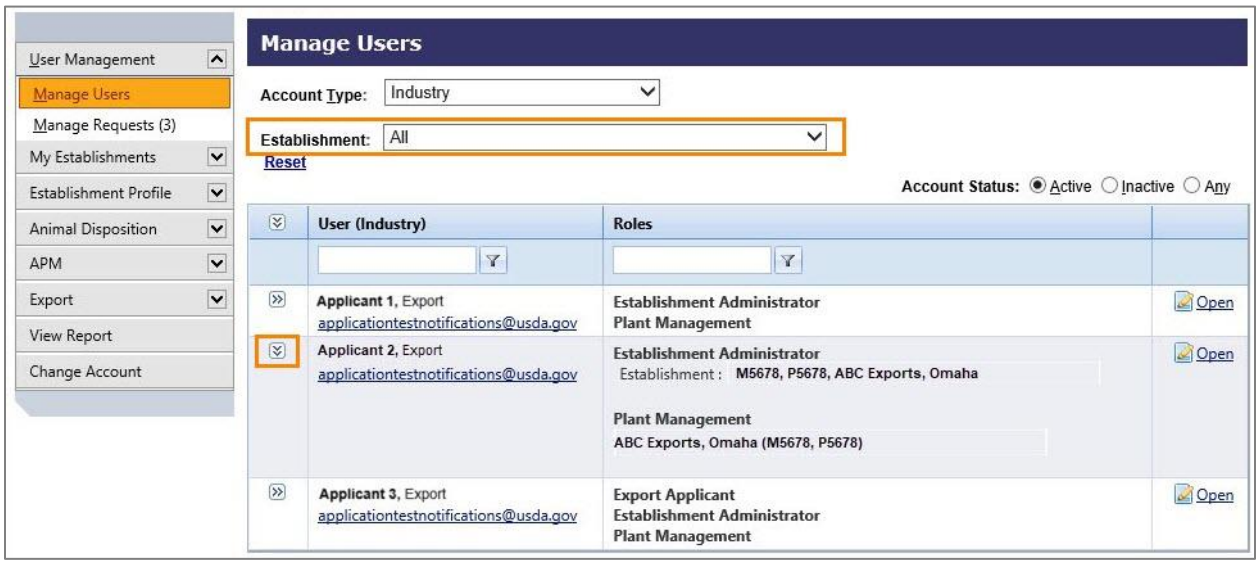


Figure 15 Manage Users: Sort by Establishment and Expand Records

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 menu, select **Manage Requests.**
Step 3	Select **Edit** next to the Enrollment request you want to review. The Request page (Figure 16) 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.

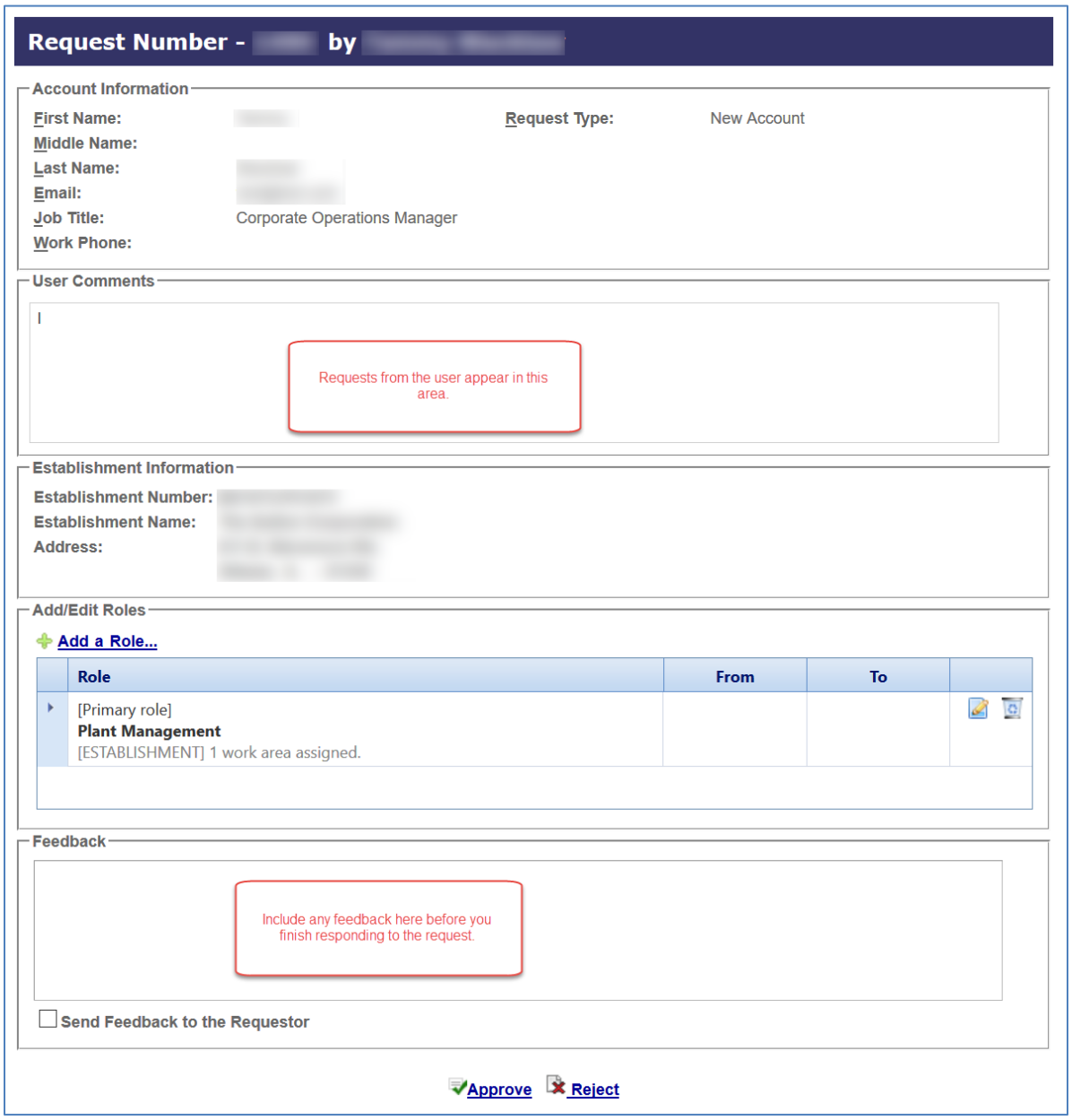


Figure 16: Review Requests page

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 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 17).

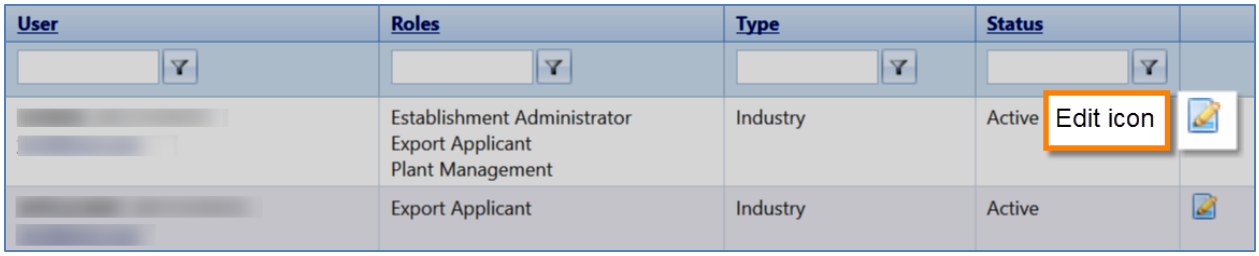


Figure 17: Edit icon

Step 4	Select the Roles tab.
Step 5	Select **Add a Role** (Figure 18).

Figure 18: 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 19).

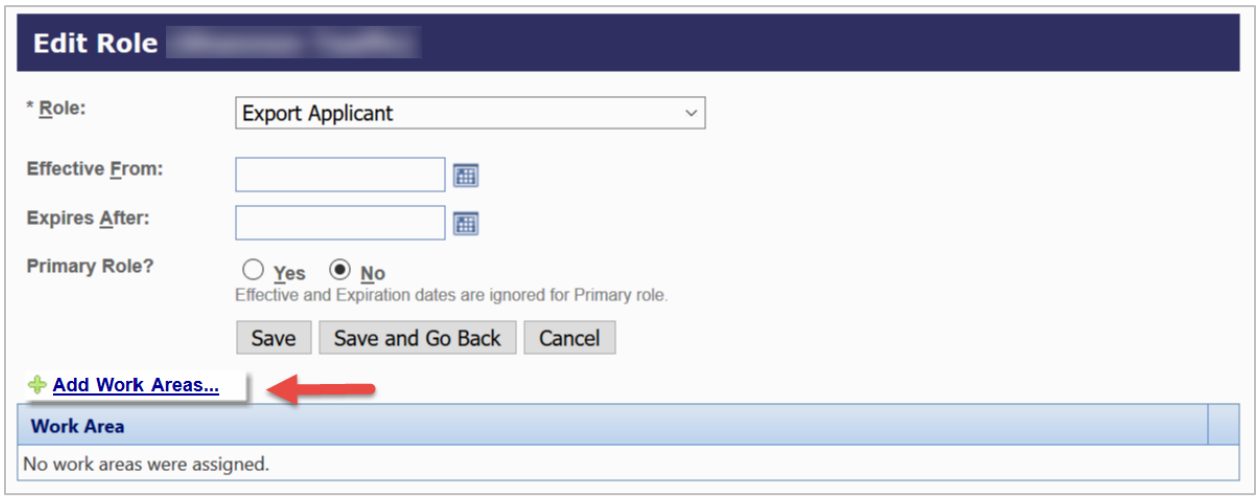


Figure 19: Edit Role page

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. All the fields on the Personal Information tab are optional.
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 20).

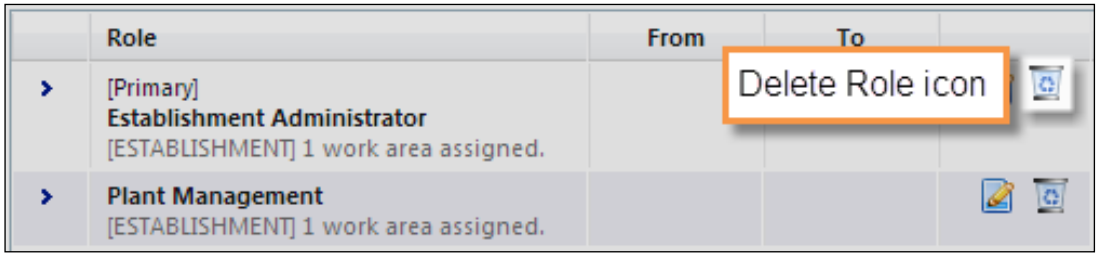


Figure 20: Delete Role icon

Step 6	On the confirmation dialog box, select **OK**.

Note: If the user has work areas where the logged in Administrator is not associated, then the role cannot be deleted. The individual Work Areas will need to be deleted.

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 displays a link to Open 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.**

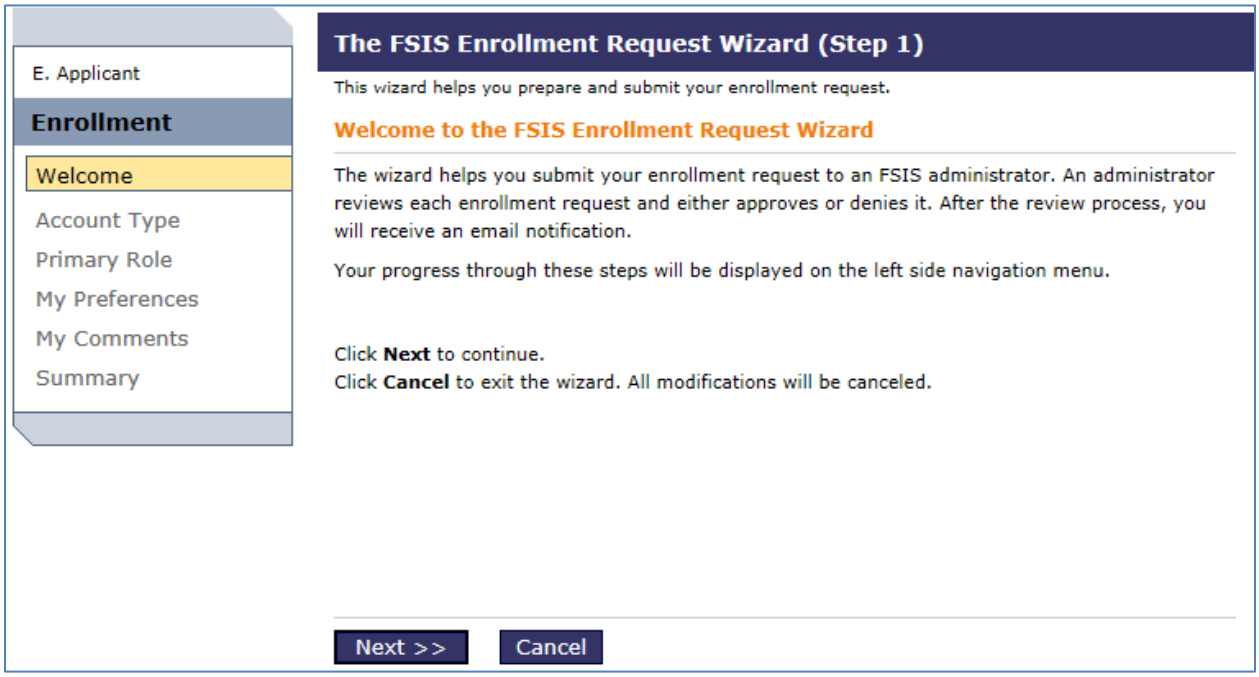


Figure 21: FSIS Enrollment Request Wizard

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**.

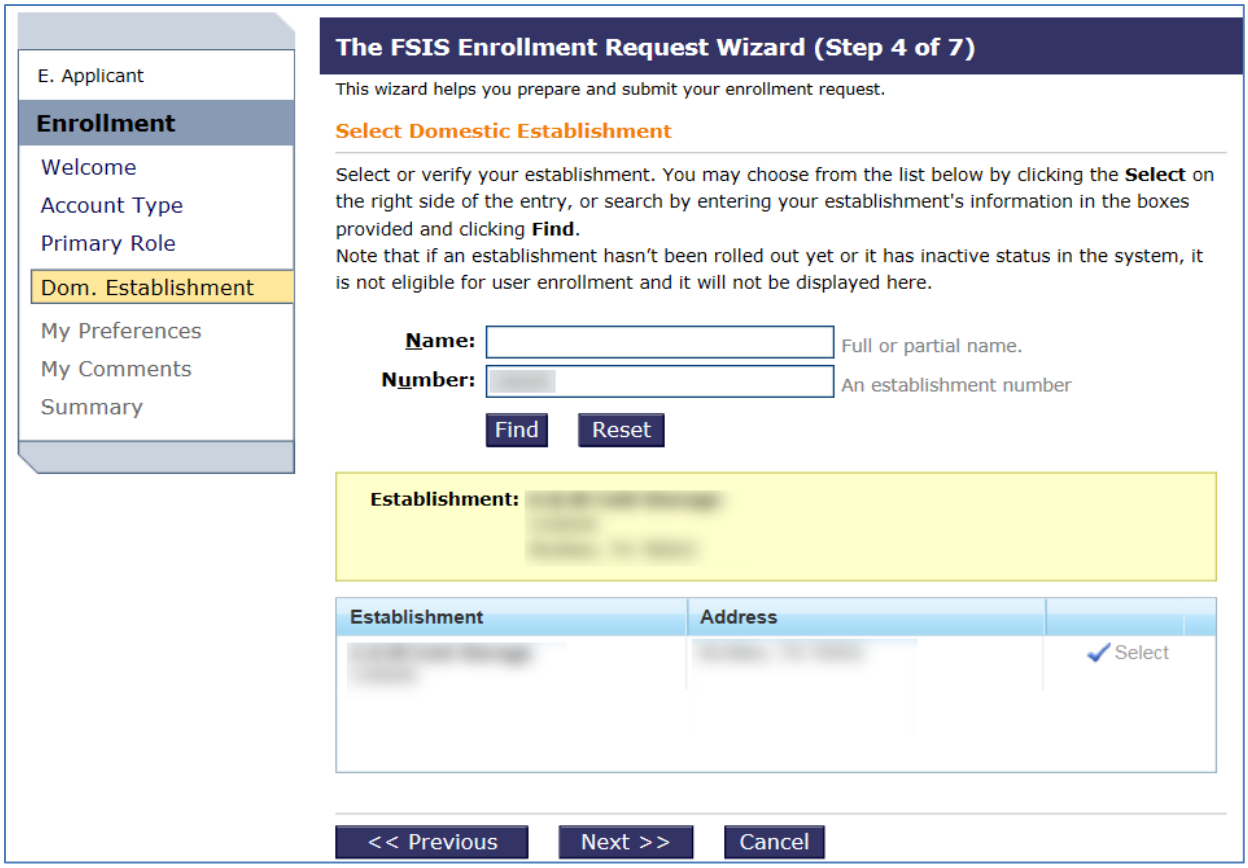


Figure 22: Select Domestic Establishment feature

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 23).

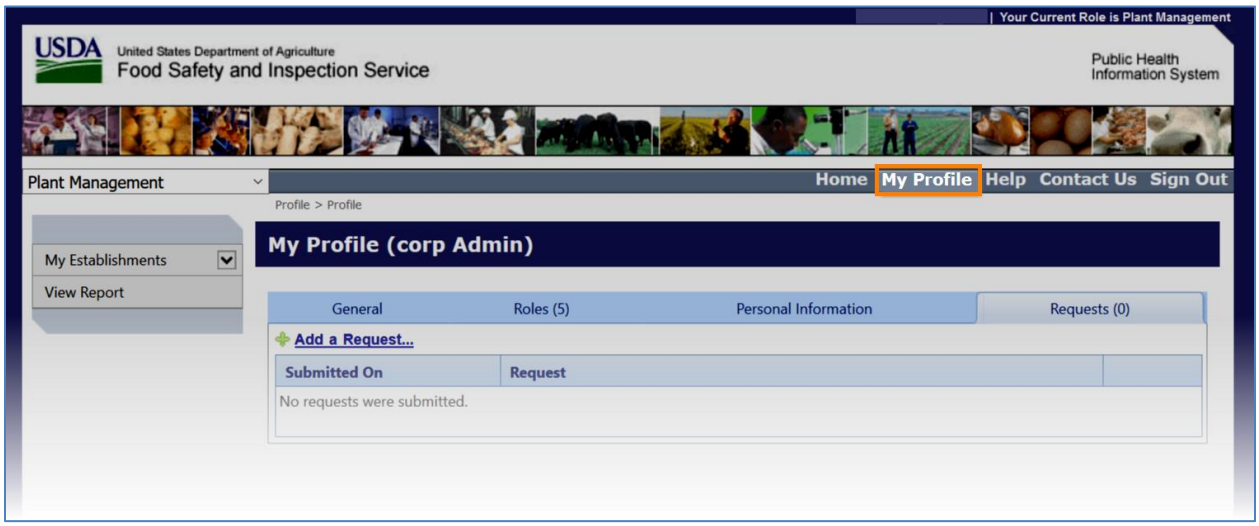


Figure 23: My Profile

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.**

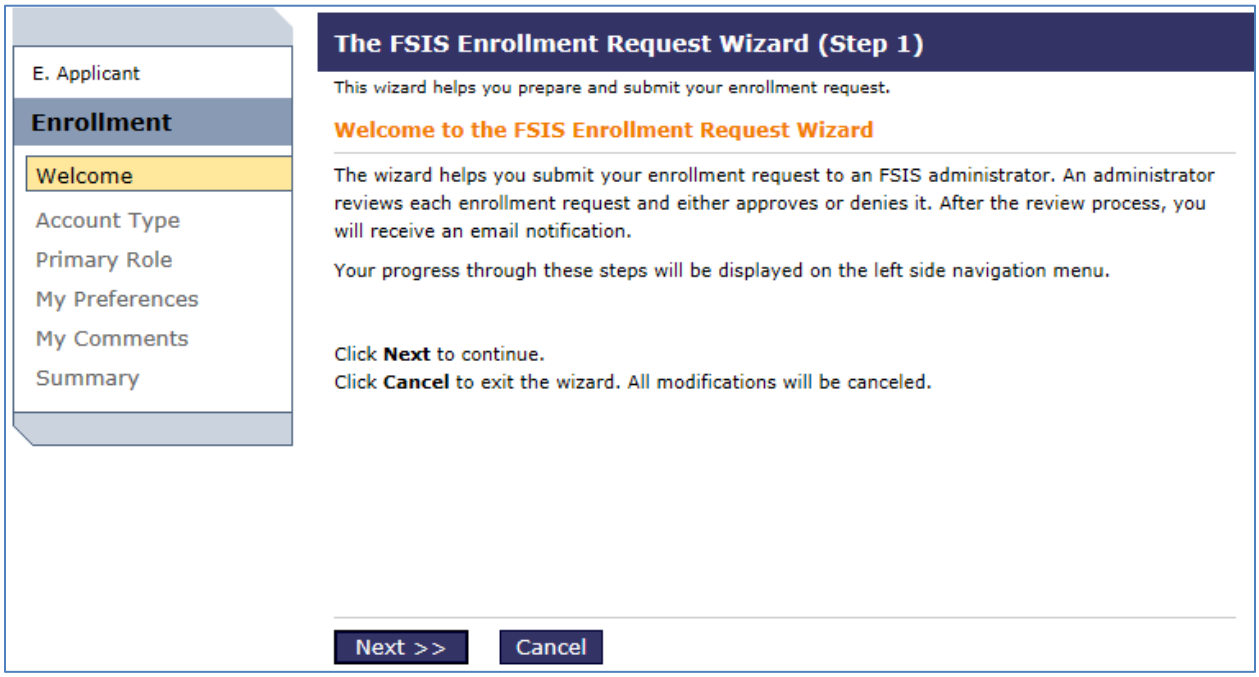


Figure 24: FSIS Enrollment Request Wizard

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**

Step 9	Choose **Select** next to the Establishment and select **Next**

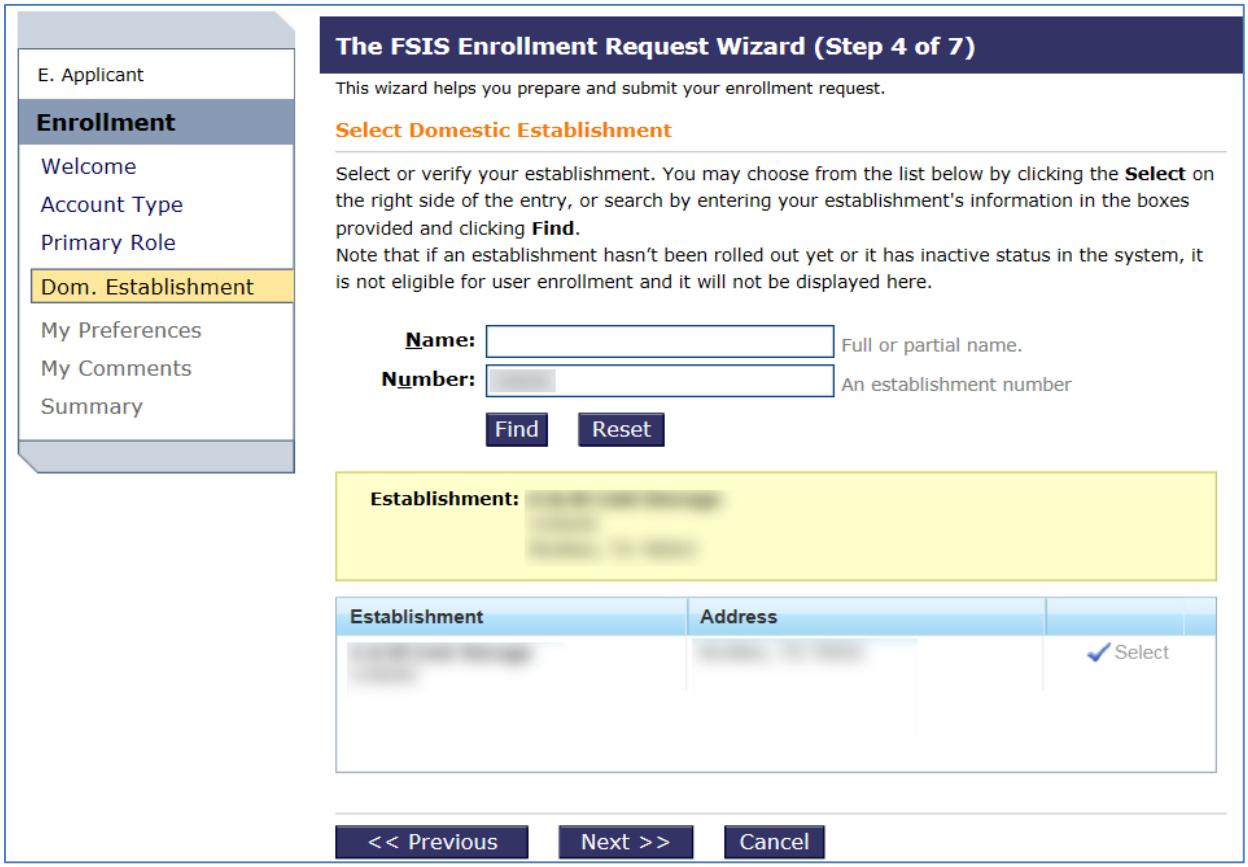


Figure 25: Select Domestic Establishment feature

Step 10	On the Step 5 page, complete optional user account information and select **Next.**
Step 11	On the Step 6 page, add optional comments and select **Next.**
Step 12	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 23).

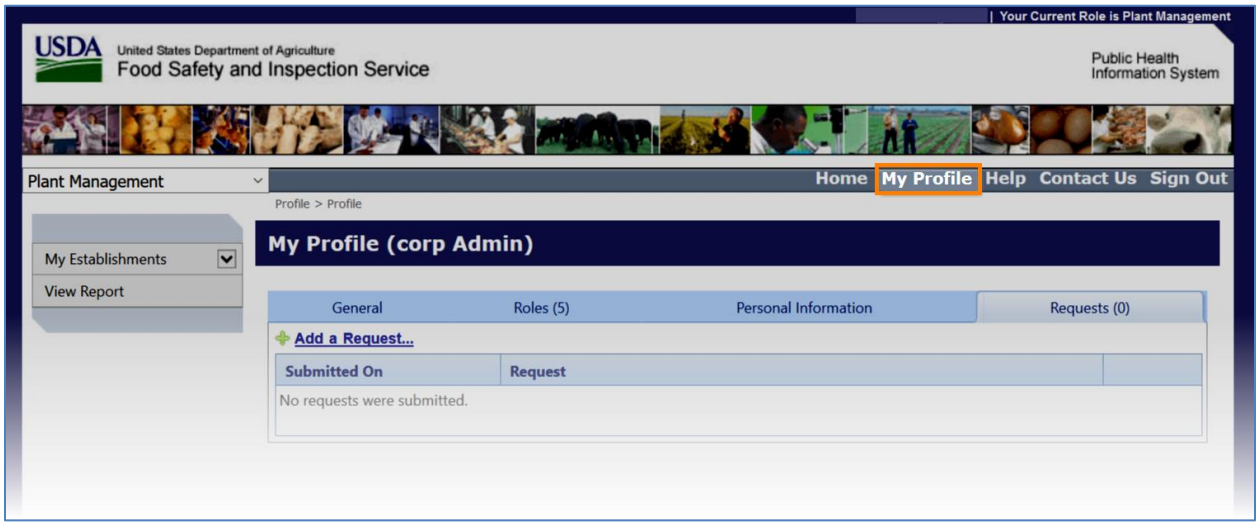


Figure 26: My Profile

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.**

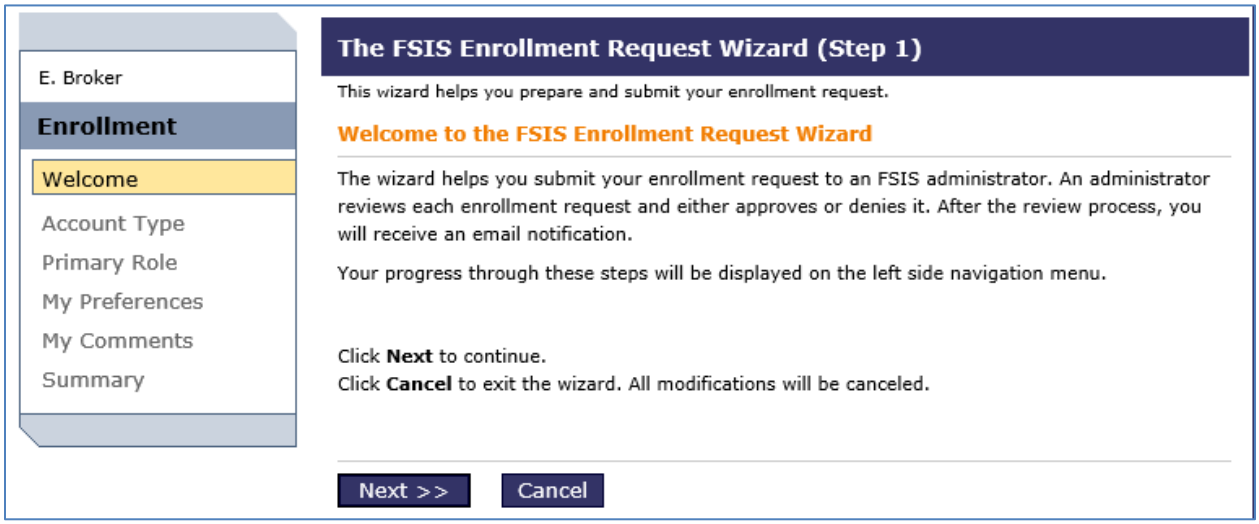


Figure 27: FSIS Enrollment Request Wizard

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

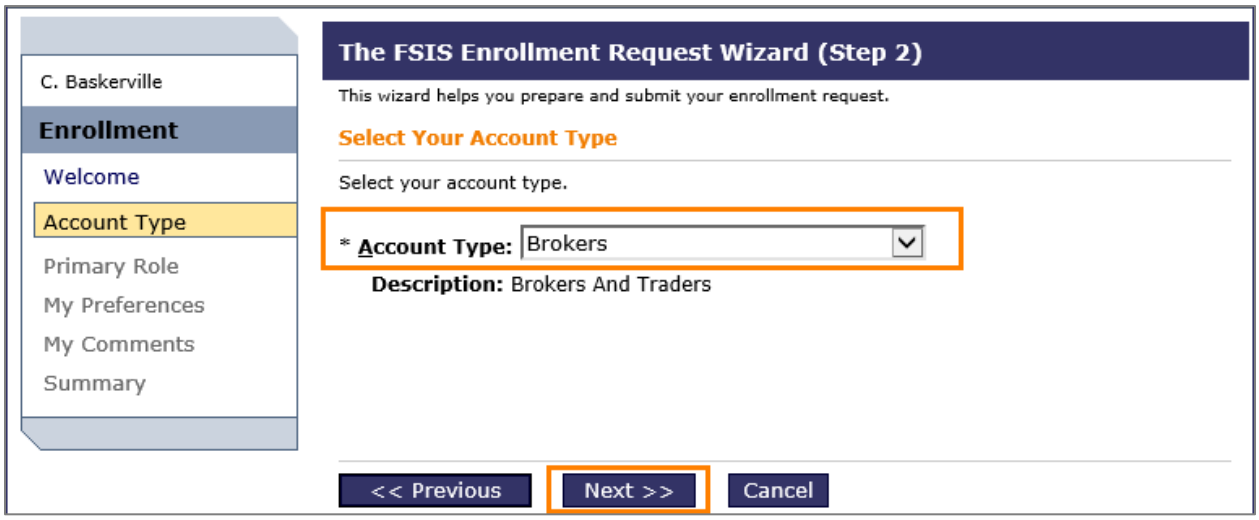


Figure 28: Enrollment Wizard select Account Type

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

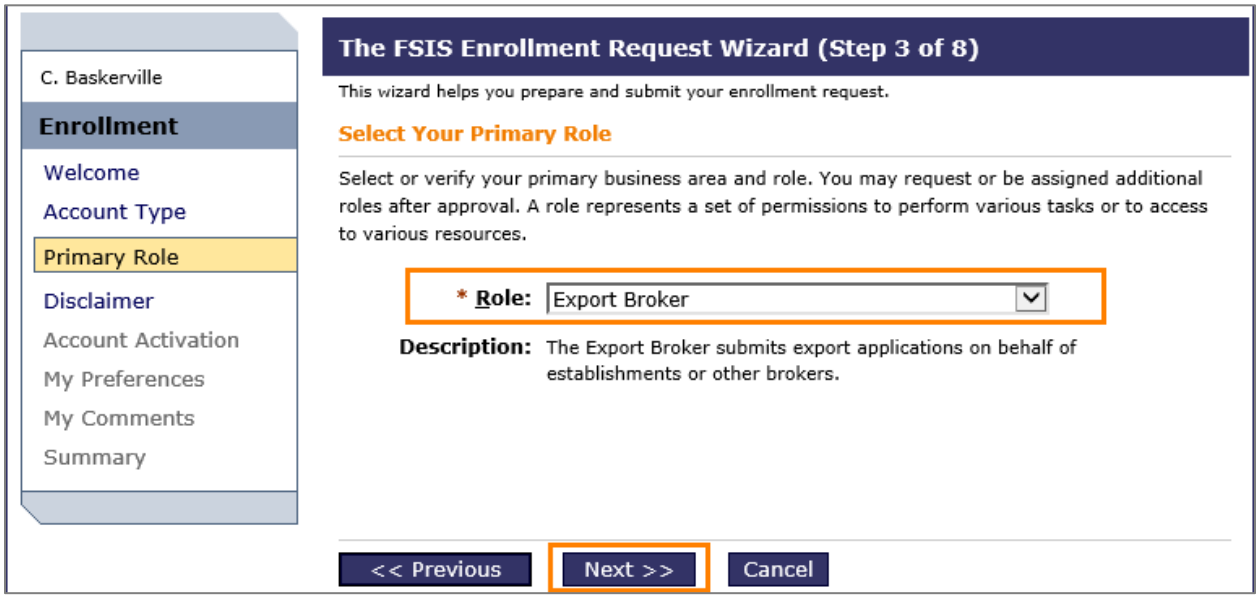


Figure 29: Enrollment Wizard select Role

Step 7	On the step 4 page, Disclaimer page (Figure 30), read the disclaimer and select the checkbox next to I Agree.
Step 8	Select **Next**.

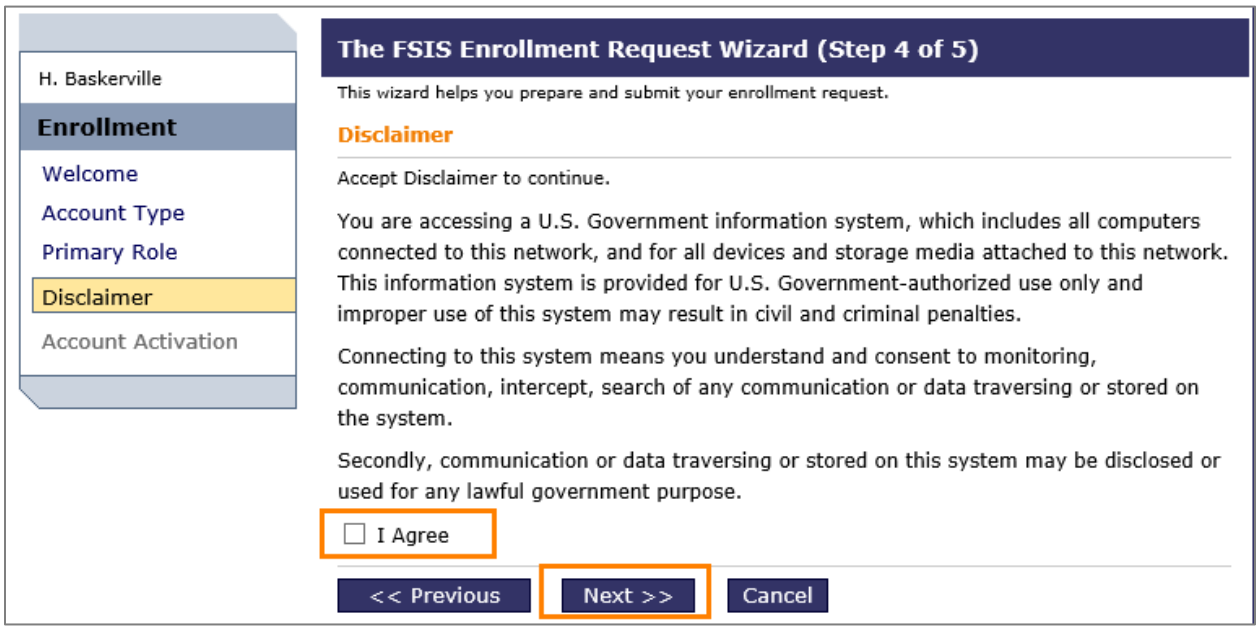
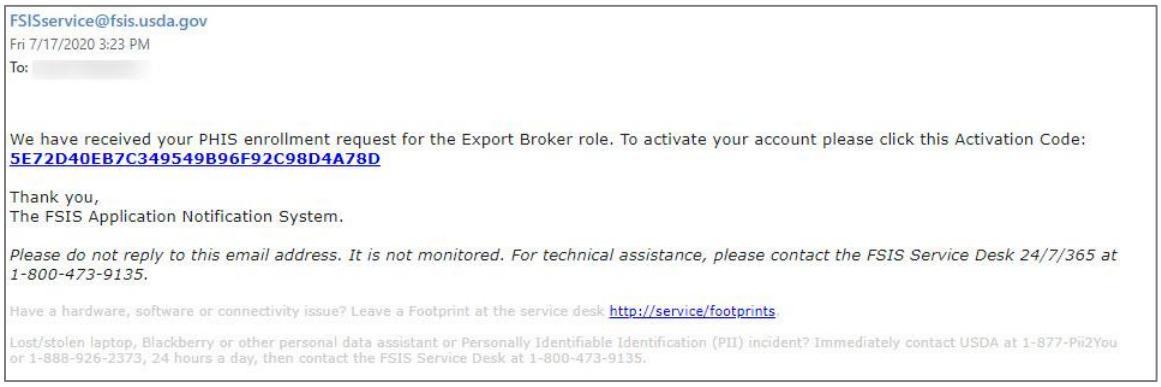


Figure 30: Enrollment Wizard Disclaimer

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 31: Enrollment Wizard notification and Activation Code field

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



FSISservice@fsis.usda.gov
Fri 7/17/2020 3:23 PM
To:

We have received your PHIS enrollment request for the Export Broker role. To activate your account please click this Activation Code:
5E72D40EB7C349549B96F92C98D4A78D

Thank you,
The FSIS Application Notification System.

Please do not reply to this email address. It is not monitored. For technical assistance, please contact the FSIS Service Desk 24/7/365 at 1-800-473-9135.

Have a hardware, software or connectivity issue? Leave a Footprint at the service desk http://service/footprints.

Lost/stolen laptop, Blackberry or other personal data assistant or Personally Identifiable Identification (PII) incident? Immediately contact USDA at 1-877-Pii2You or 1-888-926-2373, 24 hours a day, then contact the FSIS Service Desk at 1-800-473-9135.

Figure 32: 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 From the menu to allow the user to switch back and forth from one account to another, Corporate ↔ LSAS Submitter (Figure 33). Once you select the Change Account menu option, PHIS displays the Change Session Account page (Figure 34) and you can choose from the available Account type options available.

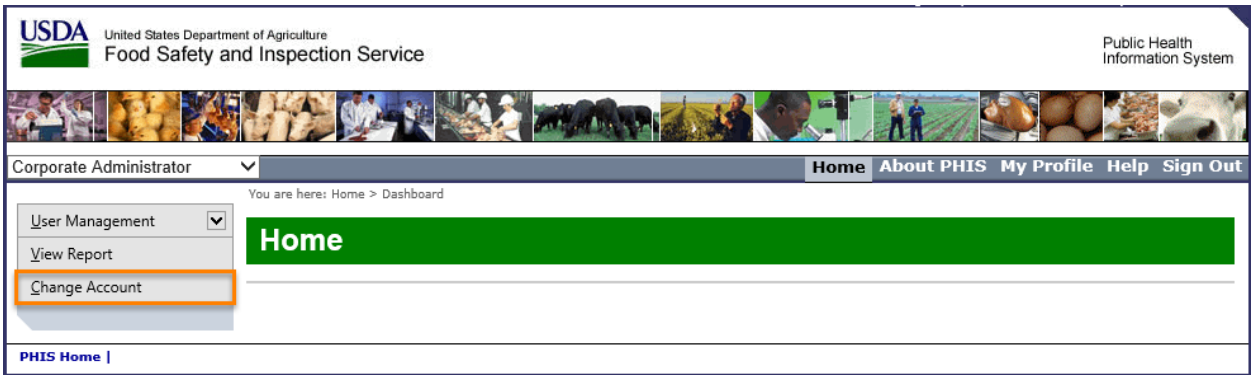


Figure 33: Change Account

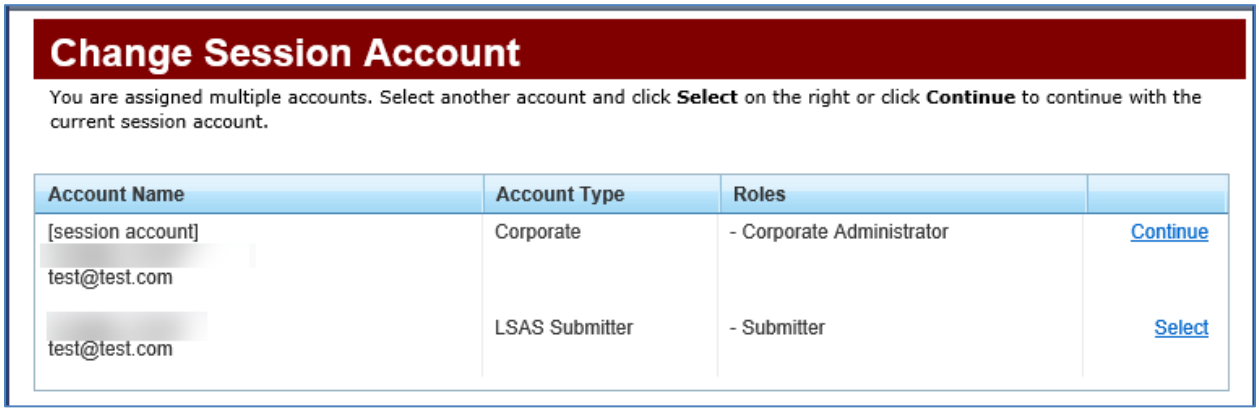


Figure 34: Change Session Account

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 these 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 in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select **My Establishments > Select Establishment.**
Step 3	On the Domestic Inspection - Select Establishment page, select the appropriate establishment

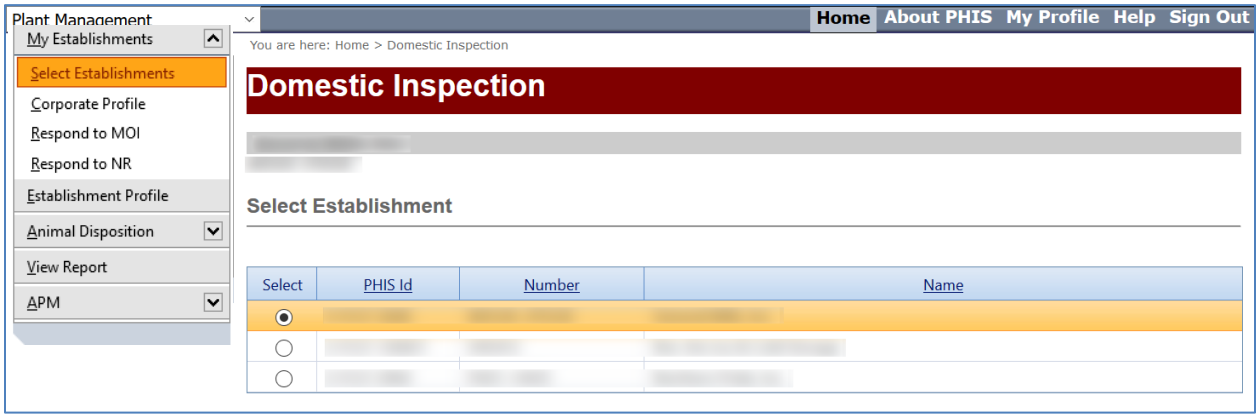


Figure 35: Domestic Inspection - Select Establishment page for Plant Management

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

Figure 36: 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 option.

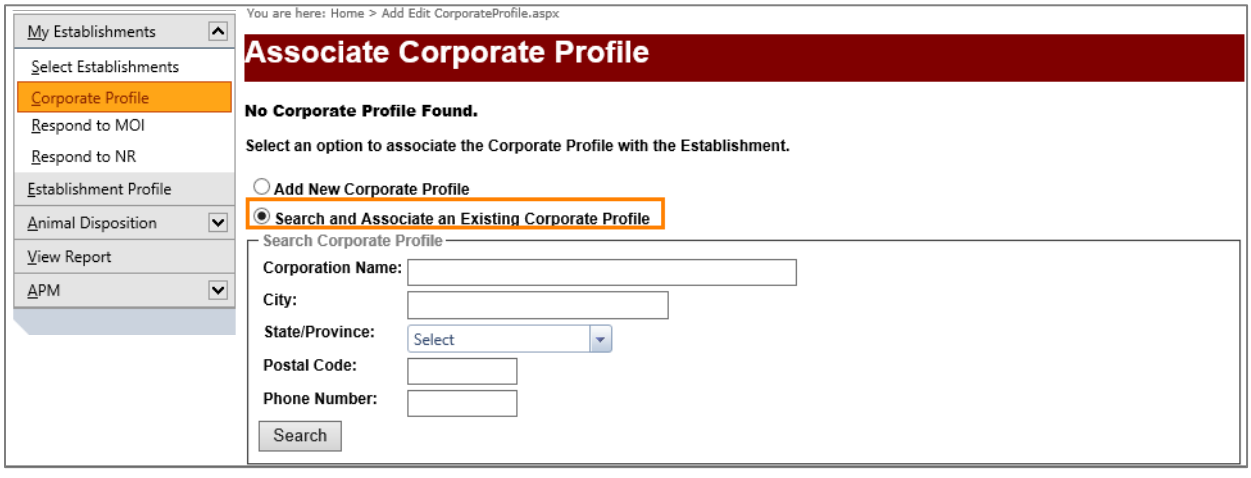


Figure 37: Associate Corporate Profile page with Search Option Selected for Plant Management

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

Figure 38: Associate Corporate Profile page for Plant Management

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 39: Corporate Profile page for Plant Management

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

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select **My Establishments > Select Establishment.**
Step 3	On the Domestic Inspection - 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 Respond to a Memorandum of Interview

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select **My Establishments > Select Establishment.**
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.

