

# Operational Procedures Guide



**Ag Industry Identification System**

*Revised April 2022*

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## **Purpose**

The purpose of this document is to educate and inform the users of the AGIIS Directory on the procedures performed by the Directory Administrator, (aka the Member Services) to support the Directory.

## Definitions

### **Active Entity**

A record status indicator that identifies an entity as having a valid Industry Identifier in AGIIS.

### **Active Package Configuration**

A Package Configuration that a manufacturer/supplier currently has available to sell.

### **Active Package Size**

A Package Size that a manufacturer/supplier currently has available to sell.

### **Active Products**

Products or services that a manufacturer/supplier currently has available to sell.

### **Add Request**

Add requests are generated when a user submits a new entity or product for addition to AGIIS. The Directory Administrator will review all entity add requests submitted with comments, with the Duplicate Exception flag checked, a name/address override, designated Member Services Verification or if the system detects potential duplicates.

### **Address Override**

A request made on the AGIIS website to add or update an entity but the address supplied by the user is invalid according to address standardization software. Such requests can proceed as a "name and/or address override" but must be manually reviewed by the Directory Administrator (see Directory Request).

### **Address Standardization**

All entity addresses are processed by CASS Certified address standardization software before being stored in the AGIIS Master Directory. This process not only detects invalid addresses but also standardizes the data (e.g. Boulevard is standardized to BLVD). See also Address Override.

### **AGIIS**

The Ag Industry Identification System (AGIIS) is a database and software that combine to deliver a common set of identifiers and data elements to the Agricultural industry and other related businesses to foster eBusiness and e-Commerce between and among those companies.

### **AGIIS Assigned GLN**

A GLN identifier assigned by AGIIS (using a prefix allocated to AgGateway by GS1) to identify entities without a known GLN identifier.

### **Agreement**

An Agreement represents a generic contract between a manufacturer and a prospective licensee. In AGIIS Agreements typically refer to contractual language having to do with the seed traits. When an individual grower or company contractually "agrees" to this contract, the individual contract between the manufacturer and the grower is represented in AGIIS by a "License". Agreements are accessed in AGIIS from the Company page in the products section or from the Subscriber's AGIIS profile page.

***Agriculture***

The science or business of raising useful plants and animals, agriculture concerns itself with cultivating the soil, producing crops, feeding, treating and raising livestock and in varying degrees the preparation and marketing of the resulting products. In the broadest sense this definition includes plants that are raised for home and commercial purposes and animals that are raised as pets.

***ANSI X12***

American National Standards Institute, X12 Committee. A committee within the ANSI organization charged with developing data formats for standard business documents with cross industry application.

***Annual De-Duplication Process***

A process that is performed on the AGIIS database on an annual basis to identify duplicates. The process is based on the business rules approved by the Directory Oversight Committee. This process usually occurs in mid-December and is run after annual maintenance is performed.

***Annual Maintenance Process***

A series of maintenance activities that is performed annually on the AGIIS database to improve data quality and data integrity. The activities usually occur mid-December and approved by the Directory Oversight Committee. A complete list of activities can be found in appendix E of the AGIIS Policy Document.

***Authorized Vendor***

A third-party organization working on behalf of one or more subscribers who interact with AGIIS. An Authorized Vendor Agreement must be filled out by the parties involved and sent to Member Services.

***Auto Duplicate Detection (ADD)***

A process that automatically examines entity Add requests initiated on the AGIIS website to determine whether the request can be processed automatically or should be deferred for manual review by an AGIIS Directory Administrator. Eligible add requests are detected by the AGIIS website to have a soundex name match and an exact address match with an existing entity. If a tight match is found, the request is reviewed by the AGIIS Directory Administrator to determine if the request is a duplicate of an existing record, in which case the request would be declined. If no tight match is found, the record is automatically added to the directory. EBID requests that are a “true duplicate” of an existing GLN only entity will be automatically completed by adding an EBID to the existing record. Requests that specify Member Services Verification are not eligible for this process.

***Bar***

The darker portion or line of a bar code.

***Bar Code***

A precise arrangement of parallel lines (bars) and spaces both of varying widths. The bar code represents data elements and can be read by a scanner such as QR Codes, PLU DataBar codes, etc.

***BCC Email***

When you have interest in a request that is pending Directory Administrator review, you can get an email of the outcome by clicking on the BCC Email button found on the AGIIS Pending Entity Add Request from the Entity List page by selecting an entity with the letter “P” to the left of the name or from the AGIIS View Pending Request pop up page by clicking on the ‘View Pending Requests’ button on the Entity View page that has a pending request. When the request is processed, you will receive a copy of the request disposition email (based on the email address in your AGIIS user profile).

***Bought Out***

The Entity Status designation used to identify an entity that has been involved in a merger or has been purchased by another entity. Records that have the Entity Status of Bought Out have an Inactive Record Status.

***Brand***

The manufacturer's name for a related grouping of products.

***Bulk Processing***

The transactional processing of entity records in batch mode. Subscribers can submit transaction files to perform the following entity functions: add, update, add-to-subset, delete-from-subset, lookup by demographics, and lookup by identifier. The transaction file is processed in "bulk" and an analogous return file is created which consists of the input data for each transaction with result data (e.g. return code, error code, GLN Identifier) appended to the end of each record.

***Bulk Processing -Match\Merge***

The bulk transactions add, update, and demographic match require matching of the demographics in the input transactions against the AGIIS database. This matching is performed using an AGIIS specific configuration of sophisticated Match\Merge software from SAP\FirstLogic. This processing is designed to prevent duplicate entities from being added to the AGIIS database.

***Business***

An Entity Classification used to indicate that the entity engages in transactions related to products or services consumed by others.

***Company***

Within products 'Company' refers to a subscriber that contributes products to AGIIS. The Company record contains the entity’s demographics, a list of products, applicable GS1 prefixes used in creation of GTIN identifiers, a button to access Agreements, and Company Issue Notification. Other controls are available to authorized users from the subscriber’s company such as the ability to add/update GS1 prefixes, customize product, package size and package configuration labels, set the overall product security and access the mass product deletion functionality,

The user will receive a carbon copy (CC) of the email that is sent to the manufacturer.

***Consumers***

An Entity Classification used to indicate that the entity purchases and uses products or services.

***Cross-Industry Standard***

A data standard that has cross-industry application. ANSI X12 is such a standard, with broad

participation from many industries and a requirement of public review prior to becoming a standard.

**Data**

A general term to denote factual information.

**Data Availability**

Describes those data elements accessible to a computer application for processing.

**Data Element**

A group of characters that specify an item at the basic level, for example, qualifier, a value, or text.

**Data Harvesting**

A component of ADD and De-duplication in which data found in entities to be replaced but missing from the matched existing entity is "harvested" and updated in the existing entity, e.g. an entity to be replaced has a phone number and the survivor entity has no phone, the phone number is copied to the surviving entity.

**Database**

Collection of logically or physically related computer files.

**De-Duplication**

An annual maintenance activity which locates duplicate entity records, determines the record that should survive based on approved survivorship rules and replaces/inactivates other duplicates in the set. Unique licenses on a replaced record are moved to the surviving entity.

**Deactivate Orphans**

One of the Annual Maintenance processes, Deactivate Orphans consists of identifying entities that are not in a subscriber's EBID or GLN subset and inactivating them. This process is designed to keep the Master Directory as up-to-date as possible by identifying "stale" data and inactivating it.

**Default**

The value or selection to which a software program or field is initially set. A standard setting or action taken if you do not specify otherwise.

**Demographics**

Demographics consist of the name and address data necessary or customarily used to designate and locate entities.

**Direct Add\Update**

An entity Add or Update request that is determined to be eligible for direct updated to the "Master Directory" entity database and does not require manual review by an AGIIS Directory Administrator. Contrast to "Directory Request".

**Directory Administrator (DA)**

(1) Company - A third party vendor, contracted to maintain and administrate AGIIS and enforce the policies as established by AgGateway through the Directory Oversight Committee. The current Directory Administrator is CSC Covansys.

(2) User - When used in the context of AGIIS operation, Directory Administrator is a User classification that has broad privileges assigned to an individual(s) who manages the Directory. Normally the Directory Administrator is a staff member of the company contracted to maintain and administrate AGIIS (also known as Member Services).

***Directory News***

A method the Directory Administrator uses to communicate new features, functionality, issues and bugs. The Directory News is located on the AGIIS Home page and is available to all users of AGIIS.

***Directory Oversight Committee (DOC)***

A standing committee charged with providing governance for AGIIS. The DOC is comprised of no fewer than eight and no more than fifteen voting members and non-voting members as required, representing AgGateway and the AgGateway Councils. Voting members appointed by councils must be employees of companies subscribing to AGIIS.

***Directory Request***

An entity Add\Update\Reactivation\or EBID enumeration request that has been determined to require manual review by an AGIIS Directory Administrator. Such requests are not directly updated to the "Master Directory" entity database but are queued for review by a DA. Contrast to "Direct Add\Update".

***Disabled***

Within AGIIS, 'disabled' means unavailable for use. On an AGIIS web page, a button, field, or other page element is grayed-out and disabled thereby making it unavailable to perform its designated function. Contrast with enabled.

***Drop-down List***

On an AGIIS web page, an entry field that contains a list of choices from which you choose. Clicking the down arrow in the field displays the list of available options. Move the pointer to highlight the option you want and click to select it. TIP: Type the first letter of your choice to position the list quicker.

***DUNS Number***

D&B® D-U-N-S® Number is a unique 9-digit sequence recognized as the universal standard for identifying and keeping track of over 70 million businesses worldwide. These numbers are administered by Dun & Bradstreet.

***Duplicate Entity***

An entity with the same name and location combination as another entity within AGIIS

***Duplicate Exempt Flag***

The Duplicate Exempt Flag is used to protect unique records that are detected by AGIIS to be duplicates from being inactivated during the annual de-duplication process.

***EBID (E-Business Identifier)***

E-Business Identification code (EBID) is a 13-character alpha-numeric code used to identify physical locations, including but not limited to, manufacturing facilities, distribution facilities, retail locations, end use businesses, drop points, rail sidings, and locations identified by



geographic location (latitude and longitude.) EBID identifiers have the same numeric value as the GLN assigned to the entity.

***EBID Enumeration***

Adding an EBID identifier to an existing record identified with a GLN.

***ebXML Enabled***

A designation used on a Subscriber's Profile to indicate that the subscriber has established communication with CSC's ebXML engine.

***EDI (Electronic Data Interchange)***

Computer-to-computer communication of business documents in a standard format.

***Enabled***

Within AGIIS, 'enabled' means available for selection. On an AGIIS web page, a screen element (e.g., button, field, or check box) is enabled when it is made available to perform its designated function. Contrast with disabled.

***Encode***

Converting a number, letter, or special character into a bar code.

***Encryption***

Procedure of scrambling data through a series of calculations, starting with a secret key that makes it indecipherable to the outside observer. The receiver of such data must perform the same calculations to get the data back to its original form.

***Enter key***

The key on the keyboard that, when pressed, causes a default action to be taken based on the screen element that has focus. For example, if a button has focus, pressing the Enter key is the same as clicking the button using the mouse. The button's associated action will be taken. In multi-line text entry fields and word processing programs, the Enter key is used to end a paragraph and start a new one.

***Entity***

An entity is a unique combination of name and location conducting business within the agriculture industry. Each entity is identified in AGIIS with a GLN and possibly an EBID.

***Entity Add Notification***

Subscribers who have been classified as ebXML Enabled by the Directory Administrator and have established at least one Entity Contact List may use this function to notify other (ebXML enabled) subscribers when a new entity is added to AGIIS (and added to their subset) or an existing entity is added to their subset. This function is typically used when subscribers will have a common interest in an entity record and early notification of this fact is necessary.

***Entity Classification***

A data element in AGIIS used to designate an entity as a Business and/or Consumer or Location.

### ***Entity Contact List***

Entity Contact Lists may be set up by a Subscriber Administrator whose subscriber has been classified as ebXML Enabled. Each list is populated with one or more available subscribers (must be ebXML Enabled) and the list is named by the subscriber administrator. Each of the subscriber's Entity Contact Lists are available for selection when an entity is added to the subscriber's subset using the AGIIS website. The message sent is called an Entity Add Notification.

### ***Entity Edit Rules***

All entities in the Master Directory are extensively edited during the add/update process. Entities whose data does not comply with AGIIS edit policies are not allowed to be added/updated to the Master Directory. A complete spreadsheet of all entity rules is provided in .XLS format.

### ***Entity Status***

Entity Status is the business status designation of an entity in AGIIS. The following entity status types are assigned in AGIIS: In Business, Out of Business, Bought Out, and Replaced.

### ***Entity Verification***

A process used to ensure the submitted, required entity data is accurate (such as Entity Status, Name/Location, and Address).

#### Verification Types:

- Member Services – the entity request will be routed to the Directory Administrator for verification. Use of this option incurs a fee paid by the subscriber to AgGateway.
  - Member Services Verification Levels:
    - Tier 1 – Verification done without direct contact with the entity such as internet search.
    - Tier 2 – Verification requiring direct contact with the entity. Selecting Tier 2 verification requires the user to provide a phone number. Providing an email address in the comments section is advised, but not required.
- Subscriber – the entity information has been verified by the subscriber submitting the request. Information may be directly applied to AGIIS.
- Self – someone from the entity supplied the entity information. Information may be directly applied to AGIIS.

### ***Enumeration***

The process of creating an Industry Identifier for an entity.

