



**IPPC ePhyto Importing Country Response
(SPSAcknowledgement)
Implementation Guide
0.6**

10-Sep-2021

Table of Contents

REVISION HISTORY	3
1 SUMMARY.....	3
2 MESSAGES EXCHANGES	3
3 SPSACKNOWLEDGEMENT DATA STRUCTURE	4
4 USAGE.....	6
4.1 HUB Enhancements	7
5 ANNEX 1: REFERENCE CODES.....	9
5.1 Status Codes.....	9
5.2 Document Type Codes	9
5.3 Relationship Type Codes.....	9

Revision History

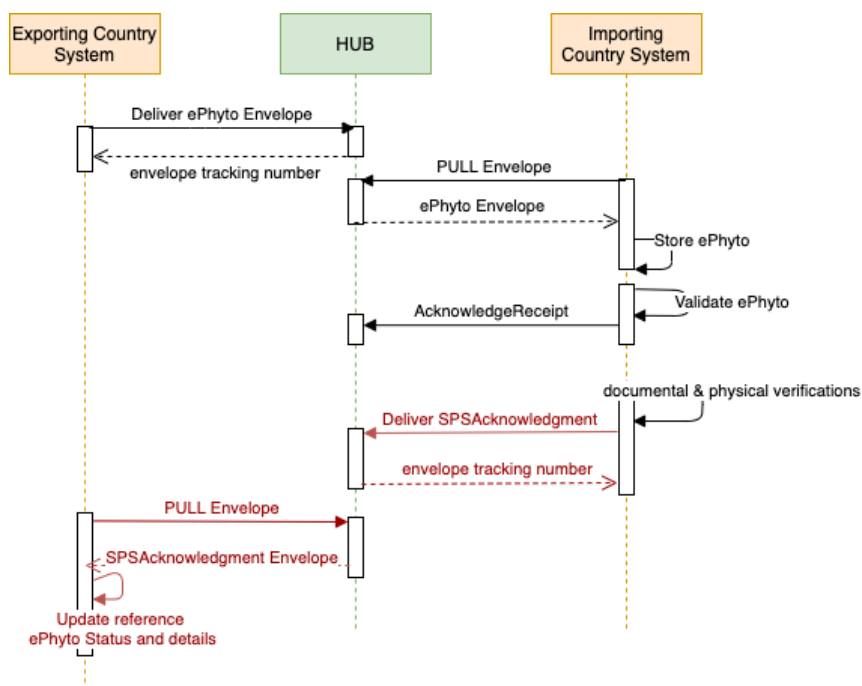
Version:	Who:	What:	When:
0.1	UNICC	Draft for ESG Review	26-Jun-2020
0.2	UNICC	Integration of ESG comments	27-Jun-2020
0.3	UNICC	Integration of ESG comments	29-Aug-2020
0.4	UNICC	Integration of ESG comments	10-Sep-2020
0.5	UNICC	Integration of implementation details	10-Jun-2021
0.6	UNICC	Inclusion of ReferenceSPSReferencedDocument.IssueDateTime type	10-Sep-2021

1 Summary

The purpose of this document is to document the implementation of the SPS Acknowledgement response to allow receiving countries to provide a response on an incoming electronic phytosanitary certificate. The current document consolidates discussions and provides reference documentation for country systems connecting to the IPPC ePhyto HUB.

2 Messages Exchanges

In the current scenario the importing country receives the ePhyto that is delivered through the HUB. The existing acknowledge operation is used to confirm the receipt and ask the HUB to remove the envelope content and confirm the envelope delivery status.

