



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

Public Health Information System

September 2023

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1. Introduction

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

1.1 Purpose

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

2. Overview of PHIS

2.1 What is PHIS?

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

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

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

2.2 Requirements

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

- Adobe Acrobat Reader

You can use either of the following Web browsers:

- Microsoft Edge
- Google Chrome

2.3 Role-based Access

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

2.4 Electronic Identification Access

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

Users with existing eAuth accounts may also create a Login.gov account. However, such users may continue to login using their eAuth User ID and Password until the transition to Login.gov is complete.

2.5 Creating an Login.gov account

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

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

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

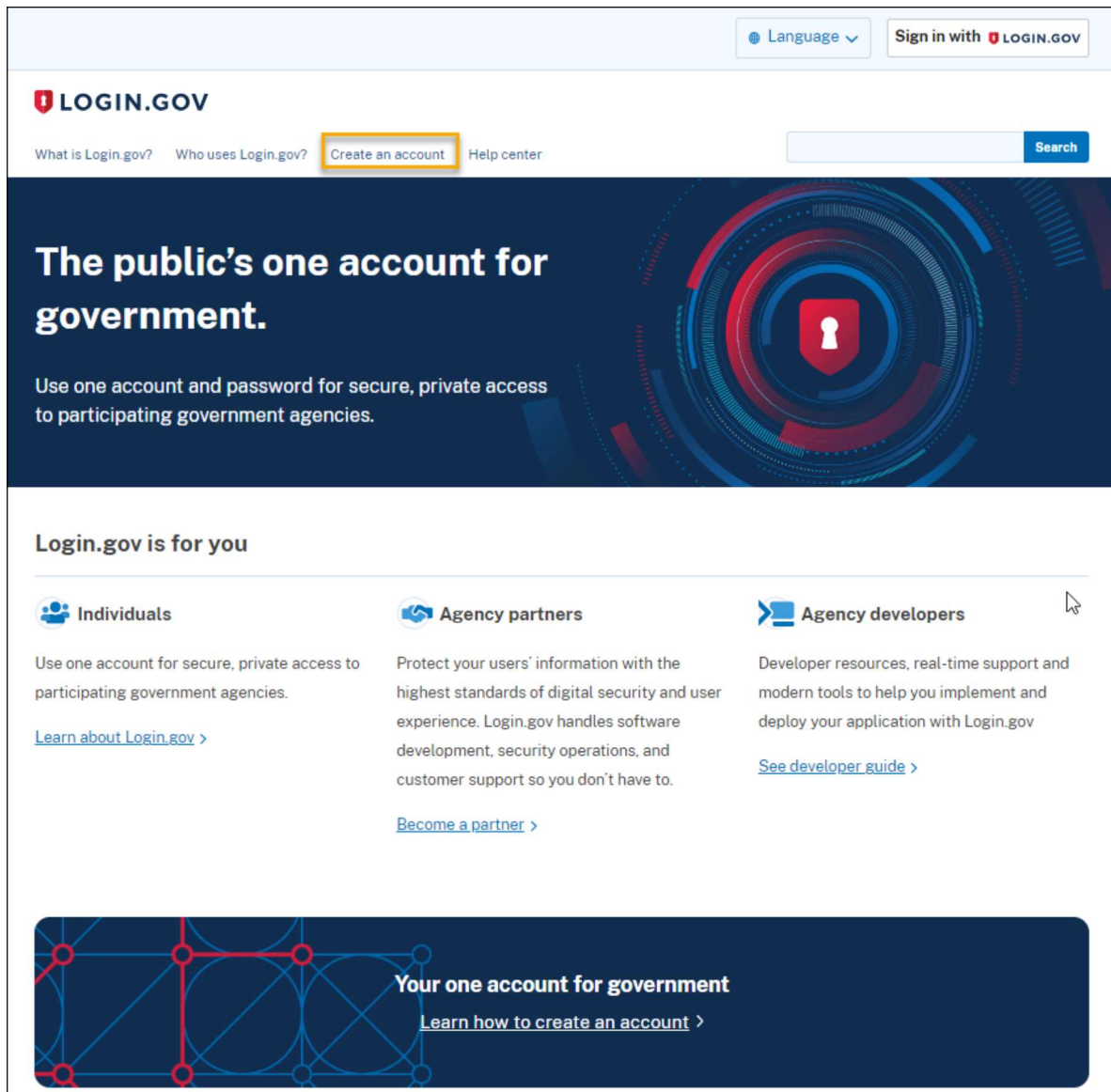


Figure 1: LOGIN.GOV

Step 2	<p>From the Login.gov page, Create an account option.</p> <p>A new window opens providing an overview of the Create an account process.</p>
--------	---

LOGIN.GOV

What is Login.gov? Who uses Login.gov? **Create an account** Help center

Create an account

Join the millions of people who trust Login.gov for safe, secure access to government agencies.

When you're ready to create your secure Login.gov account, you'll need to provide a few pieces of information:

- 1. Email address**
 - We recommend a personal email address that you'll always be able to access rather than a work email address.
 - If you already have an account with Login.gov with that email address, we'll send you an email to let you know how you can reset your password and access the account.
- 2. Secure password**
 - Passwords must be at least 12 characters and should not include commonly used words or phrases.
- 3. One or more [authentication methods](#) such as:**
 - More secure
 - Security Key
 - Authentication application
 - Federal government employee or military identification (PIV/CAC)
 - Less secure
 - SMS/Text messages
 - Backup codes

Depending on the security needs of the agency, you may need to prove your identity using a social security number, address, and/or U.S. based state-issued identification.

Your one account for government

Create an account

Figure 2: Create an account overview

Step 3	<p>From, the overview page, select Create an account.</p> <p>A new page opens requesting you to enter an email address.</p>
--------	---

Sign in

Create an account

Create an account for new users

Enter your email address

Select your email language preference

Login.gov allows you to receive your email communication in English, Spanish or French.

☒ English (default)

☐ Español

☐ Français

☐ I read and accept the Login.gov [Rules of Use](#)

Submit

[Cancel](#)

[Security Practices and Privacy Act Statement](#)

[Privacy Act Statement](#)

Figure 3: Create an account for new users

Step 4	Enter your email address, select language preference, read and accept Login.gov Rules of Use.
Step 5	Select Submit . A confirmation message is sent to the email address entered.

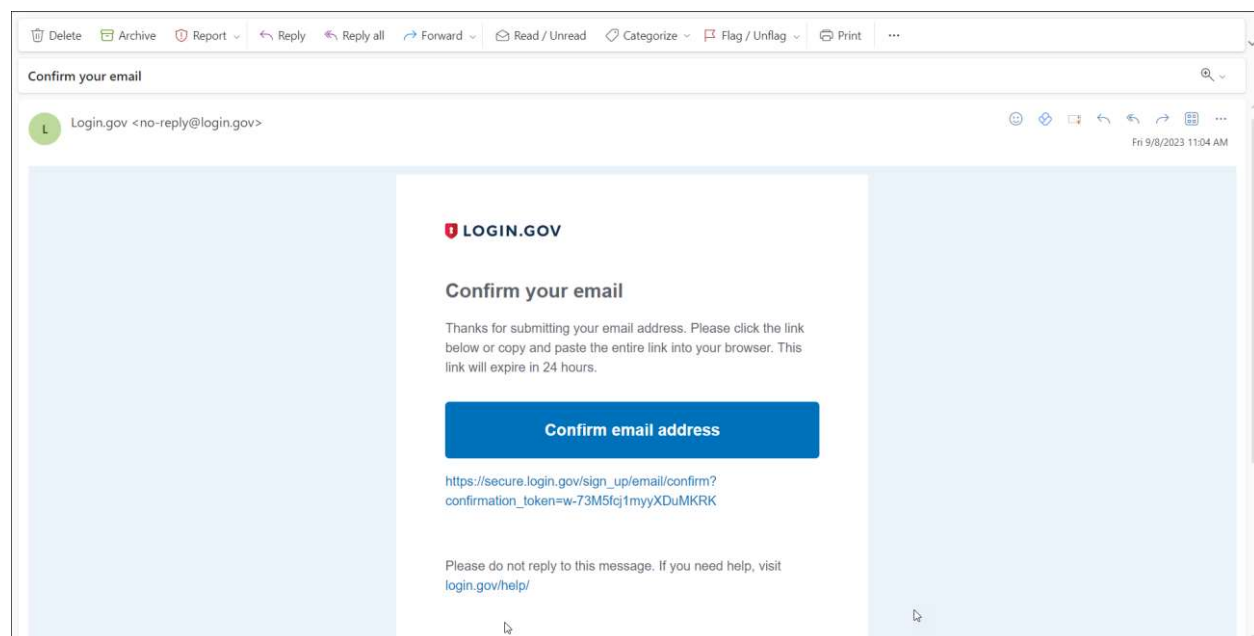


Figure 4: Confirmation email

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

LOGIN.GOV

✔ You have confirmed your email address.

Create a strong password

Your password must be **12 characters** or longer. Don't use common phrases or repeated characters, like abc or 111.

Password

Confirm password

☐ Show password

Continue

Password safety tips

+

[Cancel account creation](#)

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

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

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


2.6 Performing the Identity Verification Process

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

Step 1	Select Verify my identity at Login.gov and Continue If you have not completed the identity verification process at Login.gov you will be redirected.
Step 2	Select Continue to Login.gov
Step 3	A wizard will take you through steps the following steps. <ul style="list-style-type: none">• Verify your ID by uploading and front and back photos of your state-issued (can be completed via a mobile phone or computer).• Enter Social Security number• Verify your identification information• Verify phone or address
Step 4	Once completed, enter your password for account encryption.
Step 5	Personal key will be issued. Copy personal key to a safe place and select Continue .
Step 6	Once you have successfully verified your identity, complete the option to connect your verified information to your USDA eAuth-Cert by selecting Agree and Continue .
Step 7	Page refreshes to display Account Information verifying your Login.gov account has been linked to your USDA eAuth-Cert




eAuthentication
U.S. DEPARTMENT OF AGRICULTURE



HOME | CREATE ACCOUNT | MANAGE ACCOUNT ▾ | HELP ▾

Account Information ?

Logout

 To update your personal information, please visit [Login.gov](#).

Login Information

Email address:

Login.gov ?

Linked

To update your Login.gov account, please visit [Login.gov](#).

Verified Identity

Personal Information

Name:

FAKEY MCFAKERSON

Date of birth:

1938-10-06

Home Address / Phone Number

Street address:

1 FAKE RD

Home city:

GREAT FALLS

Home state:

Montana

Home country:

United States


Home zip/postal code:


59010

Home phone:

+1 571 224 8678

Multi-Factor Authentication (MFA) Options

 You will only be prompted to use MFA during login if required by the application.

 PIV/CAC ?

Enable

Use your non-USDA Federal PIV/CAC to login to your eAuth account.

2.7 Logging in to PHIS

To access PHIS, go to <https://phis.fsis.usda.gov>. Your browser re-directs to the eAuthentication Login page (Figure 6).

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USDA eAuthentication
U.S. DEPARTMENT OF AGRICULTURE

eAuth

HOME | CREATE ACCOUNT | MANAGE ACCOUNT | HELP

Login

Select your user type to continue

☐ Remember my user type

Customer
Public citizens conducting business with USDA Agencies

USDA Employee/Contractor
Federal employees and contractors working for USDA

Other Federal Employee/Contractor
Non-USDA federal agency employees and contractors

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:
 - 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.
 - Any communications or data transiting or stored on this information system may be disclosed or used for any lawful government purpose.
 - 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 6: Login page

Step 1	<p>Select Customer</p> <p>If your account was created after 9/11/2023, enter your Login.gov User ID and Password. (see 2.6, Step 6 to link your Login.gov account to USDA eAuth)</p> <p>If your account was created prior to 9/11/2023, you can continue to user your eAuth User ID and Password until the transition to Login.gov is complete.</p>
--------	---

Step 2	Select Log In
--------	---------------

The Login.Gov and the USDA eAuthentication system validates the User ID, Password, and that identity verification is complete before opening the PHIS application.

Below the log in is a warning for USDA eAuthentication consent. By logging into PHIS, you are agreeing to this statement.

Warning

Upon login you agree to the following information:

- You are accessing a U.S. Government information system, which includes (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only.
- Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.
- By using this information system, you understand and consent to the following:
 - 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.
 - Any communications or data transiting or stored on this information system may be disclosed or used for any lawful government purpose.
 - 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 7: USDA eAuthentication Consent

2.8 PHIS User Interface Overview

The Home page for a user with the Plant Management role is labeled in Figure 8. It incorporates many features that are standard across many USDA websites.

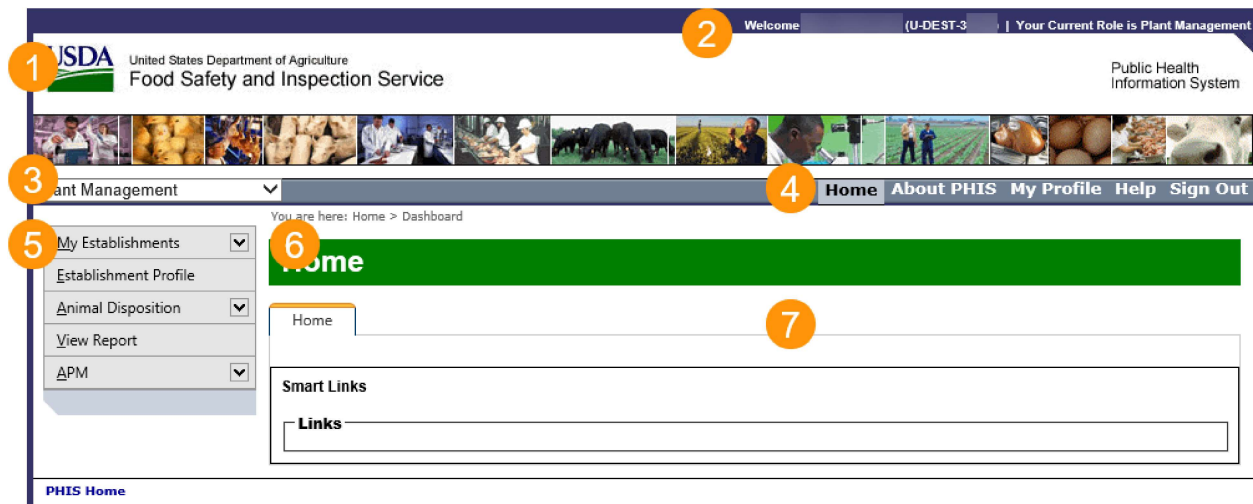


Figure 8: PHIS User Interface

Table 1: PHIS User Interface Attributes

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

2.9 Menu

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

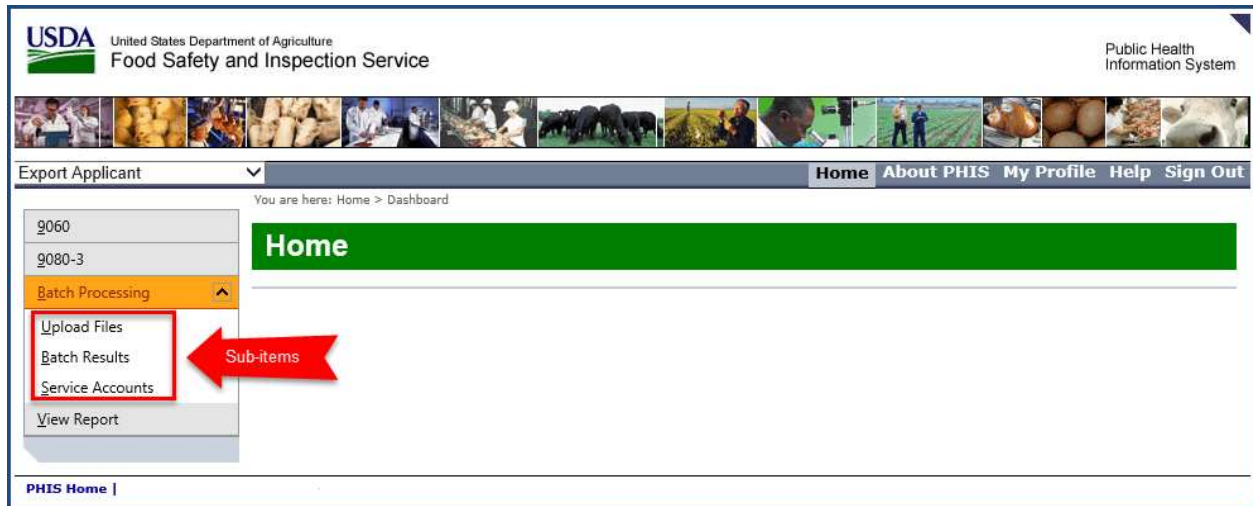


Figure 9: Menu

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 Menu.

Figure 10 provides an example of the Home Page as seen by a user with the Plant Management role.

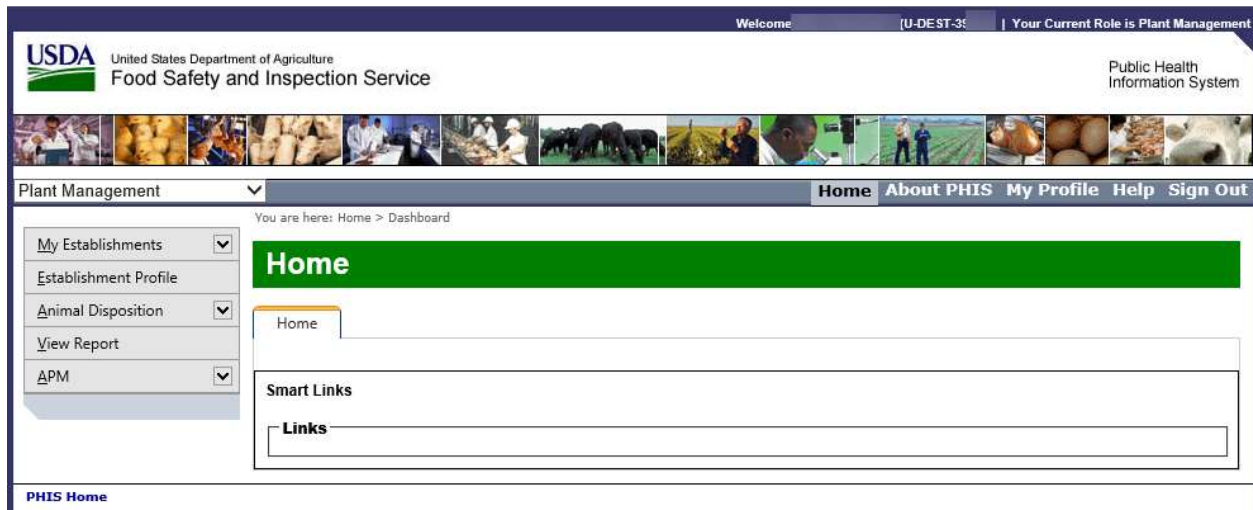


Figure 10: PHIS Home Page Example: Plant Management Role

Note: The Plant Management role does not have any tabs or tables displayed on the Home page; in these cases, all required functionality is accessed via the menu.

3. PHIS Guide for Industry Users: User Enrollment and Administration

3.1 Overview

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

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

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

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

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

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

If an account with the Establishment Administrator or Corporate Administrator role is deactivated due to inactivity, as long as the matching contact record has not been deleted from the system, PHIS automatically reactivates their user account when accessing the PHIS Enrollment page. They can then select the FSIS Dashboard link to open PHIS.

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

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

Table 2 describes each role and its associated functionality.

Table 2: Roles and Functions

Role	Functionality
Establishment Administrator	<ul style="list-style-type: none"> • Search for existing users associated with their associated establishment(s). • Update the following details for establishment users. <ul style="list-style-type: none"> ○ Salutation ○ Display Name ○ Credentials ○ Work Phone ○ Mobile Phone ○ Fax • View enrollment requests for their associated establishment(s). • Approve enrollment requests for their associated establishment(s). • Add roles to users associated with their related establishment(s). • Revoke roles from users associated with their related establishment(s). • Inactivate user accounts associated with their related establishment. <p>Note: To permanently remove access to an establishment go to section 3.1.2.5 Establishment Administrator: How to Remove a Role.</p> <ul style="list-style-type: none"> • The FSIS Inspection Program Personnel (IPP) can assign up to three Establishment Administrators when provided names and emails by the establishment. An Establishment Administrator can assign an additional 10 Establishment Administrators per establishment. • Assign up to 10 Plant Management users per establishment.

Role	Functionality
Corporate Administrator	<ul style="list-style-type: none"> • Search for users associated with their establishments. • View enrollment requests associated with their establishments. • Approve enrollment requests associated with their establishments. • Add roles to users associated with their establishments. • Revoke roles from users associated with their establishments. • Deactivate user accounts associated with their establishments. • Assign up to 10 Corporate Administrators per establishment. • Assign up to 10 Plant Management users per establishment • View reports for any associated establishment. • All functionality of the Plant Management role. • All functionality of the Export Applicant role.
Plant Management	<ul style="list-style-type: none"> • Respond to noncompliance records (NRs). • Appeal NRs. • View and respond to Memorandum of Interview (MOI) records. • View, generate, print, and save pre-defined reports. • Manage facility contacts. • Link the establishment to a corporate entity. • View Establishment Profile information. • View slaughter information. • View disposition records. • View/print Condemnation Certificates. • Manage Establishment Sorting records. • View Waivers & No Objection Letters.
Export Applicant	<ul style="list-style-type: none"> • Create and view 9060-6 Export Applications. • View PDFs associated with approved 9060-5 Export Certificates. • Upload 9060-6 Export Application files for batch processing. • View results of batch file uploads. • Create and view 9080-3 Applications. • There is no limit on the number of Export Applicant users per establishment.

Role	Functionality
Export Broker	<ul style="list-style-type: none"> • 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. <p>Note: The Export Broker role is not associated with any specific establishment.</p>

3.1.1 Establishment Administrator: User Enrollment

Establishment administrators are responsible for managing users in their establishment(s) who have the Plant Management, Export Applicant, or Establishment Administrator roles. To add the first user with the Establishment Administrator role to an establishment, FSIS IIC or CSI must add at least one contact to PHIS with the Establishment Administrator role. Information added to the list of plant contacts must **match exactly** (case sensitive) with the associated eAuthentication record (first name, last name, and email address). After a contact has been added, that individual can log into PHIS following the instructions outlined in section 3.1.1.1 *Establishment*

Administrator: How to Access PHIS for the First Time. FSIS personnel can specify up to three users as Establishment Administrators per establishment. The establishment can identify up to ten additional Establishment Administrators.

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

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

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

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

Step 1	Open a web browser and go to https://phis.fsis.usda.gov/enrollment/ .
Step 2	Open a web browser and go to https://phis.fsis.usda.gov/enrollment/ .
Step 3	Log in to PHIS with your eAuthentication user ID and password.
Step 4	If PHIS identifies one or more matching contact record(s), PHIS displays a link to Open FSIS Dashboard (Figure 11); 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 <i>Plant Management: How to Submit an Enrollment Request</i> or contact your local FSIS representative.