### ***Evergreen Agreement***

Licenses cross-referenced to an Agreement that have no Expiration Date.

### ***FIPS***

Federal Information Processing Standard

### ***Formulation***

A particular concentration and physical form in which a product is delivered into the marketplace.

### ***FTP***

File Transfer Protocol is a standard internet protocol used to transfer data from one computer to another over the internet.

### ***GLN (Global Location Number)***

The Global Location Number (GLN) is a unique 13-digit industry identifier that consists of a company prefix issued by GS-1, a location reference code and a check digit. The GLN can be used along with common data elements to identify physical locations, legal entities and individual persons within the agricultural industry. All active entities in AGIIS are identified with a GLN. AGW maintains prefixes for the purpose of creating GLNs for entities that do not have prefixes themselves. The resulting GLN is referred to as an “AGIIS assigned GLN”.

### ***GLN Reuse***

A requirement by the GS1 agreement with AgGateway that states when a GLN has been inactive for four years, it is eligible to be reassigned to a new entity.

### ***GLN Reuse History***

A history table that is maintained in the AGIIS database that keeps track if a GLN has been placed in the Reuse Pool. If the GLN has been reassigned, it will detail the demographics of the prior entity assignment. The history table is accessible to AGIIS users from the website.

### ***GLN Reuse Pool***

The GLN reuse process allows a GLN to be reassigned to a new entity once it has been inactive for four years. When a GLN becomes eligible for reuse, it is added to a table so that AGIIS may reassign it to a new entity. This table is referred to as the “GLN Reuse Pool.”

### ***GLN Reuse Process***

A process conducted on an annual basis by the AGIIS Directory Administrator. The process will place GLN’s eligible for reuse in the AGIIS Reuse Pool. Complete details of the GLN Reuse Process can be found in Appendix D of the AGIIS Policy Document.

### ***GLN Reuse User Defined Exemption***

A GLN that has been exempted from the Annual GLN Reuse Process by an AGIIS user. Users have the capability to exempt a GLN from reuse using the web interface. The entity must be inactive and in the subscriber’s subset to add the exemption status. The exemption status expires annually and will need to be re-exempted annually as necessary.

### ***Grayed-out***

Within AGIIS, 'grayed-out' means that a button, check box or entry field is unavailable and cannot be brought into focus. See also disabled. Called grayed-out because the area in question often is displayed in shades of gray (rather than black, white, or in color) to show that the area is unavailable.

### ***GS1***

GS1 ([www.gs1.org](http://www.gs1.org)), formerly known as the Uniform Commercial Council (UCC), is the not-for-profit administrative and educational organization that works with U.S. and Canadian industry to

develop and administer product identification and EDI standards; issues a UPC identification number to the owner/controller of a product label, i.e., a manufacturer, retailer, wholesaler, jobber, etc.; publishes all UPC technical specifications and guidelines; and educates the business community about the Universal Product Code.

***GTIN (Global Trade Item Number)***

The Global Trade Item Number (GTIN) is the AgGateway standard identifier for agricultural products in AGIIS. The GTIN, as defined in the AgGateway standard, is a 14-digit code consisting of an indicator digit, a company code issued by GS-1, a unique product number assigned by the manufacturer, and a check digit.

***Guidelines***

The common business cases for how AgGateway standards are properly used by AgGateway members. In general, guidelines indicate how to use the architecture provided by the AgGateway standard.

***Hover Help***

In AGIIS, Hover Help displays in a small, rectangular box when you move the mouse pointer over certain screen elements, such as a button or entry field. Hover Help displays information related to the element, such as a description of its function or a field definition. When you move the pointer off the element, the Hover Help box goes away. Same as ToolTip.

***In Business***

The Entity Status designation to identify an enumerated entity that is conducting business.

***Inactive Entity***

A record status indicator in AGIIS that identifies an entity as not having a valid Industry Identifier for use. The Inactive record status is applied when:

- An entity is given an entity status of Out of Business, Replaced, or Bought Out.
- Entities are made inactive during semiannual maintenance activities when they are not in any subscriber's subset (orphaned).

***Inactive Package Configuration***

A Package Configuration that is no longer available for sale from the manufacturer.

***Inactive Package Size***

A Package Size that is no longer available for sale from the manufacturer.

***Inactive Product***

Product or service that is no longer available for sale from the manufacturer.

***Industry Common Code (IC Code)***

Now referred to as the EBID Identifier.

***Industry-Specific Standard***

Transaction sets and data elements that are designed to specifically fill the business needs of a particular industry group. Examples are UCS for the grocery industry, TDCC for the transportation industry and ORDERNEVNEDA for the pharmaceutical industry.

**LACS**

Locatable Address Conversion System. Physical address updates for 911 emergency system conversions provided by the United States Postal Service. These updates are included in the Annual Maintenance of entity records in AGIIS

**Last Verified Information**

Entity data elements that display the date the entity was last verified (if any) and by whom. If the last verification was done by Member Services the verification level will also be displayed.

**License**

Gives entities the right to use an Agreement posted by a manufacturer. Licenses are uploaded and cross-referenced to an entity identifier by the manufacturer of the designated Agreement.

**License Extract**

A cyclic (daily, weekly, monthly) extract file available to AGIIS users which extracts License information in XML format and places the extract file on the AGIIS Product FTP site for the user to download at their discretion. The exact selection criteria for the set of licenses to be extracted are specified by the user when establishing the License Extract Profile on the AGIIS web.

**Location**

A location is an Entity Classification used to indicate that the entity is a physical place that cannot be identified as a Business or Consumer.

**Log Notes**

Log Notes are maintained and accessible by the Directory Administrator recording details of research and investigation of the entity's record.

**Manufacturer Issue Notification**

An email function within AGIIS available from the Company View page by clicking the "Notify Manufacturer" button. The "Manufacturer Issue Email" page is displayed. The page is used to create and send an email to the product manufacturer to notify them that they have a product missing from AGIIS. The email message will be sent to the product issue contact specified by the manufacturer in their AGIIS Subscriber Profile.

The email's subject field is automatically filled in based on the Product Issue Category selected. The email includes the reporting user's contact information to allow the manufacturer to contact the user if necessary. All information from the product level page that was being viewed is included in the email.

**Mass Deactivation Control**

This feature will deactivate all product records that have not been verified/modified as of the date provided by the subscriber. The subscriber should use this feature only after updating all products needed in AGIIS. This control is located on the Company level in the product area of AGIIS.

**Master Directory**

Master Directory is the database portion of AGIIS. It contains the AGIIS unique common identifier data, common data elements, and the Subscriber Subset Data.

### ***Maturity/Zone***

The amount of time that a seed requires prior to harvesting (a number of days such as 120) or the ideal seasonal growing zone for the seed product (a numeric value with or without a decimal, such as 4 or 3.1).

### ***Member Services***

Also known as the Directory Administrator. A User classification that has broad privileges assigned to an individual(s) who manages the Directory. Normally the Directory Administrator is a staff member of the company contracted to maintain and administrate AGIIS.

### ***MSDS***

Material Safety Data Sheet

### ***Name Override***

A request made by a user to add or update an entity but the name or address supplied by the user has an invalid character or phrase according to the established entity edits. Such requests are allowed to proceed as a "name and/or address override" but must be manually reviewed by the Directory Administrator (see Directory Request).

### ***NAPD/HP ID Code***

An acronym for the 16-digit North American Purchaser Directory/Harvest Partners Identification Number, formerly used primarily as a unique identifier for growers and farm businesses. The number, while no longer used, has been retained in history as a reference number.

### ***NCOA***

National Change of Address - Mailing address updates provided to the United States Postal Service by the USPS COA (change-of-address) form.

### ***Non-Subscriber Access***

AgGateway offers Non-Subscribers access to search for Global Location Numbers (GLNs), Global Trade Item Numbers (GTINs) and associated demographics. This access is provided through a web interface, as well as an automated method to access the unique identifiers, to encourage eBusiness in the industry. Web-based access and limited automated web services searches are free; fees accrue once a user exceeds a certain number or level of web service searches.

### ***Non-Subscriber Owned GLN***

- A GLN identifier assigned to the entity by the owning company (using a prefix allocated by GS1). The owning company is not an AGIIS subscriber. The Non-Subscriber Owned GLN can be added by an AGIIS user who knows the correct identifier for the entity.
- A GLN will be designated as Non-Subscriber Owned when a subscriber purchased the GLN identifier from GS1 instead of purchasing the GLN prefix.

### ***Null City State Reporting***

One of the Annual Maintenance processes, Null City State reporting is designed to allow AGIIS Directory Administrators to examine addresses in the Master Directory that have been entered as "address overrides" to monitor any addresses where the city or state component is missing and make corrections when needed.

**Out of Business**

The Entity Status designation to identify an entity that is no longer conducting business. *Note: Entities that have moved to another physical location and entities that are used as a storage facility are not considered Out of Business.*

**Package Configuration**

The third level of the three-level agribusiness product data hierarchy supported by AGIIS. *Note that the package Configuration is uniquely identified by the global identifier GTIN. See Product.*

**Package Configuration Issue Notification**

An email function within AGIIS available from the Package Configuration View page by clicking the “Notify Manufacturer” button. The “Package Configuration Issue Email” page is displayed. The page is used to create and send an email to the product manufacturer to notify them of an issue with a specific package configuration record in AGIIS (Examples: Incorrect name of package configuration, missing package configuration, Quantity issue, Reportable ID issue or Active/Inactive status issue.) The email message will be sent to the product issue contact specified by the manufacturer in their AGIIS Subscriber Profile. The email’s subject field is automatically filled in based on the Product Issue Category selected. The email includes the reporting user’s contact information to allow the manufacturer to contact the user if necessary. All information from the product level page that was being viewed is included in the email.

The user will receive a copy of the email that is sent to the manufacturer.

**Package Size**

The second level of the three-level agribusiness product data hierarchy supported by AGIIS. Specific product name including container size. For example: BRONCO 2.5 GA and BRONCO+ BULK. (See Product.)

**Package Size Issue Notification**

An email function within AGIIS available from the Package Size View page by clicking the “Notify Manufacturer” button. The “Package Size Issue Email” page is displayed. The page is used to create and send an email to the product manufacturer to notify them of an issue with a specific package size record in AGIIS (Examples: Incorrect name of package size, missing package size, UOM issue or Active/Inactive status issue.) The email message will be sent to the product issue contact specified by the manufacturer in their AGIIS Subscriber Profile.

The email’s subject field is automatically filled in based on the Product Issue Category selected. The email includes the reporting user’s contact information to allow the manufacturer to contact the user if necessary. All information from the product level page that was being viewed is included in the email.

The user will receive a copy of the email that is sent to the manufacturer.

**Package Unit of Measure**

The number of standard unit of measure in one package unit of a product. Examples are 50 lbs. for 5 x 10 lb. product if the package unit of measure is a case.

**Phone Area Code Update**

One of the Annual Maintenance processes, Phone Area Code Update consists of identifying phone numbers with obsolete area codes using the SplitWizard software package and correcting these area codes.

### ***Preferred Product View***

This feature allows each user to select their preferred view of product information in AGIIS. Classic 3 Level Hierarchy was the original product view in AGIIS which displayed each level of product data on a separate page; product, package size and package configuration. Flat Product/GTIN displays the required data elements of all product levels on a single page which can be expanded to show additional data elements, linked agreements and product security. Each user can set their preferred product view in their AGIIS User Profile. This setting can be overridden for a single product search from the Product Search page.

### ***Primary Contact***

The individual at the Subscriber company who has responsibility for the Directory information and has authority to make decisions on behalf of the Subscriber. This person is not necessarily the same person who is responsible for the day-to-day operations. There is one Primary Contact and one Secondary Contact for all Subscribers.

### ***Product***

The highest level in a hierarchy of data that provides information about agribusiness products. The hierarchy consists of "product information", "package size information", and "package configuration information". Objects at the package configuration level are typically products that can be seen on store shelves. Package configurations are uniquely identified by the global identifier, GTIN.

### ***Product Issue Notification***

An email function within AGIIS available from the Product View page by clicking the "Notify Manufacturer" button. The "Product Issue Email" page is displayed. The page is used to create and send an email to the product manufacturer to notify them of an issue with a specific product in AGIIS (Examples: Missing EPA #, Package Level information missing, incorrect name of product, active/inactive status issue, or incorrect product category.) The email message will be sent to the product issue contact specified by the manufacturer in their AGIIS Subscriber Profile.

The email's subject field is automatically filled in based on the Product Issue Category selected. The email includes the reporting user's contact information to allow the manufacturer to contact the user if necessary. All information from the product level page that was being viewed is included in the email.

The user will receive a carbon copy of the email that is sent to the manufacturer.

### ***Product Code***

A unique identification code and set of common data elements which are used by companies to uniquely identify each product code produced by the manufacturer. The industry product code is in the EAN/UCC Global Trade Industry Number (GTIN) format. See GTIN for further information.

### ***Product Extract***

A cyclic (daily, weekly, monthly) extract file which extracts Product information in a variety of formats and places the extract file on the AGIIS Product FTP site for the user to download at their discretion. The exact format and selection criterion for the set of products to be extracted is specified by the user when establishing the Product Extract Profile on the AGIIS web.

### ***Product Name***



Product formulation (i.e. Aatrex 4L, Accent Gold, Bronate Pro, or Bronco).

