



**Food Safety and Inspection Service (FSIS)
United States Department of Agriculture (USDA)**

**Public Health Information System (PHIS)
Export Batch User Guide**

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Introduction

This process allows industry users to create export applications by:

- Uploading export application data via individual XML files
- Uploading application packages that include the XML application file and associated supplemental PDF documentation as a ZIP file
- Creation of applications by Excel files alone or in a package with supplemental documents

There are two options for loading the files to PHIS:

- Machine-to-machine (XML only)
- Through the PHIS Interface (XML and Excel)

These options provide flexibility for different size establishments and corporate structures to manage the documentation and approval of export applications in PHIS.

Access to the web service requires:

- Must have eAuthentication level 2 credentials
- Register in PHIS for a Service Account

The batch processor operates the same as the online process once PHIS receives the file(s). As the process reaches certain completion milestones, status updates are recorded within PHIS. Batch results updates are available by Application Program Interface (API) call from the web service, on the Batch Results page in PHIS, and are sent to any emails included in the xml.

Process Flow

The batch application process follows many of the same steps as the online process. The applicant needs to collect the information necessary to create the application. Rather than entering that information online, data is entered into a local database that can create an application file. The created file provides the following data:

- My Establishment
- Application Type
- Export Country Information
- Import Country Information
- Products Summary
- Shipment Information
- Access Control
- Submission for Approval

Industry applicant creates batch files that contain:

- Application envelope (the beginning and end of the xml message and is a mandatory element)
- Product data
- Access control

Options for Submitting Batch Files

Two methods are available to transfer Batch file(s) to PHIS:

Option 1: Applicant system connects to the web service which results in the following events happening:

- eAuthentication procedure
- Files transferred (files are limited to __ value to be determined)
- Logging process begins

Option 2: Applicant logs into PHIS

- Opens the Batch Processing menu
- Selects Upload Files

PHIS Pre-Processing

Once the transfer of the files is complete, the following happens:

- Export Batch Pre-Processor
 - Receives the files from the web service
 - Evaluates the file types
 - Verifies the files are .xml, .xls, .xlsx, or .zip
 - Loading online provides onscreen status messages
 - Service generates email response
 - Unpacks the Zip files
 - Zip files required for PDF attachment files
 - XML or Excel file must be included
 - Zip can contain multiple application XML and Excel files and associated PDFs
 - Extracts data from the XML or Excel file
 - Application data stored in a temporary location

PHIS Processing and Application Creation

When the Pre-Processor milestone is successful data is extracted from the XML or Excel file PHIS to create an application.

- Batch Application Processor
 - Processes the application data
 - Identity data (ApplicationUID/Application Number/Applicant Name/Notification Email/Access Control)
 - Access control
 - Exporter
 - Importer
 - Processes product data
 - Each product processed individually
 - Application submission
 - Applications can be marked for submission or added with a status of unsubmitted
 - When an application marked for submission encounters errors the application is created with an unsubmitted status.

PHIS Submitting for Approval and verification against country requirement data recorded in an Export Library within PHIS

This step is analogous to clicking the Submit button on the Submit Application page when creating a 9060 application through the user interface.

- Submission
 - Submit flag must be set
 - All products must pass validation
 - Most product fields are required for submission
 - All required application fields populated
 - Product information is validated against the Export Library Verification System (ELVS)
 - Successful submission will update the application status to submitted
 - If issues are encountered the application is still created but associated status will be unsubmitted

PHIS Review and Approval

The approval process for the export application is the same whether manually created through the user interface or through a batch file.

PHIS Status and Updates

Successfully created applications are viewable from the Create/View 9060-6 Export Applications page. On the 9060 grid, PHIS does not differentiate between 9060 applications created by manually inputting data, the batch upload process, or machine to machine file transfer. This page includes all applications and associated statuses for which the logged in user has access. Associated inspection tasks are created in PHIS to be completed by FSIS personnel for all applications with a status of Submitted. Unsubmitted applications can be updated by editing the record from the 9060 record grid or by the submission of updated application records by batch file upload or machine to machine batch file transfer.

When the processing is complete, the results from the application load and the milestones reached

during process are available through a number of methods. If an email address is provided, status emails will be sent based on the processing of the applications in the file.

Multiple email may be generated for failed applications as the application may be reviewed by the system at multiple processing stages.

The Batch Results page on the PHIS website displays the upload and processing details. A web service API call can be used to request status information for a specific Batch ID. The batch ID is sent back by the web service as part of the return information at the conclusion of the file upload process. Sending the batch ID can request status information.

Communication to FSIS IPP will still be necessary if changes are needed to the application, with the exception of catch weights and seal and container information once the approval process has begun, the application is locked from additional updates.

Updating the final weights at the application level, net weight and the number of packages at the product level for all 9060 applications up until when an application is approved and the 9060 certificate is signed by the final approver. Updating the commercial seal number and commercial container number is possible to any application that has not been replaced or rejected.

Batch Upload through PHIS User Interface

Upload Files

This page has an option to download the XSD file that is necessary for creating well-formed XML files. The primary function of the page is to select a file or files to upload to PHIS. Multiple files can be selected at a time from the select files page. Like the web service, only XML, Excel, and ZIP files are allowed to be uploaded. A 5 MB size limit is enforced for each supplemental PDF file uploaded as part of an application, in the zip file. Multiple PDFs can be included for each application. Attached files are identified within the XML file. The maximum size for zip files is 25 MB.

9060
9080-3
Batch Processing
Upload Files
Batch Results
Service Accounts
View Report

Upload File of Export Applications

[Download the Export Batch Schema XSD](#)
[Download the Export Batch Schema Excel File](#)

*Please select the file(s) to upload:
(Only .xls, .xlsx, .xml, and .zip files can be uploaded. The maximum file size for a PDF file is 5 MB. All PDF files must be zipped before uploading.)

Select

Submit File

Figure 1 Upload File Page

Batch Results

This page provides a view of all the attempted batch application file uploads that passed the first critical milestone of having the application Global Universal ID (GUID) read. The results are recorded in Central Time.

The screenshot shows the 'Batch Results' interface. On the left is a navigation menu with 'Batch Results' selected. The main area has a search filter section with fields for Date Range (1), File Name, Establishment Number, and Identifier, and radio buttons for Two Days, One Week, One Month, and Date Range. Below this are radio buttons for UI/Service, UI, Service, All (3), With Errors, and Without Errors. A table lists batch records with columns: Received On, Type, Batch Info, # of App., # of Attach., Errors?, Batch, and Log. One record is expanded to show 'Batch File Details' and '9060-6 Export Application' information, including App. Info, # of Attach., Errors?, Log, App. Number (5), 9060 Status (6), and Cert. Number. A sidebar on the left shows a list of items with 'Batch Results' highlighted (7).

Received On	Type	Batch Info	# of App.	# of Attach.	Errors?	Batch	Log
02/28/2018 1:36 PM	XML	Create New Application_mistake.xml [3.6 KB] 32733BA8-55E0-4F18-A43B-7AD7622E143A submitted by [redacted] (U-DEST-30532)	--	--	with errors	[Download]	[Download]
02/28/2018 1:35 PM	XML	Create New Application.xml [3.6 KB] 8E2D42C8-B904-4CA6-B799-02564DB73276 submitted by [redacted] (U-DEST-30532)	1	--		[Download]	[Download]
Batch File Details			9060-6 Export Application				
App. Info		# of Attach.	Errors?	Log	App. Number	9060 Status	Cert. Number
New (P46320) 0832686E-BB6C-423E-98E7-EA6EBAE3AE05 [Marked as Submitted]		--		[Download]	0000330	Submitted	0000330
02/28/2018 9:38 AM	XML	Create New Application.xml [3.6 KB] B19C3E65-1527-48FF-8F47-8FE94D73370D submitted by [redacted] (U-DEST-30532)	1	--		[Download]	[Download]
02/28/2018 9:36 AM	XML	Create New Application_mistake.xml [3.6 KB] 3601D2EE-5F9D-4C41-A68E-50F2A44004FC submitted by [redacted] (U-DEST-30532)	1	--	with errors	[Download]	[Download]
Batch File Details			9060-6 Export Application				
App. Info		# of Attach.	Errors?	Log	App. Number	9060 Status	Cert. Number
New (P46320) 56C39C1D-C678-478A-B5A7-36778921E55F		--	with errors	[Download]	0000316	Deleted	0000316

Figure 2 Batch Results Page

The batch results page includes the following functions:

1. Filter by date, file name, establishment, and/or Application UID (unique identifier generated specifically for application)
2. Filter by method by which the files were transferred to PHIS
3. Filter records with and/or without errors
4. Download batch file submitted for processing along with milestone log files with details of any errors recorded at both the record and application levels
5. Ability to directly access the application created through a hyperlink
6. 9060 Application status
7. Ability to expand batch record and display application record on one page

A list of common error messages is available in Appendix B.