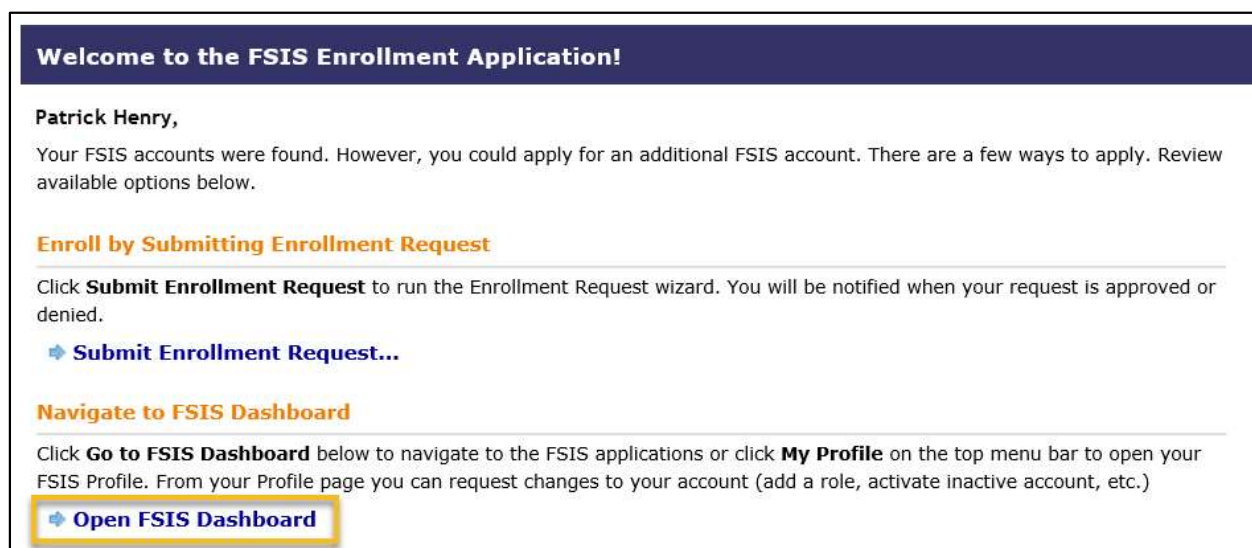


Figure 11: FSIS Enrollment Welcome page

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

3.1.2 Establishment Administrator/Corporate Administrator: User Management

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

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

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

Manage Users

Account Type:

Establishment: [Reset](#)

Account Status: ☒ Active ☐ Inactive ☐ Any

☑	User (Industry)	Roles	
☐	Applicant 1, Export applicationtestnotifications@usda.gov	Establishment Administrator Plant Management	Open
☑	Applicant 2, Export applicationtestnotifications@usda.gov	Establishment Administrator Establishment : M5678, P5678, ABC Exports, Omaha Plant Management ABC Exports, Omaha (M5678, P5678)	Open
☐	Applicant 3, Export applicationtestnotifications@usda.gov	Export Applicant Establishment Administrator Plant Management	Open

Figure 12 Manage Users: Sort by Establishment and Expand Records

3.1.2.1 Establishment Administrator: How to Manage New User Enrollment Requests

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

Step 1	Log in to PHIS with your eAuthentication user ID and password.
Step 2	From the menu, select Manage Requests .
Step 3	Select Edit next to the Enrollment request you want to review. The Request page (Figure 13) 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: <ul style="list-style-type: none"> 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.

Request Number - by

Account Information

First Name:
Middle Name:
Last Name:
Email:
Job Title: Corporate Operations Manager
Work Phone:
Request Type: New Account

User Comments

Requests from the user appear in this area.

Establishment Information

Establishment Number:
Establishment Name:
Address:

Add/Edit Roles

Add a Role...

Role	From	To	
[Primary role] Plant Management [ESTABLISHMENT] 1 work area assigned.			

Feedback

Include any feedback here before you finish responding to the request.

☐ Send Feedback to the Requestor

Approve
 Reject

Figure 13: Review Requests page

3.1.2.2 Establishment Administrator: How to Manage Change Requests from Existing Users

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

Step 1	Log in to PHIS with your eAuthentication user ID and password.
Step 2	From the menu, select Manage Requests .
Step 3	Select Edit next to the request you want to review.
Step 4	View and process the narrative request. To grant the request, go to the Manage Users page and modify the user account appropriately.
Step 5	On the User Profile page, select Run PHIS Data Feed . PHIS displays a confirmation message.
Step 6	After you are finished modifying the user account, navigate to the Manage Requests page, select the Delete icon to remove the request from the grid.

3.1.2.3 Establishment Administrator: How to Assign a Role

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

Step 1	Log in to PHIS with your eAuthentication user ID and password.
Step 2	On the Manage Users page, search for a user by typing all or part of the user's last name in the Last Name field and select Search .
Step 3	Select Edit (Figure 14).

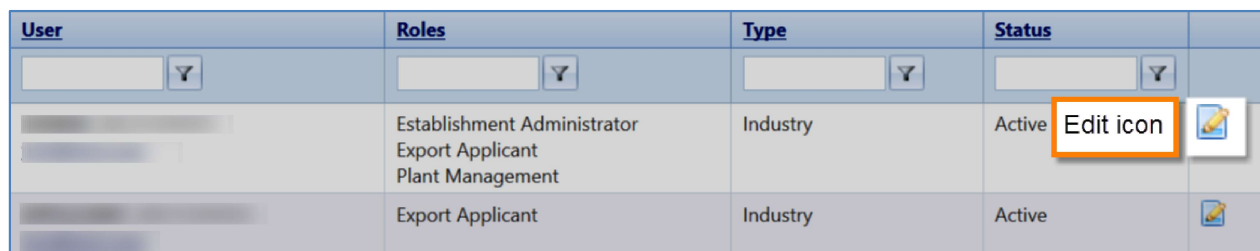


Figure 14: Edit icon

Step 4	Select the Roles tab.
Step 5	Select Add a Role (Figure 15).

My Profile

General Roles (2) Personal Information Requests (0)

[+ Add a Role...](#)

Role	From	To	
[Primary] Plant Management [ESTABLISHMENT] 1 work area assigned.			
Establishment Administrator [ESTABLISHMENT] 1 work area assigned.			

Figure 15: 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 16).

Edit Role

* Role:

Effective From:

Expires After:

Primary Role? ☐ Yes ☒ No
Effective and Expiration dates are ignored for Primary role.

[+ Add Work Areas...](#)

Work Area
No work areas were assigned.

Figure 16: Edit Role page

Step 10	Establishments for which the account can be associated appear.
Step 11	Select establishment(s).
Step 12	Select Save .
Step 13	Select Save and Go Back .

Step 14	On the User Profile page, select Run PHIS Data Feed . PHIS displays a confirmation message.
---------	---

3.1.2.4 Establishment Administrator: How to Update a User's Personal Information

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

Step 1	Log in to PHIS with your eAuthentication user ID and password.
Step 2	On the Manage Users page, search for the user by typing all or part of the user's last name in the Last Name field and select Search .
Step 3	Select Edit .
Step 4	Select the Personal Information tab.
Step 5	If desired, type the user's information in the available fields. All the fields on the Personal Information tab are optional.
Step 6	Select Update .

3.1.2.5 Establishment Administrator: How to Remove a Role

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

Step 1	Log in to PHIS with your eAuthentication user ID and password.
Step 2	On the Manage Users page, search for the user by typing all or part of the user's last name in the Last Name field and select Search .
Step 3	Select Edit .
Step 4	Select the Roles tab.
Step 5	Select Delete Role (Figure 17).



Figure 17: Delete Role icon

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

Note: If the user has work areas where the logged in Administrator isn't associated, then the role can't be deleted. The individual Work Areas will need to be deleted.

3.1.3 Corporate Administrator: User Enrollment

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

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

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

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

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

Step 1	Open a web browser and go to https://phis.fsis.usda.gov/enrollment/ .
Step 2	Log in to PHIS with your eAuthentication user ID and password.
Step 3	If PHIS identifies one or more matching contact record(s), PHIS displays a link to Open FSIS Dashboard; otherwise, if PHIS is unable to identify a contact record that is an exact match with the information associated with the eAuthentication record, the system displays the Welcome to the FSIS Enrollment Application page with a link to submit an Enrollment Request. Refer to section 3.1.4.1 <i>Plant Management: How to Submit an Enrollment Request</i> or contact your local FSIS representative.

3.1.4 Plant Management: Request User Enrollment

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

3.1.4.1 Plant Management: How to Submit an Enrollment Request

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

Step 1	Open a web browser and go to https://phis.fsis.usda.gov .
Step 2	Log in to PHIS with your eAuthentication user ID and password.
Step 3	On the Enrollment Welcome page, select Submit Enrollment Request .
Step 4	On the Step 1 page, select Next .

Figure 18: 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 .
--------	---

The FSIS Enrollment Request Wizard (Step 4 of 7)

This wizard helps you prepare and submit your enrollment request.

Select Domestic Establishment

Select or verify your establishment. You may choose from the list below by clicking the **Select** on the right side of the entry, or search by entering your establishment's information in the boxes provided and clicking **Find**.

Note that if an establishment hasn't been rolled out yet or it has inactive status in the system, it is not eligible for user enrollment and it will not be displayed here.

Name: Full or partial name.

Number: An establishment number

Find **Reset**

Establishment:

Establishment	Address	
		✓ Select

<< Previous Next >> Cancel

Figure 19: Select Domestic Establishment feature

Step 9	On the Step 5 page, complete optional user account information and select Next .
Step 10	On the Step 6 page, add optional comments and select Next .
Step 11	On the Step 7 page, verify that all the information is correct and select Finish . After you submit the request, your Establishment Administrator or Corporate Administrator must approve your request before you will be able to use PHIS.

3.1.4.2 Plant Management: How to Request Additional Roles

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

Step 1	Open a web browser and go to https://phis.fsis.usda.gov .
Step 2	Log in to PHIS with your eAuthentication user ID and password.
Step 3	Select My Profile in the PHIS Menu Bar (Figure 20).

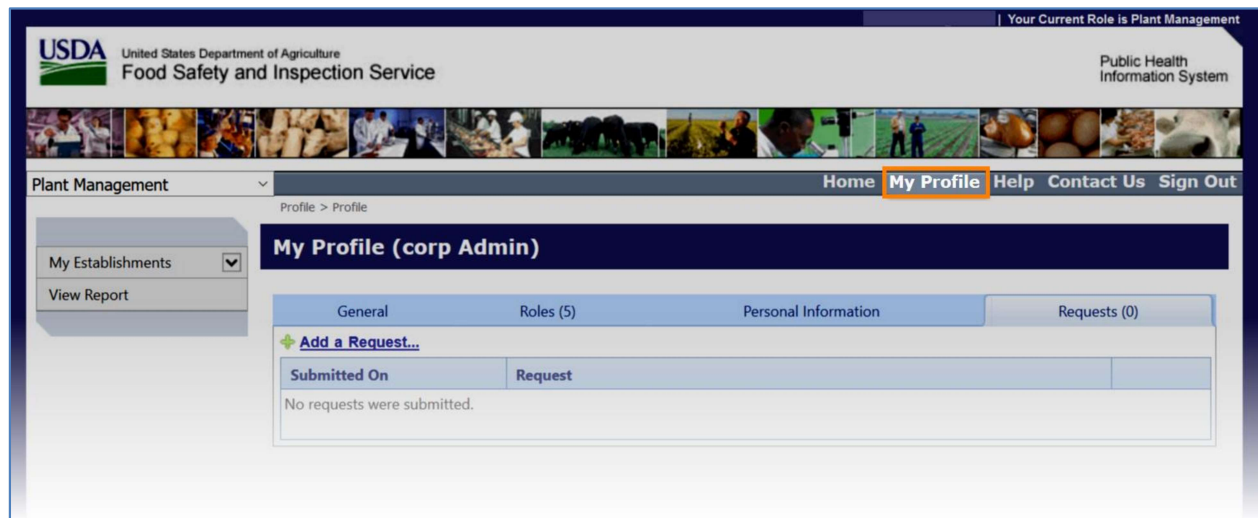


Figure 20: My Profile

Step 4	Select the Requests tab.
Step 5	Select Add a Request .
Step 6	Enter your request details in the text box.
Step 7	Select Create Request .

After creating the request, your Establishment Administrator or Corporate Administrator will need to modify your account accordingly (section 3.1.2 *Establishment Administrator/Corporate Administrator: User Management*). You can modify the request or delete it by selecting the appropriate icon on the Requests page before your Establishment Administrator or Corporate Administrator act on your request.

3.1.5 Export Applicant: Request User Enrollment

In order to use PHIS to complete 9060 and 9080-3 export applications, a user needs the Export Applicant role. There are different ways the Export Applicant role can be assigned:

- A prospective user submits an enrollment request with this role and the Establishment Administrator or Corporate Administrator approve the request (see Section 3.1.5.1)
- An existing establishment user requests the Export Applicant role, and the request is approved (see Section 3.1.4.2)

- An Establishment Administrator or Corporate Administrator adds the role to an existing account related to the Establishment (See section 3.1.2.3)

3.1.5.1 Export Applicant: How to Submit an Enrollment Request

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

Step 1	Open a web browser and go to https://phis.fsis.usda.gov .
Step 2	Log in to PHIS with your eAuthentication user ID and password.
Step 3	On the Enrollment Welcome page, select Submit Enrollment Request .
Step 4	On the Step 1 page, select Next .

Figure 21: FSIS Enrollment Request Wizard

Step 5	On the Step 2 page, in the Account Type field, select Domestic and select Next .
Step 6	On the Step 3 page, in the Role field, select Export Applicant and select Next .
Step 7	On the Step 4 page, enter filter criteria to find the establishment and select Find .
Step 8	Choose Select next to the Establishment and select Next

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

E. Applicant

Enrollment

Welcome

Account Type

Primary Role

Dom. Establishment

My Preferences

My Comments

Summary

The FSIS Enrollment Request Wizard (Step 4 of 7)

This wizard helps you prepare and submit your enrollment request.

Select Domestic Establishment

Select or verify your establishment. You may choose from the list below by clicking the **Select** on the right side of the entry, or search by entering your establishment's information in the boxes provided and clicking **Find**.

Note that if an establishment hasn't been rolled out yet or it has inactive status in the system, it is not eligible for user enrollment and it will not be displayed here.

Name:

Full or partial name.

Number:

An establishment number

Find

Reset

Establishment:

Establishment	Address	
		✓ Select

<< Previous

Next >>

Cancel

Figure 22: Select Domestic Establishment feature

Step 10	On the Step 5 page, complete optional user account information and select Next .
Step 11	On the Step 6 page, add optional comments and select Next .
Step 12	On the Step 7 page, verify that all the information is correct and select Finish

After you submit the request, your Establishment Administrator or Corporate Administrator must approve your request before you will be able to use PHIS.

3.1.5.2 Export Applicant: How to Request Additional Roles

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

Step 1	Open a web browser and go to https://phis.fsis.usda.gov .
Step 2	Log in to PHIS with your eAuthentication user ID and password.
Step 3	Select My Profile in the PHIS Menu Bar (Figure 20).

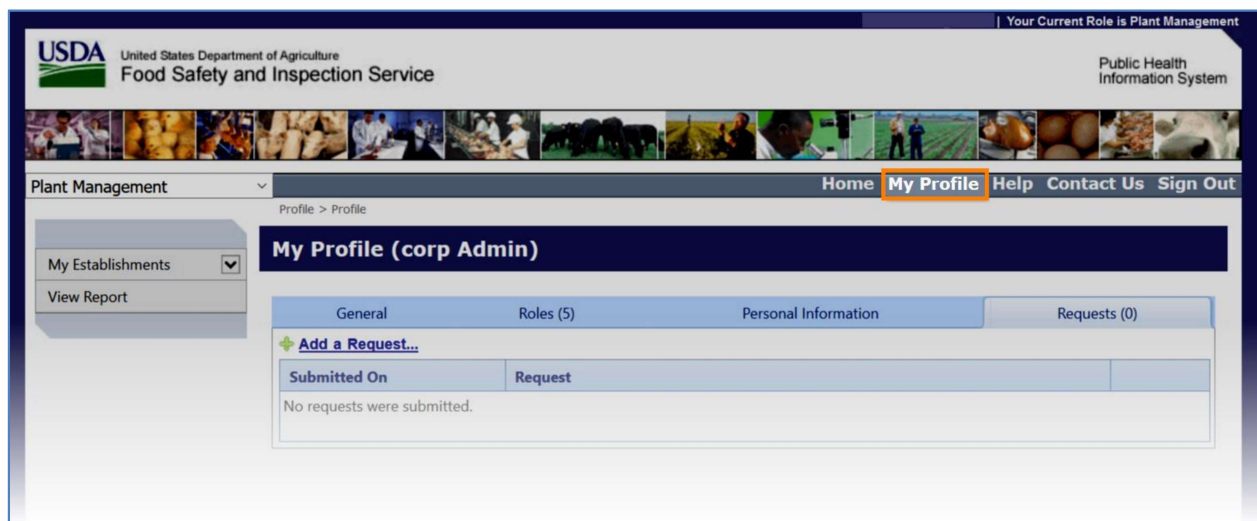


Figure 23: My Profile

Step 4	Select the Requests tab.
Step 5	Select Add Request .
Step 6	Enter your request details in the text box.
Step 7	Select Create Request .

After creating the request, your Establishment Administrator or Corporate Administrator will need to modify your account accordingly (section 3.1.2 *Establishment Administrator/Corporate Administrator*: User Management). You can modify the request or delete it by selecting the appropriate icon on the Requests page before your Establishment Administrator or Corporate Administrator acts on the request.

3.1.6 Export Broker: Request User Enrollment

Users with the Export Broker role in PHIS can create and submit 9060-6 Applications for Export Certificate for any regulated establishment in PHIS. Export brokers can manage and upload batch files to create, edit and submit 9060-6 applications. Export brokers can edit or delete applications that they personally created and any applications for which their PHIS ID record is associated with Read-Write access. Export Brokers cannot create, edit, delete, or submit 9080-3 Establishment Applications for Export.

Brokers cannot edit, delete, submit, re-submit, view data related to 9060-6 applications and certificates that they did not create by entering the data manually or uploading the associated

batch file, unless their PHIS ID is associated with an application via Access Control. The broker's defined access level is associated at the individual application level.

The Export Broker role, unlike the Export Applicant role, is not associated with any particular establishment in PHIS and therefore, the enrollment process is different, and PHIS does not limit from which establishments brokers can submit export applications.

3.1.6.1 Export Broker: How to Submit an Enrollment Request

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

Step 1	Open a web browser and go to https://phis.fsis.usda.gov .
Step 2	Log in to PHIS with your eAuthentication user ID and password.
Step 3	On the Enrollment Welcome page, select Submit Enrollment Request .
Step 4	On the FSIS Enrollment Request Wizard (Step 1) page, select Next .

The screenshot shows the 'The FSIS Enrollment Request Wizard (Step 1)' interface. On the left is a navigation menu with the following items: 'E. Broker', 'Enrollment' (highlighted), 'Welcome' (highlighted), 'Account Type', 'Primary Role', 'My Preferences', 'My Comments', and 'Summary'. The main content area has a dark blue header with the title 'The FSIS Enrollment Request Wizard (Step 1)'. Below the header, it says 'This wizard helps you prepare and submit your enrollment request.' followed by 'Welcome to the FSIS Enrollment Request Wizard' in orange. The text continues: 'The wizard helps you submit your enrollment request to an FSIS administrator. An administrator reviews each enrollment request and either approves or denies it. After the review process, you will receive an email notification.' and 'Your progress through these steps will be displayed on the left side navigation menu.' Below this, it instructs: 'Click **Next** to continue.' and 'Click **Cancel** to exit the wizard. All modifications will be canceled.' At the bottom are two buttons: 'Next >>' and 'Cancel'.

Figure 24: FSIS Enrollment Request Wizard

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

The FSIS Enrollment Request Wizard (Step 2)

This wizard helps you prepare and submit your enrollment request.

Select Your Account Type

Select your account type.

* **Account Type:** Brokers

Description: Brokers And Traders

<< Previous **Next >>** Cancel

Figure 25: Enrollment Wizard select Account Type

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

The FSIS Enrollment Request Wizard (Step 3 of 8)

This wizard helps you prepare and submit your enrollment request.

Select Your Primary Role

Select or verify your primary business area and role. You may request or be assigned additional roles after approval. A role represents a set of permissions to perform various tasks or to access to various resources.

* **Role:** Export Broker

Description: The Export Broker submits export applications on behalf of establishments or other brokers.

<< Previous **Next >>** Cancel

Figure 26: Enrollment Wizard select Role

Step 7	On the step 4 page, Disclaimer page (Figure 27), read the disclaimer and select the checkbox next to I Agree.
Step 8	Select Next .

The FSIS Enrollment Request Wizard (Step 4 of 5)

This wizard helps you prepare and submit your enrollment request.

Disclaimer

Accept Disclaimer to continue.

You are accessing a U.S. Government information system, which includes all computers connected to this network, and for all devices and storage media attached to this network. This information system is provided for U.S. Government-authorized use only and improper use of this system may result in civil and criminal penalties.

Connecting to this system means you understand and consent to monitoring, communication, intercept, search of any communication or data traversing or stored on the system.

Secondly, communication or data traversing or stored on this system may be disclosed or used for any lawful government purpose.

☐ I Agree

<< Previous **Next >>** Cancel

Figure 27: 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.
--------	--

The FSIS Enrollment Request Wizard (Step 5 of 5)

This wizard helps you prepare and submit your enrollment request.

Activate Your Account

Please enter your **Activation Code** below and push **Finish** button to complete your enrollment. If entered Activation Code is valid, system should enroll and redirect you to the PHIS applications.

An email was sent to your E-Auth email account with Activation Code. Use that Activation Code below to complete your enrollment.

* Activation Code:

<< Previous **Finish** Cancel

Figure 28: Enrollment Wizard notification and Activation Code field

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



Figure 29: Email notification with Activation Code

Step 11	Enter your Activation Code received by email into the Activation Code field and select Finish .
---------	--

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

3.1.7 Change Account

Some Corporate and Establishment industry users may have another FSIS account type. If so, a Change Account option appears From the menu to allow the user to switch back and forth from one account to another, Corporate ↔ LSAS Submitter (Figure 30). Once you select the Change Account menu option, PHIS displays the Change Session Account page (Figure 31) and you can choose from the available Account type options available.



Figure 30: Change Account

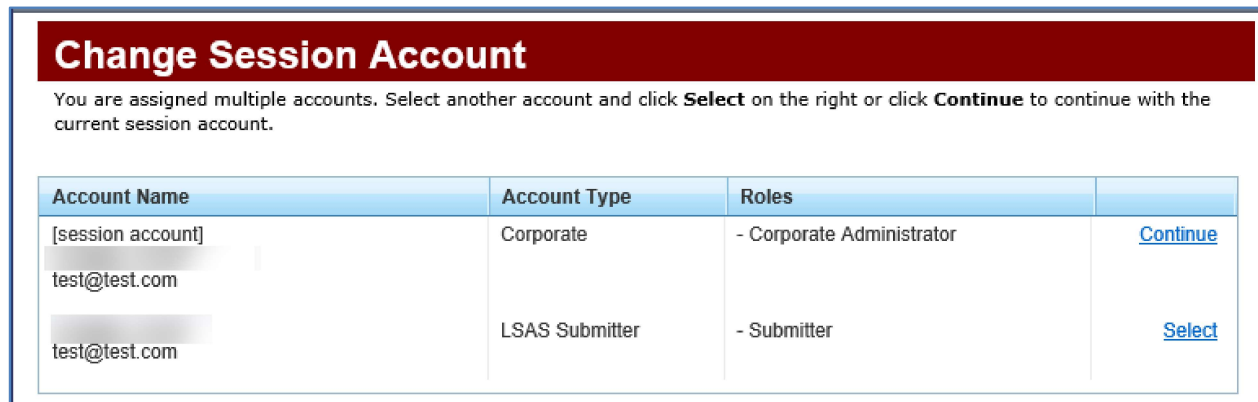


Figure 31: Change Session Account

4. PHIS Guide for Industry Users: Domestic Inspection

4.1 Overview

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

4.1.1 Plant Management Role: Domestic Inspection

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

4.1.1.1 Plant Management: How to Add Corporate Profile

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select My Establishments > Select Establishment .
Step 3	On the Domestic Inspection - Select Establishment page, select the appropriate establishment

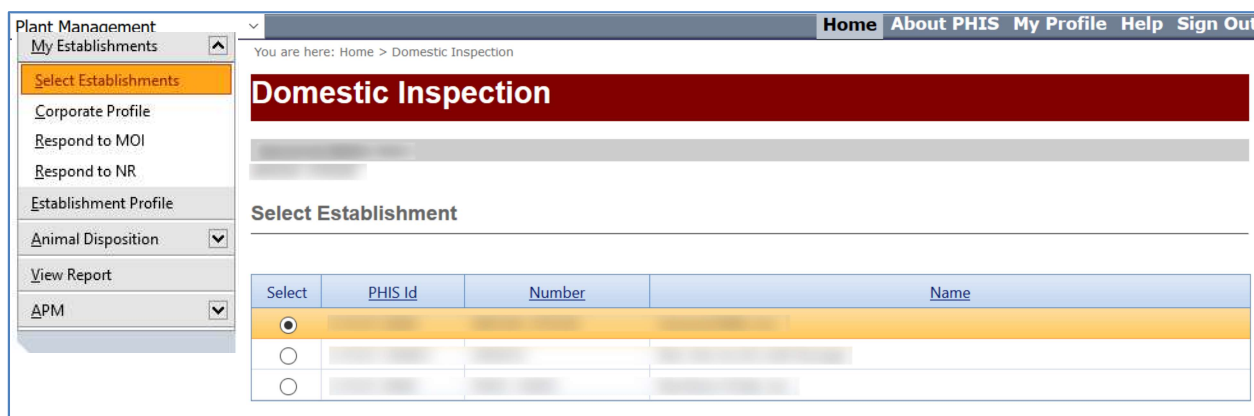


Figure 32: Domestic Inspection - Select Establishment page for Plant Management

Step 4	From the menu, select Corporate Profile .
Step 5	On the Corporate Profile page, select the Add New Corporate Profile radio button or if the profile already exists, go to Step 7.