***Product Notification***

An email function within AGIIS available from the Product View page by clicking the “Notify Manufacturer” button. The “Product Issue Email” page is displayed. The page is used to create and send an email to the product manufacturer to notify them of an issue with a specific product in AGIIS (Examples: Missing EPA #, Package Level information missing, incorrect name of product, active/inactive status issue, or incorrect product category.) The email message will be sent to the product issue contact specified by the manufacturer in their AGIIS Subscriber Profile.

The email’s subject field is automatically filled in based on the Product Issue Category selected. The email includes the reporting user’s contact information to allow the manufacturer to contact the user if necessary. All information from the product level page that was being viewed is included in the email.

The user will receive a copy of the email that is sent to the manufacturer.

***Product Security***

Product manufacturers can control which AGIIS subscribers have access to view and download their product information. Open security allows all subscribers to access the products; Exclude security enables the product manufacturer to restrict access to their products from specific AGIIS subscribers; Include security allows the product manufacturer to allow access to their products to the selected subscribers. Overall product security is set at the Company level of the product record, but individual product security can be established at the product level.

***Product/Agreement Link***

An association between a product and an agreement(s) that is established by the product manufacturer to designate that purchase of the product requires a license.

***Prohibited Date***

Within a License cross-referenced to a product Agreement, the Prohibited Date indicates the date on which the entity is no longer authorized to have that License cross-referenced to the Agreement.

***Proprietary Code***

The internal identifier that a subscriber uses to recognize an entity or product. Also known as prop code.

***Reactivation Request***

A request made by a user to reactivate an entity that currently has a record status of "inactive". Such requests must be manually reviewed by an AGIIS Directory Administrator (see Directory Request).

***Record Status***

A flag on an entity record identifying the record as active or inactive. The Record Status will be inactive on records that have been marked with the Entity Status of out of business, bought out or replaced. The Record Status will also be inactive for records deactivated during the Annual Maintenance "Deactivate Orphan" process.

***Replaced***

The Replaced Entity Status is applied when duplicate entity records are identified in AGIIS

***Reporting UOM***

The unit of measure manufacturers require all trading partners to use for all transactions and reporting.

***SCC-14***

Shipping Container Code was a 14-digit number assigned to fixed content shipping containers. Now called GTIN.

***Secondary Contact***

The person authorized to act on behalf of the primary contact in the primary contact's absence. This person is not necessarily the same person who is responsible for the day-to-day operations.

***Semi Annual Maintenance***

A limited LACS/NCOA process specifically for entity records with Rural Route addresses.

***Serial Number***

A unique number used to identify a package, case, tank, pump, etc.

***Server***

A computer whose data can be accessed and maintained by many users.

***SKU***

Stock-keeping unit.

***SPLC***

Standard Point Location Code

***Standard Data Format***

A machine-readable data format, predefined and agreed to by the trading partners, which can accomplish a standard business transaction.

***Subscriber***

A Subscriber is an organization that has signed a Subscriber Agreement with AgGateway agreeing to participate in AGIIS in accordance with the AGIIS subscriber policies and procedures, including but not limited to payment of subscription fees. Subscribers are enrolled in AGIIS by the Directory Administrator. During the enrollment process the Directory Administrator grants the appropriate system privileges to the Subscriber, which determines their level of access available to the AGIIS Subscriber Administrator.

***Subscriber Administrator***

Each Subscriber Company has one or more Subscriber Administrators. A Subscriber Administrator is responsible for adding, updating and deleting users and for managing user access privileges within the AGIIS database for their specific Subscriber. Subscriber Administrators also have the privilege and responsibility to maintain certain data related to their Subscriber record in AGIIS, such as certain contacts, Entity Contact List, product security and Agreements.

### ***Subscriber Owned GLN***

A GLN identifier assigned to the entity by the owning company (using a prefix allocated by GS1). The owning company is an AGIIS subscriber. Entity records with a Subscriber Owned GLN can only be added or updated by an authorized user from the owning Subscriber Company.

### ***Subscriber's Subset***

A Subscriber's Subset is proprietary data submitted by a Subscriber that is used to establish a relationship between the AGIIS unique common identifier data and the Subscriber's proprietary code. The Subscriber's subset is used to identify entity/product records in which the subscriber has interest, enabling the subscriber to be notified when changes occur to data associated with their subset.

### ***Substandard Data***

Words or characters in the name or address fields of an entity that do not meet current AGIIS business rules such as "account" (Seed Account, Farm Account), Cash Sale, Prepaid, !, #, \$, etc.

### ***Synchronization***

Synchronization is the process of keeping data in two or more electronic devices up-to-date so that each repository contains the identical information.

### ***Tab key***

On an AGIIS web page, pressing the Tab key on the keyboard moves the cursor from its current position to the next entry field or screen element.

### ***Technical Name***

The recognized chemical name currently used in scientific and technical handbooks, journals and texts to describe a product being shipped. Must be in parentheses as part of DOT Freight Classification.

### ***Tool Tip***

Same as Hover Help.

### ***Trading Partners***

Trading Partners are entities that conduct commercial dealings between and among themselves for the purpose of ultimately delivering goods and services to Consumers.

### ***Traits***

Specific biotech and non-biotech attributes associated with the genetics of the seed or germ plasma, such as: Roundup Ready, Yieldguard, White Waxy Corn.

### ***Treatments***

Processes and products applied to the seed, such as: Treated, Untreated, Gaucho, Prescribe.

### ***UCC***

Uniform Commercial Council, now known as GS1, is the not-for-profit administrative and educational organization that works with U.S. and Canadian industry to develop and administer product identification and EDI standards; issues a UPC identification number to the owner/controller of a product label, i.e., a manufacturer, retailer, wholesaler, jobber, etc.; publishes all UPC technical specifications and guidelines; and educates the business community about the Universal Product Code.

***UN Recommendation 20 (UN Rec 20)***

UN Rec 20 is a recommendation accepted by the United Nations Economic and Social Council that was presented by the Codes Working Group (CDWG) within the Committee For Trade, Industry And Enterprise Development Centre for Trade Facilitation and Electronic Business (UN/CEFACT) on January 15, 2001, for the use of Codes for the Unit of Measure Used in International Trade.

***UN/CEFACT***

United Nations Centre for Trade Facilitation and Electronic Business

***Unit of Measure (UOM)***

Describes a way of measuring stockable, saleable and EDI reportable product. If EDI reportable, it must conform to ANSI ASC X12 standards. This allows a 2-character code such as pounds (LB), gallons (GA), or quarts (QT). AGIIS also supports the UN REC 20 which is the Unit of Measure used in International Trade.

***UPC***

The UPC consists of two parts--the manufacturer identification number and the product number assigned by the manufacturer.

***Update Request***

Requests generated when a user submits a change or modification to an existing entity or product in AGIIS. The Directory Administrator will review all requests to change entity status

***Upload***

To transfer data or programs, usually from a peripheral computer or device to a central, often remote, computer.

***User***

A User is defined as an individual who is registered in AGIIS. Users are enrolled into the system by either the Directory Administrator or the Subscriber Administrator. All Users (except Directory Administrators) must be associated with a Subscriber.

***Variety/Hybrid***

A commercially used designation to represent a product in sales catalogs and literature.

***Verification***

Processes that are done to ensure required entity data elements are correct.

***Verification Level***

Verification Level is applicable only to records with the Verification Type of Member Services. Two levels of verification are available: 1) Tier 1 - Verification done without direct contact with the entity such as internet search, 2) Tier 2 - Verification requiring direct contact with the entity such as by phone or email"

***Verification Type***

Four values are available for entity verification type: 1) No verification (default) , 2) Member Services - the entity request is directed to Member Services for verification of the required data elements. Use of this option incurs a fee paid by the subscriber to AgGateway, 3) Subscriber - the entity information has been verified by the subscriber submitting the request, 4) Self - someone from the entity supplied/verified the entity information"

### **Web Service**

The W3C defines a "Web service" as "*a software system designed to support interoperable machine-to-machine interaction over a network. It has an interface described in a machine-processable format (specifically Web Services Description Language WSDL). Other systems interact with the Web service in a manner prescribed by its description using SOAP messages, typically conveyed using HTTP with an XML serialization in conjunction with other Web-related standards.*" AGIIS supports a suite of web services that allow subscriber systems to perform many of the same operations that are available to AGIIS users on the AGIIS web site.

## Overview

### System Validation Requirements

The application is responsible for maintaining certain data elements and enforcing AGIIS policies. Below is a list of these requirements:

- Provides current USPS standards for mailing and physical address standardization by using CASS Certified address standardization software.
- Ensures that all active entity records in AGIIS have a GLN identifier.
- Enforces the population of all required fields.
- Enforces the established data integrity rules.
- Annual Maintenance:
  - Area Code splits, LACS (Locatable Address Conversion System), and NCOA (National Change of Address) are sent out for third-party processing as requested by AgGateway. Changes are applied to AGIIS
  - A record status inactivation of entities without subscriber cross-references (Orphan maintenance).
  - Ensure all active records have the city and state fields populated where appropriate.
  - Following the LACS/NCOA activities, an entity de-duplication is performed to inactivate duplicates created by the previous maintenance activities.
  - GLN Reuse Notification – Eligible GLNs for reuse are communicated to the subscriber community. Subscribers have 45 business days to review the list and add exemptions to the GLN preventing it from entering the GLN reuse pool. Exemptions on GLNs expire annually and will need to be re-exempted annually as necessary.
  - Address Standardization – Addresses on entities are standardized according to USPS standards.
- Semi Annual Maintenance
  - LACS/NCOA activities are performed on records having “rural route” addresses

### Directory Request Types

The Directory Administrator receives entity requests for any identifier type (EBID &/or GLN) in the following situations:

- There is already a pending request for the entity.
- Requests with Name /Address override.
- Requests when the “Comments” section is used.
- Any entity status change (Reactivation, Out of Business, Replaced and Bought Out)
- Requests that specify Member Services verification.
- Entity has been identified as a Duplicate Exemption
- Add requests that have the exact same physical or mailing address, state and zip as an existing active entity when the requested name “sounds like” the name of the existing entity. The following name combinations are considered:

- Requested Company name sounds like existing Company name
- Requested Company name sounds like existing DBA name
- Requested DBA name sounds like existing DBA name
- Requested DBA name sounds like existing Company name
- Requested Grower First Name sounds like existing Grower First Name **And** requested Grower Last Name sounds like existing Grower Last Name

### **Directory Administrator/Member Services Daily Activities**

**Note:** Directory Administrator (DA)/Member Services hours of operation are from 8:00 AM until 5:00 PM central time.

- Answer calls to Member Services phone (1-866-251-8618).
- Check and resolve e-mail inquiries ([helpdesk@agiis.org](mailto:helpdesk@agiis.org) and [member.services@AgGateway.org](mailto:member.services@AgGateway.org) )
- Log all AgGateway and AGIIS inquiries, calls and emails
- Process entity requests
- Perform entity verification procedures
- Request appropriate subscriber approval for entity add/update transactions.
- Record research details and confirmation information in the record's Log Notes.
- Monitor ebXML communication. Resolve message failure.
- Monitor AGIIS automated processes, report issues to the appropriate support personnel.

### **Required Communication to Subscribers**

The DA will communicate certain conditions regarding the AGIIS website. These communications are known as Directory Alerts:

- **Scheduled Maintenance**  
Scheduled maintenance to the AGIIS website will be communicated no less than a week before it occurs. The DA will send an e-mail to the user community notifying them of the maintenance timeframe and the impact to the website's availability.
- **Emergency Maintenance**  
Emergency maintenance to the AGIIS website will be communicated as soon as possible via e-mail to the user community. If possible, this type of maintenance will not occur during the hours of 7:00 AM - 7:00 PM central time on normal business days.
- **System Bugs or Issues**  
Bugs or issues that affect all users will be posted in Directory News on the AGIIS Home page of the website. For issues that affect only a select group of users, those users will be contacted via e-mail or phone call for resolution.
- **Directory Administrator Reporting**  
On a monthly basis, the DA conveys the following information to AgGateway management:
  - DA report summarizing all calls received during the month.
  - Diary of Issues document that includes issues not covered in the DA report that is recorded during the month.
  - Request Volume report summarizing the number of entity requests processed during the month.
- **Other Communications**  
Each individual procedure requires a certain amount of communication. To determine the level of communication, refer to the specific procedures on the following pages.

## **AGIIS OPERATIONAL PROCEDURES**

When the DA sends an email that fails, they send an email message to the user's Subscriber Administrator to request an update, inactivation or deletion of the user's profile. In the event of an email delivery failure that is not resolved by the Subscriber Administrator in a timely manner, the DA will inactivate the user profile. The Subscriber Administrator can resolve the email address issue and reactivate the user profile at any time after the inactivation.



