



OFFICIAL STANDARDS

for

- Plastic Cards;
- Smart Cards;
and
- E-passports (digital applications on portable devices)

for use in supplementing the use of

**EQUINE SINGLE LIFETIME IDENTIFICATION DOCUMENTS
(EQUINE PASSPORTS)**

Animal Identification and Movement (AIM) Division

May 2023

1. OVERVIEW

Authorisation for equines to move with a smart card instead of a physical passport document in specific circumstances was first provided for (as a derogation) in Commission Implementing Regulation (EU) 2015/262, effective from 1 January 2016.

Where Member States availed of this derogation, smart cards were optional and could be issued in addition to the equine lifetime identification document (passport) issued in respect of the equine.

Smart cards were required to be issued by the Passport Issuing Organisation (PIO) that issued the associated paper equine passport and could be used instead of the physical document where equines were moved or transported within the Member State that had approved their use. Movement with a smart card was also permitted within and between Member States that had granted this derogation to one another.

EU Animal Health Law (Regulation (EU) 2016/429) revoked and replaced Commission Implementing Regulation (EU) 2015/262 with effect from 21 April 2021.

The Animal Health Law is supplemented by Commission Delegated Regulation (EU) 2019/2035 and Commission Implementing Regulation (EU) 2021/963 in the context of equine identification.

The use of smart cards is expanded upon in the updated EU legislation. Commission Implementing Regulation (EU) 2021/963 provides for the optional use of plastic cards, smart cards or digital applications on portable electronic devices (e-passports), displaying the essential information contained in the single lifetime identification document (equine passport) and on the central equine database. Such mechanisms may supplement the use of (but not replace) the equine single lifetime identification document – and must be issued by an approved PIO in conjunction with an equine single lifetime identification document issued by that same PIO. Regulation 2021/963 provides that Member States may authorise the use of e-passports for the purpose of identification in accordance with certain conditions (see paragraph 4 on legal provisions).

Plastic cards, smart cards and e-passports may only be issued by approved PIOs designated by DAFM in accordance with Article 108(5)(c) of the Animal Health Law to ensure the practical application of the equine registration and identification system, including the issuing of equine passports.

2. DOCUMENT PURPOSE

The Department of Agriculture, Food and the Marine will authorise the optional use of plastic cards, smart cards and digital applications on portable devices (e-passports) by approved PIOs, in accordance with the provisions of the EU Animal Health Law and its supplementing Delegated and Implementing Regulations.

This document sets out the

- (i) minimum data requirements and operating standards required by DAFM for plastic cards, smart cards and e-passports for use in supplementing associated equine passports issued by approved PIOs in Ireland (Section 5),
- (ii) the application and approval process that must be engaged in by persons/organisations seeking authorisation of systems developed to produce plastic cards, smart cards or e-passports (Section 9.1),
- (iii) the application and approval process for approved PIOs wishing to issue supplementary identification documents (authorised in accordance with paragraph (ii)) in association with single lifetime paper identification documents issued by that PIO (Section 9.2), and
- (iv) terms and conditions of approvals granted in accordance with paragraphs (ii) and (iii).

Note – where the systems at (ii) above have been developed by an approved PIO, applications for both authorisation of the systems and approval for the issuing of the associated supplementing devices may be submitted together.

3. GLOSSARY OF TERMS

Animal Health Law – Commission Regulation (EU) 2016/429;

Delegated Regulation – Commission Delegated Regulation (EU) 2019/2035;

Implementing Regulation – Commission Implementing Regulation 2021/963;

Equine – includes kept horses, asses, zebras and their crossings;

DAFM – Department of Agriculture, Food and the Marine;

PIO – Passport Issuing Organisation designated by DAFM in accordance with Article 108(5)(c) of the Animal Health Law;

Central database – central equine database maintained by DAFM;

Equine passport - Single lifetime identification document as defined at Article 2(22) of the Implementing Regulation;

Microchip - injectable transponder as defined art Article 23 of the Delegated Regulation;

UELN - unique equine life number, also referred to as an equine passport number;

Operator – any person having equine animals under their responsibility, including for a limited time, but excluding veterinarians;

Plastic card - a plastic device issued by a PIO in association with a specific equine passport also issued by that PIO that complies with the requirements set out at Part 1 (1) and Part 2 of Annex 111 of the Implementing Regulation;

Smart card – a plastic device with an embedded computer chip capable of storing and transmitting data electronically to compatible computer systems – issued by a PIO in association with a specific equine passport and meeting the requirements set out in Annex 111 of the Implementing Regulation;

E-passport - a digital application on a portable device displaying at least the identification details stored in the central database for the purpose of the identification of equidae during movements specified at Article 20(2) of the Implementing Regulation.

