



U.S. Department Of Agriculture (USDA)
Animal and Plant Health Inspection Service (APHIS)

ePermits

BRS: Reports and Notices

XML Upload Design

Version 1.3

January 5, 2011

Contents

| | |
|--|----|
| Introduction | 3 |
| SECTION 1: Screen Mockups | 4 |
| SECTION 2: General Information | 10 |
| What Data to Include in the XML File | 10 |
| How to Upload | 10 |
| How to Correct a Submitted Report | 10 |
| Questions/Answers | 11 |
| SECTION 3: Detailed Information..... | 12 |
| Required Fields..... | 12 |
| Field Validation | 13 |
| Planting Report | 13 |
| Volunteer Monitoring Report | 14 |
| Field Test Data Report..... | 15 |
| Downstream Validations..... | 16 |

Reports and Notices: XML Upload Process

Introduction

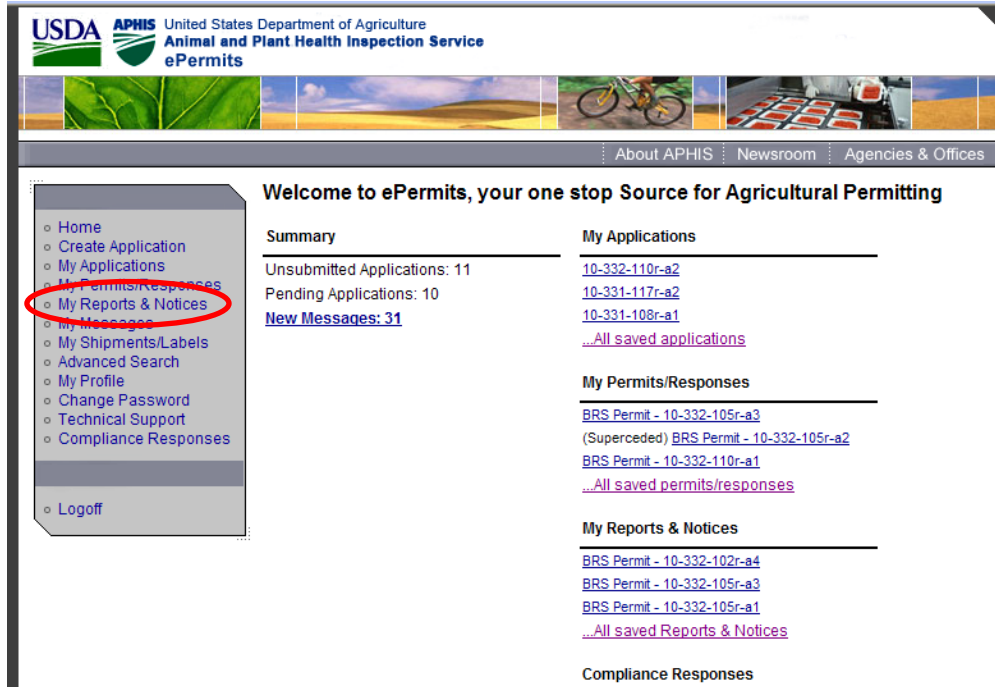
In the Reports and Notices module, three reports can be uploaded as xml files: Planting Report, Volunteer Monitoring (VM) Report, and Field Test Report (FTD), both Annual and Final.

The purpose of this document is to show how a user would upload and submit a report to the ePermits system via use of an XML file. Each file may contain only one report, but each report can contain several records for one permit or notification. For example, a Planting Report can contain records of multiple plantings for multiple release sites, but they must all be for the same permit or notification. Likewise, a single Volunteer Monitoring Report can contain records for several observations for each monitoring period, several monitoring periods for each release site, and several release sites for each permit or notification. Finally, Field Test Reports may also be submitted via XML upload; each release site included in the report must have a complete set of field test data, and all included release sites must be for the same permit or notification.