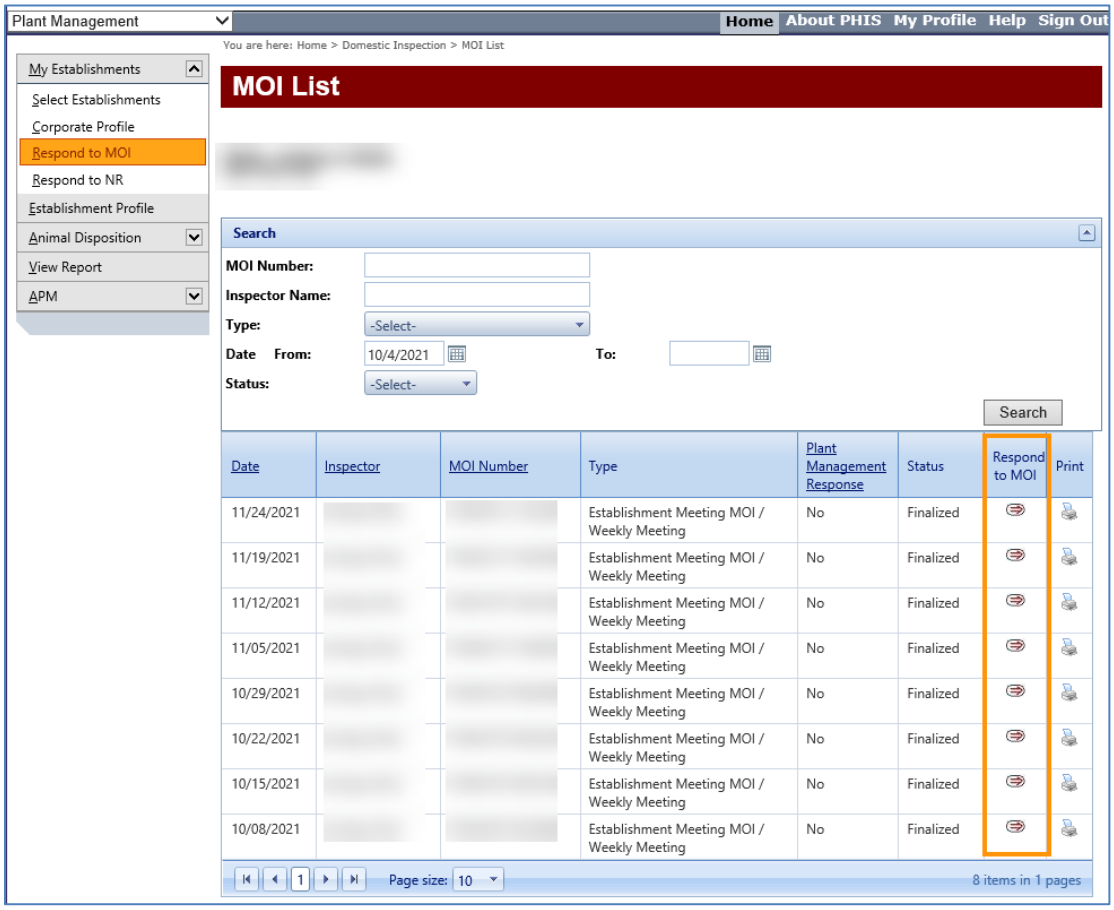


Figure 40: MOI List page for Plant Management

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.

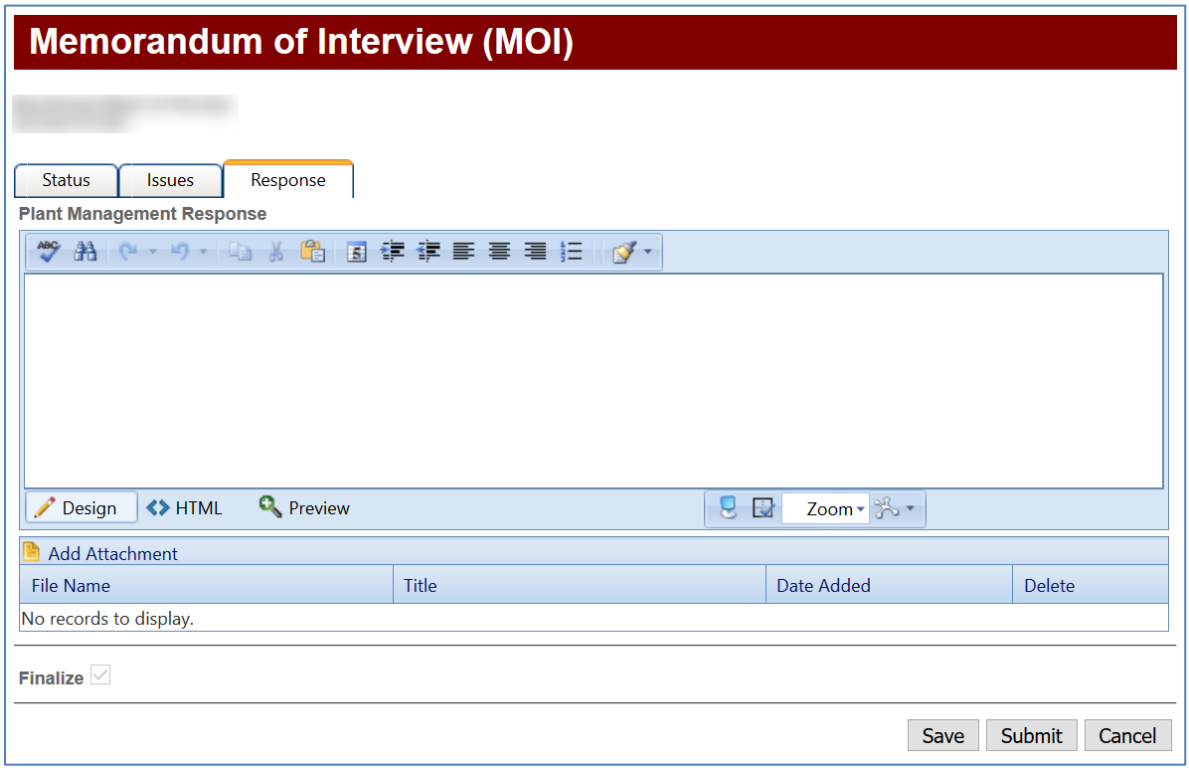


Figure 41: Memorandum of Interview (MOI) page for Plant Management

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 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.

4.1.1.4 Plant Management: How to Respond to a Noncompliance Record

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select **My Establishments > Select Establishment.**
Step 3	On the Domestic Inspection - Select Establishment page, select the appropriate 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 42) for any noncompliance record that you want to review

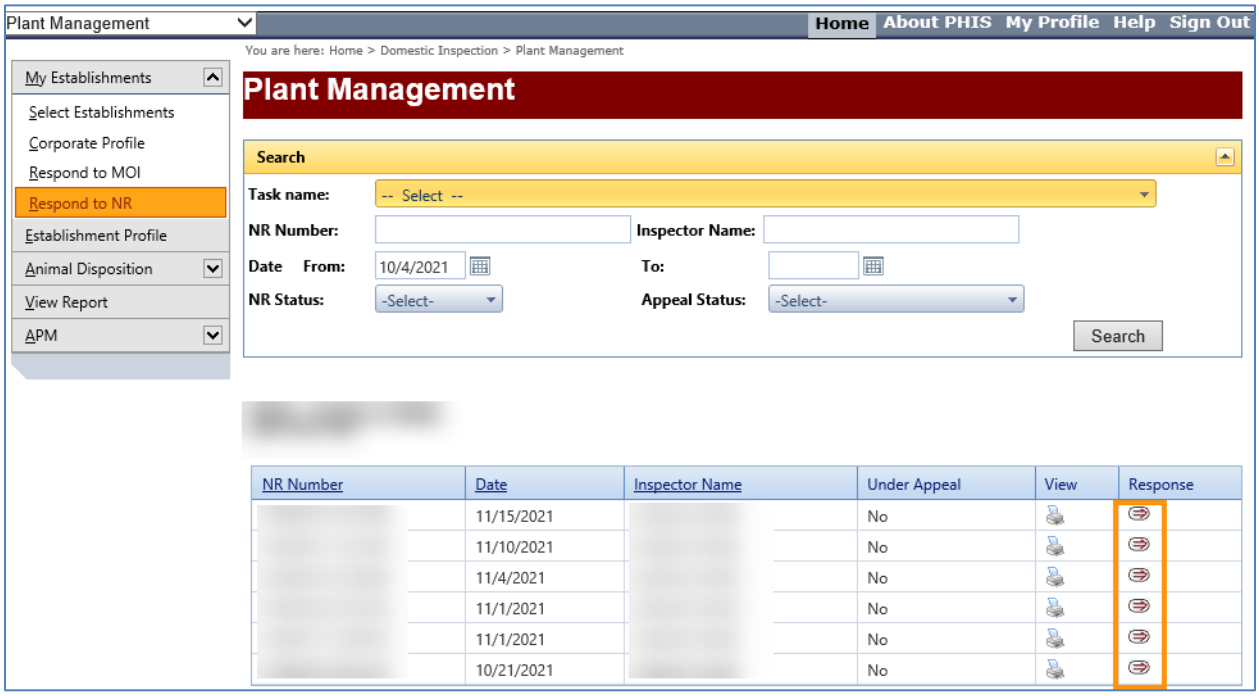


Figure 42: Plant Management - Respond to NR page for the Plant Management

Step 6	The Plant Management Response page appears
Step 7	On the Plant Management Response page (Figure 43), you have the option to select the Accept FSIS's decision or Appeal option and enter written response in the available text box

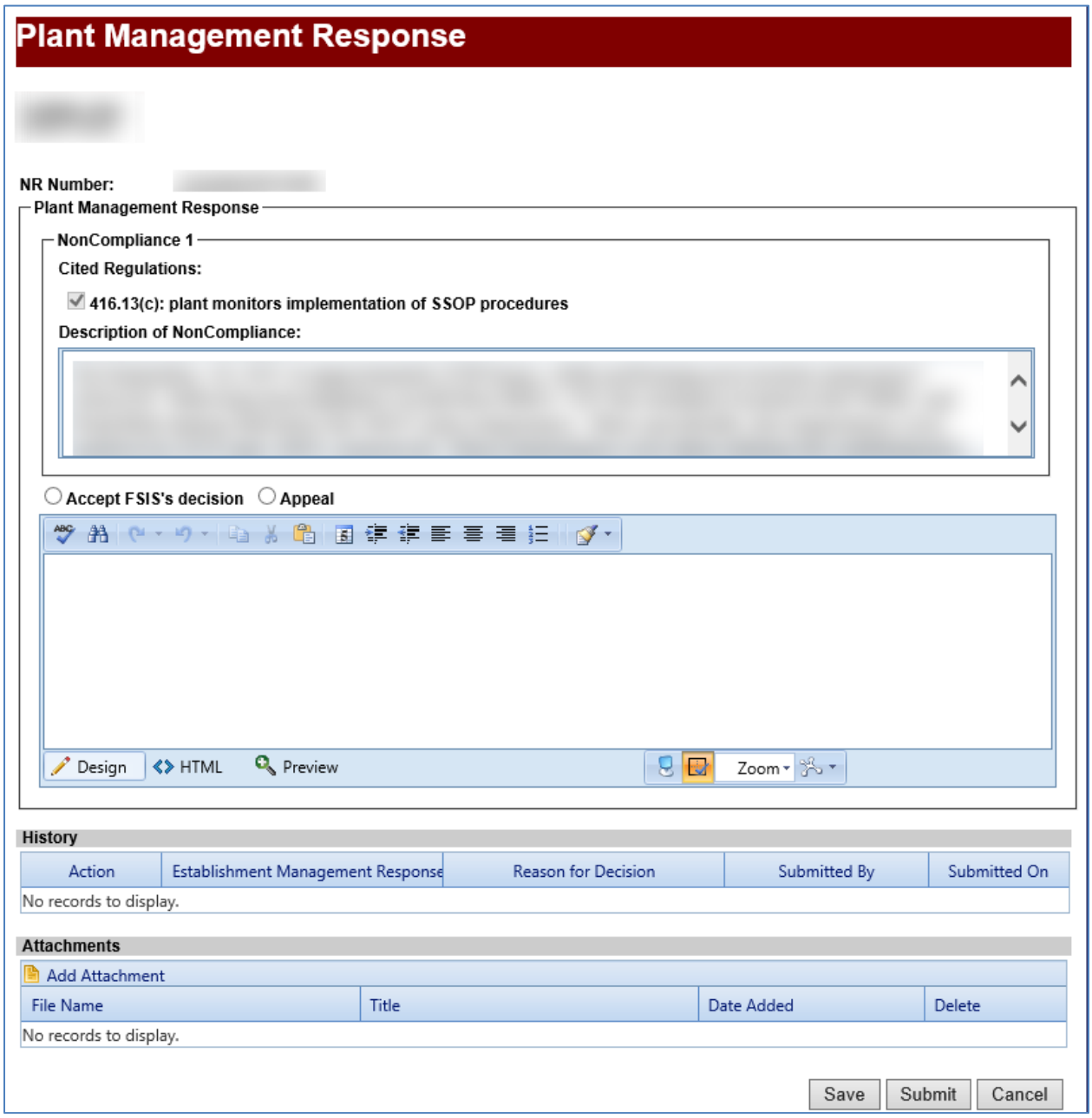


Figure 43: Plant Management Response page for Plant Management

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	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. PHIS returns you to the NR List page.

5. PHIS Guide for Industry Users: Establishment Profile

5.1 Overview

This section provides an overview of the plant management functions within PHIS that are accessible via the Establishment Profile menu. Users with the Plant Management or Corporate Administrator role have access to all of the Plant Management related menus and functions in this chapter.

5.2 Recent Tab

Industry users can use the Recent tab to see a list of their establishments that they have recently viewed and open profile records.

Note: The first time you log in you will not see the Recent tab. Instead PHIS displays the All Establishments tab. See section 0.

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select **Establishment Profile**. PHIS displays the Recent tab (Figure 44). At this point, you will notice a different look and feel compared to some other sections in PHIS.
Step 3	Select **Open** to view a specific establishment.

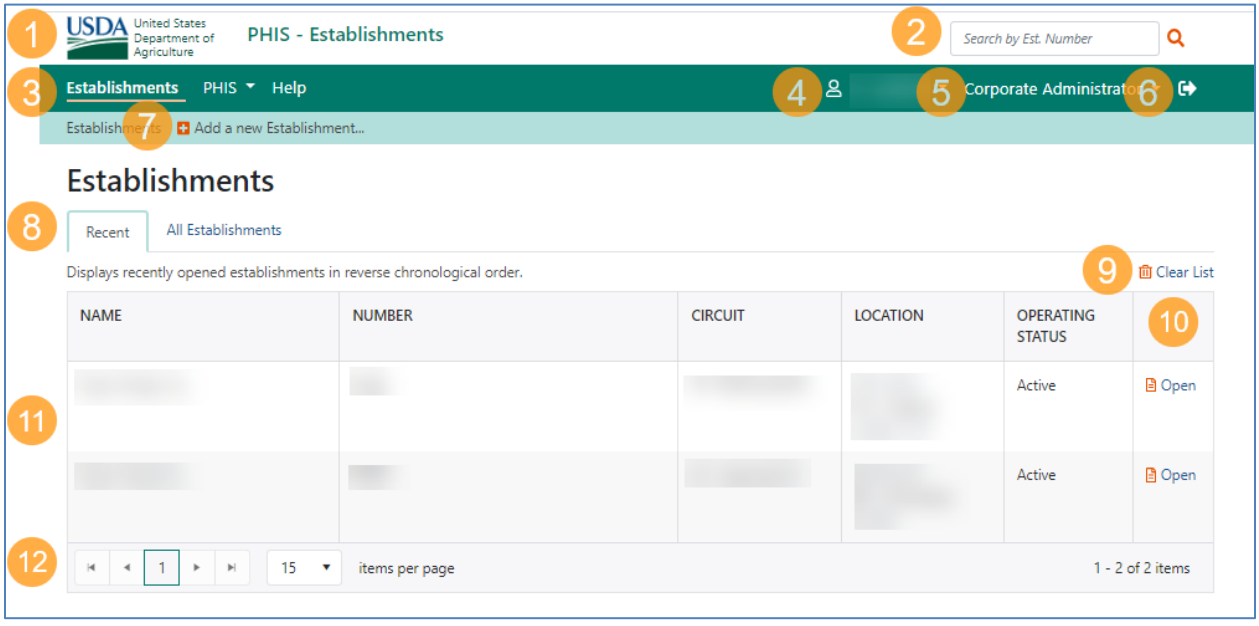


Figure 44: Overview of the Recent tab of the Establishments page

Table 3: Elements of the Recent tab of the Establishment page

1	PHIS banner
2	Establishment Search box. You can use this box to search for any of your establishments, but you must type the entire establishment number, such as M12345.

3	Top menu has three options: • Establishments for Establishment Profile options • PHIS to return to other areas in PHIS • Help for online Help
4	Username.
5	Role name.
6	Sign Out icon logs you out of PHIS.
7	Add a New Establishment link to apply online for a new establishment. See Sections 5.14-5.16.
8	The Recent tab lists the establishments you have recently viewed.
9	Clear List icon clears the list of recent establishments.
10	The Action column. Here the column contains the Open icon. The Open icon displays the Profile Summary page for the selected establishment.
11	The grid of establishments.
12	Grid navigation bar, available on all grids throughout PHIS.

5.3 All Establishments Tab

Industry users can use the All Establishments tab to see a list of their establishments that they are associated with and open profile records.

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select **Establishment Profile**. PHIS displays the Recent tab. See Figure 64. At this point, you will notice a different look and feel compared to some other sections in PHIS.
Step 3	Select the All Establishments tab. PHIS displays the All Establishments tab.
Step 4	Select **Open** to view a specific establishment.

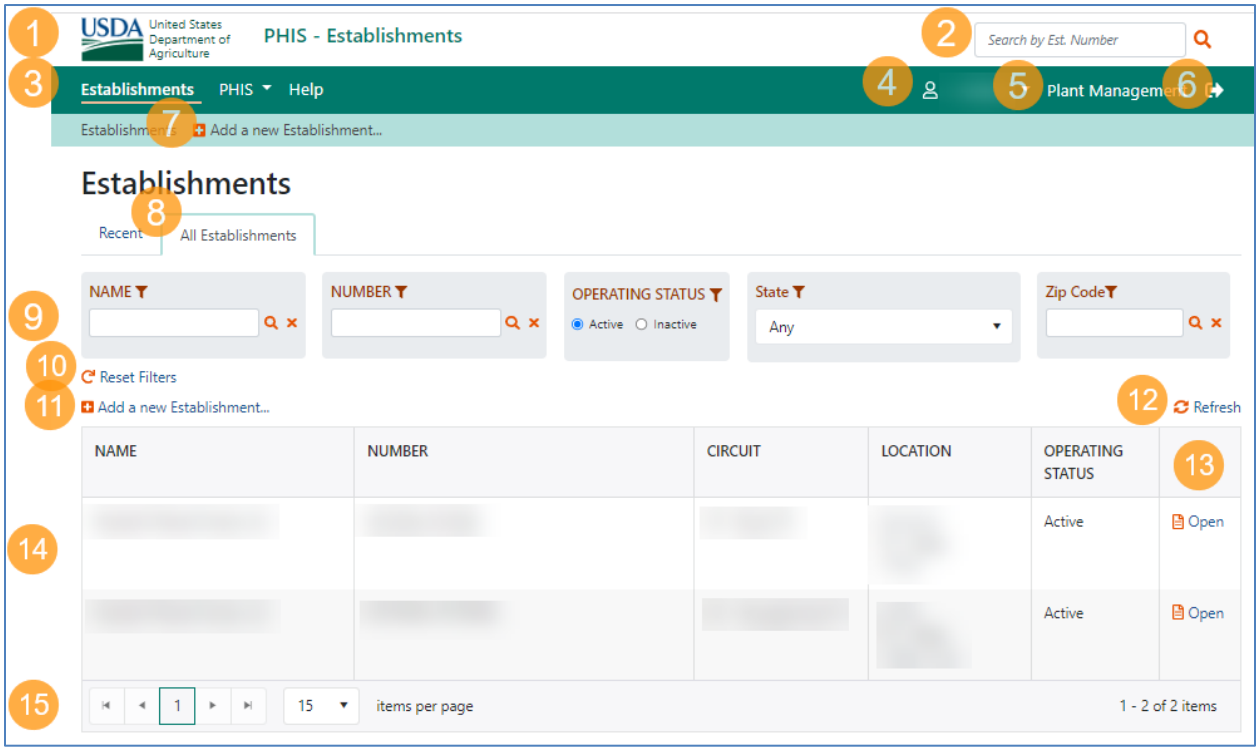


Figure 45: Overview of the All Establishments tab of the Establishments page

Table 4: Elements of the All Establishments tab of the Establishment page

1	PHIS banner
2	Establishment Search box. You can use this box to search for any of your establishments, but you must type the entire establishment number, such as M12345.
3	Top menu has three options: • Establishments for Establishment Profile options • PHIS to return to other areas in PHIS • Help for online Help

4	Username.
5	Role name.
6	Sign Out icon logs you out of PHIS.
7	Add a New Establishment link to apply online for a new establishment. See Sections 5.14-5.16.
8	The All Establishments tab lists all the establishments you are associated with.
9	A row of filter parameters to narrow your list of establishments.
10	Reset Filters link reverts the filters to their original settings.
11	Add a New Establishment link to apply online for a new establishment. See Sections 5.14-5.16.
12	Refresh icon refreshes the page
13	The Action column. Here the column contains the Open icon. The Open icon displays the Profile Summary page for the selected establishment.
14	The grid of establishments.
15	Grid navigation bar, available on all grids throughout PHIS.

5.4 Profile Summary Page

Once you have selected **Open** for one of the establishments, PHIS displays the Profile Summary page. This page provides you with an overview of the establishment by using a card layout. Some of the cards on this page have links to other pages in the Establishment Profile, PHIS, or to the Internet. Some cards appear on every Profile Summary page, such as the card for FrontLine Supervisors. Other cards like the cards for Grants and Voluntary Reimbursable Services vary per establishment. Figure 46 shows the Profile Summary page for an establishment with a Meat grant and a Poultry grant (see callout 2). Figure 47 shows the top section of the Profile Summary page for an establishment with a Meat, Poultry, and Voluntary grant.

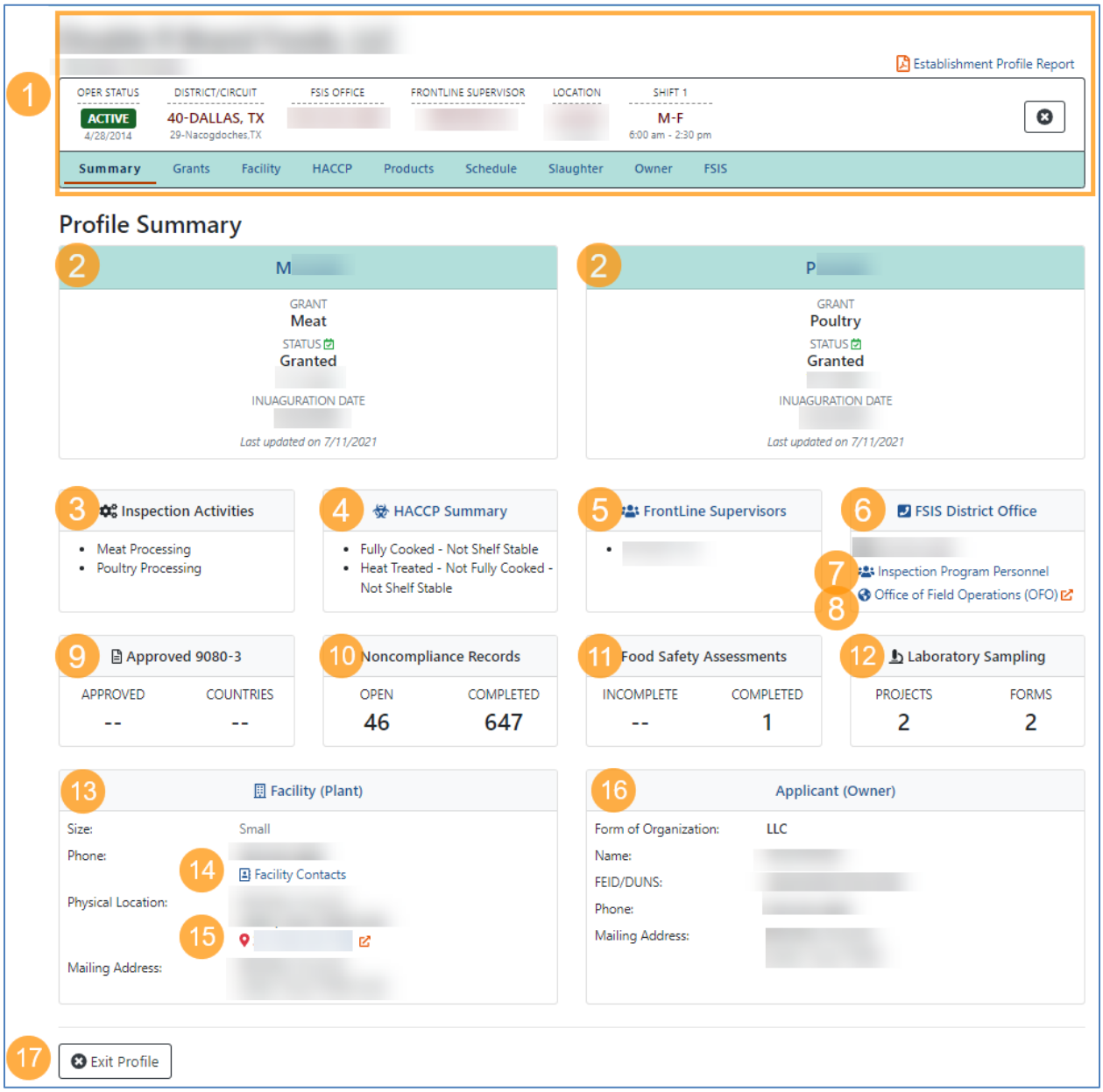


Figure 46: Establishment Profile Summary page

Table 5: Elements of the Profile Summary page

1	The Header, see Section 5.5. This header is visible from any page once you have selected an establishment. The header contains read-only information.
2	The Grant card or cards. This shows dates related to the grant and the status of the grant for the selected establishment. The title of this card is a link to specific tab on the Grants and Reimbursable Services page. In this example, the establishment has two grants, a Meat grant and a Poultry grant.
3	The Inspection Activities card shows the applicable activities for the selected establishment.
4	The HACCP Summary card lists the applicable HACCP processing categories for the selected establishment. The title of this card is a link to the Summary tab on the HACCP Plans page.
5	The FrontLine Supervisors card lists the assigned FrontLine Supervisor(s) for the selected establishment. The title of this card is a link to the FSIS Office tab of the FSIS Office and Personnel page. Note: For Talmadge-Aiken (TA) establishments, the heading is TA State Supervisors and lists the assigned TA State Supervisor(s), if available.
6	The FSIS District Office card lists the IPP phone for the selected establishment and some links. The title of this card is a link to the FSIS Office tab of the FSIS Office and Personnel page.
7	The Inspection Program Personnel link takes you to the Inspection Program Personnel tab of the FSIS Office and Personnel page.
8	The Office of Field Operations (OFO) link opens a new page for the Office of Field Operations (OFO) page on the FSIS website. Note the icon for this link illustrates that it is taking you to a new page.
9	The 9080-3 card shows the number of approved 9080-3 applications and the number of countries for the selected establishment. The card also has a tooltip that lists the specific countries.
10	The Noncompliance Records card shows you the total number of open and complete noncompliance records for the selected establishment.
11	The Food Safety Assessment card shows you the total number of incomplete and complete food safety assessments for the selected establishment.
12	The Laboratory Sampling card shows you the number of lab sampling projects for the selected establishment.
13	The Facility (Plant) card shows you facility information for the selected establishment. The title of this card is a link to the Plant tab of the Facility page.
14	The Facility Contacts link takes you to the Contacts tab of the Facility page.
15	The Latitude and Longitude values for the selected establishment display if available. This link opens a new window that displays the location in Google Maps.

16	The Applicant (Owner) card provides owner contact data and FEIN and DUNS numbers. The title of this card is a link to the Owner tab of the Facility Owner page.
17	The Exit Profile button.

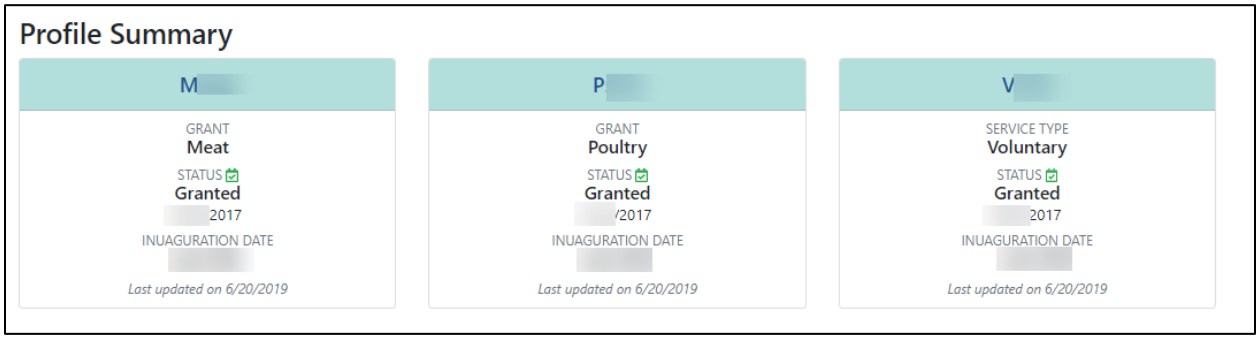


Figure 47: An example of a portion of the Profile Summary page with three grant cards

5.5 Establishment Profile Header

The Establishment Profile header is visible for the selected establishment regardless of which menu option you have selected. See Figure 48.

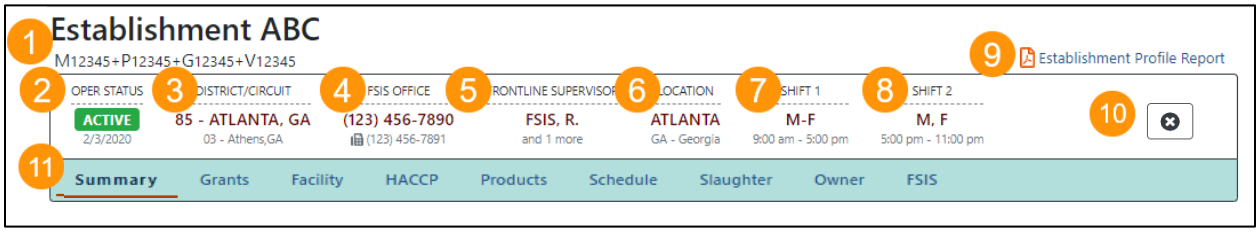


Figure 48: Header on the Profile Summary page

Table 6: Elements of the Header on the Profile Summary page

1	The Establishment name and number.
2	The Oper Status field displays the Operating Status (Active or Inactive) with the date of the last change.
3	The District/Circuit field displays the two-digit District number, followed by the District's name. Below the District information is the two-character circuit number, followed by circuit's city and state.
4	The FSIS Office field displays the phone number of the FSIS Office at the establishment, if available. Below the phone number is the fax number of the FSIS Office at the establishment, if available. This information is editable on the FSIS page.

5	The FrontLine Supervisor field displays the name of the establishment's FrontLine Supervisor, if available. If there are additional supervisors assigned, PHIS displays the number of additional supervisors. Note: For TA establishments, the heading is TA State Supervisor and displays the name of the establishment's TA State Supervisor, if available. If there are additional supervisors assigned, PHIS displays the number of additional supervisors.
6	The Location field displays the city and state from the physical location record for the establishment.
7	The Shift 1 field displays the days and hours of Shift 1 if Shift 1 is active. If Shift 1 is not active, this field is hidden.
8	The Shift 2 field displays the days and hours of Shift 2 if Shift 2 is active. If Shift s is not active, this field is hidden.
9	The Establishment Profile Report link generates the Establishment Profile report for the selected establishment.
10	The Exit button exits the Establishment Profile record.
11	The Menu bar displays available menu options for the Establishment Profile based user's access and role.

5.6 Grant/Service Records

5.6.1 How to View Grant/Service Records

Industry users with the Plant Management or Corporate Administrator role can view grants for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your district office.

Step 1	From the establishment profile record, select **Grants**. PHIS displays the Grants page with one or more of the following tabs (based on the grants of inspection or voluntary reimbursable service applicable to the selected establishment): • Meat (Figure 49) • Poultry (Figure 50) • Egg (Figure 51) • Voluntary (Figure 52) • Import (Figure 53)
Step 2	Select the tab that corresponds to the grant you want to view.

5.6.1.1 Meat tab

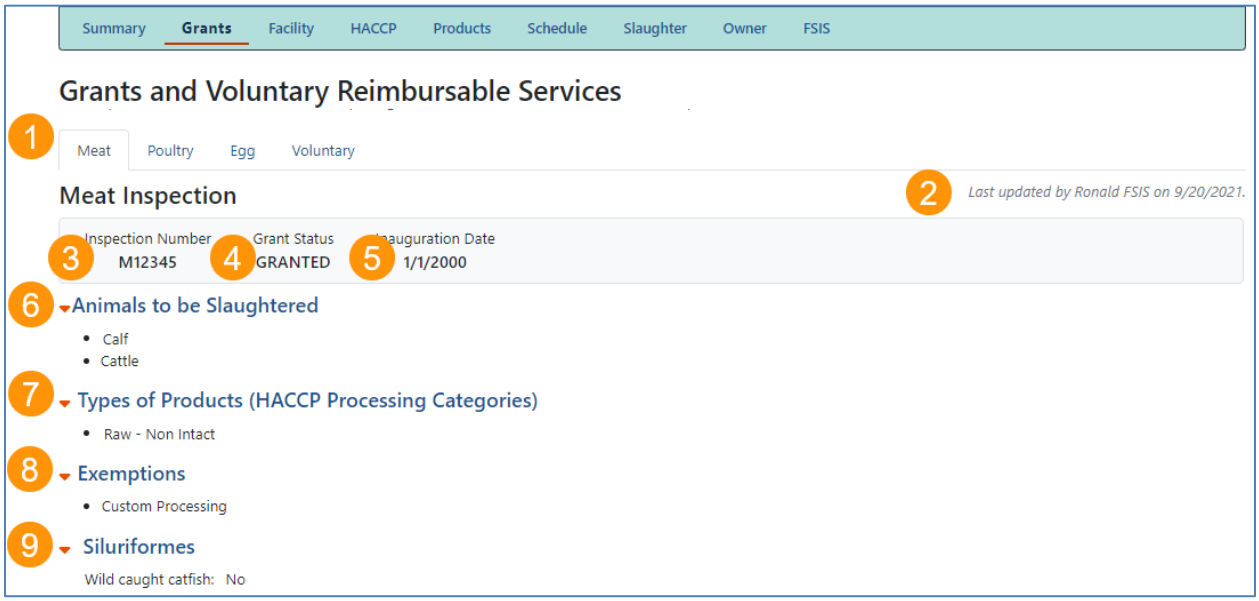


Figure 49: Meat tab of the Grants and Voluntary Reimbursable Services page

Table 7: Elements of the Meat tab of the Grants and Voluntary Reimbursable Services page

1	Meat tab.
2	Last updated by <<user name>> on <<MM/DD/YYYY>>.

3	Inspection Number.
4	Grant Status.
5	Inauguration Date.
6	Animals to be Slaughtered section lists any animals to be slaughtered.
7	Type of Products (HACCP Processing Categories) section lists any HACCP processing categories.
8	Exemptions section lists any exemptions.
9	Siluriformes section displays whether the grant covers Wild caught catfish, and if yes, whether the catfish are also invasive species.

5.6.1.2 Poultry tab

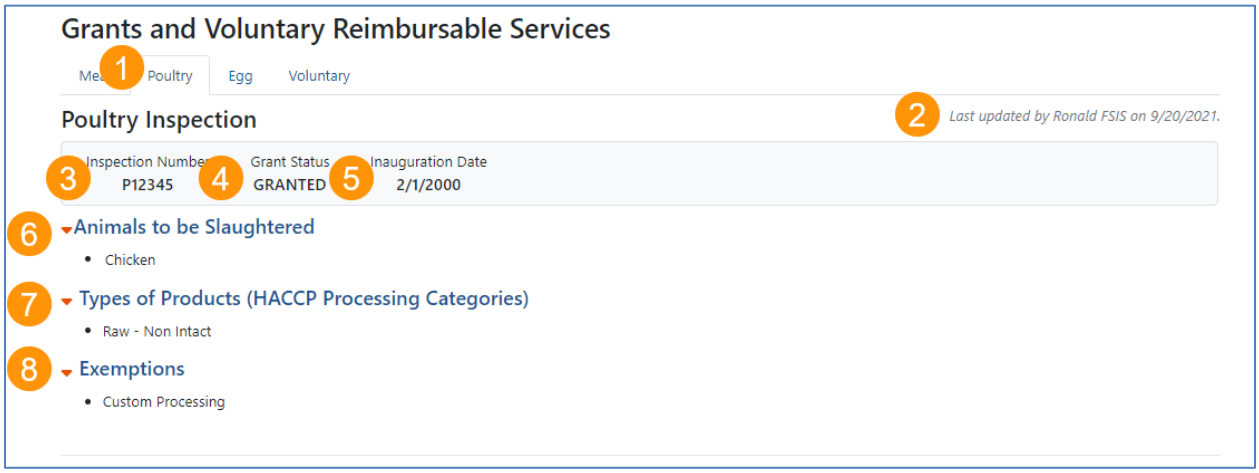


Figure 50: Poultry tab of the Grants and Voluntary Reimbursable Services page

Table 8: Elements of the Poultry tab of the Grants and Voluntary Reimbursable Services page

1	Poultry tab.
2	Last updated by <<user name>> on <<MM/DD/YYYY>>.
3	Inspection Number.
4	Grant Status.
5	Inauguration Date.
6	Animals to be Slaughtered section lists any animals to be slaughtered.
7	Type of Products (HACCP Processing Categories) section lists any HACCP processing categories.

8	Exemptions section lists any exemptions.

5.6.1.3 Egg tab

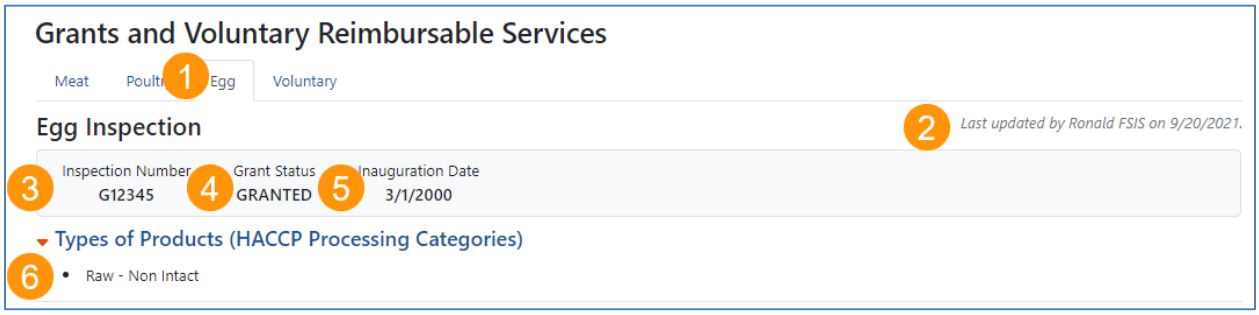


Figure 51: Egg tab of the Grants and Voluntary Reimbursable Services page

Table 9: Elements of the Egg tab of the Grants and Voluntary Reimbursable Services page

1	Egg tab.
2	Last updated by <<user name>> on <<MM/DD/YYYY>>.
3	Inspection Number.
4	Grant Status.
5	Inauguration Date.
6	Type of Products (HACCP Processing Categories) section lists any HACCP processing categories.

5.6.1.4 Voluntary tab

Figure 52: Voluntary tab of the Grants and Voluntary Reimbursable Services page

Table 10: Elements of the Voluntary tab of the Grants and Voluntary Reimbursable Services page

1	Voluntary tab.
2	Last updated by <<user name>> on <<MM/DD/YYYY>>.

3	Inspection Number.
4	Grant Status.
5	Inauguration Date.
6	Services Requested section lists active services for the grant.

5.6.1.5 Import tab

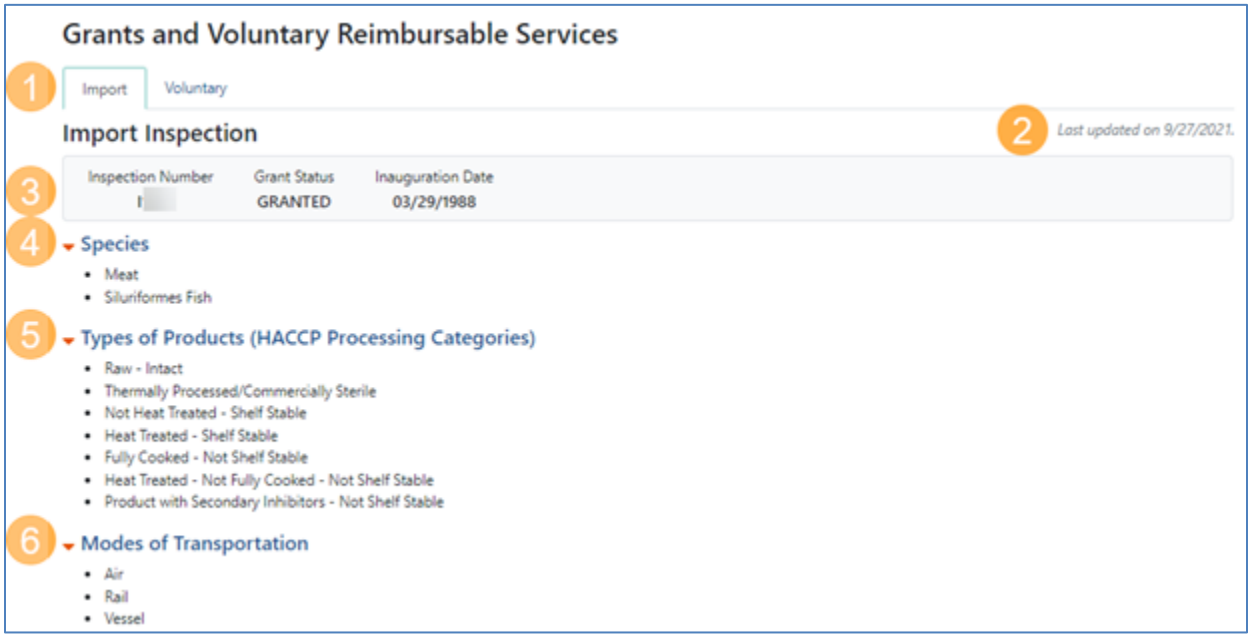


Figure 53: Import tab on the Grants and Voluntary Reimbursable Services page

Table 11: Elements of the Import tab on the Grants and Voluntary Reimbursable Services page

1	The Import tab, only visible if selected establishment has an Import grant. Note: Because this establishment has an Import grant and at least one other grant or service, the Import information is shown as a tab. If the establishment has only an Import grant, the tab appears as the Import Inspection page.
2	The Last updated statement.
3	The Grant header section with Inspection Number, Grant Status, and Inauguration Date.
4	The Species section.
5	The Types of Products (HACCP Processing Categories) section.
6	The Modes of Transportation section.

5.7 Facility Records

5.7.1 How to View Facility Records

Industry users with the Plant Management or Corporate Administrator role can view facility records for their establishment(s) but cannot edit most of the information. If you notice an error, please contact your district office. The one tab that it is editable is the Contacts tab. See section 5.7.2.

Step 1	From the establishment profile record, select **Facility**. PHIS displays the Facility page (Figure 54) with the following tabs: • Plant • Contacts (x) • Jurisdiction • Co-Located Establishments (x) • Doing Business As (x) • Waivers & Letters (x) • Other Note: The x in the above tab names represent the number of records in the grid on that tab. For example, if the Doing Business As (0) tab is set to zero, you know there are no other names recorded for the selected establishment.
Step 2	While on the Plant tab, review the information (Figure 54).
Step 3	Select the Contacts tab and review the information (Figure 55). For information on managing Facility contacts, see section 5.7.2.
Step 4	Select the Jurisdiction tab and review the information (Figure 56).
Step 5	Select the Co-Located Establishments (x) tab and review the information (Figure 57).
Step 6	Select the Doing Business As (x) tab and review the information (Figure 58).
Step 7	Select the Waivers and Letters tab and review the information (Figure 59) For information on viewing attachments, see sections 5.7.3 and 5.7.4.
Step 8	Select the Other tab and review the information (Figure 60).