Manage Service Accounts

The service administrator will use this page to complete the Non-Disclosure Agreement/Interconnection Security Agreement (NDA/ISA) agreement required for machine-to-machine communications and to setup the service accounts and settings.

The screenshot displays the 'Manage Service Accounts' interface. On the left, a navigation menu includes 'Service Accounts' (highlighted), 'Upload Files', 'Batch Results', and 'View Report'. The main content area features a green header and a navigation bar with tabs for 'Accounts', 'Configuration', 'Service Call Log', and 'Service Update Log'. Below the tabs, there are radio buttons for 'Active (1)', 'Inactive (0)', and 'All (1)'. A table titled 'Add New Service Account' is shown, with the following data:

Account	Roles	Status		
Applicant account	Export Batch Submitter	Active	Open	Delete

At the bottom of the table, there are pagination controls: 'Page size: 10' and '1 items in 1 pages'.

Figure 3 Service Accounts Main Page

Details on completing the NDA/ISA and setting up service accounts are provided in a later section of the guide (Service Accounts).

Data File Specifications

Data files must conform to certain specifications to be accepted by the system.

- Application files are in XML or Excel
- Files can perform different functions:
 - Create a new application
 - Update an existing application
 - Cancel an existing application
 - Perform certificate replacement functions:
 - One-to-one
 - Split
 - Consolidation
- Rules
 - Follow the XSD validation
 - The XSD allows creation of incomplete applications
 - Product fields are required for submission
 - Excel files don't have a XSD but a similar data validation is performed

XSD

General notes used to evaluate the XSD elements necessary to create a well-formed XML file.

Application Number vs. Certificate Number

When a 9060-6 application is first created, PHIS assigns it an Application Number. This Application Number is used to identify the application as it goes through the system. Once the application has been approved by in-plant personnel, the Application Number becomes the Certificate Number.

Data Size

Elements for which the data type is String in the following tables have a size value in parenthesis if it is limited in length outside of what is listed in the XSD. For example, Additional Statement information included in the XML is limited to 500 characters.

Decimal numbers have a similar layout as strings but show two values: precision and scale. Precision indicates how many total digits can be used in the number while scale indicates the number of digits that can be used to the right of the decimal point.

Structures

Envelope

Contains element required for all applications in an XML file. Each file must have one and only one envelope structure.

Table 1: Envelope Structure

Element	Node Name	Data Type	Count	Notes
Access Control	AccessControl	Access Control block	1	Information regarding the permissions applied to the resultant application. This field is required.
Notification Email	NotificationEmail	Email	0 or 1	An email address to send process notifications. This field is optional but recommended.
Export Application 9060s	ExportApplication9060s	Collection of Export Application 9060	1	Collection of all 9060-6 applications to process (at least one application is required) This field is required.

Export Application 9060

Table 2 represents a single new 9060-6 application in XML form.

Only the basic amount of information is required to create an application and identify the applicant is required for a successful submission. Subsequent updates may be required to achieve submission and approval of the application.

Table 2: Export Application 9060-6 Structure

Element	Node Name	Data Type	Count	Notes
Additional Statement	AdditionalStatement	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products. This field is optional.
Applicant	Applicant	Applicant	0 or 1	The name of the individual responsible for the 9060 application. This name goes in the signature section of the 9060 application. While optional for initial processing of the file per the XSD, a defined value is required for the application to be submitted. Once an application through batch the only way to update this value is through an updated batch submittal.
Application UID	ApplicationUID	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the application. This field is required.
Country of Destination	CountryOfDestination	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.

Element	Node Name	Data Type	Count	Notes
Country of Final Destination	CountryOfFinalDestination	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.
Export Application Attachments	ExportApplicationAttachments	Collection of Attachment	0 or 1	A collection of all attachments associated with this application. This block is optional.
Consignor/ Exporter	ConsignorExporter	Import/Export Entity	1	The block containing the consignor/exporter information This block is required.
Export Establishment Number	ExportEstablishmentNumber	String (64)	1	The official establishment number of the exporting establishment. This field is required. Include the predominant Grant type as it applies to the application, i.e. M99999
I Certify Statement	ICertifyStatement	String (selection)	0 or 1	Accepted values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above This field is required to submit for approval.
Consignee/ Importer	ConsigneeImporter	Import/Export Entity	1	The block containing the consignee/importer information This block is required.
Shipment Type	ShipmentType	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> • 1: Commercial Sale • 2: Personal Consumption • 3: Ship's Store • 4: U.S. Military • 5: Samples • 6: U.S. Embassy • 7: Airlines While optional for initial processing of the file per the XSD, a defined value is required for the application to be submitted. Once an application through batch the only way to update this value is through an updated batch submittal.
Submit	Submit	Boolean	1	true or false **The Submit field is required.

Element	Node Name	Data Type	Count	Notes
Total Net Weight in Pounds	TotalNetWeightInPounds	Weight	0 or 1	The total net weight of all the products in pounds A value must populate this or the Net kgs field for the resulting application to be submitted for approval
Total Net Weight in Kilograms	TotalNetWeightInKilograms	Weight	0 or 1	The total net weight of all the products in kilograms
Unique Identifier	UniqueIdentifier	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2
USDA Export Mark	UsdaExportMark	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> 1: USDA Export Mark 2: Unique Identifier This field is required to submit for approval.
Final Destination Port	FinalDestinationPort	String	0 or 1	The port the shipment is expected to come in to
Containers	Containers	Collection of Containers	0 or 1	A collection of all containers associated with this application
Export Application Products	ExportApplication9060Products	Collection of Export Application 9060 Product	1	A collection of all products in the application for export. This block is required.

*The **Submit** value explicitly informs PHIS after the file has been parsed and the first stage of processing has been successful, and an application has been created to apply the ELVS validation process. If either validation fails, an error will be returned indicating the problem or problems with the file or the application. If the application fails the ELVS validation process, the pertinent information about the failure will be sent back to the applicant, but the application will still reside in PHIS for future resubmission.

Export Application 9060 Cancel

The *ExportApplication9060Cancel* element is combined with the required elements of the Export Application 9060 Basic block to provide the structure used to request cancellation of a previously submitted 9060-6 application.

Export Application 9060 Basic

This describes the structure of a basic 9060-6 application where only an identifier is needed. This is used to reference previously submitted applications for actions during Cancels, Splits and Consolidations.

To identify the application, either the Application Number or Application UID must be provided. If the Application Number is provided, the Application UID will be ignored.

Table 3: Export Application 9060-6 Basic Structure

Element	Node Name	Data Type	Count	Notes
Application Number	ApplicationNumber	Application Number	0 or 1	The Application Number of the 9060-6 that is being replaced. This will be used over the Application UID if provided. This field is optional if ApplicationUID is present.
Application UID	ApplicationUID	GUID	0 or 1	An arbitrary unique identifier previously assigned by the applicant to identify the application. This field is optional if ApplicationNumber is present.

Export Application 9060 Update

The *ExportApplication9060Update* element represents an update of a single existing 9060-6 application in XML form. This is largely the same as Export Application 9060-6 except for the application number element, which can be used as an alternate identifier for the application.

Table 4: Export Application 9060-6 Update Structure

Element	Node Name	Data Type	Count	Notes
Additional Statement	AdditionalStatement	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products. This field is optional.
Applicant	Applicant	Applicant	0 or 1	The name of the individual responsible for the 9060 application. This name goes in the signature section of the 9060 application.
Application Number	ApplicationNumber	Application Number	0 or 1	The PHIS-generated Application Number that uniquely identifies the application. If present for new files, it is ignored This field is optional if ApplicationUID is present.
Application UID	ApplicationUID	GUID	0 or 1	An arbitrary unique identifier assigned by the applicant to identify the application. This field is optional if ApplicationNumber is present.
Country of Destination	CountryOfDestination	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.
Country of Final Destination	CountryOfFinalDestination	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.
Export Application Attachments	ExportApplicationAttachments	Collection of Attachment	0 or 1	A collection of all attachments associated with this application. This block is optional.