Step 6	<p>Enter the Corporate Profile details: name, all address fields, and phone number and select Add.</p> <p>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</p>
--------	---

The screenshot shows the 'Associate Corporate Profile' page. On the left is a sidebar menu with 'My Establishments' at the top, followed by 'Select Establishments', 'Corporate Profile' (highlighted in orange), 'Respond to MOI', 'Respond to NR', 'Establishment Profile', 'Animal Disposition' (with a dropdown arrow), 'View Report', and 'APM' (with a dropdown arrow). The main content area has a red header 'Associate Corporate Profile'. Below the header, it says 'No Corporate Profile Found.' and 'Select an option to associate the Corporate Profile with the Establishment.' There are two radio buttons: 'Add New Corporate Profile' (selected) and 'Search and Associate an Existing Corporate Profile'. Below the radio buttons is a section titled 'Add new Corporate Profile to Establishment' containing form fields for 'Corporation Name*', 'Address Line1*', 'Address Line2:', 'City*', 'State/Province*' (a dropdown menu), 'Postal Code*', and 'Phone Number*' (a field with a format hint '() _ - _ ext ()'). An 'Add' button is at the bottom of this section.

Figure 33: Associate Corporate Profile page with Add Option Selected for Plant Management

Step 7	On the Corporate Profile page, select the Search and Associate Existing Corporate Profile option.
--------	---

This screenshot is similar to the previous one but shows the 'Search and Associate an Existing Corporate Profile' radio button selected and highlighted with an orange box. The 'Add new Corporate Profile to Establishment' section is still present, but the 'Add' button is replaced by a 'Search' button. The breadcrumb at the top reads 'You are here: Home > Add Edit CorporateProfile.aspx'.

Figure 34: 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.
--------	--

You are here: Home > Add Edit CorporateProfile.aspx

Associate Corporate Profile

No Corporate Profile Found.

Select an option to associate the Corporate Profile with the Establishment.

☐ Add New Corporate Profile

☒ Search and Associate an Existing Corporate Profile

Search Corporate Profile

Corporation Name:

City:

State/Province:

Postal Code:

Phone Number:

Name	PhoneNumber	City	State	ZipCode	Associate
Corporate Worldwide	9735447877	Wayne	New Jersey	07470	<input type="button" value="Associate"/>

Figure 35: Associate Corporate Profile page for Plant Management

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

Plant Management

You are here: Home > Corporate Profile

Corporate Profile

Corporation Name:

Address:

Phone:

PHIS ID:

Establishments associated to Corporate

PHIS Id	Name	Number	City	State	Delete

Figure 36: Corporate Profile page for Plant Management

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

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select My Establishments > Select Establishment .
Step 3	On the Domestic Inspection - Select Establishment page, select the appropriate establishment.
Step 4	Select Corporate Profile .
Step 5	In the Establishments Associated to Corporate section, find the establishment that needs to be removed.
Step 6	Select Delete .

Step 7	On the confirmation message, confirm the deletion.
--------	--

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

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

4.1.1.3 Plant Management: How to Respond to a Memorandum of Interview

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select My Establishments > Select Establishment .
Step 3	On the Domestic Inspection - Select Establishment page, select the appropriate establishment.
Step 4	From the menu, select Respond to MOI . The system displays the list of MOI records that have been recorded by an FSIS Inspector for your establishment on the MOI List page.

Plant Management

You are here: Home > Domestic Inspection > MOI List

MOI List

Search

MOI Number:

Inspector Name:

Type:

Date From: To:

Status:

Search

Date	Inspector	MOI Number	Type	Plant Management Response	Status	Respond to MOI	Print
11/24/2021			Establishment Meeting MOI / Weekly Meeting	No	Finalized		
11/19/2021			Establishment Meeting MOI / Weekly Meeting	No	Finalized		
11/12/2021			Establishment Meeting MOI / Weekly Meeting	No	Finalized		
11/05/2021			Establishment Meeting MOI / Weekly Meeting	No	Finalized		
10/29/2021			Establishment Meeting MOI / Weekly Meeting	No	Finalized		
10/22/2021			Establishment Meeting MOI / Weekly Meeting	No	Finalized		
10/15/2021			Establishment Meeting MOI / Weekly Meeting	No	Finalized		
10/08/2021			Establishment Meeting MOI / Weekly Meeting	No	Finalized		

Page size: 10

8 items in 1 pages

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.

Memorandum of Interview (MOI)

Status

Issues

Response

Plant Management Response

Design

HTML

Preview

Zoom

Add Attachment			
File Name	Title	Date Added	Delete
No records to display.			

Finalize ☒

Save

Submit

Cancel

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 available for the inspectors to view.
Step 8	When you are ready to submit your response to FSIS, select Submit .
Step 9	On the dialog box, confirm whether you want to submit the response for the inspectors to view. If you would like to submit the response select OK . The record is now submitted and available for the inspectors to view.

4.1.1.4 Plant Management: How to Respond to a Noncompliance Record

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select My Establishments > Select Establishment .
Step 3	On the Domestic Inspection - Select Establishment page, select the appropriate establishment.

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

The screenshot shows the 'Plant Management' interface. On the left is a sidebar menu with options: 'My Establishments', 'Select Establishments', 'Corporate Profile', 'Respond to MOI', 'Respond to NR' (highlighted), 'Establishment Profile', 'Animal Disposition', 'View Report', and 'APM'. The main content area has a 'Search' section with the following fields: 'Task name' (dropdown), 'NR Number' (text input), 'Inspector Name' (text input), 'Date From' (calendar icon, value: 10/4/2021), 'To' (calendar icon), 'NR Status' (dropdown), and 'Appeal Status' (dropdown). A 'Search' button is at the bottom right of the search section. Below the search section is a table with the following data:

NR Number	Date	Inspector Name	Under Appeal	View	Response
	11/15/2021		No		
	11/10/2021		No		
	11/4/2021		No		
	11/1/2021		No		
	11/1/2021		No		
	10/21/2021		No		

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

9/8/2023
54

Step 11	<p>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.</p> <p>PHIS returns you to the NR List page.</p>
---------	--

5. PHIS Guide for Industry Users: Establishment Profile

5.1 Overview

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

5.2 Recent Tab

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

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

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select Establishment Profile . PHIS displays the Recent tab (Figure 41). At this point, you will notice a different look and feel compared to some other sections in PHIS.
Step 3	Select Open to view a specific establishment.

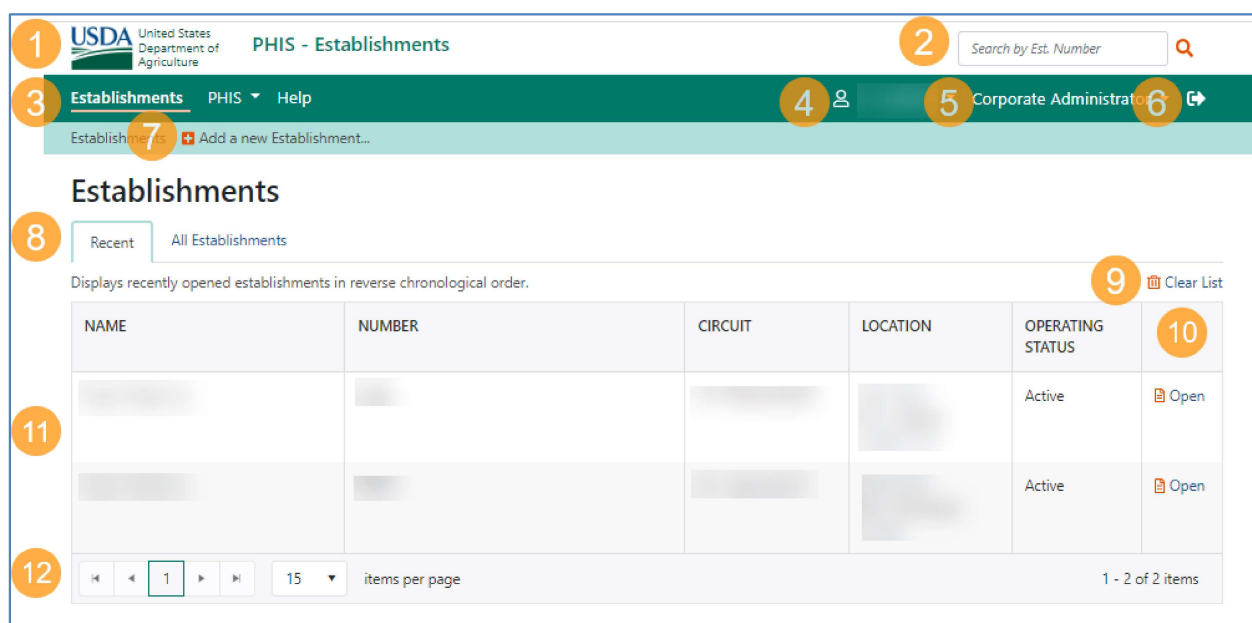


Figure 41: Overview of the Recent tab of the Establishments page

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

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

3	<p>Top menu has three options:</p> <ul style="list-style-type: none"> • Establishments for Establishment Profile options • PHIS to return to other areas in PHIS • Help for online Help
4	Username.
5	Role name.
6	Sign Out icon logs you out of PHIS.
7	Add a New Establishment link to apply online for a new establishment. See Sections 5.14-5.16.
8	The Recent tab lists the establishments you have recently viewed.
9	Clear List icon clears the list of recent establishments.
10	The Action column. Here the column contains the Open icon. The Open icon displays the Profile Summary page for the selected establishment.
11	The grid of establishments.
12	Grid navigation bar, available on all grids throughout PHIS.

5.3 All Establishments Tab

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

Step 1	Log in to PHIS with the Plant Management or Corporate Administrator role.
Step 2	From the menu, select Establishment Profile . PHIS displays the Recent tab. See Figure 61. At this point, you will notice a different look and feel compared to some other sections in PHIS.
Step 3	Select the All Establishments tab. PHIS displays the All Establishments tab.
Step 4	Select Open to view a specific establishment.

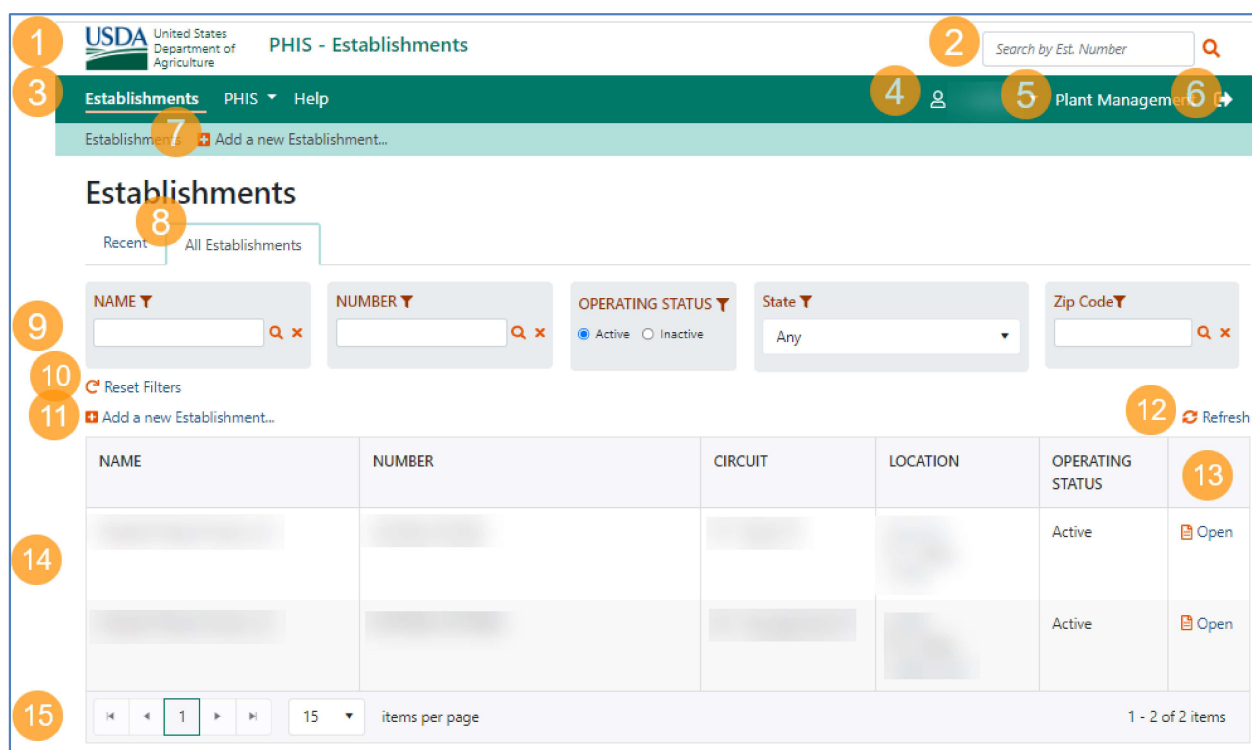


Figure 42: Overview of the All Establishments tab of the Establishments page

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

1	PHIS banner
2	Establishment Search box. You can use this box to search for any of your establishments, but you must type the entire establishment number, such as M12345.
3	Top menu has three options: <ul style="list-style-type: none"> Establishments for Establishment Profile options PHIS to return to other areas in PHIS Help for online Help

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

5.4 Profile Summary Page

Once you have selected **Open** for one of the establishments, PHIS displays the Profile Summary page. This page provides you with an overview of the establishment by using a card layout. Some of the cards on this page have links to other pages in the Establishment Profile, PHIS, or to the Internet. Some cards appear on every Profile Summary page, such as the card for FrontLine Supervisors. Other cards like the cards for Grants and Voluntary Reimbursable Services vary per establishment. Figure 43 shows the Profile Summary page for an establishment with a Meat grant and a Poultry grant (see callout 2). Figure 44 shows the top section of the Profile Summary page for an establishment with a Meat, Poultry, and Voluntary grant.

The screenshot displays the PHIS Establishment Profile Summary page. At the top, a header bar contains the text "Establishment Profile Report" and a close button. Below this, a summary bar shows key information: OPER STATUS (ACTIVE, 4/28/2014), DISTRICT/CIRCUIT (40-DALLAS, TX, 29-Nacogdoches, TX), FSIS OFFICE, FRONTLINE SUPERVISOR, LOCATION, and SHIFT 1 (M-F, 6:00 am - 2:30 pm). A navigation bar below the summary bar includes links for Summary, Grants, Facility, HACCP, Products, Schedule, Slaughter, Owner, and FSIS.

The main content area is titled "Profile Summary" and features two large cards for grants: "Meat" (GRANT Meat, STATUS Granted, INUAGURATION DATE, Last updated on 7/11/2021) and "Poultry" (GRANT Poultry, STATUS Granted, INUAGURATION DATE, Last updated on 7/11/2021). Below these are several smaller cards: "Inspection Activities" (Meat Processing, Poultry Processing), "HACCP Summary" (Fully Cooked - Not Shelf Stable, Heat Treated - Not Fully Cooked - Not Shelf Stable), "FrontLine Supervisors", "FSIS District Office", "Inspection Program Personnel", "Office of Field Operations (OFO)", "Approved 9080-3" (APPROVED --, COUNTRIES --), "Noncompliance Records" (OPEN 46, COMPLETED 647), "Food Safety Assessments" (INCOMPLETE --, COMPLETED 1), "Laboratory Sampling" (PROJECTS 2, FORMS 2), "Facility (Plant)" (Size: Small, Phone: [redacted], Physical Location: [redacted], Mailing Address: [redacted]), and "Applicant (Owner)" (Form of Organization: LLC, Name: [redacted], FEID/DUNS: [redacted], Phone: [redacted], Mailing Address: [redacted]).

At the bottom left, there is a button labeled "Exit Profile".

Numbered callouts (1-17) are placed over the image to identify specific elements: 1 points to the top header bar; 2 points to the grant cards; 3 points to the Inspection Activities card; 4 points to the HACCP Summary card; 5 points to the FrontLine Supervisors card; 6 points to the FSIS District Office card; 7 points to the Inspection Program Personnel card; 8 points to the Office of Field Operations (OFO) card; 9 points to the Approved 9080-3 card; 10 points to the Noncompliance Records card; 11 points to the Food Safety Assessments card; 12 points to the Laboratory Sampling card; 13 points to the Facility (Plant) card; 14 points to the Facility Contacts card; 15 points to the Physical Location card; 16 points to the Applicant (Owner) card; and 17 points to the Exit Profile button.

Figure 43: Establishment Profile Summary page

Table 5: Elements of the Profile Summary page

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

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

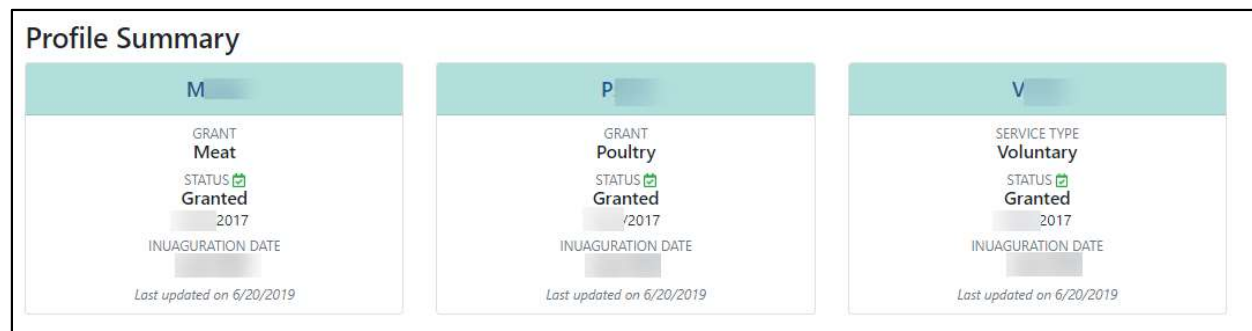


Figure 44: An example of a portion of the Profile Summary page with three grant cards

5.5 Establishment Profile Header

The Establishment Profile header is visible for the selected establishment regardless of which menu option you have selected. See Figure 45.

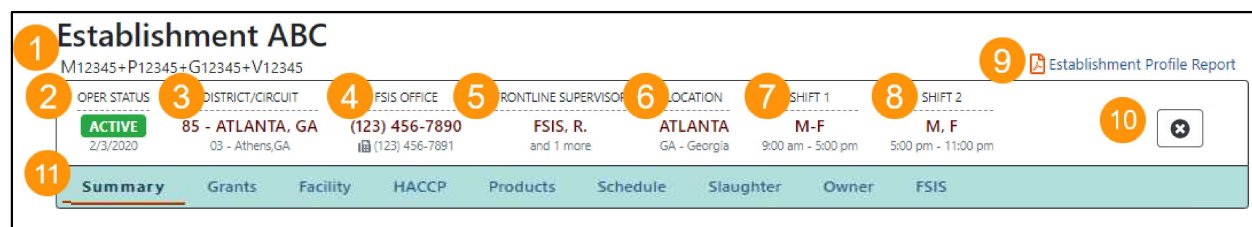


Figure 45: Header on the Profile Summary page

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

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

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

5.6 Grant/Service Records

5.6.1 How to View Grant/Service Records

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

Step 1	From the establishment profile record, select Grants . PHIS displays the Grants page with one or more of the following tabs (based on the grants of inspection or voluntary reimbursable service applicable to the selected establishment): <ul style="list-style-type: none">• Meat (Figure 46)• Poultry (Figure 47)• Egg (Figure 48)• Voluntary (Figure 49)• Import (Figure 50)
Step 2	Select the tab that corresponds to the grant you want to view.

5.6.1.1 Meat tab

Figure 46: Meat tab of the Grants and Voluntary Reimbursable Services page

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

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

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

5.6.1.2 Poultry tab

Grants and Voluntary Reimbursable Services

Me **1** Poultry Egg Voluntary

Poultry Inspection **2** Last updated by Ronald FSIS on 9/20/2021.

3 Inspection Number: P12345 **4** Grant Status: GRANTED **5** Inauguration Date: 2/1/2000

6 **Animals to be Slaughtered**

- Chicken

7 **Types of Products (HACCP Processing Categories)**

- Raw - Non Intact

8 **Exemptions**

- Custom Processing

Figure 47: Poultry tab of the Grants and Voluntary Reimbursable Services page

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

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

8	Exemptions section lists any exemptions.
---	--

5.6.1.3 Egg tab

Grants and Voluntary Reimbursable Services

Meat Poultry **Egg** Voluntary

Egg Inspection Last updated by Ronald FSIS on 9/20/2021.

Inspection Number	Grant Status	Inauguration Date
G12345	GRANTED	3/1/2000

Types of Products (HACCP Processing Categories)

- Raw - Non Intact

Figure 48: Egg tab of the Grants and Voluntary Reimbursable Services page

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

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

5.6.1.4 Voluntary tab

Grants and Voluntary Reimbursable Services

Meat Poultry Egg **Voluntary**

Voluntary Reimbursable Inspection Service Last updated by Ronald FSIS on 9/20/2021.

Inspection Number	Service Status	Inauguration Date
V12345	GRANTED	4/1/2000

Services Requested

- Voluntary Slaughter - Meat

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

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

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

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

5.6.1.5 Import tab

Grants and Voluntary Reimbursable Services

1 Import Voluntary

Import Inspection 2 Last updated on 9/27/2021.

Inspection Number	Grant Status	Inauguration Date
I	GRANTED	03/29/1988

4 Species

- Meat
- Siluriformes Fish

5 Types of Products (HACCP Processing Categories)

- Raw - Intact
- Thermally Processed/Commercially Sterile
- Not Heat Treated - Shelf Stable
- Heat Treated - Shelf Stable
- Fully Cooked - Not Shelf Stable
- Heat Treated - Not Fully Cooked - Not Shelf Stable
- Product with Secondary Inhibitors - Not Shelf Stable

6 Modes of Transportation

- Air
- Rail
- Vessel

Figure 50: Import tab on the Grants and Voluntary Reimbursable Services page

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

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

5.7 Facility Records

5.7.1 How to View Facility Records

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

Step 1	<p>From the establishment profile record, select Facility. PHIS displays the Facility page (Figure 51) with the following tabs:</p> <ul style="list-style-type: none">• Plant• Contacts (x)• Jurisdiction• Co-Located Establishments (x)• Doing Business As (x)• Waivers & Letters (x)• Other <p>Note: The x in the above tab names represent the number of records in the grid on that tab. For example, if the Doing Business As (0) tab is set to zero, you know there are no other names recorded for the selected establishment.</p>
Step 2	While on the Plant tab, review the information (Figure 51).
Step 3	Select the Contacts tab and review the information (Figure 52). For information on managing Facility contacts, see section 5.7.2.
Step 4	Select the Jurisdiction tab and review the information (Figure 53).
Step 5	Select the Co-Located Establishments (x) tab and review the information (Figure 54).
Step 6	Select the Doing Business As (x) tab and review the information (Figure 55).
Step 7	Select the Waivers and Letters tab and review the information (Figure 56) For information on viewing attachments, see sections 5.7.3 and 5.7.4.
Step 8	Select the Other tab and review the information (Figure 57).

