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1. Introduction

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

1.1 Purpose

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

2.1 What is PHIS?

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

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

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

2.2 Requirements

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

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

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

2.3 Business Functionality Overview

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

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

2.4 Role-based Access

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

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

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

**Step 1** Open a web browser and go to https://www.eauth.usda.gov/home

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

---

**Figure 1: Create an eAuthentication Account**

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

---

**Figure 2: Identify Account Type**
Step 4  Enter your email address.

![Customer Account Registration](image)

**Figure 3: Enter Email Address**

Step 5  Select **Submit**.

Step 6  A registration confirmation email completes the account registration.

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

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

Step 9  Enter a password for the account.

Step 10 Select **Submit**.

A new window displays indicating that the account registration process is complete.

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


### 2.6 Performing the Identity Verification Process

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

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

**Step 2**  Complete the account profile form.

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

b. Complete the remaining fields: address, phone, date of birth, and SSN.
Step 3 Select **Continue**.

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

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

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

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

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

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

2.7 **Logging in to PHIS**

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

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

![Figure 4: eAuthentication page](image)

Provide an eAuthentication User ID and Password and then select **Log In with Password**. The USDA eAuthentication system validates the User ID, Password, and that identity verification is complete before opening the PHIS application.
Below the log in is a warning for USDA eAuthentication consent. By logging into PHIS, you are agreeing to this statement.

**Warning**

Upon Login You Agree to the Following Information:

- You are accessing a U.S. Government information system, which includes (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only.
- Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.
- By using this information system, you understand and consent to the following:

1. You have no reasonable expectation of privacy regarding any communications or data transiting or stored on this information system. At any time, the government may for any lawful government purpose monitor, intercept, search and seize any communication or data transiting or stored on this information system.
2. Any communications or data transiting or stored on this information system may be disclosed or used for any lawful government purpose.
3. Your consent is final and irrevocable. You may not rely on any statements or informal policies purporting to provide you with any expectation of privacy regarding communications on this system, whether oral or written, by your supervisor or any other official, except USDA’s Chief Information Officer.

**Figure 5: USDA eAuthentication Consent**
2.8 PHIS User Interface Overview

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

![PHIS User Interface](image)

**Figure 6: PHIS User Interface**

<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 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. Also on this line is the PHIS assigned user access code, known as your PHIS ID.</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> Exits PHIS.</td>
</tr>
<tr>
<td>Item</td>
<td>Name</td>
<td>Notes</td>
</tr>
<tr>
<td>------</td>
<td>------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>8</td>
<td>Header</td>
<td>Appears on every PHIS page; indicates the functionality displayed in the context area. Includes a path that shows the page navigation followed to reach the current page and allows you to navigate back to previous pages.</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**

2.9 Navigation Menu

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

![Figure 7: Navigation Menu](image)

Figure 7: Navigation Menu
2.10 PHIS Home Page

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

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

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

**Figure 8: PHIS Home Page Example: Plant Management Role**

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

3.1 Overview

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

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

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

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

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

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

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

If matching contact record(s) have been deleted, the system notifies the user that no FSIS accounts were found with a link to Enroll by Submitting Enrollment Request that can be approved by an active user at the specified establishment with the Establishment Administrator or Corporate Administrator role.
Table 2 describes each role and the associated functionality.

<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>• The FSIS in-plant personnel can assign up to three Establishment Administrators when provided names by the establishment. An establishment can assign an additional 10 Establishment Administrators per establishment</td>
</tr>
<tr>
<td></td>
<td>• View Reports for any associated establishments</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  
                           • A Corporate Administrator can assign up to 10 Corporate Administrators per establishment  
                           • View reports for any associated establishments  
                           • All functionality of the Plant Management role  
                           • All functionality of the Export Applicant role |
<table>
<thead>
<tr>
<th>Role</th>
<th>Functionality</th>
</tr>
</thead>
</table>
| Plant Management    | • Respond to noncompliance records  
                      • Appeal noncompliance records  
                      • View and respond to Memorandum of Interview (MOI) records  
                      • View and print pre-defined reports  
                      • Save reports to your local computer  
                      • Add establishment Contact information  
                      • Update the following details for establishment users  
                        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  
                      • An Establishment or Corporate Administrator can assign up to 10 Plant Management users per establishment  
                      • View Establishment Profile information  
                      • View slaughter information  
                      • View disposition records  
                      • View/print Condemnation Certificates  
                      • Manage Establishment Sorting records  
                      • View Waivers & No Objection Letters |
| Export Applicant    | • Create and view 9060-6 Export Applications  
                      • View PDFs associated with approved 9060-5 Export Certificates  
                      • Upload 9060-6 Export Application files for batch processing  
                      • View results of batch file uploads  
                      • Create and view 9080-3 Applications  
                      • There is no limit per establishment on the number of related Export Applicant users. |
<table>
<thead>
<tr>
<th>Role</th>
<th>Functionality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Export Broker</td>
<td>• Create and view 9060-6 Export Applications</td>
</tr>
<tr>
<td></td>
<td>• View PDFs associated with approved 9060-5 Export Certificates</td>
</tr>
<tr>
<td></td>
<td>• Upload 9060-6 Export Application files for batch processing</td>
</tr>
<tr>
<td></td>
<td>• View results of batch file uploads</td>
</tr>
<tr>
<td></td>
<td>• The Export Broker role is not associated with any specific establishment</td>
</tr>
</tbody>
</table>

Table 2: Roles and Functionality
3.1.1 Establishment Administrator: User Enrollment

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

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

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

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

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

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

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

**Step 3**
If PHIS identifies one or more matching contact record(s), PHIS displays the FSIS Dashboard (see Figure 9); otherwise, PHIS displays the Welcome to the FSIS Enrollment Application with a link to submit an Enrollment Request. Refer to section 3.1.4.1 Plant Management: How to Submit an Enrollment Request or contact your local FSIS representative.