4. LEGAL PROVISIONS

Article 20(1) of the Implementing Regulation provides for the use of plastic cards and smart cards for use together with the physical equine passport issued by an approved PIO. It further provides that they must comply with the requirements set out in Annex 111 of that legislation.

Article 20(2) of the Implementing Regulation provides that Member States may authorise the use of digital applications on portable devices (e-passports) displaying at least the identification details recorded on the central equine database. These may be used for the identification of an equine during its movements

- within Ireland,
- to Member States that are party to a trade agreement as per the movement derogation rules set out in article 69 of Delegated Regulation 2020/688; and
- to third countries which have authorised such identification.

5. MINIMUM DATA REQUIREMENTS

Legislative Requirements for Plastic Cards, Smart Cards, and Digital Applications

Article 20 of the Implementing Regulation provides that where a plastic card or a smart card is issued together the physical equine passport, those cards shall comply with the requirements set out in Parts 1 and 2 below.

It further provides that approved e-passport devices must record at least the data recorded on the central equine database. This information is set out at Article 64 of the Delegated Regulation and is listed at Part 3 below. Articles 32 and 33 of the Implementing Regulation provide that any validation mark or licence applicable to an equine must also be recorded on the central database.

Part 1 – Information stored on plastic cards and smart cards

The plastic card or smart card shall contain at least the following:

1. Visible information on the plastic card or smart card:
 - competent authority;
 - unique code;
 - species and sex;
 - the last 15 digits of the microchip number;
 - a photograph of the equine animal (optional).
2. Electronic information on smart card accessible by user of standard software:
 - all compulsory information in Sections I to X of the single lifetime identification document;
 - logging of any modification of previously entered information;
 - a photograph of the equine animal (optional).

Part 2 - Physical Characteristics of the plastic cards and smart cards

The plastic cards and smart cards shall have the following physical characteristics:

- in accordance with ISO standard 7810 and ISO standard 7816-1;
- the material used shall be made secure against forgery;
- information contained in the front and reverse side of the card shall be legible with the eye, using a minimum character size of 5 points.

Part 3 – Information to be stored on digital applications

Digital applications on portable devices (e-passports) shall display at least the identification details stored in the computer database set out below:

- the UELN of the equine;
- the microchip number associated with the UELN of the equine;
- the relevant identification details from the passport, including;
 - o the food chain status of the equine,
 - o colour and breed,
 - o pedigree details of registered equines,
- the unique registration number assigned to the establishment where the horse is habitually kept;
- the name and address of the operator of the establishment where the horse is habitually kept;
- any information concerning new, duplicate or replacement identification documents;

- the species of the animal;
- the sex of the animal, with a possibility to enter the date of gelding;
- the date and country of birth as declared by the operator of the kept animal;
- the date of natural death on the establishment or loss as declared by the operator of the kept equine animal, or the date of slaughter of that animal;
- the name and address of the PIO;
- the date of issue of the passport;
- details of any validation mark issued in respect of the equine animal in accordance with Article 32 of Regulation 2021/963;
- details of any licence issued in respect of the equine animal in accordance with Article 33 of Regulation 2021/963;
- any information on vaccination against equine influenza or other diseases as may be contained respectively in Section VII or VIII of the passport;
- any information on health tests undertaken for the detection of a listed or non-listed transmissible disease as contained in Section IX of the passport.

In addition to the data listed above, and in accordance with S.I. 201 of 2016 with regard to the transfer of ownership of equidae, all e-passports must also record the current ownership details of the animal as recorded on the database of the relevant PIO.

Where the recording of further additional information is required by individual breeding organisations/PIOs, these must be specifically listed in the relevant application to DAFM and where changes are to be made to this additional list in the future, prior written approval must be requested from DAFM.

Recommended data in this regard include stud book/herd book details and reference numbers.

6. TERMS AND CONDITIONS

6.1 DAFM AUTHORISATION OF PLASTIC CARDS, SMART CARDS AND E-PASSPORTS

Note: The use of these supplementary equine identification mechanisms is optional for PIOs. PIOs may choose to issue one, some, all or none of them in association with the physical paper single lifetime identification documents issued by them.