Element	Node Name	Data Type	Count	Notes
Consignor/ Exporter	ConsignorExporter	Import/Export Entity	1	The block containing the consignor/exporter information. This block is required.
Export Establishment Number	ExportEstablishmentNumber	String (64)	1	The official establishment number of the exporting establishment. This field is required. Include the predominant Grant type as it applies to the application, i.e. M99999
I Certify Statement	ICertifyStatement	String (selection)	0 or 1	Accepted values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above This field is required to submit for approval.
Consignee/ Importer	ConsigneeImporter	Import/Export Entity	1	The block containing the consignee/importer information. This block is required.
Shipment Type	ShipmentType	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> • 1: Commercial Sale • 2: Personal Consumption • 3: Ships Store • 4: U.S. Military • 5: Samples • 6: U.S. Embassy • 7: Airlines This field is optional.
Submit	Submit	Boolean	1	*The Submit field is required.
Total Net Weight in Pounds	TotalNetWeightInPounds	Weight	0 or 1	The total net weight of all the products in pounds
Total Net Weight in Kilograms	TotalNetWeightInKilograms	Weight	0 or 1	The total net weight of all the products in kilograms
Unique Identifier	UniqueIdentifier	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2.
USDA Export Mark	UsdaExportMark	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> • 1: USDA Export Mark • 2: Unique Identifier This field is required to submit for approval.
Final Destination Port	FinalDestinationPort	String	0 or 1	The port the shipment is expected to come in to
Containers	Containers	Collection of Containers	0 or 1	A collection of all containers associated with this application

Element	Node Name	Data Type	Count	Notes
Export Application Products	ExportApplication9060Products	Collection of Product	1	A collection of all products in the application for export. This block is required.

Export Application 9060 Replacement

The *ExportApplication9060Replacement* element represents the 1:1 replacement of a previously submitted 9060-6 application.

To identify the application, either the Application Number or Application UID must be provided. If the Application Number is provided, the Application UID will be ignored.

This is largely the same as Export Application 9060 except for the presence of the Application Number element, which can be used as an alternate identifier for the application, and Products are represented by a more restricted Product block.

This differs from an Update in that this operation results in a new Application Number. All Update operations will keep the existing Application Number.

Table 5: Export Application 9060-6 Replacement Structure

Element	Node Name	Data Type	Count	Notes
Additional Statement	AdditionalStatement	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products. This field is optional.
Applicant	Applicant	Applicant	0 or 1	The name of the individual responsible for the 9060 application. This name goes in the signature section of the 9060 application.
Application Number	ApplicationNumber	Application Number	0 or 1	The PHIS-generated Application Number that uniquely identifies the application. If present for new files, it is ignored. This field is optional if ApplicationUID is present.
Application UID	ApplicationUID	GUID	0 or 1	An arbitrary unique identifier assigned by the applicant to identify the application. This field is optional if ApplicationNumber is present.
Country of Destination	CountryOfDestination	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.

Element	Node Name	Data Type	Count	Notes
Country of Final Destination	CountryOfFinalDestination	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.
Export Application Attachments	ExportApplicationAttachments	Collection of Attachment	0 or 1	A collection of all attachments associated with this application. This block is optional.
Consignor/ Exporter	ConsignorExporter	Import/Export Entity	1	The block containing the consignor/exporter information. This block is required.
Export Establishment Number	ExportEstablishmentNumber	String (64)	1	The official establishment number of the exporting establishment. This field is required. Include the predominant Grant type as it applies to the application, i.e. M99999
I Certify Statement	ICertifyStatement	String (selection)	0 or 1	Accepted values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above This field is required to submit for approval.
Consignee/ Importer	ConsigneeImporter	Import/Export Entity	1	The block containing the consignee/importer information. This block is required.
Reason for Replacement	ReasonForReplacement	Integer	1	The reason the replacement is requested. Possible values are: <ul style="list-style-type: none"> • 1: Lost Certificate • 2: Incorrect Certificate • 3: Importer/Exporter Changed • 4: Certificate Missing Required Information • 5: Importing Country Border Closure This field is required.
Shipment Type	ShipmentType	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> • 1: Commercial Sale • 2: Personal Consumption • 3: Ships Store • 4: U.S. Military • 5: Samples • 6: U.S. Embassy • 7: Airlines This field is required to submit for approval.
Submit	Submit	Boolean	1	This field is required to *The Submit for approval.

Element	Node Name	Data Type	Count	Notes
Total Net Weight in Pounds	TotalNetWeightInPounds	Weight	0 or 1	The total net weight of all the products in pounds
Total Net Weight in Kilograms	TotalNetWeightInKilograms	Weight	0 or 1	The total net weight of all the products in kilograms
Unique Identifier	UniqueIdentifier	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2.
USDA Export Mark	UsdaExportMark	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> 1: USDA Export Mark 2: Unique Identifier This field is required to submit for approval.
Final Destination Port	FinalDestinationPort	String	0 or 1	The port the shipment is expected to come in to
Containers	Containers	Collection of Containers	0 or 1	A collection of all containers associated with this application
Export Application Products	ExportApplication9060Products	Collection of Export Application 9060 Product Replacement	1	A collection of all products in the application for replacement. This block is required.

Export Application 9060 Paper Replacement

The *ExportApplication9060PaperReplacement* element represents a request to replace an existing paper export certificate with a digital application in PHIS. This differs from a Replacement application in that it does not require an existing application in PHIS.

Table 6: Export Application 9060-6 Paper Replacement Structure

Element	Node Name	Data Type	Count	Notes
Additional Statement	AdditionalStatement	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products. This field is optional.
Applicant	Applicant	Applicant	0 or 1	The name of the individual responsible for the 9060 application. This name goes in the signature section of the 9060 application.
Application Number	ApplicationNumber	Application Number	0 or 1	The PHIS-generated Application Number that uniquely identifies the application. If present for new files, it is ignored. This field is optional if ApplicationUID is present.

Element	Node Name	Data Type	Count	Notes
Application UID	ApplicationUID	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the application. This field is required.
Country of Destination	CountryOfDestination	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.
Country of Final Destination	CountryOfFinalDestination	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.
Export Application Attachments	ExportApplicationAttachments	Collection of Attachment	0 or 1	A collection of all attachments associated with this application. This block is optional.
Consignor/ Exporter	ConsignorExporter	Import/Export Entity	1	The block containing the consignor/exporter information. This block is required.
Export Establishment Number	ExportEstablishmentNumber	String (64)	1	The official establishment number of the exporting establishment. This field is required. Include the predominant Grant type as it applies to the application, i.e. M99999
I Certify Statement	ICertifyStatement	String (selection)	0 or 1	Accepted values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above This field is required to submit for approval.
Consignee/ Importer	ConsigneeImporter	Import/Export Entity	1	The block containing the consignee/importer information. This block is required.
Reason for Replacement	ReasonForReplacement	Integer	1	The reason the replacement is requested. Possible values are: <ul style="list-style-type: none"> • 1: Lost Certificate • 2: Incorrect Certificate • 3: Importer/Exporter Changed • 4: Certificate Missing Required Information • 5: Importing Country Border Closure This field is required.

Element	Node Name	Data Type	Count	Notes
Shipment Type	ShipmentType	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> 1: Commercial Sale 2: Personal Consumption 3: Ships Store 4: U.S. Military 5: Samples 6: U.S. Embassy 7: Airlines This field is required to submit for approval.
Submit	Submit	Boolean	1	See here for details. This field is required to submit for approval.
Total Net Weight in Pounds	TotalNetWeightInPounds	Weight	0 or 1	The total net weight of all the products in pounds
Total Net Weight in Kilograms	TotalNetWeightInKilograms	Weight	0 or 1	The total net weight of all the products in kilograms
Unique Identifier	UniqueIdentifier	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2.
USDA Export Mark	UsdaExportMark	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> 1: USDA Export Mark 2: Unique Identifier This field is required to submit for approval.
Final Destination Port	FinalDestinationPort	String	0 or 1	The port the shipment is expected to come in to
Containers	Containers	Collection of Containers	0 or 1	A collection of all containers associated with this application
Export Application Products	ExportApplication9060Products	Collection of Export Application 9060 Product Replacement	1	A collection of all products in the application for replacement. This block is required.

