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Model Catch Certificate – Justification for Data Elements and Format for Electronic Reporting

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This example form is for voluntary use and not formatted for electronic reporting. Seafood Import Monitoring Program (SIMP) model forms are plain language explanations to assist with data collection. NOAA Fisheries encourages industry to modify the forms to reflect their supply chains and will review any edited form upon request (send to SIMPsupport@noaa.gov). This form is not to be confused with the ICCAT Statistical Document.

Data Element	Purpose	Mandatory/ Conditional	Format/Code for NMFS Message Set in the Automated Commercial Environment (ACE)
Section 1- Applicable to both Wild-capture and Aquaculture Operations			
Catch Document Identifier	<p>Unique identifier of a catch or landing or harvest certificate provided by the competent authority which authorizes the wild capture or aquaculture operation.</p> <p>The record identifier enables trace back to a unique harvest event and allows an association between the harvest and the specific authorization by the competent authority as well as the details of the harvest event that may be supported by other records (Vessel Monitoring System (VMS) reports, vessel logbooks, observer reports, processor receipts, and so on). Verification of fishing authorization and the records supporting the catch certificate allow the determination of lawful acquisition.</p>	Conditional	<p>As the identifier format used by all of the competent authorities in their respective jurisdictions cannot be known, a free text format will be required.</p> <p>In certain cases, a competent authority may not assign a unique identifier to each harvest event or record the harvest event on a uniquely numbered certificate. This may be more prevalent in the case of aquaculture deliveries than in wild capture fisheries, but likely also prevalent in artisanal/small-scale fisheries.</p> <p>A simplified catch record may be generated by consolidating catches of several small-scale vessels landing catch at a common collection point.</p>
Wild Harvest or Farm Raised	This information will enable the U.S. to assess the regulatory environment in which the harvest occurred. Based on the source, we will consider different factors in determining lawful acquisition and will not collect gear data for aquaculture products.	Mandatory	A code of "HCF" (wild capture) or "HBA" (aquaculture) is used to identify the source of the product.
Section 2 – Applicable to Wild-Capture Operations			
Flag State of vessel	Only applicable to wild harvest. Needed to confirm the vessel authorization and to determine the regulations (national and/or regional) pertaining to the vessel at the time of the recorded fishing operation.	Mandatory	Standardized data format of the two-alpha International Organization for Standardization (ISO) country codes; see ISO 3166 country codes or the ACE CATAIR CBP Appendix B – Valid Codes .
Name of Harvesting Vessel	This information is needed to determine if the vessel or facility was authorized by the relevant authorities.	Mandatory	Free-form text is provided to accommodate all potential names. Vessel names must be spelled correctly to verify legality.



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<p>Unique Vessel Identifier (registration, documentation, or license number)</p>	<p>Needed to positively identify the vessel and link the vessel to the fishing authorization issued by the competent authority.</p>	<p>Conditional</p>	<p>As this information is used to discern lawful acquisition under the competent authority for the area of the fishing operation, the format corresponds to the convention of the vessel registration authority. If registration is not required in the local jurisdiction, some locally meaningful description or disclaimer (“identifier not applicable”) is needed. Free-form text is provided to accommodate various formats. In the event the vessel has an International Maritime Organization (IMO) Number, this should be used as the identifier. A prefix of “IMO” or “OTH” could precede the identifier.</p>
<p>Fishing Permit or Authorization</p>	<p>Needed to confirm that the competent authority has issued a vessel fishing permit/authorization or has licensed the aquaculture facility.</p>	<p>Conditional</p>	<p>In certain cases, a competent authority may not require a permit for each vessel or facility. This may be more prevalent in the case of aquaculture facilities than with fishing vessels, but likely also prevalent in artisanal/small-scale fisheries. Free-form text is provided to accommodate varying formats for fishing authorization or aquaculture licensing. If a permit or license is not required in the local jurisdiction, some locally meaningful description or disclaimer (“license not applicable”) is needed.</p> <p>Where a local authority requires or issues a license, certificate, permit, or other authorization, a copy of fishing authorization should be retained and provided in the event of an audit.</p>
<p>Geographic Location or Ocean Harvest Area</p>	<p>It is necessary to identify the fishing area where the catch occurred to determine the scope of foreign laws and/or regulations that pertain to the activity/operation in that jurisdiction. If a Regional Fisheries Management Organization (RFMO) has competency in the stated area for the species reported, the RFMO measures would pertain to a flag vessel of a contracting or cooperating party.</p>	<p>Mandatory</p>	<p>This data is used to discern lawful acquisition under the competent authority for the area of the fishing or aquaculture operation and should correspond to the reporting areas of the local jurisdiction or applicable regional management body. If a catch report is not required in the local jurisdiction, or the catch area is not required to be specified, a local description is needed or the use of Food and Agriculture Organization (FAO) fishing area codes with an additional note regarding within or beyond the Exclusive Economic Zone (EEZ) of a Coastal State (ISO two-character country code). Free-form text is provided to accommodate various fishing areas. In some cases, the use of an RFMO list of fishing areas may be applicable.</p>