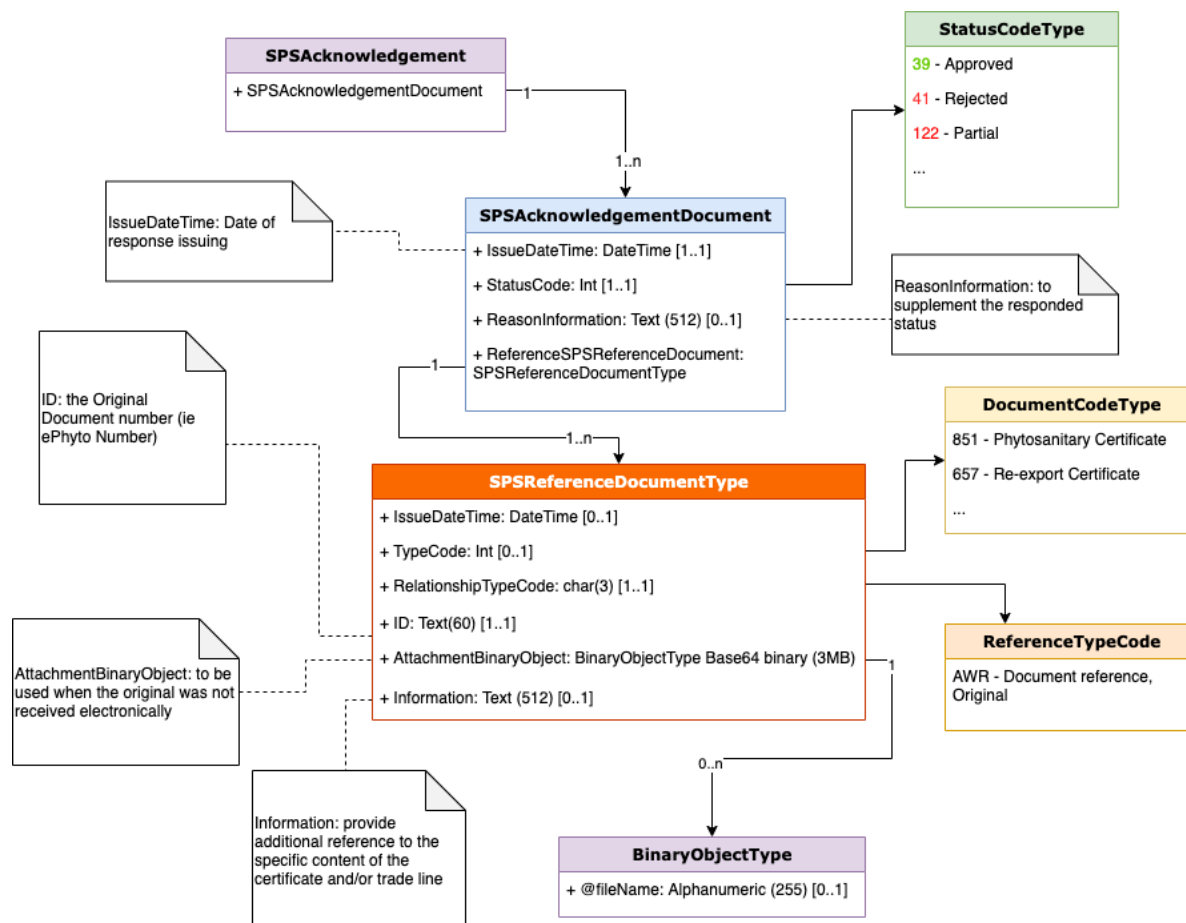


The SPSAcknowledgement is a UN/CEFACT compliant document, that includes the reference to the received ePhyto, using the exporting country certificate number, and return information on the acceptance of the certificate (Status). Such document is delivered back to the HUB using the same process for delivering an ePhyto with the relevant XML content and document type. The countries will need to configure their respective system to compose, send, accept and read the SPSAcknowledgement

document (as per the SPSAcknowledgement type in the UNCEFACT schema [17 A](#)).

3 SPSAcknowledgement data structure

The SPSAcknowledgement XML data is represented and shortly described in the below diagram. Multiple SPSAcknowledgementDocument can be sent into a single SPSAcknowledge, at least 1.



The SPSAcknowledgeDocument will report:

- **IssueDateTime (mandatory)**: the time of the acknowledgement
- **StatusCode¹ (mandatory)**: the status (39 for approved, 41 for rejected, 17 to request a change/replacement, 122 to indicate that the shipment was partially accepted due to some problem on one or more commodities... see full list of statuses under paragraph 5.1).
- **ReasonInformation (optional and multiple can be provided, max length of 512 characters)**: can be used to express a generic reason for the status update, and mostly relevant with the status different from the Approved
- **ReferenceSPSReferenceDocument (mandatory, at least one)** is a sub element, and more than 1 can be related to a single Approval/Rejection. Within the ReferenceSPSReferenceDocument the following information can be added:
 - o **IssueDateTime (optional)**: issue date of the original document
 - o **TypeCode² (optional)**: the original document type (Regular ePhyto, re-Export, etc)

¹ See Annex 1: Reference data

² See Annex 1: Reference data

- **RelationshipTypeCode³ (mandatory)**: should be always “AWR” to generically identify a reference or original copy of the received document
- **ID (mandatory, max length of 60 characters)**: will need to have the Exporting NPPO certificate number.
- **AttachmentBinaryObject (optional, with max size of 3 MB)**: in the event that the document was not sent electronically the receiving NPPO can send the files as attachments (multiple attachments are supported). The BinaryObjectType also supports the optional **filename** attribute (that should not exceed 256 alphanumeric characters).
- **Information (optional, max length of 512 characters)**: text can be used for additional information at the document level and/or line level.