## Procedures

### Enrollment Process

- The Directory Administrator receives an AGIIS Enrollment Form and AGIIS Subscriber Agreement from the subscriber or AgGateway staff.
- The company is set up as a subscriber in the AGIIS Directory. *(Most information needed to set up the subscriber in AGIIS is obtained from the enrollment form.)*
  1. Using the subscriber location's EBID, add the new subscriber record to AGIIS. Must have a valid EBID in the AGIIS Directory.
    - a. If no record exists, follow the established process to add the record to AGIIS.
    - b. Select the appropriate Subscriber Type from the drop down list (Full or Search View)
    - c. Assign the appropriate subscriber privileges
  2. Populate the email address for Product Issue Contact
  3. Set up the User records and grant privileges *(Refer to Appendix A, Privileges.)* for the
    - a. Primary Contact
    - b. Secondary Contact
  4. Set up the Subscriber's *EBID Update Extract* if requested.\*<sup>1</sup>
    - a. Create the appropriate FTP folders if necessary
    - b. Or arrange for delivery by Van or email as appropriate
  5. Set up the Subscriber's *GLN Update Extract* if requested.\*
    - a. Create the appropriate FTP folders if necessary
    - b. Or arrange for delivery by email as appropriate
  6. Create FTP folders for GLN Bulk submissions if necessary.\*
    - a. Add Notification email addresses to the Subscriber profile for GLN Bulk submission.
  7. Create FTP folders for Product and License bulk submissions, Product and License extracts if necessary. \*
    - a. Add Notification email addresses to the Subscriber profile for Product Import
  8. Set up the Subscriber's *GSI Prefix(s)* for Subscriber Owned GLN).\*
    - a. Populate the Owned Location Contact email address on the Subscriber's profile.
  9. Set up the Subscriber's *GSI prefix(s)* in Product/Company if necessary (for GTIN). \*
    - a. Populate the Product Issue Contact email address on the Subscriber's profile.
  10. Follow the same procedures to set up AGIIS Test excluding FTP folders (<https://agiistest.covansysec.com>).\*
- Subscriber Administrators are set up for the subscriber. *(A subscriber is allowed multiple Subscriber Administrators.)*
  1. The Subscriber Administrator is set up as an AGIIS user and is associated to the subscriber's EBID.

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<sup>1</sup>\* Applicable only to subscribers with Full AGIIS Subscription

## AGIIS OPERATIONAL PROCEDURES

2. Subscriber Administrator privileges are set. (*Subscriber Administrator privileges are limited to the list of privileges granted to the subscriber.*)
  3. The following user profile fields are required: First Name, Last Name, User ID, Password, Phone Number, and E-mail Address. (*AGIIS User ID & Password can't be the same.*)
    - a. Passwords must contain the following criteria:
      - 1 Upper-Case Letter
      - 1 Lower-Case Letter
      - 1 Number
      - 1 Special Character
      - No Spaces
      - Between 8 and 20 Characters
    - b. The first time a user logs into AGIIS, they will be required to set three security questions and answers. These questions are used to validate a user when they request an email to reset their AGIIS password.
    - c. Users will receive a confirmation email when their password is changed.
  4. By default, the Subscriber Administrator's user profile will be flagged to indicate that the user wishes to receive all applicable automatically generated e-mail notifications. The Subscriber Administrator/user can "turn off" any or all of the automated e-mails if they so choose. (*Refer to Appendix B, E-mail Responses.*)
  5. By default, the Subscriber Administrator's user profile will indicate the Preferred Product View of "Classic 3 Level Hierarchy". The Subscriber Administrator/user can change the Preferred Product View to "Flat Product/GTIN" if they choose.
- The Subscriber Administrators, Primary and Secondary Contacts are sent a *Welcome to AGIIS* email by the Directory Administrator notifying them they have access to AGIIS.
    1. The email includes the their User Id, Password
    2. Information to locate AGIIS Help & Tutorials
    3. An invitation to schedule an AGIIS training session\*<sup>2</sup>
  - The Directory Administrator then completes the following administrative tasks.
    1. Record the new subscriber on the DXC AGIIS Subscriber List.
    2. Ensure the AgGateway website's AGIIS Subscriber List is updated.
    3. Forward the Subscriber's enrollment documentation to the appropriate AgGateway staff member.
    4. Follow the billing procedure for AgGateway.

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<sup>2</sup>\*Applicable only to subscribers with Full AGIIS Subscription

## Member Services Tracking Procedures

Steps for tracking issues called in or e-mailed to Member Services:

1. The Member Services receives a call/e-mail. Member Services initiates a call log in the tracking system. This puts a date/time stamp on the entry.
2. If Member Services is able to help the user immediately, the details of the request or question are recorded and the call log is closed.
3. If there is a question or request for information and it cannot be handled immediately, the user will be called or e-mailed back with an answer, Member Services records the details of the request or question and the call log will be closed at the time of the return response.
4. If the call/e-mail is a bug with the AGIIS application, in addition to Member Services' tracking system, the bug will be logged into the developer's issue tracking system and assigned a priority code based on the severity of the issue. (*The developer's tracking system is different from Member Services' tracking system.*)
5. Once the developer has resolved the issue, the developer will go into the developer's issue tracking system, update the issue, and assign it to QA for testing. Once it passes QA and the changes have been loaded into AGIIS, QA will notify Member Services to follow up with the user. The entry will be closed in Member Services' tracking system.

## Approved Entities in AGIIS

The following examples are entities that are approved to be enumerated with an EBID or GLN in AGIIS. The examples are intended to be inclusive rather than exclusive.

- Business
  - When more than one company conducts business from the same physical location, each can be identified with an EBID and/or GLN.
  - A company doing business (i.e. leasing space) at another business' location. A lease agreement or storage agreement must be in place.
    - Public/leased warehousing
      - Use the following format when submitting the entity request
        - Company name & DBA Name = Product Owner Name
        - Physical address line 1 = C/O Storage Facility Name
        - Physical address line 2 = Physical address
    - Warehouse at separate physical location from the main company
  - Seed dealers
  - When a company needs a GLN for business message routing purposes (i.e., partner identifier at a message payload header level). Only a Subscriber Owned GLN can be used for this enumeration scenario, i.e., "ABC Company – Crop Protection", "ABC Company – Seed", both entities could potentially be at the same address.
- Location
  - Drop Point
  - Terminal
  - Railway Siding
  - Tank farms
  - Leased tanks or tanks not at same physical location as the main business.
    - Use the following format when submitting the entity request
      - Company name & DBA Name = Product Owner Name
      - Physical address line 1 = C/O Storage Facility Name
      - Physical address line 2 = Physical address

- Individual consumer

Following examples are entities that are NOT approved to be enumerated with an EBID or GLN in AGIIS.

- Solely to accommodate an individual Subscriber's internal system codes
- Company obtaining credit under the auspices of another, credit worthy company
- To establish a Subscriber's corporate hierarchies
- Different departments within a physical location, i.e., accounts payable
- To keep track of different types of transactions, i.e., inter-branch transfers, cash sales
- Separate loading docks within a physical location
- For entities that are out of business
- Buying groups that are not legal entities
- Contacts or employees at a physical location
- Business equipment
- A business assigned an EBID must be a legal entity, and not be acting as a commissioned agent for another entity.

If a situation arises for which a unique identifier is needed but has not previously been approved, the subscriber with the need would submit a written request for approval to the AGIIS Directory Administrator. The Directory Administrator will present the request to the Directory Oversight Committee (DOC) for consideration. See Appendix C for more information about sending issues to the DOC.

## **Entity Verification**

*NOTE: Entities are no longer automatically verified by the Directory Administrator (aka Member Services). Each time you request Member Services verification your company will be charged a fee based on the level of verification requested. The fee will be applicable no matter the outcome of your request.*

*If you mistakenly request verification, contact Member Services IMMEDIATELY to ask that verification be Terminated. If termination takes place prior to a verification attempt, no fee will be incurred.*

Entity verification is a process used to ensure the submitted, required entity data is accurate (such as Entity Status, Name/Location, and Address). There are four verification options available in AGIIS

- Member Services - the entity request will be routed to the Directory Administrator for verification. Use of this option incurs a fee paid by the subscriber to AgGateway no matter the outcome of the request (accepted or declined). In the event an entity is unverifiable (entity refuses to verify, can't be reached or requested information is incorrect) the request will be declined.
  - a. Two levels of Member Services Verification are available
    - i. Tier 1 – Verification done without direct contact with the entity such as internet search.

ii. Tier 2 - Verification requiring direct contact with the entity. Selecting Tier 2 verification requires the user provide a phone number. Providing an email address in the comments section is advised, but not required. *Note: If the entity is owned by a subscribing company, the Directory Administrator will verify the record with the subscriber's corporate contact instead of directly contacting the location. (The name of the location must match the subscriber's name for the Directory Administrator to know it is a Subscriber Owned location.)*

- Subscriber – the entity information has been verified by the subscriber submitting the request. Information may be directly applied to AGIIS. Subscribers who don't already have a verification process in place are encouraged to use the same methodologies used by Member Services.
- Self – someone from the entity supplied the entity information. Information may be directly applied to AGIIS.
- No verification or blank

Requests for entity verification can be made on the AGIIS website, but also by using the GLN Bulk process or Web Services after notifying Member Services of your intent. Member Services will update your Subscriber Profile by checking the "Allow Automated Verification Requests" check box. This feature was put in place to prevent unintentional submission of verification requests. If arrangements are not made with Member Services prior to submitting requests for verification using the GLN Bulk process or Web Services, the transactions will fail.

The Verification Date on an entity will be updated by Member Services in the following instances:

- The submitted update is phone or web verified and is subsequently applied to the record
- Submitted update is rejected after a phone or web verification disproves requested update

The Verification Date will not be updated unless ALL name and demographic information is accurate on the account record.

The Directory Administrator uses the following call script when phone verifying entities:

Hello, my name is \_\_\_\_\_ with the agriculture industry. I'm calling to verify the name and address of your business, please.

*(If the person you are speaking to seems non-responsive or hesitant, ask to speak to a manager. Also mention that you are calling because [company name], an AGIIS subscriber, submitted a request for verification.)*

*(Review the change that has been sent in by the subscriber before call is made.)*

#### **General Verification Questions**

- I show your company name is (company name)
- And your location does business as (DBA name). (Pause for answer or ask: Is this correct?)
- Are you located at (physical address)?
- Does your mail go to (mailing address)?

#### **Bought Out Location Questions**

If a subscriber has indicated this business has been bought out or the name has changed, ask the following questions:

- I show that your location was \_\_(old company name)\_\_ and the name has been changed to \_\_(new company name)\_\_. Is that correct?
- Was the name change due to a change in ownership or a merger?
- Other questions might be asked during the phone verification that were discovered during our research period

### ***Possible Duplicate Records Questions***

#### **Two or more addresses for the same company name**

- I'm calling to ask for your help. I have two records in my database with the same name and different addresses. I am trying to find out if you have more than one location in \_\_(city)\_\_ or if I have an old address.
  - (If they verify 1 address as correct, ask if they moved from the other address. Be sure to find out if the company moved or if there were more than one business and one closed or was bought out.)

#### **Two or more company names for the same address**

- I'm calling to ask for your help. I have two companies in my database with the same address.
  - (Verify the name and address of the company to which you're speaking.)
  - Are you familiar with \_\_(other company name)\_\_?
  - Did your company buy out \_\_(other company name)\_\_?

## **Add Requests**

For each Add request that is accepted into the AGIIS Directory, the requesting subscriber will receive an entry in their Entity Update Extract file. The file format in which the subscriber receives their Update Extract determines what the subscriber will receive:

1. **EDI 838** – (EBID) In the PLA05 Segment for an Add to Subset the subscriber will receive a Maintenance Reason Code of 42. For more information on the 838 File Format view this link: [http://s3.amazonaws.com/aggateway\\_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf](http://s3.amazonaws.com/aggateway_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf)
2. **EDI 996, Private Format, ASCII** – (EBID) For an entity that has been added to the subscriber's subset, the subscriber will receive an "A" in the Type of Change field (position 5) of the file format. For more information on the Directory Change File Format view this link: <https://www.agiis.org/Links/EBIDExtractASCII.pdf>
3. **CSV Comma Separated Value** – (EBID & GLN) For an existing entity that has been added to the subscriber's subset, the subscriber will receive one entry, which will have a field type of *Add*. For a new entity added to the subscriber's subset, the subscriber will receive two entries; both will have a field type of *Add*, one for the new entity added to AGIIS and the other for the entity added to the subscriber's subset. For more information on the .csv format and the CSV to Excel conversion template view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractExcel.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractExcel.pdf>
4. **XML** – (EBID & GLN) In the entity transaction, the Current Entity element contains the Maintenance Reason Code of *Add*, which indicates the entity has been added to the subscriber's subset. For more information on the XML Formats view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractXML.pdf>

- GLN - <https://www.agiis.org/Links/GLNExtractXML.pdf>

The procedure for handling entity Add requests on the AGIIS website is as follows:

1. Add requests are automatically added to the Directory if
  - a. The address is validated by the address standardization software – no address override
  - b. The name and address fields don't contain prohibited words or characters - no name/address override.
  - c. The system does not detect the request as a potential duplicate of an existing active entity. The request and the existing record must have the same physical or mailing address, state and zip along with a name that "sounds like" the requested entity to be considered a potential duplicate. *Note: On the Potential Duplicates page, the existing record that meets the potential duplicate criteria is highlighted in red for easy identification by the user who submits the request.*
  - d. The user did not enter comments on the request
  - e. The Duplicate Exemption flag was not selected
  - f. Member Services Verification was not selected
2. If a request is directed to the Directory Administrator, an email confirmation is sent to the user who submitted the request.
3. If the user bypassed an address error message (address override) when submitting the Add request, the Directory Administrator must verify the address using internet searches in order for the entity to be added to the Directory.
4. Requests that are submitted using the name/address override because the name or address contains words or characters that are prohibited are reviewed by the Directory Administrator to prevent substandard data from entering AGIIS.
5. All requests containing user comments are review by the Directory Administrator.
6. If a request is routed to the Directory Administrator and the requested entity is owned by an AGIIS subscribing company, the DA will verify the record with the subscriber's corporate contact and ask for approval to add or update the record. If permission is not granted, the request will be declined. (The name of the location must match the subscriber's name for the DA to know it is a Subscriber Owned location.)
7. Requests that are detected as potential duplicates are routed to the Directory Administrator where a process called Auto Duplicate Detection (ADD) will run the potential duplicate requests through a periodic batch process using SAP FirstLogic software to examine the requested name against existing active entity records to determine if the request is a duplicate of the existing record.
  - a. If the ADD process detects a duplicate, the request is reviewed by the Directory Administrator.
  - b. If the ADD process determines the request is not a duplicate, the request will be automatically added to AGIIS.
8. Requests that include Member Services Verification are routed to the Directory Administrator. Verification methods are determined by the level selected by the user:
  - a. Tier 1 – Verification done without direct contact with the entity such as internet search. If the Directory Administrator is unable to verify the entity information provided, the verification status will be changed to Unverifiable and the request will be declined.