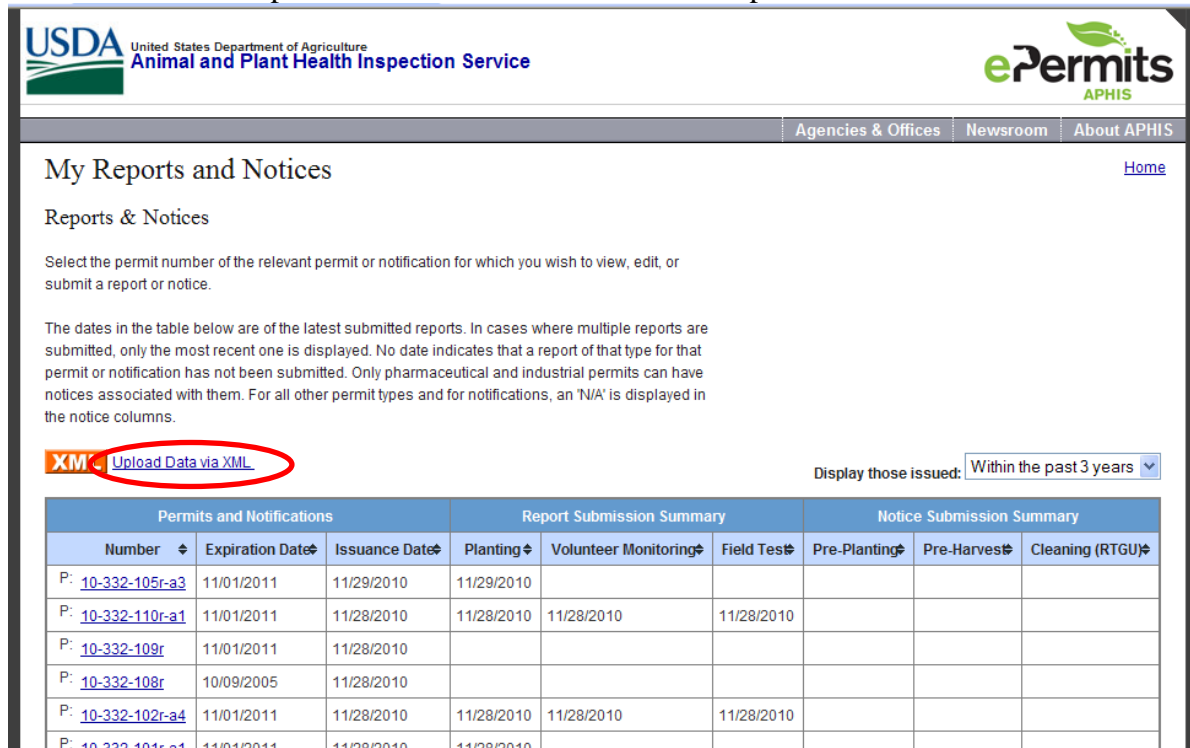
Section 1 of this document contains screen mockups demonstrating the steps needed to upload, certify, and submit a report into the ePermits system. Section 2 discusses general information, like how to make corrections to a report. Section 3 lists the required fields for each report type, as well as other errors that can be thrown.

SECTION 1: Screen Mockups

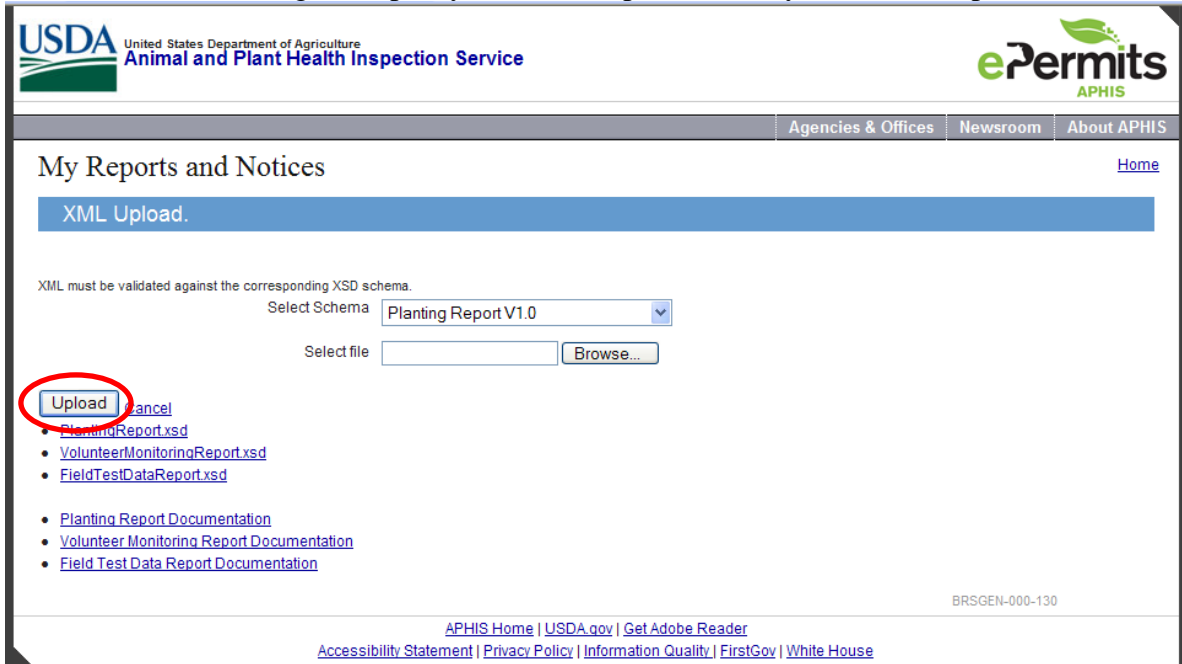
1. Log into ePermits as an N/A: Applicant. Then select “My Reports & Notices” on the left.