Export Application 9060 Consolidate Replacement

The *ExportApplication9060ConsolidateReplacement* element represents the consolidation of multiple previously submitted 9060-6 applications into one 9060-6 application in XML form.

Table 7: Export Application 9060-6 Consolidate Replacement Structure

Element	Node Name	Data Type	Count	Notes
Source Applications	SourceApplications	Collection of Export Application 9060 Basic applications	1	This is a collection of previously submitted 9060-6 applications that will be consolidated into one application. This block is required.

Element	Node Name	Data Type	Count	Notes
Consolidated Application	ConsolidatedApplication		1	The new destination 9060-6 application all the above applications will be consolidated into This block is required.
Reason for Replacement	ReasonForReplacement	Integer	1	The reason the replacement is requested. Possible values are: <ul style="list-style-type: none"> • 1: Lost Certificate • 2: Incorrect Certificate • 3: Importer/Exporter Changed • 4: Certificate Missing Required Information • 5: Importing Country Border Closure This field is required.

The below Export Application 9060 Consolidated Application table represents a truncated view of a 9060-6 application data used for consolidations. The data contained in this object is a subset of the overall 9060-6 data and represents only fields that can be updated through Batch Export.

Table 8: Consolidation Source Application

Element	Node Name	Data Type	Count	Notes
Additional Statement	AdditionalStatement	String (500)	0 or 1	Any additional statements to make regarding the application or any of the products. This field is optional.
Applicant	Applicant	Applicant	0 or 1	The name of the individual responsible for the application. This name goes in the signature section of the 9060 application.
Application UID	ApplicationUID	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the application. This field is required.
Country of Destination	CountryOfDestination	String (3)	1	The country code where the export is immediately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.
Country of Final Destination	CountryOfFinalDestination	String (3)	1	The country code where the export is ultimately headed. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required.
Export Application Attachments	ExportApplicationAttachments	Collection of Attachment	0 or 1	A collection of all attachments associated with this application. This block is optional.
Consignor/ Exporter	ConsignorExporter	Import/Export Entity	1	The block containing the consignor/exporter information This block is required.

Element	Node Name	Data Type	Count	Notes
Export Establishment Number	ExportEstablishmentNumber	String (64)	1	The official establishment number of the exporting establishment. This field is required. Include the predominant Grant type as it applies to the application, i.e. M99999
I Certify Statement	ICertifyStatement	String (selection)	0 or 1	Accepted values are: <ul style="list-style-type: none"> • Meat • Poultry • Meat and Poultry • Siluriformes Fish • None of the Above This field is required to submit for approval.
Consignee/Importer	ConsigneeImporter	Import/Export Entity	1	The block containing the consignee/importer information This block is required.
Shipment Type	ShipmentType	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> • 1: Commercial Sale • 2: Personal Consumption • 3: Ship's Store • 4: U.S. Military • 5: Samples • 6: U.S. Embassy • 7: Airlines This field is required to submit for approval.
Submit	Submit	Boolean	1	See below. This field is required.
Total Net Weight in Pounds	TotalNetWeightInPounds	Weight	0 or 1	The total net weight of all the products in pounds
Total Net Weight in Kilograms	TotalNetWeightInKilograms	Weight	0 or 1	The total net weight of all the products in kilograms
Unique Identifier	UniqueIdentifier	String (50)	0 or 1	The unique identifier to use as the export mark. This cannot be used in conjunction with USDA Export Mark. This field is required if tag UsdaExportMark = 2
USDA Export Mark	UsdaExportMark	Integer	0 or 1	Accepted values are: <ul style="list-style-type: none"> • 1: USDA Export Mark • 2: Unique Identifier This field is required to submit for approval.
Final Destination Port	FinalDestinationPort	String	0 or 1	The port the shipment is expected to come in to

Element	Node Name	Data Type	Count	Notes
Containers	Containers	Collection of Containers	0 or 1	A collection of all containers associated with this application

Export Application 9060 Split Replacement

The *ExportApplication9060SplitReplacement* element represents the splitting of one previously submitted 9060-6 applications into several new 9060-6 applications in XML form.

Table 9: Export Application 9060-6 Split Replacement Structure

Element	Node Name	Data Type	Count	Notes
Source Application	SourceApplication	Export Application 9060 Basic	1	The previously submitted 9060-6 applications that will be split into several applications. This block is required.
Split Applications	SplitApplications	Collection of Export Application 9060	1	This is a collection of new 9060-6 applications that will result from the split. This block is required.
Reason for Replacement	ReasonForReplacement	Integer	1	The reason the replacement is requested. Possible values are: <ul style="list-style-type: none"> 1: Lost Certificate 2: Incorrect Certificate 3: Importer/Exporter Changed 4: Certificate Missing Required Information 5: Importing Country Border Closure This field is required.

Export Application 9060 Product

The *ExportApplication9060Product* element provides details an individual products within new or update applications. This is the actual product being exported. This represents an entire line as seen on a 9060-6 application form.

Table 10: Export Application Product Structure

Element	Node Name	Data Type	Count	Notes
Establishment Number on Product	EstablishmentNumberOnProduct	String (50)	0 or 1	The establishment number stamped on the shipping cartons. This field is required to submit for approval. Include the predominant Grant type as it applies to the application, i.e. M99999
Frozen Shelf Stable	FrozenShelfStable	Boolean	0 or 1	true or false This field is required to submit for approval.

Element	Node Name	Data Type	Count	Notes
HACCP Category	HaccpCategory	String (selection)	0 or 1	Accepted values are: <ul style="list-style-type: none"> • 03B • 03C • 03D • 03E • 03F • 03G • 03H • 03I This field is required to submit for approval.
Line Number	LineNumber	Integer	1	Number associated with the product allowing for identification of products otherwise not sent in via Batch Export This value is not actively processed.
Maturity Less Than 30 Months	MaturityLessThan30Months	Boolean	0 or 1	true or false This field is required to submit for approval.
Net Weight of Lot in Pounds	NetWeightOfLotInPounds	Weight	0 or 1	The net weight of this product in pounds. This field is required to submit for approval.
Net Weight of Lot in Kilograms	NetWeightOfLotInKilograms	Weight	0 or 1	The net weight of this product in kilograms. This field is required to submit for approval.
Number of Packages in Lot	NumberOfPackagesInLot	Integer	0 or 1	This field is required to submit for approval.
Product Code	ProductCode	String (100)	0 or 1	The product code used in part to create the Description for the product. This field is optional.
Product Name	ProductName	String (100)	0 or 1	The name of the product used in part to create the Description for the product. This field is required to submit for approval.
Product UID	ProductUID	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the individual product. This field is required.
Shipping Identification Marks	ShippingIdentificationMarks	String (50)	0 or 1	The shipping/identification marks that links this product to an FSIS export certificate. This field is optional.

Element	Node Name	Data Type	Count	Notes
Species	Species	String (selection)	0 or 1	<p>Accepted values are:</p> <ul style="list-style-type: none"> • Antelope • Beef • Bison • Buffalo • Catalo • Chicken • Deer • Duck • Egg Products • Elk • Emu • Goat • Goose • Guinea • Horse • Lamb • Mutton • Ostrich • Pheasant • Pork • Quail • Rabbit • Reindeer • Rhea • Siluriformes Fish • Squab • Turkey • Veal • Water Buffalo <p>This field is required to submit for approval. Species should be listed with the first letter upper case and the remaining letters lower case.</p>
Type of Packages in Lot	TypeOfPackagesInLot	String (selection)	0 or 1	<p>Accepted values are:</p> <ul style="list-style-type: none"> • BG • BI • BJ • BX • CA • COM • CS • CT • CX • DR • JR • MB • PAL • PK • PL • PO • PU • SW • TB • TN • TU • TY • VA • VP <p>This field is required to submit for approval.</p>

Export Application 9060 Product Replacement

The *ExportApplication9060ProductReplacement* element provides information on individual product within any replacement application. This represents a partial line as seen on a 9060-6 application form, exposing only the information that can be changed during a Replacement action.