- b. Tier 2 - Verification requiring direct contact with the entity, such as phone or email. Selecting Tier 2 verification requires the user provide a phone number. Providing an email address in the comments section is advised, but not required. If Member Services is unable to make contact with the entity or if verification attempts are refused, the verification status will be changed to Unverifiable and the request will be declined. *Note: If the entity is owned by an AGIIS subscribing company, the DA will verify the record with the subscriber's corporate contact instead of directly contacting the location. (The name of the location must match the subscriber's name for the Directory Administrator to know it is a Subscriber Owned location.)*
9. Record information found during investigation and verification in Log Notes.
10. When the Add request is accepted, the GLN type indicated by the user is added to the record. If the user did not select a GLN type, an AGIIS assigned GLN is added.
11. If the user requested an EBID, the EBID value will be the same as the GLN assigned to the entity.
12. When requests are completed by Member Services, an e-mail response is sent to the requesting user and all users requesting a blind copy explaining the resolution of the request.

## **Update Requests**

For each Update request that is applied to the AGIIS Directory, subscribers who have that entity in their subset will receive an entry in their Directory Change File. The file format in which the subscriber receives their Directory Changes determines what the subscriber will receive:

- **EDI 838 - (EBID)** In the PLA05 Segment for a demographic change made to any entity in the subscriber's subset, they will receive a Maintenance Reason Code of 43. For more information on the 838 File Format view this link: [http://s3.amazonaws.com/aggateway\\_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf](http://s3.amazonaws.com/aggateway_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf)
- **EDI 996, Private Format, ASCII - (EBID)** For a demographic change made to an entity in the subscriber's subset, they will receive a "U" in the Type of Change field (position 5) of the file format. For more information on the Directory Change File Format view this link: <https://www.agiis.org/Links/EBIDExtractASCII.pdf>
- **CSV Comma Separated Value – (EBID & GLN)** For a demographic change, the subscriber will receive two entries, one identified as Old and the other as New. The entries will have a field type of "Update". If using the CSV to Excel conversion template, any modified values are displayed in bold red so that changes can be easily identified. For more information on the .csv format and the CSV to Excel conversion template view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractExcel.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractExcel.pdf>

Instructions and an Excel template are available that can be used to transform the CSV file format into Excel and include highlighting of the changes to each record. This information is contained in a zip file that is available from the AGIIS Files menu, select GLN, and then select GLN Update Extract (Excel- CSV) Tools



- **XML** – (EBID & GLN) In the entity transaction, the Current Entity element contains the Maintenance Reason Code of *Update*, which indicates a demographic change has been made to the entity. The Current Entity element represents the entity attributes after the specified change was made to the Directory. The Previous Entity element contains the entity attributes before the specified change was made to the Directory. For more information on the XML Format view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractXML.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractXML.pdf>

The procedure for handling Update requests submitted on the AGIIS web site:

1. Update requests are automatically added to the Directory if the address is validated by the address standardization software, the name and address information does not contain any restricted characters or phrases, the Duplicate Exemption flag is not checked, the user did not enter comments or request Member Services Verification and there are no other pending requests for the entity.
2. If a request is directed to the Directory Administrator, an email confirmation is sent to the user who submitted the request.
3. If the user bypassed the name/address error message when submitting the GLN Update request, the Directory Administrator must verify the address using internet searches in order for the entity to be added to the Directory.
4. All requests containing user comments are review by the Directory Administrator.
5. Requests that are submitted using the name/address override because the name or address contains words or characters that are prohibited are reviewed by the *Directory Administrator* to prevent substandard data from entering AGIIS.
6. If a request is routed to the Directory Administrator and the requested entity is owned by an AGIIS subscribing company, the DA will verify the record with the subscriber's corporate contact and ask for approval to add or update the record. If permission is not granted, the request will be declined. (The name of the location must match the subscriber's name for the DA to know it is a Subscriber Owned location.)
6. Requests that include Member Services Verification are routed to the Directory Administrator. Verification methods are determined by the level selected by the user:
  - c. Tier 1 – Verification done without direct contact with the entity such as internet search. If the DA is unable to verify the entity information provided, the verification status will be changed to Unverifiable and the request will be declined.
  - d. Tier 2 - Verification requiring direct contact with the entity, such as phone or email. Selecting Tier 2 verification requires the user provide a phone number. Providing an email address in the comments section is advised, but not required. If Member Services is unable to make contact with the entity or if verification attempts are refused, the verification status will be changed to Unverifiable and the request will be declined. *Note: If the entity is owned by an AGIIS subscribing company, the Directory Administrator will verify the record with the subscriber's corporate contact instead of directly contacting the location. (The name of the location must match the subscriber's name for the Directory Administrator to know it is a Subscriber Owned location.)*

7. If the record is identified with a Subscriber Owned GLN, the Directory Administrator will Terminate any Member Services verification requested since the owner of the entity is the only subscriber authorized to request an update to the entity.
8. Record information found during investigation in Log Notes.
9. When requests are completed by Member Services, an e-mail response is sent to the requesting user and all users requesting a blind copy explaining the outcome of the request.

### **Bought Out & Merged Entities (Ownership Change)**

Entity ownership changes occur when a user submits an update indicating that an entity has been bought out. This information can be submitted via an Update request by either entering a note in the update request Comments section or by selecting *Bought Out* as the Entity Status and entering an Industry Identifier or Company Name of the buying company. *Note: If the buying company is not identified in AGIIS, the user should also submit an Add request for the buying entity.* A *Bought Out* status in the Directory Change File requires the subscriber to take action and do their own research as to how they want to apply the change. This status, in no way, makes any financial assumptions.

Subscribers having an entity in their subset whose entity status has changed to Bought Out will receive an entry in their Directory Change File. The file format in which the subscriber receives their Directory Changes determines what the subscriber will receive:

- **EDI 838** - (EBID) In the PLA05 Segment for an entity in the subscriber's subset that has been Bought Out, they will receive a Maintenance Reason Code of 57. For more information on the 838 File Format view this link: [http://s3.amazonaws.com/aggateway\\_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf](http://s3.amazonaws.com/aggateway_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf)
- **EDI 996, Private Format, ASCII** - (EBID) For an entity in the subscriber's subset that has been Bought Out, they will receive an "S" in the Type of Change field (position 5) of the file format. There will also be a "B" in the Business Status field (position 39) of the "before" image. For more information on the Directory Change File Format view this link: <https://www.agiis.org/Links/EBIDExtractASCII.pdf>
- **CSV Comma Separated Value** – (EBID & GLN) For an entity that has been Bought Out the subscriber will receive two entries, one identified as Old and the other as New. The entries will have a field type of "Bought Out". If using the CSV to Excel conversion template, any modified values are displayed in bold red so that changes can be easily identified. The entity specified as Old has been bought out by the entity specified as New. For more information on the .csv format and the CSV to Excel conversion template view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractExcel.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractExcel.pdf>
- **XML** – (EBID & GLN) In the entity transaction, the Current Entity element contains the Maintenance Reason Code of *Bought Out*, which indicates the entity has been bought by another entity. The Bought By Entity element contains the entity attributes of the buying entity. For more information on the XML Format view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractXML.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractXML.pdf>

All requests to change entity status are routed to the Directory Administrator for processing. An email confirmation is sent to the user who submitted the request.

The procedure for handling Bought Out (merged) requests is as follows:

1. Review the Update request.
2. Search in AGIIS for the buying entity
3. Check “Subscriber Owned Location List” to determine if there is a corporate contact to call for approval to change the entity status.
4. Do internet research to verify the information
5. Determine whether the Update should be accepted or declined based on information found during research.
6. An e-mail response is sent to the requesting user and all users requesting a blind copy explaining the status of the request.

### **Entity Enumeration**

Entity Enumeration refers to the process of adding another Industry Identifier type to an existing AGIIS entity. Three industry-wide identifier types are used to uniquely identify an entity in AGIIS: GLN, NAPD/HP ID (retired) and EBID

- GLN Enumerations (adding a GLN identifier to an existing entity with an inactive NAPD/HPID).
  1. The user must add the entity to their subscriber’s subset by providing a GLN prop code and selecting the GLN type to be assigned.
  2. If the GLN type of AGIIS Assigned was selected, the GLN is automatically assigned by the AGIIS application.
  3. The user must then submit an Activation request which will be reviewed by the Directory Administrator. If the Activation request is approved, the record is acceptable for use.
  4. An email confirmation is sent to the user who submitted the request.
  5. An e-mail response is sent to the requesting user and all users requesting a blind copy explaining the outcome of the Enumeration request.
- EBID Enumerations (adding an EBID identifier to an existing record identified with a GLN) are based on the following rules:
  1. The user selects an existing record that identifies the entity they need but does not have an EBID, supplies an EBID prop code, then clicks the Add or Update Subset button.
  2. The EBID is added to the entity automatically.

### **Entity Reinstatements**

The following situations qualify for an entity reinstatement/reactivation:

- An entity with the entity status of Bought Out or Out of Business that is verified to be in business.
- An entity that has been incorrectly replaced by another entity

- A user requests reactivation of a record that was changed to inactive during the semi-annual editing of entities without subscriber cross-references.
- An entity identified with a NAPD/HP ID that was inactivated during the “Disable NAPD” project (5/08) because it was added prior to 10/1/07 and had not been enumerated with a GLN.
- An entity that was inactivated during Substandard Data Maintenance of 2012 (if substandard character or phrase is removed or the “override” is approved).

All requests for reinstatement are routed to the Directory Administrator for processing. As with all requests that are routed to the Directory Administrator, an email confirmation is sent to the user who submitted the request and a results email is sent when the request is processed.

Subscribers will receive an entry in their Directory Change File identifying EBID or GLN records in their subset that have been reinstated. The file format in which the subscriber receives their Directory Changes determines what the subscriber will receive:

- **EDI 838** – (EBID) In the PLA01 segment there will be a "2" (change/update), in the PLA05 segment there could be "85" (reinstatement - cancelled in error). For more information on the 838 File Format view this link:  
[http://s3.amazonaws.com/aggateway\\_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf](http://s3.amazonaws.com/aggateway_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf)
- **EDI 996, Private Format, ASCII** – (EBID) The reactivation notification will be a new change reason code in Record ID "RSN" in position 5-74. The change reason code for reactivation is 5010. For more information on the Directory Change File Format view this link: <https://www.agiis.org/Links/EBIDExtractASCII.pdf>
- **CSV Comma Separated Value** – (EBID & GLN) The column titled Seq (or Sequence) will have the value Status Change (Reactivate). For more information on the .csv format view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractExcel.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractExcel.pdf>
- **XML** – (EBID & GLN) For an entity that has been Re-Instated, the subscriber will receive two entries, one identified as Old and the other as New. The entries will have the Maintenance Reason Code of Reactivate. The New Entity element represents the entity attributes after the specified change was made to the Directory. The Previous Entity element contains the entity attributes before the specified change was made to the Directory. For more information on the XML Format view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractXML.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractXML.pdf>

## **Out of Business Entities**

Subscribers will receive an entry in their Directory Change File if the entity status of an entity in their subset has changed to Out of Business. The file format in which the subscriber receives their Directory Changes determines what the subscriber will receive:

- **EDI 838** - (EBID) In the PLA05 Segment for an entity in the subscriber’s subset that is Out of Business, they will receive a Maintenance Reason Code of 45. For more information on the 838 File Format view this link:  
[http://s3.amazonaws.com/aggateway\\_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf](http://s3.amazonaws.com/aggateway_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf)

- **EDI 996, Private Format, ASCII** – (EBID) For an entity in the subscriber’s subset that is Out of Business, they will receive an “S” in the Type of Change field (position 5) of the file format. There will also be an “O” in the Business Status field (position 39) of the "before" image. For more information on the Directory Change File Format view this link: <https://www.agiis.org/Links/EBIDExtractASCII.pdf>
- **CSV Comma Separated Value** – (EBID & GLN) For an entity that is Out of Business the subscriber will receive two entries, one identified as Old and the other as New. The entries will have a field type of “Out of Business”. If using the CSV to Excel conversion template, any modified values are displayed in bold red so that changes can be easily identified. For more information on the .csv format and the CSV to Excel conversion template view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractExcel.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractExcel.pdf>
- **XML** – (EBID & GLN) In the entity transaction, the Current Entity element contains the Maintenance Reason Code of “Out of Business”, which indicates the entity has gone out of business. The Previous Entity element contains the entity attributes before the specified change was made to the Directory. For more information on the XML Format view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractXML.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractXML.pdf>

All requests to change entity status are routed to the Directory Administrator for processing. As with all requests that are routed to the Directory Administrator, an email confirmation is sent to the user who submitted the request and a results email is sent when the request is processed.