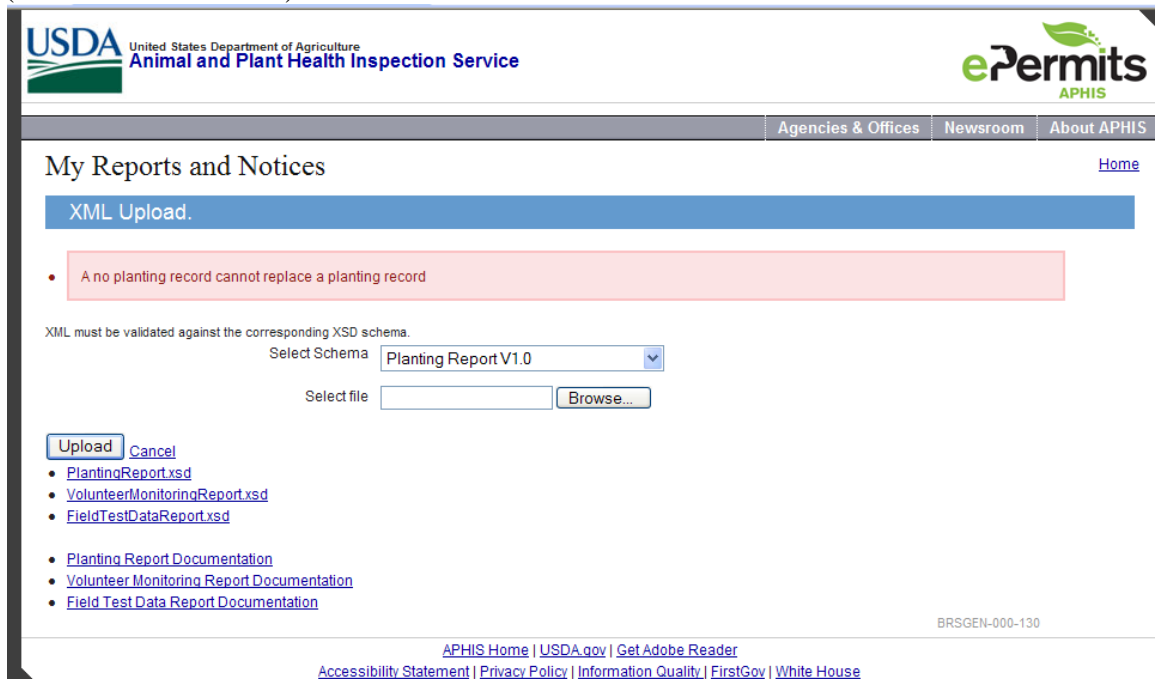
2. This is the Reports & Notices screen. Select the “Upload Data via XML” link.



- This is the XML Upload screen. Use the drop-down menu to select the schema version for your xml file. There are three to choose from – Planting Report V1.0, Volunteer Monitoring Report V1.0, and Annual/Final Field Test Report V1.0. Next, browse to the xml file containing the report you wish to upload. Finally, click the “Upload” button.