Table 11: Export Application Product Replacement Structure

Element	Node Name	Data Type	Count	Notes
Line Number	LineNumber	Integer	1	Number associated with the product allowing for identification of products otherwise not sent in via Batch Export This value is not actively processed.
Net Weight of Lot in Pounds	NetWeightOfLotInPounds	Weight	0 or 1	The net weight of this product in pounds. This field is required to submit for approval.
Net Weight of Lot in Kilograms	NetWeightOfLotInKilograms	Weight	0 or 1	The net weight of this product in kilograms. This field is required to submit for approval.
Number of Packages in Lot	NumberOfPackagesInLot	Integer	0 or 1	This field is required to submit for approval.
Product UID	ProductUID	GUID	1	An arbitrary unique identifier assigned by the applicant to identify the individual product. This field is required.

Attachment

This represents a single document attached to a 9060-6 application for consideration when processing the application.

Table 12: Attachment Structure

Element	Node Name	Data Type	Count	Notes
Description	Description	String (500)	0 or 1	Any additional information about the attached document. This field is optional.
Document Name	DocumentName	String (260)	1	The filename of the attached document (without path). This field is required when the Attachments tag is populated.
Attachment Type	AttachmentType	String (selection)	0 or 1	Identifies if the attached document is Supplemental or Supportive. Accepted values are: <ul style="list-style-type: none"> Supplemental Supportive
subtype	subtype	String (selection)	0 or 1	Accepted values are: <ul style="list-style-type: none"> Other TransitLetterhead When paired with a Supplemental attachment type identifies if

				the attached document is defined as Other or Transit Letterhead
Transit Country	TransitCountry	String (3)	0 or 1	Identifies the country for the Transit Letterhead Certificate. This field is required when the subtype is defined as TransitLetterhead when the Attachment Type is Supplemental

Each attachment node also contains an attribute named **type**. This attribute has two possible values:

- **Supplemental1**: Indicates that this attachment is required for approval, which can be paired with the following subtypes:
 - Other
 - TransitLetterhead
- **Supportive**: Indicates that this attachment is not required but is useful in evaluating the application

Container

This represents the container information for products in the 9060-6 application.

Table 13: Container Structure

Element	Node Name	Data Type	Count	Notes
Commercial Seal Number	CommercialSealNumber	String (100)	0 or 1	The seal number found on the container
Commercial Container Number	CommercialContainerNumber	String (100)	0 or 1	The number found on the container

PHIS ID

This represents the arbitrary ID used to identify entities within PHIS for permission assignment. This value is set within PHIS. The format is as follows:

C-CCCC-9999

The first character can be E, S or U. The next four characters allow for any capital combination of characters. The final four represent any digit.

The rules within Batch Export allow for more flexibility than the standard format. The central four characters could be as few as three characters and there is no true upper limit. Likewise, the numeric portion at the end can be one or more. The above format is the current format used within PHIS at the moment.

This ID will be checked against the database to ensure that it exists before processing continues.

Permission

This represents the permissions granted or denied a user. The individual elements are as follows:

Table 14: Permission Structure

Element	Node Name	Data Type	Count	Notes
ID	ID	PHIS ID	1	The ID of the entity either being granted or denied permissions. This field is required.
Permission	Permission	String (selection)	1	Possible values are: <ul style="list-style-type: none"> • Read • Read Write • Read Write Access This field is required.

Access Control

This represents how permissions will be applied to any and all applications within the Batch File. At least one entity has to be granted permissions in a Batch File. In the event of conflicting permissions, the most pessimistic (restrictive) option will be assumed. The individual elements are as follows:

Table 15: Access Control Structure

Element	Node Name	Data Type	Count	Notes
Grant	Grant	Permission	1	A list of all entities that are specifically allowed access to the application. This field is required to submit for approval.
Deny	Deny	Permission	0 or 1	A list of all entities that are specifically denied access to the application. This field is optional.

Address

This is a basic structure identifying the accepted address information for a company, person or entity in PHIS. The individual elements are as follows:

Table 16: Address Structure

Element	Node Name	Data Type	Count	Notes
Address Line 1	AddressLine1	String (250)	0 or 1	This field is required to submit for approval.
Address Line 2	AddressLine2	String (250)	0 or 1	This field is required to submit for approval.
Address Line 3	AddressLine3	String (250)	0 or 1	
City	City	String (250)	0 or 1	This field is required to submit for approval.
Country	Country	String (3)	0 or 1	2- or 3- character country code. This can be: <ul style="list-style-type: none"> • 2-character country code • 3-character country code • 3-digit country code This field is required to submit for approval.
Postal Code	PostalCode	String (20)	0 or 1	This field is required to submit for approval.
State or Territory	StateOrTerritory	String (4)	0 or 1	Two character (A-Z, case-insensitive) abbreviation for the State or Territory information. If no state or territory exists, enter the value NA. This field is required for Consignor/Exporter Address to submit for approval. This field is optional for Consignee/Importer address and if not included the node can be excluded.
Telephone	Telephone	String (16)	0 or 1	

Applicant

This represents the user taking responsibility for the 9060-6 application.

Table 17: Applicant Description

Element	Node Name	Data Type	Count	Notes
Applicant First Name	ApplicantFirstName	String (50)	1	First name of the individual taking responsibility for the application
Applicant Last Name	ApplicantLastName	String (50)	1	Last name of the individual taking responsibility for the application

Application Number

This represents the Application/Certificate number for the 9060-6. This is restricted to seven for all applications with the exception of Export Application 9060 Paper Replacement. Paper Replacement applications expect nine alphanumeric characters.

Boolean

This is a simple data type indicating true/false, yes/no, on/off. The only allowed data elements are **true** or **false**. The values are case sensitive (ex. True will result in an error).

Email

This is a basic structure identifying the accepted format for email addresses. This is the simple data type of string.

GUID

This is a basic structure representing a standard GUID element. This is composed of the simple data type string. Some examples are:

5EA12D76-6668-4932-8184-089E5A1055C2
 D1D498AC-E255-4104-8E76-2F110E020BC9
 39F9D6BD-DA01-4D63-BC88-4E0D3C995EA1
 CA4ACF0F-8D28-41C1-9035-2113EBCBA878
 DCFE97E1-3BDF-4C1B-A044-0DEEE1356BFB

The format expected is defined in short as [0-9a-fA-F]{8}-[0-9a-fA-F]{4}-[0-9a-fA-F]{4}-[0-9a-fA-F]{4}-[0-9a-fA-F]{12}. This expanded into the following:

- 8 alphanumeric characters
- A dash
- Four alphanumeric characters

- A dash
- Four alphanumeric characters
- A dash
- Four alphanumeric characters
- A dash
- Twelve alphanumeric characters

The criteria listed above has the following restrictions:

- Alphanumeric data is considered any number 0-9 (inclusive) or character A-F (inclusive)
- Character casing is not considered (i.e. 'ABCde' will be considered equal to 'abcde')

Care should be taken when working with GUIDs. They should be generated programmatically every time a new GUID is required. If a GUID is reused then it will be assumed that the information associated with that GUID will be updated. Likewise, GUIDs used should be recorded by the applicant in the event data needs to be updated.

Import/Export Entity

This is the basic structure defining a consignor/exporter or consignee/importer entity. Currently this is the same for both consignee/importers and consignor/exporters.

Table 18: Import/Export Entity

Element	Node Name	Data Type	Count	Notes
Name	Name	String (64)	0 or 1	Name of the entity be it a person or company. This field is required.
Address	Address	Address	0 or 1	The official address of the entity. This field is required to submit for approval.

Weight

Weight is a simply decimal value but grouped into its own type so for ease of maintenance. It allows for a maximum inclusive value of 9,999,999.**9999**.

In all instances above, weight is now available in pounds or kilograms. Both nodes are marked as optional but at least one node is expected to have a value for full submission to PHIS.

XML

In processing XML files to create 9060-6 applications in PHIS for review and approval, the following assumptions are made:

- Applicants can submit one or more applications within any single XML transmission.
- XML files will be transmitted through a web service accessible through a PHIS web page interface (human-to-machine interaction) or through a programmatic interface (machine-to-machine interaction).
- An application can be incomplete with the assumption that an updated XML will later be

submitted or updates will be made through the PHIS user interface to complete any outstanding information.