Out of Business entities are defined in AGIIS as “an enumerated entity that is no longer conducting business.”

The procedure for handling Out of Business entities is as follows:

1. Review the request.
2. If the entity is identified with a Subscriber Owned GLN, accept the request.
3. Check the “Subscriber Owned Location List” to verify whether there is a contact to call for approval to change the record.
4. If Member Services verification is not requested, try to verify the out of business entity status by doing internet search AND phone call to confirm. If no confirmation as to an “in business status” is found, accept the user’s request.
5. If Member Services verification is requested, follow verification procedures for the verification level selected. If entity is not out of business, decline the change.
  - a. If the phone is forwarded to another location the Directory Administrator will ask questions to determine whether the entity has moved to a new location, the original location is used for storage or is out of business.
  - b. If there is no answer or the phone number is out of order, use the internet to determine if there are any related businesses or alternate phone numbers that can be used to verify that this entity is Out of Business.
  - c. If the Directory Administrator is unable to determine if the entity is or is not in business, an e-mail is sent to users with the entity in their subscriber’s subset asking if they have current sales to the entity and notifying them that the entity may be Out of Business.

- i. If the Directory Administrator is not contacted by any subscribers with information on current sales, the entity is marked Out of Business.
  - ii. If the Directory Administrator is contacted by a subscriber with current sales to the entity, the request will be declined.
- d. Record verification details in Log Notes

## Replaced Entities

Subscribers having an entity in their subset whose entity status has changed to Replaced will receive an entry in their Directory Change File. The file format in which the subscriber receives their Directory Changes determines what the subscriber will receive:

- **EDI 838** - (EBID) In the PLA05 Segment for an entity in the subscriber’s subset that has been Replaced, they will receive a Maintenance Reason Code of 25. For more information on the 838 File Format view this link:  
[http://s3.amazonaws.com/aggateway\\_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf](http://s3.amazonaws.com/aggateway_public/AgGatewayWeb/eConnectivity/EDI/s8384010.pdf)
- **EDI 996, Private Format, ASCII** - (EBID) For an entity in the subscriber’s subset that has been Replaced, they will receive an “R” in Type of Change field (position 5) of the file format. For more information on the Directory Change File Format view this link:  
<https://www.agiis.org/Links/EBIDExtractASCII.pdf>
- **CSV Comma Separated Value** – (EBID & GLN) For an entity that has been Replaced, the subscriber will receive two entries, one identified as Old and the other as New. The entries will have a field type of “Replaced”. If using the CSV to Excel conversion template, any modified values are displayed in bold red so that changes can be easily identified. The entity specified as Old has been replaced by the entity specified as New. For more information on the .csv format and the CSV to Excel conversion template view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractExcel.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractExcel.pdf>
- **XML** – (EBID & GLN) In the entity transaction, the Current Entity element contains the Maintenance Reason Code of *Replaced*, which indicates the entity has been replaced by another entity. For more information on the XML Format view this link:
  - EBID - <https://www.agiis.org/Links/EBIDExtractXML.pdf>
  - GLN - <https://www.agiis.org/Links/GLNExtractXML.pdf>

The Replaced Entity Status is applied when a duplicate entity is identified in AGIIS.

A Replaced status in the Directory Change File requires the subscriber to take action and do their own research as to how they want to apply the change to their internal system.

All requests to change entity status are routed to the Directory Administrator for processing. As with all requests that are routed to the Directory Administrator, an email confirmation is sent to the user who submitted the request and a results email is sent when the request is processed. The procedure for handling a user’s request to change the entity status to Replaced is as follows:

1. If it is determined that the entities submitted for replacement are not duplicate records, decline the request in an e-mail response back to user with an explanation.
2. If records are duplicates, replace the duplicate identifier with the correct identifier in AGIIS based on the following survivorship prioritization:
  - a. Subscriber owned GLN
  - b. Non-Subscriber owned GLN

- c. Self-Verified
- d. Member Services Verified – Tier 2 Phone Verification
- e. Member Services Verified – Tier 1 Web Verification
- f. Subscriber Verified
- g. Record in the Most Subscribers’ Subsets
- h. Last Verification Date
- i. Record with a License
  - When a record with licenses is updated with the entity status of Replaced By, any unique licenses associated with the record are moved to the surviving record.
- j. Record With the Oldest Creation Date

### **Accepting Name/Address Overrides**

All Name/Address Override requests get sent to the Directory Administrator for review. As with all requests that are routed to the Directory Administrator, an email confirmation is sent to the user who submitted the request and a results email is sent when the request is processed.

Name/Address Overrides occur:

1. When any entity request does not meet USPS address standardization rules and the requesting user indicates that their research shows the address to be valid by selecting the “Ignore Name/Address Warnings” box on the entity request. Address Override will be accepted if the request meets one of the following conditions:
  - a. The address is validated through requested Member Services Tier 2 verification.
  - b. The address is validated using Web searches

The Directory Administrator must delete the city name provided by the user on the request; copy the city name from the internet verification source and paste the city name into the city field.

2. When the name or address contains a word, phrase or character that is prohibited. The restrictions are intended to prevent substandard data from being added to the directory, but there are times when the word, phrase or character is legitimate. The request can be submitted by selecting the “Ignore Name/Address Warnings” box on the entity request. The Name/Address Override will be accepted if Member Services determines the use of the prohibited data is legitimate.

### **Setting Entities Inactive**

Inactive records are invalid entities, inactivated during the annual editing of entities without subscriber cross-references, inactivated during the substandard data inactivation of 2012 or have an entity status of Bought Out, Replaced, or Out of Business. Entities that have an inactive record status will be frozen and no updates will be allowed.

- All requests to make an entity inactive are reviewed by the Directory Administrator. As with all requests that are routed to the Directory Administrator, an email confirmation is sent to the user who submitted the request and a results email is sent when the request is processed.

- Once an entity has been through the appropriate procedure and has been identified as Bought Out, Replaced, or Out of Business, the system will automatically set the record status to Inactive.
- During the process of marking an entity inactive, notes can be added to the entity by a Directory Administrator to explain why an entity was set to inactive. On the Entity View page a button titled "View Deactivation" is available only when deactivation notes exist for the entity. Clicking the button displays the Entity Deactivation Notes page in view-only mode with a date/time stamp to indicate when the note was entered.
- The Directory Administrator will be required to enter deactivation notes when an entity is marked inactive but still is in business (invalid entity). The Directory Administrator can optionally enter deactivation notes when an entity is updated as Out of Business, Bought By, or Replaced. Normally, these actions are self-explanatory and the deactivation comments are provided as an optional field if the DA feels that further explanation would be beneficial for future reference.
- Deactivation notes will be generated automatically during the annual maintenance activities when entities are made inactive because they are not in any subscriber's subset.
- Deactivation notes are not included in the entity history database table and, therefore, are not included in the transaction information on the Entity History web page for an entity.
- The Entity Search Web Services will not return deactivation notes.
- Deactivation notes were not populated for entities inactivated prior to November 1, 2004.

## **EBID Update Extract File**

Subscribers must contact the Directory Administrator to get the initial EBID Update Extract scheduled. Subscribers have the ability to modify the delivery schedule of their EBID Update Extract file.

- All users who have been granted the **Entity-Manage Extract** privilege on behalf of their subscriber are able to access the EBID Update Extract under the *Files > Schedule Extracts* menu on the AGIIS web site.
- Users are not able to add or delete an EBID Update Extract. Users can update the following fields of the EBID Update Extract: Extract Name, Description, Active check box, Start Date, End Date, and Frequency. Please review the online Help for the Extract View page before making any changes.
- Subscribers have the choice to receive files daily, weekly or monthly.
- Only one file format of the EBID Update Extract is allowed per subscriber.

The following information displays the times the extract will be available for pick-up based on the frequency the subscriber has selected. The recommended frequency to pick up files is daily or weekly. The scheduling options include the following:

- Daily: Monday - Saturday recommended pick-up time is 4:00 AM central time. (On Sunday the file will be ready at 6:00 PM central time).
- Weekly: Files are delivered on Sunday by 6:00 PM central time.
- Monthly: File will be delivered on the first day of the month at 4:00 AM central time.



AGIIS supports the following file formats and delivery methods. A subscriber must choose one file format and one delivery method. Any file left on the AGIIS FTP for 31 days may be deleted by the Directory Administrator.

- EDI 838 by VAN or FTP  
[http://www.aggateway.org/LinkClick.aspx?fileticket=asPP\\_WmGJtE%3d&tabid=253](http://www.aggateway.org/LinkClick.aspx?fileticket=asPP_WmGJtE%3d&tabid=253)
- EDI 996 by VAN or FTP  
<https://www.agiis.org/Links/EBIDExtractASCII.pdf>
- ASCII Flat File Format by FTP  
<https://www.agiis.org/Links/EBIDExtractASCII.pdf>
- CSV Comma Separated Value by e-mail  
<https://www.agiis.org/Links/EBIDExtractExcel.pdf>
- XML Format by FTP  
<https://www.agiis.org/Links/EBIDExtractXML.pdf>

AGIIS supports the UTF-8 character set. The EDI 838, EDI 996, EDI Private Format, and ASCII Flat File format are not compatible with some UTF-8 characters. When data for these files contain characters not supported in the basic ASCII character set, the unsupported character will be removed and replaced with a blank space.

## **GLN Update Extract File**

Subscribers must contact the Directory Administrator to get the initial GLN Update Extract scheduled. Afterward, subscribers have the ability to update the schedule of their GLN Update Extract file.

- All users that have been granted the **Entity-Manage Extract** privilege on behalf of their subscriber are able to access the GLN Update Extract.
- Users are not able to add or delete a GLN Update Extract. Users can update the following fields of the GLN Update Extract: Extract Name, Description, Active check box, Start Date, End Date, and Frequency. Please review the online Help for the Extract View page before making any changes.
- Subscribers have the choice to receive files daily, weekly or monthly (our recommendation is to receive files daily or weekly).
- Only one file format of the GLN Update Extract is allowed per subscriber.

The following information displays the times the extract will be available for pick-up based on the frequency the subscriber has selected. The recommended frequency to pick up files is daily or weekly. The scheduling options include the following:

- Daily: Monday - Saturday recommended pick-up time is 4:15 AM central time. (On Sunday the file will be ready at 6:00 PM central time).
- Weekly: Files are delivered on Sunday by 6:00 PM central time.
- Monthly: File will be delivered on the first day of the month at 4:15 AM central time

AGIIS supports the following file formats and delivery methods. A subscriber must choose one file format and one delivery method. Any file left on the AGIIS FTP for 31 days may be deleted by the Directory Administrator.

- CSV Comma Separated Value by e-mail  
<https://www.agiis.org/Links/EBIDExtractExcel.pdf>

- XML Format by FTP (Limited to 65,000 records)  
<https://www.agiis.org/Links/EBIDExtractXML.pdf>

## Notifying Users about Overdue Requests

- AGIIS will notify users if a request has not been resolved within 7 business days.
- The Pending requests are color coded on the Directory Administration screens as a reminder of the elapsed time since the request was submitted. An automated process will send e-mails to the users regarding the status of the request based on status flags selected by the Directory Administrator.
  - The request is not color-coded the day it is received
  - On day 6, the request turns yellow
  - On day 7, the request turns red
- On day 7, an e-mail is sent to the user explaining why the request has not been processed with a copy to the AgGateway Administrator.
  - Possible reasons why the request process cannot be fulfilled in 7 days:
    - Have not been able to phone-verify the request.
    - Awaiting approval from the subscriber contact.

## Scheduling Product or License Extracts

- Who receives product extracts?
  - Users who have scheduled an extract using the *Schedule Extracts* option under the *Files* menu in AGIIS and clicked the *Add Product/License Extract button*. A user must have appropriate privileges in order to access the web pages.

For more information, refer to the *Product Extract Overview* tutorial under the Products heading on the Tutorial home page (Help Menu, select Tutorials) or directly at <https://www.agiis.org/Tutorials/ProdExtract.htm> or by selecting Help for this page while viewing the Extract View web page.
- Processing of files:
  - The extract process runs every weekday at 2:00 AM central time. Extracts are created based on the frequency (daily, weekly, monthly, semi-annually, and annually), start date, and end date determined by the user.
  - An e-mail notification is sent to the e-mail address specified in the user profile of the user who created the extract.
- Extracts are delivered in either CSV or XML file format, with the product level format of Classic 3 Level Hierarchy or Flat Product /GTIN as specified by the user. License extracts are only available in XML format. For more information, refer to the links below.
  - CSV File Format  
Classic 3 Level Hierarchy  
<http://www.agiis.org/Links/ProductDirectoryRecordLayout.pdf>  
Flat Product /GTIN  
<https://www.agiis.org/Links/ProductGTINCSVLayout.pdf>

- XML  
Classic 3 Level Hierarchy or Flat Product /GTIN  
<http://www.agiis.org/Links/AGIISProductExtractUsage.pdf>  
<http://www.agiis.org/Links/AGIISSchema/AGIISSchema.html>  
<https://www.agiis.org/Links/AGIISLicenseExtractUsage.pdf>

## Requesting GLN and/or EBID Subset Extract

- Who receives subset extracts?
  - Users who have requested an extract using the *Schedule Extracts* option under the *Files* menu in AGIIS. A user must have appropriate privileges in order to access the web pages.

