



Session 2: digitalisation of phytosanitary certification TRACES NT and IPPC e-Phyto Solution

CAREC Conference on ePhyto
Tashkent, 11-13 September 2023

Dr H el ene KLEIN

helene.klein@ec.europa.eu

Head of Sector TRACES-IMSOC

DG SANTE - Unit G3 - Official Controls

European representative of the IPPC ePhyto Steering Group

IPPC ePhyto Solution single contact point for the EU



Outline

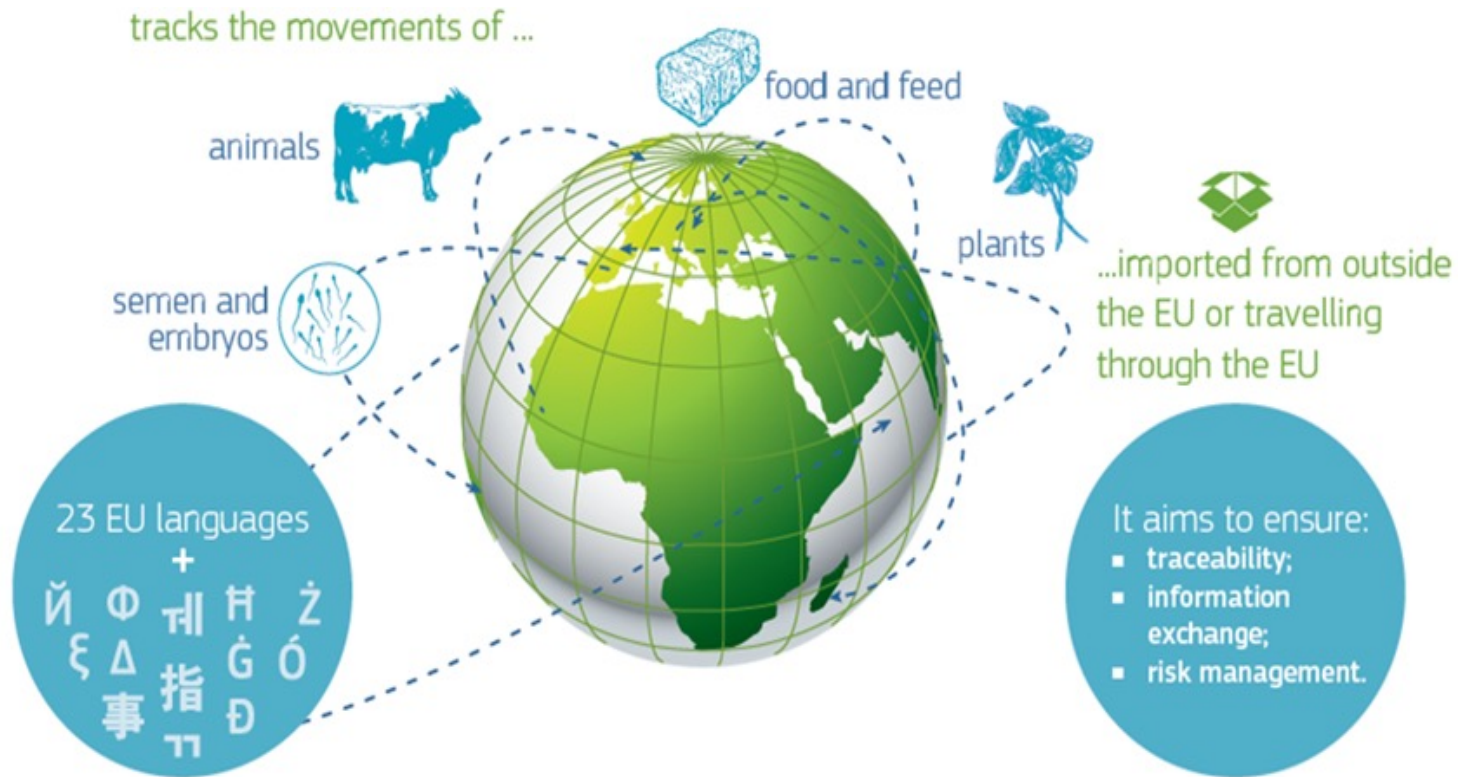
TRACES and plant health

- what is TRACES?
- when plants were introduced?

TRACES and IPPC ePhyto Solution

- issuance of electronic phytosanitary certificates in EU legislation
- key Hub ePhyto features for TRACES
- state of play of data exchanges
- technical support
- remaining key challenges

What is TRACES?