Summary

Grants

Facility

HACCP

Products

Schedule

Slaughter

Owner

FSIS

An asterisk (*) denotes a required field.

Facility

Operating Status: **ACTIVE**

Plant

Contacts (9)

Jurisdiction

Co-Located Establishments (0)

Doing Business As (1)

Waivers & Letters (0)

Other

Plant Information

General Information

Name:

Phone:

Email: .com

District and Circuit

District: Dallas, TX

Circuit: Nacogdoches, TX

Physical Location

Address Line 1:

Address Line 2:

City: Lufkin

State: Texas

Zip Code:

Latitude:

Longitude:

Ready To Operate

Date (month/year):

Comments:

City Corporate Limits

Is the establishment Outside City Corporate Limits? No

Mailing Address

Address Line 1:

Address Line 2:

City: Lufkin

State: Texas

Zip Code:

Other Addresses (2)

ADDRESS TYPE	ADDRESS LINE 1	ADDRESS LINE 2	CITY	STATE	ZIP CODE
Venue Mailing Address				TX - Texas	
Venue Physical Location				TX - Texas	

1

5

items per page

1 - 2 of 2 items

Save Profile

Exit Profile

Figure 51: Plant tab of the Facility page

An asterisk (*) denotes a required field.

Facility

Operating Status: **ACTIVE**

[Plant](#)
[Contacts \(9\)](#)
[Jurisdiction](#)
[Co-Located Establishments \(0\)](#)
[Doing Business As \(1\)](#)
[Waivers & Letters \(0\)](#)
[Other](#)

Facility Contacts

+ Add a new Contact...

NAME	PHONE	PRIMARY EMAIL	FAX	ACTIVE	RESPONSIBILITIES	
[REDACTED]	[REDACTED]	[REDACTED]	--	--	• Other	Open Delete
[REDACTED]	[REDACTED]	[REDACTED]	--	--	• Plant Manager	Open Delete
[REDACTED] ⓘ	[REDACTED]	[REDACTED]	--	Yes	• Establishment Administrator	Open Delete
[REDACTED] ⓘ	[REDACTED]	[REDACTED]	--	Yes	• Establishment Administrator	Open Delete
[REDACTED]	[REDACTED]	[REDACTED]	--	--	• Lab Results	Open Delete

[◀](#)
[1](#)
[2](#)
[▶](#)
5 items per page
1 - 5 of 9 items

[Save Profile](#)
[Exit Profile](#)

Figure 52: Contacts tab of the Facility page

An asterisk (*) denotes a required field.

Facility

Operating Status: **ACTIVE**

[Plant](#)
[Contacts \(6\)](#)
[Jurisdiction](#)
[Co-Located Establishments \(0\)](#)
[Doing Business As \(1\)](#)
[Waivers & Letters \(0\)](#)
[Other](#)

Jurisdiction and Agencies

Jurisdiction

- FSIS Inspection

Multiple Agencies

- AMS Grading/Quality Control

[Save Profile](#)
[Exit Profile](#)

Figure 53: Jurisdiction tab of the Facility page

Facility

Operating Status: ACTIVE

Plant
Contacts (17)
Jurisdiction
Co-Located Establishments (1)
Doing Business As (4)
Waivers & Letters (3)
Other

Co-Located Establishments

Name and establishment number of other official establishments located in the same facility (If applicable).

NUMBER	NAME
P	

1
15
items per page
1 - 1 of 1 items

Exit Profile

Figure 54: Co-Located Establishments (x) tab of the Facility page

Facility

Operating Status: ACTIVE

Plant
Contacts (17)
Jurisdiction
Co-Located Establishments (1)
Doing Business As (4)
Waivers & Letters (3)
Other

Doing Business As

NAME
ABC Establishment

1
15
items per page
1 - 1 of 1 items

Exit Profile

Figure 55: Doing Business As (x) tab of the Facility page

Facility

Operating Status: ACTIVE

Plant
Contacts (10)
Jurisdiction
Co-Located Establishments (1)
Doing Business As (1)
Waivers & Letters (2)
Other

Waivers & No Objection Letters

☒ Waivers (1)
☐ Letters (1)

	LOG #	ISSUE DATE	REGULATIONS	STATUS	STATUS DATE	FILES	SUMMARY
▶	Log123	12/04/2021	Test Regulation	Active	12/04/2021	1	Summary text for Waiver record.

1
15
items per page
1 - 1 of 1 items

Figure 56: Waivers & Letters (x) tab

Facility
Operating Status: **ACTIVE**

Plant Contacts (9) Jurisdiction Co-Located Establishments (0) Doing Business As (1) Waivers & Letters (0) **Other**

Other

Plans and Privacy Act

Does the establishment have a written Recall Plan?

Yes

Does the establishment have a written Food Defense Plan?

Yes

Are SSOPs Developed?

Yes

Privacy Act Policy Provided?

Yes

Does the establishment operate seasonally?

No

Establishment Size

Inspection Area (sq. ft.):

129000

HACCP Establishment Size:

Small

Effective Date

7/11/2021 12:00:00 AM

Eligibility for Reduced Overtime/Holiday Rate

Is the establishment Eligible for a reduced overtime/holiday rate:

Yes

Effective Date:

7/10/2021

Save Profile Exit Profile

Figure 57: Other tab of the Facility page

5.7.2 How to Manage Facility Contacts

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

Facility
Operating Status: **ACTIVE**

Plant **Contacts (2)** Jurisdiction Co-Located Establishments (1) Doing Business As (3) Waivers & Letters (3) Other

Facility Contacts

Add a new Contact...

NAME	PHONE	FAX	PRIMARY EMAIL	ACTIVE	RESPONSIBILITY	
Industry, Hazel	876-876-0022	876-876-0000	h.industry@test.com	Yes	<ul style="list-style-type: none"> Export Verification Plant Manager 	Open Delete
Corporate Administrator, Plant Management						
Koe, John	876-222-0101				<ul style="list-style-type: none"> Owner (CP) Source Farm Contact 	Open

1

5 items per page 1 - 2 of 2 items

Save Profile Exit Profile

Figure 58: Contacts tab on the Facility page

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

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

5.7.2.1 Adding a Contact to the Facility Contacts grid

Step 1	From the establishment profile record, select Facility . PHIS displays the Facility page.
Step 2	Select the Contacts tab. PHIS displays the Contacts tab.
Step 3	Select Add a new Contact above the grid. PHIS displays the Add a Facility Contact window for you to enter data.
Step 4	For the Responsibility field, select one or more of the options.
Step 5	Enter the remaining required fields and any optional fields. Note: The positions of Establishment Administrator and Corporate Administrator, require an email; as well as any contact with the NR Contact option selected.
Step 6	Do one of the following: <ul style="list-style-type: none"> • Select Add. PHIS adds the record to the grid. From here, you can repeat the steps to add another contact or navigate to other tabs. • Select Add & Add More. PHIS saves the record and clears the Add a Facility Contact page for you to enter an additional contact.

5.7.2.2 Editing a Contact in the Facility Contacts grid

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

5.7.2.3 Deleting a Contact in the Facility Contacts grid

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

5.7.3 How to View Attachments Associated with Waivers

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

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

Step 1	From the establishment profile record, select Facility . PHIS displays the Facility page.
Step 2	Select the Waivers & Letters tab. PHIS displays the Waivers & Letters tab with the view set to Waivers (Figure 59).
Step 3	For the waiver records, note the number of files in the Files column. If this number is zero there are no attachments to view and the record you see in the grid is all of the available information; otherwise, go to the next step.
Step 4	If the number of files is greater than zero and you want to view the attachment(s), select the triangle icon to expand the record and then select the File Name to open the PDF (Figure 60).

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

Facility
Operating Status: **ACTIVE**

Plant Contacts (10) Jurisdiction Co-Located Establishments (1) Doing Business As (1) **Waivers & Letters (2)** Other

Waivers & No Objection Letters ☒ Waivers (1) ☐ Letters (1)

LOG #	ISSUE DATE	REGULATIONS	STATUS	STATUS DATE	FILES	SUMMARY
Log123	12/04/2021	Test Regulation	Active	12/04/2021	1	Summary text for Waiver record.

15 items per page 1 - 1 of 1 items

Figure 59: Waivers grid on Waivers & Letters tab

Facility
Operating Status: **ACTIVE**

Plant Contacts (10) Jurisdiction Co-Located Establishments (1) Doing Business As (1) **Waivers & Letters (2)** Other

Waivers & No Objection Letters ☒ Waivers (1) ☐ Letters (1)

LOG #	ISSUE DATE	REGULATIONS	STATUS	STATUS DATE	FILES	SUMMARY
Log123	12/04/2021	Test Regulation	Active	12/04/2021	1	Summary text for Waiver record.

Summary text for Waiver record.

Attachments

TITLE	FILE NAME	SIZE (KB)	UPLOAD DATE	UPLOADED BY
Title ABC	File 1	5	11/28/2021 12:57 AM	Ronald FSIS r.fsis@test.com

15 items per page 1 - 1 of 1 items

Figure 60: Expanded Waivers grid on the Waivers & Letters tab

5.7.4 How to View Attachments Associated with No Objection Letters

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

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

Step 1	From the establishment profile record, select Facility . PHIS displays the Facility page.
Step 2	Select the Waivers & Letters tab. PHIS displays the Waivers & Letters tab with the view set to Waivers.
Step 3	Select the Letters option to view the letters (Figure 61).
Step 4	For the letter records, note the number of files in the Files column. If this number is zero there are no attachments to view and the record you see in the grid is all of the available information; otherwise, go to the next step.
Step 5	If the number of files is greater than zero and you want to view the attachment(s), select the triangle icon to expand the record and then select the File Name to open the PDF (Figure 62).
Step 6	On the pop-up message, select Open . PHIS opens the PDF in a separate tab.
Step 7	Close the tab.

Facility

Operating Status: **ACTIVE**

Plant Contacts (10) Jurisdiction Co-Located Establishments (1) Doing Business As (1) **Waivers & Letters (2)** Other

Waivers & No Objection Letters ☐ Waivers (1) ☒ Letters (1)

	LOG #	ISSUE DATE	STATUS	STATUS DATE	FILES	SUMMARY
▶	LOG354	12/01/2021	Active	12/01/2021	1	Summary text for Letter record.

◀ ◁ 1 ▷ ▶ 15 items per page 1 - 1 of 1 items

Figure 61: Letters grid on Waivers & Letters tab

5.8 HACCP Plans

HACCP Plans

Summary | HACCP Plans

Summary

HACCP PROCESSING CATEGORY	NUMBER OF HACCP PLANS	AVERAGE DAILY VOLUME (LB)	GRANT	
Raw - Non Intact	1 (1 active)	50,001-250,000	P	View Plans
Raw - Intact	14 (13 active, 1 inactive)	250,001-600,000	P	View Plans
Slaughter	6 (6 active)	50,001-250,000	P	View Plans

15 items per page 1 - 3 of 3 items

[Exit Profile](#)

Figure 63: Summary tab of the HACCP Plans page

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

1	Summary tab on the HACCP Plans page
2	The Grants column shows a letter for each grant that references the selected HACCP processing category. In Figure 63, all the processing categories are referenced by the Poultry grant.
3	The Actions column with the View Plans link. The View Plans link opens the HACCP Plans tab for the selected HACCP processing category.
4	The grid of HACCP Processing Categories with the number of active and inactive HACCP plans and the average daily volume per category.
5	The Exit Profile button.

HACCP Plans

Summary | HACCP Plans

HACCP Plans

HACCP Processing Category: Raw - Non Intact

HACCP PLAN NAME	HACCP PROCESSING CATEGORIES	SIGNATURE DATE	STATUS	COMMENTS	
Hazard Analysis for raw ground for further processing	Raw - Non Intact	02/04/2013	Active	Raw-non intact	Open

15 items per page 1 - 1 of 1 items

[Exit Profile](#)

Figure 64: HACCP Plans tab on the HACCP Plans page

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

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

5.8.1 How to View HACCP Plans

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

Step 1	From the establishment profile record, select HACCP . PHIS displays the HACCP Plans page with two tabs.
Step 2	On the Summary tab, view the records.
Step 3	If you want to view specific plan records, select View Plans for the appropriate category record. PHIS displays the HACCP Plans tab with the HACCP plans for the selected HACCP processing category. (Figure 64).

5.9 Product Groups

5.9.1 Product Groups tab

Product Groups

Product Groups HACCP Volumes Recent Updates

Product Groups

HACCP PROCESSING CATEGORY: Any

FINISHED PRODUCT TYPE: Any

SPECIES: Any

FINISHED PRODUCT CATEGORY/ PRODUCT GROUP:

POST-LETHALITY EXPOSED PRODUCT? ☐ Yes ☐ No ☒ Any

Reset Filters

	HACCP PROCESSING CATEGORY	FINISHED PRODUCT CATEGORY	SPECIES	PRODUCT GROUP	AVG DAILY VOLUME (LB)	DAYS OF PROD/ MONTH	
	Raw - Intact	Raw intact chicken	Chicken	Whole Bird	50,001-250,000	13	Open
	Raw - Intact	Raw intact chicken	Chicken	Poultry Parts (legs, breasts, wings ONLY)	50,001-250,000	23	Open
	Raw - Intact	Raw intact chicken	Chicken	Poultry Parts (quarters and halves ONLY)	50,001-250,000	23	Open

1 5 items per page 1 - 3 of 3 items

Exit Profile

Figure 65: Product Groups tab of the Product Groups page

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

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

5.9.1.1 How to View Product Groups

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

Step 1	From the establishment profile record, select Products . PHIS displays the Product Groups page with three tabs: <ul style="list-style-type: none"> • Product Groups • HACCP Volumes • Recent Updates
Step 2	On the Product Groups tab, view the records.
Step 3	To see more details about a record, select Open .
Step 4	If you selected Open, PHIS displays a read-only Product Group details page.
Step 5	Select Cancel to close the page.

5.9.2 HACCP Volumes tab

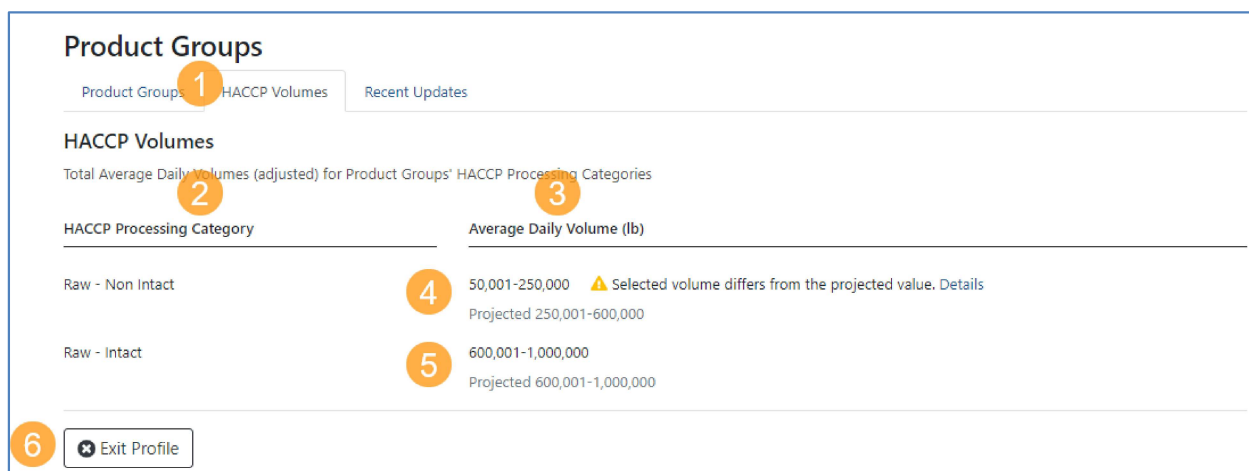


Figure 66: HACCP Volumes tab of the Product Groups page

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

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

5.9.2.1 How to View HACCP Volumes for Product Groups

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

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

5.9.3 Recent Updates tab

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

Product Groups

Product Groups HACCP Volumes **1** Recent Updates

Added or Updated Product Groups

Displays each product group in reverse chronological order by added or edited date. The oldest product group is Whole Bird, which was edited on 1/19/2022.

LAST UPDATE	HACCP PROCESSING CATEGORY	FINISHED PRODUCT CATEGORY	SPECIES	PRODUCT GROUP	AVG DAILY VOLUME (LB)	DAYS OF PROD/MONTH	2
01/19/2022	Raw - Intact	Raw intact chicken	Chicken	Poultry Parts (quarters and halves ONLY)	50,001-250,000	23	Open
01/19/2022	Raw - Intact	Raw intact chicken	Chicken	Poultry Parts (legs, breasts, wings ONLY)	50,001-250,000	23	Open
01/19/2022	Raw - Intact	Raw intact chicken	Chicken	Whole Bird	50,001-250,000	13	Open

3

1 5 items per page 1 - 3 of 3 items

4 Exit Profile

Figure 67: Recent Updates tab of the Product Groups page

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

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

5.9.3.1 How to View the Recent Updates for Products

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

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

5.10 Schedule Information

If the selected establishment is defined as Seasonal, the Operating Schedule page has four tabs. See Figure 68. The Seasonal flag is on the Other tab on the Facility page. This is the flag that determines whether the Seasonal tab appears. Otherwise, the Schedule tab has three tabs. See Figure 69.

The screenshot shows the 'Operating Schedule' page for a seasonal establishment. The top navigation bar includes tabs: Summary, Grants, Facility, HACCP, Products, **Schedule**, Slaughter, Tasks, Owner, FSIS, and Attachments. Below the navigation bar, the 'Operating Schedule' section has four sub-tabs: 'Approved Hours of Inspection' (selected), 'Break Time', 'Dark Days', and 'Seasonal'. The 'Approved Hours of Inspection' tab displays two shift cards. Each card shows 'INSPECTION DAYS: Mon-Fri', 'INSPECTION HOURS: 5:15 AM - 1:45 PM' for Shift 1 and '2:15 PM - 10:45 PM' for Shift 2, 'STATUS: Active' with a green checkmark, and 'COMMENTS: --'. A footer note for each card states 'Last updated on 8/9/2019.' At the bottom left, there is an 'Exit Profile' button.

Figure 68: Operating Schedule page for Seasonal Establishment (four tabs)

The screenshot shows the 'Operating Schedule' page for an establishment not defined as seasonal. The top navigation bar is identical to Figure 68. The 'Operating Schedule' section has three sub-tabs: 'Approved Hours of Inspection' (selected), 'Break Time', and 'Dark Days'. The 'Approved Hours of Inspection' tab displays two shift cards, identical in content to those in Figure 68, showing 'Mon-Fri' inspection days, specific hours for Shift 1 and Shift 2, 'Active' status, and no comments. The footer note for each card states 'Last updated on 8/9/2019.' At the bottom left, there is an 'Exit Profile' button.

Figure 69: Operating Schedule for Establishment not defined as Seasonal (three tabs)

5.10.1 Approved Hours of Inspection tab

Figure 70: Approved Hours of Inspection tab of the Operating Schedule page

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

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

5.10.1.1 How to View Schedule Information

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

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

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

5.11 Slaughter Information

5.11.1 Evisceration Lines tab

Summary Grants Facility HACCP Products Schedule **Slaughter** Owner FSIS

Slaughter

1 Evisceration Lines Evisceration Line Inspections

Evisceration Lines

Number of Evisceration Lines Operating Simultaneously

2 Shift 1: 1
Shift 2: 1

Physical Evisceration Lines

LINE NAME	DESCRIPTION	SHIFT 1	SHIFT 2
Line 1		1 inspections	1 inspections
Line 2		1 inspections	1 inspections

3

4 Exit Profile

Figure 71: Evisceration Lines tab on the Slaughter page

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

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

5.11.1.1 How to View Evisceration Line Information

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

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

5.11.1 Evisceration Line Inspections tab

Slaughter

Evisceration Lines
Evisceration Line Inspections

Evisceration Line Inspections

SHIFT

PHYSICAL LINE

INSPECTION TYPE

Any

Any

Any

Reset Filters

SHIFT	INSPECTION TYPE	INSPECTION NAME	CLASS	SLAUGHTER SYSTEM	INSPECTION SYSTEM	MAX EVISCERATION LINE SPEED	STAFFING	
Shift 1	Poultry	Line 1 Line 1	Chicken	Meyn-Maestro	NPIS	140	1	Open
Shift 2	Poultry	Line 1 Line 1	Chicken	Meyn-Maestro	NPIS	140	1	Open
Shift 1	Poultry	Line 2 Line 2	Chicken	Meyn-Maestro	NPIS	140	1	Open
Shift 2	Poultry	Line 2 Line 2	Chicken	Meyn-Maestro	NPIS	140	1	Open

1

5

items per page

1 - 4 of 4 items

Exit Profile

Figure 72: Evisceration Lines tab on the Slaughter page

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

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

5.11.2.1 How to View Evisceration Line Inspection Information

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

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

5.12 Facility Owner Information

5.12.1 Owner tab

The screenshot shows the 'Owner' tab selected in the top navigation bar. The page is titled 'Facility Owner' and includes a link to 'Apply for Inspection for Another Facility...'. The 'Owner' section contains a dropdown menu for 'Form of Organization' set to 'Corporation'. Below this, the 'Organization Information' section includes fields for Name, Federal Employer Identification Number (FEIN), Dun and Bradstreet Number (DUNS), Phone, and Email. The 'Organization's Mailing Address' section includes fields for Address Line 1, Address Line 2, City, State, and Zip Code. The 'Corporate Information' section includes fields for Date Incorporated, State or Territory where Incorporated, and Corporate Headquarters Name and Address. The 'Corporate Headquarters Name and Address' section includes fields for Name, Address Line 1, Address Line 2, City, State, and Zip Code. An 'Exit Profile' button is located at the bottom left.

Figure 73: Owner tab on the Facility Owner page

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

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

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

5.12.1.1 How to View Owner Information

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

5.13 FSIS Information

5.13.1 FSIS Office tab

The screenshot shows the 'FSIS Office and Personnel' page with the 'FSIS' tab selected. The page has a top navigation bar with tabs: Summary, Grants, Facility, HACCP, Products, Schedule, Slaughter, Owner, and FSIS. Below the navigation bar, the page title is 'FSIS Office and Personnel'. There are three sub-tabs: 'FSIS Office' (selected), 'Inspection Program Personnel', and 'Assignments'. The 'FSIS Office' sub-tab contains three sections: 'Inspector's Office' (labeled 2), 'FrontLine Supervisors' (labeled 3), and 'IIC Assignments & IIC Names'. The 'Inspector's Office' section shows fields for Telephone and Fax. The 'FrontLine Supervisors' section shows a list of supervisors. The 'IIC Assignments & IIC Names' section shows a list of assignments. At the bottom left, there is an 'Exit Profile' button (labeled 4).