- After submitting a properly formed XML application files and after processing by PHIS, an applicant can expect PHIS to assign Application Number(s).
- Each XML application will produce either a message with an Application Number or an error message explaining the nature of the error.
- A previously submitted application can be updated by using the same application UID. This will be subjected to the same validation as the originally accepted application. Updated submissions will not be allowed once an inspection task associated with an application has been opened by in-plant personnel with the exception of updates to catch weights and seal and container numbers.
- A previously submitted application can be cancelled using the same application UID that was used to create it or the application number created by PHIS.

XML Fields not on the 9060-6 but maintained in PHIS as part of the Batch Results record:

- Application UID. This is a GUID provided by the applicant acting as a unique identifier which can be used to identify the Application in the future
- Product UID. Similar to the Application UID but at the Product level

PDF and ZIP Files

ZIP files are used to ensure the association between the application XML or Excel and the supplemental PDF files. When attaching PDF files to complete the 9060-6 application they have to be in a ZIP file with the application XML or Excel file.

Service Accounts

The NDA/ISA organizational level agreement must be completed prior an organization/establishment transferring export files from their system to PHIS. Additionally there is the creation of the service accounts and the associated authorization username and password, which are required for connecting and passing data to the web service.

Completing the NDA/ISA and setting up the service accounts is only required when uploading files through the web service. A level 2 eAuth account is necessary to complete the NDA/ISA and create the authentication username and password information. The web service connection is managed through IP Filtering, roles, and the authentication information.

The following steps need to be performed to create access accounts for the web service connection.

- 1) The acceptance of a Non-Disclosure Agreement/ Interconnection Security Agreement
- 2) NDA/ISA by the organization creating the machine-to-machine link
- 3) Creation of service accounts and generating authorization credentials (user name and password) required to connect and pass data to the web service.

Creating NDA/ISA

When first entering the Service Accounts menu, a message will be displayed if a NDA/ISA Agreement hasn't been completed. Click on the Open NDA/ISA Agreement link.



Figure 4 First page displayed when a NDA/ISA agreement has not been completed upon selecting the Service Accounts from the Left Menu

Complete the Industry System Owner and Manager/Supervisor information. Enter the valid IP filter ranges required to complete the agreement. The IP addresses entered here authenticate the machine(s) connecting to the web service. The IP addresses should be static and need to be visible to the web service for the authentication process. Entering multiple individual IP addresses is done by using a semicolon delimiter or ranges can be entered using a hyphen. The final step is to accept the terms of the agreement. Complete the checkbox associated with accepting the terms of the agreement. Anytime there is a new or updated agreement, an email will be sent to the Industry Owner and Manager/Supervisor

NDA/ISA Agreement (New)

Organization:

1. Please review the agreement.

I understand that while doing business with Food Safety Inspection service (FSIS), I may have access to FSIS systems that contain:

- a. Extremely sensitive business or acquisition-related information, strategic and planning documents, and other information relating to the United States Department of Agriculture (USDA), Food Safety and Inspection Service (FSIS) programs and initiatives;
- b. Data and information in the possession of FSIS for which FSIS's right to use and disclose any of the data and/or information is restricted, of which may be of a nature that its dissemination or use other than in the performance of this audit, would be adverse to the interests of the United States Government, the privacy of the United States citizens or other parties;
- c. Information labeled as "Limited Official Use Only," "Official Use Only," or "Sensitive Security Information," which is disclosed only for the purpose of carrying out one or more provisions of this audit;
- d. Information covered by the Privacy Act of 1974;
- e. Logon credentials for the Public Health Information System (PHIS) Web Service.

Except as specifically authorized by the FSIS Point of Contact (POC), release of such information is not authorized. I agree that this obligation shall continue both during the period of my current participation and thereafter. In the event that I release any information described above or become aware that such information has been released by someone else, I agree to promptly notify the POC. Having knowledge of information that has been released to someone else (and not reporting the incident) may also result in the termination of my participation in the acquisition. When advising the POC, I will provide the POC with the following information: (1) the business organization or other entity, or individual person, to whom the information in question was divulged, (2) the identity of the person that disclosed the information, and (3) the content of the information.

2. Complete the form.

Industry Owner

* Name:

* Phone Number:

* Email:

Manager/Supervisor

* Name:

* Phone Number:

* Email:

[Clear](#)

IP Addresses

Specify caller's IP addresses, ranges or netmasks. Client IP address validation is enforced for each incoming request. If the IP address from which the request was generated does not match the IP address registered in the security agreement, the request is denied.

* IP Addresses:

I hereby certify that:

- I will not knowingly disclose, either during my engagement or thereafter, or at any other time unless designated by a higher authority, any of the above-cited information to any person other than those who have a "need-to-know". This non-disclosure applies to all persons or firms seeking to obtain this confidential information. Any disclosures will be made on a "need-to-know" basis, and will only be made after authorization is obtained.
- I will not publish or otherwise divulge such information in whole or in part, in any manner or form, nor will I authorize or permit others to do so. Any information developed as part of this engagement, or derived from information made available through this audit, remain intellectual property of FSIS.
- I shall immediately notify FSIS of my knowledge of any unauthorized disclosure of any of the above information by either myself or any other person employed part of this engagement.

Please indicate that you have read and agree to the terms and of the Agreement, then click Accept.

I accept the terms of the Agreement.

Figure 5 NDA/ISA Agreement

- NDA/ISA acceptance
 - Must be renewed every 3 years, any edits will initiate a new agreement.
 - Reviewed by USDA/FSIS annually

Creating and Modifying Service Accounts

The service accounts are the machine level settings needed to connect to the web service. Multiple accounts can be created to provide distributed access. Click on the Create an Account link to begin the process. A window will open to complete the Account Name, Roles, and a description of the account. Once created, the service account grid will display information about the existing account and provide

an option to delete the accounts. To access the account details click Open. The detail page will allow for editing the account name, description, active status, and roles. It also displays the service account credentials that are needed to initiate contact with the web service. The username and password is generated by clicking the Generate Credentials link. If at any point new credentials are needed, they can be created by clicking the same link. Passing these credentials to the web service is necessary in order to initiate the connection.

Service Account

Organization:

General Information

Account Name:	Applicant Account	Status: ✔ Active [Deactivate]
Description:	Batch Export account	Last updated by Clarkson Applicant on 6/8/2017.
	[Edit]	

Credentials

Reset before:	9/6/2017
User Name:	21B823191A244C29B99F5EF3C85DB068
Password:	505CDBDEAECA5F51111CB960339BA69C
	[Generate Credentials] [Hide Credentials]

Roles

Available Roles: No more roles to assign

Assigned Roles: ✘ [\[Delete\]](#) Export Batch Submitter

Figure 6 Service Accounts Page

Limits on Service Account Access

There are a number of prerequisites to access the web service.

- Clients requests will be served by PHIS services only if:
 - The agreement is signed and it is “active.”
 - Client submitted valid credentials.
 - Requests originate from allowed IP ranges (verified by FSIS infrastructure. E.g., requests are coming from USA, Canada, or Mexico.)
 - Requests originate from specified IP addresses (from agreement with which service accounts are associated).
 - Service account is assigned expected roles (service-specific step).

Modifying NDA/ISA

When updates to the Industry System Owner or the Manager/Supervisor information associated with the agreement, select the Reset link and input the new data. Any changes to the original agreement, including updating valid IP filtering ranges, set in motion a new agreement and the terms must be accepted. The changes actually do not modify the existing agreement but create a new agreement. This new agreement will reset the start date and will be valid for up to three years.

When a completed NDA/ISA exists, the configuration tab will allow for viewing or editing the agreement.

The screenshot displays the 'Manage Service Accounts' configuration interface. On the left is a sidebar menu with options: '9060', '9080-3', 'Batch Processing', 'Upload Files', 'View Load Results', 'Manage Service Accounts' (highlighted), and 'View Report'. The main content area has a green header 'Manage Service Accounts' and a sub-header 'Organization:'. Below this are four tabs: 'Accounts', 'Configuration' (selected), 'Service Call Log', and 'Service Update Log'. The 'Configuration' tab contains two sections: 'IP Addresses' and 'System Owner and Manager/Supervisor information'. Each section includes a warning that changes require re-acceptance of the NDA/ISA agreement and provides 'Open Agreement' and 'Edit Agreement' links.

