4.2  REPLACEMENTS.............................................................................................................................62
  4.2.1  Replace One Paper Certificate with One Electronic Application .............................................63
  4.2.2  Replace One Electronic Certificate with One Electronic Application .......................................64
  4.2.3  Consolidate Multiple Certificates to One Application .............................................................65
  4.2.4  Split One Certificate to Multiple Applications .........................................................................66
4.3  BATCH EXPORT............................................................................................................................68
4.4  9080-3 APPLICATIONS....................................................................................................................69
  4.4.1  Export Applicant: Create/View 9080-3 Applications ................................................................69
5.  PHIS SUPPORT....................................................................................................................................72
# TABLE OF FIGURES

<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Create an Level 2 eAuth Account</td>
<td>8</td>
</tr>
<tr>
<td>2</td>
<td>Level 2 Access Account Registration</td>
<td>9</td>
</tr>
<tr>
<td>3</td>
<td>eAuthentication Page</td>
<td>10</td>
</tr>
<tr>
<td>4</td>
<td>USDA eAuthentication Consent</td>
<td>11</td>
</tr>
<tr>
<td>5</td>
<td>PHIS User Interface</td>
<td>11</td>
</tr>
<tr>
<td>6</td>
<td>Navigation Menu</td>
<td>13</td>
</tr>
<tr>
<td>7</td>
<td>PHIS Home Page Example: Plant Management Role</td>
<td>14</td>
</tr>
<tr>
<td>8</td>
<td>FSIS Enrollment Welcome Page</td>
<td>19</td>
</tr>
<tr>
<td>9</td>
<td>Industry Invitation – Disclaimer page</td>
<td>19</td>
</tr>
<tr>
<td>10</td>
<td>Industry Invitation page</td>
<td>20</td>
</tr>
<tr>
<td>11</td>
<td>Review Requests Page</td>
<td>21</td>
</tr>
<tr>
<td>12</td>
<td>Edit icon</td>
<td>22</td>
</tr>
<tr>
<td>13</td>
<td>Roles Tab on Profile Page</td>
<td>22</td>
</tr>
<tr>
<td>14</td>
<td>Edit Role page</td>
<td>23</td>
</tr>
<tr>
<td>15</td>
<td>Delete Role icon</td>
<td>24</td>
</tr>
<tr>
<td>16</td>
<td>Delete Role Confirmation</td>
<td>24</td>
</tr>
<tr>
<td>17</td>
<td>FSIS Enrollment Welcome Page for Corporate</td>
<td>25</td>
</tr>
<tr>
<td>18</td>
<td>FSIS Disclaimer page</td>
<td>26</td>
</tr>
<tr>
<td>19</td>
<td>Industry Invitation page</td>
<td>26</td>
</tr>
<tr>
<td>20</td>
<td>FSIS Enrollment Request Wizard</td>
<td>27</td>
</tr>
<tr>
<td>21</td>
<td>Select Domestic Establishment feature</td>
<td>28</td>
</tr>
<tr>
<td>22</td>
<td>My Profile</td>
<td>29</td>
</tr>
<tr>
<td>23</td>
<td>FSIS Enrollment Request Wizard</td>
<td>30</td>
</tr>
<tr>
<td>24</td>
<td>Enrollment Wizard select Account Type</td>
<td>30</td>
</tr>
<tr>
<td>25</td>
<td>Enrollment Wizard select Role</td>
<td>31</td>
</tr>
<tr>
<td>26</td>
<td>Enrollment Wizard Disclaimer</td>
<td>31</td>
</tr>
<tr>
<td>27</td>
<td>Enrollment Wizard notification and Activation Code field</td>
<td>32</td>
</tr>
<tr>
<td>28</td>
<td>Email notification with Activation Code</td>
<td>32</td>
</tr>
<tr>
<td>29</td>
<td>Change Account</td>
<td>33</td>
</tr>
<tr>
<td>30</td>
<td>Change Session Account</td>
<td>33</td>
</tr>
<tr>
<td>31</td>
<td>Select Establishment</td>
<td>34</td>
</tr>
<tr>
<td>32</td>
<td>Adding New Corporate Profile to Establishment</td>
<td>35</td>
</tr>
<tr>
<td>33</td>
<td>Search on Existing Corporate Profiles</td>
<td>35</td>
</tr>
<tr>
<td>34</td>
<td>Associate Corporate Profile</td>
<td>36</td>
</tr>
<tr>
<td>35</td>
<td>Completed Corporate Profile</td>
<td>36</td>
</tr>
<tr>
<td>36</td>
<td>Establishment Contacts</td>
<td>37</td>
</tr>
<tr>
<td>37</td>
<td>Plant Management Respond to MOI page</td>
<td>38</td>
</tr>
<tr>
<td>38</td>
<td>Memorandum of Interview page</td>
<td>39</td>
</tr>
<tr>
<td>39</td>
<td>Respond to Noncompliance Record</td>
<td>40</td>
</tr>
<tr>
<td>40</td>
<td>Plant Management Response page</td>
<td>41</td>
</tr>
<tr>
<td>41</td>
<td>The Inventory of Standard Reports page</td>
<td>42</td>
</tr>
<tr>
<td>42</td>
<td>Complete Report Parameter fields</td>
<td>42</td>
</tr>
<tr>
<td>43</td>
<td>Sample Industry Report Output in Excel</td>
<td>43</td>
</tr>
<tr>
<td>44</td>
<td>Create 9060 application</td>
<td>45</td>
</tr>
<tr>
<td>45</td>
<td>Associate Establishment with 9060</td>
<td>45</td>
</tr>
<tr>
<td>46</td>
<td>Select Shipment and Application types for 9060</td>
<td>46</td>
</tr>
<tr>
<td>47</td>
<td>Exporter Information for 9060</td>
<td>46</td>
</tr>
<tr>
<td>48</td>
<td>Importer Information for 9060</td>
<td>47</td>
</tr>
<tr>
<td>49</td>
<td>Products Summary page</td>
<td>48</td>
</tr>
<tr>
<td>50</td>
<td>Product Details page</td>
<td>49</td>
</tr>
<tr>
<td>51</td>
<td>Establishment Search Menu</td>
<td>50</td>
</tr>
<tr>
<td>52</td>
<td>Select Establishment Number</td>
<td>50</td>
</tr>
<tr>
<td>53</td>
<td>Add Total Net Weight</td>
<td>51</td>
</tr>
<tr>
<td>54</td>
<td>Penalty of Law disclaimer and Certification Statements</td>
<td>51</td>
</tr>
<tr>
<td>55</td>
<td>Commercial Seal and Container Information</td>
<td>52</td>
</tr>
</tbody>
</table>
Figure 56: Enter Seal and Container Information ................................. 52
Figure 57: Access Control ..................................................................... 53
Figure 58: Add Establishment or Person Search Windows ..................... 53
Figure 59: Edit Level of Access .............................................................. 54
Figure 60: Verify Header and Product Information ............................... 54
Figure 61: Add Supplemental Documentation ....................................... 55
Figure 62: Supplemental Documentation Upload .................................... 55
Figure 63: Document appears in Grid .................................................... 55
Figure 64: Add Supportive Documentation ........................................... 56
Figure 65: PHIS generated Remarks ...................................................... 56
Figure 66 Text field to enter Required Statements for Export Certificates ................................................ 56
Figure 67: Submit Application ................................................................ 57
Figure 68: Confirmation Message .......................................................... 57
Figure 69: Delete Application ............................................................... 60
Figure 70: Update Catch Weights ........................................................ 61
Figure 71: Update Catch Weights on Product Summary page ................ 61
Figure 72 Reasons for Replacement ..................................................... 63
Figure 73: Action Required .................................................................. 64
Figure 74: Completed Fields for Consolidation ...................................... 65
Figure 75: Split Application Product Data Entry Grid ............................. 67
Figure 76 Exceeds the Values of the Original Certificate Message ........ 67
Figure 77: Values Entered are Less than those on the Original Certificate ................................................ 68
Figure 78: Product Information page ..................................................... 69
Figure 79: Confirmation Message for Submitting 9080-3 Application ........ 70
Figure 80: PDF of 9080-3 Application ................................................... 71
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 establishment administrators, corporate administrators, plant managers, export applicants, and export brokers.