Figure 74: FSIS Office tab on the FSIS Office and Personnel page

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

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

5.13.1.1 How to View FSIS Information

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

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

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

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

Step 1	From the top menu, select Establishments .
Step 2	Select Add an Establishment .
Step 3	On the Create Domestic Establishment Profile page, select the Create Establishment Profile option.
Step 4	On the Information tab, acknowledge that the process you want to perform is to create a new establishment. See Figure 75. If you want to apply for an inspection or service for an <i>existing</i> establishment, select Cancel and see the instructions in Sections 5.17-5.20.
Step 5	Select Next .
Step 6	On the Applicant Identifier tab, enter your Federal Employer Identification Number (FEIN). See Figure 76.
Step 7	Select Next . PHIS displays the Inspection Types tab of the Create Establishment Profile Wizard page. See Figure 77.
Step 8	For the Date of Application field, select a date.
Step 9	For the Jurisdiction field, select an option.
Step 10	For the Inspection Types field, select all of the applicable inspection types.
Step 11	If you selected one or more Federal Inspection types, PHIS displays two additional fields: <ul style="list-style-type: none">• Person Signing the Application for Federal Inspection: Name (required)• Title If you selected the Voluntary Reimbursable Service type, PHIS displays two additional fields: <ul style="list-style-type: none">• Person Signing the Application for Voluntary Reimbursable Service: Name (required)• Title
Step 12	Complete the fields and select Next . PHIS displays the Applicant Information tab of the Create Establishment Profile Wizard page.
Step 13	For the Type of Organization field, select an option. Note: If you select Corporation, additional data entry fields appear on the Application Information tab. See Figure 78. Note: If you select an option other than Corporation, the Application Information tab looks like Figure 79.

Step 14	Note: The Federal Employer ID and the DUNS # fields appear as read-only as you entered this information earlier in the process.
Step 15	For the Name field, enter the owner's name.
Step 16	For the Phone field, enter the owner's phone number.
Step 17	For the Email field, enter the owner's email, if available.
Step 18	In the Applicant's Mailing Address data entry block, enter the information.
Step 19	If you selected Corporation in Step 13, complete the additional fields; otherwise go to the next step.
Step 20	For the Convicted of a Crime field, select the appropriate option. If you select No, go to next step; if you select Yes, you will need to enter the details of the conviction(s) on the FSIS Form 5200-2. For now, go to the next step.
Step 21	Select Next . PHIS displays the Establishment Information 1 tab of the Create Establishment Profile Wizard page. See Figure 80.
Step 22	For the Actual Name of Company, enter the name.
Step 23	For the Phone field, enter the phone number
Step 24	For the Email field, enter the company's email, if available.
Step 25	For the Physical Location section, enter the information.
Step 26	For the District field, enter the district.
Step 27	For the Circuit field, enter the circuit.
Step 28	If the Mailing address is the same as the Physical Address, select the checkbox; otherwise, enter the mailing address information.
Step 29	Select Next . PHIS displays the Establishment Information 2 tab of the Create Establishment Profile Wizard page. See Figure 81.
Step 30	In the Ready to Operate field, enter a month and year, if known; otherwise go to the next step.
Step 31	For the Plans and Privacy section, answer all of the required questions.
Step 32	If there are one or more co-located establishments, add them to the Co-Located Establishments field, separated by either a space or a comma; otherwise, go to the next step.
Step 33	If there are one or more other names for the establishment, add them to the Other Names (DBAs) field, one per line.
Step 34	Select Next . PHIS displays the Summary tab of the Create Establishment Profile Wizard page. Figure 82.

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

Create Establishment Profile Wizard

Welcome to the Create Establishment Profile Wizard. The wizard helps you to pre-configure and create a new Establishment Profile. Once created, add additional data there, then submit the profile to the District Office.

If you are applying for Federal Inspection:
According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0583-0153. The time required to complete this information collection is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

If you are applying for Voluntary Reimbursable Services:
According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection (FSIS Form 5200-6) is 0583-0082. The time required to complete this information collection is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Information

Applicant Identifier

Use this process only when you are creating a new establishment record.

If you want to apply for another grant or service for an existing establishment, select **Cancel** and go to the **Grants** page for the existing establishment. From that page, select either **Apply for Federal Inspection** or **Apply for Voluntary Reimbursable Service**.

Click **Next** to apply for grants or services for a new establishment.

Next

Cancel

Figure 75: Information tab of the Create Establishment Profile Wizard page

Create Establishment Profile Wizard

Welcome to the Create Establishment Profile Wizard. The wizard helps you to pre-configure and create a new Establishment Profile. Once created, add additional data there, then submit the profile to the District Office.

Information

Applicant Identifier

Applicant Identification Numbers

Federal Employer Identification Number (FEIN) *

Dun and Bradstreet Number (DUNS)

Previous

Next

Cancel

Figure 76: Applicant Identifier tab of the Create Establishment Profile Wizard page

Create Establishment Profile Wizard

Welcome to the Create Establishment Profile Wizard. The wizard helps you to pre-configure and create a new Establishment Profile. Once created, add additional data there, then submit the profile to the District Office. You will be notified by email about the progress.

Inspection Types

Applicant Information

Establishment Information 1

Establishment Information 2

Summary

Inspection Types

Date of Application *

Jurisdiction *

Select

Inspection Types *

☐ Federal Inspection
 ☐ Meat
 ☐ Poultry
 ☐ Egg
 ☐ Import
 ☐ Equine

☐ Voluntary Reimbursable Service

Previous

Next

Cancel

Figure 77: Inspection Types tab of the Create Establishment Profile Wizard page

Create Establishment Profile Wizard

Welcome to the Create Establishment Profile Wizard. The wizard helps you to pre-configure and create a new Establishment Profile. Once created, add additional data there, then submit the profile to the District Office.

Inspection Types

Applicant Information

Establishment Information 1

Establishment Information 2

Summary

Applicant (Owner) Information

Form of Organization *
Corporation

Federal Employer ID
123123122

DUNS #

Name *

Phone *

Email

Applicant's Mailing Address

Address Line 1 *

Address Line 2

City *

State *
Select

Zip Code *

Corporate Information

Date Incorporated

State or Territory where Incorporated
Select

Name of Corporate Headquarters *

Corporate Headquarters Address

Address Line 1 *

Address Line 2

City *

State *
Select

Zip Code *

Convictions (5200-2 Box 24)

Convicted of a Crime? *

Has the person been convicted in any Federal or state court of any felony, or more than one violation of any law, other than a felony, based upon the acquiring, handling, or distributing of unwholesome, mislabeled, or deceptively packaged food or upon fraud in connection with transactions in food.

☐ Yes
☐ No

Previous

Next

Cancel

Figure 78: Applicant Information tab of the Create Establishment Profile Wizard page when the Form of Organization is Corporation

Create Establishment Profile Wizard

Welcome to the Create Establishment Profile Wizard. The wizard helps you to pre-configure and create a new Establishment Profile. Once created, add additional data there, then submit the profile to the District Office.

Inspection Types

Applicant Information

Establishment Information 1

Establishment Information 2

Summary

Applicant (Owner) Information

Form of Organization *

Select

Federal Employer ID

123123122

DUNS #

Name *

Phone *



Email



Applicant's Mailing Address

Address Line 1 *

Address Line 2

City *

State *

Select

Zip Code *

Convictions (5200-2 Box 24)

Convicted of a Crime? *

Has the person been convicted in any Federal or state court of any felony, or more than one violation of any law, other than a felony, based upon the acquiring, handling, or distributing of unwholesome, mislabeled, or deceptively packaged food or upon fraud in connection with transactions in food.

☐ Yes ☐ No

Previous

Next

Cancel

Figure 79: Applicant Information tab of the Create Establishment Profile Wizard page when the Form of Organization is not Corporation

Create Establishment Profile Wizard

Welcome to the Create Establishment Profile Wizard. The wizard helps you to pre-configure and create a new Establishment Profile. Once created, add additional data there, then submit the profile to the District Office.

Inspection Types

Applicant Information

Establishment Information 1

Establishment Information 2

Summary

Establishment Information (1/2)

General Information

Actual Name of Company *

Phone *

Email

Physical Location

Address Line 1 *

Address Line 2

City *

State *

Zip Code *

District and Circuit

District *

Circuit *

Mailing Address

☐ Same as Physical Location

Address Line 1 *

Address Line 2

City *

State *

Zip Code *

Previous

Next

Cancel

Figure 80: Establishment Information 1 tab of the Create Establishment Profile Wizard page

9/8/2023

99

Create Establishment Profile Wizard

Welcome to the Create Establishment Profile Wizard. The wizard helps you to pre-configure and create a new Establishment Profile. Once created, add additional data there, then submit the profile to the District Office.

Inspection Types

Applicant Information

Establishment Information 1

Establishment Information 2

Summary

Establishment Information (2/2)

Ready to Operate Date (month/year)

Estimated date when the establishment will be ready to operate under inspection.

Plans and Privacy Act

Does the establishment have a written Recall Plan? *

☐ Yes ☐ No

SSOPs Developed? *

☐ Yes ☐ No

Privacy Act Policy Provided? *

☐ Yes ☐ No

Co-located Establishments

Establishment number of other official establishments located in the same facility (if applicable)

Space or comma-delimited list of establishment numbers of other official establishments located in the same facility.

Other Names (DBA)

Other names - Doing Business As (if applicable)

Enter one name per line.

Previous

Next

Cancel

Figure 81: Establishment Information 2 tab of the Create Establishment Profile Wizard page

Create Establishment Profile Wizard

Welcome to the Create Establishment Profile Wizard. The wizard helps you to pre-configure and create a new Establishment Profile. Once created, add additional data there, then submit the profile to the District Office.

Inspection Types

Applicant Information

Establishment Information 1

Establishment Information 2

Summary

Review the information below. Click **Create Establishment Profile** to continue with the request. After the profile is created, add the following information before submitting to FSIS:

- Inspection Details (including inspection number) for each requested type of inspection.
- Persons Responsibly Connected with Applicant (Owner/Connected Persons).

Add other information as needed, including Contacts (Facility/Contacts). You will be added as Sample Establishment contact. Once completed, click **Submit** to submit the profile for review and approval. The system purges pending profiles (those that have not been submitted) after 30 days.

Establishment Information		Applicant (Owner) Information	
Establishment:	Sample Establishment	Name:	Owner Name
Type of Inspection:	Meat, Voluntary Reimbursable Service	Form of Organization:	Individual
Jurisdiction:	Federal Jurisdiction (including TA)	Federal Employer ID:	123123122
Ready to Operate:	02/2022	Convicted of Crime?:	No
District:	50 - Chicago, IL	Mailing Address:	123 Main Street, Anytown, IL - Illinois - 55555
Circuit:	04 - Elk Grove Village, IL		
Physical Location:	11440 SR 40, Anytown, IL - Illinois - 55555		

Previous

Create Establishment Profile

Cancel

Figure 82: Summary tab of the Create Establishment Profile Wizard page

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

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

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

Step 1	From the top menu, select Establishments .
Step 2	Select Add an Establishment .
Step 3	On the Create Domestic Establishment Profile page, select the Select Files button. PHIS displays an Open window.
Step 4	Navigate to and select the appropriate FSIS Form 5200-2 PDF file.
Step 5	Select Open .
Step 6	Select Upload and Create Establishment Profile . PHIS changes the button label to Uploading.
Step 7	After the file is uploaded, PHIS displays the Information tab.
Step 8	On the Information tab, acknowledge that the process you want to perform is to create a new establishment. See Figure 75. If you want to apply for an inspection or service for an <i>existing</i> establishment, select Cancel and see the instructions in Sections 5.17-5.20.
Step 9	Select Next .
Step 10	On the Applicant Identifier tab, the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 11	Select Next . PHIS displays the Inspection Types tab of the Create Establishment Profile Wizard page.
Step 12	On the Inspection Types tab, the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 13	Select Next . PHIS displays the Applicant Information tab of the Create Establishment Profile Wizard page.
Step 14	On the Applicant Information tab, the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 15	Select Next . PHIS displays the Establishment Information 1 tab of the Create Establishment Profile Wizard page.

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

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

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

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

Step 1	From the top menu, select Establishments .
Step 2	Select Add an Establishment .
Step 3	On the Create Domestic Establishment Profile page, select the Select Files button. PHIS displays an Open window.
Step 4	Navigate to and select the appropriate FSIS Form 5200-6 PDF file.
Step 5	Select Open .
Step 6	Select Upload and Create Establishment Profile . PHIS changes the button label to Uploading.
Step 7	After the file is uploaded, PHIS displays the Information tab.
Step 8	On the Information tab, acknowledge that the process you want to perform is to create a new establishment. See Figure 75. If you want to apply for an inspection or service for an <i>existing</i> establishment, select Cancel and see the instructions in Sections 5.17-5.20.
Step 9	Select Next .
Step 10	On the Applicant Identifier tab, complete the Federal Employer Identification Number (FEIN) field.
Step 11	Select Next . PHIS displays the Inspection Types tab of the Create Establishment Profile Wizard page.
Step 12	On the Inspection Types tab, some of the required information should be pre-populated if it was included in the application. If not, complete the required fields.
Step 13	In the Jurisdiction field, select an option.
Step 14	Select Next . PHIS displays the Applicant Information tab of the Create Establishment Profile Wizard page.
Step 15	On the Applicant Information tab, some or all of the required information should be pre-populated if it was included in the application. If not, complete the required fields.

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

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

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

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

Step 1	From the Establishment Profile record, select Grants .
Step 2	Select Apply for Federal Inspection .
Step 3	On the Apply for Federal Inspection Step 1 tab, select the appropriate Inspection Type(s) and the Skip the 5200-2 FSIS Form option. See Figure 83.
Step 4	Select Next .
Step 5	On the Apply for Federal Inspection Step 2 tab, for the Date of Application field, enter a date. See Figure 84.
Step 6	For the Name field in the Person Signing the Application for Federal Inspection section, enter the name.
Step 7	For the Title, field, enter the title.
Step 8	Select Apply for Inspection .
Step 9	PHIS displays the Grants and Reimbursable Services page with the new tab(s).
Step 10	Select Exit Profile .

Apply for Federal Inspection Step 1 Apply for Federal Inspection Step 2

Apply for Federal Inspection (1/2)

Select inspection types to apply for, attach the Application for Federal Inspection 5200-2 FSIS Form (optionally), then click Next to continue.

Inspection Types *

☐ Poultry ☐ Egg

Application for Inspection 5200-2 FSIS Form *

☒ Skip 5200-2 FSIS Form
Select this option if the 5200-2 was already attached to the profile or it will be attached later.

☐ Attach 5200-2 FSIS Form

Next Cancel

Figure 83: Apply for Federal Inspection Step 1 tab

Apply for Federal Inspection
Step 1

Apply for Federal Inspection
Step 2

Apply for Federal Inspection (2/2)

Review and complete the request for inspection, then click **Apply**. The system redirects you to the requested inspection sections to complete the request. Newly requested inspection types will be available for FSIS review after all required details are provided.

Inspection Types *

☒ Poultry ☐ Egg

Application for Inspection 5200-2 FSIS Form

Not attached

Date of Application *

Person Signing Application for Federal Inspection

Name *

Title

Previous

Apply For Inspection

Cancel

Figure 84: Apply for Federal Inspection Step 2 tab

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

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

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

Step 1	From the Establishment Profile record, select Grants .
Step 2	Select Apply for Federal Inspection .
Step 3	On the Apply for Federal Inspection Step 1 tab, select the appropriate Inspection Type(s) and the Attach the 5200-2 FSIS Form option. See Figure 85.
Step 4	Select the Select Files option.
Step 5	On the Open window, navigate to the file you saved and select Open .
Step 6	Select Next .
Step 7	On the Apply for Federal Inspection Step 2 tab, for the Date of Application field, enter a date. See Figure 86.
Step 8	For the Name field in the Person Signing the Application for Federal Inspection section, enter the name.
Step 9	For the Title, field, enter the title.
Step 10	Select Apply for Inspection .
Step 11	After PHIS has processed the PDF, PHIS displays the Grants and Reimbursable Services page with the new tab(s).
Step 12	PHIS displays the Grants and Reimbursable Services page with the new tab(s).
Step 13	Select Exit Profile .

Apply for Federal Inspection Step 1

Apply for Federal Inspection (1/2)

Select inspection types to apply for, attach the Application for Federal Inspection 5200-2 FSIS Form (optionally), then click Next to continue.

Inspection Types *

☒ Meat ☐ Egg

Application for Inspection 5200-2 FSIS Form *

☐ Skip 5200-2 FSIS Form
Select this option if the 5200-2 was already attached to the profile or it will be attached later.

☒ Attach 5200-2 FSIS Form
Select this option to attach the 5200-2 FSIS Form to the profile. A new record for the request will be created in the Establishment Profile automatically.

Select 5200-2 FSIS Form PDF File

Select Files...

Upload only PDF files. Maximum allowed file size is 15MB.

Next Cancel

Figure 85: Apply for Federal Inspection Step 1 tab with the Attach 5200-2 FSIS Form Selected

Apply for Federal Inspection Step 2

Apply for Federal Inspection (2/2)

Review and complete the request for inspection, then click **Apply**. The system redirects you to the requested inspection sections to complete the request. Newly requested inspection types will be available for FSIS review after all required details are provided.

Inspection Types *

☒ Meat ☐ Egg

Application for Inspection 5200-2 FSIS Form

5200-2 -testsample1 for attached (PDF, 1967 KB)

Date of Application *

Person Signing Application for Federal Inspection

Name *

Title

Previous Apply For Inspection Cancel

Figure 86: Apply for Federal Inspection Step 2 tab with the Attach 5200-2 FSIS Form Attached

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

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

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

Step 1	From the Establishment Profile record, select Grants .
Step 2	Select Apply for Voluntary Reimbursable Services .
Step 3	On the Apply for Federal Inspection Step 1 tab, select the Skip the 5200-6 FSIS Form option. See Figure 87.
Step 4	Select Next .
Step 5	On the Apply for Federal Inspection Step 2 tab, for the Date of Application field, enter a date. See Figure 88.
Step 6	For the Name field in the Person Signing the Application for Federal Inspection section, enter the name.
Step 7	For the Title, field, enter the title.
Step 8	Select Apply for Inspection .
Step 9	PHIS displays the Grants and Reimbursable Services page with the new Voluntary tab.
Step 10	Select Exit Profile .

Apply for Federal Inspection Step 1

Apply for Federal Inspection Step 2

Apply for Federal Inspection (1/2)

Select inspection types to apply for, attach the Application for Voluntary Reimbursable Service 5200-6 FSIS Form (optionally), then click Next to continue.

Inspection Types *

☒ Voluntary Reimbursable Service

Application for Inspection 5200-6 FSIS Form *

☒ Skip 5200-6 FSIS Form
Select this option if the 5200-6 was already attached to the profile or it will be attached later.

☐ Attach 5200-6 FSIS Form

Next Cancel

Figure 87: Apply for Federal Inspection Step 1 tab for a Voluntary Reimbursable Service record

Apply for Federal Inspection
Step 1

Apply for Federal Inspection
Step 2

Apply for Federal Inspection (2/2)

Review and complete the request for inspection, then click **Apply**. The system redirects you to the requested inspection sections to complete the request. Newly requested inspection types will be available for FSIS review after all required details are provided.

Inspection Types *

☒ Voluntary Reimbursable Service

Application for Inspection 5200-6 FSIS Form

Not attached

Date of Application *

Person Signing Application for Voluntary Reimbursable Service

Name *

Title

Previous

Apply For Inspection

Cancel

Figure 88: Apply for Federal Inspection Step 2 tab for a Voluntary Reimbursable Service record

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

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

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

Step 1	From the Establishment Profile record, select Grants .
Step 2	Select Apply for Federal Inspection .
Step 3	On the Apply for Federal Inspection Step 1 tab, select the appropriate Inspection Type(s) and the Attach the 5200-6 FSIS Form option. See Figure 89.
Step 4	Select the Select Files option.
Step 5	On the Open window, navigate to the file you saved and select Open .
Step 6	Select Next .
Step 7	On the Apply for Federal Inspection Step 2 tab, for the Date of Application field, enter a date. See Figure 90.
Step 8	For the Name field in the Person Signing the Application for Federal Inspection section, enter the name.
Step 9	For the Title, field, enter the title.
Step 10	Select Apply for Inspection .
Step 11	After PHIS has processed the PDF, PHIS displays the Grants and Reimbursable Services page with the new tab(s).
Step 12	On each new tab, complete the sections you have information for and select Save Profile . PHIS displays a confirmation message.
Step 13	If you want to validate that the PDF file is saved to the establishment record, follow the remaining steps; otherwise, select Exit Profile .
Step 14	With the establishment profile record still open, select Attachments .
Step 15	On the Attachments page, select the Applications for Inspections tab. Note the most recent record in the grid is the 5200-6 PDF you just used.
Step 16	Select Exit Profile .

Apply for Federal Inspection Step 1

Apply for Federal Inspection (1/2)

Select inspection types to apply for, attach the Application for Voluntary Reimbursable Service 5200-6 FSIS Form (optionally), then click Next to continue.

Inspection Types *

☒ Voluntary Reimbursable Service

Application for Inspection 5200-6 FSIS Form *

☐ Skip 5200-6 FSIS Form
Select this option if the 5200-6 was already attached to the profile or it will be attached later.

☒ Attach 5200-6 FSIS Form
Select this option to attach the 5200-6 FSIS Form to the profile. A new record for the request will be created in the Establishment Profile automatically.

Select 5200-6 FSIS Form PDF File

Select Files...

Upload only PDF files. Maximum allowed file size is 15MB.

Next Cancel

Figure 89: Apply for Federal Inspection Step 1 tab with the Attach 5200-6 FSIS Form option Selected

Apply for Federal Inspection Step 2

Apply for Federal Inspection (2/2)

Review and complete the request for inspection, then click **Apply**. The system redirects you to the requested inspection sections to complete the request. Newly requested inspection types will be available for FSIS review after all required details are provided.

Inspection Types *

☒ Voluntary Reimbursable Service

Application for Inspection 5200-6 FSIS Form

5200-6 - (PDF, 311 KB)

Date of Application *

Person Signing Application for Voluntary Reimbursable Service

Name *

Title

Previous Apply For Inspection Cancel

Figure 90: Apply for Federal Inspection Step 2 tab with the 5200-6 FSIS Form Attached

6. PHIS Guide for Industry Users: Animal Disposition

6.1 Overview

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

6.1.1 Plant Management: How to View Slaughter and Disposition Records

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

Step 1	Log in to PHIS with the Plant Management role or the Corporate Administrator role.
Step 2	From the menu, select Animal Disposition > Establishment Reporting .
Step 3	On the Establishment Reporting page, select an establishment from the drop-down field.
Step 4	Select a date.
Step 5	If applicable, select a shift. PHIS displays the Establishment Reporting page with one or more of the following tabs: Meat, Poultry, Ratite, and All (Figure 91).
Step 6	Expand any of the slaughter rows to view disposition records by selecting the triangle to the left of the row.

Establishment Reporting

Establishment:

Date:

11/13/2019

Meat

Poultry

Ratite

All

Meat

Shift 1

Shift 2

	Sub-Class	Type	Head Count	Live Weight (lbs)	Dressed Weight (lbs)	Weight Not Reported	
▶	Heifer	Inspected	703	892676	561736		
▶	Steer	Inspected	792	1052634	662647		

Top

Establishment Sorting Records

Add Sorting Record
 Refresh

Shift	Total Number of Hogs Sorted and Removed Before FSIS Ante-Mortem Inspection	Total Number of Carcasses Sorted and Removed Before FSIS Post-Mortem Inspection	Created By	Edited By	Reviewed By			
No sorting records to display.								

Top

Figure 91: Establishment Reporting page with Meat Slaughter and Establishment Sorting Record grids for Plant Management

Note that in Figure 91 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 92, no disposition records are displayed after the first row is expanded and two disposition records are displayed after the second slaughter record is expanded.

Establishment Reporting

Establishment:

Date:

11/13/2019

Meat

Poultry

Ratite

All

Meat

Shift 1

Shift 2

	Sub-Class	Type	Head Count	Live Weight (lbs)	Dressed Weight (lbs)	Weight Not Reported	
▼	Heifer	Inspected	703	892676	561736		
	Tag Number	Tag Type	Animal ID	Condition	Disposition	KIS	Narrative
	No disposition records to display.						
▼	Steer	Inspected	792	1052634	662647		
	Tag Number	Tag Type	Animal ID	Condition	Disposition	KIS	Narrative
	MPD	U.S. Retained	lot 29 #12...	Gen. Miscellaneous	Post-mortem Condemned	(-)	
	MPD	U.S. Retained	lot 25 #11...	Abscess/Pyemia	Passed without Restriction	(-)	

Top

Establishment Sorting Records

Add Sorting Record
Refresh

Shift	Total Number of Hogs Sorted and Removed Before FSIS Ante-Mortem Inspection	Total Number of Carcasses Sorted and Removed Before FSIS Post-Mortem Inspection	Created By	Edited By	Reviewed By			
No sorting records to display.								