(i) Duration of an Authorisation

- (a) DAFM authorisation of a plastic card, smart card and/or e-passport will remain valid for a period of 12 months from the date of authorisation in the event that the authorised card or e-passport is not utilised by a PIO to issue supplementary identification devices to equine operators within that time.
- (b) Any plastic card, smart card and/or e-passport authorised by DAFM and utilised by an approved PIO within 12 months of its authorisation will be re-assessed as part of the ongoing inspections undertaken by DAFM in the context of breed society official controls on the PIO(s).
- (c) Where the association between an authorised plastic card, smart card and/or e-passport and an approved PIO is discontinued, the person/body that received the initial authorisation shall inform DAFM of the change in circumstances within 7 days of that event.

(ii) Potential Amendments to Approval

DAFM reserves the right to update the minimum standards set out in this document in accordance with future legislative changes, or as individual circumstances require.

(iii) Maintenance of Authorisation of Equine Plastic Cards, Smart Cards and/or E-passports

Authorisation(s) in accordance with this standard shall remain valid provided that all of the conditions of approval continue to be met.

(iv) Monitoring

The Department reserves the right to carry out user testing of an authorised plastic card, smart card and/or e-passport to assess its continued compliance with this standard at any point during the tenure of the approval. Cards or apps found to not be in conformance with the standard will have their authorisation suspended or removed, as appropriate.

6.2 DAFM APPROVAL OF PIOs TO ISSUE AUTHORISED PLASTIC CARDS, SMART CARDS AND /OR E-PASSPORTS

(i) Standards for plastic cards, smart cards and e-passports

PIOs may only be approved to issue plastic cards, smart cards and/or e-passports holding a valid authorisation from DAFM.

(ii) Duration of Approval

DAFM approval of PIOs to issue authorised plastic cards, smart cards and/or e-passports to supplement the use of the equine single lifetime identification document will be re-assessed as part of the ongoing inspections undertaken by DAFM in the context of breed society official controls of the PIO in question.

(iii) Ongoing interaction with DAFM

A PIO authorised to issue plastic cards, smart cards and/or e-passports

- may be requested to confirm that the organisation is conforming to the conditions of the approval(s) and supply relevant details in order to maintain the approval;
- must immediately report any possible issues identified relating to plastic card, smart card and/or e-passport security or any other issue that could compromise equine traceability to the Department, within 24 hours of it coming to the PIO's attention; and
- must immediately report any theft, security breaches or security concerns to the Department immediately where possible – but no later than 24 hours of it coming to their attention.

(iv) DAFM Right to Audit

DAFM reserves the right to conduct periodic audits which may involve attendance at PIO premises and access to PIO systems to establish compliance with the terms of the approval.

(v) PIO compliance

A PIO authorised to issue plastic cards, smart cards and/or e-passports cards must:

- comply with all EU and national legislation relating to plastic cards, smart cards and/or e-passports issued by the PIO;
- comply with the terms and conditions set out in this document and any future amendments;
- comply with general data protection legislation and the Department's data protection policy;
- have secure storage of all documents with a record of all personnel who have access to the premises;
- ensure that all data required by DAFM is notified effectively and efficiently to the central equine database in a manner acceptable to DAFM.

(vi) Monitoring

The Department reserves the right to carry out user testing of an authorised plastic card, smart card and/or e-passport to assess its continued compliance with this standard at any point during the tenure of the approval. Cards or e-passports found not to be in conformance with the standard will have their authorisation suspended or removed, as appropriate.

7. BREACHES OF TERMS AND CONDITIONS

1. Any breaches and suspected breaches of the terms and conditions will be conveyed to the relevant party (or parties), in writing, by DAFM.
2. All breaches must be rectified within a time frame set out by DAFM in its written communications. DAFM reserves the right to suspend authorisation and use until the breach(es) have been rectified to DAFM's satisfaction.
3. A record of all confirmed breaches of the terms and conditions of device authorisation and/or approval to issue same may be maintained by DAFM, and DAFM may have regard to this record when addressing any further breach(es) and/or any subsequent applications for authorisation or approval by the organization in question.
4. Any penalty imposed shall be equitable and proportionate to the breach of the conditions of approval.
5. DAFM considers the following to be major breaches of approval:
 - a. issuing plastic cards, smart cards and/or e-passports without having issued the corresponding passport;
 - b. issuing plastic cards, smart cards and/or e-passports where the functionality has been modified without approval;
 - c. issuing plastic cards, smart cards and/or e-passports where the details do not correspond to the passport details;
 - d. failure to ensure that the data recorded on both the physical passport and the corresponding plastic card, smart card or app are identical and up-to-date at all times;
 - e. breaches of data protection legislation;
 - f. Not complying with existing European or domestic law in relation to plastic cards, smart cards and/or e-passports;
 - g. failure to report any possible issues identified relating to plastic card, smart card and/or e-passport security, quality, user experience especially where this might compromise equine traceability within 24 hours of it coming to the PIO's attention;
 - h. failure to report any theft, security breaches or security concerns to the Department within 48 hours of it coming to the PIO's attention;
 - i. any persistent and/or repeated breaches of any Terms and Conditions of authorisation/approval.