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.
1. Overview of PHIS

1.1 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 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 replaced many of FSIS’ systems. PHIS improves the way FSIS detects and responds to foodborne hazards.

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

1.2 Requirements

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

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

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

1.3 Business Functionality Overview

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

- Domestic inspection
- Import management
- Export certification
- Analytics
1.4 Role-based Access

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

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

1.5 Creating a Level 2 eAuthentication Account

Every person that uses PHIS must have electronic Authentication, level 2. This process is managed by the Department of Agriculture, not the individual Agencies, such as FSIS. For more information on eAuthentication, visit the eAuthentication website at http://www.eauth.egov.usda.gov/.

Step 1 Open a web browser and go to https://www.eauth.usda.gov/MainPages/index.aspx.
Step 2 On the eAuthentication Home page, click Create an Account.
Step 3 You will be taken to the Create an Account – Getting Started page. Click the Register for a Level 2 Account button.
Enter the required fields for Step 1 of 5 – Level 2 Access Account Registration

Figure 2: Level 2 Access Account Registration
Step 4  Click Continue.
Step 5  Review information for Step 2 of 5 – Access Account Verification. If correct, click Submit.
Step 6  Follow the instructions on Step 3 of 5 – Print Confirmation Email to complete the remaining steps of your registration.
Step 7  Open Confirmation email and click on the “Activate My Account” link located at the top of the email.
Step 8  You will be taken to the activation confirmation page. By default, new users will be provided a Level 1 account. Users must perform the following additional steps to obtain Level 2 access.
Step 9  Log in to your profile.
Step 10 Fill in the required information. Verify your identity remotely by following the instructions on the Level 2 Account Upgrade Request Confirmation email, visiting a Local Registration Authority (LRA), or through Self-Service Identity Verification.

Note: The eAuth Level 2 LRA process is not required and can substituted by the identity verification process. Self-Service Identity Verification allows you to complete the Level 2 identity verification process online by answering “out-of-wallet” quiz questions that only you would know. This process leverages the Experian identity verification system, which meets NIST standards for identity verification at Level 2 assurance.

Additional information on the identity verification process and eAuth is located here: https://www.eauth.usda.gov/_GlobalAssets/Documents/USDA_eAuth_FAQ_508.pdf

1.6  Logging in to PHIS

Note: Verify that all PHIS emails intended for the Industry email boxes are not being directed to your junk/spam folder.

To access PHIS, go to https://phis.fsis.usda.gov. Your browser is re-directed to the eAuthentication Login page (Figure 3).

Figure 3: eAuthentication Page
Provide a Level 2 eAuthentication User ID and Password and then click **Login**. The USDA eAuthentication system validates the user ID and password 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.

![Usda eauthentication Consent](image)

**Figure 4: USDA eAuthentication Consent**

### 1.7 PHIS User Interface Overview

The PHIS user interface uses the standard layout described in Figure 5. It incorporates many features which are standard across most PHIS pages. Several of these features are standard on all USDA websites.

![Phis User Interface](image)

**Figure 5: PHIS User Interface**
Table 1 describes the user interface elements that are labeled in Figure 5.

<table>
<thead>
<tr>
<th>Item</th>
<th>Name</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Banner</td>
<td>This banner appears on all USDA web pages.</td>
</tr>
<tr>
<td>2</td>
<td>Role</td>
<td>Displays your current role. Certain users may be assigned multiple roles and can change roles using this selection list.</td>
</tr>
<tr>
<td>3</td>
<td>Navigation Menu</td>
<td>Appears on many PHIS pages; menu options depend upon user role.</td>
</tr>
<tr>
<td>4</td>
<td>Quick links</td>
<td>Appears at the bottom of every page; with links to additional resources if applicable.</td>
</tr>
<tr>
<td>5</td>
<td>Welcome statement</td>
<td>Appears on all PHIS pages; indicates your name and current role. New to this line is the PHIS assigned user access code.</td>
</tr>
<tr>
<td>6</td>
<td>PHIS</td>
<td>Appears on all pages within the PHIS system.</td>
</tr>
<tr>
<td>7</td>
<td>PHIS Menu Bar</td>
<td><strong>Home</strong> Navigates to the PHIS Home page. <strong>About PHIS</strong> Provides an overview of PHIS. <strong>Help</strong> Provides access to online PHIS support resources. <strong>Contact Us</strong> Provides point of contact information for the PHIS administration team and a messaging interface. <strong>Sign Out</strong> Log-out of the PHIS User Interface.</td>
</tr>
<tr>
<td>8</td>
<td>Header</td>
<td>Appears on every PHIS page; indicates the functionality being displayed in the context area. Includes a path that shows the page navigation that was followed to reach the current page and allow you to navigate back to previous pages.</td>
</tr>
<tr>
<td>9</td>
<td>Content Area</td>
<td>Central to all PHIS pages, this area of the screen provides the functionality needed for the user to perform a task within PHIS.</td>
</tr>
</tbody>
</table>

Table 1: PHIS User Interface Attributes
1.8 Navigation Menu

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

![Navigation Menu Diagram]

**Figure 6: Navigation Menu**
1.9 PHIS Home Page

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

Figure 7 provides an example of the Home Page as seen by a user with the Plant Management role.

![PHIS Home Page Example: Plant Management Role](image)

**Figure 7: PHIS Home Page Example: Plant Management Role**

**Note:** The Plant Management role may not have any tabs or tables displayed; in these cases, all required functionality is accessed via the navigation menu.
2. PHIS Guide for Industry Users: User Enrollment and Administration

2.1 Overview

This section provides an overview of the PHIS User Enrollment and Administration application. This application links your Level 2 eAuthentication 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 who 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 “administrator” to manage the roles.

Additionally, because PHIS is password and security protected, sixty days of inactivity by any one individual, will remove that individual from the system.

Users with Establishment Administrator and Corporate Administrator roles can deactivate and reactivate users with Plant Management and Export Applicant roles as well as other users with their same role.