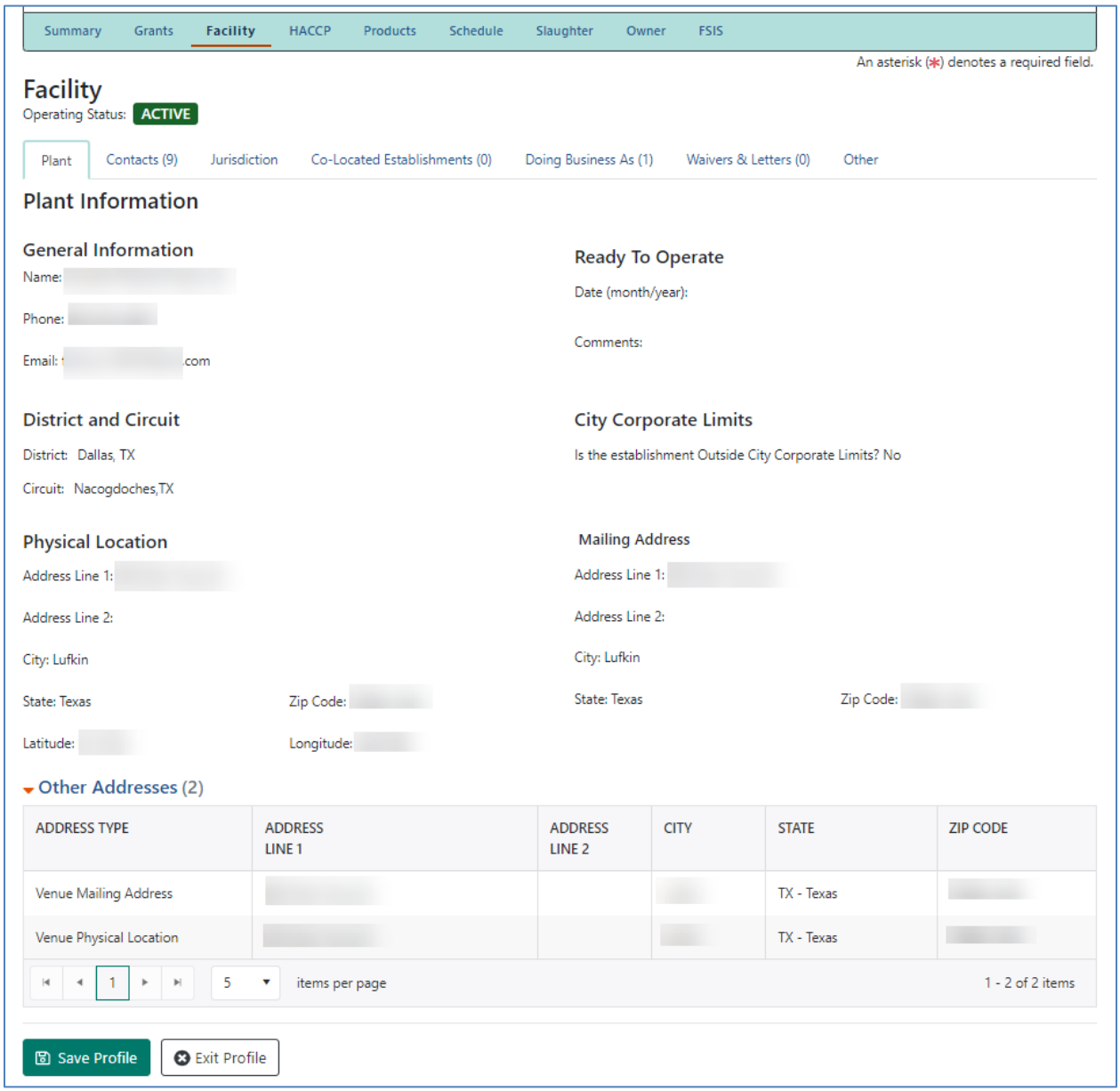


Figure 54: Plant tab of the Facility page

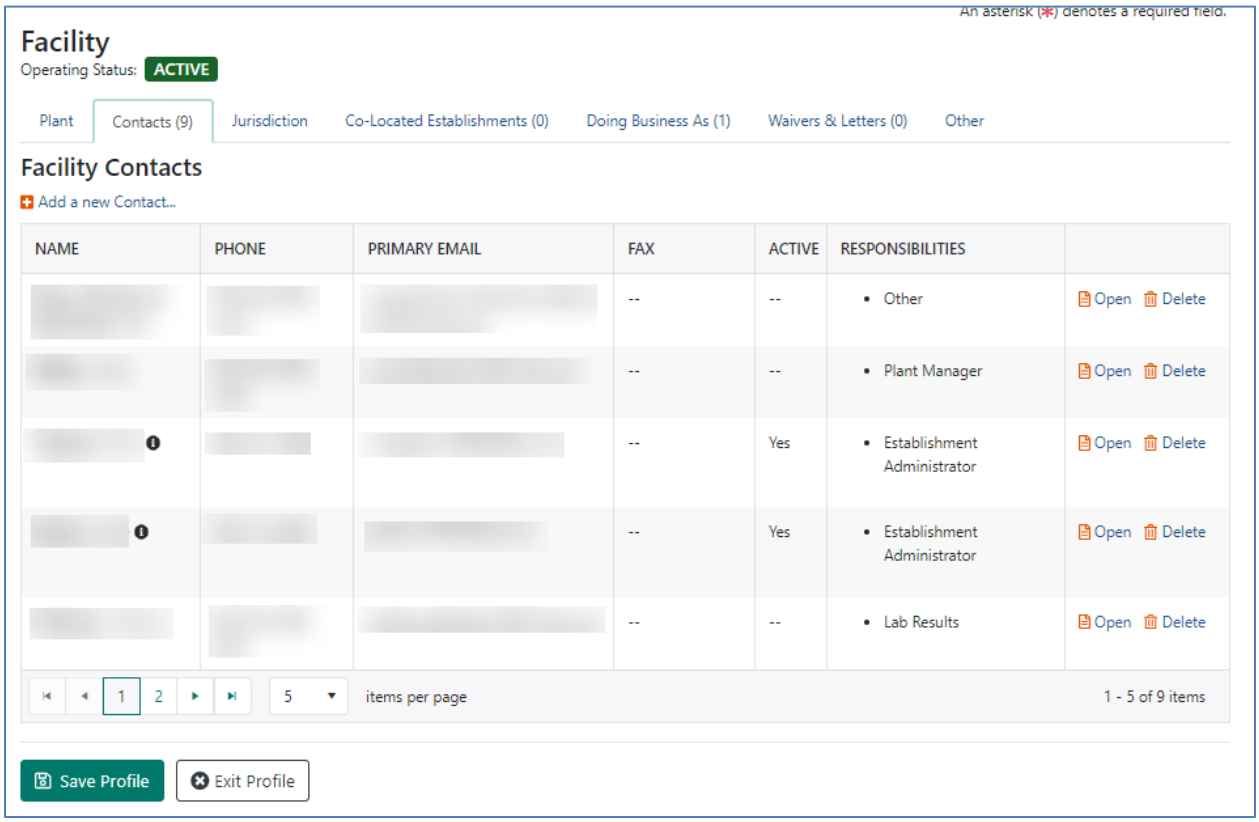


Figure 55: Contacts tab of the Facility page

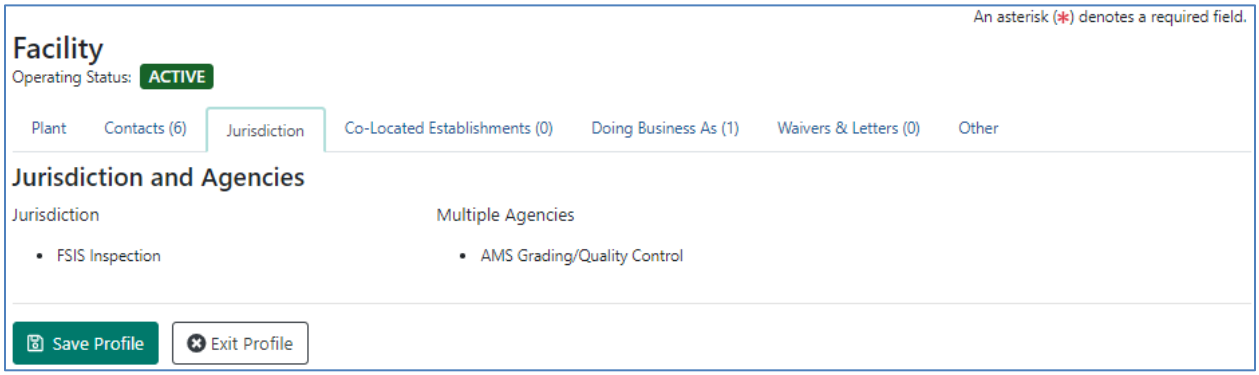


Figure 56: Jurisdiction tab of the Facility page

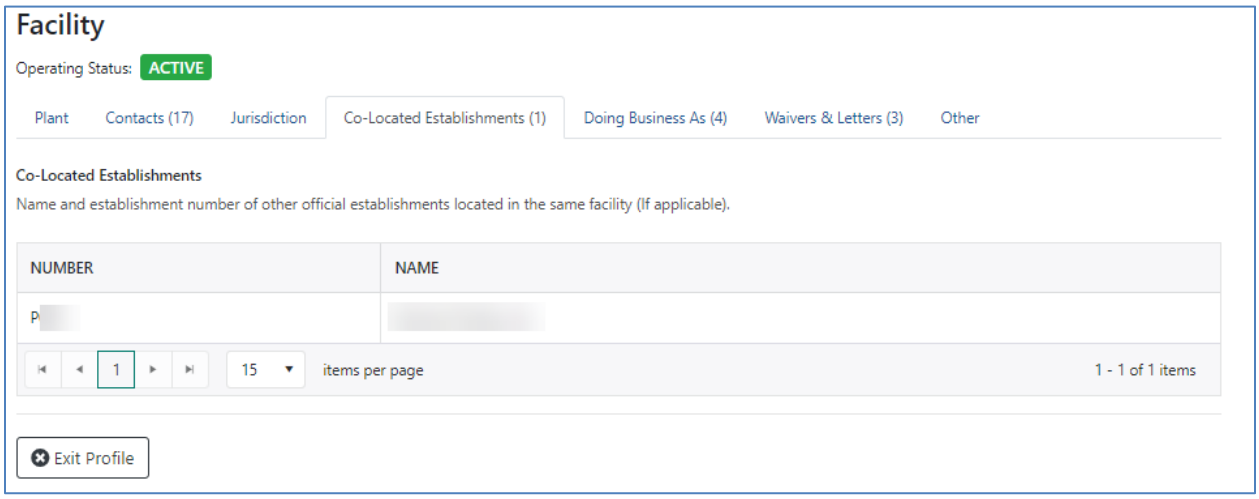


Figure 57: Co-Located Establishments (x) tab of the Facility page

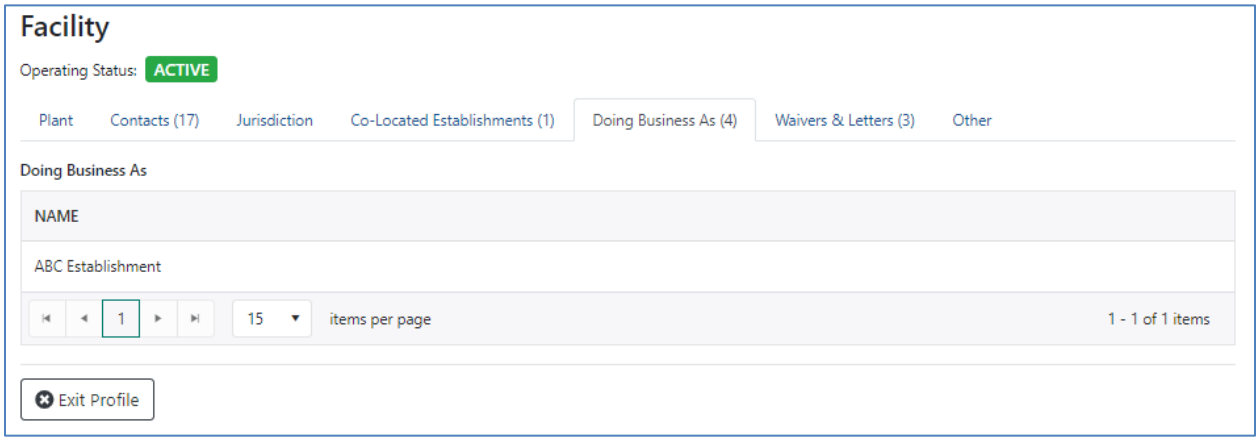


Figure 58: Doing Business As (x) tab of the Facility page

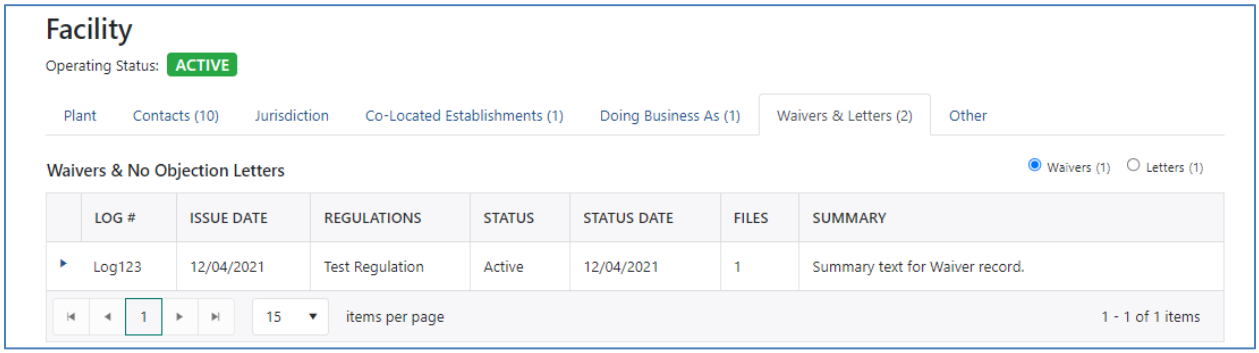


Figure 59: Waivers & Letters (x) tab

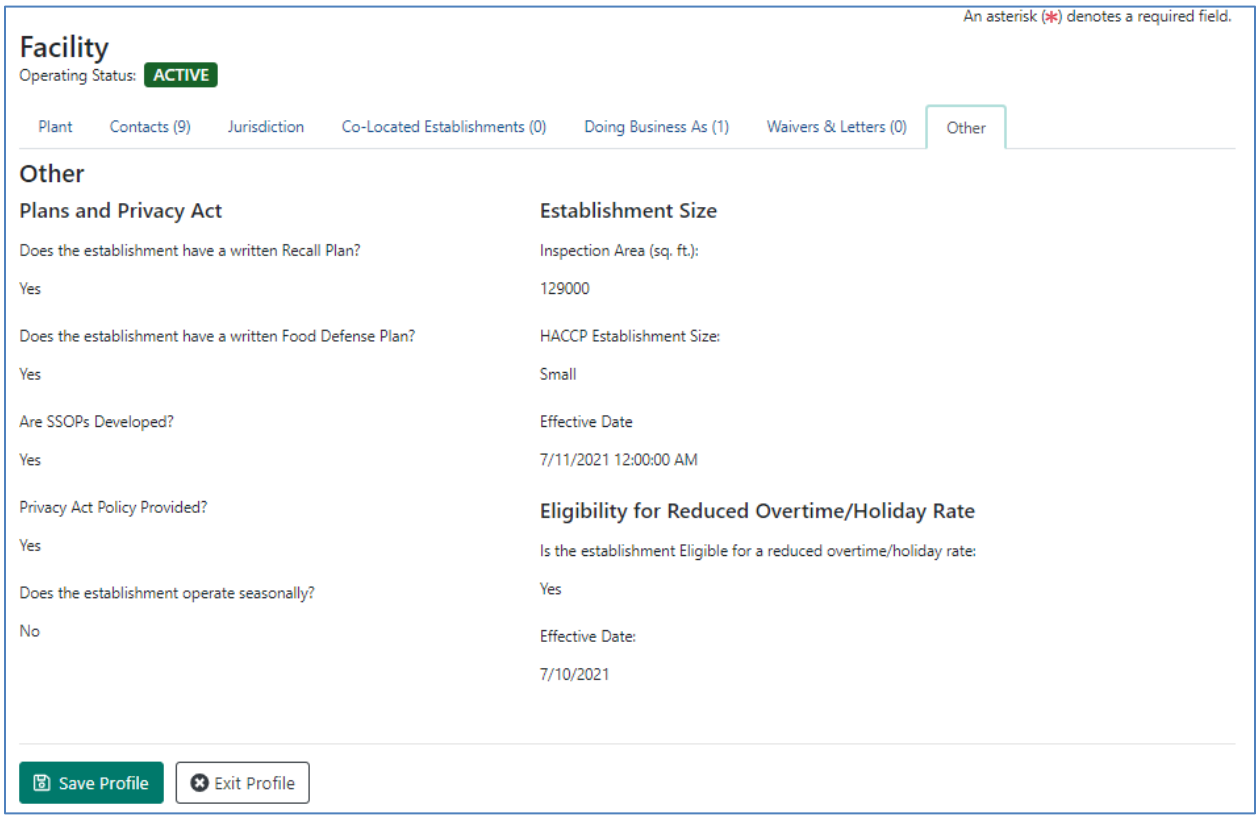


Figure 60: Other tab of the Facility page

5.7.2 How to Manage Facility Contacts

Industry users can manage records on the Contacts tab on the Facility page. The number in the tab name reflects how many industry contacts are associated with the selected establishment.

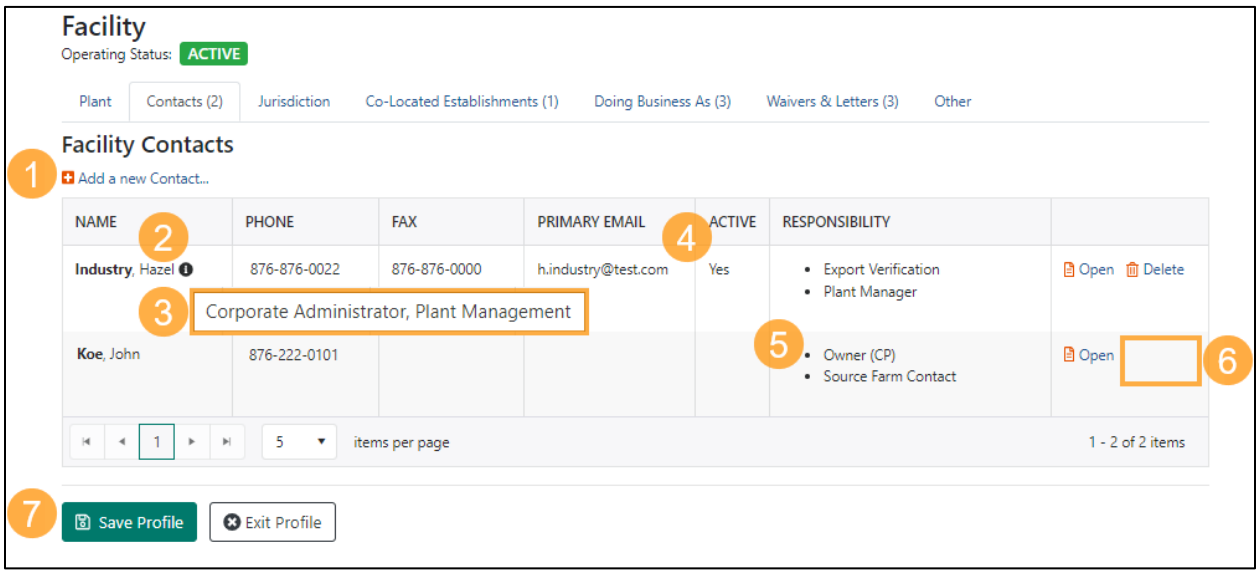


Figure 61: Contacts tab on the Facility page

Table 12: Elements of the Contacts tab on the Facility page

1	The Add a new Contact link.
2	The Information icon next to name; only appears if the Active is Yes.
3	Tooltip that lists PHIS roles when you hover over the information icon for Active PHIS users.
4	The Active indicator. Choices are: Yes (is an active PHIS user), No (is an inactive PHIS user), and blank (never has been a PHIS user).
5	The List of Responsibility options. If one of the Responsibility options is Owner (CP), that means the user was populated via PHIS. PHIS creates an entry for each person on the FSIS Form 5200-2, who was defined as a 10% or more Owner. Those records can be edited to add or remove responsibilities but cannot be manually deleted from this list. PHIS automatically removes records from this list if they are no longer a 10% owner.
6	An example of how the Delete icon does not appear when one of the Responsibilities is Owner (CP).
7	The Save Profile and Exit Profile buttons.

5.7.2.1 Adding a Contact to the Facility Contacts grid

Step 1	From the establishment profile record, select **Facility**. PHIS displays the Facility page.
Step 2	Select the Contacts tab. PHIS displays the Contacts tab.
Step 3	Select **Add a new Contact** above the grid. PHIS displays the Add a Facility Contact window for you to enter data.
Step 4	For the Responsibility field, select one or more of the options.
Step 5	Enter the remaining required fields and any optional fields. Note: The positions of Establishment Administrator and Corporate Administrator, require an email; as well as any contact with the NR Contact option selected.
Step 6	Do one of the following: • Select **Add**. PHIS adds the record to the grid. From here, you can repeat the steps to add another contact or navigate to other tabs. • Select **Add & Add More**. PHIS saves the record and clears the Add a Facility Contact page for you to enter an additional contact.

5.7.2.2 Editing a Contact in the Facility Contacts grid

Step 1	From the establishment profile record, select **Facility.** The Facility page > Plant tab appears.
Step 2	Select the Contacts tab. PHIS displays the Contacts tab.
Step 3	Select **Open** for the record you want to modify. PHIS opens the Edit a Contact page.
Step 4	Make your changes.
Step 5	Select **Update**.
Step 6	If you want to edit another record, repeat these steps, starting with Step 3.

5.7.2.3 Deleting a Contact in the Facility Contacts grid

Step 1	From the establishment profile record, select **Facility**. PHIS displays the Facility page.
Step 2	Select the Contacts tab. PHIS displays the Contacts tab.
Step 3	Select **Delete** for the record you want to remove. PHIS displays a confirmation message.
Step 4	Select **OK**. PHIS removes the record from the grid.

5.7.3 How to View Attachments Associated with Waivers

Industry users with the Plant Management or Corporate Administrator role can view waivers and any associated attachments for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your district office.

The Waivers & Letters tab displays the number of waiver and/or letter records associated with the selected establishment. If the tab label is Waivers & Letters (0), you know that there are no records without having to open the tab.

Step 1	From the establishment profile record, select **Facility**. PHIS displays the Facility page.
Step 2	Select the Waivers & Letters tab. PHIS displays the Waivers & Letters tab with the view set to Waivers (Figure 62).
Step 3	For the waiver records, note the number of files in the Files column. If this number is zero there are no attachments to view and the record you see in the grid is all of the available information; otherwise, go to the next step.
Step 4	If the number of files is greater than zero and you want to view the attachment(s), select the triangle icon to expand the record and then select the File Name to open the PDF (Figure 63).

Step 5	On the pop-up message, select **Open**. PHIS opens the PDF in a separate tab.
Step 6	Close the tab.

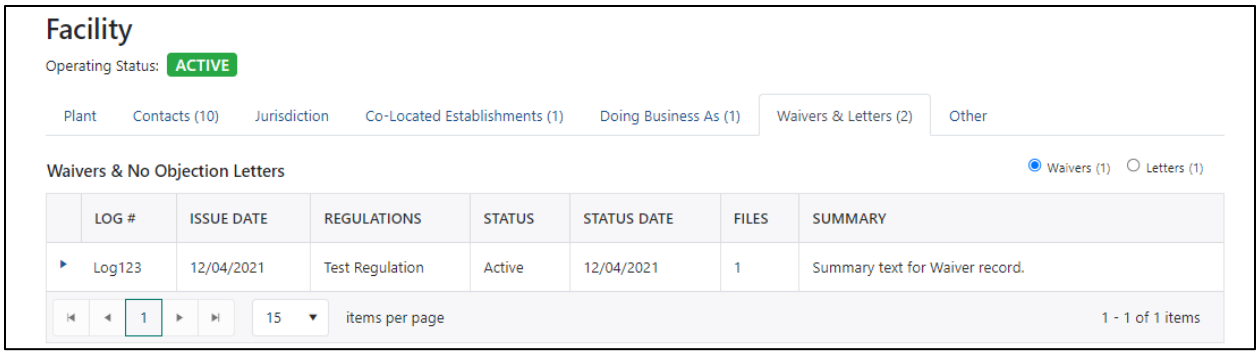


Figure 62: Waivers grid on Waivers & Letters tab

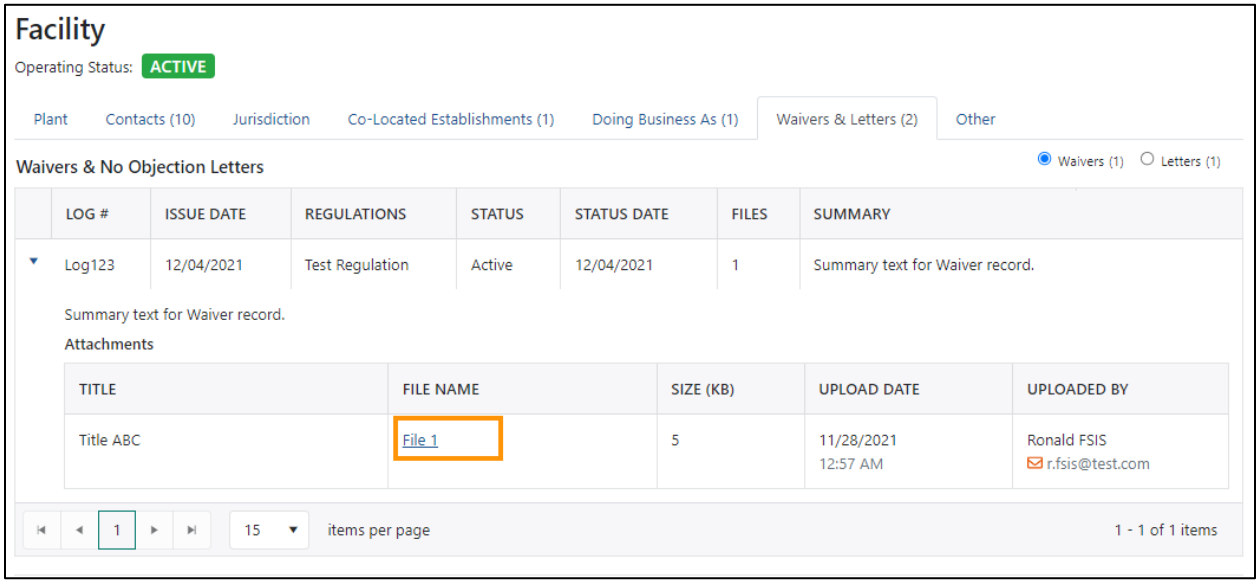


Figure 63: Expanded Waivers grid on the Waivers & Letters tab

5.7.4 How to View Attachments Associated with No Objection Letters

Industry users with the Plant Management or Corporate Administrator role can view No Objection Letters and any associated attachments for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your district office.

The Waivers & Letters tab displays the number of waiver and/or letter records associated with the selected establishment. If the tab label is Waivers & Letters (0), you know that there are no records without having to open the tab.

Step 1	From the establishment profile record, select **Facility**. PHIS displays the Facility page.
Step 2	Select the Waivers & Letters tab. PHIS displays the Waivers & Letters tab with the view set to Waivers.
Step 3	Select the Letters option to view the letters (Figure 64).
Step 4	For the letter records, note the number of files in the Files column. If this number is zero there are no attachments to view and the record you see in the grid is all of the available information; otherwise, go to the next step.
Step 5	If the number of files is greater than zero and you want to view the attachment(s), select the triangle icon to expand the record and then select the File Name to open the PDF (Figure 65).
Step 6	On the pop-up message, select **Open**. PHIS opens the PDF in a separate tab.
Step 7	Close the tab.

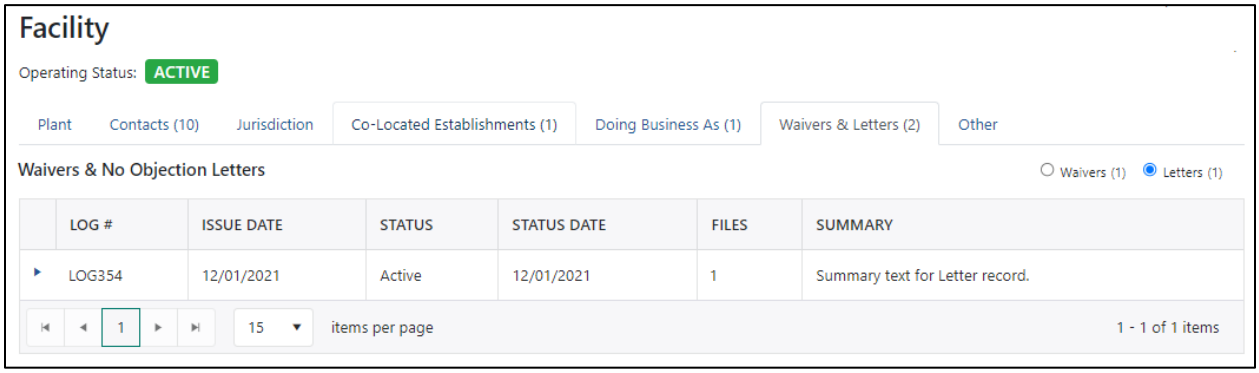


Figure 64: Letters grid on Waivers & Letters tab

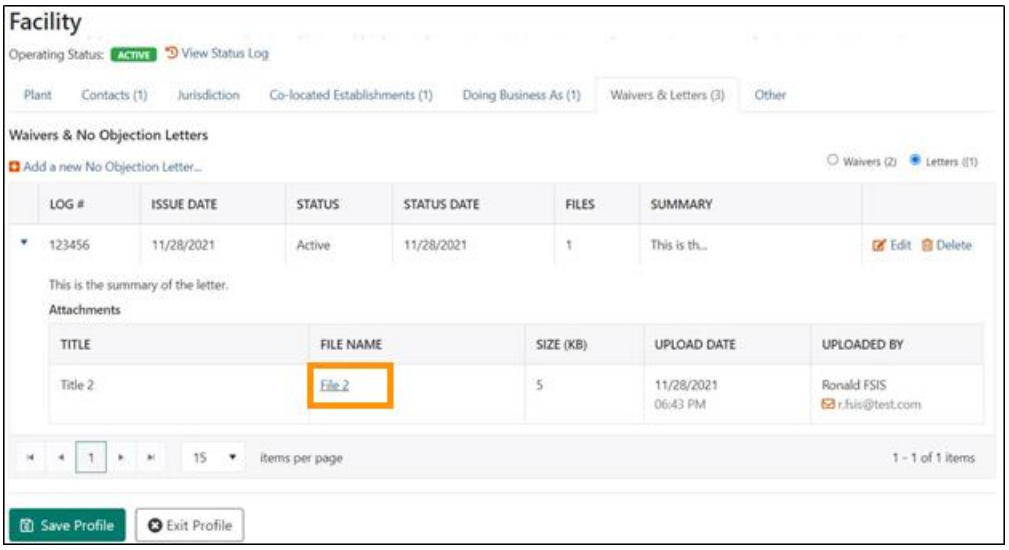


Figure 65: Expanded Letters grid on the Waivers & Letters tab

5.8 HACCP Plans

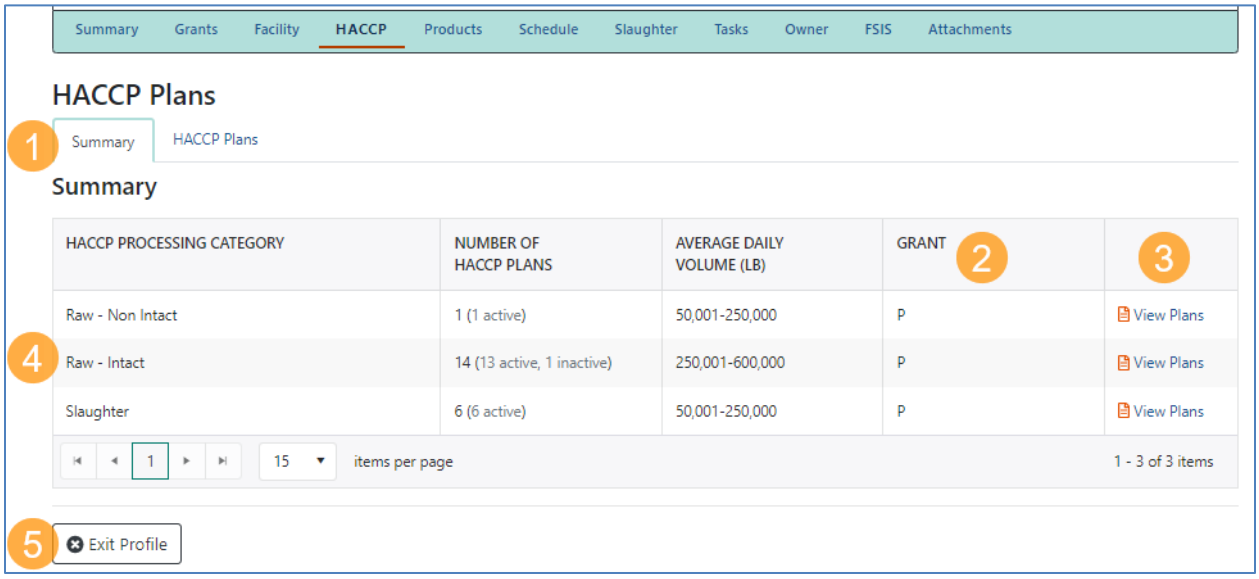


Figure 66: Summary tab of the HACCP Plans page

Table 13: Elements of the Summary tab on the HACCP Plans page

1	Summary tab on the HACCP Plans page
2	The Grants column shows a letter for each grant that references the selected HACCP processing category. In Figure 66, all the processing categories are referenced by the Poultry grant.
3	The Actions column with the View Plans link. The View Plans link opens the HACCP Plans tab for the selected HACCP processing category.
4	The grid of HACCP Processing Categories with the number of active and inactive HACCP plans and the average daily volume per category.
5	The Exit Profile button.

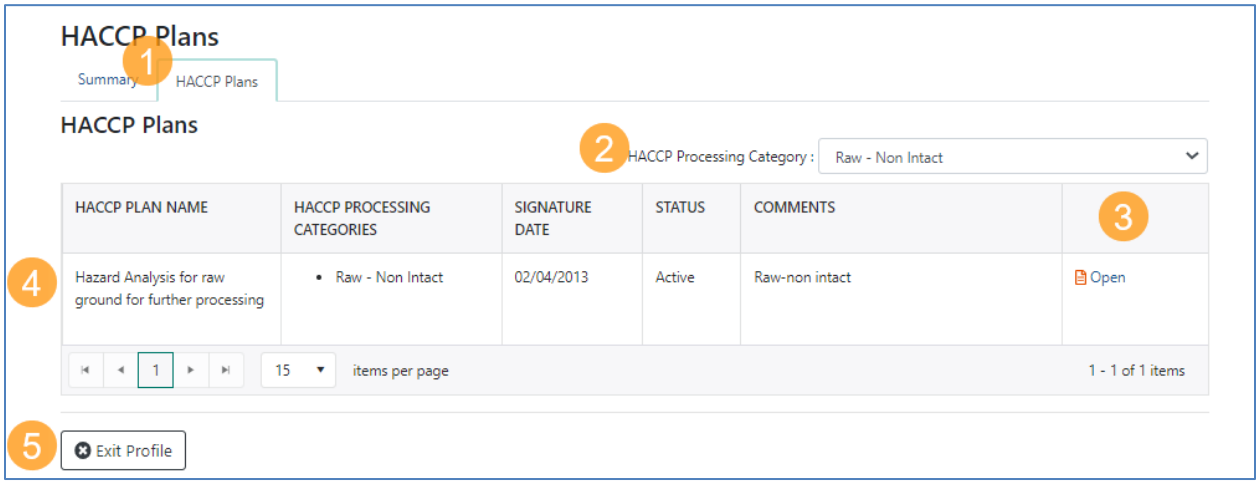


Figure 67: HACCP Plans tab on the HACCP Plans page

Table 14: Elements of the HACCP Plans tab on the HACCP Plans page

1	The HACCP Plans tab.
2	The HACCP Processing Categories filter set to specific category
3	The Actions column for the grid with the Open link.
4	The grid of HACCP plans.
5	The Exit Profile button.

5.8.1 How to View HACCP Plans

Industry users with the Plant Management or Corporate Administrator role can view the HACCP Plans for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your FSIS inspector.

Step 1	From the establishment profile record, select **HACCP**. PHIS displays the HACCP Plans page with two tabs.
Step 2	On the Summary tab, view the records.
Step 3	If you want to view specific plan records, select **View Plans** for the appropriate category record. PHIS displays the HACCP Plans tab with the HACCP plans for the selected HACCP processing category. (Figure 67).

5.9 Product Groups

5.9.1 Product Groups tab

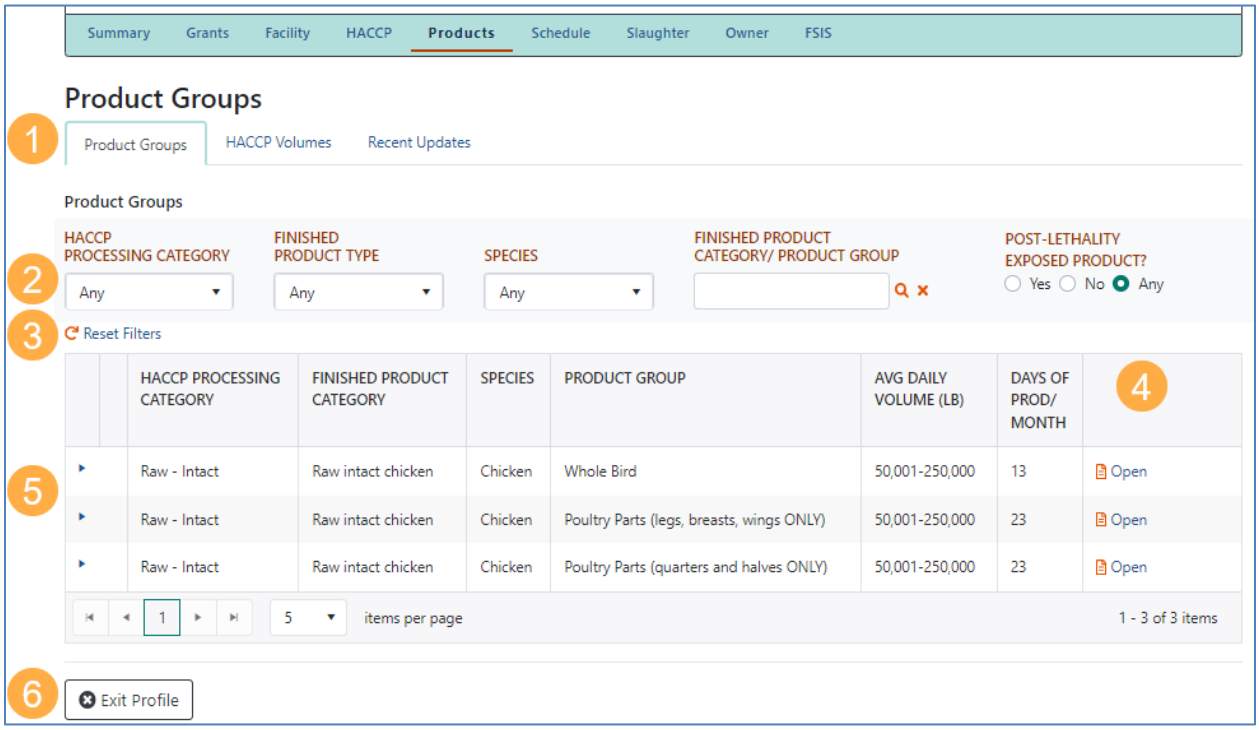


Figure 68: Product Groups tab of the Product Groups page

Table 15: Elements of the Product Groups tab on the Product Groups page

1	The Product Groups tab.
2	The filter fields.
3	The Reset Filters icon.
4	The Action column for the action available for product groups records: Open.
5	The grid for product groups.
6	The Exit Profile button.

5.9.1.1 How to View Product Groups

Industry users with the Plant Management or Corporate Administrator role can view the product information for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your FSIS inspector.

Step 1	From the establishment profile record, select **Products**. PHIS displays the Product Groups page with three tabs: • Product Groups • HACCP Volumes • Recent Updates
Step 2	On the Product Groups tab, view the records.
Step 3	To see more details about a record, select **Open.**
Step 4	If you selected Open, PHIS displays a read-only Product Group details page.
Step 5	Select **Cancel** to close the page.

5.9.2 HACCP Volumes tab

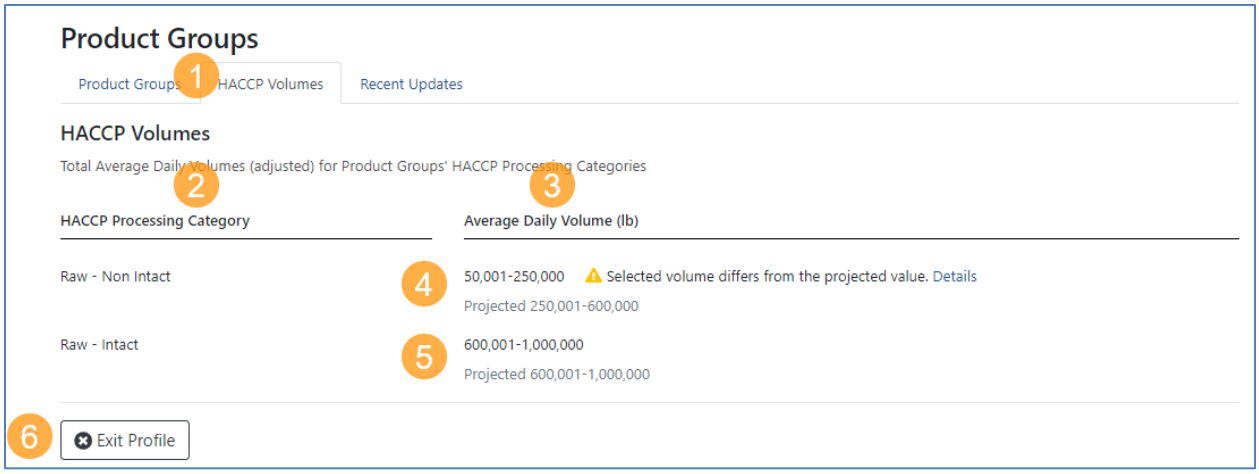


Figure 69: HACCP Volumes tab of the Product Groups page

Table 16: Elements of the HACCP Volumes tab on the Product Groups page

1	The HACCP Volumes tab.
2	The HACCP Processing Category column.
3	The Average Daily Volume (lb) column.
4	An example of an average daily volume entered by the IPP that does not match the system-generated projected volume.
5	An example of an average daily volume entered by the IPP that does match the system-generated projected volume.
6	The Exit Profile button.

5.9.2.1 How to View HACCP Volumes for Product Groups

Industry users with the Plant Management or Corporate Administrator role can view the HACCP volumes for products at their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your FSIS inspector.

Step 1	From the establishment profile record, select **Products**. PHIS displays the HACCP Plans page.
Step 2	Select the HACCP Volumes tab and view the records

5.9.3 Recent Updates tab

The Recent Updates tab displays a grid of product group records in reverse chronological order. This log enables you to see the last time a specific product group was edited.

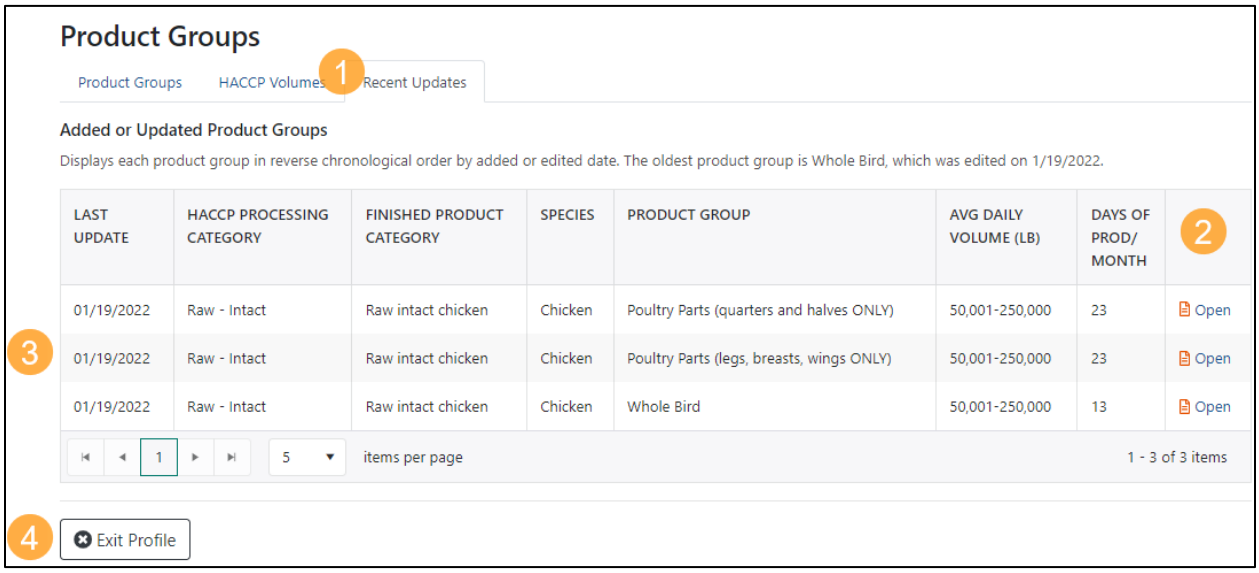


Figure 70: Recent Updates tab of the Product Groups page

Table 17: Elements of the Recent Updates tab on the Product Groups page

1	The Recent Updates tab.
2	The Action column with Open.
3	The grid of all the product groups in reverse chronological order as the date they were last updated.
4	The Exit Profile button.

5.9.3.1 How to View the Recent Updates for Products

Industry users with the Plant Management or Corporate Administrator role can view the updates to product groups at their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your FSIS inspector.

Step 1	From the establishment profile record, select **Products**. PHIS displays the HACCP Plans page.
Step 2	Select the Recent Updates tab and view the records

5.10 Schedule Information

If the selected establishment is defined as Seasonal, the Operating Schedule page has four tabs. See Figure 71. The Seasonal flag is on the Other tab on the Facility page. This is the flag that determines whether the Seasonal tab appears. Otherwise, the Schedule tab has three tabs. See Figure 72.

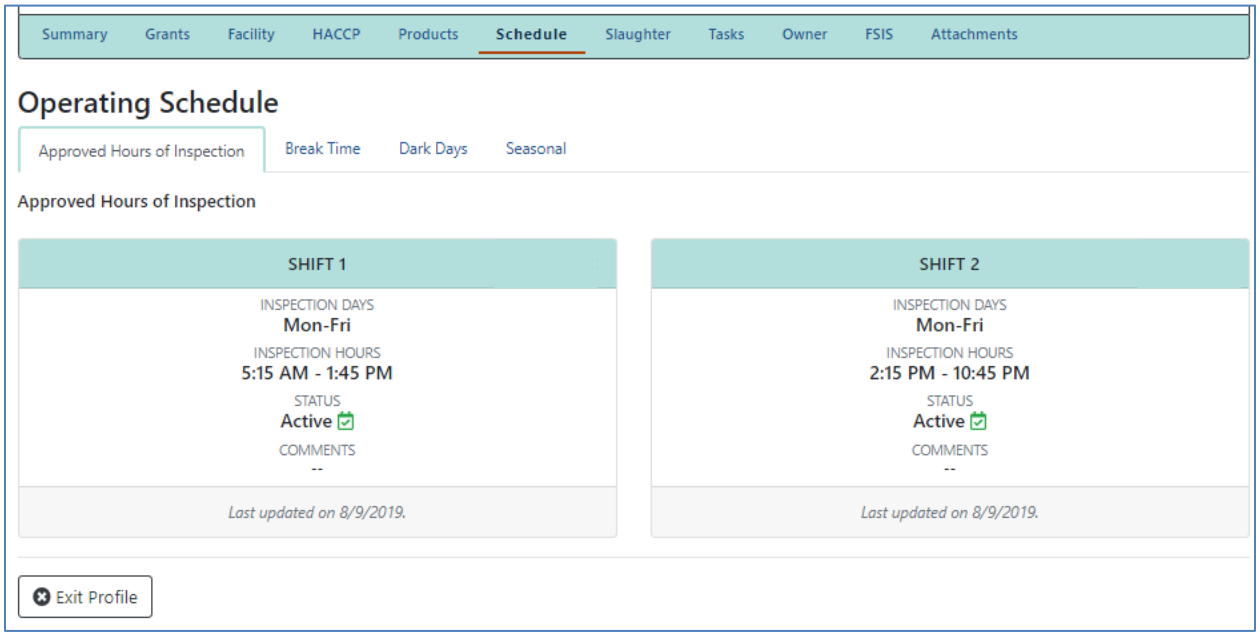


Figure 71: Operating Schedule page for Seasonal Establishment (four tabs)

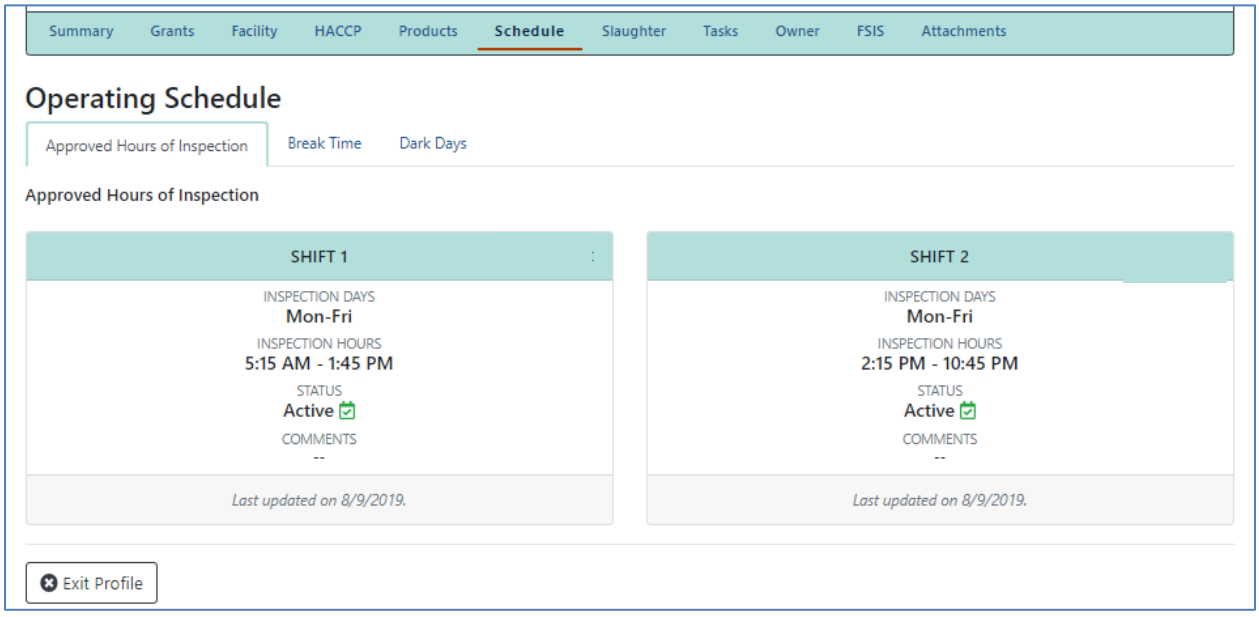


Figure 72: Operating Schedule for Establishment not defined as Seasonal (three tabs)

5.10.1 Approved Hours of Inspection tab

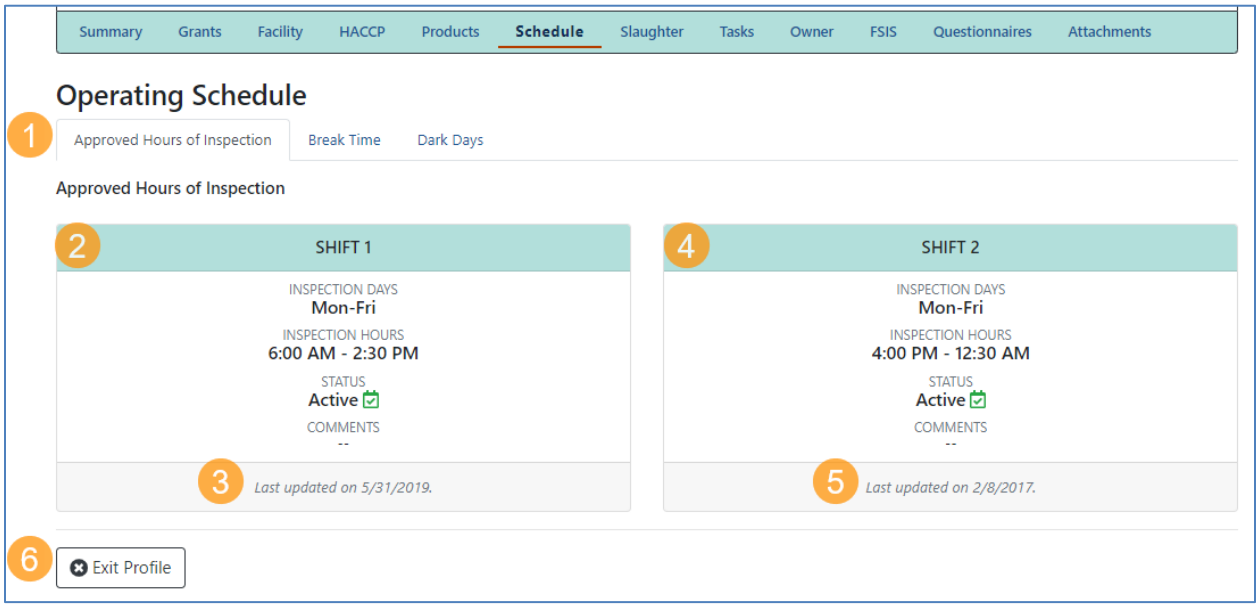


Figure 73: Approved Hours of Inspection tab of the Operating Schedule page

Table 18: Elements of the Approved Hours of Inspection tab on the Operating Schedule page

1	The Approved Hours of Inspection tab.
2	The Shift 1 card, only available if Shift 1 has been defined.
3	The last updated date for the Shift 1 card.
4	The Shift 2 card, only available if Shift 2 has been defined.
5	The last updated date for the Shift 2 card.
6	The Exit Profile button.