Figure 9: FSIS Enrollment Welcome page

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

3.1.2 Establishment Administrator/Corporate Administrator: User Management

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

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

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

![Manage Users: Sort by Establishment and Expand Records](image)

**Figure 10 Manage Users: Sort by Establishment and Expand Records**

3.1.2.1 Establishment Administrator: How to Manage New User Enrollment Requests

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

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

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

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

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

**Step 5** Do one of the following:
- Select **Reject** if you do not know the user or do not have enough information. If the user has provided contact information, you can also contact him or her to verify the request.
- Select **Approve**, if you want to approve the request.

Figure 11: Review Requests page
3.1.2.2 Establishment Administrator: How to Manage Change Requests from Existing Users

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

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

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

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

**Step 4** View and process the narrative request. To grant the request, go to the Manage Users page and modify the user account appropriately.

**Step 5** On the User Profile page, select **Run PHIS Data Feed**. PHIS displays a confirmation message.

**Step 6** After you are finished modifying the user account, navigate to the Manage Requests page, select the **Delete** icon to remove the request from the grid.

3.1.2.3 Establishment Administrator: How to Assign a Role

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

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

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

**Step 3** Select **Edit** (Figure 12).

**Step 4** Select the Roles tab.

---

**Figure 12: Edit icon**
Step 5  Select **Add a Role**… (Figure 13).

![Figure 13: Roles Tab on Profile page](image)

**Figure 13: Roles Tab on Profile page**

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

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

Step 8  Select **Save**.

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

![Figure 14: Edit Role page](image)

**Figure 14: Edit Role page**

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

Step 11  Select establishment(s).

Step 12  Select **Save**.

Step 13  Select **Save and Go Back**.
3.1.2.4 Establishment Administrator: How to Update a User’s Personal Information

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

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

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

**Step 3** Select **Edit**.
Step 4 Select the Personal Information tab.

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

<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 Select Update.

3.1.2.5 Establishment Administrator: How to Remove a Role

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

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

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

Step 3 Select Edit.

Step 4 Select the Roles tab.

Step 5 Select Delete Role (Figure 15).

Figure 15: Delete Role icon
Step 6 If you are certain you want to delete the role, select **OK** in the confirmation window (Figure 16).

![Message from webpage]

The role and its work areas will be permanently deleted.

OK  Cancel

Figure 16: Delete Role Confirmation

3.1.3 Corporate Administrator: User Enrollment

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

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

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

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

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

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

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

**Step 3** If PHIS identifies one or more matching contact record(s), PHIS will navigate the user to the FSIS Dashboard; otherwise, if PHIS is unable to identify a contact record that is an exact match with the information associated with the eAuthentication record, the system displays the Welcome to the FSIS Enrollment Application page with a link to submit an Enrollment Request. Refer to section 3.1.4.1 Plant Management: How to Submit an Enrollment Request or contact your local FSIS representative.

3.1.4 Plant Management: Request User Enrollment

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

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

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

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

**Step 3**  On the Enrollment Welcome page, select **Submit Enrollment Request**.
Step 4  On the Step 1 page, select Next.

Figure 17: FSIS Enrollment Request Wizard

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

Step 6  On the Step 3 page, in the Role field, select Plant Management and select Next.
Step 7  On the Step 4 page, enter filter criteria to find the establishment and select **Find**.

Step 8  Choose **Select** next to the Establishment and select **Next**.

---

**Figure 18: Select Domestic Establishment feature**

Step 9  On the Step 5 page, complete optional user account information and select **Next**.

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

Step 11 On the Step 7 page, verify that all the information is correct and select **Finish**. After you submit the request, your Establishment Administrator or Corporate Administrator must approve your request before you will be able to use PHIS.
3.1.4.2 Plant Management: How to Request Additional Roles

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

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

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

**Step 3** Select **My Profile** in the PHIS Menu Bar (Figure 19).

![Figure 19: My Profile](image)

**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**.

**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**.

**Figure 20: FSIS Enrollment Request Wizard**

- **Welcome**
- **Account Type**
- **Primary Role**
- **My Preferences**
- **My Comments**
- **Summary**

Click **Next** to continue.
Click **Cancel** to exit the wizard. All modifications will be canceled.
Step 7  On the Step 4 page, enter filter criteria to find the establishment and select **Find**.

Step 8  Choose **Select** next to the Establishment and select **Next**.

![The FSIS Enrollment Request Wizard (Step 4 of 7)](image)

**Figure 21: Select Domestic Establishment feature**

Step 9  On the Step 5 page, complete optional user account information and select **Next**.

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

Step 11 On the Step 7 page, verify that all the information is correct and select **Finish**. After you submit the request, your Establishment Administrator or Corporate Administrator must approve your request before you will be able to use PHIS.
3.1.5.2 Export Applicant: How to Request Additional Roles

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

**Step 1**
Open a web browser and go to https://phis.fsis.usda.gov.

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

**Step 3**
Select **My Profile** in the PHIS Menu Bar (Figure 19).

![Figure 22: My Profile](image)

**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](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**.

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

---

**Figure 23: FSIS Enrollment Request Wizard**

**Figure 24: Enrollment Wizard select Account Type**
Step 6  On the Step 3 page, in the Role field, select Export Broker and select Next.

**Figure 25: Enrollment Wizard select Role**

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

Step 8  Select Next.

**Figure 26: Enrollment Wizard Disclaimer**
Step 9  The system displays a notification that an email containing an Activation Code has been sent to the email account associated with the eAuthentication account.

![Figure 27: Enrollment Wizard notification and Activation Code field](image)

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

![Figure 28: Email notification with Activation Code](image)

Step 11  Enter your Activation Code received by email into the Activation Code field and select Finish.
PHIS opens the Export Broker home page and the user may begin adding 9060 applications and/or uploading batch files.
3.1.7 Change Account

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

Figure 29: Change Account

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

4.1 Overview

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

4.1.1 Plant Management Role: Domestic Inspection

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

4.1.1.1 Plant Management: How to Add Corporate Profile

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

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

Step 3 On the Domestic Inspection - Select Establishment page, select the appropriate establishment.

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.