XML sample of Rejected SPSAcknowledgement:

```
<rsm:SPSAcknowledgement xmlns:rsm="urn:un:unece:uncefact:data:standard:SPSA
cknowledgement:17" xmlns:ram="urn:un:unece:uncefact:data:standard:ReusableA
ggregateBusinessInformationEntity:21"
xmlns:udt="urn:un:unece:uncefact:data:standard:UnqualifiedDataType:21">
<rsm:SPSAcknowledgementDocument>
<ram:IssueDateTime><udt:DateTimeString>2019-12-
13T09:35:49+01:00</udt:DateTimeString></ram:IssueDateTime>
<ram:StatusCode>41</ram:StatusCode>
<ram:ReasonInformation languageID="en">
The documentation is not compliant with the import requirements
</ram:ReasonInformation>
<ram:ReferenceSPSReferencedDocument>
<ram:IssueDateTime>2019-12-13</ram:IssueDateTime>
<ram:TypeCode>851</ram:TypeCode>
<ram:RelationshipTypeCode>AWR</ram:RelationshipTypeCode>
<ram:ID>G-N-13121-03280016-7-N</ram:ID>
<ram:Information languageID="en">
Trade Line 1 missing the required additional declarations
</ram:Information>
</ram:ReferenceSPSReferencedDocument>
</rsm:SPSAcknowledgementDocument>
</rsm:SPSAcknowledgement>
```

XML sample of Approved SPSAcknowledgement:

```
<rsm:SPSAcknowledgement xmlns:rsm="urn:un:unece:uncefact:data:standard:SPSA
cknowledgement:17" xmlns:ram="urn:un:unece:uncefact:data:standard:ReusableA
ggregateBusinessInformationEntity:21"
xmlns:udt="urn:un:unece:uncefact:data:standard:UnqualifiedDataType:21">
<rsm:SPSAcknowledgementDocument>
<ram:IssueDateTime><udt:DateTimeString>2019-12-
13T09:35:49+01:00</udt:DateTimeString></ram:IssueDateTime>
<ram:StatusCode>39</ram:StatusCode>
<ram:ReferenceSPSReferencedDocument>
<ram:IssueDateTime>2019-12-13</ram:IssueDateTime>
<ram:TypeCode>851</ram:TypeCode>
<ram:RelationshipTypeCode>AWR</ram:RelationshipTypeCode>
```

³ See Annex 1: Reference data

```
<ram:ID>G-N-13121-03280016-7-N</ram:ID>
</ram:ReferenceSPSReferencedDocument>
</rsm:SPSAcknowledgementDocument>
</rsm:SPSAcknowledgement>
```

XML sample of Approved SPSAcknowledgement with additional number (EU CHED):

```
<rsm:SPSAcknowledgement xmlns:rsm="urn:un:unece:uncefact:data:standard:SPSA
cknowledgement:17" xmlns:ram="urn:un:unece:uncefact:data:standard:ReusableA
ggregateBusinessInformationEntity:21"
xmlns:udt="urn:un:unece:uncefact:data:standard:UnqualifiedDataType:21">
<rsm:SPSAcknowledgementDocument>
<ram:IssueDateTime><udt:DateTimeString>2019-12-
13T09:35:49+01:00</udt:DateTimeString></ram:IssueDateTime>
<ram:StatusCode>39</ram:StatusCode>
<ram:ReferenceSPSReferencedDocument>
<ram:IssueDateTime>2019-12-13</ram:IssueDateTime>
<ram:TypeCode>851</ram:TypeCode>
<ram:RelationshipTypeCode>AWR</ram:RelationshipTypeCode>
<ram:ID>G-N-13121-03280016-7-N</ram:ID>
<ram:Information languageID="en">EU-CHED-1234567890</ram:Information>
</ram:ReferenceSPSReferencedDocument>
</rsm:SPSAcknowledgementDocument>
</rsm:SPSAcknowledgement>
```

4 Usage

To deliver the above message through the existing HUB operation DeliverEnvelope can be used with the following EnvelopeHeader Sample (the document type for the Acknowledgement is 312):