2022

93 countries and overseas territories:

- 27 EU countries (+ NI)
- 65 non-EU countries

113 690 users

2/3 operators
1/3 authorities

4.6 million documents

57% CHEDs (23% CHED-PP)
10% IPPC ephytos
2% phytos

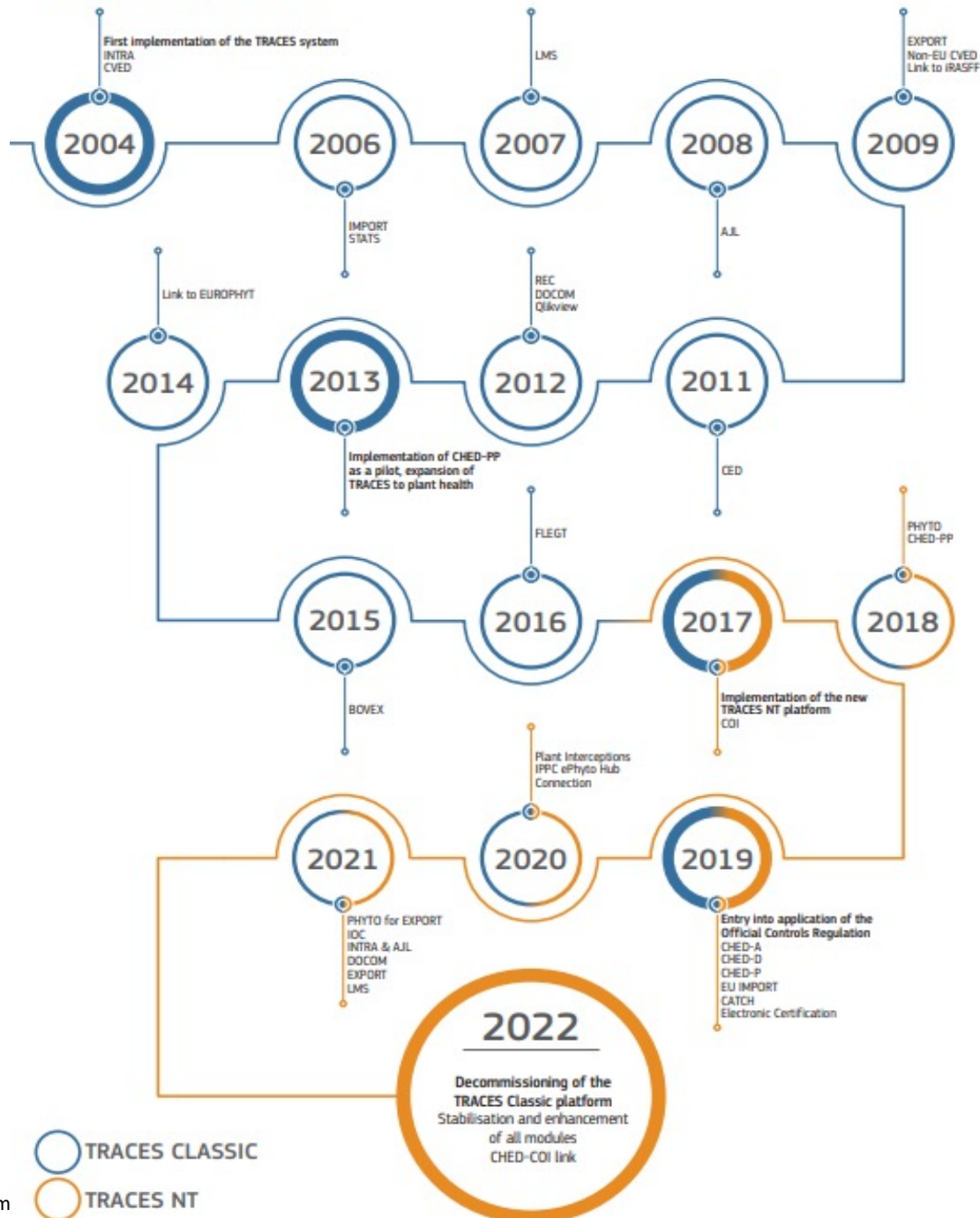
SPS certification (SANTE)
EU imports of live animals, animal products, food and feed of non-animal origin and **plants**
Intra-EU trade in live animals and certain animal products
EU exports of live animals, certain animal products and **plants**