Figure 31: Domestic Inspection - Select Establishment page for Plant Management
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 32: Associate Corporate Profile page with Add Option Selected for Plant Management

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

Figure 33: Associate Corporate Profile page with Search Option Selected for Plant Management
Step 8 Select the **House** icon in the Associate column related with desired corporate record.

![Figure 34: Associate Corporate Profile page for Plant Management](image)

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

![Figure 35: Corporate Profile page for Plant Management](image)

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

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

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

**Step 3** On the Domestic Establishment – Select Establishment page, select the appropriate establishment.

**Step 4** Select **Corporate Profile**.

**Step 5** In the Establishments Associated to Corporate section, find the establishment that needs to be removed.

**Step 6** Select **Delete**.
Step 7 On the confirmation message, confirm the deletion.

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

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

4.1.1.3 Plant Management: How to Manage Establishment-Entered Contacts

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

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

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

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

Step 4 From the menu, select Establishment Contacts.

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

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

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

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

Step 9 Select Save.

Step 10 To delete an establishment contact, select Delete.
4.1.1.4 Plant Management: How to Respond to a Memorandum of Interview

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

Step 2 Once on the Plant Management Homepage from the menu, select My Establishments > Select Establishments.

Step 3 On the Domestic Inspection – Select Establishment page, select the appropriate establishment.

Step 4 From the menu, select Respond to MOI. The system displays the list of MOI records that have been recorded by an FSIS Inspector for your establishment on the MOI List page.

Figure 37: MOI List page for Plant Management
Step 5  Select the red arrow in the grid for any MOI record that you want to review. The Memorandum of Interview page appears.

Step 6  On the Memorandum of Interview page, you have the option to enter comments or associate attachments to the MOI.

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

Step 7  After you have typed in your comments, the comments can be saved in a draft status by selecting Save. The record is not submitted and is not be available for the inspectors to view.

Step 8  When you are ready to submit your response to FSIS, select Submit.

Step 9  On the dialog box, confirm whether you want to submit the response for the inspectors to view. If you would like to submit the response select OK. The record is now submitted and available for the inspectors to view.

4.1.1.5  Plant Management: How to Respond to a Noncompliance Record

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

Step 2  Once on the Plant Management Homepage from the menu, select My Establishments > Select Establishments.

Step 3  On the Domestic Inspection – Select Establishment page, select the desired establishment.

Step 4  From the menu, select Respond to NR. The system displays the list of noncompliance records that have been recorded by an FSIS Inspector for your establishment.
Step 5  Select the red arrow in the grid (Figure 39) for any noncompliance record that you want to review.

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

Step 6  The Plant Management Response page appears.

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

Step 8  After you have selected the appropriate option and typed your comments, select **Save**.
        A confirmation message appears.

Step 9  When you are ready to submit (lock) your response to FSIS, select **Submit**.

Step 10 On the dialog box, confirm whether you want to submit (lock) the record. If you accept the decision and select **OK**, the record is now locked, and the process is over. If you are appealing the decision and select **OK**, the record is now locked until FSIS responds.

Step 11 PHIS returns you to the NR List page.
### 4.1.1.6 Plant Management: How to View Establishment Profile

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

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

**Step 2** Once on the Plant Management Homepage from the menu, select **Establishment Profile > Select Establishment**.

**Step 3** On the Select Establishment page, select the appropriate establishment. PHIS displays the Establishment Profile for the selected establishment (Figure 41). The Establishment Profile page contains several expandable/collapsible sections.

#### Figure 41: Establishment Profile page for Plant Management

![Establishment Profile Page](image-url)
4.1.1.7 Plant Management: How to View Waivers

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

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

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

**Step 3** On the Select Establishment page, select the appropriate establishment.

**Step 4** From the menu, select Waivers & Letters. PHIS displays the Waivers & Letters page.

**Step 5** Select View for one of the waivers in the Waivers grid. PHIS displays the View Waiver page with an Attachments grid.

**Step 6** If attachments are associated with the waiver record, select the File Name to open the PDF.

**Step 7** On the pop-up message, select Open. PHIS opens the PDF on a separate tab.

**Step 8** Close the tab.

**Step 9** On the View Waiver page, select Cancel. PHIS displays the Waivers & Letters page.

---

**Figure 42: View Waiver page for Plant Management**
4.1.1.8 Plant Management: How to View No Objection Letters

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

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

Step 2 From the menu, select Establishment Profile > Select Establishment.

Step 3 On the Select Establishment page, select the appropriate establishment.

Step 4 From the menu, select Waivers & Letters.

PHIS displays the Waivers & Letters page.

Step 5 Select View for one of the letters in the No Objection Letters grid.

PHIS displays the View No Objection Letter page with an Attachments grid.

![Figure 43: View No Objection Letter page for Plant Management](image)

Step 6 If attachments are associated with the letter record, select the File Name to open the PDF.

Step 7 On the pop-up message, select Open.

PHIS opens the PDF on a separate tab.

Step 8 Close the tab.

Step 9 On the View Waiver page, select Cancel.

PHIS displays the Waivers & Letters page.
4.1.1.9 Plant Management: How to View Slaughter Line Information

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

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

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

**Step 3**  On the Select Establishment page, select the appropriate establishment.

**Step 4**  From the menu, select Slaughter.

PHIS displays the Slaughter page.

![Figure 44: Slaughter page for Plant Management](image)

4.1.1.10 Plant Management: How to View Slaughter and Disposition Records

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

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

**Step 2**  From the menu, select Animal Disposition > Establishment Reporting.

**Step 3**  On the Establishment Reporting page, select an establishment from the drop-down field.

**Step 4**  Select a date.
**Step 5**  If applicable, select a shift. PHIS displays the Establishment Reporting page with one or more of the following tabs: Meat, Poultry, Ratite, and All (Figure 45).

**Step 6**  Expand any of the slaughter rows to view disposition records by selecting the **triangle** to the left of the row.