5.10.1.1 How to View Schedule Information

Industry users with the Plant Management or Corporate Administrator role can view the schedule for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your FSIS inspector.

Step 1	From the establishment profile record, select **Schedule**. PHIS displays the Operating Schedule page with multiple tabs.
Step 2	On the Approved Hours of Inspection tab, view the information.
Step 3	Select the Break Times tab to view the break time information for the establishment.
Step 4	Select the Dark Days tab to view days that IPP have recorded that the selected establishment will be closed in the future.

Step 5	If you have selected a seasonal establishment, PHIS displays a Seasonal tab. Select the Seasonal tab to view date ranges that IPP have record that the selected seasonal establishment will be closed in the future.

5.11 Slaughter Information

5.11.1 Evisceration Lines tab

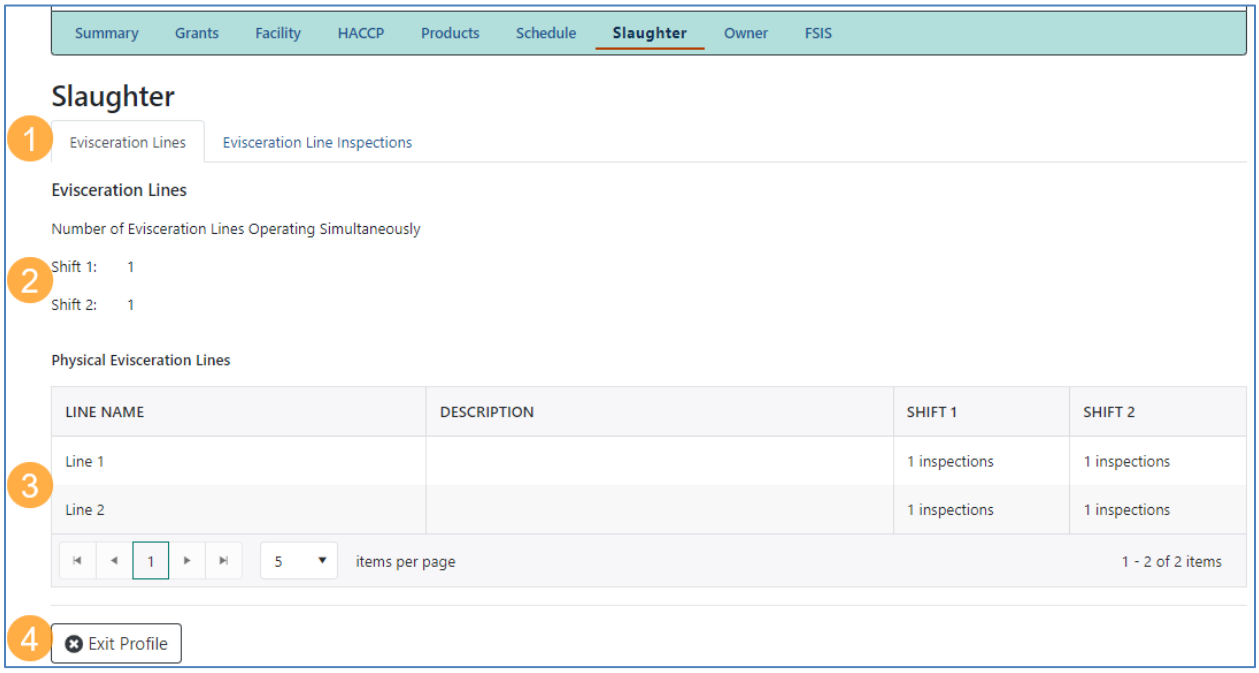


Figure 74: Evisceration Lines tab on the Slaughter page

Table 19: Elements of the Evisceration Lines tab on the Slaughter page

1	The Evisceration Lines tab.
2	The Number of Evisceration Lines Operating Simultaneously.
3	The grid of Physical Evisceration lines.
4	The Exit Profile button.

5.11.1.1 How to View Evisceration Line Information

Industry users with the Plant Management or Corporate Administrator role can view the evisceration lines for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your FSIS inspector.

Step 1	From the establishment profile record, select **Slaughter**. PHIS displays the Slaughter page with two tabs.
Step 2	On the Evisceration Lines tab, view the information.

5.11.1 Evisceration Line Inspections tab

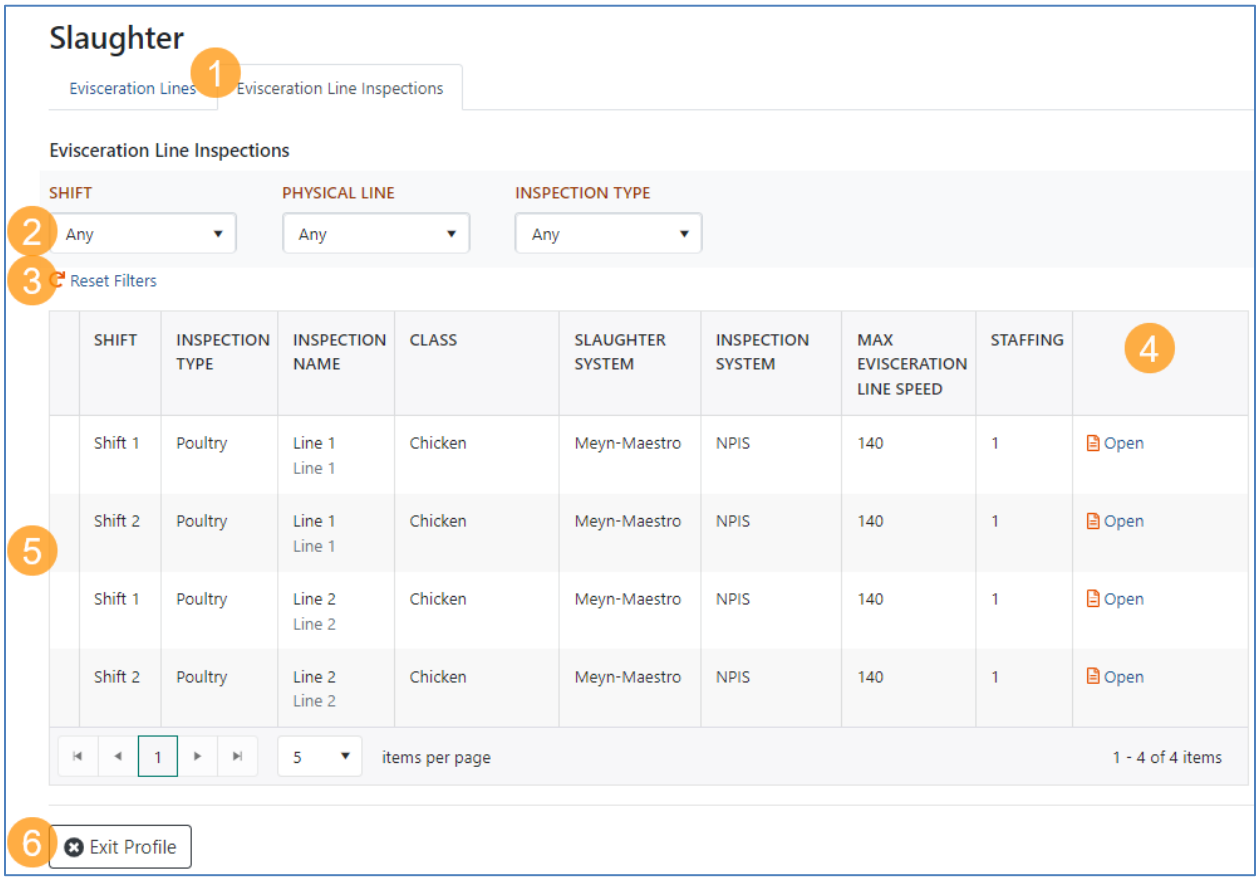


Figure 75: Evisceration Lines tab on the Slaughter page

Table 20: Elements of the Evisceration Line Inspections tab on the Slaughter page

1	The Evisceration Line Inspections tab.
2	The filter parameters for the Evisceration Line Inspections tab.
3	The Reset Filters link.
4	The Action column with the Open link.
5	The grid of evisceration line inspection records.
6	The Exit Profile button.

5.11.2.1 How to View Evisceration Line Inspection Information

Industry users with the Plant Management or Corporate Administrator role can view the evisceration line inspection records for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your FSIS inspector.

Step 1	From the establishment profile record, select **Slaughter**. PHIS displays the Slaughter page .
Step 2	Select the Evisceration Line Inspections tab and view the information.
Step 3	To see more information about a specific record, select **Open**. PHIS displays a read-only Evisceration Line Inspection record.
Step 4	Select **Cancel** to close the page.

5.12 Facility Owner Information

5.12.1 Owner tab

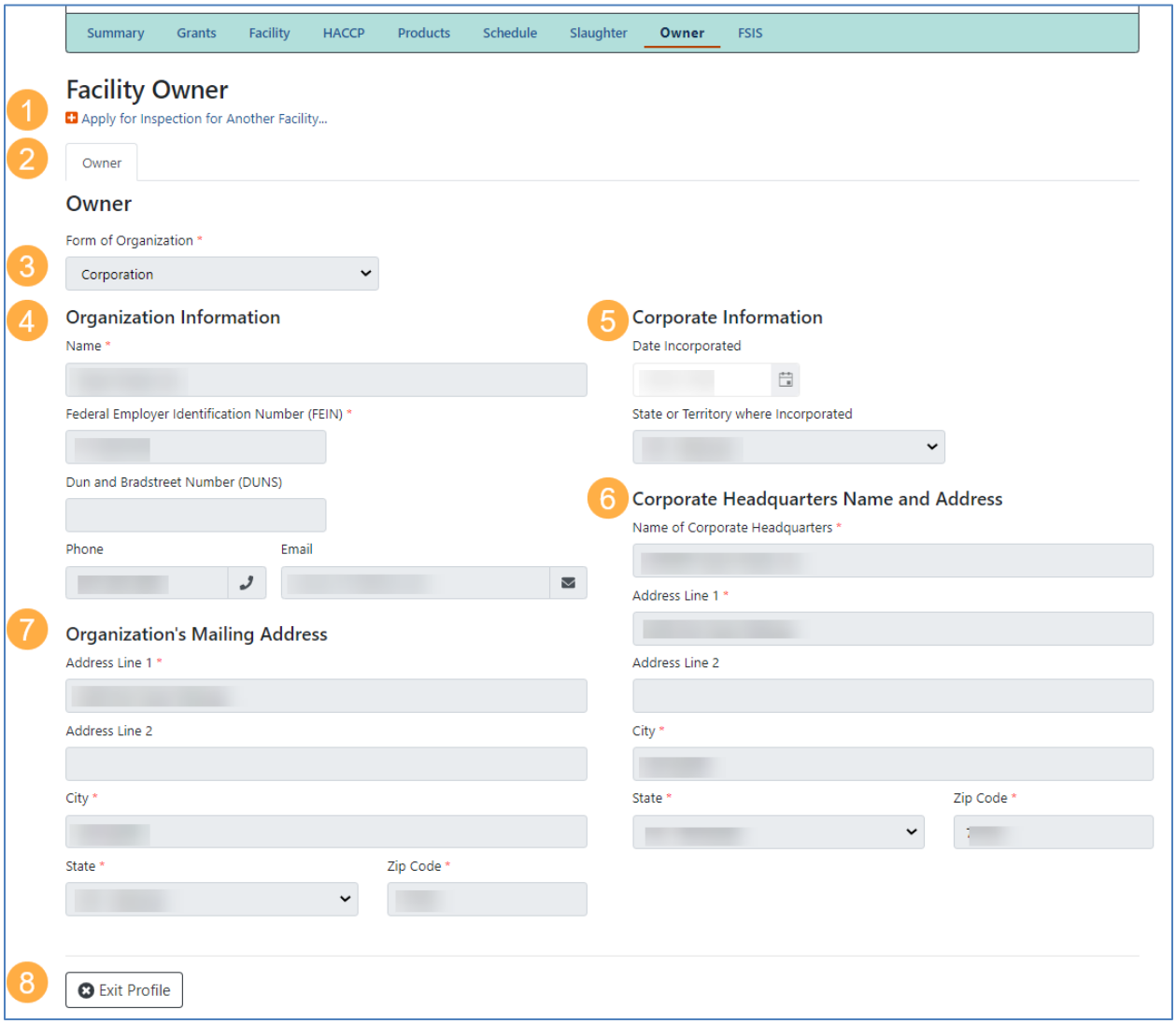


Figure 76: Owner tab on the Facility Owner page

Table 21: Elements of the Owner tab on the Facility Owner page

1	The Owner tab.
2	The Form of Organization field. If this field is set to Corporation, then the Corporate Information and Corporate Headquarters Name and Address sections are visible; otherwise, PHIS does not display these sections.
3	The Organization section.
4	The Organization's Mailing Address section.

5	The Corporate Information section is only visible if the Form of Organization is set to Corporation.
6	The Corporate Headquarters Name and Address section is only visible if the Form of Organization is set to Corporation.
7	The Exit Profile button.

5.12.1.1 How to View Owner Information

Step 1	From the establishment profile record, select **Owner**. The Facility Owner page > Owner tab appears.
Step 2	View the information.

5.13 FSIS Information

5.13.1 FSIS Office tab

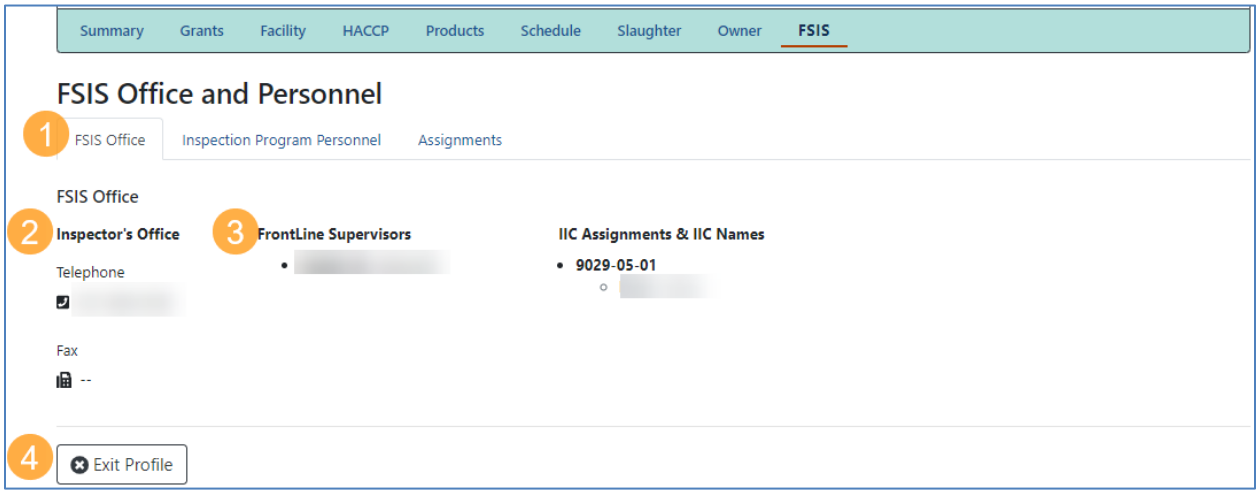


Figure 77: FSIS Office tab on the FSIS Office and Personnel page

Elements of the FSIS Office tab on the FSIS Office and Personnel page

1	The FSIS Office tab.
2	The Inspector's Office section lists the phone and fax number for FSIS personnel at the establishment.
3	The FrontLine Supervisors section displays the list of FrontLine Supervisors assigned to the selected establishment.
4	The Exit Profile button.

5.13.1.1 How to View FSIS Information

Industry users with the Plant Management or Corporate Administrator role can view FSIS information, including assigned FSIS Personnel for their establishment(s) in PHIS but cannot edit the information. If you notice an error, please contact your FSIS inspector.

Step 1	From the establishment profile record, select **FSIS**. PHIS displays the FSIS page with three tabs.
Step 2	On the FSIS tab, view the information.
Step 3	Select the Inspection Program Personnel tab to view the FSIS personnel who are assigned to this establishment.
Step 4	Select the Assignments tab to view the assignments that are associated with this establishment.

5.14 How to Apply for a New Establishment Online without a PDF

As an industry user with an active PHIS account, you can apply for a new establishment in PHIS. Be sure to send your signed FSIS Form 5200-2 and/or 5200-6 to your District Office once you have submitted your online application.

Step 1	From the top menu, select **Establishments**.
Step 2	Select **Add an Establishment**.
Step 3	On the Create Domestic Establishment Profile page, select the **Create Establishment Profile** option.
Step 4	On the Information tab, acknowledge that the process you want to perform is to create a new establishment. See Figure 78. If you want to apply for an inspection or service for an *existing* establishment, select **Cancel** and see the instructions in Sections 5.17-5.20.
Step 5	Select **Next**.
Step 6	On the Applicant Identifier tab, enter your Federal Employer Identification Number (FEIN). See Figure 79.
Step 7	Select **Next**. PHIS displays the Inspection Types tab of the Create Establishment Profile Wizard page. See Figure 80.
Step 8	For the Date of Application field, select a date.
Step 9	For the Jurisdiction field, select an option.
Step 10	For the Inspection Types field, select all of the applicable inspection types.
Step 11	If you selected one or more Federal Inspection types, PHIS displays two additional fields: • Person Signing the Application for Federal Inspection: Name (required) • Title If you selected the Voluntary Reimbursable Service type, PHIS displays two additional fields: • Person Signing the Application for Voluntary Reimbursable Service: Name (required) • Title
Step 12	Complete the fields and select **Next**. PHIS displays the Applicant Information tab of the Create Establishment Profile Wizard page.

Step 13	For the Type of Organization field, select an option. Note: If you select Corporation, additional data entry fields appear on the Application Information tab. See Figure 81. Note: If you select an option other than Corporation, the Application Information tab looks like Figure 82.
Step 14	Note: The Federal Employer ID and the DUNS # fields appear as read-only as you entered this information earlier in the process.
Step 15	For the Name field, enter the owner's name.
Step 16	For the Phone field, enter the owner's phone number.
Step 17	For the Email field, enter the owner's email, if available.
Step 18	In the Applicant's Mailing Address data entry block, enter the information.
Step 19	If you selected Corporation in Step 13, complete the additional fields; otherwise go to the next step.
Step 20	For the Convicted of a Crime field, select the appropriate option. If you select No, go to next step; if you select Yes, you will need to enter the details of the conviction(s) on the FSIS Form 5200-2. For now, go to the next step.
Step 21	Select **Next**. PHIS displays the Establishment Information 1 tab of the Create Establishment Profile Wizard page. See Figure 83.
Step 22	For the Actual Name of Company, enter the name.
Step 23	For the Phone field, enter the phone number
Step 24	For the Email field, enter the company's email, if available.
Step 25	For the Physical Location section, enter the information.
Step 26	For the District field, enter the district.
Step 27	For the Circuit field, enter the circuit.
Step 28	If the Mailing address is the same is the Physical Address, select the checkbox; otherwise, enter the mailing address information.
Step 29	Select **Next**. PHIS displays the Establishment Information 2 tab of the Create Establishment Profile Wizard page. See Figure 84.
Step 30	In the Ready to Operate field, enter a month and year, if known; otherwise go to the next step.
Step 31	For the Plans and Privacy section, answer all of the required questions.
Step 32	If there are one or more co-located establishments, add them to the Co-Located Establishments field, separated by either a space or a comma; otherwise, go to the next step.

Step 33	If there are one or more other names for the establishment, add them to the Other Names (DBAs) field, one per line.
Step 34	Select **Next**. PHIS displays the Summary tab of the Create Establishment Profile Wizard page. Figure 85.
Step 35	Review the information and if you find any data-entry errors, select **Previous** to correct them; otherwise, go to the next step.
Step 36	Select **Create Establishment Profile**. PHIS creates the record and opens the new establishment profile record to the Grants and Reimbursable Services page. Note: There is a tab for each inspection type selected in Step 10.
Step 37	On each tab, complete the sections you have information for and select **Save Profile**. PHIS displays a confirmation message.
Step 38	If you are ready to submit your application, select **Submit for Review**; otherwise, go to the next step.
Step 39	Select **Save Profile**. At this point your pending application is saved, but it has not been submitted. In order for the District Office to receive your application, you need to select **Submit for Review**. Note: PHIS deletes pending applications that are older than 30 days old.

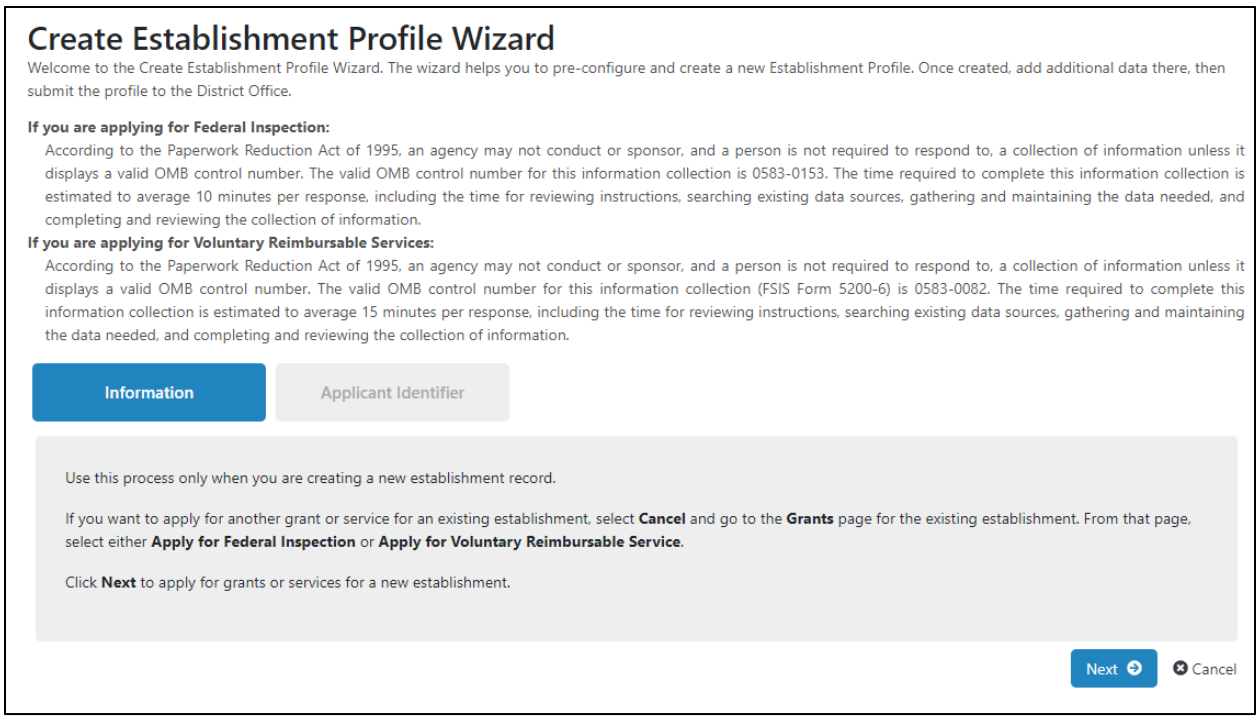


Figure 78: Information tab of the Create Establishment Profile Wizard page

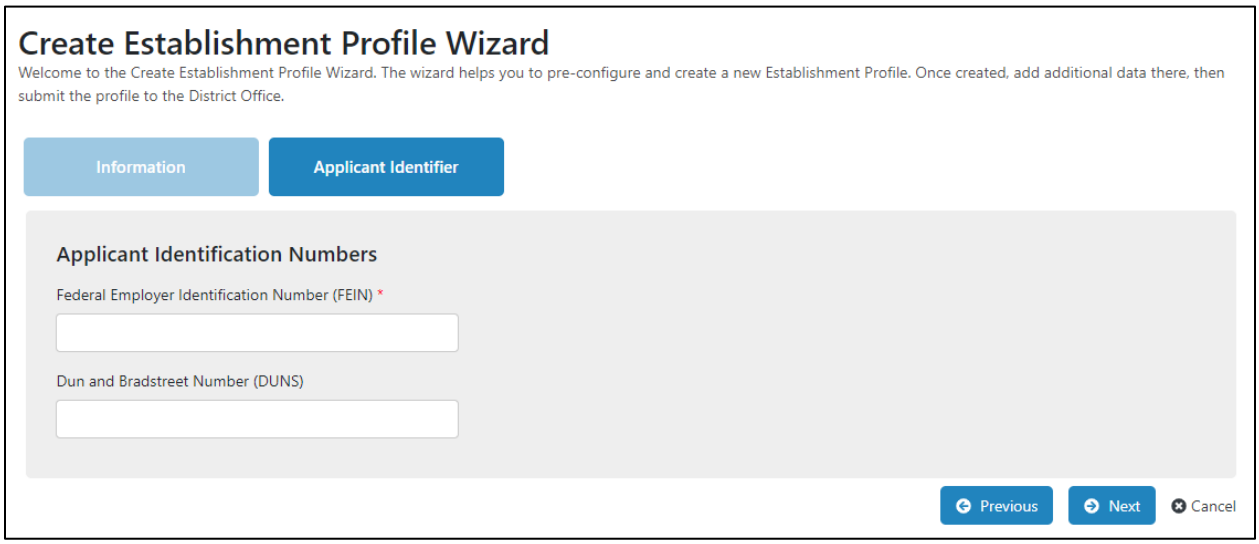


Figure 79: Applicant Identifier tab of the Create Establishment Profile Wizard page

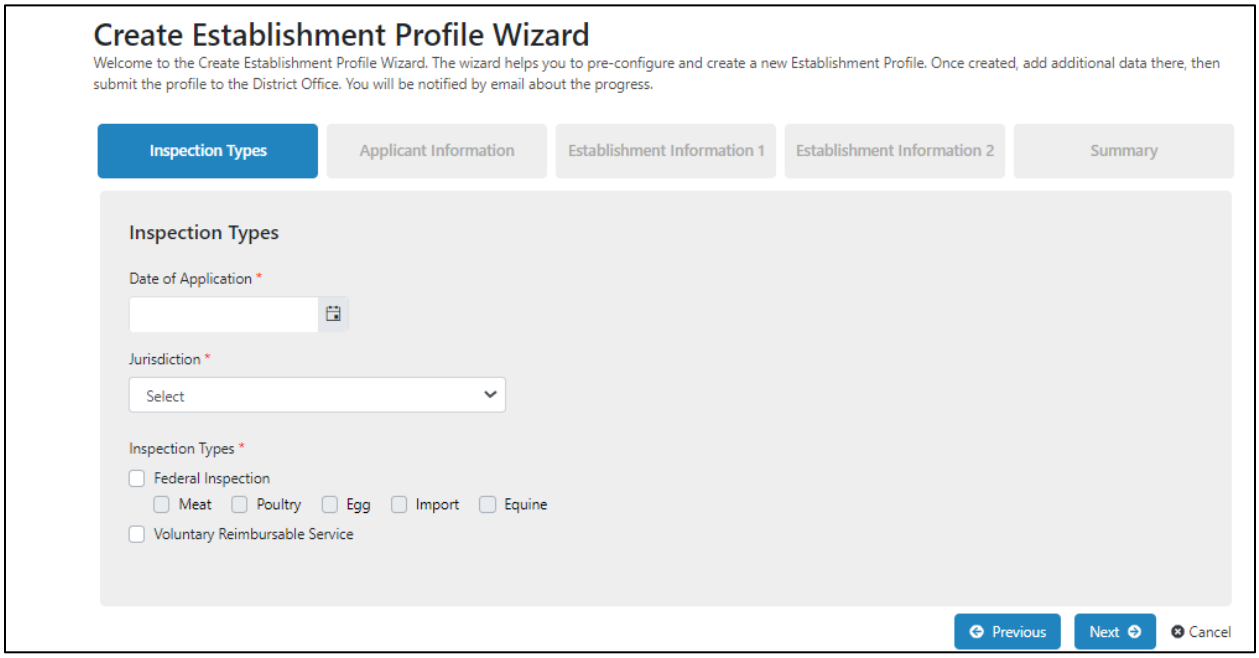


Figure 80: Inspection Types tab of the Create Establishment Profile Wizard page

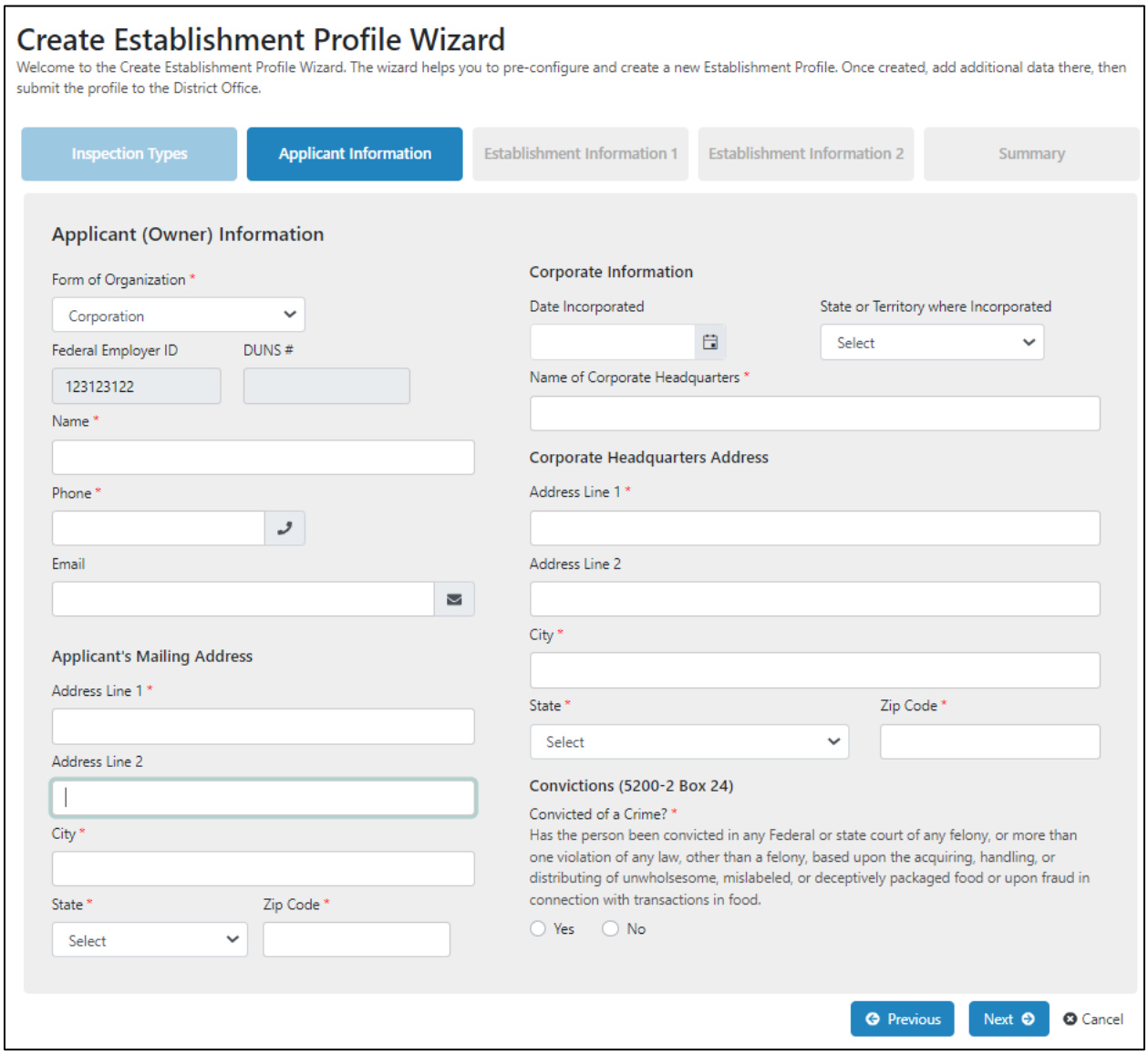


Figure 81: Applicant Information tab of the Create Establishment Profile Wizard page when the Form of Organization is Corporation

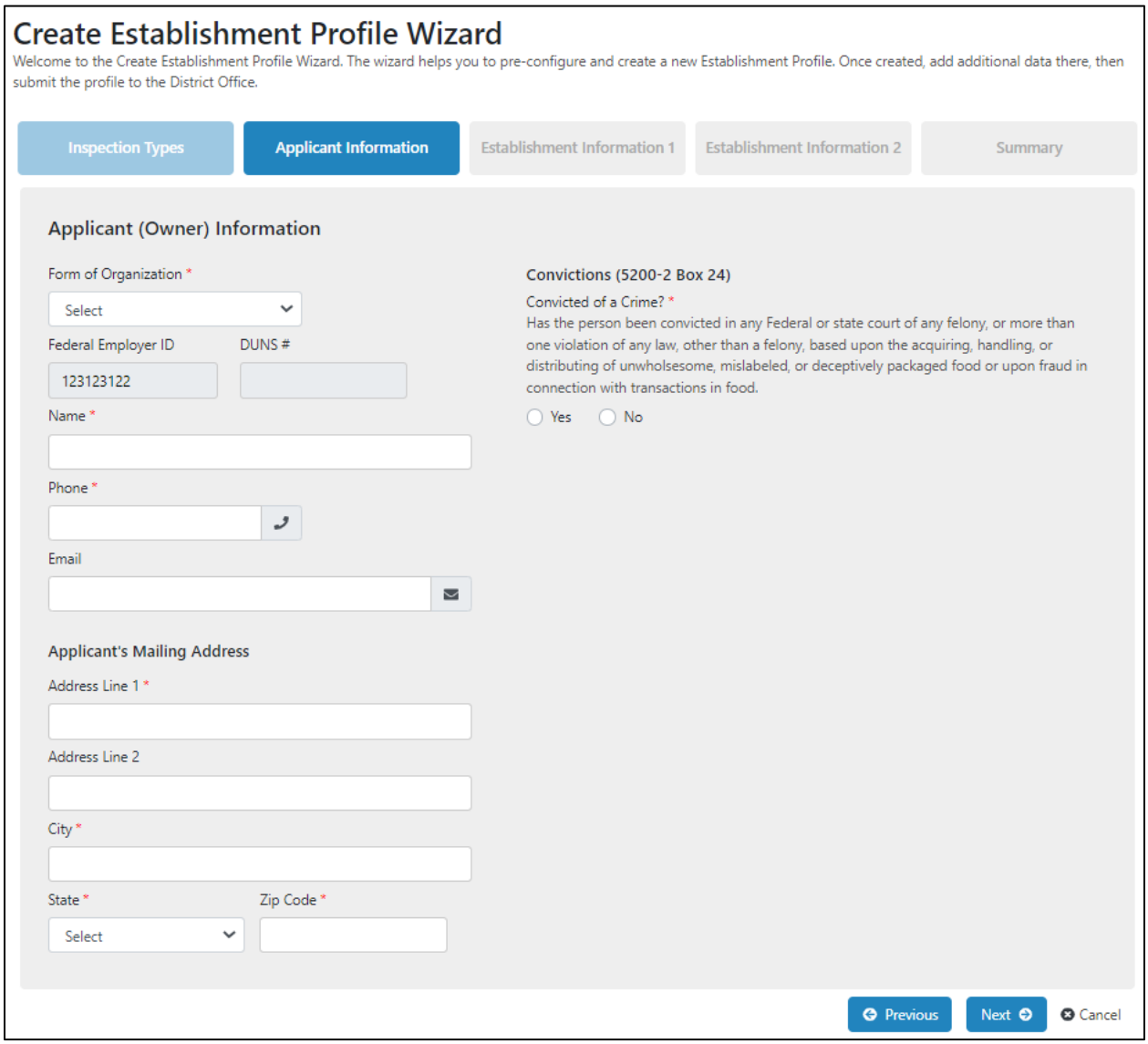


Figure 82: Applicant Information tab of the Create Establishment Profile Wizard page when the Form of Organization is not Corporation

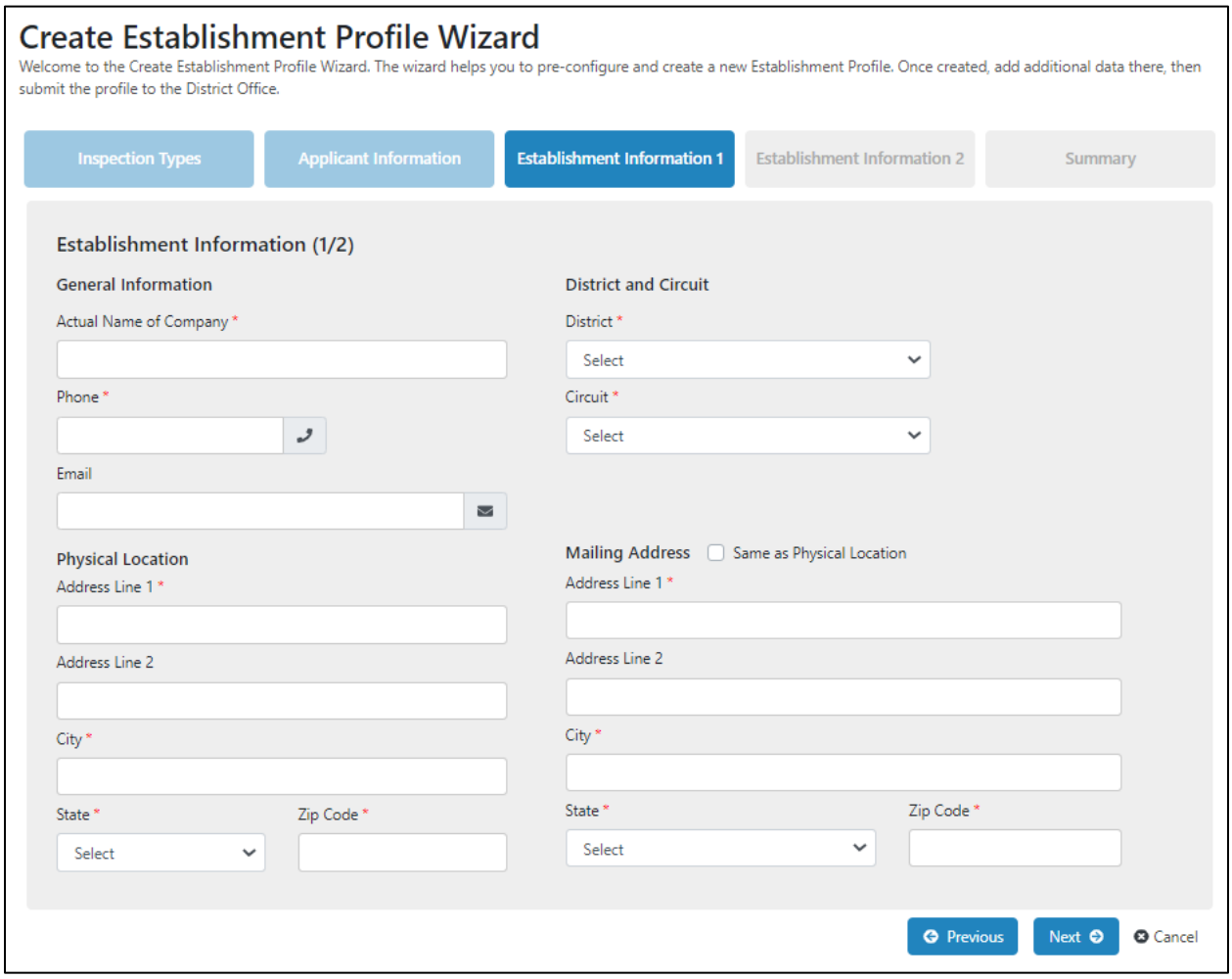


Figure 83: Establishment Information 1 tab of the Create Establishment Profile Wizard page

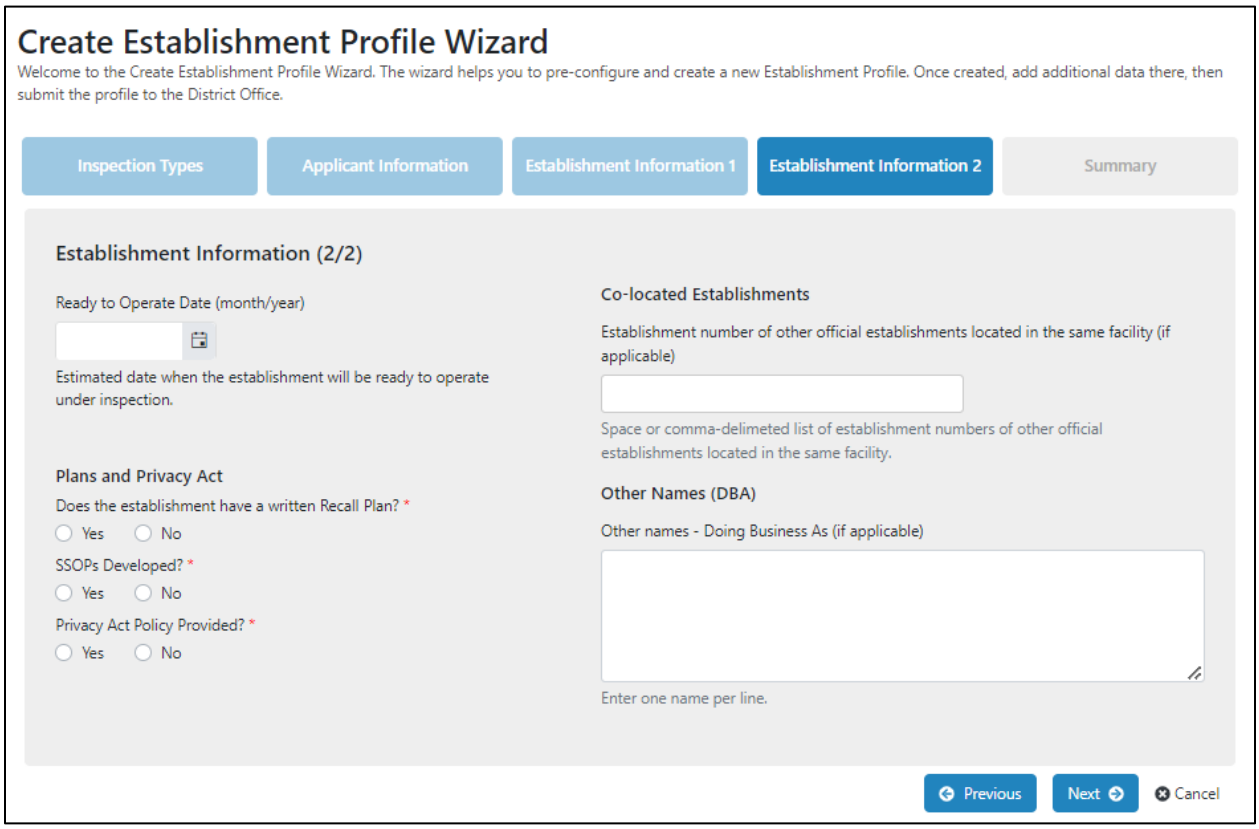


Figure 84: Establishment Information 2 tab of the Create Establishment Profile Wizard page

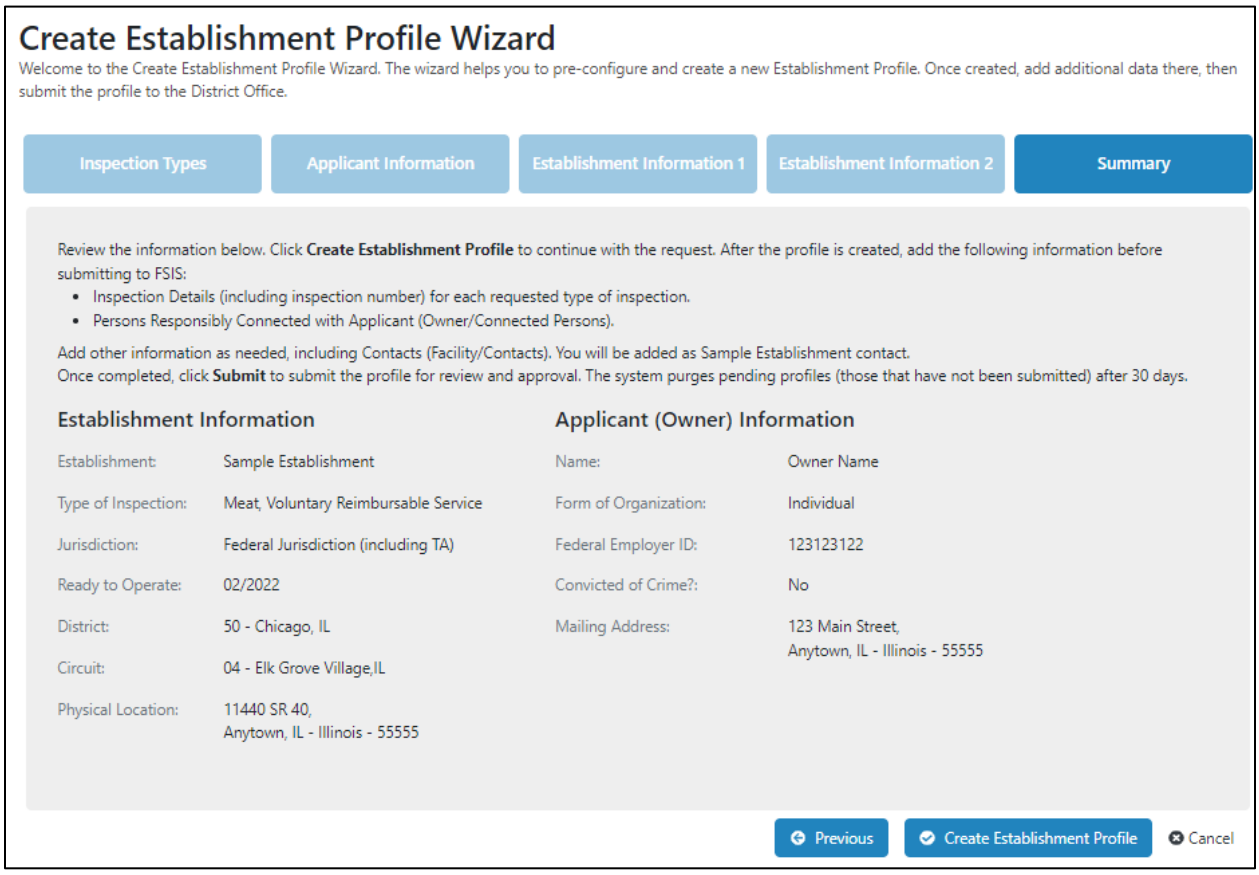


Figure 85: Summary tab of the Create Establishment Profile Wizard page

5.15 How to Apply for a New Establishment Online by Uploading FSIS Form 5200-2

As an industry user with an active PHIS account, you can apply for a new establishment by uploading your electronically completed PDF of an FSIS Form 5200-2 located on your computer. These steps are similar to the steps in section 5.14, except some information is pre-populated for you from the PDF.