If an establishment administrator user account is deactivated due to inactivity, the user should follow the same steps as when first accessing PHIS. As long as the Contact record is remains, the user should see the Accept Industry Invitation option. (See 2.1.1 Establishment Administrator: User Enrollment)

Table 2: Roles and Functionality describes each role and the associated functionality.

<table>
<thead>
<tr>
<th>Role</th>
<th>Functionality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establishment Administrator</td>
<td>• Search for existing users associated with the establishment</td>
</tr>
<tr>
<td></td>
<td>• Update the following details for establishment users</td>
</tr>
<tr>
<td></td>
<td>o Salutation</td>
</tr>
<tr>
<td></td>
<td>o Display Name</td>
</tr>
<tr>
<td></td>
<td>o Credentials</td>
</tr>
<tr>
<td></td>
<td>o Work Phone</td>
</tr>
<tr>
<td></td>
<td>o Mobile Phone</td>
</tr>
<tr>
<td></td>
<td>o Fax</td>
</tr>
<tr>
<td></td>
<td>• View enrollment requests for the establishment</td>
</tr>
<tr>
<td></td>
<td>• Approve enrollment requests for the establishment</td>
</tr>
<tr>
<td></td>
<td>• Add roles to users associated with the establishment</td>
</tr>
<tr>
<td></td>
<td>• Revoke roles from users associated with the establishment</td>
</tr>
<tr>
<td></td>
<td>• Deactivate user accounts associated with the establishment</td>
</tr>
<tr>
<td></td>
<td>• Up to 3 users from an establishment may be assigned the Establishment Administrator role.</td>
</tr>
<tr>
<td>Role</td>
<td>Functionality</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Corporate Administrator  | • Search for users associated with corporate establishments  
                           • 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 associated with corporate establishments  
                           • Approve enrollment requests associated with corporate establishments  
                           • Add roles to users associated with corporate establishments  
                           • Revoke roles from users associated with corporate establishments  
                           • Deactivate user accounts associated with corporate establishments  
                           • Up to 10 users with the Corporate Administrator role may be related to each establishment. |
| Plant Management          | • Respond to noncompliance records  
                           • Appeal noncompliance records  
                           • View and print pre-defined reports  
                           • Save reports to your local computer  
                           • Update the following details for establishment users  
                           o Job Title  
                           o Salutation  
                           o Display Name  
                           o Credentials  
                           o Work Phone  
                           o Mobile Phone  
                           o Fax  
                           • Link the establishment to a corporate entity  
                           • Up to 10 users for an establishment can have the Plant Management role. |
<table>
<thead>
<tr>
<th>Role</th>
<th>Functionality</th>
</tr>
</thead>
</table>
| Export Applicant      | • Create and view 9060-6 Export Applications  
                          • View PDFs associated with approved 9060-5 Export Certificates  
                          • Create and view 9080-3 Applications  
                          • Upload 9060-6 Export Application files for batch processing  
                          • View results of batch file uploads  
                          • There is no limit per establishment on the number of related Export Applicant users. |

*Table 2: Roles and Functionality*
2.1.1 Establishment Administrator: User Enrollment

Establishment administrators are responsible for managing users in his or her establishment who have the Plant Management, Export Applicant, or Establishment Administrator roles. In order for an establishment to have a user with the Establishment Administrator role, FSIS IIC or CSI must add at least one contact to PHIS with the Establishment Administrator role. Information added to the list of plant contacts must match exactly (case sensitive) with that associated with the eAuth 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 2.1.1.1 Establishment Administrator: How to Access PHIS for the First Time. Up to three users per establishment can be specified as Establishment Administrators.

As another option, subsequent prospective users seeking the Establishment Administrator role can submit an enrollment request for the role and it can be approved by either an Establishment Administrator associated with the Establishment or a Corporate Administrator associated with the Establishment’s linked Corporate Entity. To do so a user can follow the instructions for submitting an enrollment request in section 2.1.4.1 Plant Management: How to Submit an Enrollment Request but requesting the Establishment Administrator role versus a Plant Management role.

Any other establishment users who don’t require the Establishment Administrator or Corporate Administrator roles must follow the instructions for submitting an enrollment request in section 2.1.4.1 Plant Management: How to Submit an Enrollment Request.

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

Once a Contact has been added to the Establishment Profile Contacts’ page, the user must accept an invitation and to activate their PHIS account by completing 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 Level 2 eAuthentication user ID and password.
Step 3 On the Enrollment Welcome page, click **Accept Industry Invitation**… See Figure 8: FSIS Enrollment Welcome Page. If you do not see an Accept Industry Invitation… link, either the Contact record information entered into PHIS does not match exactly that associated with the eAuth record or you are either not eligible to enroll as an Establishment Administrator. Refer to section 2.1.4.1 Plant Management: How to Submit an Enrollment Request or contact your local FSIS representative.

![Welcome to the FSIS Enrollment Application!](image)

**Figure 8: FSIS Enrollment Welcome Page**

Step 4 On the Industry Invitation – Disclaimer page (Figure 9), read the disclaimer and select the box next to **I Agree**.

![Industry Invitation - Disclaimer](image)

**Figure 9: Industry Invitation – Disclaimer page**

Step 5 Click **Continue**.

Step 6 In the Establishment Numbers field on the Industry Invitation page (Figure 10), type the establishment number for the establishment for which you will be the Establishment Administrator. You can also click **Lookup**… to search for your establishment. The number must match exactly, including any suffixes.
Step 7  Click **Create Account**. After you click Create Account, you will be directed to the User Management application. Continue to the next section of this guide, **2.1.2 Establishment Administrator: User Management**, for information on managing users and account requests.

**Note:** If an establishment administrator user account is deactivated due to inactivity after sixty days, the user should follow the same steps as when first accessing PHIS. As long as a related Contact record is still associated with the Establishment in PHIS, the user should see the Accept Industry Invitation option after logging in through eAuth.

**2.1.2 Establishment Administrator: User Management**

Establishment Administrators are responsible for managing user accounts for their establishment, which includes approving enrollment requests and adding or removing roles. Establishment Administrators can assign the Plant Management or Establishment Administrator roles to users of their establishment.

**2.1.2.1 Establishment Administrator: How to Manage User Requests from New Users**

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

**Step 1**  Log in to PHIS with your Level 2 eAuthentication user ID and password.

**Step 2**  From the navigation menu, click **Manage Requests**.

**Step 3**  Click the **Edit** icon next to the request you want to review. The Request page (Figure 11) appears and you can review the request, make changes to it, or approve/reject it.

**Step 4**  Review the request and make any changes to the user’s profile, such as assigning a role or removing a role, if necessary.

**Step 5**  Click **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. If you want to approve the request, click **Approve**.
Figure 11: Review Requests Page
2.1.2.2 Establishment Administrator: How to Manage User Requests from Existing Users

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

**Step 1** Log in to PHIS with your Level 2 eAuthentication user ID and password.

**Step 2** From the navigation menu, click **Manage Requests**.

**Step 3** Click the **Edit** icon next to the request you want to review.

**Step 4** Review the request and make any changes to the user’s profile, such as assigning a role or removing a role, if necessary.