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

Note that in Figure 45 there are two slaughter records in the Meat grid. The Print icon for the first row is disabled because there are no disposition records for that sub-class. The Print icon is also disabled when there are no disposition records with a Disposition of Post-Mortem Condemned or Ante-Mortem Condemned. The Print icon for the second row is enabled because there are disposition records (with a Disposition of Post-Mortem Condemned and/or Ante-Mortem Condemned) for that sub-class.
Note how in Figure 46, no disposition records are displayed after the first row is expanded and two disposition records are displayed after the second slaughter record is expanded.

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

4.1.1.11 **Plant Management: How to Generate Condemnation Certificates**

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

**Step 2**  
From the menu, select **Animal Disposition > Establishment Reporting**.

**Step 3**  
On the Establishment Reporting page, select an establishment from the drop-down field.

**Step 4**  
Select a date.

**Step 5**  
If applicable, select a shift.  
PHIS displays the Establishment Reporting page with one or more of the following tabs: Meat, Poultry, Ratite, and All.
Step 6  
On the Meat or Ratite tab, select **Print** for the appropriate slaughter record.

Step 7  
On the Condemnation Report Parameter Section pop-up, do one of the following:
- To generate individual reports for all the selected records, accept the default checkboxes and select **View/Print Individual Report**.
- To generate one consolidated report for all the selected records, accept the default checkboxes and select **View/Print Consolidated Report**.
- To generate individual reports for some but not all of the selected records, remove one or more checkboxes and select **View/Print Individual Report**.
- To generate one consolidated report for some but not all of the selected records, remove one or more checkboxes and select **View/Print Consolidated Report**.

Step 8  
PHIS opens the report on a separate tab. View and/or print report.

Step 9  
Close the tab.

Step 10  
On the Condemnation Report Parameter Selection pop-up, select **Cancel**. PHIS displays the Establishment Reporting page.

### 4.1.1.12 Plant Management: How to Add an Establishment Sorting Record

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

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

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

Step 2  
From the menu, select **Animal Disposition > Establishment Reporting**.

Step 3  
On the Establishment Reporting page, select an establishment from the drop-down field.

Step 4  
Select a date.

Step 5  
If applicable, select a shift.
Step 6  On the Establishment Sorting Records grid, select **Add Sorting Record**.

**Figure 47: Establishment Reporting page for Plant Management**
Step 7  On the Establishment Reporting - Sorting Record page, enter the appropriate number for each applicable condition. Note that on this page there are three system-generated total fields that display a running total based on your entries.

**Establishment Reporting - Sorting Record**

<table>
<thead>
<tr>
<th>Conditions Identified and Removed Before FSIS Ante-Mortem Inspection and Slaughter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dead:</td>
</tr>
<tr>
<td>Moribund (Dying):</td>
</tr>
<tr>
<td>Septicemia:</td>
</tr>
<tr>
<td>Other:</td>
</tr>
<tr>
<td>If Other, please specify:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Conditions Identified For Disposal Before FSIS Post-Mortem Inspection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arthritis:</td>
</tr>
<tr>
<td>Carcinoma:</td>
</tr>
<tr>
<td>Contamination:</td>
</tr>
<tr>
<td>Cysticercosis:</td>
</tr>
<tr>
<td>Emaciation:</td>
</tr>
<tr>
<td>Myiasis:</td>
</tr>
<tr>
<td>Icterus:</td>
</tr>
<tr>
<td>Injuries:</td>
</tr>
<tr>
<td>Malignant Lymphomas:</td>
</tr>
<tr>
<td>Misc. Parasitic Conditions:</td>
</tr>
<tr>
<td>Misc. Degenerative &amp; Drosopic Diseases</td>
</tr>
<tr>
<td>Misc. Infectious Diseases:</td>
</tr>
<tr>
<td>Mastitis:</td>
</tr>
<tr>
<td>Metritis:</td>
</tr>
<tr>
<td>Nephritis:</td>
</tr>
<tr>
<td>Pericarditis:</td>
</tr>
<tr>
<td>Peritonitis:</td>
</tr>
</tbody>
</table>

**Figure 48: Establishment Reporting – Sorting Record page for Plant Management**
Step 8  Once you are finished, select Save. PHIS displays a confirmation message.

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

4.1.1.13 Plant Management: How to Edit an Establishment Sorting Record
If an FSIS user added the sorting record or if the record is for a slaughter date more than 90 days in the past, you cannot edit it.

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

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

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

4.1.1.14 Plant Management: How to Delete an Establishment Sorting Record
If an FSIS user added the sorting record or if the date is more than 90 days in the past, you cannot delete it.

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

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

4.1.1.15 Plant Management: How to Generate Reports

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

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

Figure 49: The Inventory of Standard Reports page for Plant Management
Step 3  Select **Run** for the desired report.

**Step 4**  A Report Parameters popup appears requesting to indicate report date range, report format, and Establishment ID values.

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

![Figure 50: Report Parameter page for Plant Management](image_url)
**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.

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
<th>L</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Public Health Information System</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Report Name: NRs for an Establishment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Purpose: List of non-compliances, percent non-compliant by task, monthly trends, regulations cited summary, and linked NRs.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Directives: 13000.1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Special Instruction: This Report may contain Confidential Business Information</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>6</td>
<td>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.</td>
<td></td>
<td></td>
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<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>NR Creator: Inspector who created the non-compliance record</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>NR Last Editor: Last inspector to edit the non-compliance record.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>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.</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Noncompliance Status: Status of individual non-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Source: PHIS</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Figure 51:** Sample Industry Report Output in Excel for Plant Management
5. PHIS Guide for Industry Users: Export

5.1 Overview

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

5.1.1 9060 Application for Export Certificates

5.1.1.1 PHIS IDs for 9060 Access Control

Due to the information available on 9060 applications, PHIS restricts access to these applications. In order to do this, PHIS 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>
<thead>
<tr>
<th>PHIS Account Type</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Export Applicant</td>
<td>EXPT</td>
</tr>
<tr>
<td>Corporate Administrator</td>
<td>CORP</td>
</tr>
<tr>
<td>Export Broker</td>
<td>BRKR</td>
</tr>
<tr>
<td>Establishment</td>
<td>FCLT</td>
</tr>
</tbody>
</table>

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

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

5.1.1.2 Export Applicant: How to Create New 9060 Applications

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

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

**Step 2** On the left navigation menu, select 9060.
The system displays the Create/View 9060-6 Export Applications page,

**Step 3** Select Create Application.
Figure 52: Create/View 9060-6 Export Applications

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

Figure 53: Associate Establishment with 9060

Step 5 On the Select 9060-6 Export Application page, select one of the options in the Shipment Type drop-down.
Choices available are Commercial Sale, Ship’s Stores, U.S. Military Installation, Personal Consumption, Samples, U.S. Embassy, and Airlines.