Be sure to send your signed FSIS Form 5200-2 to your District Office once you have submitted your online application.

Step 1	From the top menu, select **Establishments**.
Step 2	Select **Add an Establishment**.
Step 3	On the Create Domestic Establishment Profile page, select the **Select Files** button. PHIS displays an Open window.
Step 4	Navigate to and select the appropriate FSIS Form 5200-2 PDF file.
Step 5	Select **Open**.
Step 6	Select **Upload and Create Establishment Profile**. PHIS changes the button label to Uploading.
Step 7	After the file is uploaded, PHIS displays the Information tab.
Step 8	On the Information tab, acknowledge that the process you want to perform is to create a new establishment. See Figure 78. If you want to apply for an inspection or service for an *existing* establishment, select **Cancel** and see the instructions in Sections 5.17-5.20.
Step 9	Select **Next**.
Step 10	On the Applicant Identifier tab, the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 11	Select **Next**. PHIS displays the Inspection Types tab of the Create Establishment Profile Wizard page.
Step 12	On the Inspection Types tab, the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 13	Select **Next**. PHIS displays the Applicant Information tab of the Create Establishment Profile Wizard page.
Step 14	On the Applicant Information tab, the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 15	Select **Next**. PHIS displays the Establishment Information 1 tab of the Create Establishment Profile Wizard page.

Step 16	On the Establishment Information 1 tab, some the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 17	For the District field, enter the district.
Step 18	For the Circuit field, enter the circuit.
Step 19	If the Mailing address is the same is the Physical Address, select the checkbox; otherwise, enter the mailing address information.
Step 20	Select **Next**. PHIS displays the Establishment Information 2 tab of the Create Establishment Profile Wizard page.
Step 21	On the Establishment Information 2 tab, some the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 22	In the Ready to Operate field, enter a month and year, if known; otherwise go to the next step.
Step 23	Select **Next**. PHIS displays the Summary tab of the Create Establishment Profile Wizard page.
Step 24	Review the information and if you find any data-entry errors, select **Previous** to correct them; otherwise, go to the next step.
Step 25	Select **Create Establishment Profile**. PHIS creates the record and opens the new establishment profile record to the Grants and Reimbursable Services page. Note: There is a tab for each inspection type that was selected in the application.
Step 26	On each tab, complete the sections you have information for and select **Save Profile**. PHIS displays a confirmation message.
Step 27	If you are ready to submit your application, select **Submit for Review**; otherwise, go to the next step.
Step 28	Select **Save Profile**. At this point your pending application is saved, but it has not been submitted. In order for the District Office to receive your application, you need to select **Submit for Review**. Note: PHIS deletes pending applications that are older than 30 days old.

5.16 How to Apply for a New Establishment Online by Uploading FSIS Form 5200-6

Use these steps when you have an electronically completed PDF of an FSIS Form 5200-6 located on your computer. These steps are similar to the steps in section 5.14, except some information is pre-populated for you from the PDF.

Be sure to send your signed FSIS Form 5200-6 to your District Office once you have submitted your online application.

Step 1	From the top menu, select **Establishments**.
Step 2	Select **Add an Establishment**.
Step 3	On the Create Domestic Establishment Profile page, select the **Select Files** button. PHIS displays an Open window.
Step 4	Navigate to and select the appropriate FSIS Form 5200-6 PDF file.
Step 5	Select **Open**.
Step 6	Select **Upload and Create Establishment Profile**. PHIS changes the button label to Uploading.
Step 7	After the file is uploaded, PHIS displays the Information tab.
Step 8	On the Information tab, acknowledge that the process you want to perform is to create a new establishment. See Figure 78. If you want to apply for an inspection or service for an *existing* establishment, select **Cancel** and see the instructions in Sections 5.17-5.20.
Step 9	Select **Next**.
Step 10	On the Applicant Identifier tab, complete the Federal Employer Identification Number (FEIN) field.
Step 11	Select **Next**. PHIS displays the Inspection Types tab of the Create Establishment Profile Wizard page.
Step 12	On the Inspection Types tab, some of the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 13	In the Jurisdiction field, select an option.
Step 14	Select **Next**. PHIS displays the Applicant Information tab of the Create Establishment Profile Wizard page.
Step 15	On the Applicant Information tab, some or all of the required information should be pre-populated if it was included in the application. If not, complete the required fields.

Step 16	Select **Next**. PHIS displays the Establishment Information 1 tab of the Create Establishment Profile Wizard page.
Step 17	On the Establishment Information 1 tab, some the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 18	For the District field, enter the district.
Step 19	For the Circuit field, enter the circuit.
Step 20	If the Mailing address is the same is the Physical Address, select the checkbox; otherwise, enter the mailing address information.
Step 21	Select **Next**. PHIS displays the Summary tab of the Create Establishment Profile Wizard page.
Step 22	Review the information and if you find any data-entry errors, select **Previous** to correct them; otherwise, go to the next step.
Step 23	Select **Create Establishment Profile**. PHIS creates the record and opens the new establishment profile record to the Voluntary tab of the Grants and Reimbursable Services page.
Step 24	On the Voluntary tab, complete any applicable information and select **Save Profile**. PHIS displays a confirmation message.
Step 25	If you are ready to submit your application, select **Submit for Review**; otherwise, go to the next step.
Step 26	Select **Save Profile**. At this point your pending application is saved, but it has not been submitted. In order for the District Office to receive your application, you need to select **Submit for Review**. Note: PHIS deletes pending applications that are older than 30 days old.

5.17 How to Apply for New Federal Grant of Inspection for one of your Existing Establishments

As an industry user with an active PHIS account, you can apply in PHIS for a new Federal grant of inspection for one of your existing establishments.

Be sure to send your signed FSIS Form 5200-2 to your District Office once you are finished.

Step 1	From the Establishment Profile record, select **Grants**.
Step 2	Select **Apply for Federal Inspection**.
Step 3	On the Apply for Federal Inspection Step 1 tab, select the appropriate Inspection Type(s) and the Skip the 5200-2 FSIS Form option. See Figure 86.
Step 4	Select **Next**.
Step 5	On the Apply for Federal Inspection Step 2 tab, for the Date of Application field, enter a date. See Figure 87.
Step 6	For the Name field in the Person Signing the Application for Federal Inspection section, enter the name.
Step 7	For the Title, field, enter the title.
Step 8	Select **Apply for Inspection**.
Step 9	PHIS displays the Grants and Reimbursable Services page with the new tab(s).
Step 10	Select **Exit Profile**.

Figure 86: Apply for Federal Inspection Step 1 tab

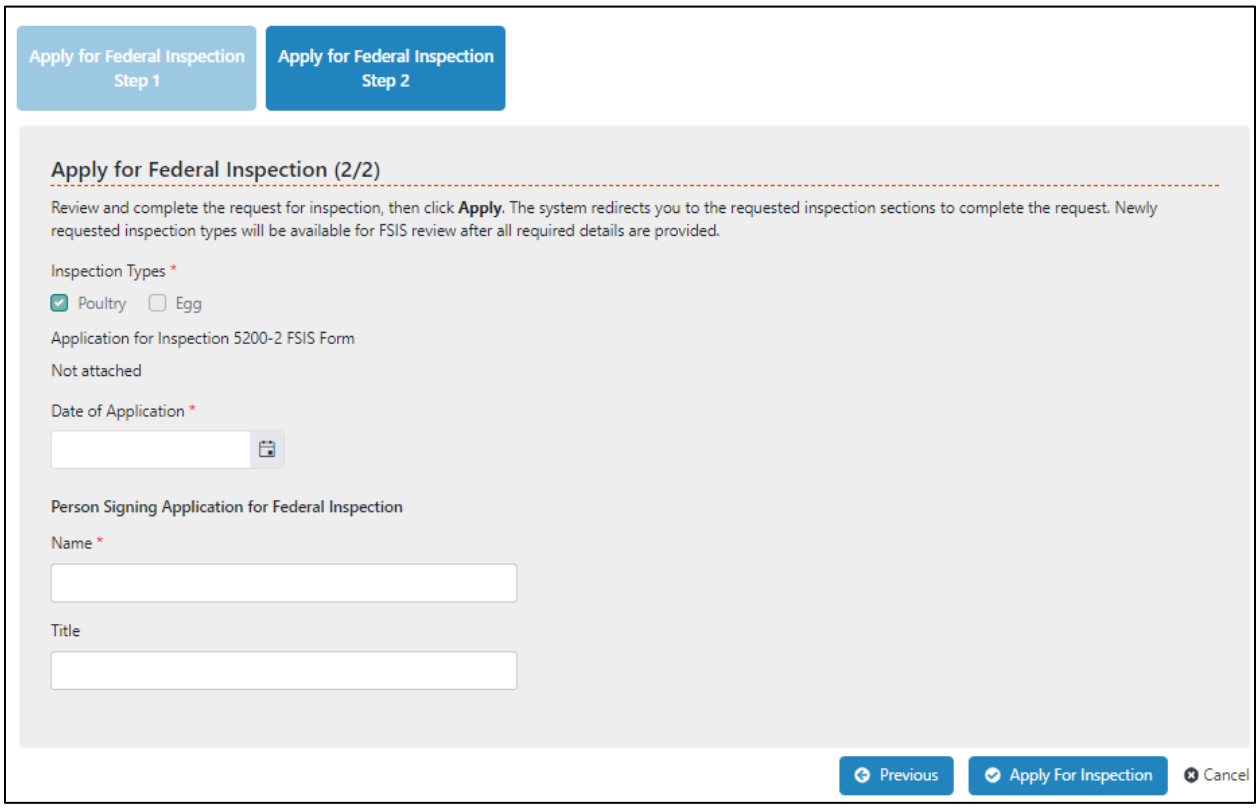


Figure 87: Apply for Federal Inspection Step 2 tab

5.18 How to Apply for New Federal Grant of Inspection with a FSIS Form 5200-2 PDF for one of your Existing Establishments

As an industry user with an active PHIS account, you can apply for a new Federal grant of inspection for one of your establishments by uploading your electronically completed PDF of an FSIS Form 5200-2 located on your computer. These steps are similar to the steps in section 5.17 except some information is pre-populated for you from the PDF and the PDF is automatically uploaded to the establishment record as part of the process.

Be sure to send your signed FSIS Form 5200-2 to your District Office once you are finished.

Step 1	From the Establishment Profile record, select **Grants**.
Step 2	Select **Apply for Federal Inspection**.
Step 3	On the Apply for Federal Inspection Step 1 tab, select the appropriate Inspection Type(s) and the Attach the 5200-2 FSIS Form option. See Figure 88.
Step 4	Select the **Select Files** option.
Step 5	On the Open window, navigate to the file you saved and select **Open**.
Step 6	Select **Next**.
Step 7	On the Apply for Federal Inspection Step 2 tab, for the Date of Application field, enter a date. See Figure 89.
Step 8	For the Name field in the Person Signing the Application for Federal Inspection section, enter the name.
Step 9	For the Title, field, enter the title.
Step 10	Select **Apply for Inspection**.
Step 11	After PHIS has processed the PDF, PHIS displays the Grants and Reimbursable Services page with the new tab(s).
Step 12	PHIS displays the Grants and Reimbursable Services page with the new tab(s).
Step 13	Select **Exit Profile**.

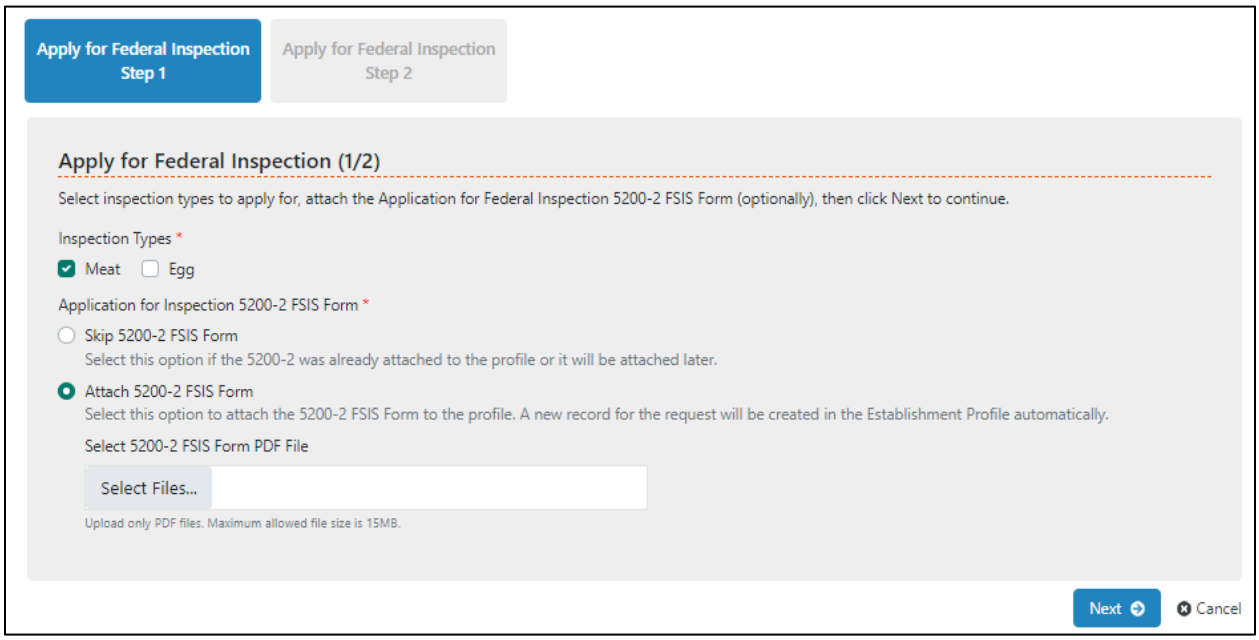


Figure 88: Apply for Federal Inspection Step 1 tab with the Attach 5200-2 FSIS Form Selected

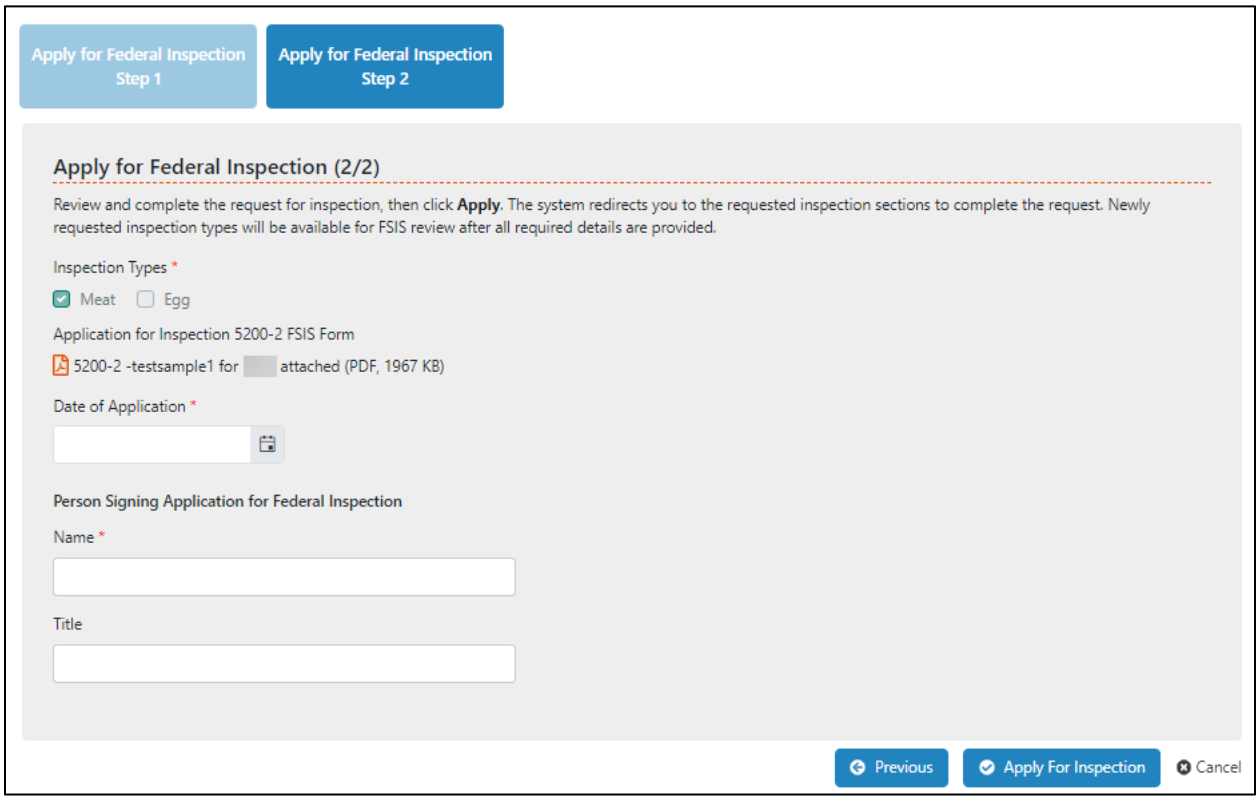


Figure 89: Apply for Federal Inspection Step 2 tab with the Attach 5200-2 FSIS Form Attached

5.19 How to Apply for a Voluntary Reimbursable Service for one of your Existing Establishments

As an industry user with an active PHIS account, you can apply in PHIS for a Voluntary Reimbursable Service for one of your existing establishments.

Be sure to send your signed FSIS Form 5200-6 to your District Office once you are finished.

Step 1	From the Establishment Profile record, select **Grants**.
Step 2	Select **Apply for Voluntary Reimbursable Services**.
Step 3	On the Apply for Federal Inspection Step 1 tab, select the Skip the 5200-6 FSIS Form option. See Figure 90.
Step 4	Select **Next**.
Step 5	On the Apply for Federal Inspection Step 2 tab, for the Date of Application field, enter a date. See Figure 91.
Step 6	For the Name field in the Person Signing the Application for Federal Inspection section, enter the name.
Step 7	For the Title, field, enter the title.
Step 8	Select **Apply for Inspection**.
Step 9	PHIS displays the Grants and Reimbursable Services page with the new Voluntary tab.
Step 10	Select **Exit Profile**.

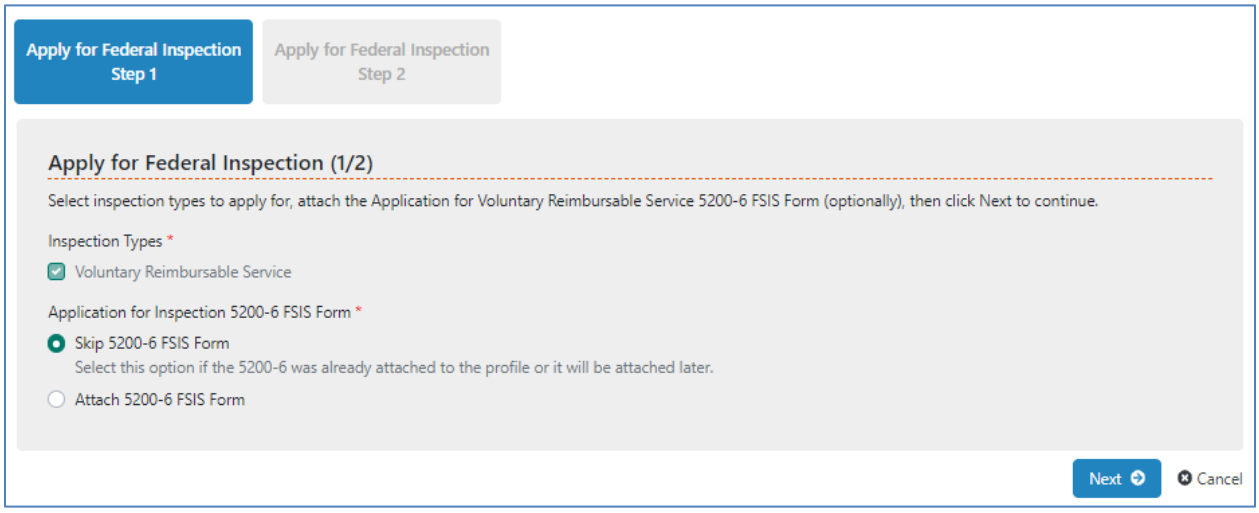


Figure 90: Apply for Federal Inspection Step 1 tab for a Voluntary Reimbursable Service record

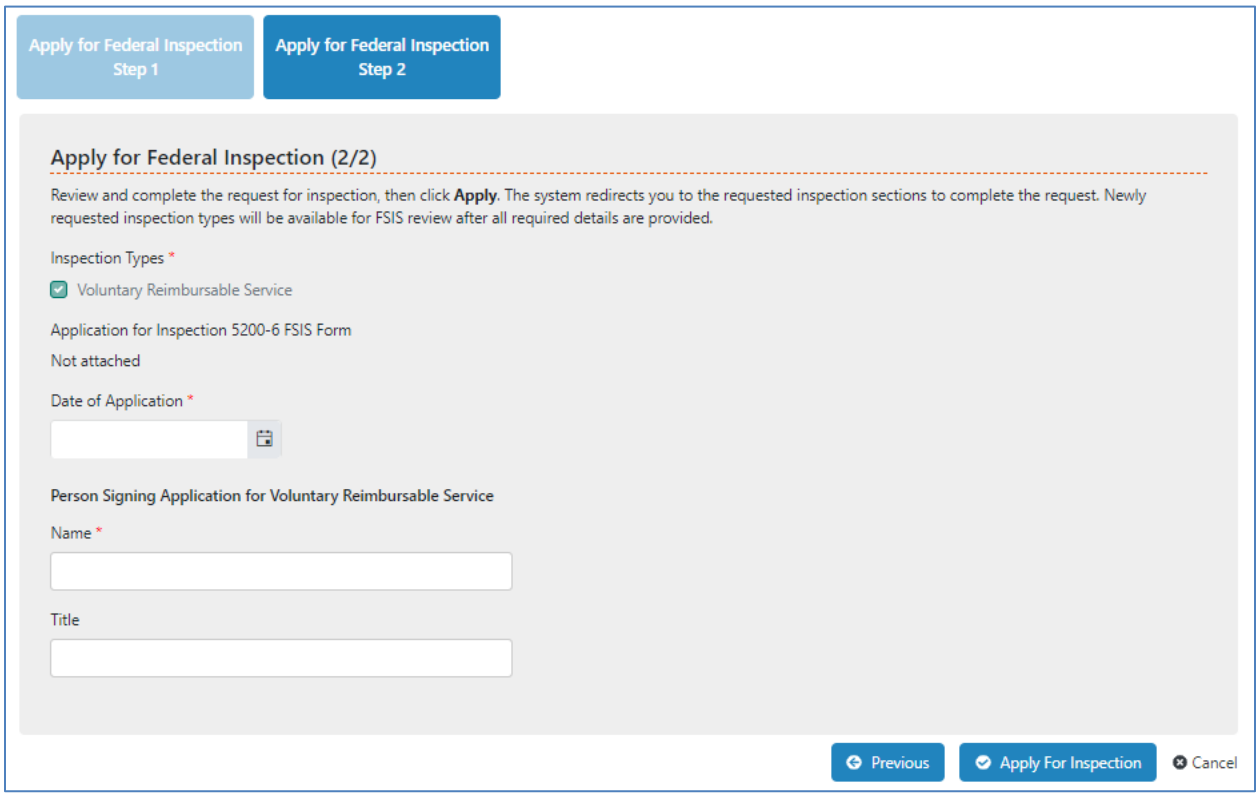


Figure 91: Apply for Federal Inspection Step 2 tab for a Voluntary Reimbursable Service record

5.20 How to Apply for Voluntary Reimbursable Service with a FSIS Form 5200-6 PDF for one of your Existing Establishments

As an industry user with an active PHIS account, you can apply for a new Federal grant of inspection for one of your establishments by uploading your electronically completed PDF of an FSIS Form 5200-6 located on your computer. These steps are similar to the steps in section 5.19 except some information is pre-populated for you from the PDF and the PDF is automatically uploaded to the establishment record as part of the process.

Be sure to send your signed FSIS Form 5200-6 to your District Office once you are finished.

Step 1	From the Establishment Profile record, select **Grants**.
Step 2	Select **Apply for Federal Inspection**.
Step 3	On the Apply for Federal Inspection Step 1 tab, select the appropriate Inspection Type(s) and the Attach the 5200-6 FSIS Form option. See Figure 92.
Step 4	Select the **Select Files** option.
Step 5	On the Open window, navigate to the file you saved and select **Open**.
Step 6	Select **Next**.
Step 7	On the Apply for Federal Inspection Step 2 tab, for the Date of Application field, enter a date. See Figure 93.
Step 8	For the Name field in the Person Signing the Application for Federal Inspection section, enter the name.
Step 9	For the Title, field, enter the title.
Step 10	Select **Apply for Inspection**.
Step 11	After PHIS has processed the PDF, PHIS displays the Grants and Reimbursable Services page with the new tab(s).
Step 12	On each new tab, complete the sections you have information for and select **Save Profile**. PHIS displays a confirmation message.
Step 13	If you want to validate that the PDF file is saved to the establishment record, follow the remaining steps; otherwise, select **Exit Profile**.
Step 14	With the establishment profile record still open, select **Attachments**.
Step 15	On the Attachments page, select the Applications for Inspections tab. Note the most recent record in the grid is the 5200-6 PDF you just used.
Step 16	Select **Exit Profile**.

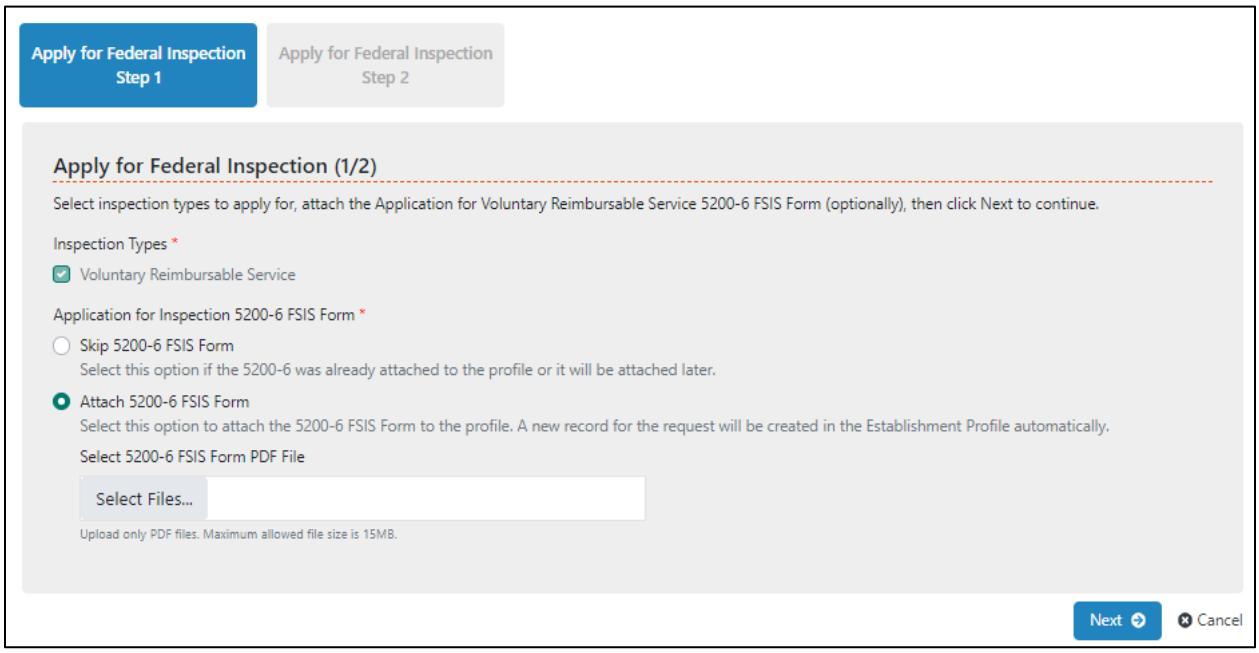


Figure 92: Apply for Federal Inspection Step 1 tab with the Attach 5200-6 FSIS Form option Selected

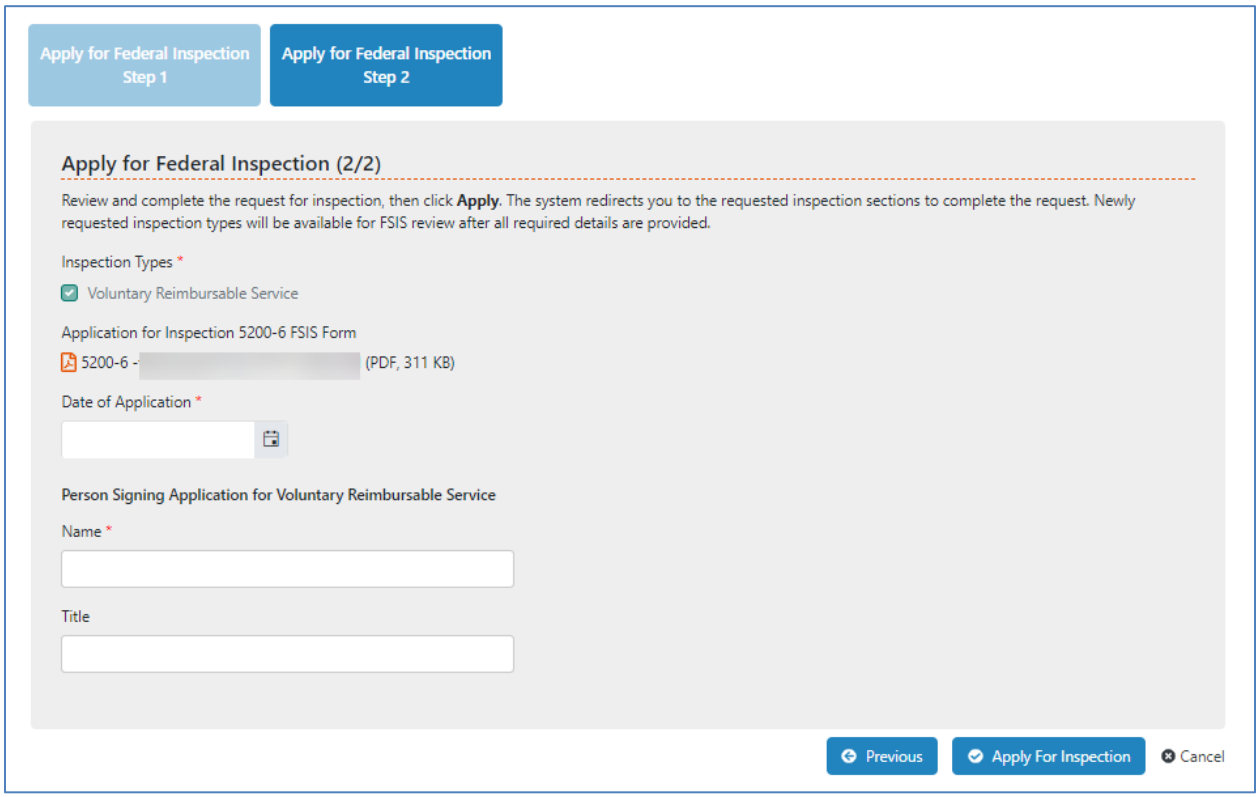


Figure 93: Apply for Federal Inspection Step 2 tab with the 5200-6 FSIS Form Attached

6. PHIS Guide for Industry Users: Animal Disposition

6.1 Overview

This section provides an overview of the plant management functions within PHIS that are related to Animal Disposition. Users with the Corporate Administrator role also have access to these Plant Management related menus and functions.

6.1.1 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 or the Corporate Administrator 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 94).
Step 6	Expand any of the slaughter rows to view disposition records by selecting the **triangle** to the left of the row.

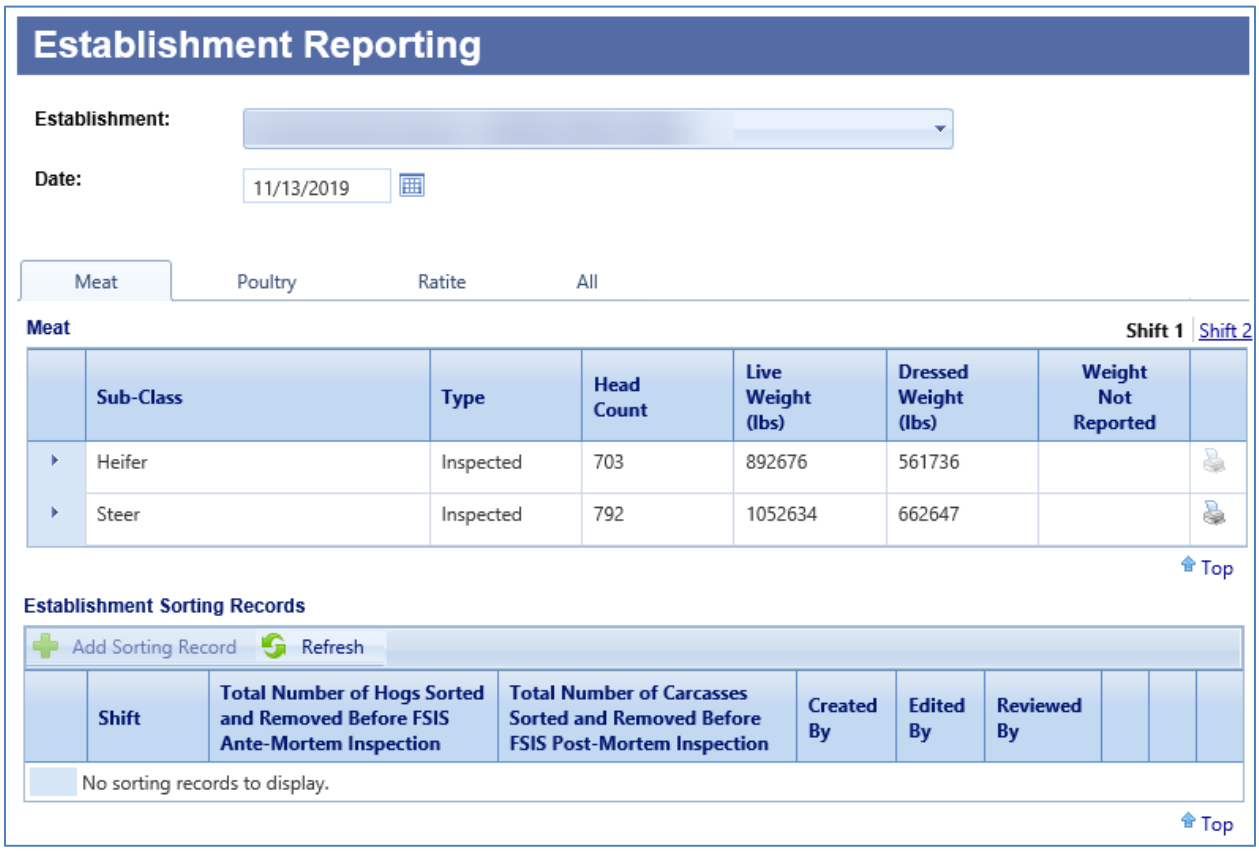


Figure 94: Establishment Reporting page with Meat Slaughter and Establishment Sorting Record grids for Plant Management

Note that in Figure 94 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 95, no disposition records are displayed after the first row is expanded and two disposition records are displayed after the second slaughter record is expanded.

Figure 95: Establishment Reporting page with Expanded Meat Slaughter grid for Plant Management

6.1.2 Plant Management: How to Generate Condemnation Certificates

Step 1	Log in to PHIS with the Plant Management role or the Corporate Administrator 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

6.1.3 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 or the Corporate Administrator 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 Establishment Sorting Records grid, select **Add Sorting Record**.

Figure 96: 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.

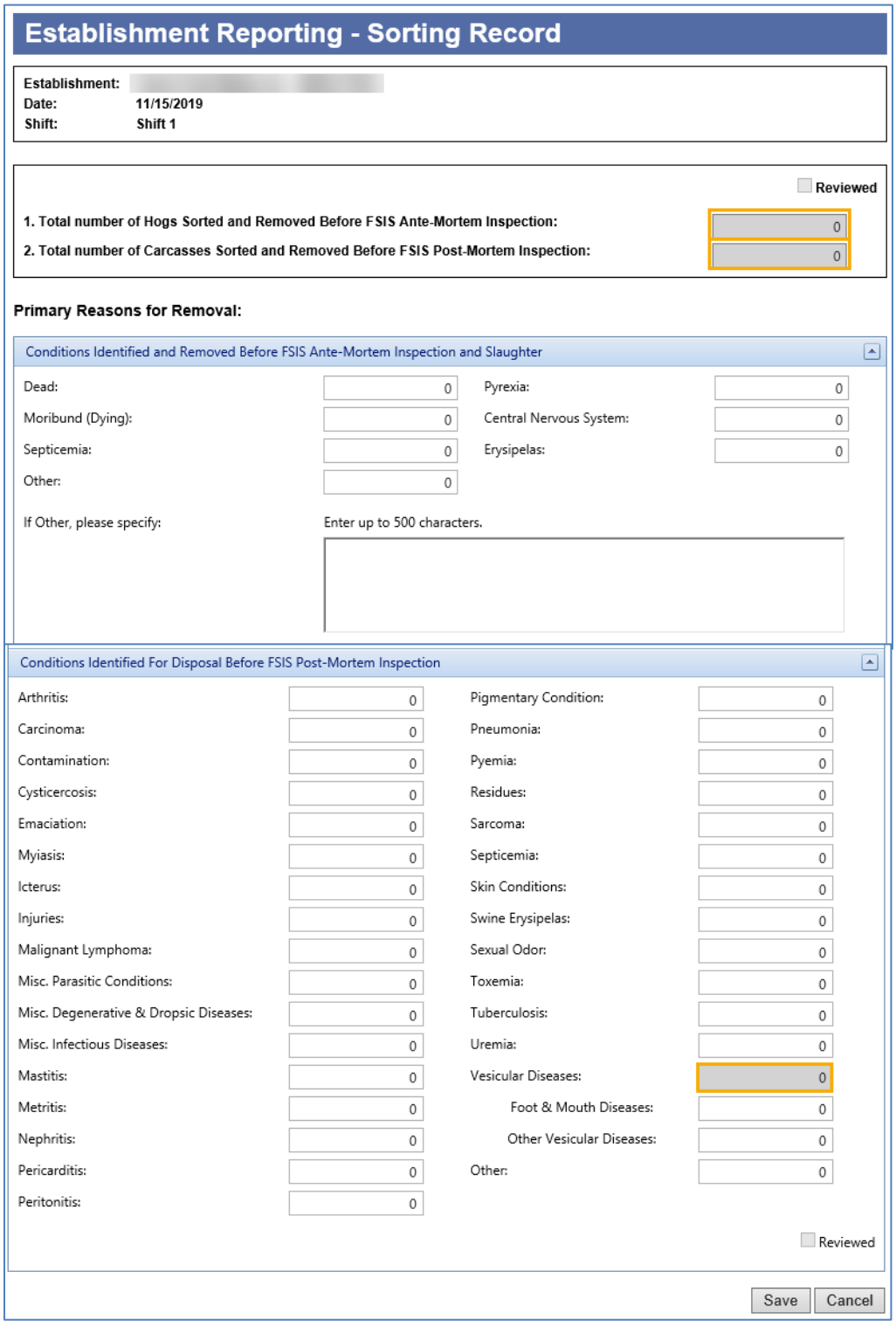


Figure 97: Establishment Reporting – Sorting Record page for Plant Management

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.

6.1.4 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

6.1.5 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.

7. PHIS Guide for Industry: Reports

7.1 Overview

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

7.1.1 Plant Management: How to Generate Reports

Step 1	Log in to PHIS with the Plant Management role or the Corporate Administrator role.
Step 2	From the menu, select **View Report**. The Inventory of Standard Reports page appears.

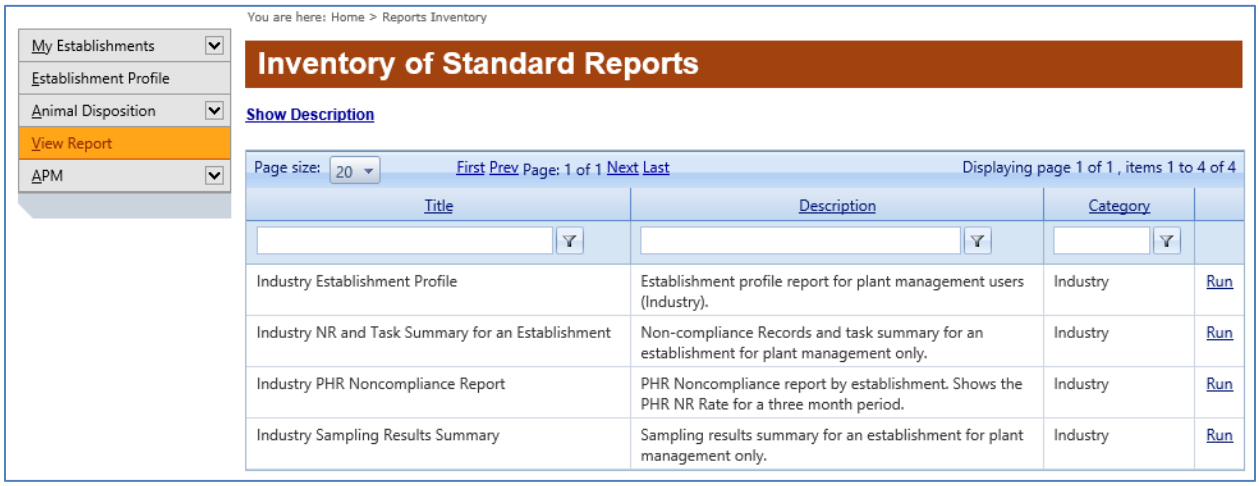


Figure 98: The Inventory of Standard Reports page for Plant Management

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.**

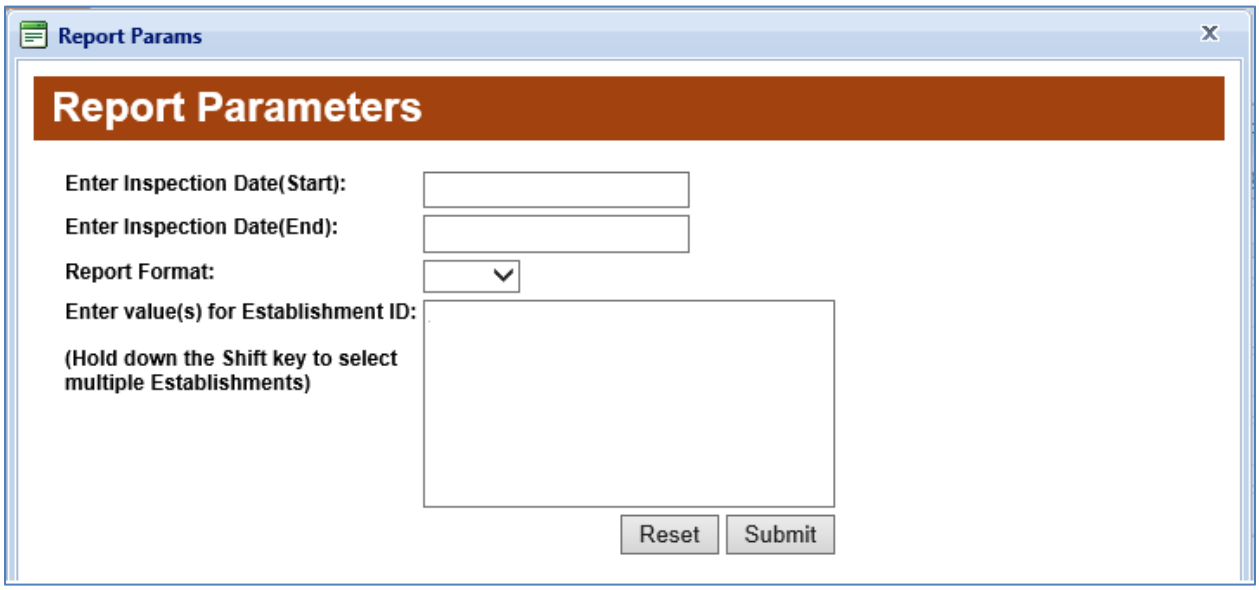
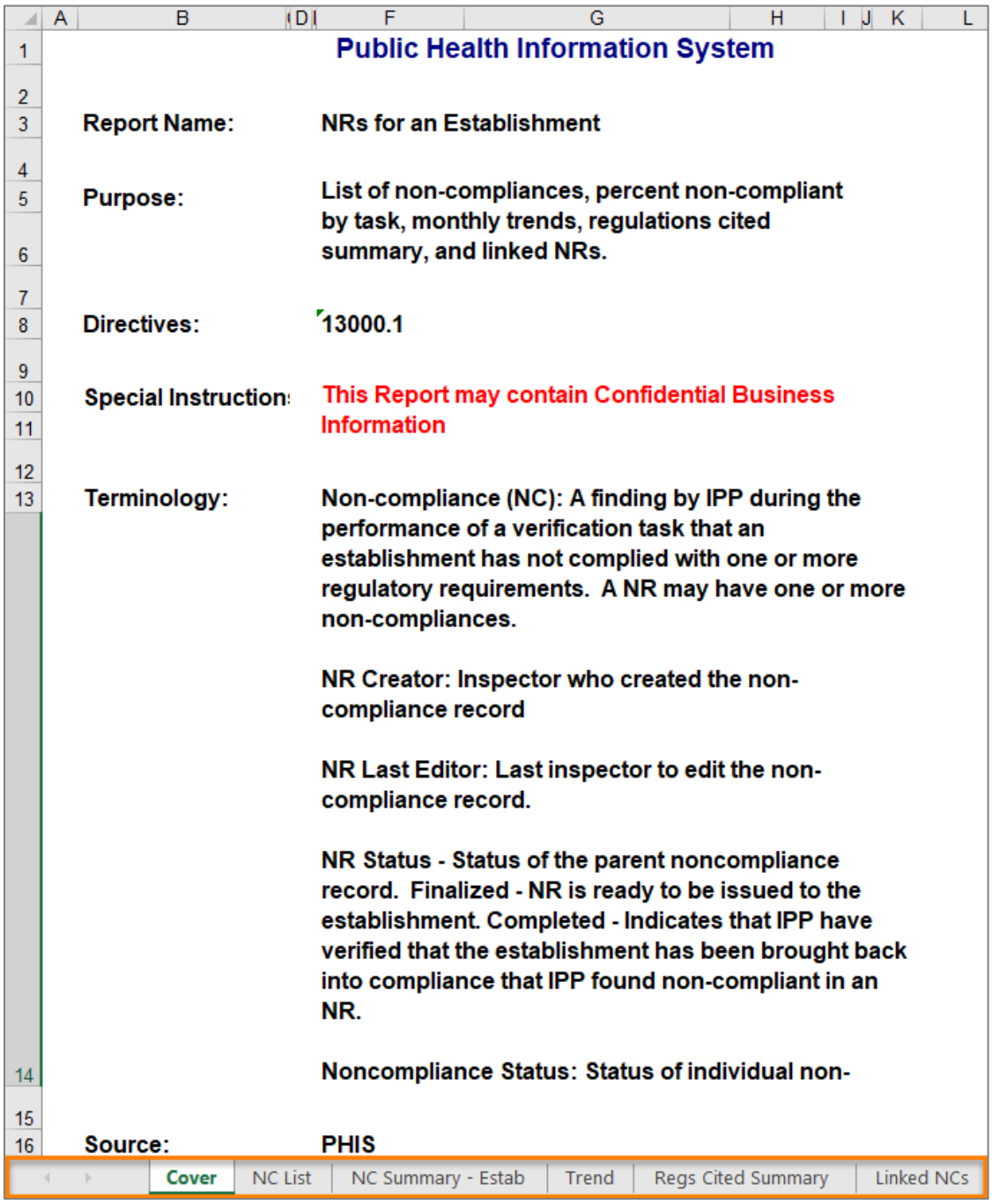


Figure 99: Report Parameter page for Plant Management

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.