**Step 5** Click **Approve** or **Reject** when you are done with the request.

2.1.2.3 Establishment Administrator: How to Assign a Role

To assign a role to other users in your establishment, complete the following steps:

**Step 1** Log in to PHIS with your Level 2 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 clicking Search.

**Step 3** Click the **Edit** icon (Figure 12).

![Figure 12: Edit icon](image)

**Step 4** Click the **Roles** tab.

**Step 5** Click **Add a Role**…(Figure 13)

![Figure 13: Roles Tab on Profile Page](image)
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 Click Save.

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

![Edit Role page](image)

**Figure 14: Edit Role page**

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

Step 11 Select establishment(s).

Step 12 Click Save.

Step 13 Click Save and Go Back.

2.1.2.4 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 Level 2 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 clicking Search.

Step 3 Click the Edit icon.

Step 4 Click the Personal Information tab.

Step 5 Enter the user’s information in the available fields, which are defined in **Table 3: Personal Information Fields and Definitions**.

<table>
<thead>
<tr>
<th>Field</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salutation</td>
<td>The user’s formal salutation, such as Mr., Mrs., Ms., or Dr.</td>
</tr>
<tr>
<td>Credentials</td>
<td>The user’s certifications or degrees</td>
</tr>
<tr>
<td>Work Phone</td>
<td>The user’s 10-digit work or office phone number</td>
</tr>
<tr>
<td>Mobile Phone</td>
<td>The user’s 10-digit mobile phone number</td>
</tr>
<tr>
<td>Fax</td>
<td>The user’s 10-digit fax machine number</td>
</tr>
</tbody>
</table>
Table 3: Personal Information Fields and Definitions

Step 6  Click Update.

2.1.2.5 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 Level 2 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 clicking Search.
**Step 3**  Click the Edit icon.
**Step 4**  Click the Roles tab.
**Step 5**  Click the Delete Role icon (Figure 15).

![Figure 15: Delete Role icon](image)

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

![Figure 16: Delete Role Confirmation](image)

2.1.3 Corporate Administrator: User Enrollment
Corporate administrators can manage industry users with Plant Management, Establishment Administrator, and/or Export Applicant roles at establishments associated with the corporate entity. Users with the Corporate Administrator role can also manage the records of other corporate account type users associated with the same corporate entity.

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 who would like to add the Plant Management role to view one of the corporations associated establishments, must follow the instructions for submitting an enrollment request in section 2.1.4.1 Plant Management: How to Submit an Enrollment Request.

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

Once a Corporate Administrator Contact has been added to an Establishment’s Establishment Profile Contacts’ page, to accept an invitation and activate your PHIS account, complete the following steps:

**Step 1** Open a web browser and go to [https://phis.fsis.usda.gov/enrollment/](https://phis.fsis.usda.gov/enrollment/).

**Step 2** Log in to PHIS with your Level 2 eAuthentication user ID and password.

**Step 3** On the Enrollment Welcome page, click **Accept Invitation...** See Figure 8: FSIS Enrollment Welcome Page. If you do not see an Accept Invitation... link, you are not eligible to enroll as a Corporate Administrator. Refer to section 2.1.4.1 Plant Management: How to Submit an Enrollment Request.

**Step 4** On the Industry Invitation – Disclaimer page (Figure 18), read the disclaimer and select the box next to **I Agree**.

---

*Welcome to the FSIS Enrollment Application!*

**Frederick Douglass,**

Your FSIS account was not found. An account is required to access FSIS applications. There are a few ways to enroll. The first enrollment option is the preferred way. Review available options below.

**Enroll by Accepting Invitation**

You are designated as a company’s FSIS Application User. Click **Accept Invitation** below to accept the invitation. Follow the on screen instructions.

* Accept Invitation...

**Enroll by Submitting Enrollment Request**

Click **Submit Enrollment Request** to run the Enrollment Request wizard. You will be notified when your request is approved or denied.

* Submit Enrollment Request...
Step 5  Click Continue.
Step 6  In the Establishment Numbers field on the Industry Invitation page (Figure 10), type the establishment number for the establishment for which you will be the Establishment Administrator. You can also click Lookup… to search for your establishment. The number must match exactly, including any suffixes.

Step 7  Click Create Account. After you click Create Account, you will be directed to the User Management application for Corporate Administrators. For information on managing users and account requests as a Corporate Administrator, please see section 2.1.2 Establishment Administrator: User Management. The functionality is the same, with the exception that the Corporate Administrator role may manage both Corporate and Industry user account types and related requests associated with all establishments linked to a corporation.
2.1.4 Plant Management: Requesting User Enrollment

In order to use PHIS to respond to noncompliance records, appeal noncompliance, or view reports, a user needs the Plant Management 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 the establishment administrator approves the request.

2.1.4.1 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 Level 2 eAuthentication user ID and password.
Step 3  On the Enrollment Welcome page, click Submit Enrollment Request.
Step 4  On the Step 1 page, click Next.

![Image of FSIS Enrollment Request Wizard]

Figure 20: FSIS Enrollment Request Wizard

Step 5  On the Step 2 page, in the Account Type field, select Domestic and click Next.
Step 6  On the Step 3 page, in the Role field, select Plant Management and click Next.
Step 7  On the Step 4 page, enter filter criteria to find the establishment and click Find.
Step 8  Click the Select icon next to the Establishment and click Next.
Step 9  On the Step 5 page, complete optional user account information and click Next.

Step 10 On the Step 6 page, add optional comments and click Next.

Step 11 On the Step 7 page, verify that all the information is correct and click Finish. After you submit the request, your establishment administrator must approve your request before you will be able to use PHIS.

2.1.4.2 Plant Management: 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 Level 2 eAuthentication user ID and password.

Step 3  Click My Profile in the PHIS Menu Bar (Figure 22).
Step 4  Click the **Requests** tab.

Step 5  Click **Add Request**...

Step 6  Enter your request details in the text box.

Step 7  Click **Create Request**.

After creating the request, your establishment administrator will need to modify your account accordingly (section 2.1.2 Establishment Administrator: User Management). You can modify the request or delete it by clicking the appropriate icon on the Requests page before your establishment administrator acts on the request.

### 2.1.5 Export Broker: Requesting 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 the user 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.

#### 2.1.5.1 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](https://phis.fsis.usda.gov).
Step 2  Log in to PHIS with your Level 2 eAuthentication user ID and password.
Step 3  On the Enrollment Welcome page, click Submit Enrollment Request.
Step 4  On The FSIS Enrollment Request Wizard (Step 1) page, click Next.

![Figure 23: FSIS Enrollment Request Wizard](image)

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

![Figure 24: Enrollment Wizard select Account Type](image)

Step 6  On the Step 3 page, in the Role field, select Export Broker and click Next.
Step 7  On the step 4 page, Disclaimer page (Figure 9), read the disclaimer and select the box next to I Agree.

Step 8  Click Next.
Step 9  Receive notification that an email containing an Activation Code has been sent to the email account associated with the eAuth account.
### Step 10
Check account for email containing the Activation Code

![Email notification with Activation Code](image)

```
From: <email@domain.com>
Subject: The FSIS Enrollment Request Wizard (Step 5 of 5)

Hi [Name],

You must activate your account within 24 hours of receipt of this email.

Thank you,
The FSIS Application Identification System.
```

### Step 11
Enter Activation Code (expires after 24 hours) received by email into the Activation Code field and click Finish

### Step 12
PHIS opens the Export Broker home page and the user may begin adding 9060 applications and/or uploading batch files.