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

**Step 7**  Select Next.

![Select 9060-6 Export Application](image)

*Figure 54: Select Shipment and Application types for 9060*
Step 8  On the Exporter page, complete all required fields.

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

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

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

Step 10  Select Next.
Step 11  On the Importer page, complete all required and applicable fields.

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

Figure 56: Importer Information for 9060
Step 12 Select Next.

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

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

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

Figure 57: Products Summary page
Step 14  On the Product Details page, at a minimum, complete all required Product Information fields.

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

Figure 58: Product Details page
Step 16  An Establishment Search window appears. Complete applicable fields to filter the results.

![Establishment Search Menu](image)

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

Step 18  Select an establishment by selecting the **House** icon.
Step 19  Once you have the establishment selected, move to the next field to the right and select the appropriate option from the list. There will be at least one option with a letter/grant designation and one option without the grant designation. Select the option that matches the establishment number on the product label.

Figure 60: Select Establishment Number

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

Figure 61 Additional Establishment Data Fields Displayed

Step 21  Select Finish.
Step 22  If you have additional products, add them now; otherwise, go to the next step.

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

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

Figure 62: Add Total Net Weight
Step 24  Accept the Under Penalty of Law statement by selecting the checkbox.

Step 25  Accept the Certification Statement(s) by selecting the applicable checkbox(es).
- If the added product is meat or poultry related, PHIS displays only the meat and poultry statements.
- If the added product is Siluriformes, PHIS displays only the Siluriformes-related statement.

Step 26  Select Next.

Figure 63: Penalty of Law disclaimer and Certification Statements
Step 27  On the 9060-6 Shipment Information page, if you know the Container and Seal Information (Figure 64), complete Step 28 - Step 32; otherwise, continue to Step 33.

![Figure 64: Commercial Seal and Container Information](image)

Step 28  Select **Add New Record**.

Step 29  For the Commercial Container Number field, enter the appropriate number.

Step 30  For the Commercial Seal Number field, enter the appropriate number.

Step 31  Select **Insert**.

![Figure 65: Enter Seal and Container Information](image)

Step 32  Select **Next**.

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

Figure 66: Access Control page

Step 34  Select Add New Person or Add New Company.

Figure 67: Add Establishment or Person Search Windows

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

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

Step 37  Selected record is added to the Access Control grid with the default Access level of Read-Write.
Step 38  If desired, select **Edit** associated with any added records and update the defined Access level and select **Save**.

- Read Write and Access allows associated users to add or remove from the Access Control grid records for both persons and companies associated with the application.

- When an access level is granted to a company record, all export users associated with that company receive the same specified access level.

![Figure 68: Edit Level of Access](image-url)

Figure 68: Edit Level of Access
Step 39  
Select Next.
The Select Statements for Application Package page appears.

- When statements have been published in PHIS that match the Importing Country or Importing Country/Species combination of the record being added, a grid with an Add Statements button is displayed (See Figure 69).

- If no statements are available for selection, PHIS displays this message: **No related statements in PHIS apply to this application.**

- When multiple Statements are selected and associated with a 9060 record, the Re-Order Statements and Remove Statements options are also available.

- Some statements contain data values required by the importing country that one of the default data entry fields available in PHIS when creating an export application. When extra data is **required** by selected statement(s), an Add Statement Data button is available. Once entered, the data entered is inserted into selected Statements. If data has not been entered, a yellow warning icon is displayed and after data has been entered, a green checkmark icon is displayed. Statement data is not required to submit an application but is required for final approval.

![Figure 69: Statements](image)

Step 40  
Select Add Statements.
The page refreshes and displays a grid of Select from Statements records associated with Importing Country or Importing Country/Species combination, that have not previously been selected for the application package being created or edited.

Step 41  
To insert text connected with statement record(s), complete associated checkboxes.
Step 42  Click Select.
PHIS updates the Select Statements for Application Package grid to display only those records not selected.

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

![Figure 70: Select Statements for Application Package grid](image)

Step 43  Insert number values in the Re-Order text boxes associated with the Selected Statements and select ↑↓ Re-order Statements function.
Records in the Selected Statements grid re-order per the values entered into the Re-Order text boxes per lesser to greater values.
Figure 71: Selected Statements for Application Package

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

**Step 45** When present, select Add Statement Data button
**Figure 72: Add Statement Data**

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

**Figure 73 Required data field(s) for selected Statement(s)**
Step 47  Select Next.

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

---

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

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

---

Step 51  Select Browse, select file, complete the document type
Step 52  If Transit Letterhead is selected, select Country.
The Country select option appears only when Transit Letterhead is chosen.

### Figure 76: Supplemental Documentation Upload

Step 53  Select **Upload**.

### Figure 77: Document appears in Grid

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

### Figure 78: Add Supportive Documentation

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

Step 56  Select **Upload**. If applicable, the PHIS-generated Statements appear under the PHIS Generated Statements. Deselecting on the Final page move the options back to the Available for selection grid on the prior page.
Step 57  When applicable, add the PHIS-generated statement(s) located under the Remarks heading, by selecting the associated checkbox(es).