Public Health Information System

Report Name:	**NRs for an Establishment**
Purpose:	**List of non-compliances, percent non-compliant by task, monthly trends, regulations cited summary, and linked NRs.**
Directives:	**13000.1**
Special Instruction:	**This Report may contain Confidential Business Information**
Terminology:	**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.** **NR Creator: Inspector who created the non-compliance record** **NR Last Editor: Last inspector to edit the non-compliance record.** **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.** **Noncompliance Status: Status of individual non-**
Source:	**PHIS**

Cover | NC List | NC Summary - Estab | Trend | Regs Cited Summary | Linked NCs

Figure 100: Sample Industry Report Output in Excel for Plant Management

8. PHIS Guide for Industry Users: Export

8.1 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.

8.1.1 9060 Application for Export Certificates

8.1.1.1 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 users 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

Table 22: Access Control can be assigned to the above PHIS Account Types

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

Access Control is discussed further on page 141, 0 of Section 8.1.1.2.

8.1.1.2 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 8.1.2 Replacements.

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

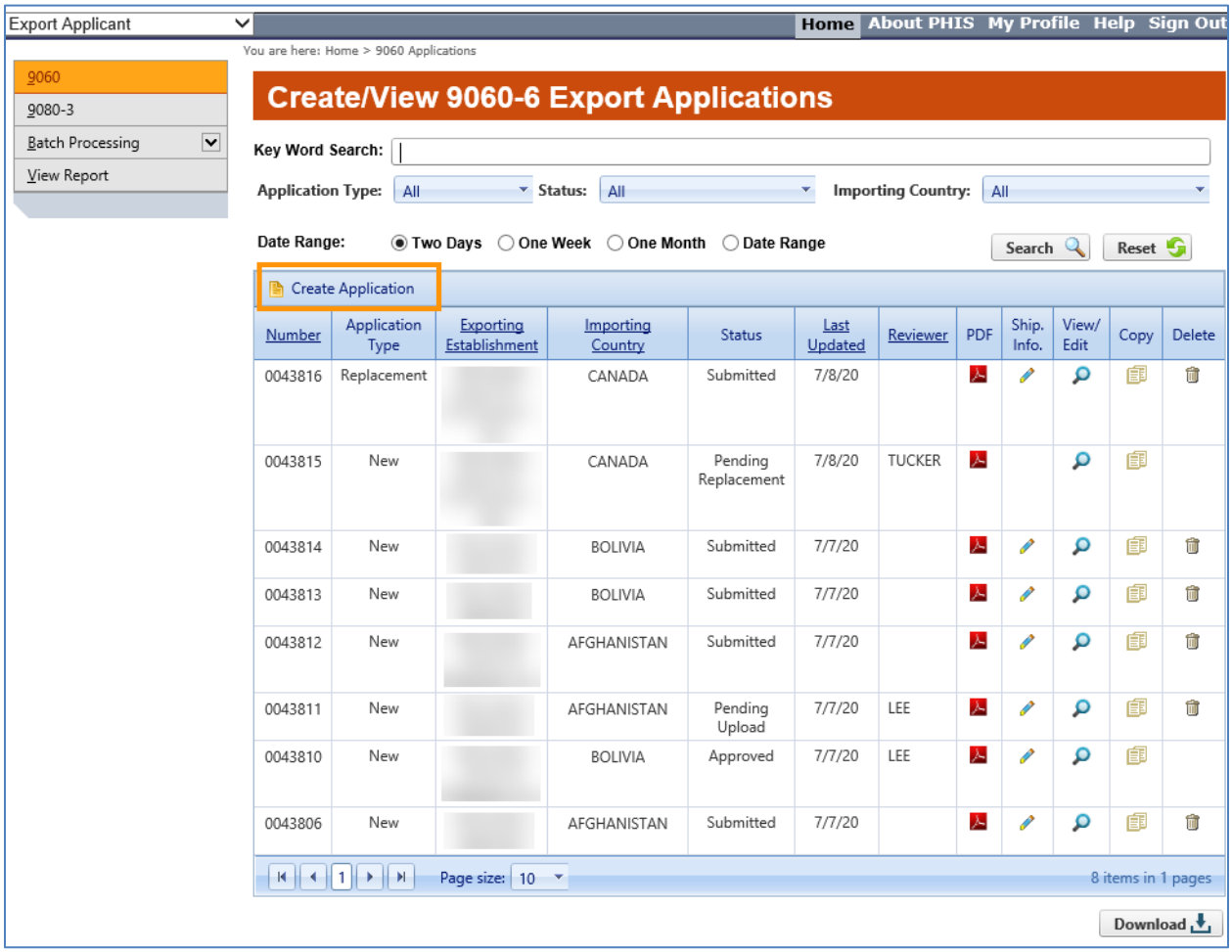


Figure 101: Create/View 9060-6 Export Applications

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

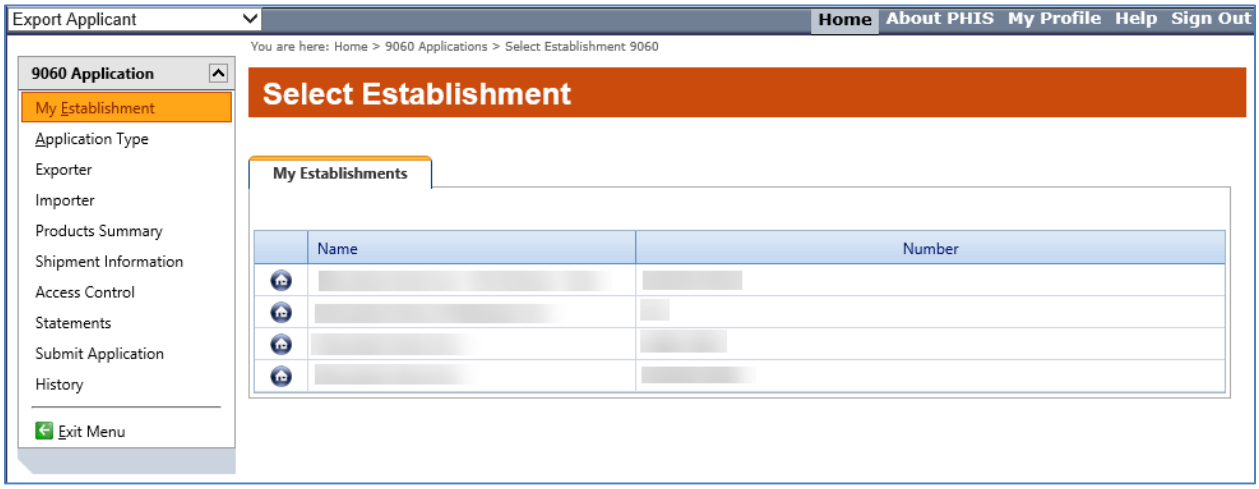


Figure 102: Associate Establishment with 9060

Step 5	From the list of establishments that you are associated with, select the **House** icon for the desired exporting establishment.
Step 6	On the Select 9060-6 Export Application page, select one of the options in the Shipment Type field.
Step 7	For the Application Type field, select New.
Step 8	Select **Next.**

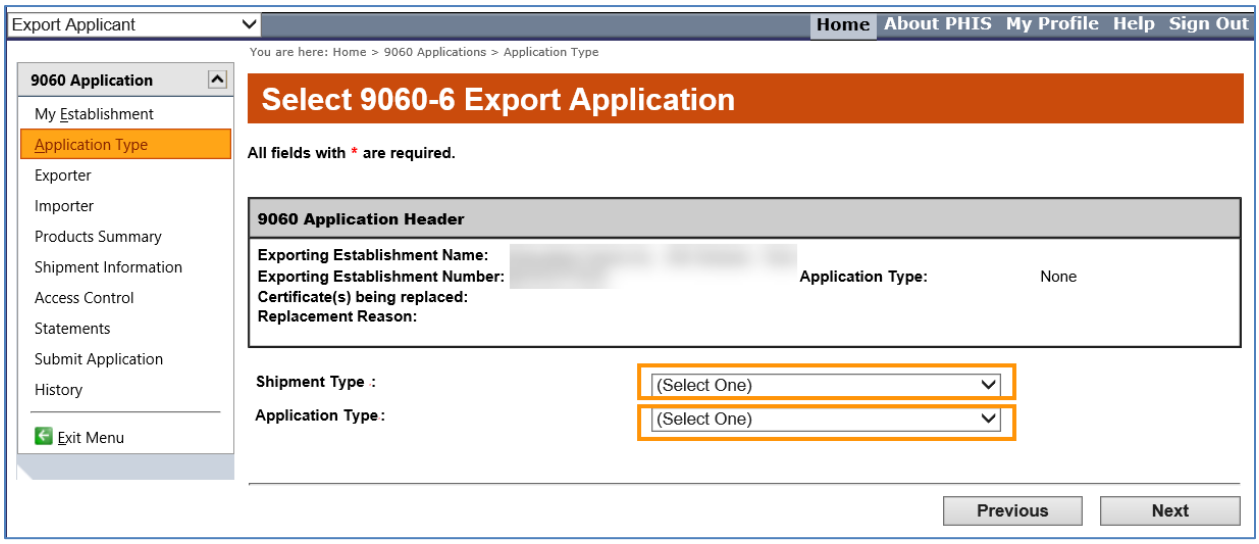


Figure 103: Select Shipment and Application types for 9060

Step 9	On the Exporter page, complete all required fields. For the Export Establishment Number field, select the option that best corresponds with the product (M for meat, P for poultry etc. or select an Establishment Number without the commodity prefix.)

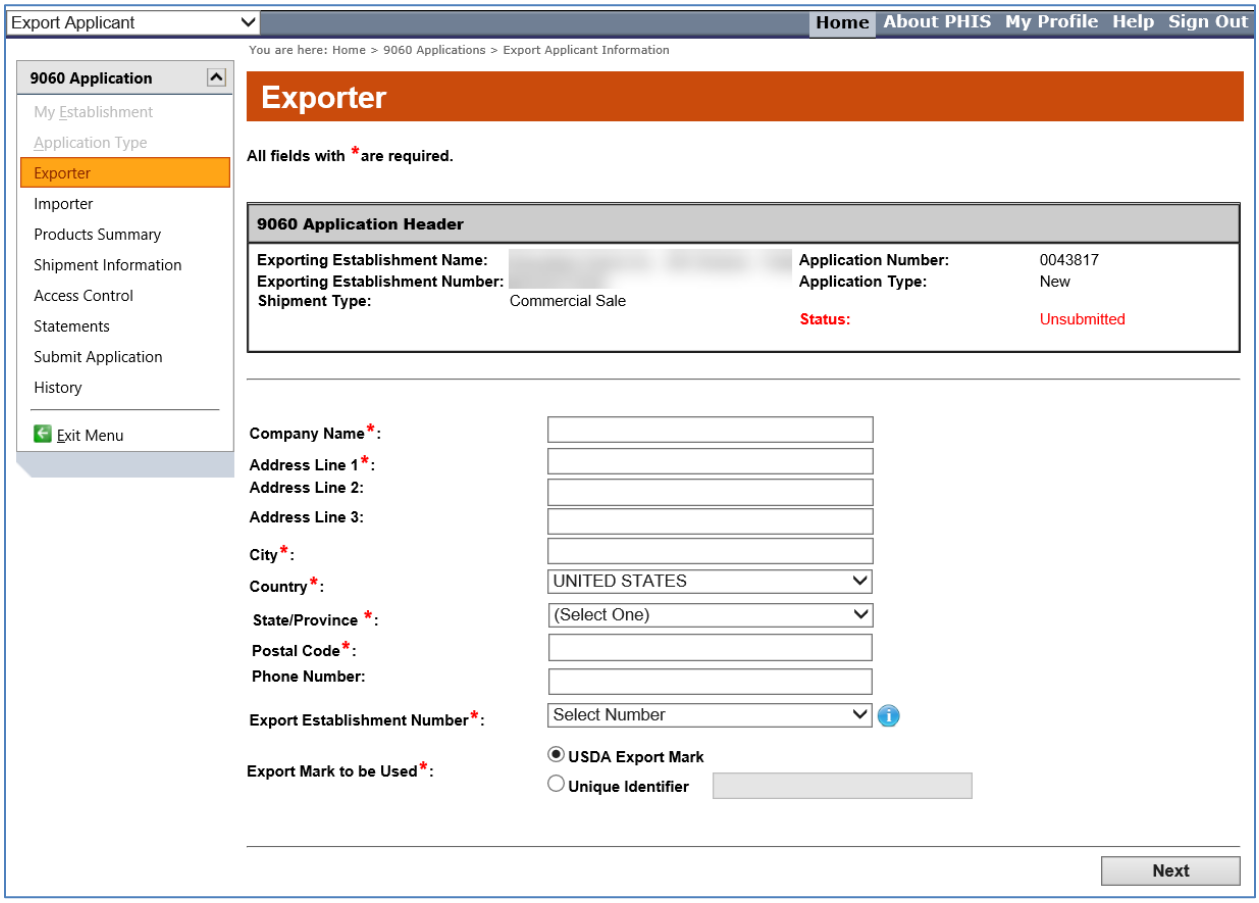


Figure 104: Exporter Information for 9060

Step 10	For Export Mark to be Used field, select an option. 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 11	Select **Next**.

Step 12	On the Importer page, complete all required and applicable fields. • For the Country field, select the importing country. • The State/Province and Port of Entry field options are available only when the related reference data is associated with the selected country in PHIS. • PHIS does not validate export requirements for the Final Destination Country.

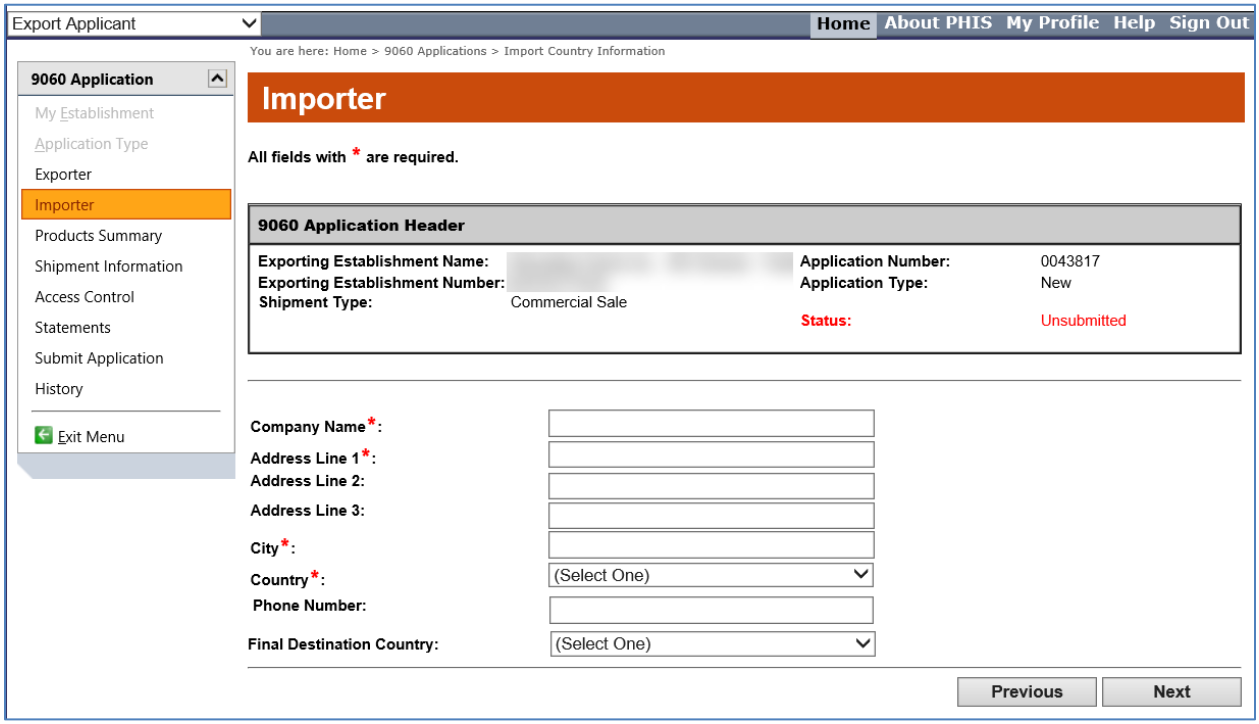


Figure 105: Importer Information for 9060

Step 13	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 14	On the Products Summary page, select **Add Product.** • The Poultry, Meat, and Siluriformes certification statements all appear prior to adding the product.

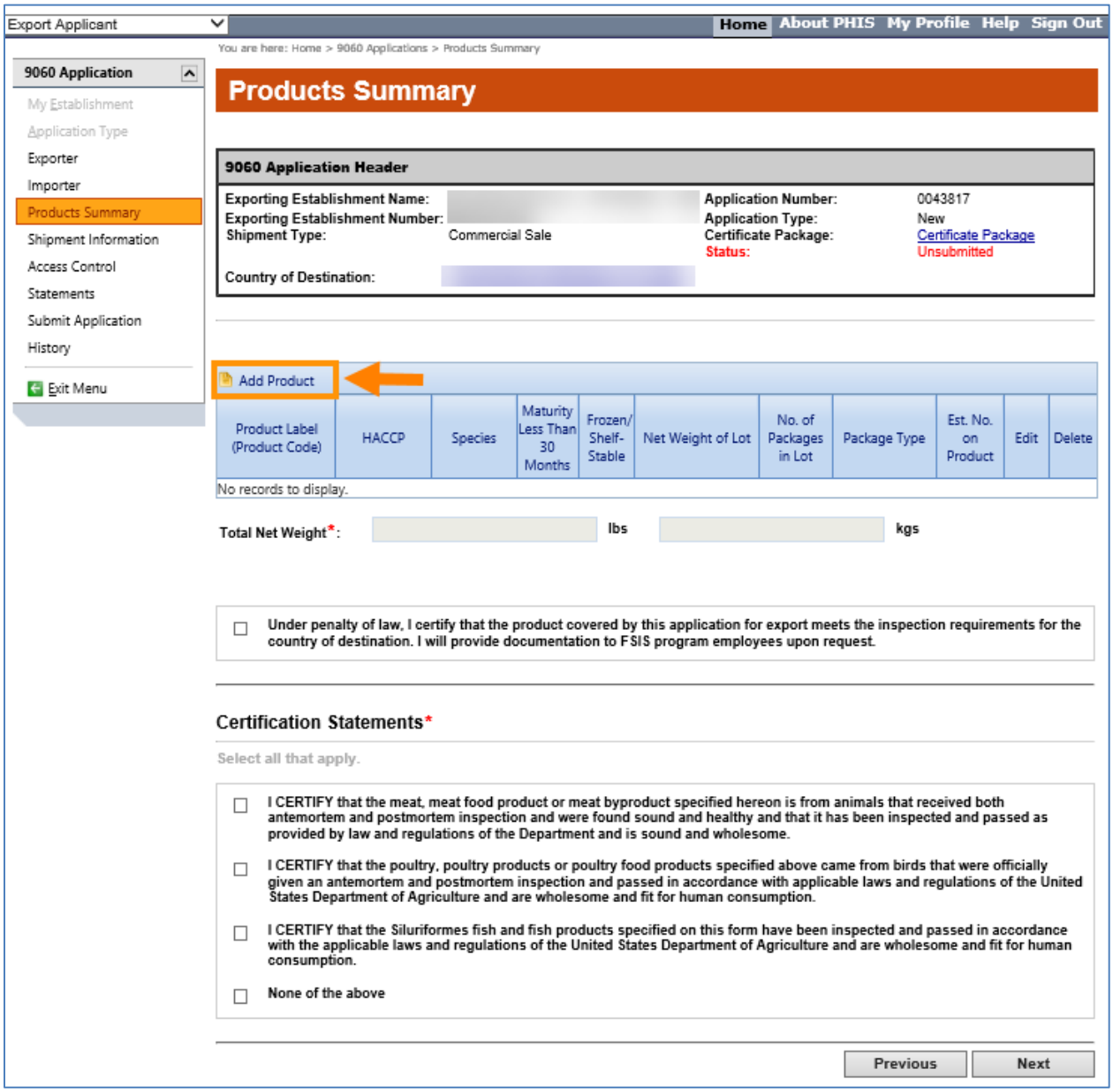


Figure 106: Products Summary page

Step 15	On the Product Details page, at a minimum, complete all required Product Information fields.
Step 16	To enter Establishment Number on Product, select the **Pencil** icon.

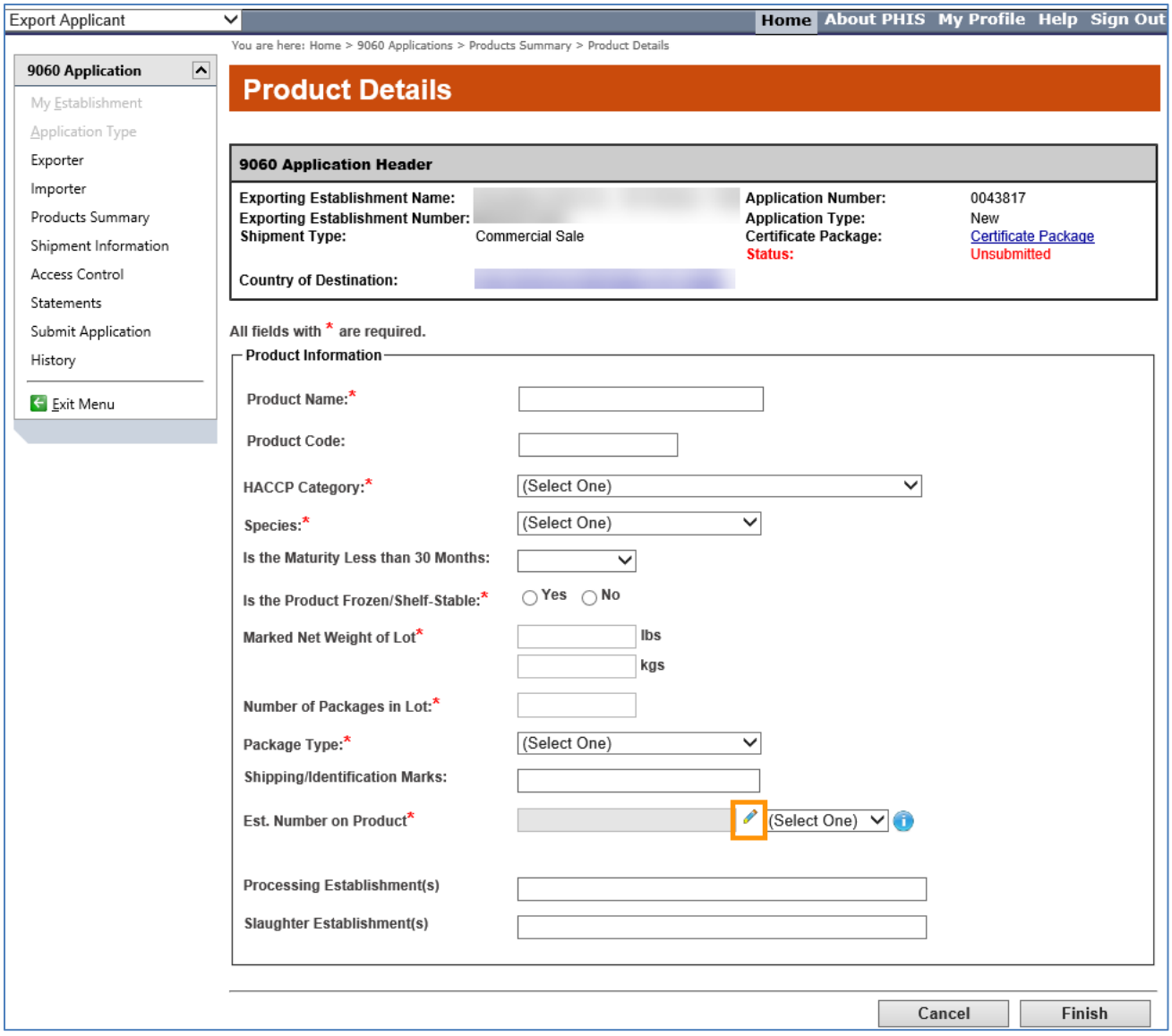


Figure 107: Product Details page

Step 17	An Establishment Search window appears. Complete applicable fields to filter the results.

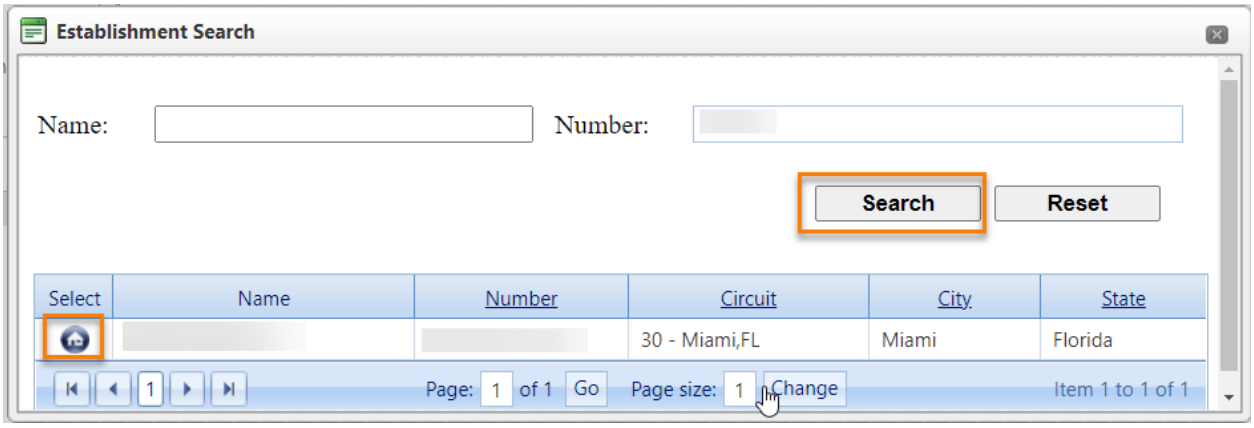


Figure 108: Establishment Search Menu

Step 18	Select **Search.** A grid with the results of the search is added to the page.
Step 19	Select an establishment by selecting the **House** icon.

Step 20	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.

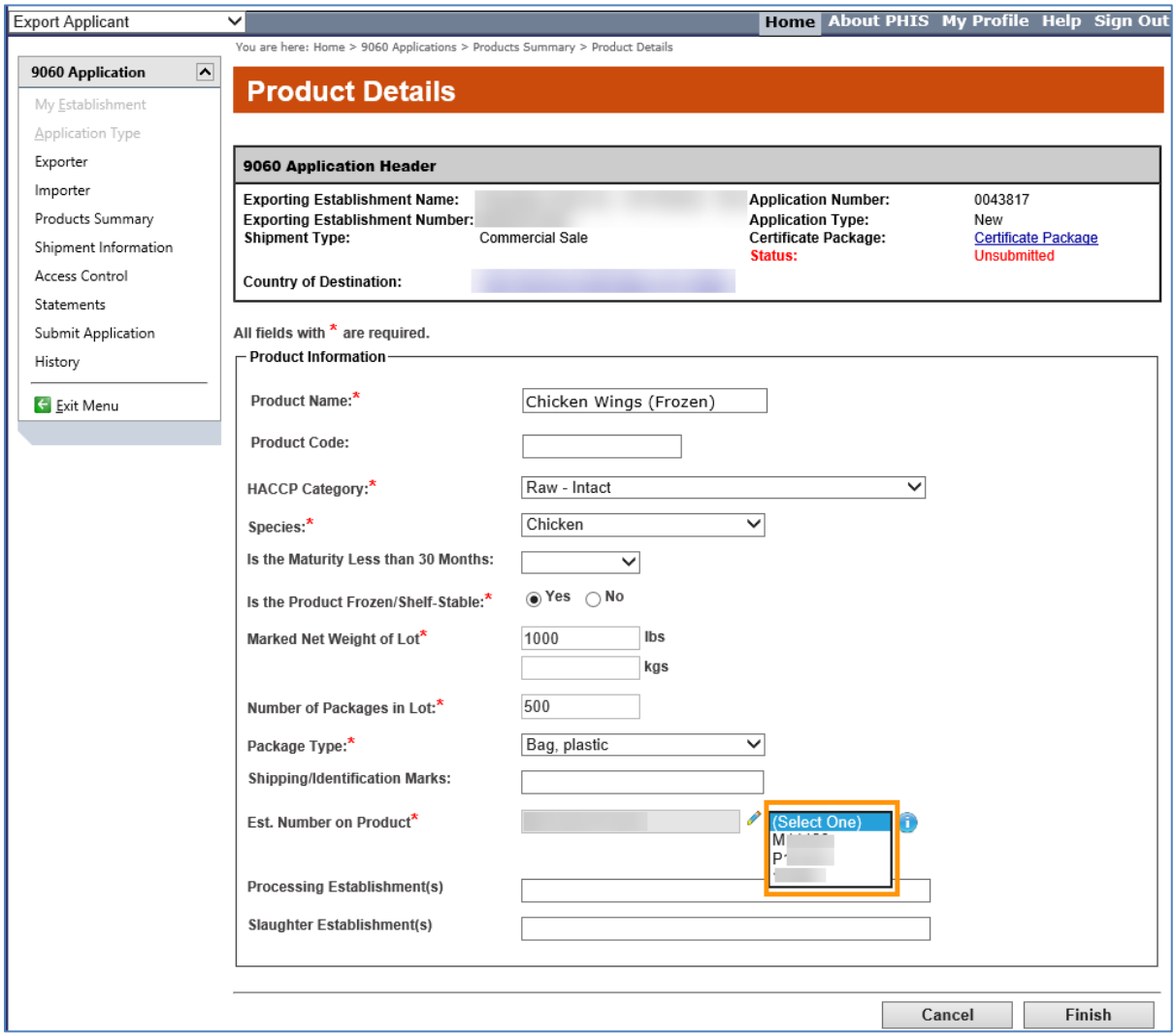


Figure 109: Select Establishment Number

Step 21	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 110 Additional Establishment Data Fields Displayed

Step 22	Select **Finish**.
Step 23	If you have additional products, add them now; otherwise, go to the next step.
Step 24	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.

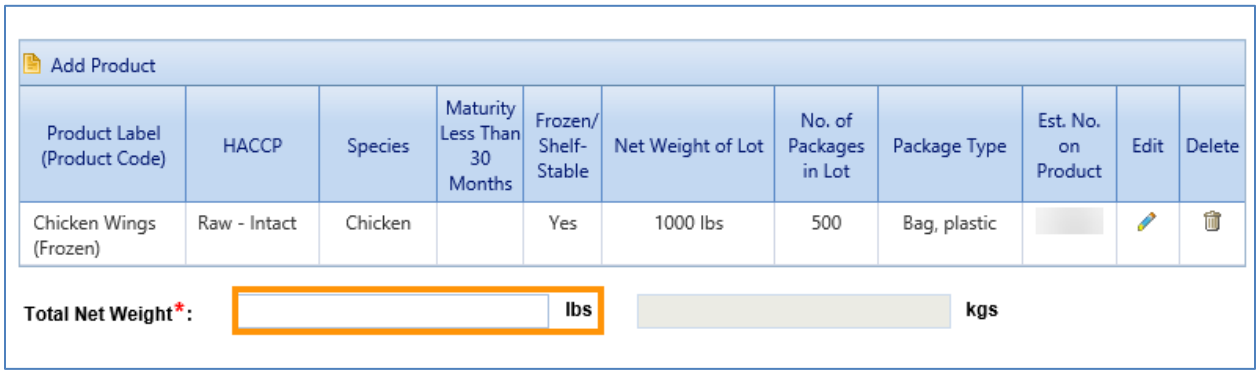


Figure 111: Add Total Net Weight

Step 25	Accept the Under Penalty of Law statement by selecting the checkbox.
Step 26	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 27	Select **Next**.

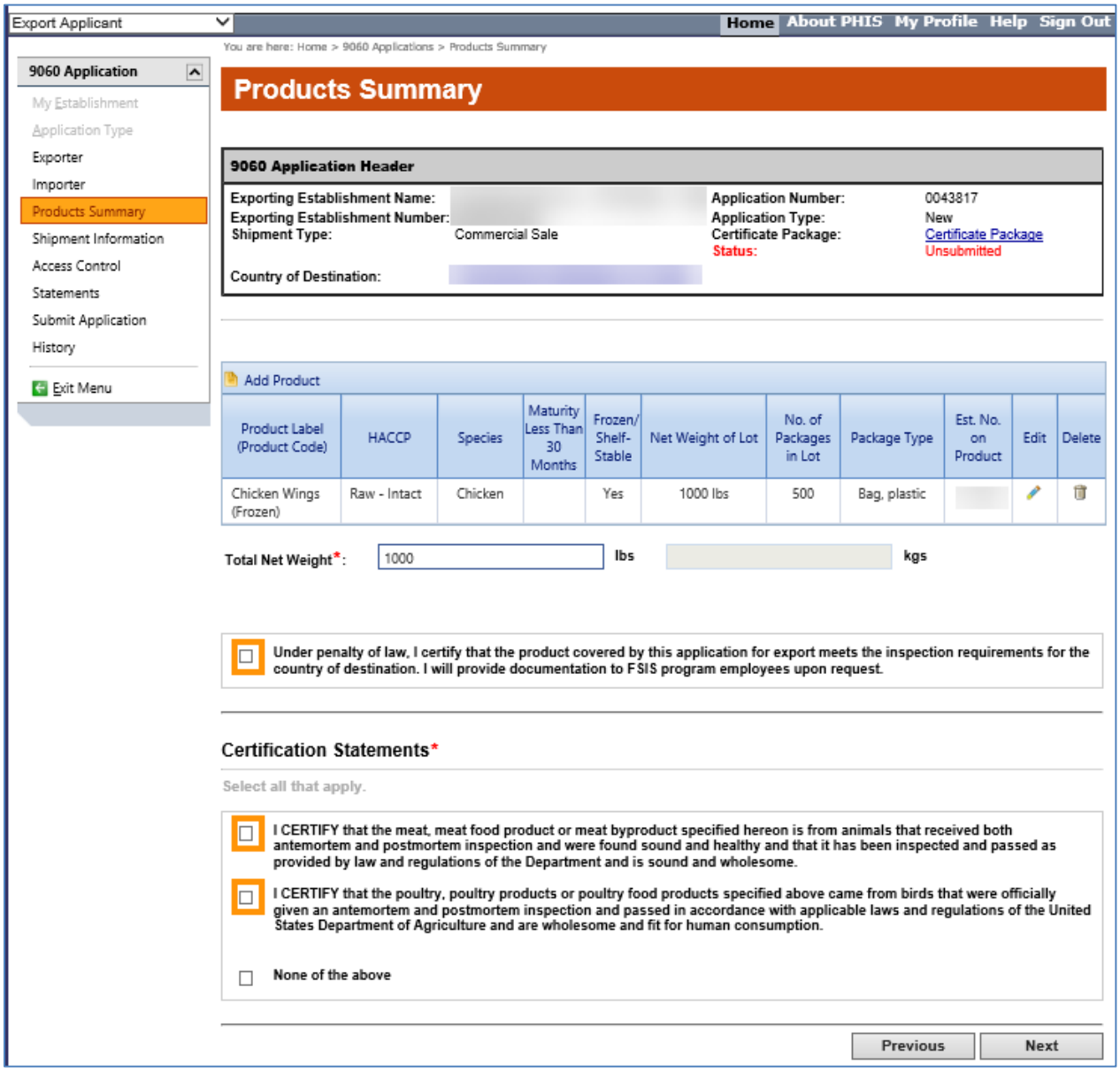


Figure 112: Penalty of Law disclaimer and Certification Statements

Step 28	On the 9060-6 Shipment Information page, if you know the Container and Seal Information (Figure 113), complete Step 29 - 0; otherwise, continue to 0.

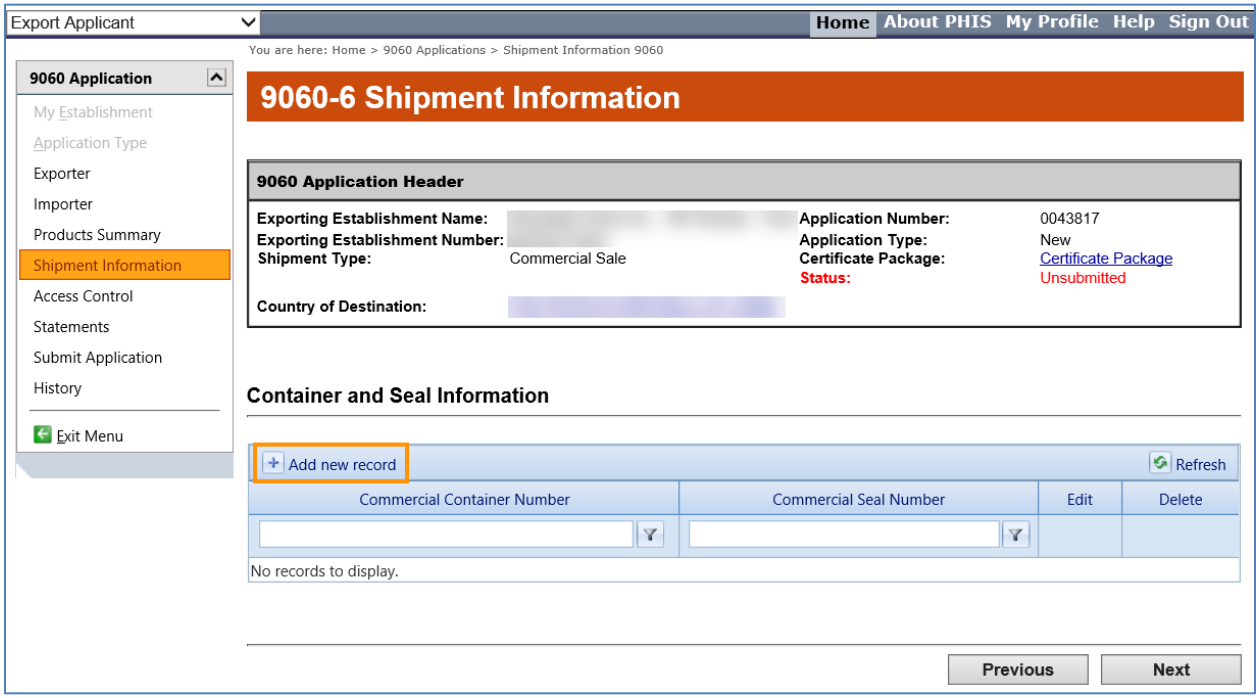


Figure 113: Commercial Seal and Container Information

Step 29	Select **Add New Rec**ord.
Step 30	For the Commercial Container Number field, enter the appropriate number.
Step 31	For the Commercial Seal Number field, enter the appropriate number.
Step 32	Select **Insert**.

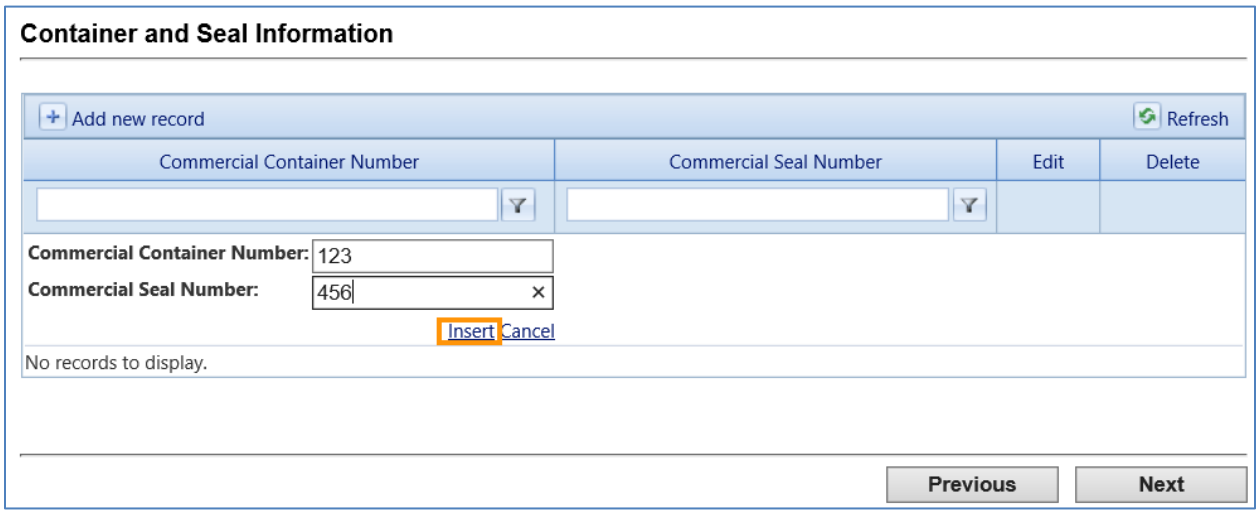


Figure 114: Enter Seal and Container Information

Step 33	Select **Next**.
Step 34	On the Access Control page (Figure 115), 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 the next steps; otherwise, go to Step 40.

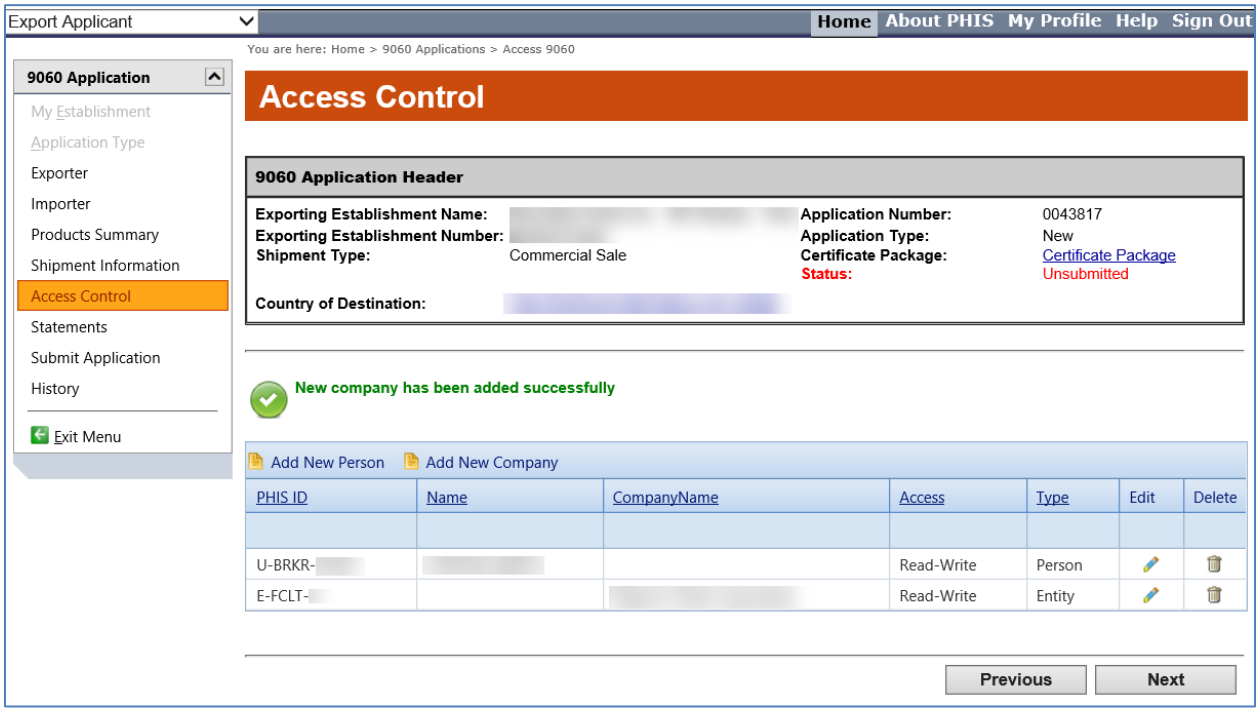


Figure 115: Access Control page

Step 35	Select **Add New Person** or **Add New Company**.

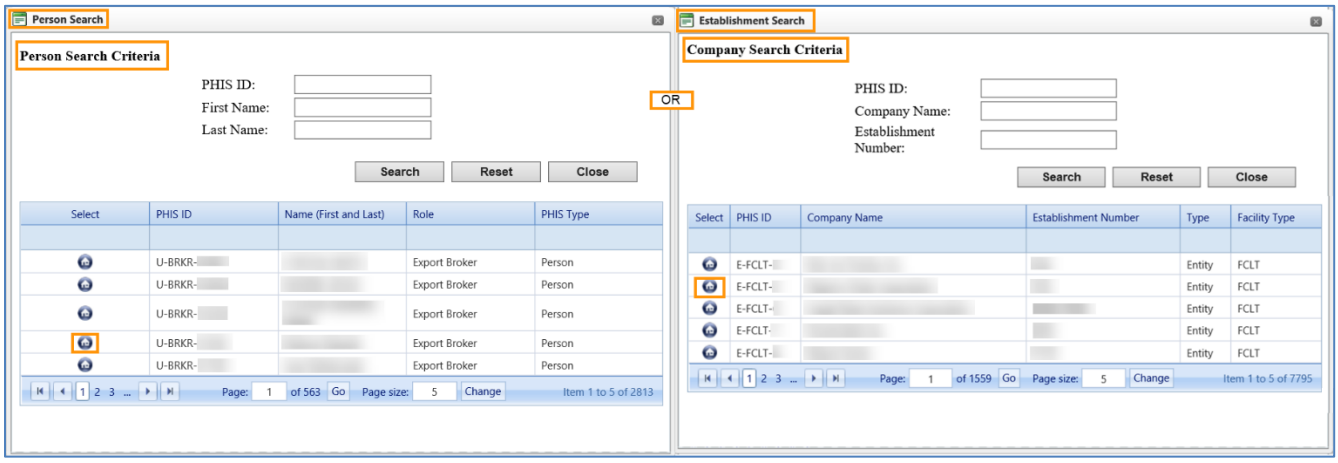


Figure 116: Add Establishment or Person Search Windows

Step 36	Search for the person or company for whom you would like to define access.
Step 37	Select the **House** icon associated with the record you would like to add.
Step 38	The selected record is added to the Access Control grid with the default Access level of Read-Write.

Step 39	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.

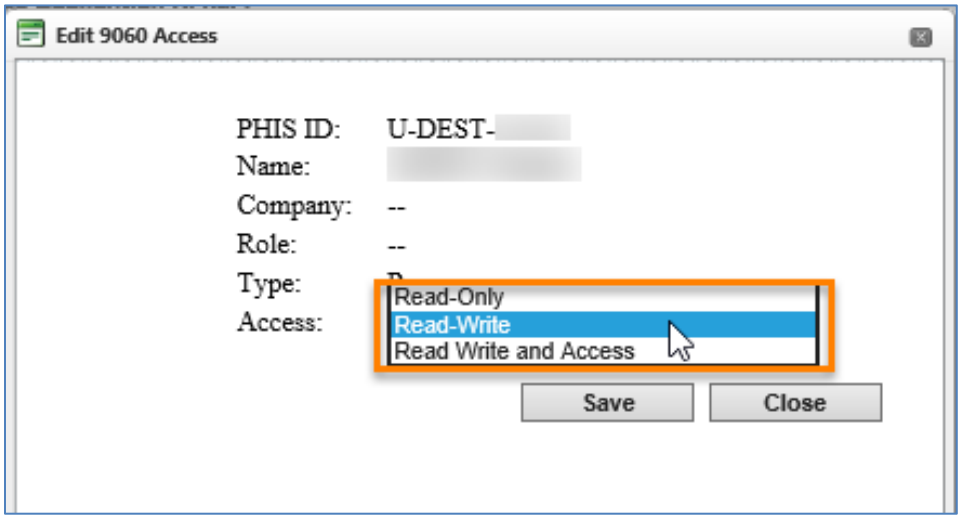


Figure 117: Edit Level of Access

Step 40	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 118). • 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.