Top

Figure 92: Establishment Reporting page with Expanded Meat Slaughter grid for Plant Management

6.1.2 Plant Management: How to Generate Condemnation Certificates

Step 1	Log in to PHIS with the Plant Management role or the Corporate Administrator role.
Step 2	From the menu, select Animal Disposition > Establishment Reporting .
Step 3	On the Establishment Reporting page, select an establishment from the drop-down field.
Step 4	Select a date.
Step 5	If applicable, select a shift. PHIS displays the Establishment Reporting page with one or more of the following tabs: Meat, Poultry, Ratite, and All.
Step 6	On the Meat or Ratite tab, select Print for the appropriate slaughter record.
Step 7	On the Condemnation Report Parameter Section pop-up, do one of the following: <ul style="list-style-type: none">• To generate individual reports for all the selected records, accept the default checkboxes and select View/Print Individual Report.• To generate one consolidated report for all the selected records, accept the default checkboxes and select View/Print Consolidated Report.• To generate individual reports for some but not all of the selected records, remove one or more checkboxes and select View/Print Individual Report.• To generate one consolidated report for some but not all of the selected records, remove one or more checkboxes and select View/Print Consolidated Report.
Step 8	PHIS opens the report on a separate tab. View and/or print report
Step 9	Close the tab
Step 10	On the Condemnation Report Parameter Selection pop-up, select Cancel . PHIS displays the Establishment Reporting page

6.1.3 Plant Management: How to Add an Establishment Sorting Record

These instructions assume that

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

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

Step 1	Log in to PHIS with the Plant Management role or the Corporate Administrator role.
Step 2	From the menu, select Animal Disposition > Establishment Reporting .

Step 3	On the Establishment Reporting page, select an establishment from the drop-down field.
Step 4	Select a date.
Step 5	If applicable, select a shift. PHIS displays the Establishment Reporting page with one or more of the following tabs: Meat, Poultry, Ratite, and All.
Step 6	On the Establishment Sorting Records grid, select Add Sorting Record .

Plant Management

Home About PHIS My Profile Help Sign Out

You are here: Home > Animal Disposition

Establishment Reporting

Establishment:

Date: 11/15/2019

Meat Poultry Ratite All

Shift 1 Shift 2

Meat

Sub-Class	Type	Head Count	Live Weight (lbs)	Dressed Weight (lbs)	Weight Not Reported
No slaughter records to display.					

[Top](#)

Establishment Sorting Records

[+ Add Sorting Record](#) [Refresh](#)

Shift	Total Number of Hogs Sorted and Removed Before FSIS Ante-Mortem Inspection	Total Number of Carcasses Sorted and Removed Before FSIS Post-Mortem Inspection	Created By	Edited By	Reviewed By
No sorting records to display.					

[Top](#)

Figure 93: 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

Establishment:
Date: 11/15/2019
Shift: Shift 1

☐ Reviewed

1. Total number of Hogs Sorted and Removed Before FSIS Ante-Mortem Inspection: 0
2. Total number of Carcasses Sorted and Removed Before FSIS Post-Mortem Inspection: 0

Primary Reasons for Removal:

Conditions Identified and Removed Before FSIS Ante-Mortem Inspection and Slaughter

Dead:	0	Pyrexia:	0
Moribund (Dying):	0	Central Nervous System:	0
Septicemia:	0	Erysipelas:	0
Other:	0		

If Other, please specify: Enter up to 500 characters.

Conditions Identified For Disposal Before FSIS Post-Mortem Inspection

Arthritis:	0	Pigmentary Condition:	0
Carcinoma:	0	Pneumonia:	0
Contamination:	0	Pyemia:	0
Cysticercosis:	0	Residues:	0
Emaciation:	0	Sarcoma:	0
Myiasis:	0	Septicemia:	0
Icterus:	0	Skin Conditions:	0
Injuries:	0	Swine Erysipelas:	0
Malignant Lymphoma:	0	Sexual Odor:	0
Misc. Parasitic Conditions:	0	Toxemia:	0
Misc. Degenerative & Dropsic Diseases:	0	Tuberculosis:	0
Misc. Infectious Diseases:	0	Uremia:	0
Mastitis:	0	Vesicular Diseases:	0
Metritis:	0	Foot & Mouth Diseases:	0
Nephritis:	0	Other Vesicular Diseases:	0
Pericarditis:	0	Other:	0
Peritonitis:	0		

☐ Reviewed

Save Cancel

Figure 94: Establishment Reporting – Sorting Record page for Plant Management

Step 8	Once you are finished, select Save . PHIS displays a confirmation message.
Step 9	Select Cancel to return to the Establishment Reporting page. Note that your name appears in the Created By column.

6.1.4 Plant Management: How to Edit an Establishment Sorting Record

If an FSIS user added the sorting record or if the record is for a slaughter date more than 90 days in the past, you cannot edit it.

Step 1	On the Establishment Reporting page, select Edit for the existing sorting record in the Establishment Sorting Records grid.
Step 2	On the Establishment Reporting - Sorting Record page, edit the necessary data entry fields and select Save . PHIS displays a confirmation message.
Step 3	Select Cancel to return to the Establishment Reporting page. Note that your name appears in the Edited By column

6.1.5 Plant Management: How to Delete an Establishment Sorting Record

If an FSIS user added the sorting record or if the date is more than 90 days in the past, you cannot delete it.

Step 1	On the Establishment Reporting page, select Delete for the existing sorting record in the Establishment Sorting Records grid.
Step 2	On the confirmation message, select OK . PHIS deletes the record.

7. PHIS Guide for Industry: Reports

7.1 Overview

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

7.1.1 Plant Management: How to Generate Reports

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

The screenshot displays the 'Inventory of Standard Reports' interface. On the left, a sidebar menu includes 'My Establishments', 'Establishment Profile', 'Animal Disposition', 'View Report' (highlighted), and 'APM'. The main content area has a breadcrumb 'You are here: Home > Reports Inventory' and a title 'Inventory of Standard Reports'. Below the title is a 'Show Description' link. A table lists four reports with columns for Title, Description, Category, and a 'Run' button. The table shows reports for 'Industry' category. At the bottom of the table, there are search filters for Title, Description, and Category.

Title	Description	Category	
Industry Establishment Profile	Establishment profile report for plant management users (Industry).	Industry	Run
Industry NR and Task Summary for an Establishment	Non-compliance Records and task summary for an establishment for plant management only.	Industry	Run
Industry PHR Noncompliance Report	PHR Noncompliance report by establishment. Shows the PHR NR Rate for a three month period.	Industry	Run
Industry Sampling Results Summary	Sampling results summary for an establishment for plant management only.	Industry	Run

Figure 95: 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 .

The screenshot shows a window titled "Report Params" with a close button (X) in the top right corner. Below the title bar is a dark orange header with the text "Report Parameters" in white. The main area contains the following fields and controls:

- "Enter Inspection Date(Start):" followed by a text input field.
- "Enter Inspection Date(End):" followed by a text input field.
- "Report Format:" followed by a dropdown menu showing a checkmark icon.
- "Enter value(s) for Establishment ID:" followed by a large text area. Below this text area is the instruction: "(Hold down the Shift key to select multiple Establishments)".
- At the bottom right, there are two buttons: "Reset" and "Submit".

Figure 96: Report Parameter page for Plant Management

Step 6	The report opens in a new window where you can export the report as a Microsoft Excel or PDF file.
Step 7	For reports exported to an Excel format, a navigation bar with tabs is available to move from section to section page to page.

8. PHIS Guide for Industry Users: Export

8.1 Overview

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

8.1.1 9060 Application for Export Certificates

8.1.1.1 PHIS IDs for 9060 Access Control

Due to the information available on 9060 applications, PHIS restricts access to these applications. In order to do this, PHIS uses the concept of PHIS IDs. Each industry user and establishment in PHIS is assigned a PHIS ID. Entity PHIS IDs apply to establishments (E-FCLT-#####). Access Control functions do not extend to PHIS IDs assigned to corporate entities. User PHIS IDs apply to industry users Export Applicants (U-DEST-#####), Corporate Administrators (U-CORP-##### and Export Brokers (U-BRKR-#####).

The PHIS ID for a user appears after the user's name in the top right corner of PHIS pages. PHIS IDs for Establishments appear on Select Establishment pages within Plant Management and on the Corporate Profile page.

The PHIS ID for individuals is an attribute of a user's account. Other attributes include last name, email, and phone number. PHIS does not change a user's account or identifiers when the user leaves one establishment and moves to another. A user's account can be associated with one or more establishments (also called work areas).

When data is manually entered to create a 9060 application, PHIS by default associates the application with the PHIS ID for the user who created the record. The user can add additional PHIS IDs during the creation process to expand access to the record. When the PHIS ID for an establishment (E-FCLT-#####) is added under access control to a 9060 record, then all users with an active Export Applicant role associated with the Establishment will be able to access the record the 9060 record.

The schema for creating batch files includes PHIS IDs. A minimum of one PHIS ID must be included in a batch record to grant access to the resulting 9060 record from the UI. This ability to add or remove PHIS IDs from 9060 records is called Access Control.

There are additional security features in place to control access to 9060 records. For Export Brokers to access specific applications, at least one of the following must be true:

- Their PHIS User IDs must be listed on the Access Control page
- They must have created the application via the user interface

For Export Applicants to access specific applications, at least one of the following must be true:

- Their PHIS User IDs must be listed on the Access Control page

- The PHIS Establishment ID of one of their establishments must be listed on the Access Control page
- They must have created the application via the user interface

Corporate Administrators can access all export records for establishments that they are associated with in PHIS and in addition, any records where someone has added their PHIS User ID to the Access Control page

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

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

Access Control is discussed further on page 137, 0 of Section 8.1.1.2.

8.1.1.2 Export Applicant: How to Create New 9060 Applications

Note: These instructions are for creating new 9060 applications. To create any of the replacement types of 9060 applications, see Section 8.1.2 Replacements.

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

Export Applicant ▼ Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: All Status: All Importing Country: All

Date Range: ☒ Two Days ☐ One Week ☐ One Month ☐ Date Range Search Reset

Create Application

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043816	Replacement		CANADA	Submitted	7/8/20						
0043815	New		CANADA	Pending Replacement	7/8/20	TUCKER					
0043814	New		BOLIVIA	Submitted	7/7/20						
0043813	New		BOLIVIA	Submitted	7/7/20						
0043812	New		AFGHANISTAN	Submitted	7/7/20						
0043811	New		AFGHANISTAN	Pending Upload	7/7/20	LEE					
0043810	New		BOLIVIA	Approved	7/7/20	LEE					
0043806	New		AFGHANISTAN	Submitted	7/7/20						

Page size: 10 8 items in 1 pages Download

Figure 98: 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.
--------	---

Export Applicant ▼ Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Select Establishment 9060

Select Establishment

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements
- Submit Application
- History
- Exit Menu

My Establishments

	Name	Number

Figure 99: Associate Establishment with 9060

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

Export Applicant

Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Application Type

Select 9060-6 Export Application

All fields with * are required.

9060 Application Header

Exporting Establishment Name: [Redacted] Application Type: None

Exporting Establishment Number: [Redacted]

Certificate(s) being replaced:

Replacement Reason:

Shipment Type : (Select One) ▼

Application Type : (Select One) ▼

Previous Next

Figure 100: Select Shipment and Application types for 9060

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

The screenshot shows the '9060 Application' page for an 'Exporter'. The sidebar on the left includes links for 'My Establishment', 'Application Type', 'Exporter' (selected), 'Importer', 'Products Summary', 'Shipment Information', 'Access Control', 'Statements', 'Submit Application', and 'History'. The main content area has a header '9060 Application Header' with the following details:

Exporting Establishment Name:	Application Number:	0043817
Exporting Establishment Number:	Application Type:	New
Shipment Type:	Status:	Unsubmitted

Below the header, the form contains the following fields:

- Company Name *
- Address Line 1 *
- Address Line 2:
- Address Line 3:
- City *
- Country *: UNITED STATES (dropdown)
- State/Province *: (Select One) (dropdown)
- Postal Code *
- Phone Number:
- Export Establishment Number *: Select Number (dropdown with info icon)
- Export Mark to be Used *:
 - ☒ USDA Export Mark
 - ☐ Unique Identifier (text field)

A 'Next' button is located at the bottom right of the form.

Figure 101: Exporter Information for 9060

Step 10	<p>For Export Mark to be Used field, select an option.</p> <p>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.</p>
Step 11	Select Next .

Step 12	<p>On the Importer page, complete all required and applicable fields.</p> <ul style="list-style-type: none"> For the Country field, select the importing country. The State/Province and Port of Entry field options are available only when the related reference data is associated with the selected country in PHIS. PHIS does not validate export requirements for the Final Destination Country.
---------	---

Export Applicant

Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Import Country Information

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer**
- Products Summary
- Shipment Information
- Access Control
- Statements
- Submit Application
- History

Exit Menu

Importer

All fields with * are required.

9060 Application Header

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Status:	Unsubmitted

Company Name *:

Address Line 1 *:

Address Line 2:

Address Line 3:

City *:

Country *: (Select One) ▼

Phone Number:

Final Destination Country: (Select One) ▼

Previous Next

Figure 102: Importer Information for 9060

Step 13	<p>Select Next.</p> <ul style="list-style-type: none"> After data is saved on the Importer page, Export Library links are added to the header for the related Country of Destination (data comes from the Country field) and when applicable, the Final Destination Country. A draft PDF of the certificate package that will be generated from the 9060 record is also available in the header.
Step 14	<p>On the Products Summary page, select Add Product.</p> <ul style="list-style-type: none"> The Poultry, Meat, and Siluriformes certification statements all appear prior to adding the product.

Export Applicant

Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Products Summary

Products Summary

9060 Application Header

Exporting Establishment Name: Application Number: 0043817
 Exporting Establishment Number: Application Type: New
 Shipment Type: Commercial Sale Certificate Package: [Certificate Package](#)
 Status: Unsubmitted
 Country of Destination:

Add Product

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf- Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit	Delete
No records to display.										

Total Net Weight*: lbs kgs

☐ Under penalty of law, I certify that the product covered by this application for export meets the inspection requirements for the country of destination. I will provide documentation to FSIS program employees upon request.

Certification Statements*

Select all that apply.

☐ I CERTIFY that the meat, meat food product or meat byproduct specified hereon is from animals that received both antemortem and postmortem inspection and were found sound and healthy and that it has been inspected and passed as provided by law and regulations of the Department and is sound and wholesome.

☐ I CERTIFY that the poultry, poultry products or poultry food products specified above came from birds that were officially given an antemortem and postmortem inspection and passed in accordance with applicable laws and regulations of the United States Department of Agriculture and are wholesome and fit for human consumption.

☐ I CERTIFY that the Siluriformes fish and fish products specified on this form have been inspected and passed in accordance with the applicable laws and regulations of the United States Department of Agriculture and are wholesome and fit for human consumption.

☐ None of the above

Previous Next

Figure 103: Products Summary page

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

Export Applicant

[Home](#)
[About PHIS](#)
[My Profile](#)
[Help](#)
[Sign Out](#)

You are here: [Home](#) > [9060 Applications](#) > [Products Summary](#) > [Product Details](#)

9060 Application

[My Establishment](#)
[Application Type](#)
[Exporter](#)
[Importer](#)
[Products Summary](#)
[Shipment Information](#)
[Access Control](#)
[Statements](#)
[Submit Application](#)
[History](#)

Exit Menu

Product Details

9060 Application Header

Exporting Establishment Name:
Exporting Establishment Number:
Shipment Type:
Country of Destination:

Application Number: 0043817
Application Type: New
Certificate Package: [Certificate Package](#)
Status: **Unsubmitted**

All fields with * are required.

Product Information

Product Name:*

Product Code:

HACCP Category:*

Species:*

Is the Maturity Less than 30 Months:

Is the Product Frozen/Shelf-Stable:*

Marked Net Weight of Lot*

Number of Packages in Lot:*

Package Type:*

Shipping/Identification Marks:

Est. Number on Product*

Processing Establishment(s)

Slaughter Establishment(s)

Cancel

Finish

Figure 104: Product Details page

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

Figure 105: Establishment Search Menu

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

Step 20	Once you have the establishment selected, move to the next field to the right and select the appropriate option from the list. There will be at least one option with a letter/grant designation and one option without the grant designation. Select the option that matches the establishment number on the product label.
---------	--

Export Applicant

Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications > Products Summary > Product Details

Product Details

9060 Application Header

Exporting Establishment Name: [Redacted] Application Number: 0043817
 Exporting Establishment Number: [Redacted] Application Type: New
 Shipment Type: Commercial Sale Certificate Package: [Certificate Package](#)
 Status: [Unsubmitted](#)
 Country of Destination: [Redacted]

All fields with * are required.

Product Information

Product Name*: Chicken Wings (Frozen)
 Product Code: [Redacted]
 HACCP Category*: Raw - Intact
 Species*: Chicken
 Is the Maturity Less than 30 Months: [Redacted]
 Is the Product Frozen/Shelf-Stable*: ☒ Yes ☐ No
 Marked Net Weight of Lot*: 1000 lbs
 [Redacted] kgs
 Number of Packages in Lot*: 500
 Package Type*: Bag, plastic
 Shipping/Identification Marks: [Redacted]
 Est. Number on Product*: [Redacted] (Select One)
 Processing Establishment(s): [Redacted]
 Slaughter Establishment(s): [Redacted]

Cancel Finish

Figure 106: Select Establishment Number

Step 21	When the importing Country of Destination requires Processing and/or Slaughter establishment data, PHIS displays extra data entry fields so that you can enter this information in your application.
---------	--

Est. Number on Product* [Redacted] P [Redacted]
 Processing Establishment(s) [Redacted]
 Slaughter Establishment(s) [Redacted]

Figure 107 Additional Establishment Data Fields Displayed

Step 22	Select Finish .
Step 23	If you have additional products, add them now; otherwise, go to the next step.
Step 24	Add Total Net Weight data in lbs. and/or kgs. <ul style="list-style-type: none"> 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.

Add Product

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf- Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit	Delete
Chicken Wings (Frozen)	Raw - Intact	Chicken		Yes	1000 lbs	500	Bag, plastic			

Total Net Weight*:

lbs

kgs

Figure 108: Add Total Net Weight

Step 25	Accept the Under Penalty of Law statement by selecting the checkbox.
Step 26	Accept the Certification Statement(s) by selecting the applicable checkbox(es). <ul style="list-style-type: none"> If the added product is meat or poultry related, PHIS displays only the meat and poultry statements. If the added product is Siluriformes, PHIS displays only the Siluriformes-related statement.
Step 27	Select Next .

Export Applicant
Home
About PHIS
My Profile
Help
Sign Out

You are here: Home > 9060 Applications > Products Summary

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary**
- Shipment Information
- Access Control
- Statements
- Submit Application
- History
- Exit Menu

Products Summary

9060 Application Header

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
		Status:	Unsubmitted
Country of Destination:			

Add Product

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf- Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit	Delete
Chicken Wings (Frozen)	Raw - Intact	Chicken		Yes	1000 lbs	500	Bag, plastic			

Total Net Weight*:
lbs
kgs

☐ Under penalty of law, I certify that the product covered by this application for export meets the inspection requirements for the country of destination. I will provide documentation to FSIS program employees upon request.

Certification Statements*

Select all that apply.

☐ I CERTIFY that the meat, meat food product or meat byproduct specified hereon is from animals that received both antemortem and postmortem inspection and were found sound and healthy and that it has been inspected and passed as provided by law and regulations of the Department and is sound and wholesome.

☐ I CERTIFY that the poultry, poultry products or poultry food products specified above came from birds that were officially given an antemortem and postmortem inspection and passed in accordance with applicable laws and regulations of the United States Department of Agriculture and are wholesome and fit for human consumption.

☐ None of the above

Previous

Next

Figure 109: Penalty of Law disclaimer and Certification Statements

Step 28	On the 9060-6 Shipment Information page, if you know the Container and Seal Information (Figure 110), complete Step 29 - 0; otherwise, continue to 0.
---------	---

The screenshot displays the '9060-6 Shipment Information' page. On the left is a navigation menu with options like 'My Establishment', 'Application Type', 'Exporter', 'Importer', 'Products Summary', 'Shipment Information' (highlighted), 'Access Control', 'Statements', 'Submit Application', 'History', and 'Exit Menu'. The main content area has a header '9060-6 Shipment Information' and a section '9060 Application Header' containing fields for 'Exporting Establishment Name', 'Exporting Establishment Number', 'Shipment Type' (Commercial Sale), 'Application Number' (0043817), 'Application Type' (New), 'Certificate Package' (Certificate Package), and 'Status' (Unsubmitted). Below this is the 'Container and Seal Information' section, which features a table with columns for 'Commercial Container Number', 'Commercial Seal Number', 'Edit', and 'Delete'. An 'Add new record' button is highlighted in the top left of the table, and a 'Refresh' button is in the top right. The table currently shows 'No records to display.' and 'Previous'/'Next' buttons are at the bottom right.

Figure 110: Commercial Seal and Container Information

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

Container and Seal Information

+ Add new record

Refresh

Commercial Container Number	Commercial Seal Number	Edit	Delete

Commercial Container Number: 123

Commercial Seal Number: 456

Insert

Cancel

No records to display.

Previous

Next

Figure 111: Enter Seal and Container Information

Step 33	Select Next .
Step 34	On the Access Control page (Figure 112), if applicable, grant Read-Only, Read-Write, or Read Write and Access to the 9060 record to person(s) and/or companies by adding the associated record(s) linked to the related PHIS ID(s) using the instructions in the next steps; otherwise, go to Step 40.