Border clearance (SANTE) - CHEDs

- live animals
- animal products
- food and feed of non-animal origin
- plants

Other documents
 COI and OOC (AGRI)
 FLEGT (ENV)
 CATCH (MARE)

THE TRACES TIMELINE



2013: first entry document for plants in TRACES Classic (voluntary basis)

2018: migration of plant documents to TRACES-NT (voluntary basis)

14 Dec.2019: entry documents mandatory

2020: TRACES-NT connection to Hub

Issuance of electronic phytosanitary certificates in EU legislation

IMSOC and eIDAS Regulations (EU standards for e-signature and e-seal)

To the EU

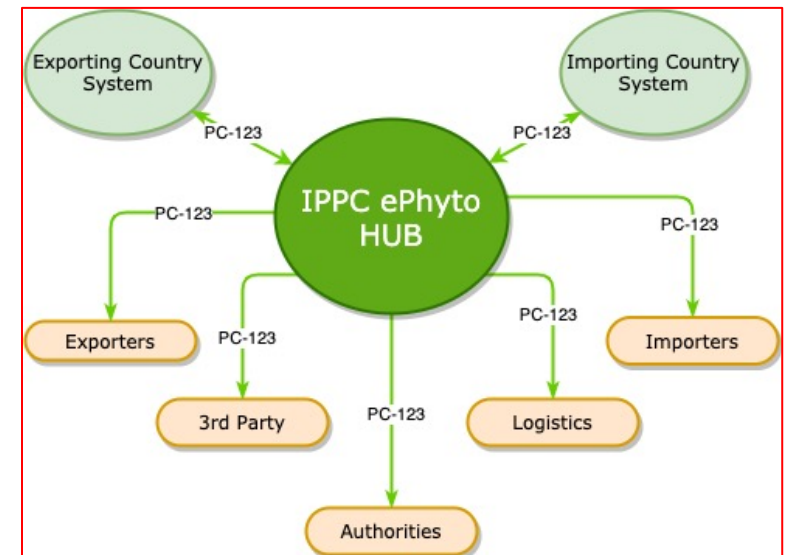
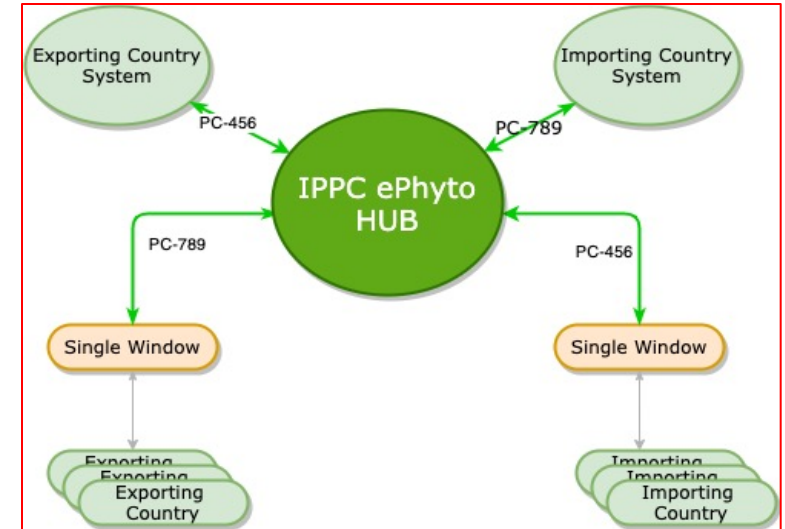
- In TRACES
 - Electronic signature of certifying officer
 - Advanced or qualified electronic seal of the issuing authority
- in exchange with TRACES (through the Hub)
 - Advanced or qualified electronic seal of the issuing authority (eIDAS compliant or equivalent – digital certificate issued by a TSP outside the "EU trusted list")

From the EU

- In TRACES (and submitted through Hub)
 - Electronic signature of certifying officer;
 - Advanced or qualified electronic seal of the issuing authority;
- in Member States' systems in exchange with TRACES (and submitted through Hub)
 - Electronic signature of certifying officer;
 - Transmitted to TRACES at the time of signature and transmission sealed by advanced or qualified electronic seal of the issuing authority.