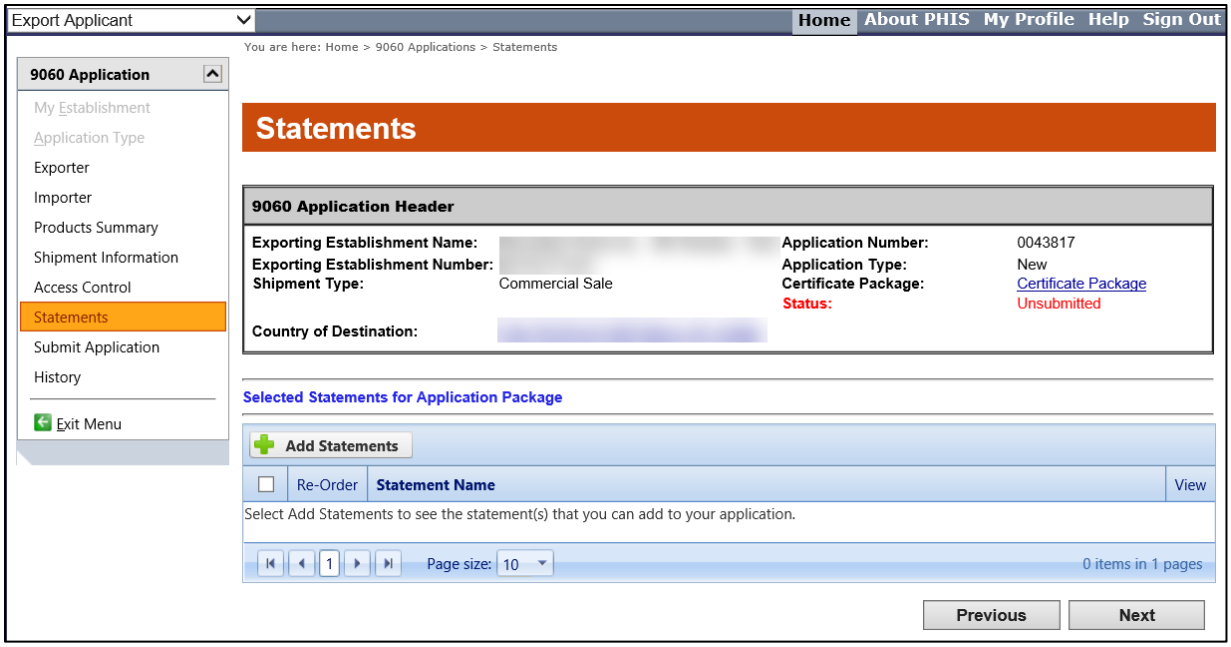


Figure 118: Statements

Step 41	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 42	To insert text connected with statement record(s), complete associated checkboxes.

Step 43	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 119).

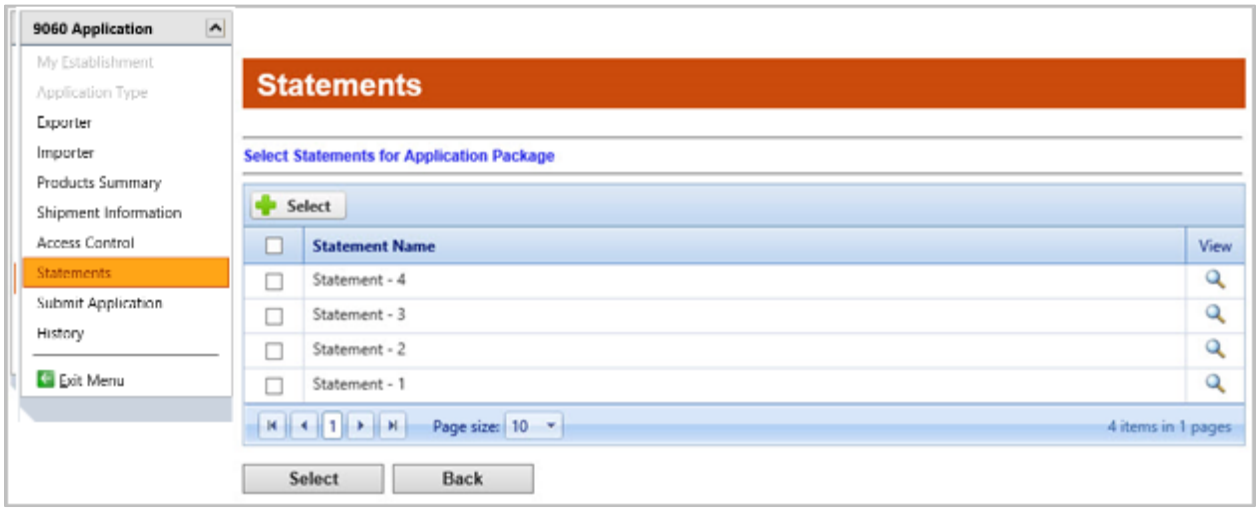


Figure 119: Select Statements for Application Package grid

Step 44	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.

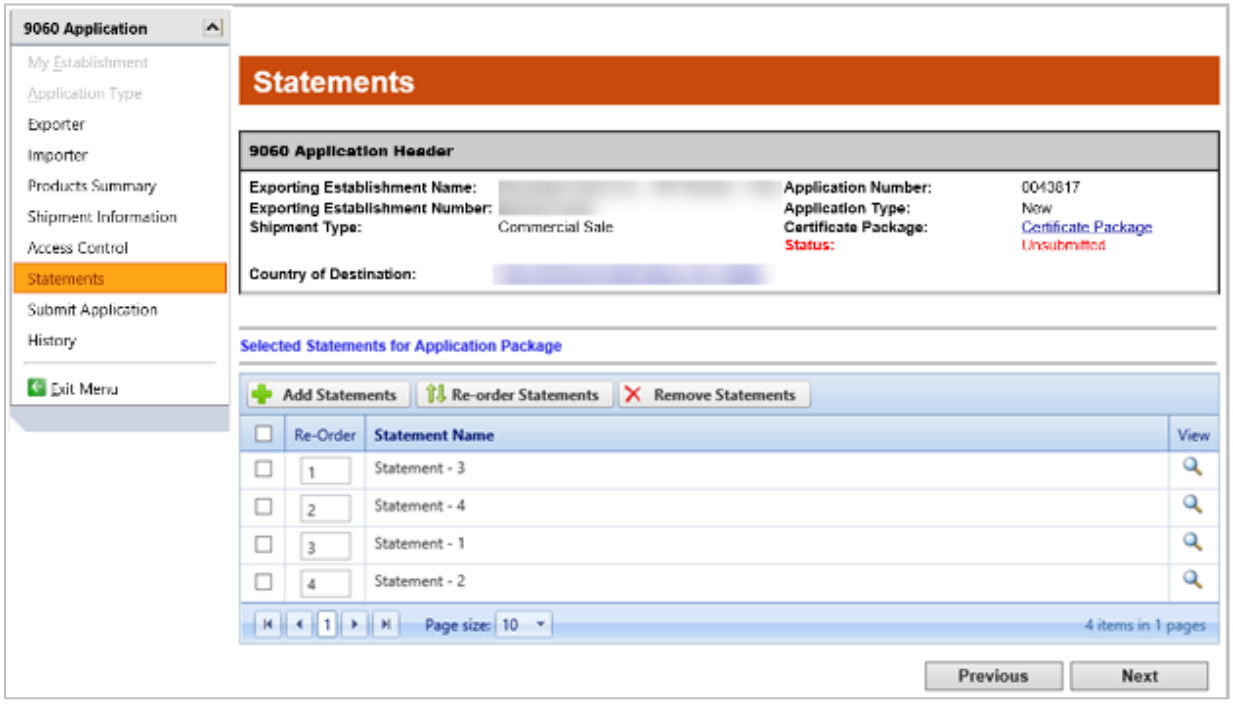


Figure 120: Selected Statements for Application Package

Step 45	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 46	When present, select **Add Statement Data.**

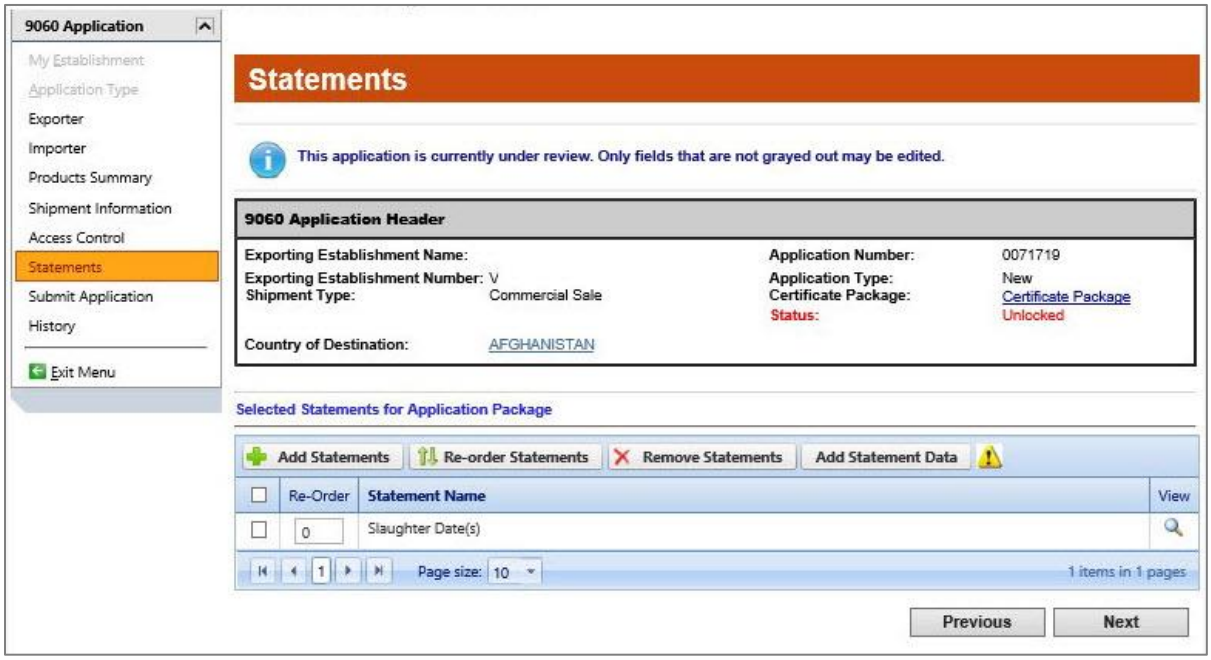


Figure 121: Add Statement Data

Step 47	Select or enter required data for available Custom placeholder data fields and select **Save.**

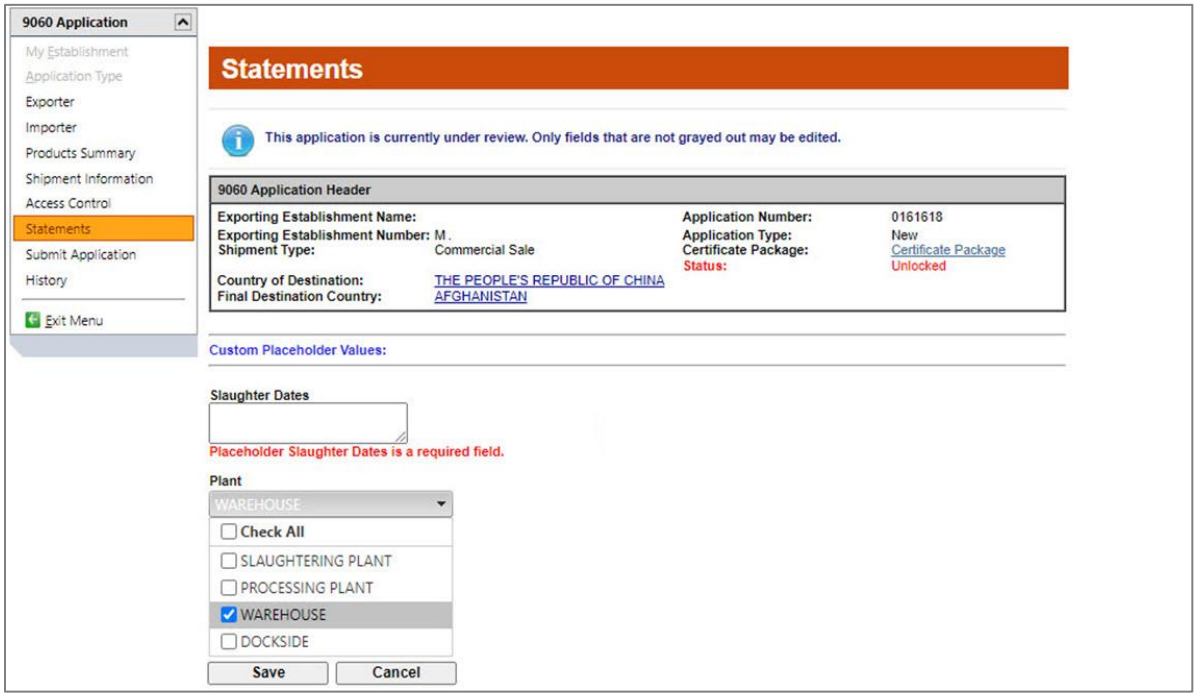


Figure 122 Required data field(s) for selected Statement(s)

Step 48	Select **Next**.
Step 49	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.

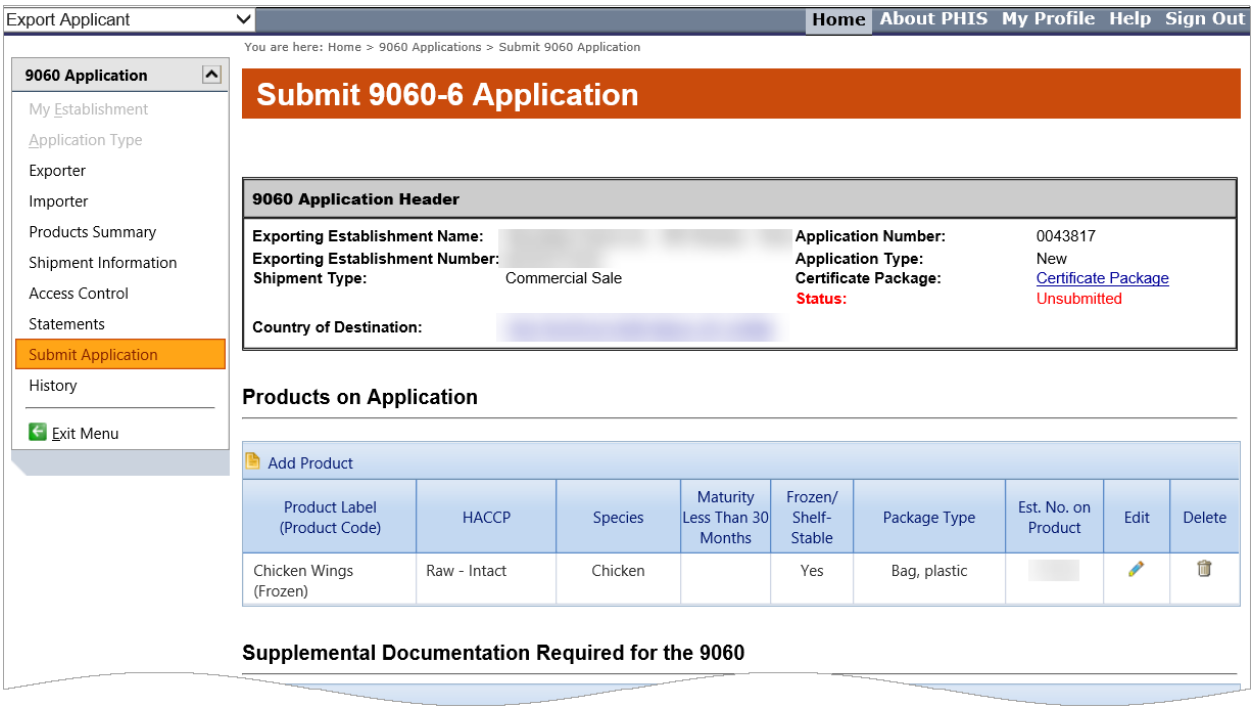


Figure 123: Verify Header and Product Information

Step 50	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 51	Identify the document type as either a Transit (Letterhead) Certificate or Other. If Transit is selected, identify the transit country in the drop-down list.

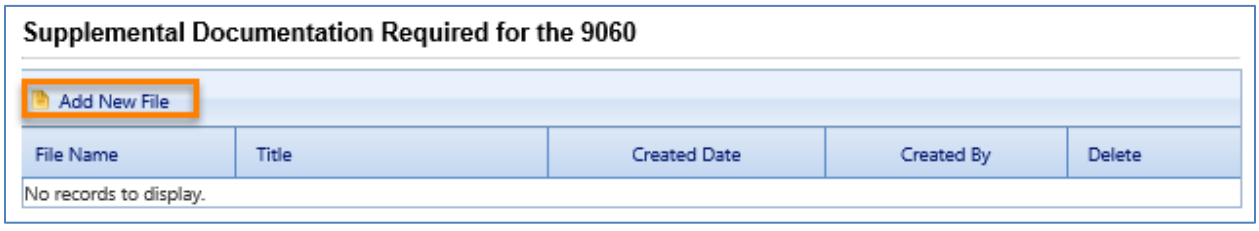


Figure 124: Add Supplemental Documentation

Step 52	Select **Browse**, select file, complete the document type
Step 53	If Transit Letterhead is selected, select Country. The Country select option appears only when Transit Letterhead is chosen

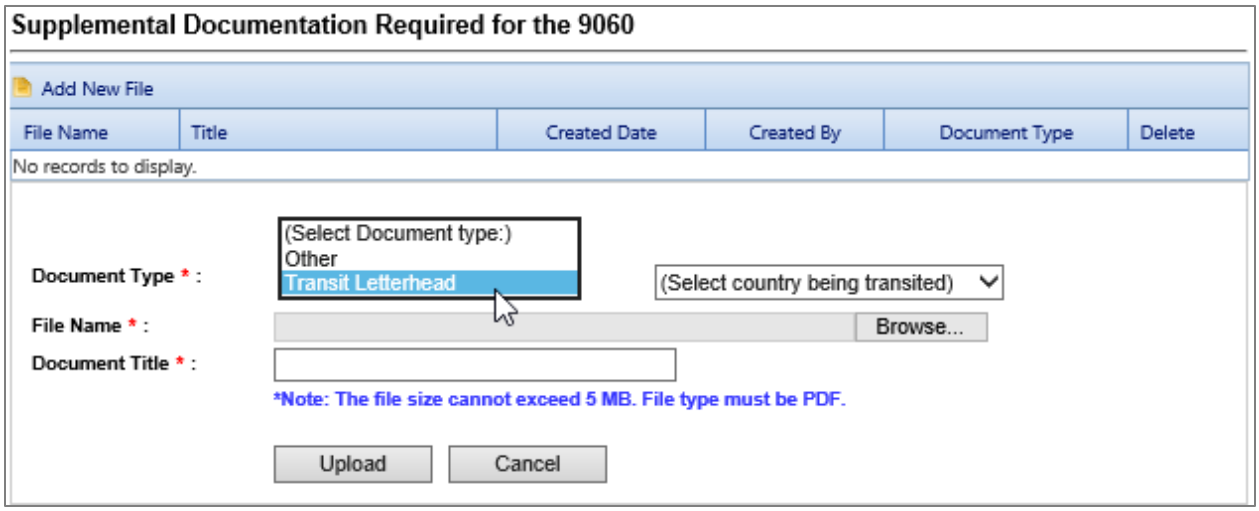


Figure 125: Supplemental Documentation Upload

Step 54	Select **Upload**.

Figure 126: Document Appears in grid

Step 55	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.

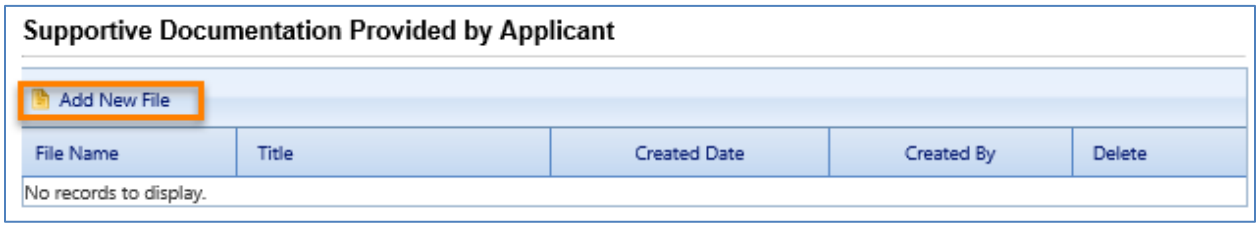


Figure 127: Add Supportive Documentation

Step 56	Just as with Supplemental documentation, select **Browse**, select file, and complete the required Document Title field
Step 57	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 58	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 10 on page 132), 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.

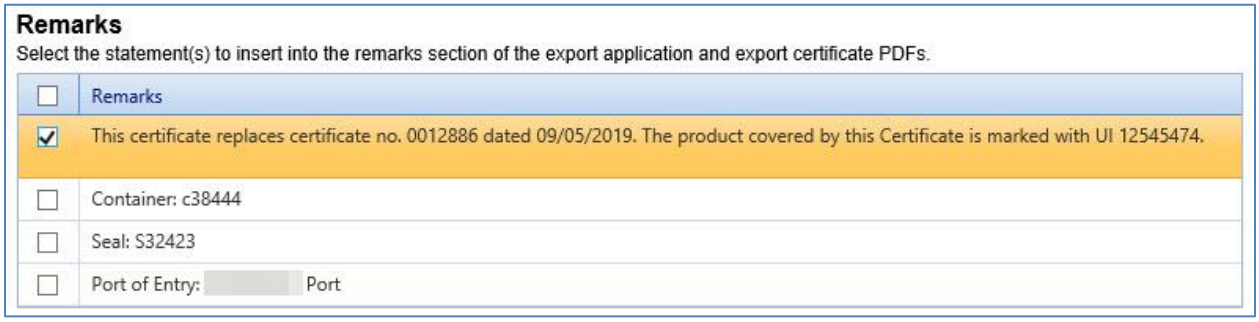


Figure 128: PHIS-Generated Remarks

Step 59	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.

Figure 129: PHIS Generated statements per Country Requirements

Step 60	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

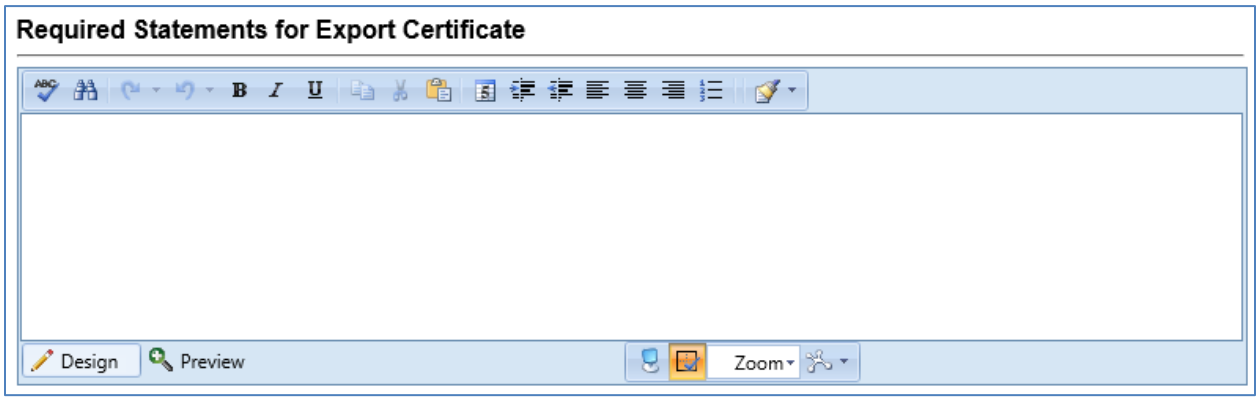


Figure 130: Text field to enter Required Statements for Export Certificates

Step 61	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.

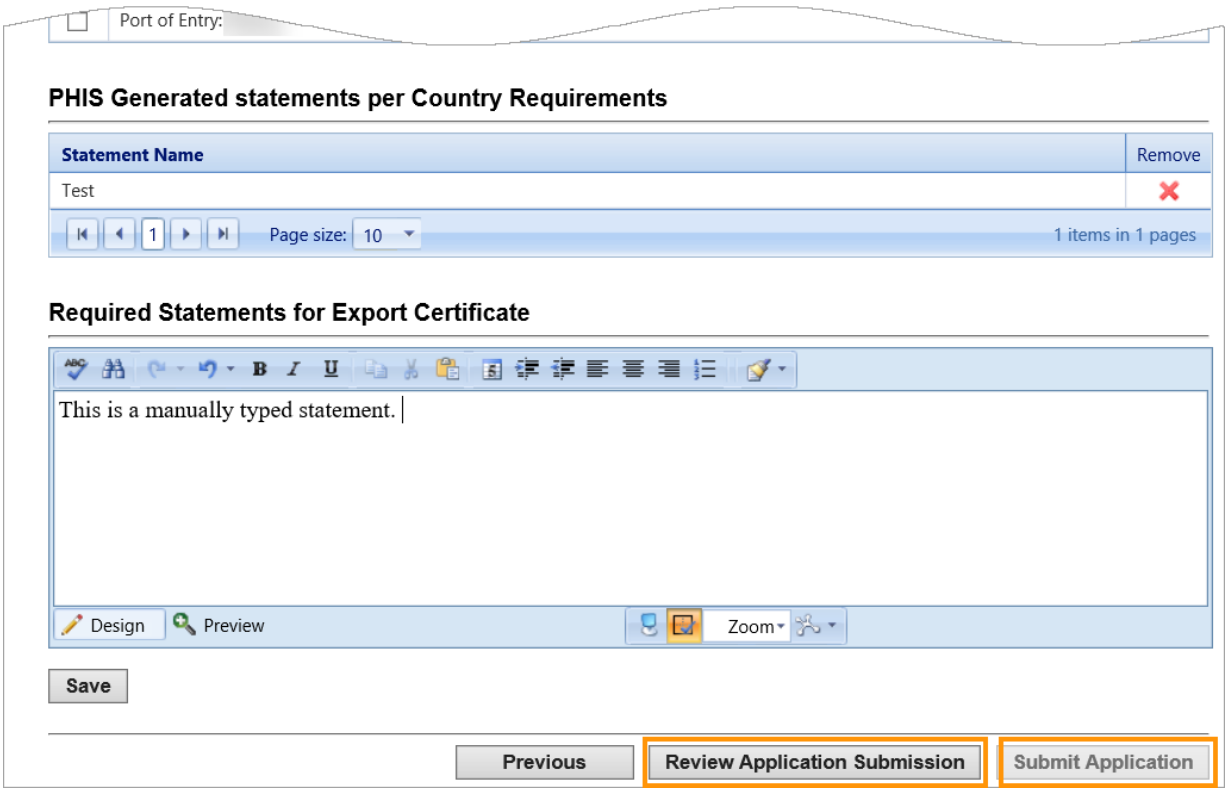


Figure 131: Review Application Submission – Submit Application button is disabled

Step 62	Select **Submit Application**.

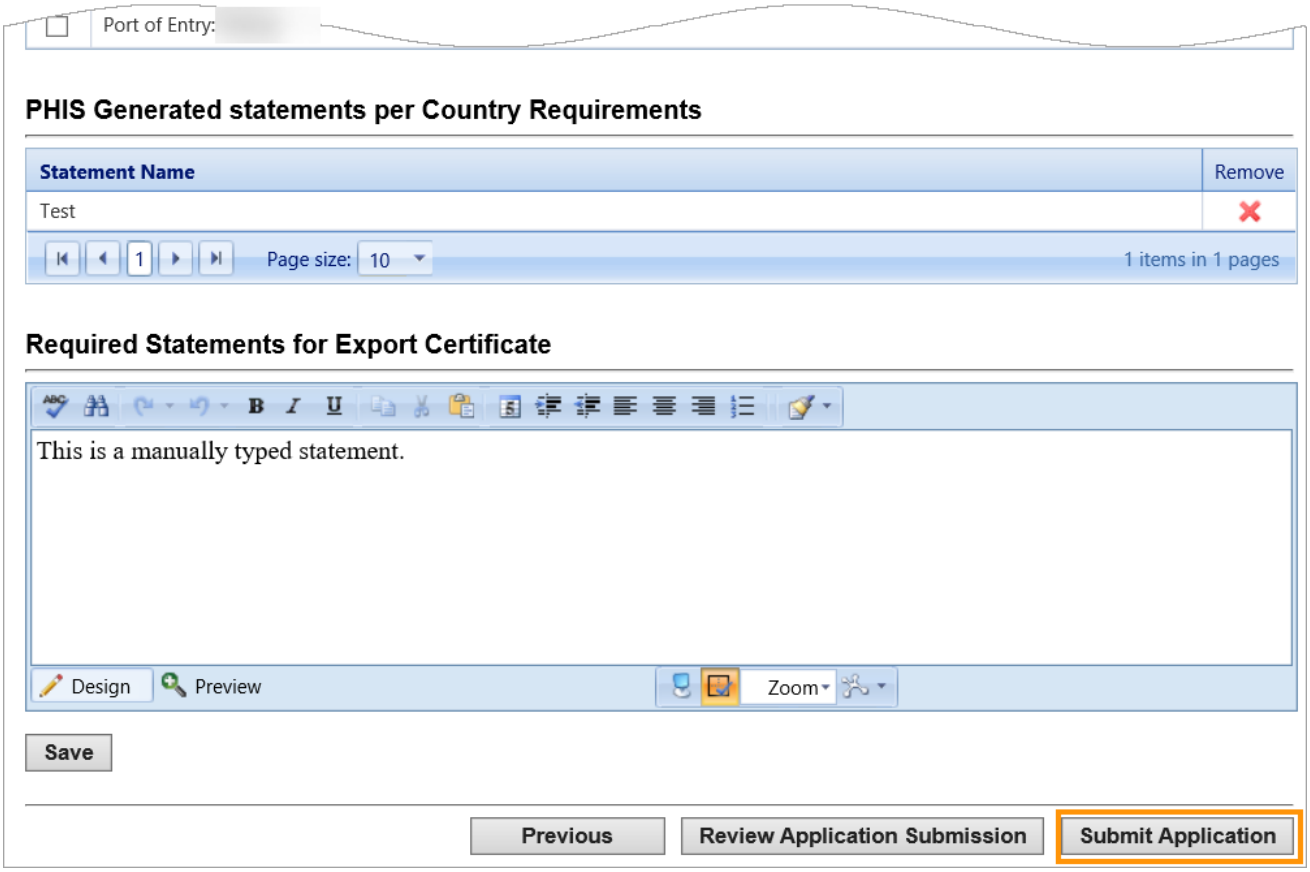


Figure 132: Submit Application button is enabled

Step 63	The page refreshes and if all required data has been entered, PHIS displays a confirmation message.

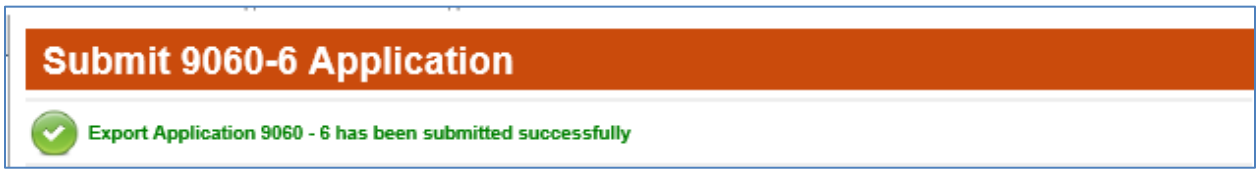


Figure 133: Confirmation Message

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 64	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.

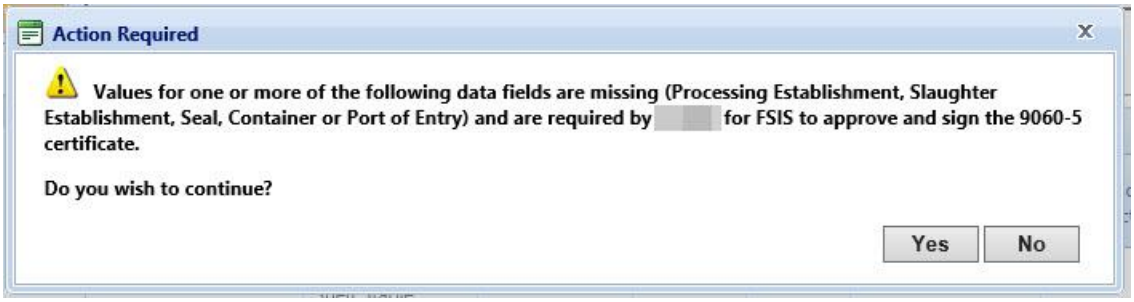


Figure 134: Action required warning message

8.1.1.3 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 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 104), complete required fields and select **Next**.
Step 9	On the Importer page (Figure 105), complete required fields and select **Next**.
Step 10	On the Products Summary page (Figure 106), select **Add Product** to start adding product.
Step 11	On the Product Details page (Figure 107), 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 108).
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 109).
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 111).
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 112).
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 113), 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 114). 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 115), 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 116). 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 117). f. Select **Next**.
Step 24	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. 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 123).
Step 27	To provide any Supplemental Documentation, select Add New File (Figure 125 and Figure 126). 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 127). 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 appears.

8.1.1.4 9060 Grid Filters

9060 grid filters are available on the Create/View 9060-6 Export Applications page. There are two different Key Word filters available: Application Number(s), Export Establishment Name/Number and Approver name. 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.

The system maintains the entered search filters and results until the user signs out or selects to reset. Selecting the Reset button returns all filter options, including date range, to display the default values and matching 9060 records. This allows the user to set the filters, then open an application and return to the 9060 grid list unchanged to continue with the same results list.

Step 1	From the 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.

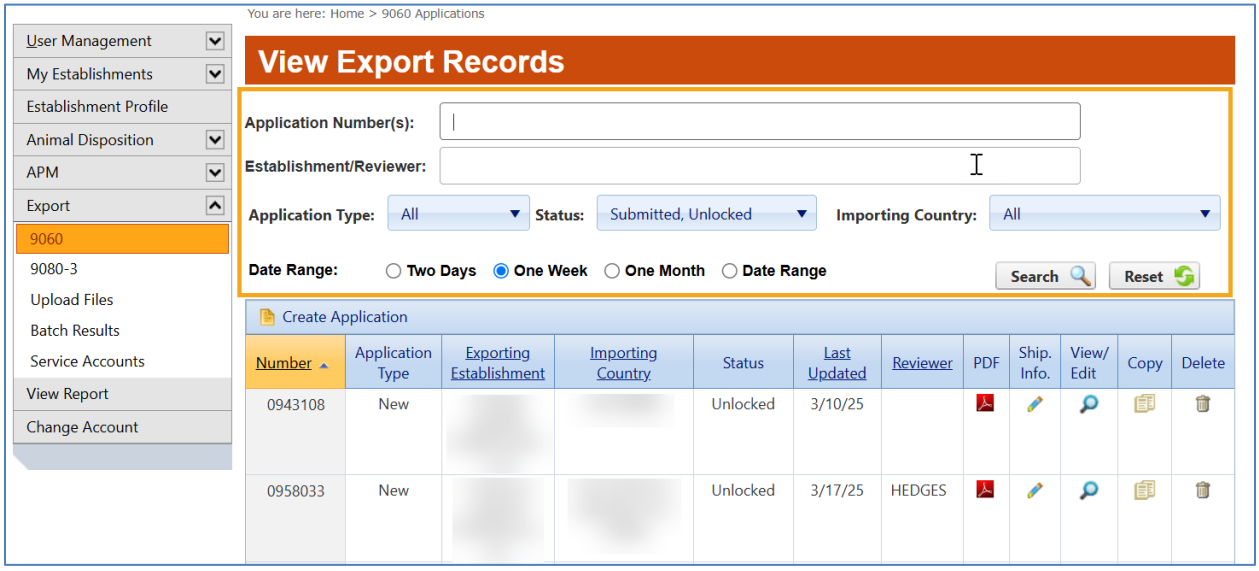


Figure 135: Filter 9060 records

8.1.1.5 Download Records Option

Both export roles have access to download records.

Step 1	On the Create/View 9060-6 Export Applications page (Figure 136), 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.

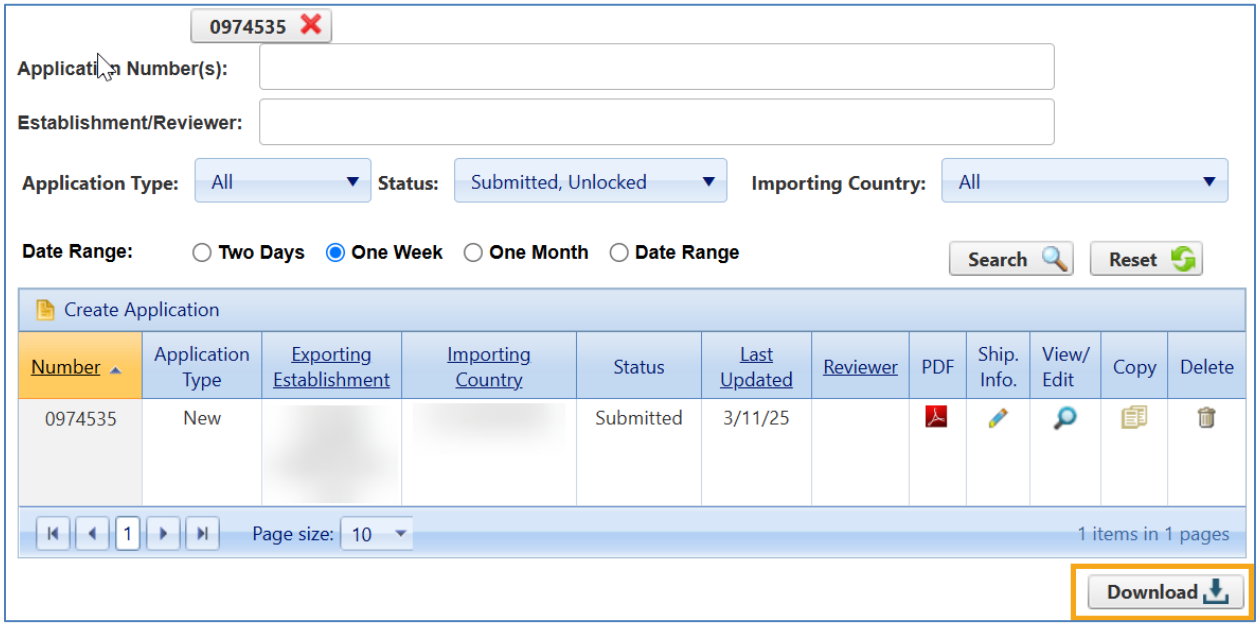


Figure 136: Download Filtered 9060-6 records

8.1.1.6 View Replacement-Related 9060 Record References

Both export roles can view replacement-related 9060 information.

Step 1	From the menu, select **9060**. The system displays the Create/View 9060-6 Export Applications page.
Step 2	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 3	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.

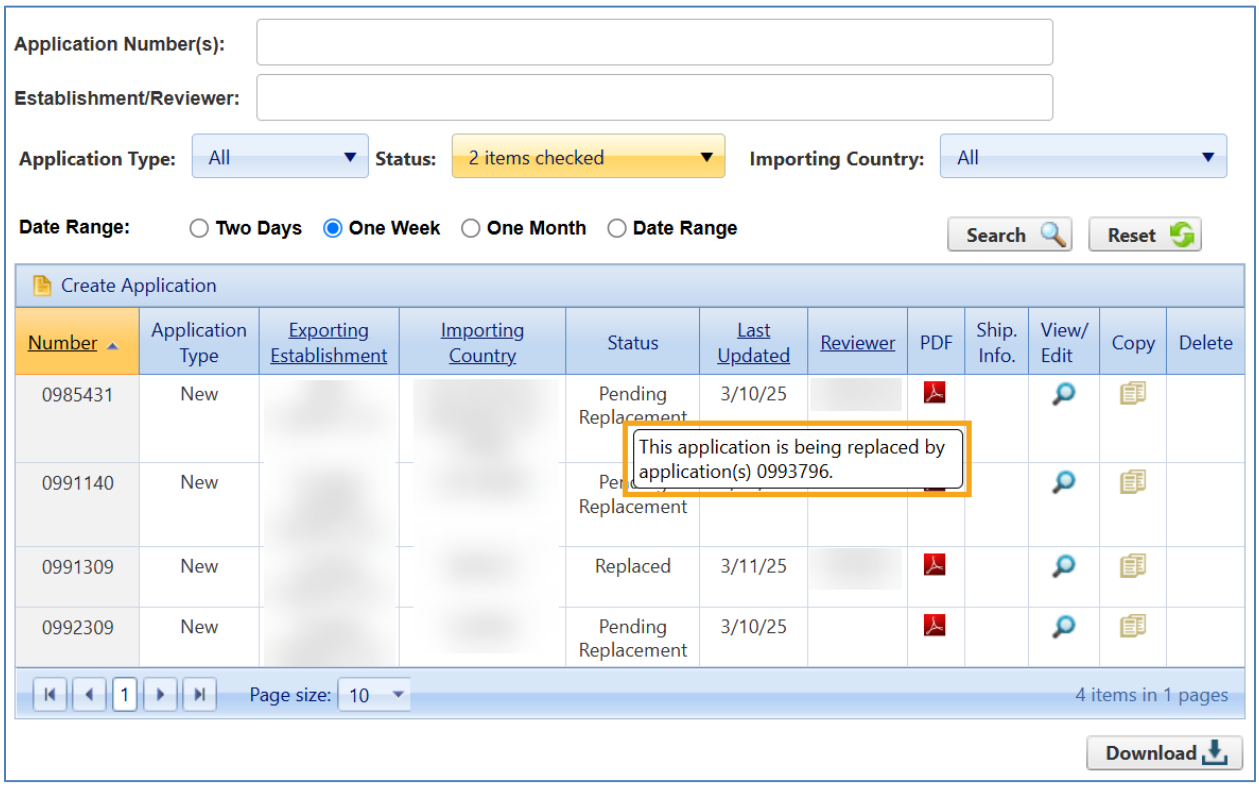


Figure 137: Detailed Replacement Information from Application Status

Note:

You can also find similar information by hovering over an application with a Type of Replacement, Split, or Consolidated (see Figure 138).

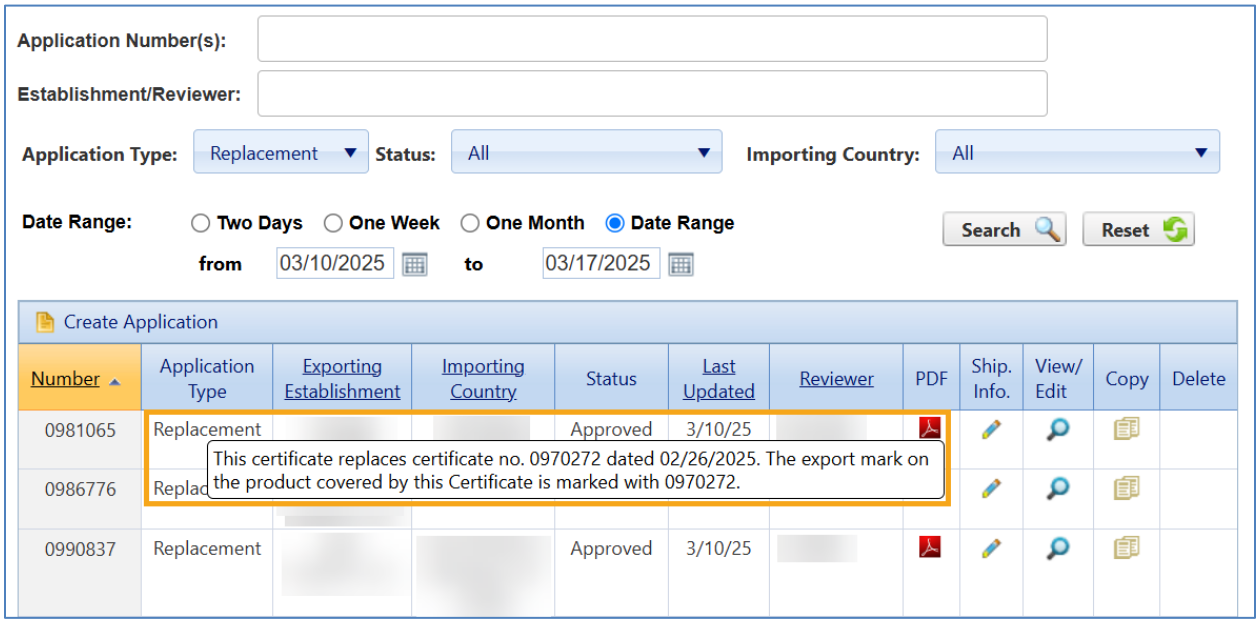


Figure 138: Detailed Replacement Information from Application Type

8.1.1.7 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	From the menu, select **9060**. The system displays the Create/View 9060-6 Export Applications page.
Step 2	Find the application you want to delete and select the **Trash Can** icon.
Step 3	On the confirmation message, select **OK**. PHIS refreshes the page, and the record is no longer in the grid.

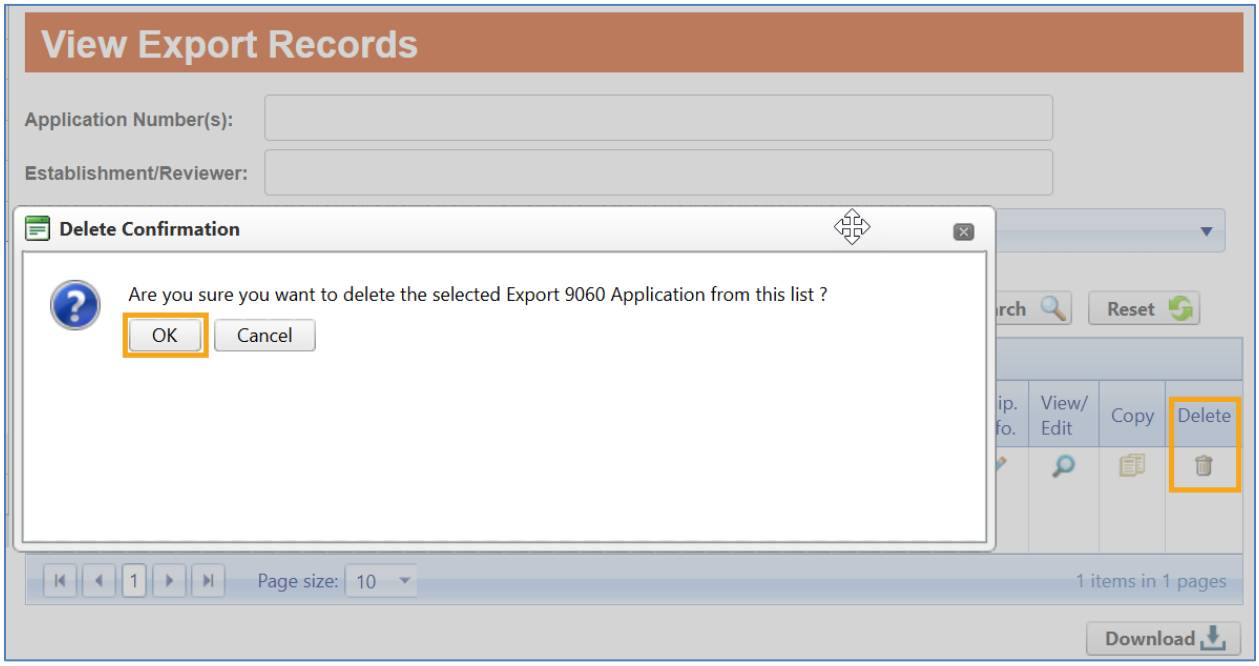


Figure 139: Delete Application

8.1.1.8 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	From the menu, select **9060**. The system displays the Create/View 9060-6 Export Applications page.
Step 2	Find the application you want to edit and select the **View/Edit** icon. PHIS opens the 9060 application.

Step 3	On the Exporter page, select **Unlock Application**.