Figure 7 Configuration Tab to Access the NDA/ISA

Service Call Log

This tab provides important information about any attempted connections to a service account. This is helpful for verifying that the IP address for the machine connecting to the web service is valid in the NDA/ISA.

Creating a Software Application for Web Service Connections

The development of the web service had the intent to be technology agnostic. The service is SOAP-based (Simple Object Access Protocol), meaning it allows programs that run on disparate operating platforms to communicate using HTTPS protocol. It supports WS-I Basic Profile 1.1 specification and SOAP 1.1 as a messaging protocol.

The web service exposes the service description (WSDL) as an XML document conforming to the Web Service Description Language (WSDL). The WSDL defines the methods the web service makes available. It also defines how client applications interact with it.

The web service uses WS-Security 1.0 for message security. All application messages between the client

and server are signed and encrypted using an X509 certificate. For example, the web service is using *username* and *password* to authenticate a caller.

Initial connection to the web service:

1. The WSD can be retrieved from the web service.
 - For **testing purposes**, use the following service address:
<https://phisservicescert.fsis.usda.gov/ExportBatchServicesDmzITE/ExportBatchProcessingDmzService.svc>
 - For **production** implementation, use the following service address:
<https://phisservices.fsis.usda.gov/ExportBatchServicesDmz/ExportBatchProcessingDmzService.svc>
2. Right-click on your project and choose **Add Service Reference...**
3. Click **Advanced...**
4. Click **Add Web Reference...**
5. Add the URL listed above in the URL text box
6. Add a name for your reference in the **Web reference name** text box
7. Click **OK** on all the forms

The application has to complete a number of steps to finalize the connection to the web service.

1. **Prepare** input data (parameters and a batch file).
2. **Instantiate** the proxy object.
3. **Set** username and password (from a service account)
4. **Call** service methods using the proxy object.
5. **Check** returned values.
6. **Dispose** the proxy object.

Implementation for testing uses Microsoft .NET Framework 4.5 and Windows Communication Foundation (WCF) 4.5.

Once the web service connection has been established, files can be sent to PHIS or status requests on previously sent files can be requested. The request response will include a combination of milestone messages and error messages. These will help with identifying if the processing was successful, where errors were encountered, and details to any issues with the file uploaded.

Access Control to Application Records

9060-6 application access is controlled through a link between user identifiers (PHIS ID) that has been assigned to the individual applications. The access control information can be included within the XML file. If not populated, access will default to the creator of the application. The access can be for individual users or for corporate establishments. Any user associated to that corporate entity with an export applicant role will be able to see the applications. Different levels of permission can be assigned to each listed PHIS ID, Read-Write, Read-Write and Access and Read-Only. In addition, the access can be assigned through Grant or Deny settings.

PHIS ID

All industry users, establishments, and corporations in PHIS are assigned a PHIS ID. It can be located

next to the login name in the upper right corner. For corporate entities the PHIS ID is located under My Establishments – Corporate Profile, below the phone number. Establishments that are linked to a corporate entity can be seen on the same page.

There are two types of PHIS IDs – Entity PHIS IDs and User PHIS IDs

- Entity PHIS IDs include IDs for establishments and corporate entities
- User PHIS IDs are for industry users (Export Brokers and Export Applicants)

The PHIS ID will move with a person to another establishment so it will be up to the establishment administrator to manage the active user accounts and remove the work area from the role of departed employees.

Application Access Control

Access to an application will be set within the application data file or through the online interface.

PHIS_ID	Name	CompanyName	Access	Type	Edit	Delete
	Administrator, Establishment		Read-Write	Person		
			Read-Write	Entity		
	A&B, E&B		Read-Write	Person		

Figure 8 Application Access Control for Applications Online

The Access Control menu within the application allows for granting or denying access to the 9060 application. By selecting Add New Person or Add New Company a new window will open to search for users or companies.

Person Search

Person Search Criteria

PHIS ID:

First Name:

Last Name:

Select	PHIS ID	Name (First and Last)	Role	PHIS Type
<input type="checkbox"/>	U-DEST-27760	Establishment, Administrator	Establishment Administrator	Person
<input type="checkbox"/>	U-DEST-27761	Test, Test	Establishment Administrator	Person
<input type="checkbox"/>	U-CORP-27764	Ram, Corp	Corporate Administrator	Person
<input type="checkbox"/>	U-BRKR-27756	E8, A8	Export Broker	Person
<input type="checkbox"/>	U-DEST-27765	Henry, Baskerville	Export Applicant	Person

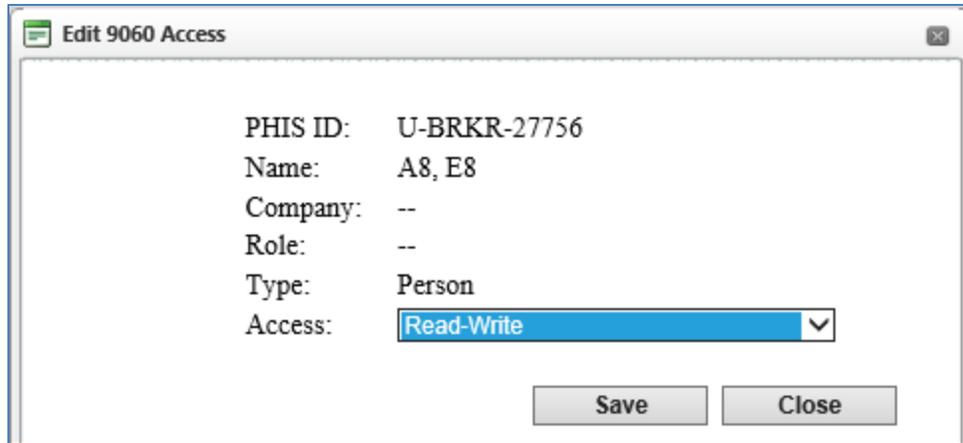
Page: 1 of 25 Go Page size: 5 Change Item 1 to 5 of 124

Figure 9 User Search for Access Control

Once an added user is selected the permission levels can be altered. The different levels of access are:

- Read
 - This setting allows the user to read the application but not make updates to it
- Read Write
 - This setting allows the user to make updates to the application
- Read Write Access
 - This setting allows the user to change the access to the application for other users by adding or removing permissions.

Be certain to review the different permission levels and set the access accordingly. If the access is not setup correctly, the application may no longer be accessible to the applicant.



The screenshot shows a window titled "Edit 9060 Access". Inside the window, the following information is displayed:

- PHIS ID: U-BRKR-27756
- Name: A8, E8
- Company: --
- Role: --
- Type: Person
- Access: Read-Write (selected in a dropdown menu)

At the bottom of the window, there are two buttons: "Save" and "Close".

Figure 10 Setting Access Control Levels

Export Brokers

A user with the role of Export Broker will create applications in the same way establishment users create the 9060 applications. Export Brokers enroll by logging into PHIS enrollment page using their eAuth Level 2. They will complete the following steps:

1. Submit an enrollment request
2. Start the enrollment wizard by clicking next
3. For the account type selects Export Broker
4. Completes the remainder of the enrollment pages
5. An email is sent to the address as recorded in eAuth Level 2
6. Enters the enrollment page
7. Selects Enter an Activation Code
8. Enters the code
9. Automatically logged into PHIS home page

Appendix A – Additional Files

Batch XSD



Batch Excel Layout



Appendix B – Common Error Messages

The following table provides a list of possible error messages to assist with identifying why a particular upload attempt failed. Some identify connection type issues and others are more for problems with the file itself.