Key Hub ephyto features for TRACES

- **Channel delegation: Single Window systems can handle sending/receiving ePhytos on behalf of countries they manage.**
 - Countries can send ePhytos to any Member States through the HUB, and the message will be pulled by Traces and delivered to the intended Member State.
 - Any Member States can send ePhytos to countries from or through Traces, and the message will be pushed by Traces through the HUB and delivered to the intended importing country.
- **Channel forwarding: a country is able to specify multiple recipients on the ePhyto envelope while sending it to the destination country.**
- **Implementation of electronic signature in GeNS**



State of play of data exchanges: IPPC ePhyto to the EU (CH+NI)

- TRACES is connected to Hub via a single connection since May 2020 for all MSs, CH and NI;
- > 1 270 000 (e)phytos since connection;
- > 46 000 (e)phytos in August 2023;
- ~1/4 of Hub monthly exchanges;
- Up to more than 2000 (e)phytos per day;
- **28** third countries sending data in Production (**22** in paperless mode);
- third countries testing data sending: *Uzbekistan*, Tanzania.

State of play of data exchanges: phytos to the EU

e-Phytos replacing paper phytos			Paper phytos required
produced inside TRACES-NT	data transmitted through Hub		data transmitted through Hub
Guadeloupe	Argentina	Kenya	Madagascar
French Guyana	Cameroon	Mexico	Nepal
Martinique	Chile	Morocco	Jordan
Mayotte	Colombia	New Zealand	Guyana
la Réunion Island	Costa Rica	Panama	Bahamas
Tunisia	Dominican Republic	Samoa	Indonesia
UK(GB)	Fiji	Senegal	
	Guatemala	South Africa	
	Israel	Sri Lanka	
	Ivory Coast	Uganda	
	Jamaica	USA	

State of play of data exchanges: phytos from the EU

- **PHYTOS for Export “produced inside TRACES”**

- progressively used by FR, CY, HU, MT, DK, IT, PT, PL, SE since early Feb.2021;
- ~ 57280 ephytos in 2023
- paperless mode possible
- countries receiving/accepting EU ephytos through Hub: US, Argentina, Costa Rica, Chile, Morocco, Mexico

- **PHYTOS for Export “submitted to TRACES”**

Concerns Member States using a national system

- Spain since early Dec. 2021 - about 6000 ephytos so far - destined to AR, US, CL, CR, PA, PE, MX and UK
- Netherlands since end of 2022 - about 10500 ephytos so far, destined to various destinations
- Germany since 15 March 2023 – about 1100 ephytos to US
- Ireland since 31 May 2023 – about 350 ephytos to US, UK, ZA, MA, KR, AU
- Belgium not yet in production
- Lithuania and Latvia expressed an interest

Technical support

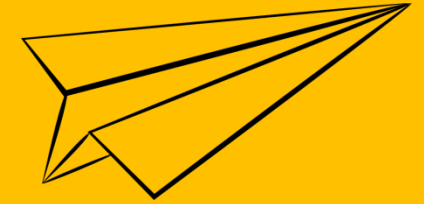
For any exchanges with the EU and TRACES, write to sante-traces@ec.europa.eu

- Recommendations for Phytos to the EU
 - Testing incoming messages in UAT prior to sending data in production;
 - Meeting the IPPC ePhyto guidelines;
https://www.ephytoexchange.org/doc/mapping/Mapping_ISPM_12_to_ePhyto_standard_Export_certificate_V.2.pdf
 - Use methods provided by the IPPC to verify xml structure before sending;
 - Take account of error messages triggered by TRACES (« delivered but unreadable »).
- Recommendations for Phytos from the EU
 - From Member States using TRACES: the TRACES team can provide samples in UAT for countries wishing to test incoming messages into their national system – exchange of letters to confirm the implementation date;
 - From Member States using their own national systems: liaise with their contact points directly to organise the testing and agree on an implementation date.

Remaining key challenges

- Acknowledging that the ePhyto Solution does not guarantee countries' phytosanitary requirements compliance
- Achieving paperless mode:
 - Countries' ability to digitally sign xml for phytos to the EU (national systems and geNS)
 - Acceptance of ephytos from the EU
 - ✓ “Legal” constraints
 - ✓ “Technical” acceptance: pending Hub connection and development of a national interface to process certification data (including signed data), TRACES online verification of certificates or e-signed pdf certificates (GB, NO)
 - ✓ State of play: paperless achieved with some trading partners - Member States' bilateral contacts replaced by COM coordination

Thank you



sante-traces@ec.europa.eu

<https://webgate.ec.europa.eu/tracesnt/index>

https://food.ec.europa.eu/animals/traces_en#about-traces

Tel.: +32 2 297 63 50