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:eph="http://ephyto.ippc.int/" xmlns:hub="http://ephyto.ippc.int/HUB.Entities">
  <soapenv:Header/>
  <soapenv:Body>
    <eph:DeliverEnvelope>
      <eph:env>
        <hub:From>AR</hub:From>
        <hub:To>US</hub:To>
        <hub:CertificateType>312</hub:CertificateType>
        <hub:CertificateStatus>39</hub:CertificateStatus>
        <hub:NPPOCertificateNumber>G-N-13121-03280016-7-N</hub:NPPOCertificateNumber>
        <hub:Content><![CDATA[
<rsm:SPSAcknowledgement xmlns:rsm="urn:un:unece:uncefact:data:standard:SPSA
cknowledgement:17" xmlns:ram="urn:un:unece:uncefact:data:standard:ReusableA
ggregateBusinessInformationEntity:21"
xmlns:udt="urn:un:unece:uncefact:data:standard:UnqualifiedDataType:21">
```

```

<rsm:SPSAcknowledgementDocument>
<ram:IssueDateTime><udt:DateTimeString>2019-12-
13T09:35:49+01:00</udt:DateTimeString></ram:IssueDateTime>
<ram:StatusCode>39</ram:StatusCode>
<ram:ReferenceSPSReferencedDocument>
<ram:TypeCode>851</ram:TypeCode>
<ram:RelationshipTypeCode>AWR</ram:RelationshipTypeCode>
<ram:ID>G-N-13121-03280016-7-N</ram:ID>
</ram:ReferenceSPSReferencedDocument>
</rsm:SPSAcknowledgementDocument>
</rsm:SPSAcknowledgement>
]]></hub:Content>
</eph:env>
</eph:DeliverEnvelope>
</soapenv:Body>
</soapenv:Envelope>

```

4.1 HUB Enhancements

The following features have been enhanced in the IPPC ePhyto HUB to allow the new statuses and document types to be validated and transmitted as the receiving country is ready.

The HUB Admin Console Validation Tool supports for the SPSAcknowledgement. The XML can be inserted and submitted for validation. SPSAcknowledgement samples are also available in the XML Samples view of the Admin Console.

Similarly the validation of the XML through the existing web services operation is supporting the SPSAcknowledgement.

A new specialized operation has been created in the HUB web services endpoint “DeliveryService”. The operation exposes a preformatted envelope for the purpose. The operation is called DeliveryCountryResponseEnvelope.

The NPPO configuration view of the Admin Console has been enhanced to support enabling the receiving of the SPSAcknowledgement messages. The NPPO will be able to enable the type of messages and statuses as the national system is ready to receive them.

The default configuration will be disabled for everyone, and the HUB will drop messages that have such header combinations.

The HUB web service operation that returns the list of the existing connected entities exposes also such configuration, so the sender country system can be instrumented to automatically switch between sending or not the Country Response (see below configuration screen under Configuration > Allowed Types/Statuses).

Allowed Certificate Types and Statures

[Back](#)

Certificate Type	Certificate Status	Active
Re-Export Phyto (657)	Withdrawn (40)	<input checked="" type="checkbox"/>
Phyto (851)	Withdrawn (40)	<input checked="" type="checkbox"/>
Re-Export Phyto (657)	Issued (70)	<input checked="" type="checkbox"/>
Phyto (851)	Issued (70)	<input checked="" type="checkbox"/>
Acknowledgement message (312)	Requested (17)	<input type="checkbox"/>
Acknowledgement message (312)	Subject to clearing (26)	<input type="checkbox"/>
Acknowledgement message (312)	Approved (39)	<input type="checkbox"/>
Acknowledgement message (312)	Rejected (41)	<input type="checkbox"/>
Acknowledgement message (312)	Not Complete (122)	<input type="checkbox"/>

5 Annex 1: Reference Codes

5.1 Status Codes

Code	UN-ECE Definition	Status	IPPC EPHYTO Description
39	Approval has been given.	Approved	The receiving NPPO has reviewed the document and the shipment and found no problems.
41	Item is rejected.	Rejected	The NPPO completely rejected the entire shipment due to inspection findings of the commodity.
122	Not complete	Partial	The NPPO released part of the shipment but detected a problem with one or more of the commodities.
17	A status or condition has been requested.	Requested	Replacement request is sent to the Exporting NPPO
26	Clearing operations are to be applied.	Subject to clearing	The consignment is being held at the border and prompt action from the exporting NPPO is required.

5.2 Document Type Codes

Code	Name
851	Phytosanitary Certificate
657	Phytosanitary Re-export Certificate
312	Acknowledgement message

5.3 Relationship Type Codes

Code	Name
AWE	Document reference, original