*Note: Subsets in excess of 500,000 records cannot be requested by the Schedule Extract process. Please provide Member Services with the identifier type and file format you prefer and the file will be created by the Directory Administrator. Member Services will communicate delivery information to you when the file is available.*

For more information, refer to the *Entity Subset Extract* tutorial under the Entity Maintenance heading on the Tutorial home page (*Help Menu*, select *Tutorials*) or directly at <https://www.agiis.org/Tutorials/ReqExtract.htm> or by selecting *Help for this page* while viewing the *Extract View* and *Entity Subset Extract* web pages.

- Processing of files:
  - The extract process runs immediately after the entity subset extract request is submitted.
  - An e-mail notification is sent to the e-mail address specified in the user profile of the user who created the extract.
  - Extracts are delivered in either ASCII or XML file format, as specified by the user.
    - EBID in ASCII Fixed File Format  
<https://www.agiis.org/Links/EBIDSubsetExportASCII.pdf>
    - GLN in ASCII Fixed File Format  
<https://www.agiis.org/Links/GLNSubsetExportASCII.pdf>
    - GLN and EBID in XML  
<https://www.agiis.org/Links/SubsetExtractXML.pdf>

## Scheduling Product or License Imports

- How do Subscribers import a file through the FTP site?
  - Method 1 – upload an import file using an FTP client to the Subscriber's “*data\_in*” folder within their Subscriber folder. Contact the Directory Administrator if you do not know your Subscriber folder name and password. An FTP user ID and password are required to upload files to the AGIIS FTP site: <ftp://pd.agiis.org>.

- Method 2 – upload an import file using the *Upload Files* option in AGIIS. A user must have appropriate privileges in order to access the *Upload Files* web page.
- Method 3 – upload an import file using Directory Connect or any 3<sup>rd</sup> party product that has been approved by AgGateway.

*Note: Any file left on the AGIIS FTP for 31 days may be deleted by the Directory Administrator.*

- Processing of files:
  - Files are processed daily at 2:00 PM and 12:15 AM central time.
  - Files containing inactive product records will cause the associated package size and package configuration records in AGIIS to be changed to inactive (if the package size and package configuration records are not included in the file).
  - Files containing conflicting information will be in error. Example: Inactive product and active package size and/or package configuration.
  - Product Import File in CSV format only:
    - Files in CSV format don't have a transaction type. The records in the file are handled like the AddOrReplace function; if the record exists, it will be updated with the data in the file. If the record does not exist, it will be added.
    - If any record in the file contains an error, the entire file will fail to process.
    - An e-mail notification with the results is sent to the e-mail address specified in the Subscriber profile for "Product Import". The e-mail will include information on any records that were automatically inactivated.
  - Product Import File in XML format only:
    - Transaction types for product import files in XML format are Add, Replace, Delete and AddOrReplace. If the product has a GTIN cross-referenced in any subscriber's subset, the product, package size & package configuration associated with the cross-reference can not be deleted.
    - If an error is detected in a product record or any of the product component records (product, package size, package configuration or license), that product record and all of the associated component records will fail.
    - A Product Import XML file completion notification e-mail will be sent for each product import file that is submitted and will contain the name of the submission file and a link to a log file that will give the status of each record in the file. The e-mail's subject will differ depending on the success or failure of records contained in the submission file.
  - E-mail Subjects
    - If the product import file contained any errors, the subject of the e-mail will be "AGIIS XML Import Errors Product MM/dd/yyyy hh:mm:ss"
    - If the product import file contained no errors, the subject of the e-mail will be "AGIIS XML Import Success Product MM/dd/yyyy hh:mm:ss"
  - Log Files (XML Only)
    - For each Product Import file processed, the completion notification e-mail will contain a link to a new "log file". The log file will be placed in

the subscriber’s outbound AGIIS FTP product directory and will be named after the original product import file with a dash (-) then a date/time stamp (yyyyMMddhhmmss) and ending with “.log”. The “log file” will contain a line-by-line description of the result of each transaction in the file. The beginning and ending of each “product information block” will be clearly identified and will indicate the success or failure of each product as a whole.

- An e-mail reminder will be sent to the e-mail address specified in the Subscriber profile for “Product Import” on the first of every month notifying the user that they have products with the temporary EPA Registration Number = CNA in their Subscriber’s data. E-mails will not be sent if the product is inactive.
- File formats accepted:
  - CSV File Format  
Classic 3 Level Hierarchy  
<http://www.agiis.org/Links/ProductDirectoryRecordLayout.pdf>  
Flat Product /GTIN  
<https://www.agiis.org/Links/ProductGTINCSVLayout.pdf>
  - XML  
Classic 3 Level Hierarchy or Flat Product /GTIN  
<https://www.agiis.org/Links/AGIISProductUpdateUsage.pdf>  
<http://www.agiis.org/Links/AGIISchema/AGIISchema.html>
  -

## Product Subsets

- How do Subscribers create and maintain a product subset within AGIIS? The Subscriber’s user can add a product to their subset, replace the prop code used in the cross-reference, or remove a product from their subset.
  - Method 1 – When cross-referencing small numbers of products, a user can use the AGIIS website.  
For more information, refer to the *Product Subset* tutorial listed under the Products heading on the Tutorial home page, which can be accessed from the AGIIS website (select the Tutorials option from the Help menu) or directly at <http://www.agiis.org/Tutorials/ProdSubset.htm>.
  - Method 2 – When cross-referencing large amounts of products use the bulk load process. This consists of sending the XML file or an ASCII fixed length format file via one of the two methods below.
    1. Submitting a GTIN + Proprietary Code
    2. Submitting Manufacturer EBID + Reporting ID + Proprietary Code + Level Indicator

Refer to the links:

<https://www.agiis.org/Links/AGIISProductSubsetUpdateUsage.pdf> or  
[https://www.agiis.org/Links/PDSubsetUpdate\\_ASCII.pdf](https://www.agiis.org/Links/PDSubsetUpdate_ASCII.pdf) documents for the accepted file format (document can also be accessed from the Links menu in AGIIS under Products).

- How do Subscribers import a file through the FTP site?
  - Method 1 – Upload an import file using the FTP client to the Subscriber's “data\_in” folder within their Subscriber folder. Contact the Directory

Administrator if you do not know your Subscriber folder name. An FTP user ID and password are required to upload files to the AGIIS FTP site:

<ftp://pd.agiis.org>.

- Method 2 – Upload an import file using the *Upload Files* option in AGIIS (available from the Files menu). A user must have appropriate privileges in order to access the Upload Files web page.

*Note: Any file left on the AGIIS FTP for 31 days may be deleted by the Directory Administrator.*

## GLN Bulk Submission Process

The GLN bulk submission process enables subscribers to submit up to 10,000 records to AGIIS for processing on each processing cycle. The transactions supported are

1. Add entity
2. Add entity to subscriber's subset
3. Update the entity information
  - a. The update could be applied to the following data elements: company name, grower name, physical address, mailing address and/or phone number.
    - i. All required data elements must be provided in the GLN update file. If optional fields such as the phone number provided in the GLN update file are not provided, the phone number on the existing entity will be removed.
  - b. Update transactions for location description, latitude, longitude and SPLC Code will only be supported in XML format.
  - c. Changes to entities identified with a Subscriber Owned GLN can only be made by the owning subscriber.
  - d. Changes to Entity Classification, Entity Status or Record Status are not supported.

*Please Note: If you plan to submit requests that contain Subscriber Verification or Member Services Verification information, you must contact Member Services to request that your Subscriber record be updated to allow such transactions. This one time set up is required to prevent unintentional verification requests and the associated fees.*

4. Search for GLN identifier by providing entity name & demographics
  5. Get entity name & demographic information by supplying GLN identifier
  6. Remove entity from Subscriber's subset.
  7. Reactivation for GLN Enumeration. The Directory Oversight Committee must approve the use of this file. Only one usage per subscriber will be allowed. This file requires special handling and processing.
- How do Subscribers import and receive a batch file of GLN requests through the FTP site?
    - User uploads batch file using an FTP client to the Subscriber's NAPD/GLN "data\_in" folder within their Subscriber folder. Contact the Directory Administrator if you do not know your Subscriber folder name. An FTP user ID and password are required to upload batch files to the AGIIS FTP site: <ftp://napd.agiis.org>.
    - After receiving notification that the file has been processed, user downloads the results from the Subscriber's NAPD/GLN "data\_out" folder. An FTP user ID

and password are required to download batch files from the AGIIS FTP site:  
<ftp://napd.agiis.org>.

*Note: Any file left on the AGIIS FTP for 31 days may be deleted by the Directory Administrator.*

- Processing of files:
  - Import files are processed every weekday and Sunday at the following times: 10:00 AM, 3:00 PM and 8:00 PM central time. On Saturday, files are processed at 10:00 AM and 3:00 PM.
  - An e-mail notification with a link to the Return file is sent
    - XML format: To the e-mail address specified in GLN Bulk Submission file
    - ASCII format: To the e-mail address specified in the Subscriber's AGIIS Profile Notification e-mail address for GLN Submission.
    - CSV format: To the e-mail address specified in the Subscriber's AGIIS Profile Notification e-mail address for GLN Submission.
- File formats:
  - Legacy GLN Bulk Submission File Layout (ASCII)  
[https://www.agiis.org/Links/SubmissionFileLayout\\_AsBulkInput\\_GLN.pdf](https://www.agiis.org/Links/SubmissionFileLayout_AsBulkInput_GLN.pdf)
  - Legacy GLN Bulk Return File Format  
[https://www.agiis.org/Links/ReturnFileLayout\\_GLN.pdf](https://www.agiis.org/Links/ReturnFileLayout_GLN.pdf)
  - Full Featured Fixed Length Text Submission Layout  
[https://www.agiis.org/Links/SubmissionFileLayout\\_AsBulkInput\\_PCR185\\_4.pdf](https://www.agiis.org/Links/SubmissionFileLayout_AsBulkInput_PCR185_4.pdf)
  - Full Featured Fixed Length Text Return File Format  
[https://www.agiis.org/Links/ReturnFileLayout\\_PCR185\\_4.pdf](https://www.agiis.org/Links/ReturnFileLayout_PCR185_4.pdf)
  - GLN Bulk Submission File Layout (CSV)  
<https://www.agiis.org/Links/BulkSubmissionCSVFileLayout.pdf>
  - GLN Bulk Return File Format (CSV)  
<https://www.agiis.org/Links/BulkReturnCSVFileLayout.pdf>
  - GLN Bulk Submission File Layout XML  
<https://www.agiis.org/Links/BulkSubmissionXML.pdf>

## **AGIIS Web Services**

Web services full documentation can be found at  
<https://www.agiis.org/Tutorials/PCR173WebServicesOverview.pdf>

Entity Search

- Search by entity/Subscriber identifier – to determine if entity is an AGIIS subscriber

## AGIIS OPERATIONAL PROCEDURES

- Search by proprietary code
- Search by entity identifier
- Search by entity attribute – name, address, city + state, postal code
- Search by Entity/Product/License – to determine if entity is licensed to purchase product

### Entity Maintenance

- Add EBID – adds a new entity to AGIIS and to the subscriber's EBID subset
- Add GLN – adds a new entity to AGIIS and to the subscriber's GLN subset
- Update – Updates the specified existing entity (*Note: please read documentation closely so as to not remove existing data accidentally*)
- Add to Subset – Adds the specified entity to the subscriber's subset
- Delete from Subset – Removes the specified entity from the subscriber's subset

### Product Search

- Search by product identifier (GTIN or Reporting Identifier)
- Search by Product Attribute – Manufacturer's name or EBID, product name, brand, variety, maturity max/minimum days, seed size
- Search by proprietary code

### Product Maintenance

- Add – adds new product to AGIIS
- Delete – removes product from AGIIS
- Replace – replaces existing record with data provided
- Add Or Replace – adds the specified produce if it does not already exist OR replaces existing product information with data provided

### Product Subset Maintenance

- Add – adds new product to the subscriber's subset
- Delete – removes product from the subscriber's subset
- Replace – replaces existing proprietary code with the proprietary code provided
- Add Or Replace – adds the specified produce to the subscriber's subset if the subset record does not exist OR replaces existing the proprietary code with proprietary code provided.



## Appendixes

### Appendix A: Privileges

The following privileges are assigned to a Subscriber when enrolled in AGIIS. These privileges are then available for a Subscriber Administrator to assign to users.

#### *E-Business Component*

**E-Business - Search/View** Allows user access to the **Search - E-Business** and **Entity Search** menu options. User can search for an entity (an entity enumerated with an EBID), view the search results, and view an entity record.

**E-Business - Request Add** Gives user ability to add an E-Business entity to AGIIS.

**E-Business - Request Update** Gives user ability to update an E-Business entity's demographic information.

**E-Business - Manage Subset** Gives user ability to: add entities identified with an EBID to their subset; update proprietary codes of entities in their subset; and remove entities from their subset.

#### *Entity Component*

**Entity - Manage Extracts** Gives user ability to create and schedule license extracts and download license extract files. Allows user access to the **Files - Schedule Extracts** and **Files - Download Files** menu options.

**Entity - Request Activation** Gives user ability to request a reactivation of an entity.

**Entity - Submit Files** Gives user ability to upload entity information into AGIIS. Allows user access to the **Files - Upload Files** menu option.

**Entity- Submit Duplicates** Gives users of a subscriber the user privilege to report duplicates through the web interface

#### *Purchaser Component*

**Purchaser - Search/View** Allows user access to the **Search - Entity Search** menu option. User can search for a purchaser entity (an entity enumerated with an NAPD/HP ID), view the search results, and view an entity record.