#### 2.1.6 Change Account

It is possible that some Corporate and Establishment industry users may also have another FSIS account type. If so, a Change Account option will appear on the left menu to allow the user to switch back and forth from one account to another, Corporate ↔ LSAS Submitter (Figure 29). Once selected, the user would choose from the available Account type options available (Figure 30).
Figure 29: Change Account

Change Session Account

You are assigned multiple accounts. Select another account and click Select on the right or click Continue to continue with the current session account.

<table>
<thead>
<tr>
<th>Account Name</th>
<th>Account Type</th>
<th>Roles</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>[session account]</td>
<td>Corporate</td>
<td>- Corporate Administrator</td>
<td>Continue</td>
</tr>
<tr>
<td><a href="mailto:test@test.com">test@test.com</a></td>
<td>LSAS Submitter</td>
<td>- Submitter</td>
<td>Select</td>
</tr>
<tr>
<td><a href="mailto:test@test.com">test@test.com</a></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 30: Change Session Account
3.  PHIS Guide for Industry Users: Domestic Inspection

3.1  Overview

This section provides an overview of the plant management functions within PHIS that are accessible by and designed for establishment management. PHIS supports one domestic establishment management role: Plant Management.

3.1.1  Plant Management Role: Domestic Inspection

The primary responsibilities in PHIS for users with the Plant Management role are to respond to memorandum of interviews and noncompliance record information recorded by FSIS inspectors. The Plant Management role also manages a list of establishment contact records entered by the establishment users.

3.1.1.1  Plant Management: Add Corporate Profile

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

![Figure 31: Select Establishment](image)

**Step 4**  Click **Corporate Profile**.
**Step 5**  On the Corporate Profile page, click **Add New Corporate Profile** radio button.
**Step 6**  Enter the Corporate Profile details: name, all address fields, and phone number and click the **Add** button.
Figure 32: Adding New Corporate Profile to Establishment

Step 7  Or, select the radio button associated with the Search and Associate Existing Corporate Profile option.

Figure 33 Search on Existing Corporate Profiles

Step 8  Select the house icon in the Associate column related with desired corporate record.
Step 9  Notice that the establishment is listed on the Corporate Profile’s page. When this process is repeated for other establishments, they will appear in the grid as well.

3.1.1.2  Plant Management: Remove Establishment from the Corporate Profile

Step 1  Log on to PHIS with the Plant Management role.
Step 2  Click My Establishments > Select Establishment.
Step 3  Select an establishment.
Step 4  Click Corporate Profile.
Step 5  In the Establishments Associated to Corporate section, find the establishment that needs to be removed.
Step 6  Click Delete.
Step 7  If asked to confirm, do so.

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 accepted the invitation from the Plant Management to be a Corporate Administrator of that establishment.

3.1.1.3 Plant Management: Manage Establishment entered Contacts

It should be noted that Contacts entered by Plant Management may only be deleted by users with the Plant Management role. Contacts entered by FSIS Personnel may only be deleted by FSIS users.

Step 1 Log on to PHIS with the Plant Management role.
Step 2 Click My Establishments > Select Establishment.
Step 3 Select the establishment to which you are adding the Contact.
Step 4 Click Establishment Contacts.
Step 5 Click Add New Contact.
Step 6 On the Add/Edit Contact page, fill in required fields.
Step 7 Enter the required information. The First Name, Last Name, and Email Address must match the user’s eAuthentication information.
Step 8 Select applicable Type from the list: Plant Management, Establishment Administrator or Corporate Administrator roles. (“HACCP” and “Others?” contact types are not applicable to accessing PHIS.)
Step 9 Click Save.

Figure 36: Establishment Contacts

Step 10 Click the delete icon to remove an Establishment Contact.

3.1.1.4 Plant Management: How to respond to a Memorandum of Interview

Step 1 Log in to PHIS with your Level 2 eAuthentication user ID and password.
Step 2 Once on the Plant Management Homepage from the menu, select Inspection Verification > Respond to MOI.
The system displays the list of MOI records that have been recorded by an FSIS
Inspector for your establishment.

**Step 3**  Click the red arrow in the grid for any MOI record that you want to review. The Memorandum of Interview page appears.

![Figure 37: Plant Management Respond to MOI page](image)

**Step 4**  On the Memorandum of Interview page, you have the option to enter comments or associate attachments to the MOI.
Step 5 After you have typed in your comments, the comments can be saved in a draft status by clicking **Save**. The record is not submitted and will not be available for the inspectors to view.

Step 6 When you are ready to submit your response to FSIS, click **Submit**.

Step 7 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 click **OK**. The record is now submitted and available for the inspectors to view.

### 3.1.1.5 Plant Management: How to respond to a Noncompliance Record

**Step 1** Log in to PHIS with your Level 2 eAuthentication user ID and password.

**Step 2** Once on the Plant Management Homepage from the menu, choose Select Establishments

**Step 3** **Select Respond to NR.**
- The system displays the list of noncompliance records that have been recorded by an FSIS Inspector for your establishment.

**Step 4** Click the red arrow in the grid (Figure 39) for any noncompliance record that you want to review.
Figure 39: Respond to Noncompliance Record

Step 5  The Plant Management Response page appears.
Step 6  On the Plant Management Response page (Figure 40), you have the option to select the Accept FSIS’s decision or Appeal option and enter written response in the available text box.
Figure 40: Plant Management Response page

Step 7  After you have selected the appropriate option and typed your comments, click **Save**. A confirmation message appears.

Step 8  When you are ready to submit (lock) your response to FSIS, click **Submit**.

Step 9  On the dialog box, confirm whether you want to submit (lock) the record. If you accept the decision and click **OK**, the record is now locked and the process is over. If you are appealing the decision and click **OK** the record is now locked until FSIS responds.

Step 10  PHIS returns you to the NR List page.
3.1.1.6 Plant Management: How to View Reports

**Step 1** Log in to PHIS with your Level 2 eAuthentication user ID and password.

**Step 2** Click View Report. The Inventory of Standard Reports page appears.

![Figure 41: The Inventory of Standard Reports page](image)

**Step 3** Click Run on the desired report.

**Step 4** A window appears requesting to report the parameters.

**Step 5** Fill in the data range fields if applicable and select the desired report format (Microsoft Excel or PDF) and click Submit (Figure 42).

![Figure 42: Complete Report Parameter fields](image)

**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.
Figure 43: Sample Industry Report Output in Excel

4.1 **Overview**

This section provides an overview of export functions within PHIS. PHIS supports two export roles: Export Applicant and Export Broker. One 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 one of the establishments that they are associated with.

4.1.1 **PHIS IDs**

Each industry user, establishment, and corporation in PHIS is assigned a PHIS ID. Entity PHIS IDs apply to establishments (E-FCLT-####) and corporate entities (E-FCHQ-####). User PHIS IDs apply to industry users Export Applicants (U-DEST-#####) and Export Brokers (U-BRKR-#####).