8. SANCTIONS APPLICABLE TO BREACHES OF TERMS AND CONDITIONS

1. DAFM reserves the right to withdraw authorisation of plastic cards, smart cards and/or e-passports and/or approval to issue same if the plastic card, smart card and/or e-passport is in breach of any of the conditions set out in this document or any future amendments to this document. Suspension or withdrawal of approval may involve a public announcement by the Department if deemed appropriate by the Minister.
2. An approval may also be withdrawn if an approved PIO is in breach of existing European or domestic law.
3. DAFM will recoup, in full, the costs incurred (salary plus travel and subsistence) in cases where it is necessary for the Department to carry out inspections or site visits as a consequence of non-compliance(s) with the terms and conditions of approval.
4. An authorisation or approval may also be withdrawn where there are substantial changes to European or domestic law which justify alteration of the current approval conditions.
5. In the case of a serious breach, persistent breaches and/or repeated breaches, DAFM shall provide a notice period of no more than 3 months (from the date of the first notification) from which the approved PIO must suspend or cease the production and supply of plastic cards, smart cards and/or e-passports to keepers/operators.
6. Where DAFM imposes a sanction on an approved PIO it shall—
 - (i) notify the approved PIO in writing of the sanction and of the reasons for the sanction and that the applicant may make representations in relation to the sanction within 5 days of the date of the notification,
 - (ii) shall consider any representations made in accordance with paragraph (i) through an independent Review Committee (consisting of 3 Senior Department officials), before deciding whether to proceed with, modify or annul the sanction, and notify the applicant in writing of the decision and the reasons for the decision.

9. SUBMISSION OF APPLICATIONS FOR APPROVAL

9.1 APPLICATION FOR AUTHORISATION OF PLASTIC CARDS, SMARTS CARDS AND E-PASSPORTS

Applications for authorisation of plastic cards, smart cards, and digital applications must be submitted to DAFM, in English, and must include the following:

(i) Applicant Details

- Name, postal address, telephone number and email address of applicant and
- nominated contact person to whom all communications shall be directed.

(ii) Application Details

List of supplementary identification mechanisms for which individual approval is sought -i.e. does the application refer to approval for a plastic card/smart card/e-passport - or to a combination of these?

(iii) Compliance with legislative requirements

Demonstration of understanding of the legislative requirements set out in Article 20 of the Implementing Regulation and detailing how those requirements will be met. This must include mechanisms for ensuring that, at a minimum, the data required by the Animal Health Law are

recorded on both the physical equine passport and the associated plastic card, smart card and/ or e-passport are identical and up-to-date at all times.

(iv) Functionality of plastic card, smart card and e-passport

The various supplementing methods of identification must record accurate and up-to-date information as required by the Animal Health Law and national law, as set out at Paragraph 4 of this document. The data recorded on the supplementary documents must, at all times, be the same as that recorded on the associated equine passport and on the central equine database.

Applicants should provide all documentary evidence available to verify that the requirements above will be met in respect of each supplementary identification mechanism for which approval is being sought in this application.

Applications must include details of how a user (operator) will activate the relevant plastic card, smart card and/or e-passport, along with a detailed description of how the application will work (including user manuals). Verification of the proposed means of notifying relevant data to DAFM in a timely manner must also be included.

A full live demonstration to DAFM will be required as part of the application process. DAFM may require user and/or administrator access to carry out its own testing for user experience and security etc. DAFM will be in contact to arrange for this once a completed application has been received.

(v) Customer support

PIOs offering supplementary identification mechanisms in the form of plastic cards, smart cards and/or e-passports must have an effective customer service available to users of each of these formats.

Please provide details of customer service support available to PIOs in the event that they encounter problems with the plastic card, smart card and/or e-passport, including any arrangements for the provision of assistance where this is required out of normal office hours or at weekends etc. Customer support must not involve any arrangements that incur additional costs on operators (including the use of premium phone numbers).