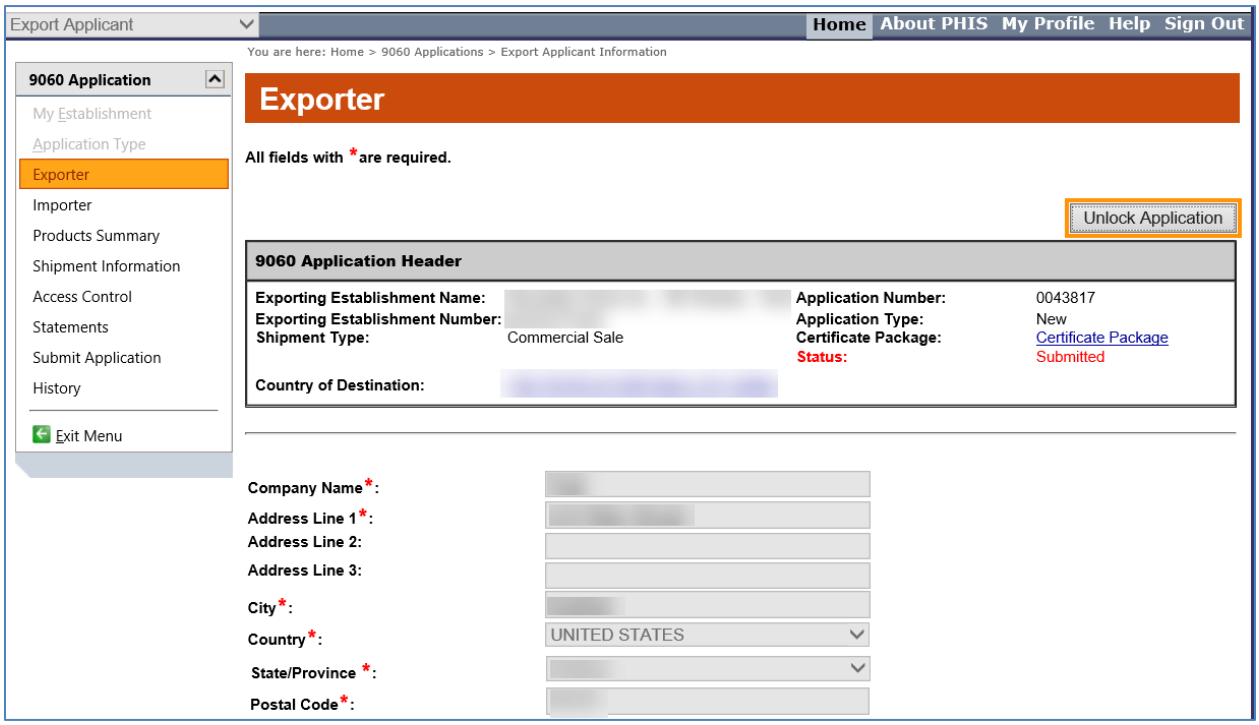


Figure 140: Unlock Application button

Step 4	On the Unlock Application pop-up window, select all the relevant checkboxes and select **OK**.

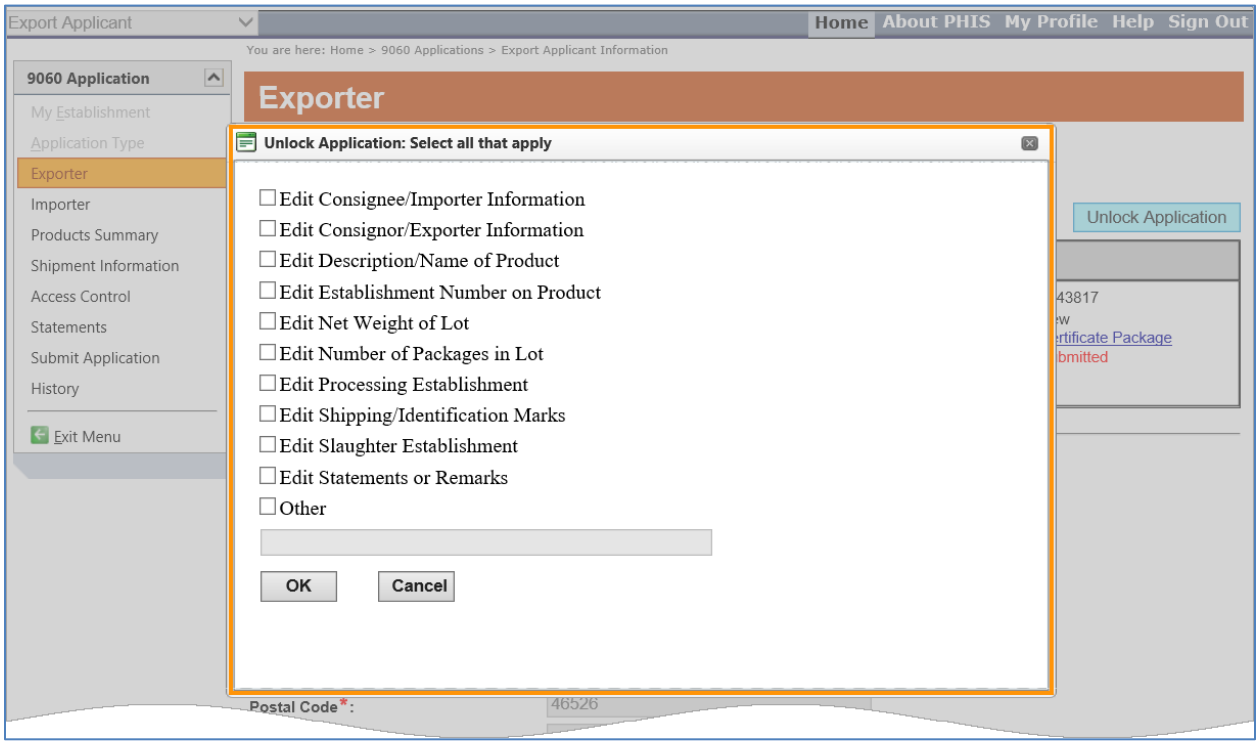


Figure 141: Unlock Application: Select all that apply window

Step 5	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 6	This action leads you through the same application process as described in Sections 08.1.1.2 and 8.1.1.3. Make edits accordingly.
Step 7	Re-select the Under penalty of law statement.
Step 8	Select **Next**.
Step 9	Continue until you reach the Submit 9060-6 Application page. Select **Review Application Package**.
Step 10	Select **Submit Application**. The page refreshes and a confirmation message appears. The application status returns to Submitted.

8.1.1.9 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 available on all fields for applications of type New. Changes to product weights and package counts can only be reduced. Changes will require the “Under penalty of law” statement to be rechecked.

New users or companies can be added or removed from the Access Control page when the status of the record is not Pending Upload, Pending Replacement, Replaced, Rejected, or Approved.

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, Pending Replacement, Replaced, or Approved.

Step 1	From the menu, select **9060**. The system displays the Create/View 9060-6 Export Applications page.
Step 2	Find the application you want to edit and select the **View/Edit** icon. PHIS opens the 9060 application.

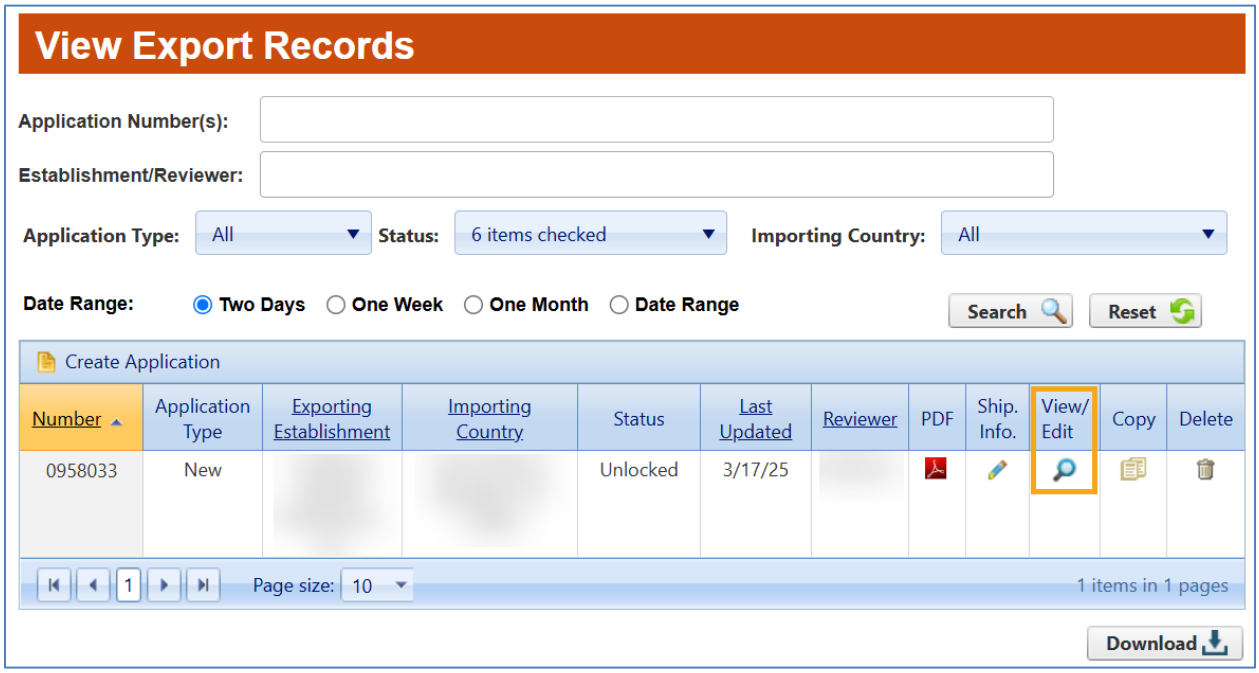


Figure 142: Edit Application

Step 3	PHIS displays the Products Summary page.

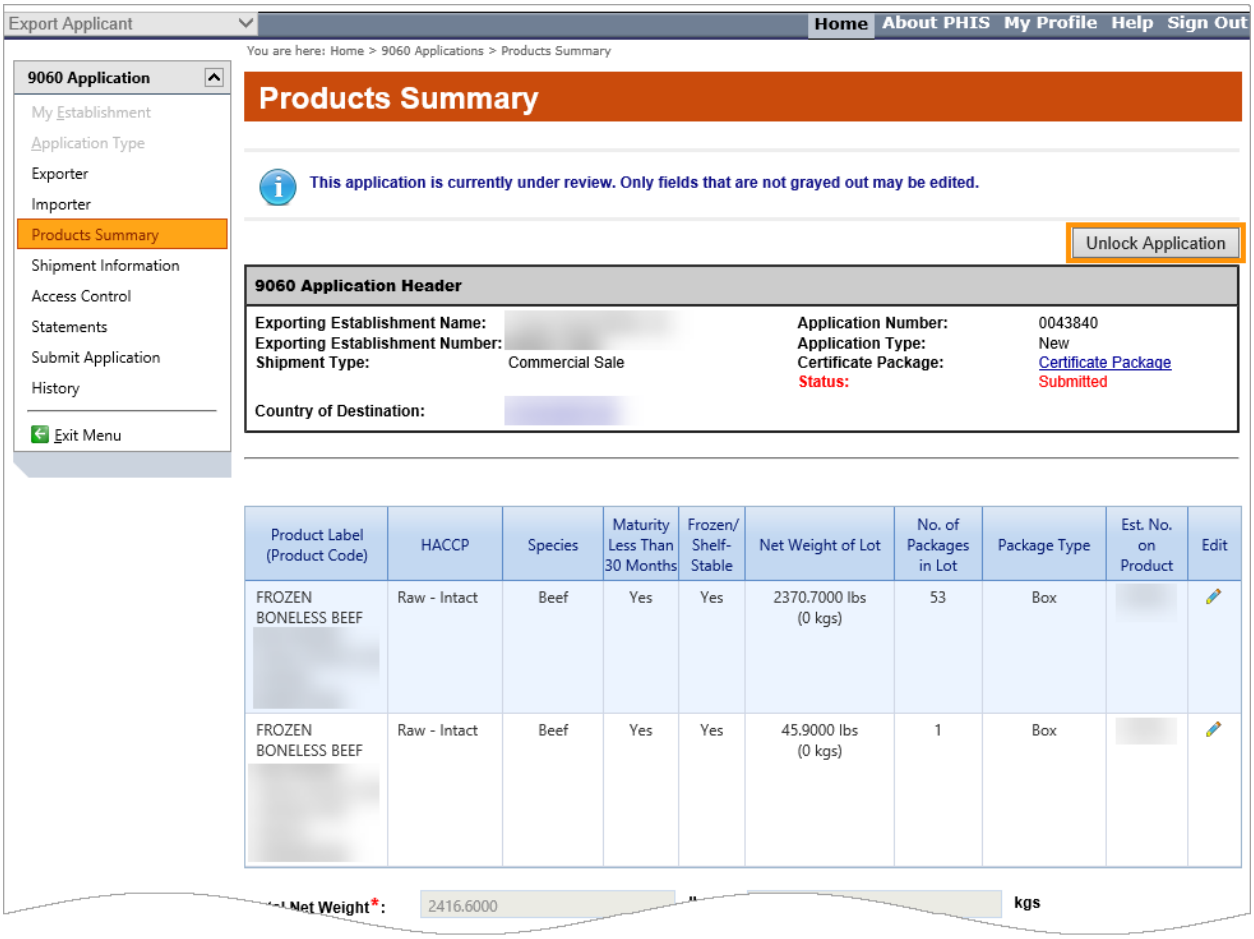


Figure 143: Products Summary page with Unlock Application button

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.

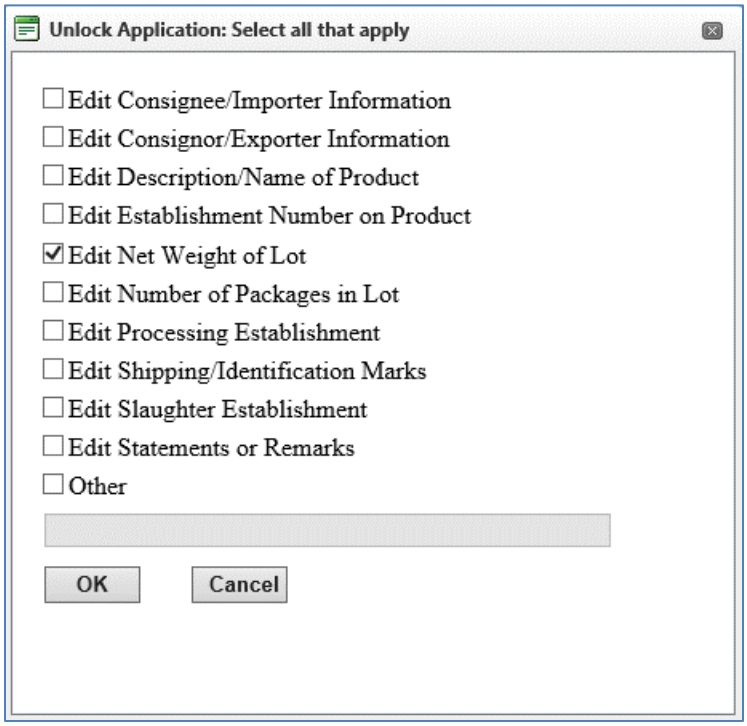


Figure 144: Unlock Application: Select all that apply pop-up window

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 10.

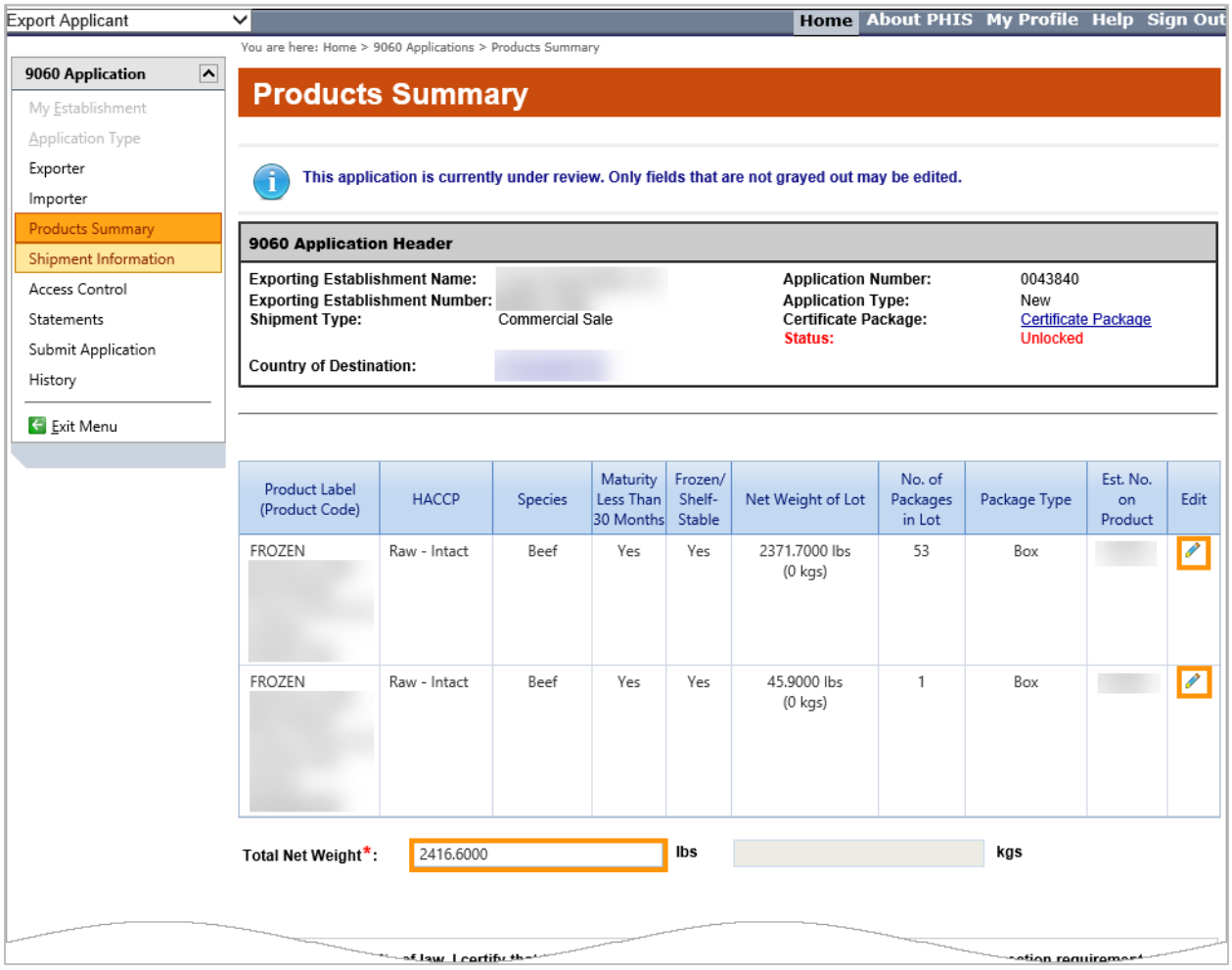


Figure 145: Update Catch Weights on Products Summary page

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**.

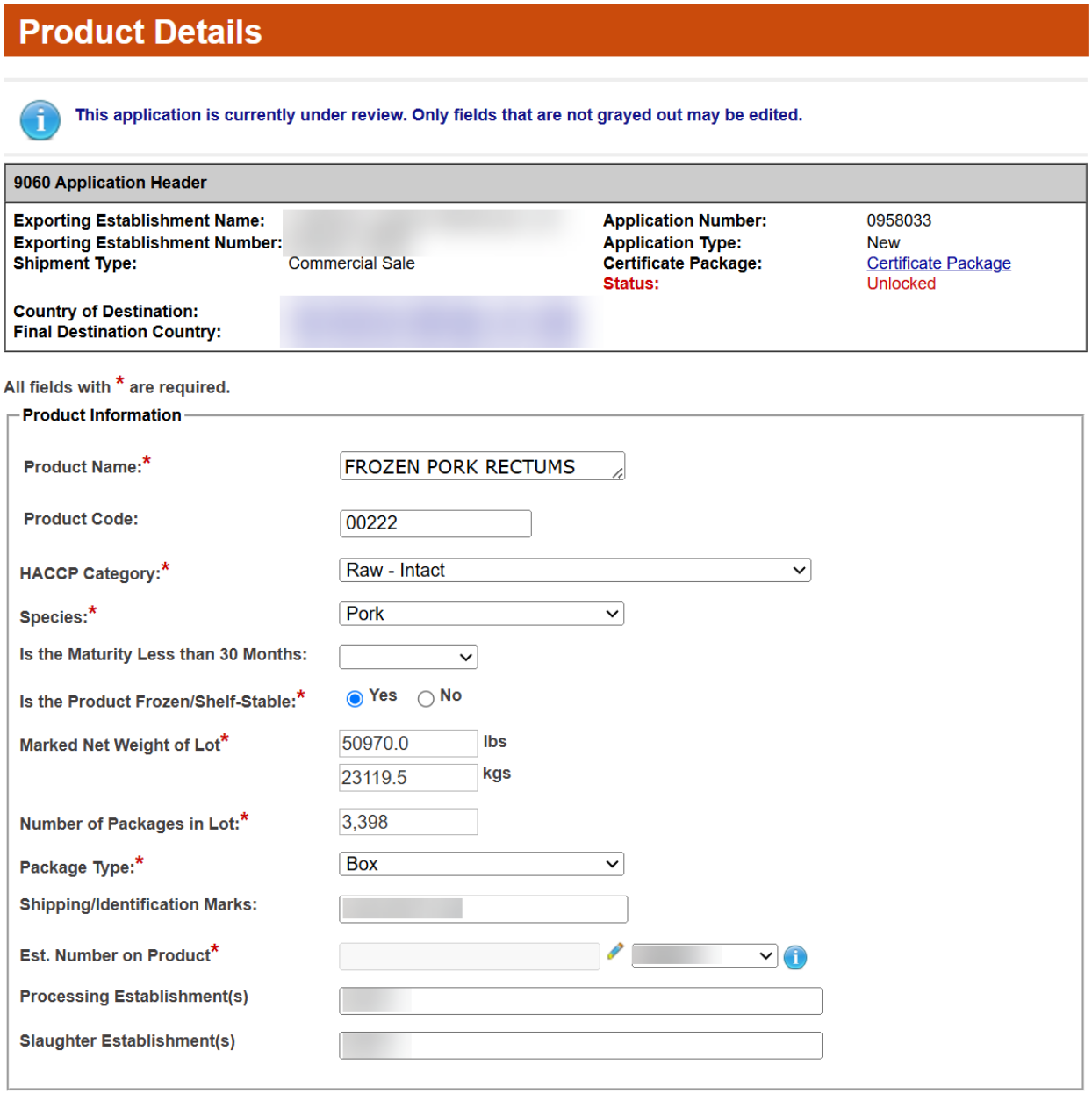


Figure 146: Edit Product Name and Update Catch Weights on the Product Details page

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.

8.1.1.10 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, Pending Replacement, Replaced, Rejected, or Approved.

8.1.1.11 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 menu, select **9060**.
Step 2	In the Ship. Info. column, select **Edit**. The Shipment Information window appears.
Step 3	Edit the Container and Seal information accordingly (see Figure 113 and Figure 114). These are the same fields from the 9060 application data entry process. **Note:** Select **Insert** once finished, otherwise PHIS does not save the data

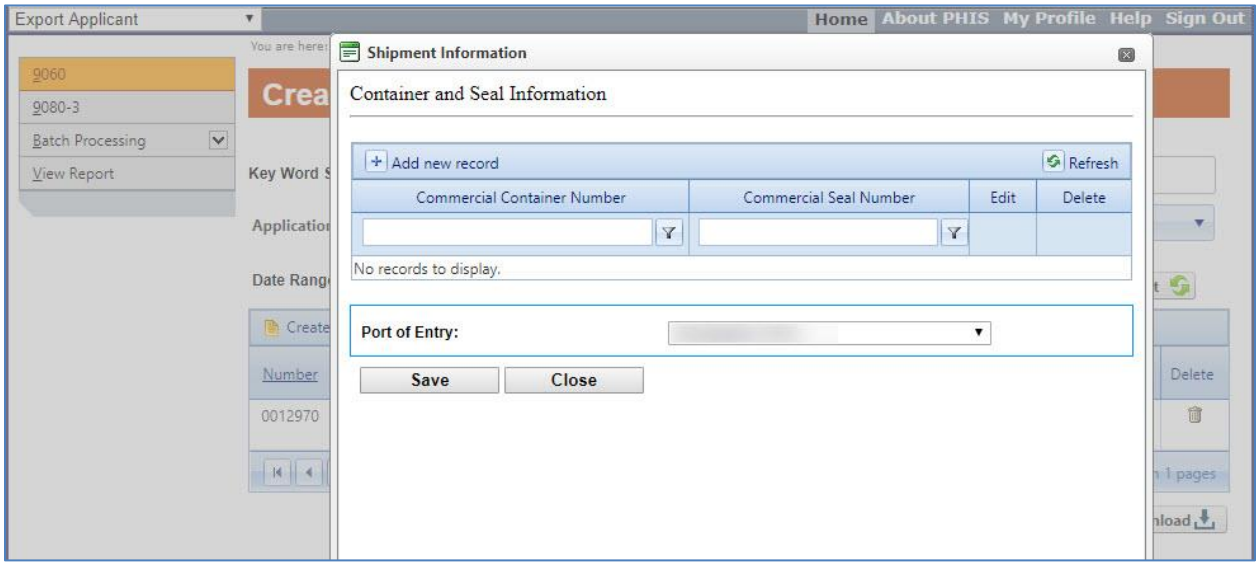


Figure 147: Shipment Information window

8.1.1.12 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.

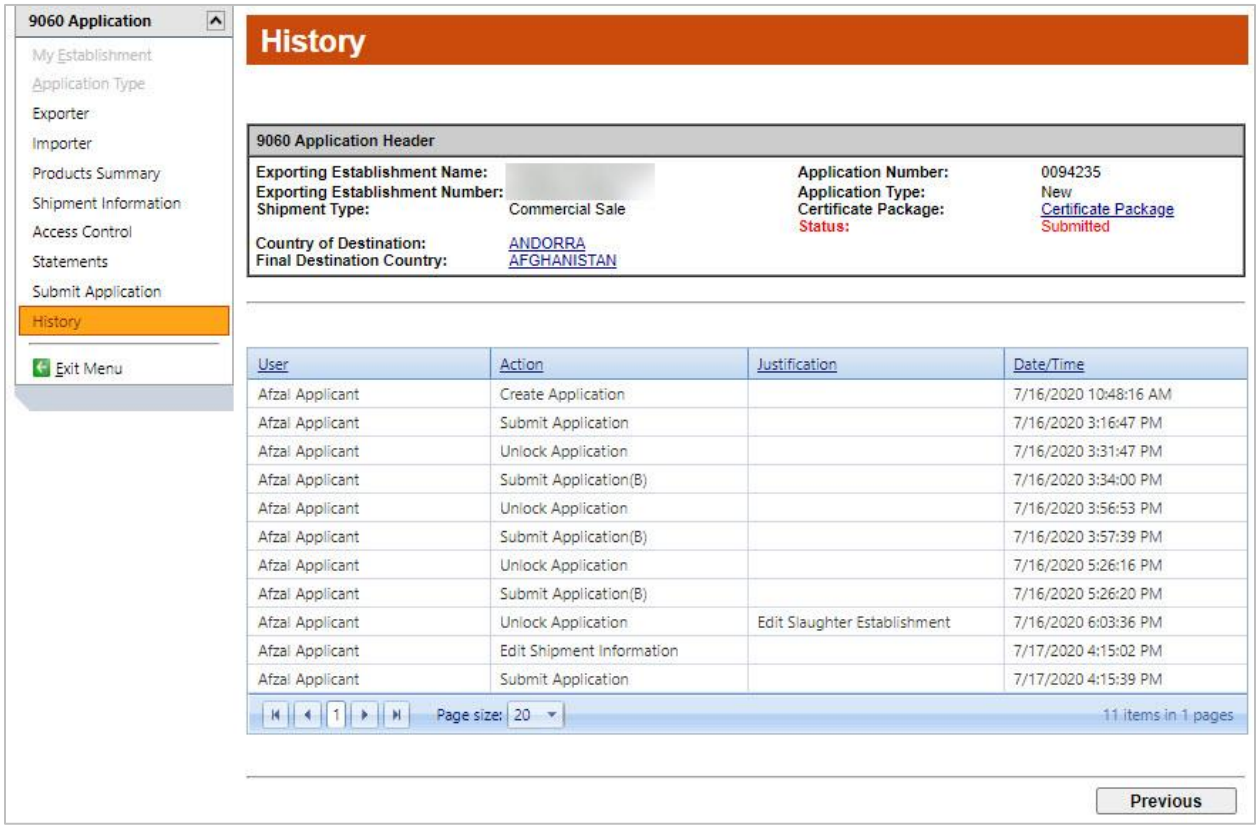


Figure 148: History page

8.1.1.13 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 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.

8.1.2 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.

8.1.2.1 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.

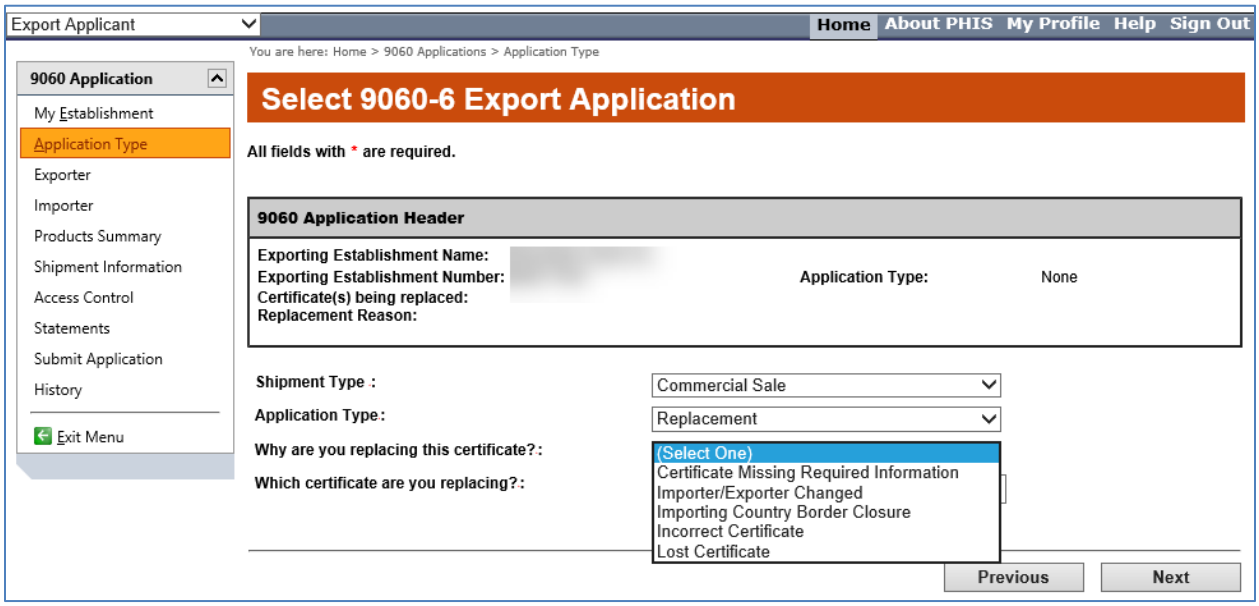


Figure 149: Reasons for Replacement

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

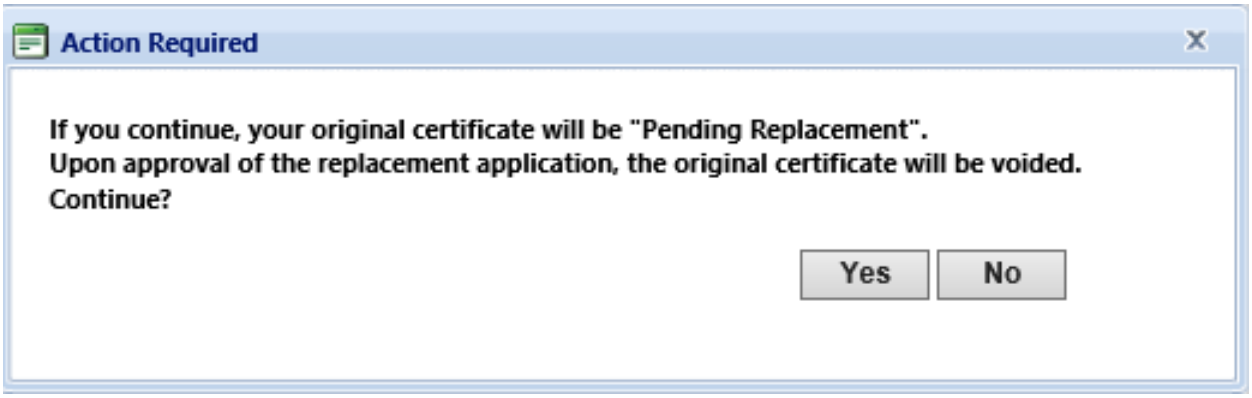


Figure 150: Action Required message

8.1.2.2 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. • For 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 11	Select **Review Application Submission** to review the certificate before submitting.

Step 12	Close the PDF window.
Step 13	The Submit Application button is enabled, select **Submit Application**.
Step 14	Receive the Action Required message (Figure 150) and select **Yes**, if desired. The page refreshes and a confirmation message appears.

8.1.2.3 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

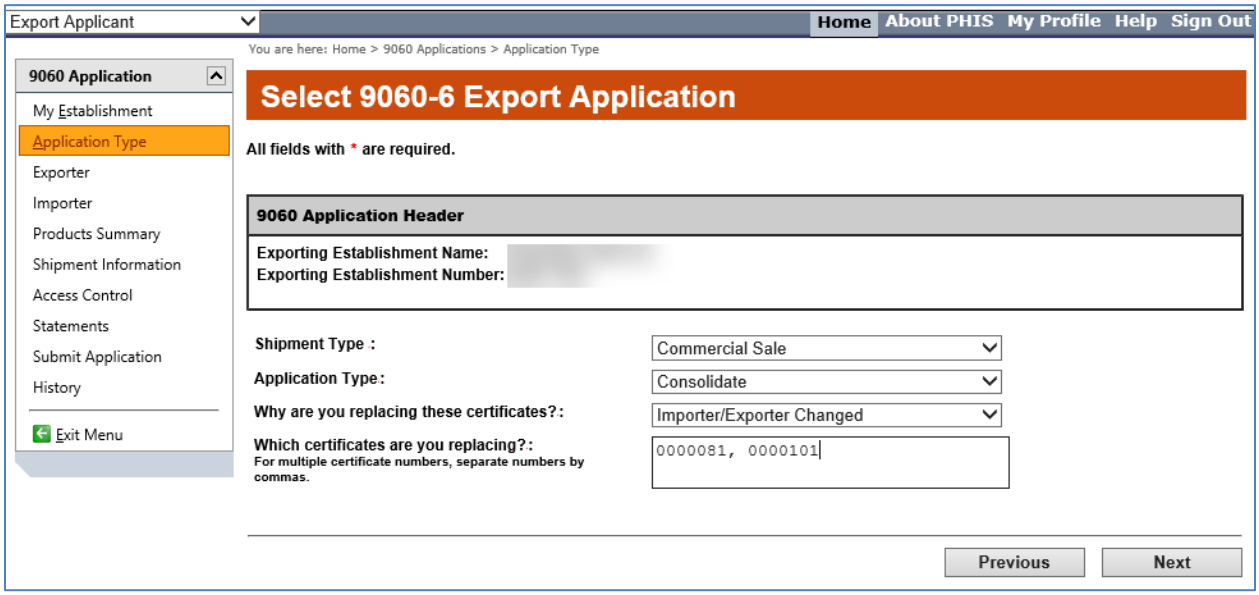


Figure 151: Completed Fields for Consolidation

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. • For 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 the 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 150) and select **Yes**, if desired. The page refreshes and a confirmation message appears

8.1.2.4 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

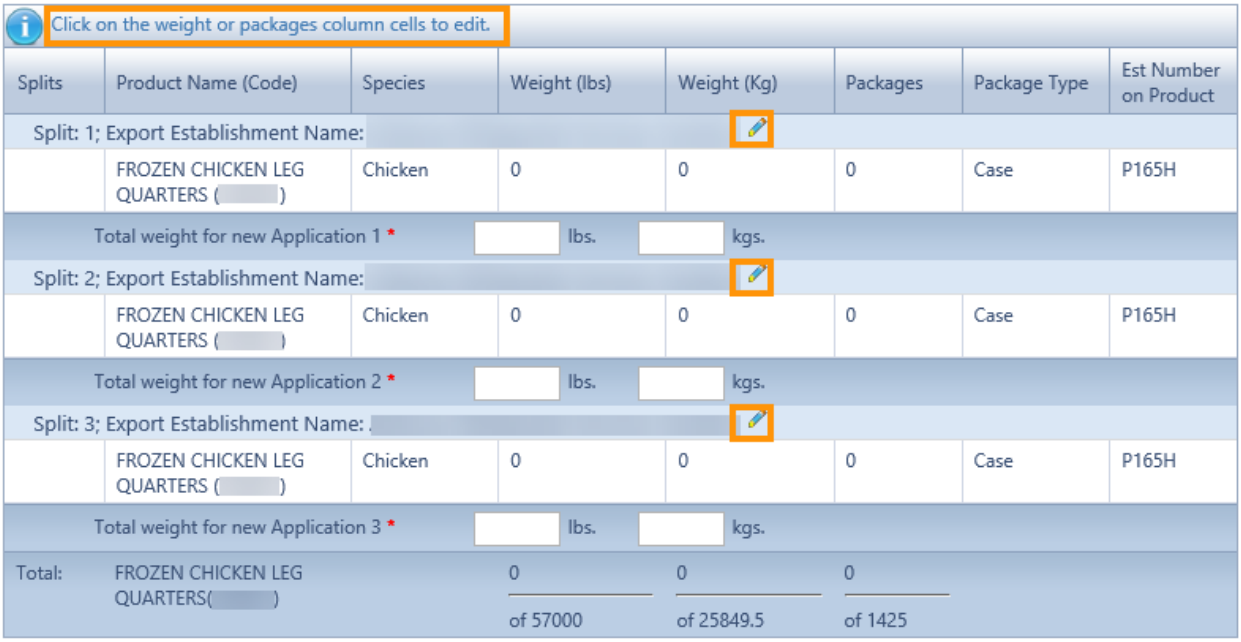


Figure 152: Split Application Product Data Entry Grid

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 153: 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.

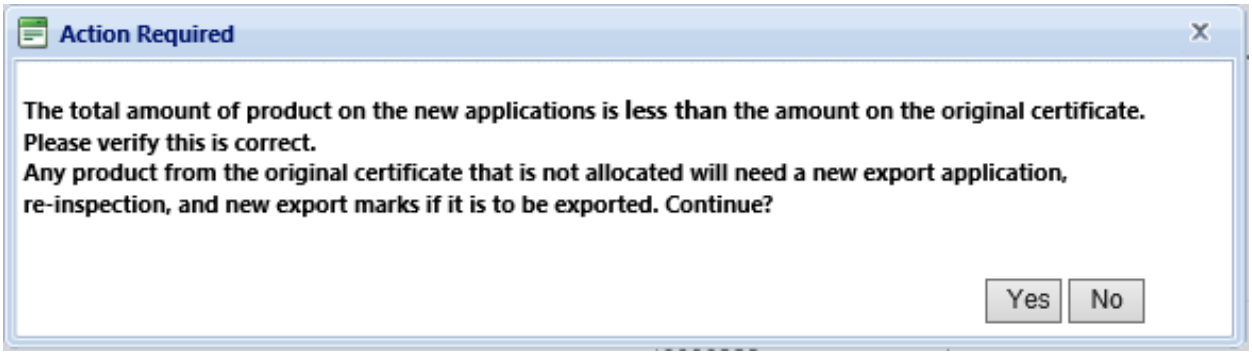


Figure 154: Values Entered are Less than those on the Original Certificate

	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.

8.1.3 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*.

8.1.4 9080-3 Applications

8.1.4.1 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 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**

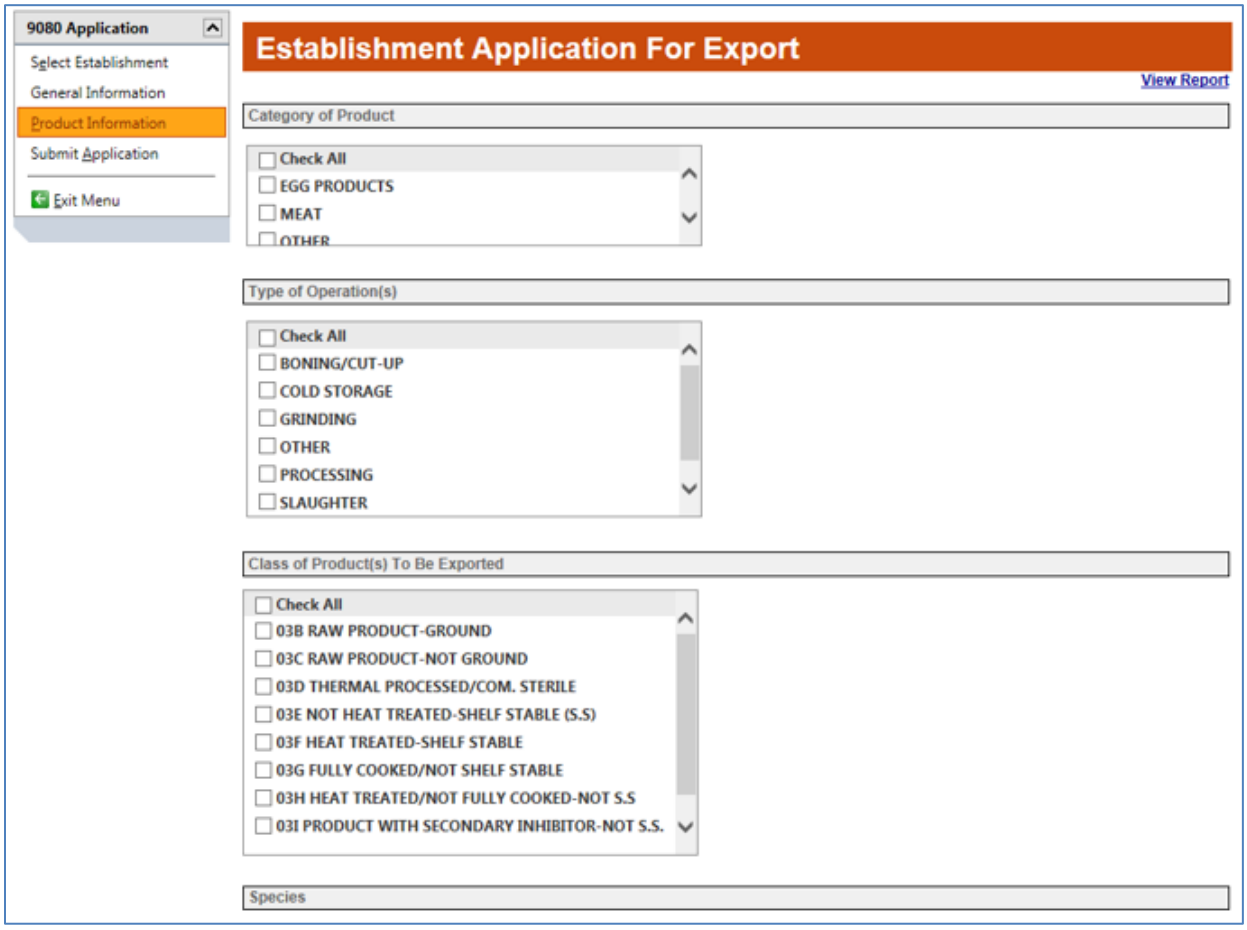


Figure 155: Product Information page

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**.

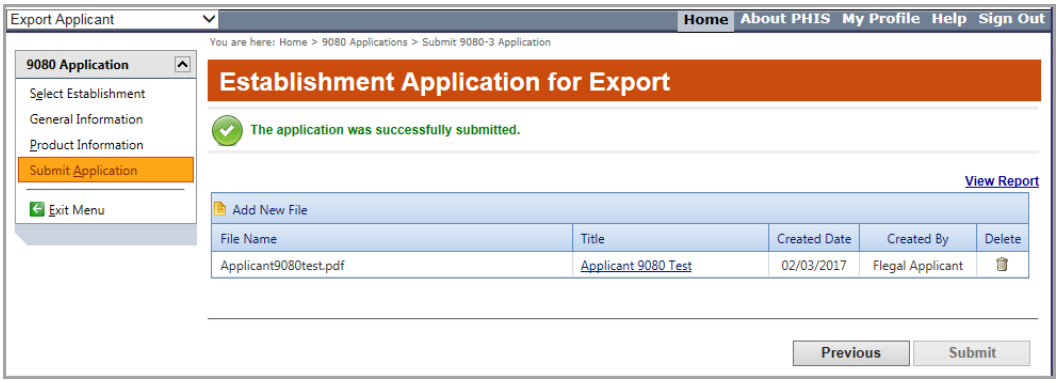
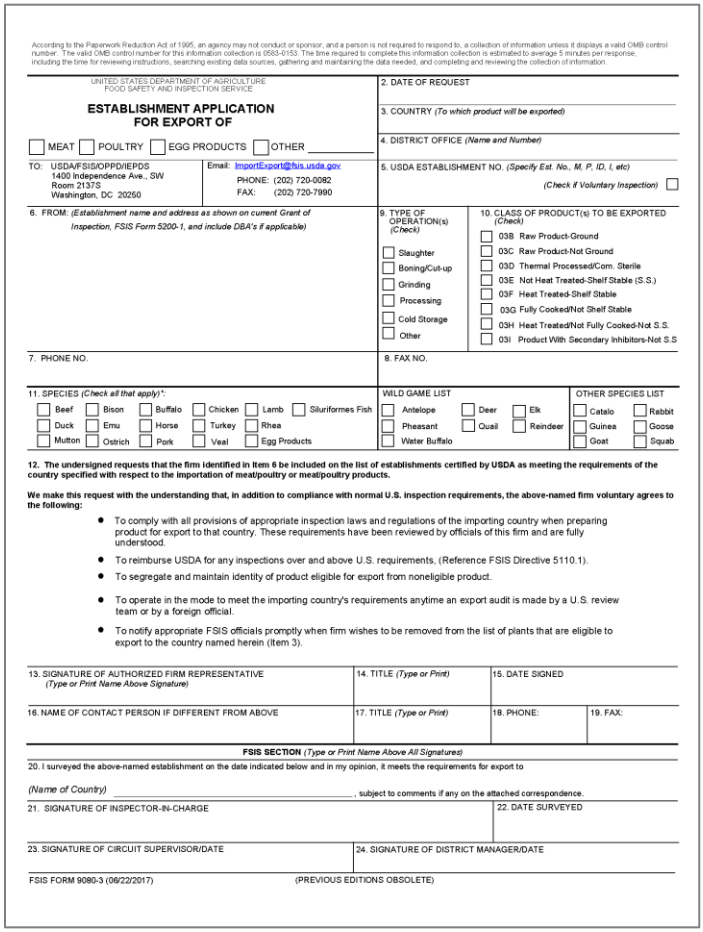


Figure 156: Confirmation Message for Submitting 9080-3 Application

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

☐ MEAT ☐ POULTRY ☐ EGG PRODUCTS ☐ OTHER _____

TO: USDA/FSIS/OPPD/IEPDS
1400 Independence Ave., SW
Room 2137S
Washington, DC 20250

Email: ImportExport@fsis.usda.gov
PHONE: (202) 720-0082
FAX: (202) 720-7990

2. DATE OF REQUEST
3. COUNTRY *(To which product will be exported)*
4. DISTRICT OFFICE *(Name and Number)*
5. USDA ESTABLISHMENT NO. *(Specify Est. No., M, P, ID, I, etc)*
(Check if Voluntary Inspection) ☐

6. FROM: *(Establishment name and address as shown on current Grant of Inspection, FSIS Form 5200-1, and include DBA's if applicable)*

9. TYPE OF OPERATION(s) *(Check)*
☐ Slaughter
☐ Boning/Cut-up
☐ Grinding
☐ Processing
☐ Cold Storage
☐ Other

10. CLASS OF PRODUCT(s) TO BE EXPORTED *(Check)*
☐ 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.
☐ 03I Product With Secondary Inhibitors-Not S.S

7. PHONE NO.
8. FAX NO.

11. SPECIES *(Check all that apply)**:
☐ Beef ☐ Bison ☐ Buffalo ☐ Chicken ☐ Lamb ☐ Siluriformes Fish
☐ Duck ☐ Emu ☐ Horse ☐ Turkey ☐ Rhea
☐ Mutton ☐ Ostrich ☐ Pork ☐ Veal ☐ Egg Products

WILD GAME LIST
☐ Antelope ☐ Deer ☐ Elk
☐ Pheasant ☐ Quail ☐ Reindeer
☐ Water Buffalo

OTHER SPECIES LIST
☐ Catalo ☐ Rabbit
☐ Guinea ☐ Goose
☐ Goat ☐ Squab

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 voluntary agrees to the following:

- 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 157: PDF of 9080-3 Application