NOTE: if the xml file does not validate, or if it contains data errors that prevent creation of your report in the system, the below screen will refresh showing the errors just below the screen title (see screenshot below).



- Once the system successfully loads your report, it will take you to the report's summary screen (in this case, the Plantings Summary screen). From here you can either review the data that was uploaded, or use the metromap to navigate to other screens where you can attach supporting documents or certify and submit. For this example, click the "Supporting Documents" link on the metromap of this screen.

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My Reports and Notices [Home](#)

[Reports & Notices](#) << [Report Summary](#) << [Planting Report](#)

Number: 10-332-105r-a3 [Permit](#)

Planting Report Created: November 29, 2010 [Current Planting Report](#)

[Plantings](#)

[Supporting Documents](#)
[Certify and Submit](#)

Note: To submit your Final Field Test Report you must have a submitted Planting Report that accounts for each release site. This means that eventually each site must have either 1 or more Plantings, or have a No Planting Occurred Comment

| Action | Location ID | Location Name/ Planting ID | County | State | Planting Date | Constructs | Comments |
|------------------------------|-------------|-------------------------------|--------|--------|---------------|------------|----------|
| | [Location1] | [Discovery Farm] | Maui | Hawaii | | | |
| | | ftdtest | | | Nov 29, 2010 | 0 | |
| | | pl-01 | | | Nov 8, 2010 | 0 | |
| | | yellowleaf | | | Nov 29, 2010 | 1 | |
| Add Planting | | | | | | | |
| | [Location2] | [Discovery Farm] | Maui | Hawaii | | | |

5. Below is the Supporting Documents screen. From here, you can enter a description/title for the document you wish to attach. If it contains CBI, you will need to upload two copies – one with CBI and one without. Use the browse buttons for this, then click “Upload”. The files will upload, and the screen will refresh showing the file records in a table below the Upload button. Once all attachments have been added, click “Continue” at the bottom of the screen.

Attach Supporting Documents

Description/Title:

Does this document contain CBI: Yes No

Note: When submitting documents to BRS that Confidential Business Information (CBI), it is necessary to provide two versions: CBI-included and CBI-deleted. Above, if you answer “Yes” to “Does this document contain CBI?”, you will need to upload both versions, which will share the same Short Description/Title.

Select the supporting document(s) using the browse button

CBI-Included Version:

CBI-Deleted Version:

Submitted Documents

To view the attached document, select the hyperlinked file description.

| Attachment Description | File Name | CBI? | Delete |
|--|------------|--------------------|--------|
| Maps of planting area | Maps.doc | No | |
| Photos of greenhouse facility | Photos.doc | No | |
| Court documents from previous case | Case1.doc | Yes (CBI included) | |
| Court documents from previous case | Case2.doc | Yes (CBI deleted) | |

[Cancel](#)

6. This is the Certification screen. Just check the checkbox and click Certify and Submit. The system will validate that all required information has been entered, and your report will be submitted.

The screenshot shows the USDA ePermits APHIS interface. At the top left is the USDA logo with the text "United States Department of Agriculture" and "Animal and Plant Health Inspection Service". At the top right is the "ePermits APHIS" logo. Below the logos is a navigation bar with links for "Agencies & Offices", "Newsroom", and "About APHIS". The main heading is "My Reports and Notices" with a "Home" link. Below this is a breadcrumb trail: "Reports & Notices << Report Summary << Planting Report << Certify and Submit". The report details include "Number: 10-332-105r-a3" and "Planting Report Created: November 29, 2010". There are links for "Permit" and "Current Planting Report". A progress bar shows three steps: "Plantings" (completed), "Supporting Documents" (in progress), and "Certify and Submit" (upcoming). A note states: "NOTE: Any missing or incorrect information within the report may delay the processing of your report." Below this is a legend: "*indicates a required field". A checkbox with an asterisk is followed by the text: "I, BobMarley, hereby certify that the Planting Report submitted to APHIS is true and accurate to the best of my knowledge and belief. If there are any changes to the information disclosed in this Planting Report, I will contact APHIS." A red warning message reads: "WARNING: Once you certify and submit, the report will no longer be editable". At the bottom left are buttons for "Certify and Submit" and "cancel". At the bottom right is the ID "BRSPLR-003-100". The footer contains links for "APHIS Home", "USDA.gov", "Get Adobe Reader", "Accessibility Statement", "Privacy Policy", "Information Quality", "FirstGov", and "White House".