The PHIS ID for a user appears after the user name in the top right corner of PHIS pages. The PHIS IDs for corporate entities appear on the Corporate Profile page. PHIS IDs for establishments associated with a corporate parent also appear on the Corporate Profile page. The PHIS IDs for establishments also appear on the Select Establishment page for the Plant Management.

The PHIS ID is an attribute of a user’s user 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 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. The schema for creating batch files includes PHIS IDs. Every 9060 record in PHIS will be associated with one or more PHIS ID. 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. Only Export Applicant and Export Broker industry roles have access to 9060 records. The Export Applicant role within a user record must be associated with the Establishment in order to view associated 9060 records.

<table>
<thead>
<tr>
<th>PHIS Account Type</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Export Applicant</td>
<td>EXPT</td>
</tr>
<tr>
<td>Export Broker</td>
<td>BRKR</td>
</tr>
<tr>
<td>Establishment</td>
<td>FCLT</td>
</tr>
<tr>
<td>Corporation</td>
<td>FCHQ</td>
</tr>
</tbody>
</table>

*Table 4: PHIS Account Types*
4.1.2 Export Applicant: Create 9060 Applications

Step 1 Log in to PHIS and select the Export Applicant role.
Step 2 On the left navigation menu, click 9060.
Step 3 The system will display the Create/View 9060-6 Export Applications page,
Step 4 On the Create/View 9060-6 Export Applications page, click Create Application.

Figure 44 Create 9060 application

Step 5 From the list of establishments you are associated with, click the house icon for the desired exporting establishment.

Figure 45 Associate Establishment with 9060

Step 6 On the Select 9060-6 Export Application page, select one of the options in the Shipment Type drop-down. Choices available are Commercial Sale, Ship’s Stores, U.S. Military Installation, Personal Consumption, Samples, U.S. Embassy, and Airlines.
Step 7 For the Application Type drop-down menu, select New. Choices available are Consolidate, New, Replacement, and Split.
Step 8 Click Next.
Figure 46 Select Shipment and Application types for 9060

Step 9  On the Exporter page, complete all required fields. If there is more than one version of the same Export Establishment Number in the drop-down menu, select the establishment number that corresponds with the product (M for meat, P for poultry, etc.).

Figure 47 Exporter Information for 9060

Step 10  For Export Mark to be Used, select one of the available options, USDA Export Mark or Unique Identifier.

- When the unique identifier is selected and the associated text field is completed, PHIS auto-generates a remarks statement on the Submit Application page. If desire, the statement can be selected by the user to be printed in the Remarks section on the export application and export certificate.
**Step 11** Click Next.

**Step 12** On the Importer page, complete all required and applicable fields.
- State/Province and Final Destination Port fields populate with available Country data recorded within PHIS.

**Figure 48 Importer Information for 9060**

**Step 13** Click Next.
- After data is saved on the Importer page, Export Library links are added to the header for the related Country of Destination and when applicable, the Final Destination Country.

**Step 14** On the Products Summary page, click Add Product.
- Poultry, Meat, and Siluriformes certification statements all appear prior to adding the product.
Figure 49: 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, click the pencil icon.

Figure 50: Product Details page
**Step 17** An Establishment Search menu appears. Complete applicable fields.

![Establishment Search Menu](image)

**Figure 51: Establishment Search Menu**

**Step 18** Click **Search**

**Step 19** A grid with the results of the search is added to the page.

**Step 20** Select an establishment by clicking the home icon.

![Select Establishment Number](image)

**Figure 52: Select Establishment Number**

**Step 21** If there is more than one version of the same Establishment Number in the drop-down menu, select the establishment number that corresponds with the product (M for meat, P for poultry, etc.).

**Step 22** Click **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 will be available at the Total Net Weight level.

![Add Product Table]

**Figure 53: Add Total Net Weight**

**Step 25** Accept **Under Penalty of Law** statement by clicking the checkbox.

**Step 26** Accept **Certification Statement(s)** by clicking the applicable checkbox(es).
- If the added product is meat or poultry related, only the meat and poultry statements will appear for selection.
- If the added product is Siluriformes, a Siluriformes related statement will appear.

**Step 27** Click **Next**.

![Penalty of Law disclaimer and Certification Statements]

**Figure 54: 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 55), complete Steps 29 - 33; otherwise, continue to Step 34.

**Figure 55: Commercial Seal and Container Information**

Step 29  Click Add New Record.

**Figure 56: Enter Seal and Container Information**

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  Click Insert.
Step 33  Click Next.
Step 34  On the Access Control page (Figure 57), 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 35 – 40.
Step 35  Click Add New Person or Add New Company.

Step 36  Search for person or company for whom you would like to define access.
Step 37  Select house icon associated with the record you would like to add.
Step 38  Selected record is added to the Access Control grid with the default Access level of Read-Write.
Step 39  If desired, select edit pencil associated with any added records and update the defined Access level and click Save.
  - Read Write and Access will allow 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 to the export record.
Step 40  Click Next.
Step 41  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 which appears in both the header and the grid.

Step 42  To provide any Supplemental Documentation, click Add New File. Supplemental documents include any scanned .pdf versions of completed letterhead certificates required by a foreign country.
Supplemental Documentation Required for the 9060

<table>
<thead>
<tr>
<th>File Name</th>
<th>Title</th>
<th>Created Date</th>
<th>Created By</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

No records to display.

**Figure 61: Add Supplemental Documentation**

**Step 43** Click **Browse**, select file, and complete the required Document Title field.

**Figure 62: Supplemental Documentation Upload**

**Step 44** Click **Upload**.

**Figure 63: Document appears in Grid**

**Step 45** To provide any Supportive Documentation, click **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.
Step 46 Just as with Supplemental documentation, **Browse**, select file, and complete the required **Document Title** field.

**Step 47** Click **Upload**.

**Step 48** If applicable, add the PHIS generated statement located under the **Remarks** heading, by selecting the associated checkbox. PHIS generates remarks statements when a unique identifier selected and recorded for the application’s Export Mark (on the Exporter page - Step 10) and when the application is one of the three replacement types. When selected, the PHIS generated statement appears first in the Additional Statement section on the export application and Remarks section on the export certificate PDFs.

**Figure 65: PHIS generated Remarks**

**Step 49** For PHIS to print any other Required Statements on the PDFs, type additional statements in the text box. These statements will appear as you type them in the remarks field of the 9060-5 certificate. You also have the ability to copy and paste from Export Library or other documents.

**Figure 66 Text field to enter Required Statements for Export Certificates**

**Step 50** Click **Save**.

**Step 51** Click **Submit Application**
4.1.3 Export Broker: Create 9060 Applications

To create a new 9060 application as an export broker, follow these steps:

**Step 1** On the navigation menu, click **9060**.

**Step 2** On the Create/View 9060 page, click **Create Application**.

**Step 3** Select the exporting establishment on the Select Establishment page by entering establishment number in the Number field.