Notes:

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

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

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

Figure 79: PHIS-Generated Remarks

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

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

Figure 80: PHIS Generated statements per Country Requirements
Step 59  For PHIS to print any other Required Statements on the PDFs, type additional statements in the text box. These statements appear in the Remarks field of the 9060 export certificate exactly as you typed them. You also can copy and paste from Export Library or other documents.

![Figure 81: Text field to enter Required Statements for Export Certificates](image)

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

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

![Figure 82: Review Application Submission – Submit Application button is disabled](image)
Step 61  Select Submit Application.

**Figure 83: Submit Application button is enabled**

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

**Figure 84: Confirmation Message**

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

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

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

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

Figure 85: Action required warning message

5.1.1.3 Export Broker: How to Create New 9060 Applications

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

Step 1 On the navigation menu, select 9060.
Step 2 On the Create/View 9060 page, select Create Application.
Step 3 Select the exporting establishment on the Select Establishment page by entering establishment number in the Number field.
Step 4 Select Search.
Step 5 Select an establishment by selecting the House icon.
Step 6 On the Application Type page, select Shipment Type and an Application Type of New.
Step 7 Select Next.
Step 8 On the Exporter page (Figure 55), complete required fields and select Next.
Step 9 On the Importer page (Figure 56), complete required fields and select Next.
Step 10 On the Products Summary page (Figure 57), select Add Product to start adding product.
Step 11 On the Product Details page (Figure 58), add information about your first product including the establishment number marked on the shipping cartons of the product.
Step 12 To complete the establishment number field, select the Pencil icon to the right of the field. When you select the Pencil icon, an Establishment Search window appears where you can search for any establishment.
Step 13 Select one of the search fields and select the desired establishment by selecting the House icon (Figure 59).
Step 14
After you have selected the establishment, narrow down which establishment number (with or without commodity prefix) appears on the 9060-5 certificate by selecting one of the options in the drop-down list (Figure 60).

Step 15
Select Finish.

Step 16
After you select Finish, PHIS refreshes the page and displays the updated Product Grid. At this point you can add more products or continue with the remaining part of the data entry for the application.

Step 17
Add Total Net Weight data in lbs. and/or kgs (Figure 62).

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

Step 19
Accept Under Penalty of Law statement by selecting the checkbox (Figure 63).

Step 20
Accept Certification Statement(s) by selecting the applicable checkbox(es).
- If the added product is meat or poultry related, PHIS displays only the meat and poultry statements.
- If the added product is Siluriformes, PHIS displays only a Siluriformes-related statement.

Step 21
Select Next.

Step 22
On the 9060-6 Shipment Information page (Figure 64), if you know the Container and Seal Information, complete the following sub-steps; otherwise, continue to the next step.

a. Select Add New Record (Figure 65).

b. For the Commercial Container Number field, enter the appropriate number.

c. For the Commercial Seal Number field, enter the appropriate number.

d. Select Insert.

e. Select Next.

Step 23
On the Access Control page (Figure 66), give Read-Only, Read-Write, or Read, Write and Access to the 9060 record to persons or companies by adding associated record linked to the related PHIS ID using the following steps.

a. Select Add New Person or Add New Company (Figure 67).

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

c. Select the House icon associated with the record you would like to add.

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

e. If desired, select edit pencil associated with any added records and update the defined Access level and select Save (Figure 68).

f. Select Next.
Step 24 Select Statements for Application Package page appears. When statements have been published in PHIS that match the Importing Country or Importing Country/Species combination of the record being added, a grid with an Add Statements button is displayed. If no statements are available for selection PHIS displays message: No related statements in PHIS apply to this application.

Step 25 When applicable, Statements previously selected and associated with the 9060 record are displayed on the Selected Statements grid with the Add Statements, Re-Order Statements, and Remove Statements options.

Step 26 On the Submit 9060-6 Application page, a summary of the application information appears in the 9060 Application Header and a Products on Application grid. Verify the information that appears in both the header and the grid (Figure 74).

Step 27 To provide any Supplemental Documentation, select Add New File (Figure 76 and Figure 77). Supplemental documents include any scanned .pdf versions of completed letterhead certificates required by a foreign country. Identify the document type of Transit Letterhead or Other. If transit is selected, identify the transit country.

Step 28 Select Browse and add a Document Title.

Step 29 To provide any Supportive Documentation, select Add New File (Figure 78). Supportive documents include scanned .pdfs that you want to share with the inspector but do not want to be part of the certificate package that goes to the foreign country.

Step 30 Select Browse and add a Document Title.

Step 31 When applicable, add the PHIS-generated statement(s) located under the Remarks heading, by selecting the associated checkbox(es).

Step 32 When applicable, review any statements displayed under the PHIS Generated Statements per Country Requirements heading. To remove any of the displayed remarks under PHIS Generated Statements per Country Requirements heading, select the associated red X.

Step 33 To include custom statements for the export application and certificate, type your remarks in the Remarks text box. These statements appear in the Remarks field on the 9060 export certificate exactly as you type them. You also can copy and paste from the Export Library or other documents.

Step 34 Select Review Application Submission. This action opens a PDF of the application in a separate tab. The Submit button appears after you have completed the initial review of the application package.

Step 35 Statements generated by PHIS per 9060 application country – species data. Remarks selected are inserted into the remarks section of the export application and export certificate PDFs. Perform the final review and deselect options no longer desired.
**Step 36**  
If you navigate back to another tab prior to selecting the Submit button, the Review Application Submission button needs to be re-selected to re-enable the Submit button. This applies when an application is unlocked and updated.

**Step 37**  
Select **Submit Application**.

**Step 38**  
If a country requires data be entered for one or more of the following fields: Container, Seal, Port of Entry, Slaughter Establishment, and/or Processing Establishment and PHIS has validated that related data has not yet been entered, a message appears alerting you that these fields are required.

**Step 39**  
PHIS allows you to select Yes to proceed and submit the application for approval in order to start the review of the application by IPP or select No to Cancel the submission, complete the missing fields, and resubmit.

**Step 40**  
Select **Yes**.  
The page refreshes and a confirmation message appears.

### 5.1.1.4 9060 Grid Filters

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

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

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

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

**Step 1**  
On the left navigation menu, select **9060**.  
The system displays the Create/View 9060-6 Export Applications page, with a set of filters.