- After successful certification and submittal, the system will return you to the Reports Summary screen below. You will now see your report has a status of Submitted. You may now upload other reports by selecting the Upload Data via XML link at the top right of each report section.

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My Reports and Notices [Home](#)

[Reports & Notices](#) << [Reports Summary](#)

Number: 10-332-102r-a4 [Permit](#)

Effective: November 1, 2010

Expires: November 1, 2011

Planting Reports [Upload Data via XML](#) [Add](#)

| Edit/View | Status | Submitted Date | Delete |
|----------------------|-----------|--------------------------------|--------|
| View | Submitted | November 28, 2010 12:15 PM CST | |
| View | Submitted | November 28, 2010 11:57 AM CST | |
| View | Submitted | November 28, 2010 11:17 AM CST | |
| View | Submitted | November 28, 2010 11:13 AM CST | |

Volunteer Monitoring Reports [Upload Data via XML](#) [Add](#)

| Edit/View | Status | Submitted Date | Delete |
|----------------------|-----------|--------------------------------|--------|
| View | Submitted | November 28, 2010 12:17 PM CST | |

Field Test Reports (Annual and Final)

| Edit/View | Status | Submitted Date | Type | Delete |
|----------------------|-------------|--------------------------------|--------|------------------------|
| Edit | Unsubmitted | | Annual | Delete |
| View | Submitted | November 28, 2010 12:18 PM CST | Annual | |

SECTION 2: General Information

What Data to Include in the XML File

All three report types are cumulative. For example, if you submit a planting report with a planting for a given release site, then when you submit a second planting report for that same permit or notification, the already-submitted planting will automatically appear in the new report. You do not need to include the already-submitted planting in the xml file; it will be copied over from the previous report at the time of creation. Only include new data and any required edits (see below). Likewise on the VM report, previously submitted monitorings and observations will be copied to the new report at the time of creation and need not be included in the xml file.

The FTD report is slightly different. It is cumulative in the sense that all previously reported planting locations are made eligible to contain field test data. However, the xml files will only contain the field test data itself for each location, and that data itself is not cumulative – it is a snapshot in time of the status of planted material at a reported location. Each time you submit a FTD report, you must submit complete data for each planted location. By the time of the final FTD report, each location must be accounted for, so any unplanted locations need to be declared as “No Planting Occurred” on a planting report before the final FTD report can be submitted.

How to Upload

The basic mechanism for uploading will be as follows (for details, see the last section):

1. Log in to the ePermits system.
2. Pick the file to upload and the schema version, and perform the upload
3. System validates the file
4. Verify the uploaded report information and add any attachments. If there are any errors, the XML file will need to be deleted and a new corrected one uploaded.
5. Certify and submit the report (saves the data to the system and prevents further edits)

For each permit or notification, each of the three types of reports may only have one unsubmitted report in progress at a time. If you uploaded a report but haven't yet certified and submitted it, you cannot upload a second report of the same type to that same permit or notification. Attempting to do so will generate an error. If the unsubmitted report contains incorrect data, you can either use the web interface to correct it or you can delete the unsubmitted report and upload a corrected xml file.

How to Correct a Submitted Report

Occasionally a report which contains errors will be submitted and certified before the errors are discovered. How can that submission be corrected? The answer depends on the report type:

1. FTD – simply submit another report containing the correct information. BRS considers the most recent version of these reports to be the official final version.
2. VM – you cannot make changes to these reports once they are submitted. If any information is in error, contact BRS staff and they will make the corrections for you, at their discretion.
3. Planting Reports – the two record types are handled differently:
 - a. No Planting Occurred (NPO) records – can be edited or deleted:

- i. Edit – submit a new report containing the complete old record with corrections.
 - ii. Delete – submit a new report containing a planting record at this location, in place of the previously submitted NPO record.
- b. Planting records – can only be edited; submit a new report containing the complete old record with corrections where needed. If a planting was reported in error for a site that will never be planted, it cannot be deleted. You should change the quantity field to “0”, add comments explaining the mistake, and then in the FTD report, again explain the mistake in the “Explanation” field.
- c. To give users the flexibility to report planting information for a site that was previously reported as No Planting Occurred, the users must provide a PlantingUniqueId for both No Planting Occurred records and Planting records.