**Step 4** Click **Search**.

**Step 5** Select an establishment by clicking the house icon.

**Step 6** On the Application Type page, select Shipment Type and an Application Type of New.

**Step 7** Click **Next**.

**Step 8** On the Exporter page (Figure 47), complete required fields and click **Next**.

**Step 9** On the Importer page (Figure 48), complete required fields and click **Next**.

**Step 10** On the Product Summary page (Figure 49), click **Add Product** to start adding product.

**Step 11** On the Product Details page (Figure 50), 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, click the pencil icon to the right of the field. When you click 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 clicking the home icon (Figure 51).

Step 14 After you have selected the establishment, narrow down which establishment number appears on the 9060-5 certificate by selecting one of the options in the drop-down list (Figure 52).

Step 15 Click Finish.

Step 16 After you click 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 53).

Step 18 After you have added all the products, it is important to look at the attestation and certification statements on the Product Summary page. This page also contains certification statements.

Step 53 Accept Under Penalty of Law statement by clicking the checkbox (Figure 54).

Step 54 Accept Certification Statement(s) by clicking the applicable checkbox(es).
  o If the added product is meat or poultry related, only the meat and poultry statements will appear for selection.
  o If the added product is Siluriformes, a Siluriformes related statement will appear.

Step 19 Click Next.

Step 20 On the 9060-6 Shipment Information page (Figure 55), if you know the Container and Seal Information, complete the following sub-steps; otherwise, continue to the next step.
  a. Click Add New Record (Figure 56).
  b. For the Commercial Container Number field, enter the appropriate number.
  c. For the Commercial Seal Number field, enter the appropriate number.
  d. Click Insert.
  e. Click Next.

Step 21 On the Access Control page (Figure 57), 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. Click Add New Person or Add New Company (Figure 58).
  b. Search for person or company for whom you would like to define access.
  c. Select 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 click Save (Figure 59).
  f. Click Next.

Step 22 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 which appears in both the header and the grid (Figure 60).

Step 23 On the rest of the page are the two documentation grids and the text field for the statements that appear on the 9060-5 certificate.
Step 24 To provide any Supplemental Documentation, click Add New File (Figure 62 and Figure 63). Supplemental documents include any scanned .pdf versions of completed letterhead certificates required by a foreign country.

Step 25 Click Browse and add a Document Title.

Step 26 To provide any Supportive Documentation, click Add New File (Figure 64). 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 27 Click Browse and add a Document Title.

Step 28 Click Upload.

Step 29 If applicable, add the PHIS generated statement located under the Remarks heading, by selecting the associated checkbox. PHIS generates remarks statements when a unique identifier selected and recorded for the application’s Export Mark (on the Exporter page - Step 10) and when the application is one of the three replacement types. When selected, the PHIS generated statement appears first in the Additional Statement section on the export application and Remarks section on the export certificate PDFs (Figure 65).

Step 30 To include custom statements for the export application and certificate, type your remarks in the Remarks text box. These statements will appear as you type them in the remarks field of the 9060-5 certificate. You also have the ability to copy and paste from Export Library or other documents (Figure 66)

Step 31 Click Save.

Step 32 Click Submit Application (Figure 67). The page refreshes and a confirmation message appears (Figure 68).

4.1.4 Delete 9060 Applications

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

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

Step 2 On the navigation menu, click 9060.

Step 3 On the Create/View 9060-6 Export Applications page, click the trash can icon to delete a chosen application
Figure 69: Delete Application

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

4.1.5 Edit 9060 Applications

Both export roles can edit applications. To edit an application that has already been submitted, but has not started the review process with the FSIS personnel, follow these steps:

Step 1 Log in to PHIS with the Export Applicant or Broker role.
Step 2 On the navigation menu, click 9060.
Step 3 On the Create/View 9060-6 Export Applications page, click the lock icon to edit a chosen application.
Step 4 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 5 This action leads you through the same application process as listed above. Make edits accordingly.
Step 6 Re-select the Under penalty of law statement.
Step 7 Select Next
Step 8 Continue until you reach the Submit 9060-6 Application page. Click Submit Application. The page refreshes and a confirmation message appears.
Step 9 The application status is returned to the Submitted status.

4.1.6 Edit Catch Weights on 9060 Applications

Both export roles can edit per product the product weight (lbs and kgs) and the number of packages and Total Weight fields for applications for which the approval process has begun and the status is not Pending Upload, Replaced, Pending Replacement, or Approved.

Step 1 Log in to PHIS with the Export Applicant or Broker role.
Step 2 On the Create/View 9060-6 Export Applications page, click the lock icon to edit a chosen application.
Step 3  The status of the application is updated to Unlocked
   o  Until the application is re-submitted no further actions may be taken by FSIS to
      approve application and sign the related export certificate.

Step 4  PHIS will open on the Products Summary page

Step 5  Edit product weights and package, and total weight values as needed. All other
         application fields will appear in the read-only mode.

Step 6  Re-select the Under penalty of law statement.

Step 7  Select Next

Step 8  Continue until you reach the Submit 9060-6 Application page. Click Submit
         Application. The page refreshes and a confirmation message appears.

Step 9  The application status is returned to its prior status.
4.1.7 Manage Seal and Container Number Information

The Export Broker and Export Applicant roles can manage seal and container number information for export applications. Seal and container numbers can be edited regardless of the status of the 9060 record, except if the certificate has been replaced. To manage seal and container information, follow these steps:

**Step 1**  On the navigation menu, click 9060.

**Step 2**  Click the pencil icon in the Seal Info Column. The Container and Seal Information window appears.

**Step 3**  Edit Container and Seal information accordingly (see Figure 55 and Figure 56). These are the same fields from the 9060 application data entry process.

**Note:** Click Insert once finished, otherwise PHIS will not save data.

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

The Export Broker and Export Applicant can copy one application or approved certificate to create a new application by taking the following:

**Step 1**  On the navigation menu, click 9060.

**Step 2**  Click the copy icon associated with a record that will reduce the amount of data entry needed to create a new application.

**Step 3**  A new application with an unsubmitted status will be added to the top of the 9060 grid.

**Step 4**  Select the associated edit pencil associated with the application and make needed updates.

  - Checkmarks are removed from the Under penalty of the law and any of the checked Certification Statements from the source application or certificate
  - Container and Seal Information and Access Control data are not copied over to the new application from the source application or certificate.
  - Supplemental and Supportive documentation is also not copied over from the source application or certificate to the new application.

**Step 5**  Accept Under Penalty of Law statement by clicking the checkbox and application Certification Statements.

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

**Step 7**  The page refreshes and a confirmation message appears.

4.2 Replacements

This section covers the different type of replacements possible in PHIS. Replacements have three types: 1:1 Replacement, Consolidated, and Split. Both brokers and export applicants can do all types of replacements. All replacements start with one or more approved certificates and result in one or more submitted applications. If you have paper certificates that you want to replace, the only replacement type available is 1:1 replacement.
4.2.1 Replace One Paper Certificate with One Electronic Application

To replace a paper certificate, follow these steps:

**Step 1** On the Application Type page, select Shipment Type and an Application Type of Replacement.

**Step 2** Select a reason for replacement in the drop-down menu.

![Figure 72 Reasons for Replacement](image)

**Step 3** 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 4** Click **Next**.

**Step 5** 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 6** Continue until you reach the Submit 9060-6 Application page. Click **Submit Application**.
Step 7  Receive message the following message and select Yes, if desired.