Export Applicant

[Home](#)
[About PHIS](#)
[My Profile](#)
[Help](#)
[Sign Out](#)

You are here: Home > 9060 Applications > Access 9060

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control**
- Statements
- Submit Application
- History
- Exit Menu

Access Control

9060 Application Header

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
		Status:	Unsubmitted

Country of Destination:

New company has been added successfully

Add New Person

Add New Company

PHIS ID	Name	CompanyName	Access	Type	Edit	Delete
U-BRKR-			Read-Write	Person		
E-FCLT-			Read-Write	Entity		

Previous

Next

Figure 112: Access Control page

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

Person Search

Person Search Criteria

PHIS ID:
 First Name:
 Last Name:

Select	PHIS ID	Name (First and Last)	Role	PHIS Type
<input type="radio"/>	U-BRKR-		Export Broker	Person
<input type="radio"/>	U-BRKR-		Export Broker	Person
<input type="radio"/>	U-BRKR-		Export Broker	Person
<input checked="" type="radio"/>	U-BRKR-		Export Broker	Person
<input type="radio"/>	U-BRKR-		Export Broker	Person

Page: 1 of 363 Go Page size: 5 Change Item 1 to 5 of 2813

Establishment Search

Company Search Criteria

PHIS ID:
 Company Name:
 Establishment Number:

Select	PHIS ID	Company Name	Establishment Number	Type	Facility Type
<input type="radio"/>	E-FCLT-			Entity	FCLT
<input checked="" type="radio"/>	E-FCLT-			Entity	FCLT
<input type="radio"/>	E-FCLT-			Entity	FCLT
<input type="radio"/>	E-FCLT-			Entity	FCLT
<input type="radio"/>	E-FCLT-			Entity	FCLT

Page: 1 of 1559 Go Page size: 5 Change Item 1 to 5 of 7795

Figure 113: Add Establishment or Person Search Windows

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

Step 39	<p>If desired, select Edit associated with any added records and update the defined Access level and select Save.</p> <ul style="list-style-type: none">• 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.
---------	---

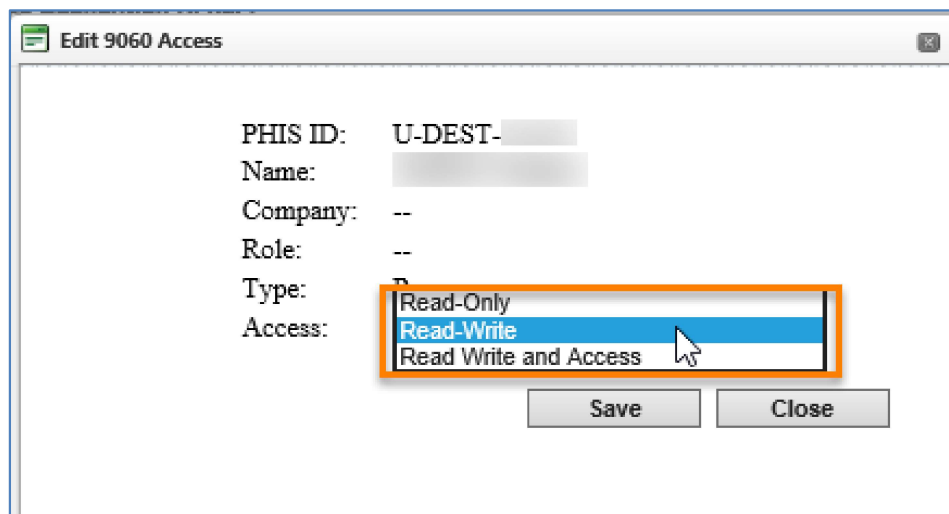


Figure 114: Edit Level of Access

Step 40	<p>Select Next.</p> <p>The Select Statements for Application Package page appears.</p> <ul style="list-style-type: none"> 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 115). 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.
---------	---

The screenshot displays the 'Statements' page within the PHIS system for a 9060 Application. The left sidebar contains navigation links such as 'My Establishment', 'Application Type', 'Exporter', 'Importer', 'Products Summary', 'Shipment Information', 'Access Control', 'Statements' (highlighted), 'Submit Application', and 'History'. The main content area has a header 'Statements' and a '9060 Application Header' section with fields for 'Exporting Establishment Name', 'Exporting Establishment Number', 'Shipment Type' (Commercial Sale), 'Application Number' (0043817), 'Application Type' (New), 'Certificate Package' (Certificate Package), and 'Status' (Unsubmitted). Below this is a section titled 'Selected Statements for Application Package' which includes an 'Add Statements' button and a table with columns for 'Re-Order', 'Statement Name', and 'View'. A message states 'Select Add Statements to see the statement(s) that you can add to your application.' The bottom of the page shows pagination controls indicating '0 items in 1 pages' and 'Previous'/'Next' buttons.

Figure 115: Statements

Step 41	<p>Select Add Statements.</p> <p>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.</p>
Step 42	<p>To insert text connected with statement record(s), complete associated checkboxes.</p>

Step 43	<p>Click Select.</p> <p>PHIS updates the Select Statements for Application Package grid to display only those records not selected.</p> <p>Note:</p> <p>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 116).</p>
---------	---

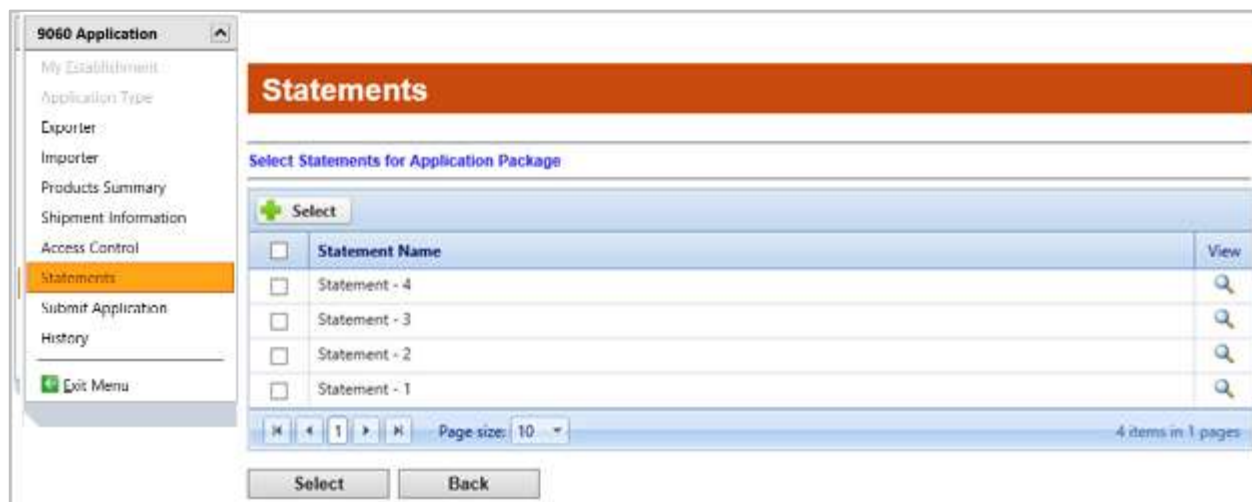


Figure 116: Select Statements for Application Package grid

Step 44	<p>Insert number values in the Re-Order text boxes associated with the Selected Statements and select ↑↓Re-order Statements function.</p> <p>Records in the Selected Statements grid re-order per the values entered into the Re-Order text boxes per lesser to greater values.</p>
---------	--

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements**
- Submit Application
- History
- Exit Menu

Statements

9060 Application Header:

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Unsubmitted
Country of Destination:		Status:	

Selected Statements for Application Package

<input type="checkbox"/>	Re-Order	Statement Name	View
<input type="checkbox"/>	1	Statement - 3	
<input type="checkbox"/>	2	Statement - 4	
<input type="checkbox"/>	3	Statement - 1	
<input type="checkbox"/>	4	Statement - 2	

Page sizes: 10
 4 items in 1 pages

Figure 117: Selected Statements for Application Package

Step 45	<p>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.</p> <p>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.</p>
Step 46	When present, select Add Statement Data .

The screenshot shows the '9060 Application' interface. On the left is a navigation menu with options: My Establishment, Application Type, Exporter, Importer, Products Summary, Shipment Information, Access Control, **Statements** (highlighted), Submit Application, History, and Exit Menu. The main content area is titled 'Statements' and includes a message: 'This application is currently under review. Only fields that are not grayed out may be edited.' Below this is the '9060 Application Header' section with the following details:

Exporting Establishment Name:	Application Number:	0071719
Exporting Establishment Number: V	Application Type:	New
Shipment Type: Commercial Sale	Certificate Package:	Certificate Package
Country of Destination: AFGHANISTAN	Status:	Unlocked

Below the header is the 'Selected Statements for Application Package' section. It features a toolbar with buttons: Add Statements, Re-order Statements, Remove Statements, and Add Statement Data (highlighted). Below the toolbar is a table with columns: Re-Order, Statement Name, and View. The table contains one row with a checkbox, the value '0', and the text 'Slaughter Date(s)'. At the bottom of the table, it says 'Page size: 10' and '1 items in 1 pages'. There are 'Previous' and 'Next' buttons at the bottom right.

Figure 118: Add Statement Data

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

9060 Application

My Establishment
Application Type
Exporter
Importer
Products Summary
Shipment Information
Access Control
Statements
Submit Application
History
Exit Menu

Statements

9060 Application Header

Exporting Establishment Name:	Application Number:	0161618
Exporting Establishment Number: M.	Application Type:	New
Shipment Type: Commercial Sale	Certificate Package:	Certificate Package
Country of Destination: THE PEOPLE'S REPUBLIC OF CHINA	Status:	Unlocked
Final Destination Country: AFGHANISTAN		

Custom Placeholder Values:

Slaughter Dates

Placeholder Slaughter Dates is a required field.

Plant

WAREHOUSE

☐ Check All
☐ SLAUGHTERING PLANT
☐ PROCESSING PLANT
☒ WAREHOUSE
☐ DOCKSIDE

Save

Cancel

Figure 119 Required data field(s) for selected Statement(s)

Step 48	Select Next .
Step 49	On the Submit 9060-6 Application page, a summary of the application information appears in the 9060 Application Header with a link to open a Certificate Package PDF. The next part of the page is the Products on Application grid. Verify the information in both the header and the grid.

Export Applicant

You are here: Home > 9060 Applications > Submit 9060 Application

Submit 9060-6 Application

9060 Application Header

Exporting Establishment Name: Application Number: 0043817
 Exporting Establishment Number: Application Type: New
 Shipment Type: Commercial Sale Certificate Package: [Certificate Package](#)
 Status: Unsubmitted
 Country of Destination:

Products on Application

Add Product

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf-Stable	Package Type	Est. No. on Product	Edit	Delete
Chicken Wings (Frozen)	Raw - Intact	Chicken		Yes	Bag, plastic			

Supplemental Documentation Required for the 9060

Figure 120: Verify Header and Product Information

Step 50	To provide any Supplemental Documentation, select Add New File . Supplemental documents include any scanned .pdf versions of completed letterhead certificates required by a foreign country
Step 51	Identify the document type as either a Transit (Letterhead) Certificate or Other. If Transit is selected, identify the transit country in the drop-down list.

Supplemental Documentation Required for the 9060


Add New File

File Name	Title	Created Date	Created By	Delete
No records to display.				

Figure 121: Add Supplemental Documentation

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

Supplemental Documentation Required for the 9060

 Add New File

File Name	Title	Created Date	Created By	Document Type	Delete
No records to display.					

Document Type * : (Select Document type:)
 Other
Transit Letterhead

(Select country being transited) ▼

File Name * :

Document Title * :

**Note: The file size cannot exceed 5 MB. File type must be PDF.*

Figure 122: Supplemental Documentation Upload

Step 54	Select Upload .
---------	------------------------

Supplemental Documentation Required for the 9060

 Add New File

File Name	Title	Created Date	Created By	Document Type	Delete
Transit Certificate test document.pdf	Transit Letterhead - Finland	05/29/2018	Beebe Applicant	Transit - Finland	

Figure 123: Document Appears in grid

Step 55	To provide any Supportive Documentation, select Add New File . Supportive documents include scanned .pdfs that you want to share with the inspector but do not want to be part of the certificate package that goes to the foreign country.
---------	---

Supportive Documentation Provided by Applicant

 Add New File

File Name	Title	Created Date	Created By	Delete
No records to display.				

Figure 124: Add Supportive Documentation

Step 56	Just as with Supplemental documentation, select Browse , select file, and complete the required Document Title field
Step 57	Select Upload . If applicable, the PHIS-generated Statements appear under the PHIS Generated Statements. Deselecting on the Final page move the options back to the Available for selection grid on the prior page
Step 58	<p>When applicable, add the PHIS-generated statement(s) located under the Remarks heading, by selecting the associated checkbox(es).</p> <p>Notes: PHIS generates potential remarks and displays them in this grid in the following scenarios:</p> <ul style="list-style-type: none"> • When you have opted to use a unique identifier for this application’s Export Mark, (see Step 10 on page 128), 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. <p>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.</p>

Remarks
Select the statement(s) to insert into the remarks section of the export application and export certificate PDFs.

<input type="checkbox"/>	Remarks
<input checked="" type="checkbox"/>	This certificate replaces certificate no. 0012886 dated 09/05/2019. The product covered by this Certificate is marked with UI 12545474.
<input type="checkbox"/>	Container: c38444
<input type="checkbox"/>	Seal: S32423
<input type="checkbox"/>	Port of Entry: <input type="text"/> Port

Figure 125: PHIS-Generated Remarks

Step 59	<p>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.</p> <p>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.</p>
---------	--

Statement Name	Remove
Statement - 4	X
Statement - 2	X

Page size: 10 2 items in 1 pages

Figure 126: PHIS Generated statements per Country Requirements

Step 60	<p>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</p>
---------	---

Required Statements for Export Certificate

Design Preview Zoom

Figure 127: Text field to enter Required Statements for Export Certificates

Step 61	<p>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.</p> <p>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.</p>
---------	--

The screenshot displays the PHIS application interface. At the top, there is a 'Port of Entry:' field. Below it, a section titled 'PHIS Generated statements per Country Requirements' contains a table with one row: 'Test' with a 'Remove' button (marked with a red X). Below the table are navigation controls (back, forward, page 1 of 1) and a 'Page size: 10' dropdown. The next section is 'Required Statements for Export Certificate', which features a rich text editor with the text 'This is a manually typed statement.' and a 'Save' button. At the bottom, there are three buttons: 'Previous', 'Review Application Submission' (highlighted with an orange border), and 'Submit Application' (disabled, indicated by a greyed-out appearance).

Figure 128: Review Application Submission – Submit Application button is disabled

Step 62	Select Submit Application .
---------	------------------------------------

Port of Entry:

PHIS Generated statements per Country Requirements

Statement Name	Remove
Test	

Page size: 10 1 items in 1 pages

Required Statements for Export Certificate

This is a manually typed statement.

Design Preview Zoom

Save

Previous Review Application Submission **Submit Application**

Figure 129: Submit Application button is enabled

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

Submit 9060-6 Application

Export Application 9060 - 6 has been submitted successfully

Figure 130: Confirmation Message

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

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

Export requirements related to the Final Destination Country are not validated by PHIS.

Step 64	<p>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.</p> <p>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.</p>
---------	---

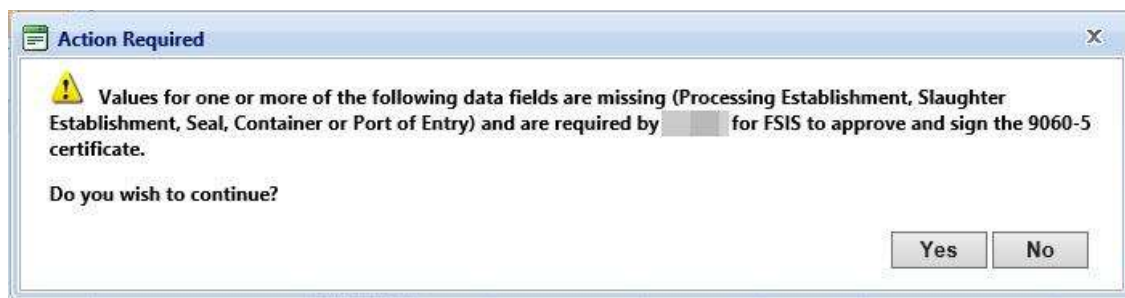


Figure 131: Action required warning message

8.1.1.3 Export Broker: How to Create New 9060 Applications

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

Step 1	On the menu, select 9060.
Step 2	On the Create/View 9060 page, select Create Application
Step 3	Select the exporting establishment on the Select Establishment page by entering establishment number in the Number field.
Step 4	Select Search .
Step 5	Select an establishment by selecting the House icon
Step 6	On the Application Type page, select Shipment Type and an Application Type of New.
Step 7	Select Next
Step 8	On the Exporter page (Figure 101), complete required fields and select Next .
Step 9	On the Importer page (Figure 102), complete required fields and select Next .
Step 10	On the Products Summary page (Figure 103), select Add Product to start adding product.
Step 11	On the Product Details page (Figure 104), 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 105).
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 106).
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 108).
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 109).
Step 20	Accept Certification Statement(s) by selecting the applicable checkbox(es). <ul style="list-style-type: none"> • 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 110), if you know the Container and Seal Information, complete the following sub-steps; otherwise, continue to the next step. <ol style="list-style-type: none"> Select Add New Record (Figure 111). For the Commercial Container Number field, enter the appropriate number. For the Commercial Seal Number field, enter the appropriate number. Select Insert. Select Next.

Step 23	<p>On the Access Control page (Figure 112), 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.</p> <ol style="list-style-type: none"> Select Add New Person or Add New Company (Figure 113). Search for person or company for whom you would like to define access. Select the House icon associated with the record you would like to add. Selected record is added to the Access Control grid with the default Access level of Read-Write. If desired, select edit pencil associated with any added records and update the defined Access level and select Save (Figure 114). Select Next.
Step 24	<p>The Select Statements for Application Package page appears. When statements have been published in PHIS that match the Importing Country or Importing Country/Species combination of the record being added, a grid with an Add Statements button is displayed. If no statements are available for selection PHIS displays message: No related statements in PHIS apply to this application.</p>
Step 25	<p>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.</p>
Step 26	<p>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 120).</p>
Step 27	<p>To provide any Supplemental Documentation, select Add New File (Figure 122 and Figure 123). 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.</p>
Step 28	<p>Select Browse and add a Document Title.</p>
Step 29	<p>To provide any Supportive Documentation, select Add New File (Figure 124). 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.</p>
Step 30	<p>Select Browse and add a Document Title.</p>
Step 31	<p>When applicable, add the PHIS-generated statement(s) located under the Remarks heading, by selecting the associated checkbox(es).</p>

Step 32	When applicable, review any statements displayed under the PHIS Generated Statements per Country Requirements heading. To remove any of the displayed remarks under PHIS Generated Statements per Country Requirements heading, select the associated red X.
Step 33	To include custom statements for the export application and certificate, type your remarks in the Remarks text box. These statements appear in the Remarks field on the 9060 export certificate exactly as you type them. You also can copy and paste from the Export Library or other documents.
Step 34	Select Review Application Submission . This action opens a PDF of the application in a separate tab. The Submit button appears after you have completed the initial review of the application package.
Step 35	Statements generated by PHIS per 9060 application country – species data. Remarks selected are inserted into the remarks section of the export application and export certificate PDFs. Perform the final review and deselect options no longer desired.
Step 36	If you navigate back to another tab prior to selecting the Submit button, the Review Application Submission button needs to be re-selected to re-enable the Submit button. This applies when an application is unlocked and updated.
Step 37	Select Submit Application .
Step 38	If a country requires data be entered for one or more of the following fields: Container, Seal, Port of Entry, Slaughter Establishment, and/or Processing Establishment and PHIS has validated that related data has not yet been entered, a message appears alerting you that these fields are required.
Step 39	PHIS allows you to select Yes to proceed and submit the application for approval in order to start the review of the application by IPP or select No to Cancel the submission, complete the missing fields, and resubmit
Step 40	Select Yes . The page refreshes and a confirmation message appears.

8.1.1.4 9060 Grid Filters

9060 grid filters are available on the Create/View 9060-6 Export Applications page. 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	From the menu, select 9060 . The system displays the Create/View 9060-6 Export Applications page, with a set of filters.
Step 2	In the Key Word Search box, type three digits corresponding to available records to narrow records displayed.
Step 3	Select a value displayed.
Step 4	Select Search . PHIS narrows the records displayed.
Step 5	Select Reset . PHIS removes the filter(s).
Step 6	In the Key Word Search box, type three letters of a reviewer's last name.
Step 7	Select a value displayed.
Step 8	Select Search . PHIS narrows the records displayed.
Step 9	Select Reset . PHIS removes the filter
Step 10	Select the One Month date range option. PHIS displays all records created during the last month.

Export Applicant

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: Status: Importing Country:

Date Range: ☐ Two Days ☐ One Week ☐ One Month ☒ Date Range

from to

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043818	New			Unsubmitted	7/9/20						
0043817	New			Submitted	7/9/20						

Page size: 10

2 items in 1 pages

Figure 132: Filter 9060 records

8.1.1.5 Download Records Option

Both export roles have access to download records.

Step 1	On the Create/View 9060-6 Export Applications page (Figure 133), 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.

Export Applicant

Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: Status: Importing Country:

Date Range: ☐ Two Days ☐ One Week ☐ One Month ☒ Date Range

from to

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043818	New			Unsubmitted	7/9/20						
0043817	New			Submitted	7/9/20						

Page size: 10 2 items in 1 pages

Figure 133: Download Filtered 9060-6 records

8.1.1.6 View Replacement-Related 9060 Record References

Both export roles can view replacement-related 9060 information.

Step 1	From the menu, select 9060 . The system displays the Create/View 9060-6 Export Applications page.
Step 2	Hover over Application type when it is one of the three Replacement type application. PHIS displays a message with the related application number(s) that the record(s) replaced or are in the process of replacing.
Step 3	Hover over an application with a status of Replaced or Pending Replacement. PHIS displays a message with related application number(s) that are being replaced by the selected record.

Export Applicant ▼ Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: All Status: All Importing Country: All

Date Range: ☐ Two Days ☐ One Week ☐ One Month ☒ Date Range

from to

Create Application

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043816	Replacement			Submitted	7/8/20						
0043815	New			Pending Replacement	7/8/20	TUCKER					

Hover tooltip for 0043815:
This application is being replaced by application(s) 0043816.

Page size: 10 2 items in 1 pages

Figure 134: 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 135).

Export Applicant ▼ Home About PHIS My Profile Help Sign Out

You are here: Home > 9060 Applications

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: All Status: All Importing Country: All

Date Range: ☐ Two Days ☐ One Week ☐ One Month ☒ Date Range

from to

Create Application

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043816	Replacement			Submitted	7/8/20						
0043815	New			Pending Replacement	7/8/20						

Hover tooltip for 0043816:
This certificate replaces certificate no. 0043815 dated 07/08/2020. The product covered by this Certificate is marked with 0043815.

Page size: 10 2 items in 1 pages

Figure 135: Detailed Replacement Information from Application Type

8.1.1.7 Delete 9060 Applications

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

Step 1	From the menu, select 9060 . The system displays the Create/View 9060-6 Export Applications page.
Step 2	Find the application you want to delete and select the Trash Can icon.
Step 3	On the confirmation message, select OK . PHIS refreshes the page, and the record is no longer in the grid.

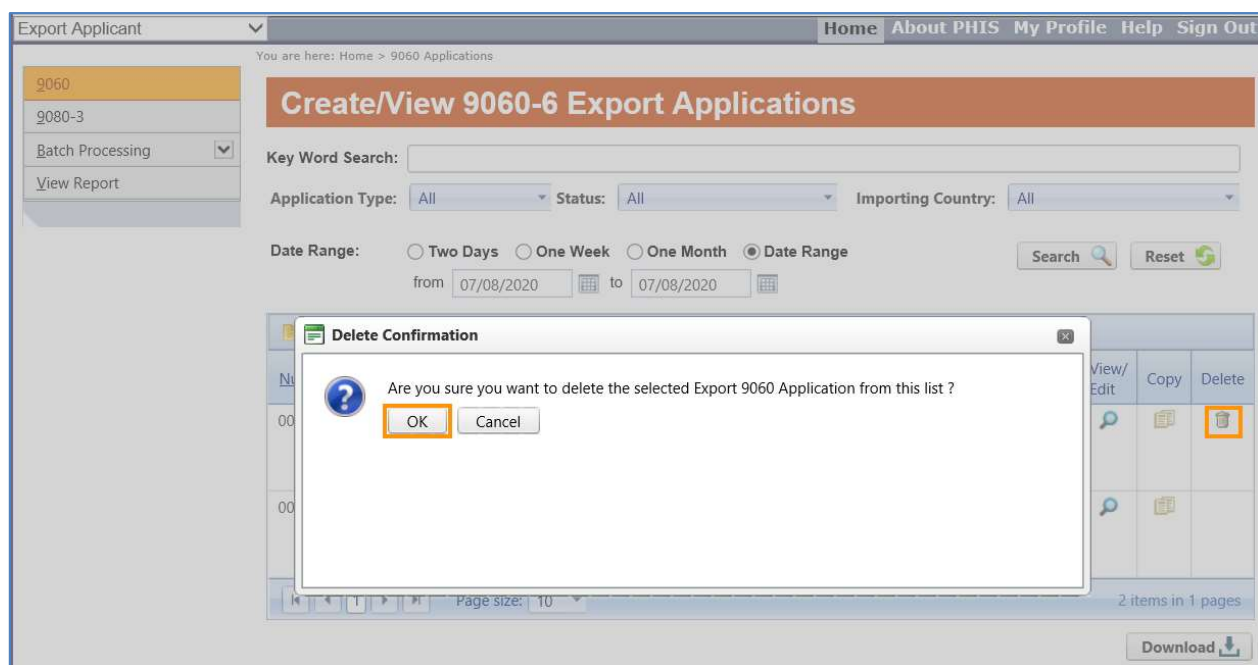


Figure 136: Delete Application

8.1.1.8 Edit 9060 Applications

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

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

Step 3

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

Export Applicant

You are here: Home > 9060 Applications > Export Applicant Information

9060 Application

- My Establishment
- Application Type
- Exporter**
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements
- Submit Application
- History
- Exit Menu

Exporter

All fields with * are required.