Questions/Answers

1. Planting Report
 - a. Planting record
 - i. Can the PlantingUniqueId and Quantity Planted (in acres) fields be CBI? - *Yes*
 - ii. Are the Planting_Unique_IDs unique across the release sites or the permits? - *they are unique at the permit level; two different permits can share an ID, but two release sites in one permit **cannot** share an ID*
 - iii. Can the Quantity Planted (in acres) field accept a “0” value? - *Yes*
 - iv. Are constructs tied to the release sites on the application? - *No, they are tied to a planting*
2. XML Upload Process
 - a. Can the uploaded xml file contain attachments? -*No. Attachments must be added via a separate screen in the application.*
 - b. Will all data be validated and then all errors reported? - *Yes, errors will be reported after data validation, but only the first 50 or so will be reported, or as many as the system encounters before it cannot process further.*

SECTION 3: Detailed Information

Required Fields

The following fields are required; if they are missing, the planting report cannot be validated. Field names are in italics:

- 1) Planting Report:
 - a) *ApplicationId* (the AHIS-BRS permit or notification number)
 - b) Planting Records must contain:
 - i) *LocationUniqueId*
 - ii) *UniqueId* (for the planting)
 - iii) *Start Date*
 - iv) *Quantity*
 - v) At least one GPS Coordinate pair containing:
 - (1) *Latitude*
 - (2) *Longitude*
 - c) No Planting Occurred Records must contain:
 - i) *UniqueId*
 - ii) *Explanation*
- 2) VM Report:
 - a) *ApplicationId* (the APHIS-BRS permit or notification number)
 - b) Monitoring Period Records must contain:
 - i) *LocationUniqueId*
 - ii) *Start*
 - iii) *End*
 - iv) At least one Observation Detail node, containing:
 - (1) *Date*
 - (2) *Volunteers*
 - (3) *VolunteerUnit*
 - (4) *ActionsTaken*
 - c) No-Monitoring Records must contain:
 - i) *Date*
 - ii) *Comment*
- 3) FTD Report:
 - a) *ApplicationId* (the APHIS-BRS permit or notification number)
 - b) Each reported location must contain:
 - i) *LocationUniqueId*
 - ii) *DispositionMethods*
 - iii) *UnintendedEffects*
 - iv) *UnusualOccurrences*
 - v) *CropObservations*
 - vi) If no material was planted:
 - (1) *Explanation*

- vii) If material is still growing in the field:
 - (1) *StillGrowingQuantity*
 - (2) *StillGrowingDescription*
- viii) If material was destroyed before harvest:
 - (1) *DestructionDate*
 - (2) *Description*
- ix) If material was harvested:
 - (1) *HarvestDate*
 - (2) If material was terminated In-Field:
 - (a) *TerminationDate*
 - (b) *Description*
 - (3) If material was terminated Off-Field:
 - (a) If the material was Stored:
 - (i) *Quantity*
 - (ii) *Units*
 - (iii) *Description*
 - (b) If the material was destroyed Off-Field:
 - (i) *DestructionDate*
 - (ii) *Description*

Field Validation

Planting Report

| FIELD NAME | VALIDATION |
|---|---|
| ApplicationId (APHIS-BRS permit/notification number) | Number must exist in the system |
| ApplicationId (APHIS-BRS permit/notification number) | Must be owned by the logged-in user |
| ApplicationId (APHIS-BRS permit/notification number) | Must contain release sites |
| ApplicationId (APHIS-BRS permit/notification number) | Not a withdrawn, suppressed, or denied permit or notification |
| LocationUniqueld | Must match a location in the given permit or notification |
| LocationUniqueld | Must be unique across the permit/notification (can only have one xml node with this ID) |
| Uniqueld (for planting) | Must be unique across the permit/notification |
| StartDate | Must not be before permit/notification effective date |
| StartDate | Must not be after permit/notification expiration date |
| StartDate | Must not be after current date |

| | |
|-------------------------------|---|
| HarvestDate | Must not be before permit/notification effective date |
| HarvestDate | Must not be after permit/notification expiration date |
| HarvestDate | Must not be before Planting Start Date |
| Quantity | Must not be less than 0 |
| Comments | Must not be more than 4,000 characters |
| Latitude | Must be between -90.0 and 90.0 |
| Longitude | Must be between -180.0 and 180.0 |
| Construct | Must match a construct in the permit/notification |
| Lines | Must not exceed 8,000 characters |
| Explanation (for No-Planting) | Must not exceed 4,000 characters |