Error Text	Triggering Event
Failed to connect to PHIS. Waiting {0} minute(s).	An application could not be saved to PHIS and there is a timeout value set in the configuration allowing for the periodic attempt to save the information
Failed to connect to PHIS after {0} minute(s). Abandoning Save operation.	A connection could not be established and the allotted time for attempting reconnection has elapsed
Failed to connect to PHIS. Waiting {0} minute(s).	A Cancel application could not be saved to PHIS and there is a timeout value set in the configuration allowing for the periodic attempt to save the information
Failed to connect to PHIS after {0} minute(s). Abandoning Cancel operation.	A connection could not be established for a Cancel application and the allotted time for attempting reconnection has elapsed
New Export Application missing I Certify statements. UID: {0}	The I Certify statement was not supplied with the application
(ELVS validation failure messages)	All ELVS validation failures are passed through without modification
The Application UID is blank/empty. To correct this error, fill out the ApplicationUID element. Consolidation applications requests cannot already exist in PHIS.	An attempt was made to submit an application without an Application UID
The Application UID {0} cannot be added to PHIS because it already exists in the database. {1} applications requests cannot already exist in PHIS.	An Application UID is already in use in the database
A Cancel application requires either an Application UID or Application Number.	A Cancel application was submitted without an Application Number and an Application UID

Error Text	Triggering Event
The Country of Destination is blank/empty. To correct this error, fill out the CountryOfFinalDestination element.	An application was submitted missing the Country of Destination
The Country of Destination length is invalid. To correct, update the CountryOfDestination element to {0} characters.	The code for the Country of Destination was not three digits
The Country of Destination, {0}, does not exist in PHIS.	The country code for the Country of Destination was not recognized as being valid
The Country of Final Destination is blank/empty. To correct this error, fill out the CountryOfFinalDestination element.	An application was submitted missing the Country of Final Destination
The Country of Final Destination length is invalid. To correct, update the CountryOfFinalDestination element to {0} characters.	The country code for the Country of Final Destination was not recognized as being valid
The Country of Final Destination, {0}, does not exist in PHIS.	The code for the Country of Final Destination was not three digits
The Export Establishment Number is blank/empty. To correct this error, fill out the ExportEstablishmentNumber element.	An application was submitted missing the Export Establishment Number
The Export Establishment Number, {0}, does not exist in PHIS.	The Export Establishment Number was not recognized as being valid
Application Number, {0}, did not have any products submitted with it.	An application was submitted with no products (does not apply to Cancel applications)
A Product ID is blank/empty. To correct this error, fill out the ProductUID element.	A product was submitted missing the Product UID
The weight of the lot for one of the products is negative. To correct this error, change the NetWeightOfLot element.	The weight of at least one product was listed as being negative

Error Text	Triggering Event
The weight of the lot for product {0} is negative. To correct this error, change the NetWeightOfLot element.	The weight of the specified product was negative
The number of packages in a lot for one of the products is negative. To correct this error, change the NumberOfPackagesInLot element.	The number of packages of at least one product was listed as being negative
The number of packages in a lot for product {0} is negative. To correct this error, change the NumberOfPackagesInLot element.	The number of packages of the specified product was negative
The ApplicationUid {0} does not exist. To correct this error, change the ApplicationUid element.	The given Application UID does not exist in the system (does not apply to New applications)
The certification statement has not been filled out. To correct this, fill out the ICertifyStatement element.	The I Certify statement is missing from the application
The application contains products that are not meat products. To correct this, edit the ICertifyStatement element.	The I Certify statement is in conflict with the product species
The application contains products that are not poultry products. To correct this, edit the ICertifyStatement element.	The I Certify statement is in conflict with the product species
The application contains products that are not meat or poultry products. To correct this, edit the ICertifyStatement element.	The I Certify statement is in conflict with the product species
The application contains products that are not Siluriformes fish. To correct this, edit the ICertifyStatement element.	The I Certify statement is in conflict with the product species
The Shipment type passed is invalid. To correct, update the ShipmentType element.	The Shipment Type fell outside of the expected enumeration range

Error Text	Triggering Event
The Application type passed is invalid. To correct, update the ApplicationAction element.	The Application Type is not recognized by the Batch Processor
The Destination Country is blank/empty. To correct, fill out the CountryOfDestination element.	The Country of Destination is missing
The Country Of Destination length is invalid. To correct, update the CountryOfDestination element to 3 characters.	The Country of Destination code is invalid
The Exporter Country Code is not a valid value. To correct this error, edit the ConsignorExporter Country element.	The Exporter's country code is invalid
The Exporter Country Code {0} does not exist. To correct this error, edit the ConsignorExporter Country element.	The Exporter's country code is not recognized
The Exporter Country Code is not a valid value. To correct this error, edit the ConsignorExporter Country element.	The Importer's country code is invalid
The Exporter Country Code {0} does not exist. To correct this error, edit the ConsignorExporter Country element.	The Importer's country code is not recognized
The HACCP Category is blank/empty. To correct, fill out the HaccpCategory element.	The HACCP Code is missing
The HACCP Category length is invalid. To correct, update the HaccpCategory element to 3 characters.	The HACCP Code is not the expected length
The attachment {0} was not provided.	An attachment appears in the application that does not appear in the ZIP file
Batch Processor: The application file was empty.	An application file is empty

Error Text	Triggering Event
Batch Processor: The application file was empty.	The ZIP file didn't contain any applications
The XML file failed validation.{0}	The given XML file contains one or more XSD violation
File larger than 5MB in the ZIP archive.	A PDF attachment exceeds the maximum allowed file size
The ZIP archive was empty.	An empty ZIP file was passed in
File larger than 5MB in the ZIP archive.	A PDF attachment exceeds the maximum allowed file size
There was no XML file in the ZIP archive.	The supplied Batch File does not have an XML file in it
Too many XML files in ZIP archive.	The ZIP file contains more than the allowed number of XML files
Unable to save milestone to the database.	An exception is thrown while trying to save a milestone

Appendix C – Batch Defined Values

The fields in this section have values that defined in either the schema or the code.

Certification Statement - <IcertifyStatement>

Options
Meat
Poultry
Meat and Poultry
Siluriformes Fish
None of the Above

HACCP Categories - <HaccpCategory>

Code	Description
03B	Raw Product – Ground
03C	Raw product – Not Ground

Code	Description
03D	Thermally Processed – Commercially Sterile
03E	Not Heat Treated – Shelf Stable
03F	Heat Treated – Shelf Stable
03G	Fully Cooked – Not Shelf Stable
03H	Heat Treated but Not Fully Cooked – Not Shelf Stable
03I	Product with Secondary Inhibitors – Not Shelf Stable

Access Control, Type - Type

Type	Associated Action
Grant	Grants the associated permission
Deny	Prevent the identified user from accessing an application

Access Control, Permission - Permission

Permission	Description
Read	Allows view only access to the application
Read Write	Allows changes to the application
Read Write Access	Allows changing access control to the application

Replacement reason - <ReasonForReplacement>

Value	Reason
1	Lost Certificate
2	Incorrect Certificate
3	Importer/Exporter Changed
4	Certificate Missing Required Information
5	Importing Country Border Closure

Package Type - <TypeOfPackagesInLot>

Code	Package Type Name
BG	Bag
MB	Bag. Multi-ply
BI	Bin (includes combos, totes)
BX	Box
BJ	Bucket
CX	Can, cylindrical
CA	Can, rectangular
CT	Canon
CS	Case
COM	Combo Bins
DR	Drum
JR	Jar
PK	Package
PL	Pail
PAL	Pallet
PO	Pouch
SW	Shrink-wrapped

Code	Package Type Name
TY	Tank, Cylindrical
TN	Tin
PU	Tray or Tray Pack
TB	Tub
TU	Tube
VP	Vacuum-packed
VA	Vat

Species - <Species>

Species		
Antelope	Emu	Rabbit
Beef	Goat	Reindeer
Bison	Goose	Rhea
Buffalo	Guinea	Quail
Catalo	Horse	Siluriformes Fish
Chicken	Lamb	Squab
Deer	Mutton	Turkey
Duck	Ostrich	Veal
Egg Products	Pheasant	Water Buffalo
Elk	Pork	

USDA Export Mark - <UsdaExportMark>

Value	Description
1	Using the USDA export mark
2	Using a unique identifier

Attachment Type - <Type>

Value	Description
Supplemental	Indicates that this attachment is required for approval
Supportive	Indicates that this attachment is not required but is useful in evaluating the application

Subtype - <Subtype>

Value	Description
Other	Indicates that this supplemental attachment is required for approval
TransitLetterhead	Indicates that this supplemental attachment is a TransitLetterhead and may require the signature of a PHV

Shipment Type - <ShipmentType>

Value	Description
1	Commercial Sale
2	Ship's Stores
3	U.S. Military Installation
4	Personal Consumption
5	Samples
6	U.S. Embassy
7	Airlines