9060 Application Header

Exporting Establishment Name:		Application Number:	0043817
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
Country of Destination:		Status:	Submitted

Unlock Application

Company Name *:

Address Line 1 *:

Address Line 2:

Address Line 3:

City *:

Country *:

State/Province *:

Postal Code *:

Figure 137: Unlock Application button

Step 4

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

Export Applicant

You are here: Home > 9060 Applications > Export Applicant Information

9060 Application

- My Establishment
- Application Type
- Exporter**
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements
- Submit Application
- History
- Exit Menu

Exporter

Unlock Application: Select all that apply

- ☐ Edit Consignee/Importer Information
- ☐ Edit Consignor/Exporter Information
- ☐ Edit Description/Name of Product
- ☐ Edit Establishment Number on Product
- ☐ Edit Net Weight of Lot
- ☐ Edit Number of Packages in Lot
- ☐ Edit Processing Establishment
- ☐ Edit Shipping/Identification Marks
- ☐ Edit Slaughter Establishment
- ☐ Edit Statements or Remarks
- ☐ Other

OK Cancel

Postal Code *:

Unlock Application

Figure 138: Unlock Application: Select all that apply window

Step 5	<p>The status of the application is updated to Unlocked.</p> <ul style="list-style-type: none"> • Until the application is re-submitted no further actions may be taken by FSIS to approve application and sign the related export certificate.
Step 6	This action leads you through the same application process as described in Sections 08.1.1.2 and 8.1.1.3. Make edits accordingly.
Step 7	Re-select the Under penalty of law statement.
Step 8	Select Next .
Step 9	Continue until you reach the Submit 9060-6 Application page. Select Review Application Package .
Step 10	<p>Select Submit Application.</p> <p>The page refreshes and a confirmation message appears.</p> <p>The application status returns to Submitted.</p>

8.1.1.9 Allowable Edits after the Review Process by FSIS Personnel has Started

Edits are allowed to fields on the Exporter and Importer pages. Product related edits are 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	From the menu, select 9060 . The system displays the Create/View 9060-6 Export Applications page.
Step 2	Find the application you want to edit and select the View/Edit icon. PHIS opens the 9060 application.

Export Applicant

[Home](#)
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You are here: Home > 9060 Applications

9060

9080-3

Batch Processing

View Report

Change Account

Create/View 9060-6 Export Applications

Key Word Search:

Application Type: All
Status: All
Importing Country: All

Date Range:
☒ Two Days
☐ One Week
☐ One Month
☐ Date Range

Create Application

Number	Application Type	Exporting Establishment	Importing Country	Status	Last Updated	Reviewer	PDF	Ship. Info.	View/Edit	Copy	Delete
0043845	New			Pending Upload	7/10/20						
0043842	New			Pending Upload	7/10/20						
0043841	New			Rejected	7/10/20						
0043840	New			Submitted	7/10/20						


Page size: 10
4 items in 1 pages

Figure 139: Edit Application

Export Applicant ▼ Home About PHIS My Profile Help Sign Out

You are here: [Home](#) > [9060 Applications](#) > [Products Summary](#)



Products Summary

 This application is currently under review. Only fields that are not grayed out may be edited.

[Unlock Application](#)

9060 Application Header

Exporting Establishment Name:		Application Number:	0043840
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
		Status:	Submitted
Country of Destination:			

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf-Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit
FROZEN BONELESS BEEF	Raw - Intact	Beef	Yes	Yes	2370.7000 lbs (0 kgs)	53	Box		
FROZEN BONELESS BEEF	Raw - Intact	Beef	Yes	Yes	45.9000 lbs (0 kgs)	1	Box		

Net Weight*: 2416.6000 kgs

Figure 140: Products Summary page with Unlock Application button

Step 4	Select Unlock Application .
Step 5	On the Unlock Application pop-up window, select the Edit Net Weight of Lot checkbox and select OK . The Status of the application is Unlocked and until the application is re-submitted, no further actions may be taken by FSIS to approve application and sign the related export certificate.

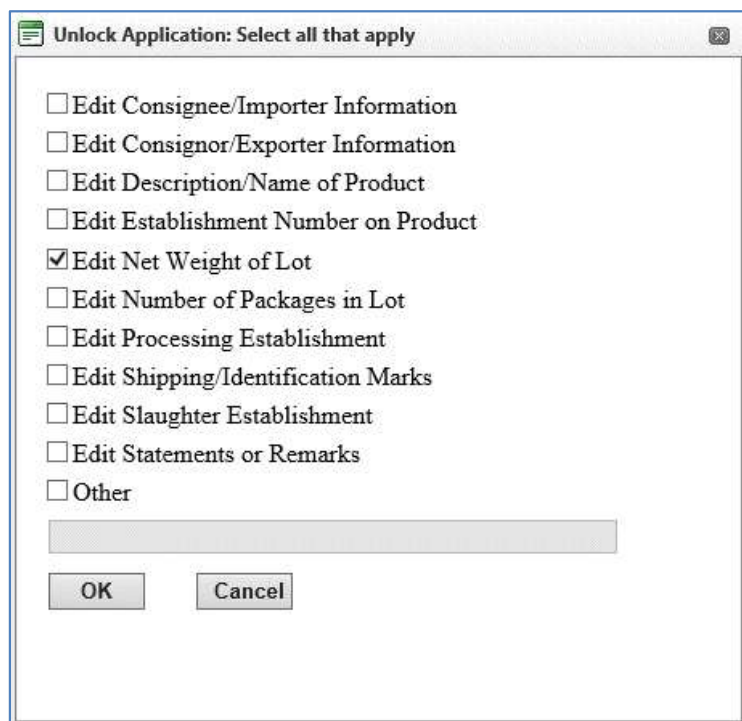


Figure 141: Unlock Application: Select all that apply pop-up window

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 0.

Export Applicant
Home About PHIS My Profile Help Sign Out

9060 Application
My Establishment
Application Type
Exporter
Importer
Products Summary
Shipment Information
Access Control
Statements
Submit Application
History
Exit Menu

You are here: Home > 9060 Applications > Products Summary

Products Summary

This application is currently under review. Only fields that are not grayed out may be edited.

9060 Application Header

Exporting Establishment Name:		Application Number:	0043840
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
		Status:	Unlocked
Country of Destination:			

Product Label (Product Code)	HACCP	Species	Maturity Less Than 30 Months	Frozen/ Shelf-Stable	Net Weight of Lot	No. of Packages in Lot	Package Type	Est. No. on Product	Edit
FROZEN	Raw - Intact	Beef	Yes	Yes	2371.7000 lbs (0 kgs)	53	Box		
FROZEN	Raw - Intact	Beef	Yes	Yes	45.9000 lbs (0 kgs)	1	Box		

Total Net Weight*: 2416.6000 lbs

Figure 142: 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 .

9060 Application

- My Establishment
- Application Type
- Exporter
- Importer
- Products Summary
- Shipment Information
- Access Control
- Statements
- Submit Application
- History
- Exit Menu

Product Details

This application is currently under review. Only fields that are not grayed out may be edited.

9060 Application Header

Exporting Establishment Name:		Application Number:	0094231
Exporting Establishment Number:	Samples	Application Type:	New
Shipment Type:		Certificate Package:	Certificate Package
Country of Destination:	IRELAND	Status:	Unlocked

All fields with * are required.

Product Information

Product Name*: Beef Tenderloin

Product Code:

HACCP Category*: Raw - Non Intact

Species*: Beef

Is the Maturity Less than 30 Months: Yes

Is the Product Frozen/Shelf-Stable*: ☒ Yes ☐ No

Marked Net Weight of Lot*: 20 lbs, 20 kgs

Number of Packages in Lot*: 10

Package Type*: Box

Shipping/Identification Marks:

Est. Number on Product*: M25

Cancel Finish

Figure 143: Edit Product Name and Update Catch Weights on the Product Details page

Step 9	If applicable, on the Products Summary page, edit the Total Net Weight field.
Step 10	Re-select the Under penalty of law statement.
Step 11	Select Next .
Step 12	Continue until you reach the Submit 9060-6 Application page.
Step 13	Select Review Application Submission .
Step 14	Select Submit Application . The page refreshes and a confirmation message appears, and the application status is returned to its prior status.

8.1.1.10 Edit Slaughter Establishment and Processing Establishment on 9060 Application

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

8.1.1.11 Manage Seal, Container, and Port of Entry Information

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

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

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

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

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

Step 1	From the menu, select 9060 .
Step 2	In the Ship. Info. column, select Edit . The Shipment Information window appears.
Step 3	Edit the Container and Seal information accordingly (see Figure 110 and Figure 111). These are the same fields from the 9060 application data entry process. Note: Select Insert once finished, otherwise PHIS does not save the data

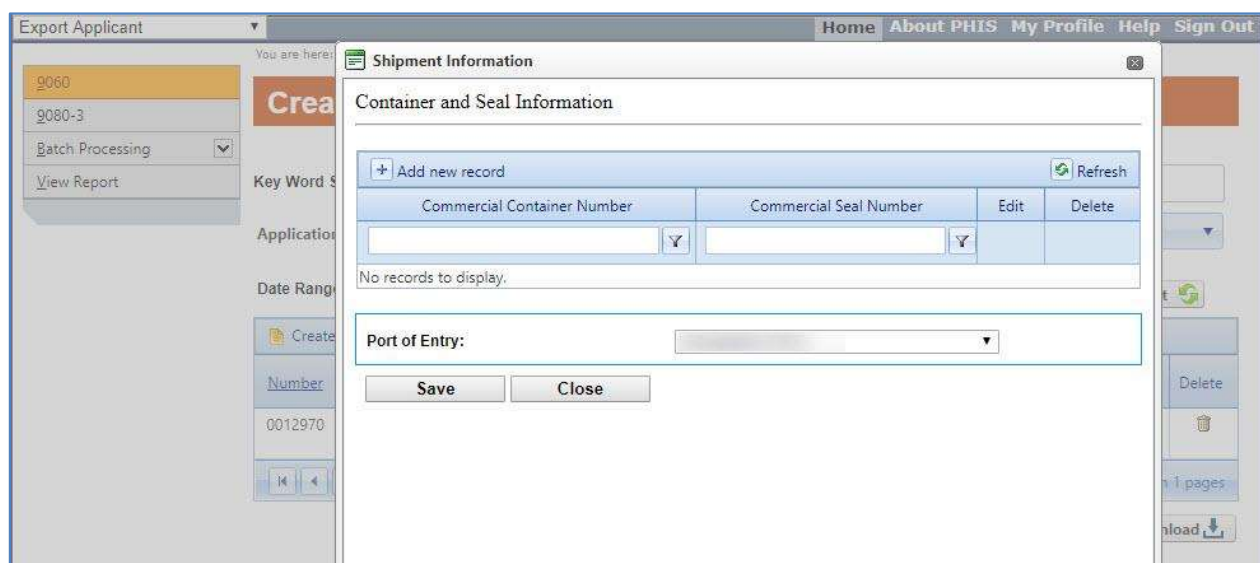


Figure 144: Shipment Information window

8.1.1.12 History page

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

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

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

9060 Application

My Establishment
Application Type
Exporter
Importer
Products Summary
Shipment Information
Access Control
Statements
Submit Application
History
Exit Menu

History

9060 Application Header

Exporting Establishment Name:		Application Number:	0094235
Exporting Establishment Number:		Application Type:	New
Shipment Type:	Commercial Sale	Certificate Package:	Certificate Package
Country of Destination:	ANDORRA	Status:	Submitted
Final Destination Country:	AFGHANISTAN		

User	Action	Justification	Date/Time
Afzal Applicant	Create Application		7/16/2020 10:48:16 AM
Afzal Applicant	Submit Application		7/16/2020 3:16:47 PM
Afzal Applicant	Unlock Application		7/16/2020 3:31:47 PM
Afzal Applicant	Submit Application(B)		7/16/2020 3:34:00 PM
Afzal Applicant	Unlock Application		7/16/2020 3:56:53 PM
Afzal Applicant	Submit Application(B)		7/16/2020 3:57:39 PM
Afzal Applicant	Unlock Application		7/16/2020 5:26:16 PM
Afzal Applicant	Submit Application(B)		7/16/2020 5:26:20 PM
Afzal Applicant	Unlock Application	Edit Slaughter Establishment	7/16/2020 6:03:36 PM
Afzal Applicant	Edit Shipment Information		7/17/2020 4:15:02 PM
Afzal Applicant	Submit Application		7/17/2020 4:15:39 PM

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Previous

Figure 145: History page

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

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

Step 1	From the menu, select 9060.
Step 2	Select Copy for an existing record.

Step 3	On the confirmation window, select OK . PHIS adds a new application with an unsubmitted status added to the top of the 9060 grid.
Step 4	Select Edit for the new application and make the necessary changes. When copying one record to another, PHIS does <i>not</i> copy the following data elements: <ul style="list-style-type: none"> • The checkmark from the Under penalty of the law statement on the Products Summary page • Any checkmarks for Certification Statements on the Products Summary page • The Container and Seal Information and Access Control information • Supplemental and Supportive documents
Step 5	On the Products Summary page, accept the Under Penalty of Law statement by selecting the checkbox.
Step 6	Select the appropriate Certification Statement(s).
Step 7	Continue until you reach the Submit 9060-6 Application page. Select Review Application Submission to review the certificate before submitting.
Step 8	Select Submit Application . The page refreshes and a confirmation message appears.

8.1.2 Replacements

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

8.1.2.1 Replace One Paper Certificate with One Electronic Application

To replace a paper certificate, follow these steps:

Step 1	On the Application Type page, for the Shipment Type field, select a value from the drop-down list.
Step 2	For the Application Type, select Replacement from the drop-down list.
Step 3	Select a reason for replacement from the drop-down list.

Figure 146: Reasons for Replacement

Step 4	Type the certificate number you are replacing. As this certificate was generated outside of PHIS, the format should be three letters and six numbers, for example: MPL123456.
Step 5	Select Next .
Step 6	Follow the same process as creating a new application. <ul style="list-style-type: none"> Because this is an application for the approval of 9060 replacement certificate, export users are responsible for typing any required statements in the Required Statements field on the Submit Application page and/or selecting the checkbox associated with PHIS-generated statement (if a Unique Identifier was entered for the Export Mark to be Used on the Exporter page). Export users must upload applicable supplemental and supportive documentation to the replacement application.
Step 7	Continue until you reach the Submit 9060-6 Application page, select Review Application Submission .
Step 8	Close the PDF window.
Step 9	Select Submit Application .

Step 10	Receive the following Action Required message and select Yes , if desired. The page refreshes and a confirmation message appears
---------	--



Figure 147: Action Required message

8.1.2.2 Replace One Electronic Certificate with an Electronic Application

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

Step 1	On the Application Type page, for the Shipment Type field, select a value from the drop-down list.
Step 2	For the Application Type field, select Replacement from the drop-down list.
Step 3	Select a reason for replacement from the drop-down list.
Step 4	Type the certificate number being replaced. The certificate being replaced must have an approved status.
Step 5	Select Next .
Step 6	At this point, the process is similar to creating a new application, but most fields are pre-populated and editable. <ul style="list-style-type: none"> • A link to the approved certificate being replaced appears in the 9060 application header. • For the Export Mark to be used, data is copied over to the replacement application from the original approved certificate and displays as a read-only value. • Total Net Weight value(s) do not transfer. • The PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer to replacement type applications from the original certificate. To include such statements, select Statements from left menu and select from the available Statement options.

Step 7	<p>On the Product Details page, the only editable fields are Product Name, weight, and number of packages.</p> <p>Please note:</p> <ul style="list-style-type: none"> 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	<p>On the Products Summary page, enter appropriate values into the available Total Net Weight value fields.</p> <ul style="list-style-type: none"> 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	<p>You may now move through the rest of the application and make any necessary edits.</p> <ul style="list-style-type: none"> The PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer to replacement type applications from the original certificate. To include such statements, select Statements from left menu and select from the available Statement options. Because this is an application for the approval of 9060 replacement certificate, export users are responsible for either typing any required statements in the Required Statements field on the Submit Application page and/or selecting the checkbox associated with PHIS-generated statement. Supplemental and Supportive documents attached to the application submitted with the application for the originally approved certificate do not transfer to the Replacement application. As needed, users must upload applicable supplemental and supportive documentation to the replacement application.
Step 11	Select Review Application Submission to review the certificate before submitting.

Step 12	Close the PDF window.
Step 13	The Submit Application button is enabled, select Submit Application .
Step 14	Receive the Action Required message (Figure 147) and select Yes , if desired. The page refreshes and a confirmation message appears.

8.1.2.3 Consolidate Multiple Certificates to One Application

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

Step 1	On the Application Type page, for the Shipment Type field, select a value from the drop-down list.
Step 2	For the Application Field, select Consolidate from the drop-down list.
Step 3	Select a reason from the drop-down list for this replacement.
Step 4	Type the Certificate Numbers you are consolidating. Note: Separate the numbers with a comma without spaces

Figure 148: Completed Fields for Consolidation

Step 5	Select Next
--------	--------------------

Step 6	<p>At this point, the process is the similar to creating a new application, but most fields are pre-populated and editable.</p> <ul style="list-style-type: none"> • PHIS displays a link to the approved certificates being replaced appears in the 9060 application header. • For the Export Mark to be used, data is copied over to the consolidated application from the original approved certificates and cannot be edited. • Total Net Weight fields on the Products Summary page are not pre-populated. • PHIS-Generated Statements per Importing Country or Importing Country/Species combination do not transfer.
Step 7	<p>On the Product Details page, the only editable fields are Product Name, weight and number of packages. Please note:</p> <ul style="list-style-type: none"> • 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	<p>There is no way to add or delete product lots from the Products Summary grid during the consolidation process.</p>
Step 9	<p>On the Products Summary page, enter appropriate values into the available Total Net Weight value fields.</p> <ul style="list-style-type: none"> • 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	<p>Accept the Under Penalty of Law statement by selecting the checkbox.</p>


Step 11	<p>You may now move through the rest of the application and make any necessary edits.</p> <ul style="list-style-type: none"> • 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	<p>Receive a variation of the Action Required message (Figure 147) and select Yes, if desired.</p> <p>The page refreshes and a confirmation message appears</p>

8.1.2.4 Split One Certificate to Multiple Applications

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

Step 1	On the Application Type page, for the Shipment Type field, select a value from the drop-down list.
Step 2	For the Application Type, select Split from the drop-down list.

Step 3	Select a reason for doing the replacement.
Step 4	Type the Certificate Number you are replacing and enter the number of new applications you want to create. PHIS displays a grid based on your entry and the product information of the original approved certificate

 Click on the weight or packages column cells to edit.




Splits	Product Name (Code)	Species	Weight (lbs)	Weight (Kg)	Packages	Package Type	Est Number on Product
Split 1; Export Establishment Name: 							
	FROZEN CHICKEN LEG QUARTERS ()	Chicken	0	0	0	Case	P165H
Total weight for new Application 1 *			lbs.	kgs.			
Split 2; Export Establishment Name: 							
	FROZEN CHICKEN LEG QUARTERS ()	Chicken	0	0	0	Case	P165H
Total weight for new Application 2 *			lbs.	kgs.			
Split 3; Export Establishment Name: 							
	FROZEN CHICKEN LEG QUARTERS ()	Chicken	0	0	0	Case	P165H
Total weight for new Application 3 *			lbs.	kgs.			
Total:	FROZEN CHICKEN LEG QUARTERS()		0	0	0		
			of 57000	of 25849.5	of 1425		

Figure 149: Split Application Product Data Entry Grid

Step 5	<p>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.</p> <ul style="list-style-type: none"> For your convenience, previous weight and package totals are listed by product at the bottom of the grid. PHIS tracks your entries as they are assigned to the proposed applications based upon the original weight and package values of the approved certificate. If a value was added to the kgs field at the product level that was not part of the original approved certificate, you need to type a value in the Total Net Weight kgs field. The system validates only that the value you typed is positive. If a value was added to the lbs field at the product level that was not part of the original approved certificate, you need to type a value in the Total Net Weight lbs field. The system validates only that the value you typed is positive. Values entered cannot total to a value greater than those associated with the original approved certificate.
Step 6	Select the Pencil icon to the right of the Export Establishment Name field to select the appropriate Export Establishment Number for each application.

Step 7	<p>Select Next.</p> <p>Upon selecting Next, PHIS compares the entered values to the values on the original certificate and one of the following happens:</p> <ul style="list-style-type: none"> 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 150: Exceeds the Values of the Original Certificate Message

	<ul style="list-style-type: none"> 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.
--	--

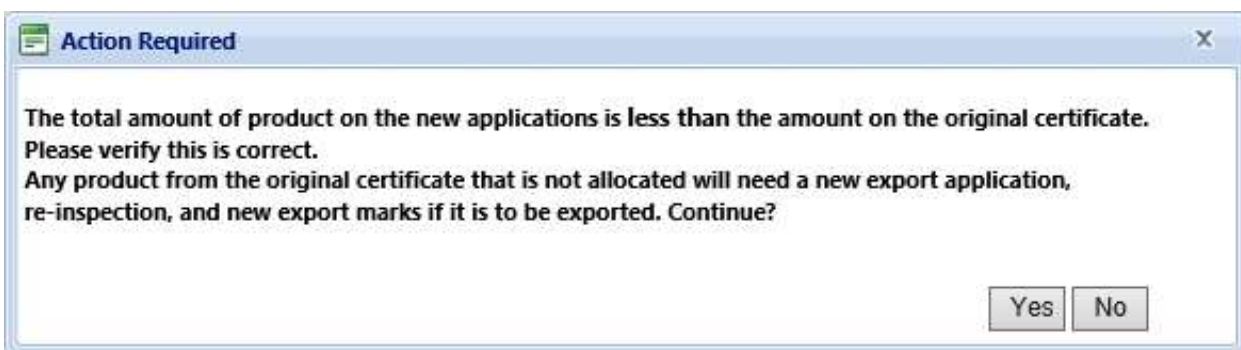


Figure 151: Values Entered are Less than those on the Original Certificate

	<p>If the value(s) you entered per product on each application add up the exact amounts on the source certificate, PHIS does not display a message (go to the next step).</p>
Step 8	<p>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.</p>
Step 9	<p>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.)</p>

Step 10	<p>Once satisfied, you have two buttons from which to choose from: Finish or Submit.</p> <ul style="list-style-type: none"> • 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.
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Notes:

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

8.1.3 Batch Export

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

This process allows for:

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

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

There are two options for loading the files to PHIS:

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

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

For more information, see the *PHIS Industry Export Batch User Guide*.

8.1.4 9080-3 Applications

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

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

Step 1	Log in to PHIS with the Export Applicant role.
Step 2	From the left menu, select View 9080-3 .
Step 3	On the Create/View Establishment Application for Export page, select Create Application .
Step 4	On the Select Establishment page, select the House icon associated with the desired Establishment.

Step 5	On the General Information page, enter the required data and select Next .
Step 6	For the Category of Product section, enter 9080-3 related data and select Next

Figure 152: Product Information page

Step 7	On the Establishment Application for Export page, add an attachment by selecting Add New File .
Step 8	Select Browse to locate the file and then select Open .
Step 9	Fill in the Document Title field and select Upload .
Step 10	After all the necessary files are uploaded and the application is complete, select Submit .

Step 11	Select OK to confirm that you want to submit the application. A confirmation message appears.
Step 12	Select Exit Menu .

Figure 153: Confirmation Message for Submitting 9080-3 Application

Step 13	On the grid, your application appears with a status of Submitted. At this point, if you select the PDF icon, the application opens a PDF of the 9080-3 in read-only mode.
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Figure 154: PDF of 9080-3 Application