**Step 2**  
In the Key Word Search box, type three digits corresponding to available records to narrow records displayed.

**Step 3**  
Select a value displayed.

**Step 4**  
Select **Search**.  
PHIS narrows the records displayed.

**Step 5**  
Select **Reset**.  
PHIS removes the filter(s).

**Step 6**  
In the Key Word Search box, type three letters of a reviewer’s last name.

**Step 7**  
Select a value displayed.
Step 8 Select **Search**.  
PHIS narrows the records displayed.

Step 9 Select **Reset**.  
PHIS removes the filter.

Step 10 Select the One Month date range option.  
PHIS displays all records created during the last month.

---

**Figure 86: Filter 9060 records**

### 5.1.1.5 Download Records Option

Both export roles have access to download records.

**Step 1** On the Create/View 9060-6 Export Applications page (Figure 87), select **Download**.

**Step 2** Open the Excel file containing filtered set of 9060 records with the following data elements: Number, Application Type, Exporting Establishment, Importing Country, Status, Date Created, Date Submitted, Last Updated Date, Date Approved, Reviewer, Container, and Seal Number.
5.1.1.6 View Replacement-Related 9060 Record References

Both export roles can view replacement-related 9060 information.

**Step 1** Log in to PHIS with either an Export Applicant or Export Broker role.

**Step 2** On the left navigation menu, select **9060**.
The system displays the Create/View 9060-6 Export Applications page,

**Step 3** Hover over Application type when it is one of the three Replacement type application.
PHIS displays a message with the related application number(s) that the record(s) replaced or are in the process of replacing.

**Step 4** Hover over an application with a status of Replaced or Pending Replacement.
PHIS displays a message with related application number(s) that are being replaced by the selected record.
Figure 88: Detailed Replacement Information from Application Status

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

Figure 89: Detailed Replacement Information from Application Type
5.1.1.7 Delete 9060 Applications
Both export roles can delete applications. Most 9060 records can be deleted. Exceptions include rejected applications, approved certificates and those certificates that have been replaced or are currently pending replacement.

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

![Figure 90: Delete Application](image)

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

5.1.1.8 Edit 9060 Applications
Both export roles can edit applications. If you want to edit an application that has not been submitted yet, the process is relatively straightforward, and you do not have to unlock the application. When a New application has already been submitted, but the review process by FSIS personnel has not started, all data fields are editable. To make updates, follow these steps:

**Step 1** Log in to PHIS with either an Export Applicant or Export Broker role.
**Step 2** On the navigation menu, select 9060.
**Step 3** On the Create/View 9060-6 Export Applications page, select the View/Edit icon to edit the selected application.
PHIS opens the 9060 application
**Step 4** On the Exporter page, select Unlock Application.
Step 5  On the Unlock Application pop-up window, select all the relevant checkboxes and select OK.

Step 6  The status of the application is updated to Unlocked
- Until the application is re-submitted no further actions may be taken by FSIS to approve application and sign the related export certificate.

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

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

**Step 9**  
Select Next.

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

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

### 5.1.1.9 Allowable Edits after the Review Process by FSIS Personnel has Started
Edits are allowed to fields on the Exporter and Importer pages. Product related edits are limited to editing the Product Name, product weight (lbs and kgs) and the number of packages on product records and the Total Weight fields for the application.

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

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

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

![Create/View 9060-6 Export Applications](image)

**Figure 93: Edit Application**
Step 3  PHIS displays the Products Summary page.

Figure 94: Products Summary page with Unlock Application button
Step 4  Select **Unlock Application**.

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

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

![Unlock Application: Select all that apply pop-up window](image)

**Figure 95: Unlock Application: Select all that apply pop-up window**
Step 6  On the Products Summary page, if you need to edit a product record, select the Edit icon and go to the next step; otherwise go to Step 9.

**Figure 96: Update Catch Weights on Products Summary page**
Step 7 On the Product Details page, edit Product Name, edit the Net Weight of Lot field(s) and Number of Packages in Lot field as applicable.

Step 8 Select Finish.

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

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

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

Step 11 Select Next.

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

Step 13 Select Review Application Submission.

Step 14 Select Submit Application.

The page refreshes and a confirmation message appears and the application status is returned to its prior status.
5.1.1.10 Edit Slaughter Establishment and Processing Establishment on 9060 Application

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

5.1.1.11 Manage Seal, Container and Port of Entry Information

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

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

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

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

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

Step 1  From the navigation menu, select 9060.

Step 2  In the Ship. Info. column, select Edit.
The Shipment Information window appears.

Step 3  Edit Container and Seal information accordingly (see Figure 64 and Figure 65). These are the same fields from the 9060 application data entry process. **Note:** Select Insert once finished, otherwise PHIS does not save the data.

![Shipments Information Window](image)

**Figure 98: Shipment Information window**
5.1.1.12 History page

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

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

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

![History page](image)

**Figure 99: History page**

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

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

**Step 1** From the navigation menu, select 9060.

**Step 2** Select Copy for an existing record.

**Step 3** On the confirmation window, select OK.

PHIS adds a new application with an unsubmitted status added to the top of the 9060 grid.
Step 4  Select **Edit** for the new application and make the necessary changes. When copying one record to another, PHIS does *not* copy the following data elements:

- The checkmark from the Under penalty of the law statement on the Products Summary page
- Any checkmarks for Certification Statements on the Products Summary page
- The Container and Seal Information and Access Control information
- Supplemental and Supportive documents

Step 5  On the Products Summary page, accept the Under Penalty of Law statement by selecting the checkbox.

Step 6  Select the appropriate Certification Statement(s).

Step 7  Continue until you reach the Submit 9060-6 Application page. Select **Review Application Submission** to review the certificate before submitting.

Step 8  Select **Submit Application**.

The page refreshes and a confirmation message appears.