![Action Required](image)

**Figure 73: Action Required**

Step 8  The page refreshes and a confirmation message appears.

4.2.2  Replace One Electronic Certificate with One Electronic Application

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

Step 1  On the Application Type page, select Shipment Type and an Application Type of Replacement.

Step 2  Select a reason for replacement in the drop-down menu.

Step 3  Type the certificate number being replaced. The certificate being replaced must have an approved status.

Step 4  Click Next.

Step 5  At this point, the process is the similar to creating a new application, but most fields are pre-populated and editable.

- The Export Mark to be Used data is copied over to the replacement application from the original approved certificate and cannot be editable.
- Total Net Weight value(s) do not transfer.

Step 6  On the Product Details page the only editable fields are weight and number of packages. Please note:

- A user 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 only validates that a positive value has been entered.

Step 7  On the Product Summary page, enter appropriate values into the available Total Net Weight value fields.

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

**Step 8** Accept *Under Penalty of Law* statement by clicking the checkbox.

**Step 9** You may now move through the rest of the application and make any necessary edits.

- 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 10** Click *Submit Application*

**Step 11** Receive Voided message (Figure 73) and select Yes, if desired.

**Step 12** The page refreshes and a confirmation message appears.

### 4.2.3 Consolidate Multiple Certificates to One Application

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

**Step 1** On the Application Type page, select Shipment Type and the Application Type of Consolidate.

**Step 2** Select reason for replacement.

**Step 3** Type the Certificate Numbers you are consolidating.

**Note:** Separate the numbers with a comma without spaces.

![Figure 74: Completed Fields for Consolidation](image)

**Step 4** Click Next.

**Step 5** At this point, the process is the similar to creating a new application, but the most fields are pre-populated.

- The Export Mark to be Used data is copied over to the consolidated application from the original approved certificates and cannot be editable.
- Total Net Weight fields on the Product Summary page are not pre-populated.
Step 6  On the Product Details page the only editable fields are weight and number of packages. Please note:
  o A user cannot add more product than what was on the original certificate.
  o A value can be entered into the kgs field associated with product(s) even if it was not completed on the original approved certificate.
  o If a value is entered into the previously empty kgs field, the system only validates that a positive value has been entered.

Step 7  There is no way to add or delete product lots from the Products Summary grid during the consolidation process.

Step 8  On the Product Summary page, enter appropriate values into the available Total Net Weight value fields.
  o A user cannot enter into the Total Net Weight fields values greater than the summed values per weight unit recorded on the original approved certificates.
  o 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.
  o The system only validates that the value entered into a previously empty kgs field is positive.

Step 9  Accept Under Penalty of Law statement by clicking the checkbox.

Step 10  You may now move through the rest of the application and make any necessary edits.
  o 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.
  o 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 11  Click Submit Application
Step 12  Receive VOID message (Figure 73) and select Yes, if desired.
Step 13  The page refreshes and a confirmation message appears.

4.2.4  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, select Shipment Type and Application Type of Split.
Step 2  Select a reason for doing the replacement.
Step 3  Type the Certificate Number you are replacing and how many new applications you want to create.
Step 4  The next page will display a grid based on your entry and the product information of the original approved certificate.

![Split Application Product Data Entry Grid](image)

**Figure 75: 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 and click Next.

- For the user’s convenience previous weight and package totals are listed by product at the bottom of the grid and track user’s entries as they are assigned to the proposed split application based upon the original weight and package values of the approved certificate being split.

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

Step 6  If value(s) entered by product on each application sum up to an amount greater than that of the source certificate, upon clicking Next the user will receive the following message and must adjust the values entered in order to proceed:

![The total amount of product on the new applications exceeds the amount on the original certificate](image)

**Figure 76 Exceeds the Values of the Original Certificate Message**
Or, if value(s) entered by product on each application sum up to an amount less than of the source certificate, upon clicking Next the user will receive the following message and if desired select Yes, or if not No and go back and adjust the values entered for each proposed application.

![Figure 77: Values Entered are Less than those on the Original Certificate](image)

**Step 7** The user is next presented with systems generated remarks for which the user can if desired select the associated checkbox to include on the Application and Certificate.

**Step 8** The user can also type any required statements in the Required Statements field on the Submit Application page and/or selecting the checkbox associated with PHIS generated statement.

**Step 9** Once satisfied, the User has two buttons from which to choose to click Finish or Submit buttons.

- If the Finish button is selected, the requested number of applications are created 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 the requested number of applications are created with the defined values and the resulting applications have a status of Submitted and must be unlocked for any updates to be made.

### 4.3 Batch Export

PHIS includes a major enhancement for processing a batch of export applications. An applicant can create data files for upload to PHIS, initiating the application process. This new process allows for:

- Creation of applications by individual XML files
- Creation of application packages that include the XML application and associated supplemental documentation in PDF format, placed in a ZIP file
- Creation of applications by Excel files alone or in a package with supplemental documents

Complete packages submitted for approval will pass through the application process and ultimately be available for FSIS approval. There are two options for loading the files to PHIS:

- Machine-to-machine (XML only)
- Through the PHIS Interface (XML and Excel)
These options provide flexibility for different size establishments and corporate structures to manage their application processes.

4.4 9080-3 Applications

4.4.1 Export Applicant: Create/View 9080-3 Applications

Only certain countries require 9080-3 Applications and only the export applicant role can create them. To create and view a new 9080-3 application for export applicants, follow these steps:

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

![Establishment Application For Export](image)

**Figure 78: Product Information page**

Step 7  On the Establishment Application for Export page, add an attachment by clicking **Add New File**.
Step 8  Click **Browse** to locate the file and then click **Open**.
Step 9  Fill in the Document Title field and click **Upload**.
Step 10 After all the necessary files are uploaded and the application is complete, click **Submit**.
Step 11 Click **OK** to confirm that you want to submit the application. A confirmation message appears.
Step 12 Click **Exit Menu**.

Figure 79: 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 click the PDF icon, the application opens a PDF of the 9080-3 in read-only mode.

**Figure 80: PDF of 9080-3 Application**
5. PHIS Support

If you experience problems with the PHIS application please call the FSIS Service Desk at 1-800-473-9135 and listen for the following prompts:

- Press “1” for problems concerning PHIS, then;
- Press “2” for PHIS establishment management experiencing application problems.

If calling from outside of the United States, please dial +1-929-279-8190.

The FSIS Service Desk is available to assist you 24 hours a day, 7 days a week. The Service Desk will be able to assist you with PHIS application problems such as basic functionality and access through your web browser. However, the Service Desk will not be able to resolve problems pertaining to connectivity or hardware/software configuration. If your establishment chooses to register for PHIS, keep in mind that the system may be unavailable at times due to periodic maintenance. The PHIS page on FSIS’ website (www.fsis.usda.gov/PHIS/index.asp) will be updated regularly with information about system enhancements and any scheduled maintenance.

Inspection or policy-related questions or issues should be directed by establishment management through the usual FSIS channels. The FSIS Service Desk will not be able to assist with policy or inspection questions.