9.2 APPLICATIONS BY APPROVED PIOs TO ISSUE AUTHORISED PLASTIC CARDS, SMART CARDS AND E-PASSPORTS

Approved PIOs wishing to issue authorised plastic cards, smart cards and/or e-passports in accordance with Article 20 of the Implementing Regulation must, prior to doing so, make an application to DAFM, providing evidence that the systems developed for this purpose have been approved by DAFM in accordance with the terms of this document.

Applications should provide at least the information below.

(i) Applicant Details

- Name, postal address, telephone number and email address of applicant PIO and
- nominated contact person to whom all communications shall be directed.

(ii) Application Details

List of supplementary identification mechanisms for which individual approval is sought -i.e. does the application refer to approval for a plastic card/smart card/e-passport - or to a combination of these?

(iii) Details of approval of systems to be used

PIO applications must include written confirmation of valid DAFM authorisation awarded in respect of the plastic card, smart card and/or e-passport system to be used by the applicant in supplementing single lifetime identification documents issued by that PIO.

(iv) Application process

Applicants are required to develop a secure process for equine operators to receive an approved plastic card, smart card and/or e-passport from the relevant PIO. Please provide details of the process involved in an operator applying for and receiving an approved plastic card, smart card and/or e-passport, including the security validations that will be carried out and GDPR considerations taken into account to protect all data involved.

(v) Customer support

PIOs offering supplementary identification mechanisms in the form of plastic cards, smart cards and/or e-passports must have an effective customer service available to users of each of these formats.

Please provide details of customer service support available to plastic card, smart card and/or e-passport users in the event that they or the device users encounter problems with the cards or e-passport, including any arrangements for the provision of assistance where this is required out of normal office hours or at weekends etc. Customer support must not involve any arrangements that incur additional costs on operators (including the use of premium phone numbers).

(vi) Arrangements for data storage & retrieval and measures to ensure confidentiality and protection of data.

The Department may require certain documents at short notice.

Applicants are required to provide details of their document storage and retrieval systems.

Applicants are required to store documents securely for up to 7 years.

Applications must include a description of the proposed secure arrangements for recording personal details of equine operators. This is to ensure there is no risk of unauthorised access to or use of any of the information received or stored by an approved PIO.

10. DECISIONS ON APPLICATIONS FOR

(I) AUTHORISATION OF PLASTIC CARDS, SMART CARDS AND E-PASSPORTS

(II) APPROVAL TO ISSUE AUTHORISED PLASTIC CARDS, SMART CARDS AND E-PASSPORTS

Notification of Decision on Application(s) submitted for Approval

- a) DAFM will make a decision as soon as practicable after receipt of an application. Further information may be required and requested.
- b) To avoid delays in the approval process, applicants are advised to provide all the information set out in this document (paragraph 8 above) with their initial application, and to facilitate a

- demonstration of the supplementary identification mechanism(s) to which their application applies.
- c) DAFM shall refuse an application if, in its opinion—
- (i) the plastic card, smart card or e-passport does not fulfill the legislative requirements set out in the Animal Health Law;
 - (ii) the DAFM user testing concludes that a plastic card, smart card or e-passport is deficient in terms of its user experience or security; or
 - (iii) the customer service to be provided to user PIOs and recipient equine operators is not deemed adequate.
- d) Where DAFM refuses an application for approval the Department shall—
- notify the applicant in writing of the refusal and of the reasons for the refusal and advise that the applicant may make representations to DAFM at a given address in relation to the refusal, within 14 days of the date of the notification,
- e) An independent Review Committee (consisting of 3 Senior Department officials) shall consider any representations made to DAFM under paragraph 8(6)(ii) before deciding whether to proceed with, modify or annul the refusal, and notify the applicant in writing of the decision and the reasons for the decision.

Applications for

- (i) DAFM authorisation of plastic cards, smart cards and digital applications on portable electronic devices, and
- (ii) DAFM approval to issue such authorised devices, as provided for at Article 20 of the Implementing Regulation

should be emailed to HorseID@agriculture.gov.ie, clearly stating the type of application being sought in the Subject line.

Paper applications can be posted (registered post advised) to

Equine Identification Section
AIM Division
Administration Building
Backweston Campus
Stacumny Lane
Celbridge
Co. Kildare

For queries in relation to this document, please contact AIM Division

- by email to HorseID@agriculture.gov.ie ; or
 - by 'phone at 01-5058881
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