#### *GLN Component*

**GLN - Search/View** Allows user access to the GLN search criteria on the **Search - Entity Search** menu option. User can search for an entity enumerated with a GLN, view the search results, and view an entity record.

**GLN - Request Add** Gives user ability to add an entity enumerated with a GLN to AGIIS.

**GLN - Request Update** Gives user ability to update the demographic information of an entity enumerated with a GLN.

**GLN - Manage Subset** Gives user ability to: add an entity enumerated with a GLN to their subset; update proprietary codes of entities in their subset; and remove entities from their subset.

### ***Product Component***

**Product - Search/View** Allows user access to the **Search - Product** menu option. User can search for a product, view the search results, and Product View .

**Product - Request Add** Gives user ability to add a product to AGIIS.

**Product - Request Update** Gives user ability to update product information including creating a product and agreement link.

**Product - Manage Subset** Allows user the ability to add products to and remove products from their subscriber's subset.

**Product - Manage Extracts** Gives user ability to create and schedule product extracts and download extract files via the **Files - Schedule Extracts** and **Files – Download Files** menu options.

**Product - Submit Files** Gives user ability to upload product information into AGIIS via the **Files – Upload Files** menu option.

### ***User Management***

**User - Search/View** Allows subscriber administrator access to the **Administration - Users** menu option. The Subscriber Administrator can search for a user, view the search results, and view a user profile record.

**User – Report Duplicates** – Gives certified users the capability to report potential duplicates using the web interface. Suspected duplicates are sent to the Directory Administrator for final review.

**User - Request Add** Gives the subscriber administrator the ability to enroll a user in AGIIS.

**User - Request Delete** Gives the subscriber administrator ability to remove a user from AGIIS.

**User - Request Update** Allows user access to the **Administration – My Profile** menu option. Gives user ability to update his or her user profile. Additionally, gives the Subscriber Administrator the ability to update the profile of other users within the subscriber.

### ***Subscriber Administrators***

In order to be classified as a Subscriber Administrator the user must have all of the User Management privileges. Subscriber Administrators are responsible for adding and maintaining users for their subscriber. Subscriber Administrators also have access to their Subscriber's Profile, giving them access to maintain Bulk Notification e-mail addresses, add Entity Contact Lists if their subscriber is ebXML enabled, and add and update their subscriber's agreements and licenses on the AGIIS website.

## Appendix B: E-mail Responses Sent to AGIIS Users

The system will send an e-mail notification under the following situations:

- The system receives a request
- A request is accepted
- A request is declined
  - Other users who choose to be notified of the outcome of an entity request will receive a blind copy of the requesting users' e-mail.
- The system generates an Extract File
- Product Alert
  - Information related to the products component of AGIIS
- Directory Alert
  - Scheduled maintenance
  - Emergency maintenance
  - System issue or bug
  - Enhancements to the AGIIS database
- Entity Alert
  - Directory Administrator questioning if there are sales to entities suspected of being Out of Business
- Pending Request Status Updates - This function enables you to receive a Pending Request Status e-mail on any EBID or GLN requests you have submitted that have been pending for more than seven days and the reason for the delay.
  - Entity verification pending
  - Distributor contact verification pending
  - Under Directory Administrator investigation

By default, e-mail notifications will be sent to users when these conditions occur. Users who do not wish to receive the notifications can stop the e-mails from being sent to them by updating the E-mail Notification section of their AGIIS User Profile by removing the checkmark next to the notifications they do not want to receive.

## **Appendix C: Sending an Issue/Enhancement to the Directory Oversight Committee**

When an issue is reported that would be a change or is not defined in the policy or procedures of AGIIS, the Directory Administrator will ask the user to send the issue to the co-chairs of the Directory Oversight Committee.

The Directory Administrator will provide any research or details needed to resolve the issue to the Directory Oversight Committee and the requesting subscriber.

### ***Handling of Enhancement Request to AGIIS***

The Directory Oversight Committee (DOC) is charged with prioritizing requests and maintaining the AGIIS Priority List. This list contains all active work, prioritized requests, and submitted requests that have been accepted but have not been prioritized. Each request for administrative maintenance, enhancement or new development must be reviewed and evaluated by the DOC.

#### **DEFINITIONS:**

Administrative Maintenance work is recurring or ongoing activity needed to support the operation, function, stability and continued viability of the directory. Administrative maintenance is estimated and planned for as part of the annual budgeting process. The DOC, in cooperation with the Directory Vendor, is responsible for assessing and estimating hours to be used for such maintenance.

Enhancements and New Development is work requested by subscribers, project teams, councils, AgGateway directors or staff, or the Directory Administrator that materially impacts the function and operation of the directory. There is no distinction between enhancements and development for purposes of prioritization.

#### **PROCESS:**

The DOC must submit an estimate for the following year's AGIIS administrative maintenance to the AgGateway Operational Board no later than November 1<sup>st</sup> of each year. Planned administrative maintenance activities and budgeted hours will be placed on the AGIIS Priority List.

**All new requests are submitted to the Directory Administrator.** Any subscriber, directory administrator, AgGateway director or staff member may submit an enhancement or new development request.

- Any subscriber who submits an enhancement request must participate in user acceptance testing of the enhancement (any enhancement, not just batch/web service related).
- If the enhancement request is submitted by a group
  - a. At least one of the subscribers in the group must be identified on the enhancement request as a participant for user acceptance testing.
  - b. If others within the group wish to participate in user acceptance testing, they should also be listed on the enhancement request.
  - c. The DOC will contact other subscribers as desired, to see if they wish to participate in user acceptance testing of the enhancement. The time offered for subscribers to elect to participate should be limited so as not to unnecessarily delay the enhancement process.

The request must be submitted in writing to the Directory Administrator and contain the following data elements:

- The requestor's name
- The date the request is submitted to the Directory Administrator

- “User acceptance testing” contact name, phone number and e-mail address.
- An explanation of the enhancement or new development
- A statement of the problem the request solves or the improvement and business benefit that it brings to the directory

**The request is logged by the Directory Administrator.** The Directory Administrator acts as the gateway to the DOC for all requests. The Directory Administrator has the following responsibilities when logging requests for work:

Apply a preliminary estimate of effort applied against the request. This estimate is not binding upon the directory vendor; it is simply a “gut check” to aid the DOC in determining where the request will reside on the AGIIS Priority List. If the requestor did not supply sufficient information to estimate the size, then the Directory Administrator notes that fact on the priority list and is not required to estimate the size.

The preliminary estimate should be in the form of Small/Medium/Large.

- An estimate of “small” assumes a range of 1 to 50 hours of development time.
- An estimate of “medium” assumes a range of 51 to 100 hours of development time.
- An estimate of “large” assumes a range of over 100 hours.

Respond to the requestor, in writing, that their request has been received and logged. The response should include the date the request was received and when it was logged. The response should also advise the requestor that the request will be added to the DOC’s discussion agenda.

At the time the enhancement request is initially presented to the DOC

- If the enhancement is a change to existing functionality, the Directory Administrator will provide the DOC with a list of current users if & when tracking is possible.

**The DOC evaluates all requests logged by the Directory Administrator.** The DOC must evaluate a request no later than 60 days from the date the request is submitted. The DOC may direct a task force of Subject Matter Experts (SME’s) to review, clarify, and recommend the priority of any request. The requestor must be notified of the date on which the request will be discussed, or advised of the creation of the task force, to enable them to provide additional information or input into the discussion.

**The DOC acts on the evaluation.** The DOC will either retain and prioritize, or reject the request. A request may be rejected if it violates the policies of the DOC and the AGIIS Directory as documented in the appropriate guidelines.

If the DOC asks the Directory Administrator for a firm estimate for a project:

- The DOC should supply the Directory Administrator with a list of subscribers who wish to participate in testing and the subscriber contact information prior to the estimate being created.
- The Directory Administrator will include the names of the “testing subscribers” and the cost of user acceptance testing in the enhancement estimate that is to be provided to the DOC.

The requestor is notified of the results of the DOC’s decision. Such notification must be performed in writing, and a copy of the notification will be archived at the AgGateway office.

The DOC may opt to set the request on the AGIIS Priority List at a level of “Not Prioritized.” This state is used to document that the request has been discussed by the DOC, but that additional discussion and evaluation of the request is required before a priority can be assigned

In the event the request is rejected, or if the DOC’s priority assessment does not satisfy the needs of the requestor, the requestor may petition to re-address the request with the DOC at its next meeting or conference call. Such a petition should be directed to the Chair and Vice-Chair of the DOC via e-mail.

A requestor may appeal the rejection of a request or the DOC priority to the AgGateway Operational Board by notifying the President of AgGateway.

The AgGateway Operational Board acts as the final court of appeal for any challenges to the DOC's action.

**The addition of a request to the AGIIS Priority List does not ensure that the enhancement will be done.**

**The Priority List will be published on the AgGateway and AGIIS web sites.** Such publication ensures the requestor and all subscribers and members can view the list.

**ALTERNATE FUNDING, BUDGETING AND SCHEDULING:**

The AGIIS Directory Vendor is expected to provide new administrative maintenance requests to the DOC. Any administrative maintenance requests that arise after the beginning of the budget year will be documented and evaluated in the same manner as enhancement and new development requests. The DOC must determine if any new administrative maintenance requests have value to the subscribers and the directory. If the request is determined not to have value, the DOC will return the request to the Directory Vendor. The Directory Vendor may perform an internal evaluation of the value of the request and its ability to improve operational support to the directory. At this point the Directory Vendor has the option, with the approval of the DOC, to perform the maintenance request at no cost to subscribers or to AgGateway.

AGIIS enhancements and new development are funded from the annual AGIIS operating budget up to a specified annual amount. As a general rule the DOC will authorize work on requests that require up to 100 hours of programming and related work. Requests for more than 100 hours of programming requires the DOC to evaluate alternative sources of funding, but does not preclude the use of AGIIS funds for all or part of the request.

**Communication to Subscribers of Pending Enhancements:**

1. When the DOC has approved any enhancement for development:
  - a. Shortly after DOC approval, the Directory Administrator will send an e-mail to all users (who have chosen to receive Directory Alerts) giving a high level explanation of the enhancement.
    - i. If the enhancement changes current batch or web services, this communication will include a warning that the changes may affect current users of the batch/web service. The affected batch/web services will be listed.
2. When development has been scheduled:
  - a. The Directory Administrator will send an e-mail to all users (who have chosen to receive Directory Alerts) giving more details about the pending enhancement and an approximate delivery date.
    - i. If the enhancement changes current batch or web services, this communication will include a warning that the changes may affect current users of the batch/web service. The affected batch/web services will be listed.
  - b. The Directory Administrator will send an e-mail to those users who are listed on the PCR as user acceptance testing participants, giving the approximate date the testing can begin.
3. When user acceptance testing can begin:
  - a. The Directory Administrator will contact those users who are listed on the PCR as user acceptance testing participants, letting them know that testing can begin and giving information needed for testing.

- i. If the subscriber is unable to participate in testing in a timely manner, the Directory Administrator will notify the DOC. The DOC will then decide if the subscriber will be accommodated or if the PCR will proceed without the subscriber testing.
- 4. When user acceptance testing is complete, approximately 3 days prior to delivery:
  - a. The Directory Administrator will send an e-mail to all users (who have chosen to receive Directory Alerts) giving details about the pending enhancement and the delivery date.
    - i. If the enhancement changes current batch or web services, this communication will include a warning that the changes may affect current users of the batch/web service. The affected batch/web services will be listed.
- 5. After the enhancement is delivered:
  - a. The Directory Administrator will publish Release Notes on the AGIIS website for 1 month.
  - b. The Directory Administrator will provide AgGateway with a copy of the Release Notes for publication on the AgGateway website.
  - c. After being review/edited by the DOC, Release Notes should be published in the AgGateway News letter.

## **Appendix D: GLN Reuse**

### **Annual GLN Reuse Process**

On November 9, 2016 the Directory Oversight Committee (DOC) approved to conduct an annual GLN Reuse process. The approved procedure will be initiated on an annual basis in close timing with other annual maintenance activities to ease the scheduling and communication for AGIIS Subscribers and CSC. The below two-step procedure will be followed when conducting the Annual Process,

**Step 1** – Notification of a published list (On an annual basis, a communication will be sent to all subscribers notifying them that the GLN reuse file, those GLN’s eligible for reuse, has been updated and is ready to be downloaded. The target list will be available on the AGIIS website under the “File” menu, Download Files. This web page includes links to the current target list as well as the historical GLN reuse files that have been created. Only AGIIS Subscribers will be able to download the Annual Reuse file. Documentation regarding the content in the Reuse file will be available from the “Links” menu, “GLN Reuse” on the AGIIS website.

**Step 2** - Implementation of moving the GLN’s into the Reuse Pool. The eligible GLN’s for reuse will not be placed in the reuse pool for 45 days, post-communication. This will give subscribers enough time to download the file and check it against their internal systems.

The following criteria will be used when creating the target list of eligible GLN’s available for Reuse.

- 1. A Global Location Number must be inactive for four years.
- 2. Approved GLN Exemptions. The current GLN Exemption Criteria consists of the following:
  - a. GLN’s associated with records that have an Entity Status of Bought Out

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- b. GLN's associated with records that have an Entity Status of Out of Business
- c. GLN's associated with records that have been inactivated due to the Annual Orphan Maintenance Process

*The DOC will review the exclusion criteria on an annual basis to determine whether or not any adjustments are needed to these criteria.*

The AGIIS website has also enhanced to show GLN reuse history and the ability to see if the identifier is in the GLN pool for reuse.