Volunteer Monitoring Report

| FIELD NAME | VALIDATION |
|--|---|
| ApplicationId (APHIS-BRS permit/notification number) | Number must exist in the system |
| ApplicationId (APHIS-BRS permit/notification number) | Must be owned by the logged-in user |
| ApplicationId (APHIS-BRS permit/notification number) | Must contain release sites |
| ApplicationId (APHIS-BRS permit/notification number) | Not a withdrawn, suppressed, or denied permit/notification |
| LocationUniqueld | Must match a location in the given permit or notification |
| LocationUniqueld | Must be unique across the permit/notification (can only have one xml node with this ID) |
| Monitoring Period Start Date | Must not be before permit/notification effective date |
| Monitoring Period Start Date | Must not be after monitoring period end date |
| Monitoring Period Start Date | Must not be after current date |
| Monitoring Period End Date | Must not be before permit/notification effective date |
| Monitoring Period End Date | Must not be before monitoring period start date |
| Monitoring Period End Date | Must not be after current date |
| Comments | Must not exceed 4,000 characters |

| | |
|----------------------------|---|
| Observation Date | Must not be before permit/notification effective date |
| Observation Date | Must fall on or between monitoring period start and end dates |
| Observation Date | Must not be after current date |
| No. Volunteers | Must be a valid number, not less than 0 |
| Volunteer Units | Valid values include: <ul style="list-style-type: none"> - per field - per 1 sq. ft. - per 10 sq. ft. - per 100 sq. ft. - per 1000 sq. ft. - per acre |
| Actions Taken | Must not exceed 4,000 characters |
| Comments | Must not exceed 4,000 characters |
| No-Monitoring Comment Date | Must not be before permit/notification effective date |
| No-Monitoring Comment Date | Must not be after current date |
| No-Monitoring Comment | Must not exceed 4,000 characters |

Field Test Data Report

| FIELD NAME | VALIDATION |
|--|--|
| ApplicationId(APHIS-BRS permit/notification number) | Number must exist in the system |
| ApplicationId (APHIS-BRS permit/notification number) | Must be owned by the logged-in user |
| ApplicationId (APHIS-BRS permit/notification number) | Must contain release sites |
| ApplicationId (APHIS-BRS permit/notification number) | Not a withdrawn, suppressed, or denied permit/notification |
| Disposition Methods | Must not exceed 4,000 characters |
| UnintendedEffects | Must not exceed 4,000 characters |
| UnusualOccurrences | Must not exceed 4,000 characters |
| CropObservations | Must not exceed 4,000 characters |
| Comments | Must not exceed 4,000 characters |
| Explanation | Must not exceed 4,000 characters |
| StillGrowingQuantity | Must not be less than 0 |
| StillGrowingDescription | Must not exceed 4,000 characters |
| Destroyed Before Harvest: DestructionDate | Must be after planting date |

| | |
|---------------------------------------|--|
| Destroyed Before Harvest: Description | Must not exceed 4,000 characters |
| Harvest Date | Must be after planting date |
| In-Field Termination: TerminationDate | Must be after planting date |
| In-Field Termination: Description | Must not exceed 4,000 characters |
| Off-Field Stored: Quantity | Must not be less than 0 |
| Off-Field Stored: Units | Valid values include: - pounds - acres |
| Off-Field Stored: Description | Must not exceed 4,000 characters |
| Off-Field Destroyed: Destruction Date | Must be after planting date |
| Off-Field Destruction: Description | Must not exceed 4,000 characters |

Downstream Validations

Some validations will be performed in future (downstream) reports:

1. Both VM and FTD reports can only contain records for locations that have recorded plantings submitted on a planting report.
2. By the final VM report, each planted location must have either a no-monitoring comment or at least one monitoring record.
3. By the final FTD report, each location must be accounted for with either a no-planting-occurred record or at least one planting record. If not, this must be corrected via a new planting report submission.
4. By the final FTD report, each submitted planting must contain a phenotypic designation (construct). If not, this must be corrected via a new planting report submission.