### 5.1.2 Replacements

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

To replace a paper certificate, follow these steps:

Step 1 On the Application Type page, for the Shipment Type field, select a value from the drop-down list.

Step 2 For the Application Type, select Replacement from the drop-down list.

Step 3 Select a reason for replacement from the drop-down list.

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.

![Image of Action Required message]

**Figure 101: Action Required message**

5.1.2.2 Replace One Electronic Certificate with an Electronic Application

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

**Step 1** On the Application Type page, for the Shipment Type field, select a value from the drop-down list.

**Step 2** For the Application Type field, select Replacement from the drop-down list.

**Step 3** Select a reason for replacement from the drop-down list.

**Step 4** Type the certificate number being replaced. The certificate being replaced must have an approved status.

**Step 5** Select Next.

**Step 6** At this point, the process is similar to creating a new application, but most fields are pre-populated and editable.

- A link to the approved certificate being replaced appears in the 9060 application header.

- The Export Mark to be Used data is copied over to the replacement application from the original approved certificate and displays as a read-only value.

- Total Net Weight value(s) do not transfer.

- The PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer to replacement type applications from the original certificate. To include such statements, select **Statements** from left menu and select from the available Statement options.
Step 7  On the Product Details page, the only editable fields are Product Name, weight and number of packages.
Please note:

- You cannot add more product than what was on the original certificate.
- You can enter a value in lbs field at the product level, even if it was not completed on the original approved certificate. The system validates only that the value you typed is positive.
- You can enter a value in the kgs field at the product level, even if it was not completed on the original approved certificate. The system validates only that the value you typed is positive.

Step 8  On the Products Summary page, enter appropriate values into the available Total Net Weight value fields.

- You cannot enter into the Total Net Weight field values greater than those values recorded on the original approved certificate.
- If a value was added to the kgs field at the product level that was not part of the original approved certificate, you need to type a value in the Total Net Weight kgs field. The system validates only that the value you typed is positive.
- If a value was added to the lbs field at the product level that was not part of the original approved certificate, you need to type a value in the Total Net Weight lbs field. The system validates only that the value you typed is positive.

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

Step 10  You may now move through the rest of the application and make any necessary edits.

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

Step 9  Select Review Application Submission to review the certificate before submitting.

Step 10  Close the PDF window.
Step 11 The Submit Application button is enabled, select **Submit Application**.

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

### 5.1.2.3 Consolidate Multiple Certificates to One Application

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

**Step 1** On the Application Type page, for the Shipment Type field, select a value from the drop-down list.

**Step 2** For the Application Field, select Consolidate from the drop-down list.

**Step 3** Select a reason from the drop-down list for this replacement.

**Step 4** Type the Certificate Numbers you are consolidating. **Note:** Separate the numbers with a comma without spaces.

![Figure 102: Completed Fields for Consolidation](image)

**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.

- PHIS displays a link to the approved certificates being replaced appears in the 9060 application header.
- The Export Mark to be Used data is copied over to the consolidated application from the original approved certificates and cannot be edited.
- Total Net Weight fields on the Products Summary page are not pre-populated.
- PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer.

**Step 7** On the Product Details page, the only editable fields are Product Name, weight and number of packages. Please note:
• You cannot add more product than what was on the original certificate.
• A value can be entered into the kgs field associated with product(s) even if it was not completed on the original approved certificate.
• If a value is entered into the previously empty kgs field, the system validates only that a positive value has been entered.

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

Step 9  On the Products Summary page, enter appropriate values into the available Total Net Weight value fields.
• A user cannot enter into the Total Net Weight field values greater than the summed values per weight unit recorded on the original approved certificates.
• However, if a value was added to the kgs field at the product level that was not part of any of the original approved certificates, values must also be entered into the Total Net Weight kgs field.
• The system validates only that the value entered into a previously empty kgs field is positive.

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

Step 11  You may now move through the rest of the application and make any necessary edits.
• The PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer to replacement type applications from the original certificate. To include such statements, select Statements from left menu and select from the available Statement options.
• Because this is an application for the approval of consolidated 9060 approved certificates, you are responsible for either typing any required statements in the Required Statements field on the Submit Application page and/or selecting the checkbox associated with PHIS-generated statement.
• Supplemental and Supportive documents attached to the application submitted with the application for the originally approved certificates do not transfer to the Consolidated application. As needed, users must upload applicable supplemental and supportive documentation to the replacement application.

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

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

Step 14  Receive a variation of the Action Required message (Figure 101) and select Yes, if desired.
The page refreshes and a confirmation message appears.
5.1.2.4 Split One Certificate to Multiple Applications

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

**Step 1** On the Application Type page, for the Shipment Type field, select a value from the drop-down list.

**Step 2** For the Application Type, select Split from the drop-down list.

**Step 3** Select a reason for doing the replacement.

**Step 4** Type the Certificate Number you are replacing and enter the number of new applications you want to create. PHIS displays a grid based on your entry and the product information of the original approved certificate.

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

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

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

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

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

![Figure 104: Exceeds the Values of the Original Certificate Message](image)

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

![Figure 105: Values Entered are Less than those on the Original Certificate](image)

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

**Step 9** If applicable, type any required statements in the Required Statements field on the Submit Application page. (PHIS does not copy any Required Statements from the original approved certificate to the resulting split applications.)
Step 10  Once satisfied, you have two buttons from which to choose from: Finish or Submit.

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

Notes:

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

5.1.3 Batch Export

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

This process allows for:

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

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

There are two options for loading the files to PHIS:

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

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

For more information, see the PHIS Industry Export Batch User Guide.
5.1.4 9080-3 Applications

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

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

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

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.

Figure 106: Product Information page
Step 9  Fill in the Document Title field and select **Upload**.

Step 10 After all the necessary files are uploaded and the application is complete, select **Submit**.
Step 11  Select **OK** to confirm that you want to submit the application.
A confirmation message appears.

Step 12  Select **Exit Menu**.

![Figure 107: Confirmation Message for Submitting 9080-3 Application](image)
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.

Figure 108: PDF of 9080-3 Application