Fishing Gear	Only applicable to wild harvest. This data is needed to determine lawful acquisition in fisheries where certain gear types are prohibited or restricted in use to certain time periods or certain fishing areas. In some fisheries, vessels may be authorized to fish only with certain gear.	Mandatory	As this information is used to discern lawful acquisition under the competent authority for the area of the fishing operation, codes or formats should correspond to the reporting convention for gear types of the local jurisdiction or applicable regional management body. If a catch report is not required in the local jurisdiction, or the gear type is not required to be specified, a local description is needed or the use of FAO gear codes. Free-form text is provided to accommodate all potential fishing gears. In some cases, use of an RFMO list of fishing gears may be applicable. A prefix of "FAO" or "OTH" could precede the gear text.
Section 3 – Applicable to Aquaculture Operations Only			
State of Jurisdiction of Aquaculture Facility	It is necessary to identify the area where the aquaculture operation is located to determine the scope of foreign laws and/or regulations that pertain to the activity/operation in that jurisdiction.	Mandatory	As this information is used to discern lawful acquisition under the competent authority for the area of the aquaculture operation, this information should correspond to the reporting areas of the local jurisdiction. Free-form text is provided to accommodate all potential licensing areas. Alternatively, ISO two-character country code could be used.
Facility License or Authorization	Needed to confirm that the competent authority has licensed the aquaculture facility.	Conditional	In certain cases, a competent authority may not require a permit for each facility. This may be more prevalent in the case of small-scale aquaculture facilities. Free-form text is provided to accommodate all potential aquaculture licensing formats. If a permit or license is not required in the local jurisdiction, a local description or disclaimer ("license not applicable") is needed. Where a local authority requires or issues a license or other authorization, a copy of the authorization should be retained, and provided in the event of an audit.
Name and Address of Aquaculture Facility	This information is needed to determine if the facility was authorized by the relevant authorities.	Mandatory	Free-form text is provided to accommodate for varying formats of names and addresses.



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Section 4 - Applicable to both Wild-capture and Aquaculture Operations			
Company Name of Landing Recipient, Processor or Buying Entity and Contact Information	This information is needed to record the disposition of the fish in the first transaction and is needed to support the “one up – one back” approach to auditing the supply chain. In many cases, a landing ticket or weigh-out slip is issued by the first receiver and is submitted to competent management authorities via dealer reporting. The buyer or processor may be licensed and identifying information about the buyer recorded with authorities can be used to verify the transaction.	Mandatory	Free-form text is provided to accommodate varying formats of company names and addresses. Phone numbers and email addresses could be constrained to prescribed formats. Note that small-scale buyers in remote coastal locations may not have formal or standardized contact information.
Facility or Vessel Landed/Delivered To	This information is needed to record the disposition of the fish in the first transaction and is needed to support the “one up – one back” approach to auditing the supply chain. In the case of wild capture fisheries, the catch may be transshipped at sea or in port (unloaded directly from catching vessel to transport vessel) or may be delivered to a dealer (cold storage) or processor. In the case of aquaculture, the harvested product may be delivered to a dealer (cold storage) or processor.	Mandatory	Free-form text is provided to accommodate varying formats of company names and addresses. Phone numbers and email addresses could be constrained to prescribed formats. In the case of transshipment vessels, the vessel name and identifier (IMO number, flag state registration number) should be provided. Free-form text is provided to accommodate varying formats of vessel numbers used by flag states.
Harvest Date	This information is needed to accurately identify the harvest event and associate it with any certificate that may have been issued by the competent authority. In the absence of a local requirement for a catch or harvest certificate, the harvest date with the vessel/facility name and the location would establish a unique identifier for the harvest event. This data element would normally be the date of unloading from a catching vessel or removal from the aquaculture facility.	Mandatory	This data element is constrained to a date format. The harvest date reported for wild capture fisheries is the date of landing/offloading at the end of a fishing trip or the date of transshipment at sea or in port.
Landing Port or Delivery Location	This information is needed to accurately identify the harvest event and associate it with any certificate that may have been issued by the competent authority. In the absence of a local requirement for a numbered catch or harvest certificate, the harvest date with the vessel/facility name and the location would establish a unique identifier for the harvest event.	Mandatory	Free-form text is provided to accommodate varying formats of landing ports or delivery locations.



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Species Name and the Aquatic Sciences Fishery Information System (ASFIS) Code	The species name is needed to determine whether the inbound shipment is comprised of a species subject to additional data collection at entry into commerce. U.S. Harmonized Tariff Schedule codes that are used for entry may not be specific enough to ascertain the species.	Mandatory	The FAO ASFIS three-alpha species code is based on the scientific name or the association with the local common name.
Total Weight of Product at Landing/ Harvest	Weight is needed to establish the volume of catch originally unloaded/delivered and reported to competent authorities. Without this basic information, it would be impossible to exclude Illegal, Unregulated, and Unreported (IUU) product from markets as there would not be an upper bound on a harvest event, and unauthorized product could later be associated with that authorized event when introduced to the supply chain.	Mandatory	Requires both reporting a numeric value and the reporting unit. Coded as "LB" for pounds or "KG" for kilograms.
Processing Description (Product Form at Landing)	<p>The form of the product is needed to accurately estimate the round weight of the fish captured on the fishing trip when some or all of the catch is processed on board before offloading or harvested from the aquaculture facility when some or all of the harvest is processed at the facility before shipment.</p> <p>If all or some of the product has been processed at sea, or the aquaculture facility, the finished product weight is needed to provide a baseline catch amount for evaluation of amounts reported further down the supply chain.</p> <p>These two values are needed to meet the objective of precluding IUU product infiltration after the initial landing. A baseline catch amount is provided by total weight landed, whether processed or not. As processing reduces weight, if the reported total weight at landing reflects the unprocessed product, but is not recorded as round weight, there is a possibility of associating product of IUU origin with the authorized harvest event reported on the catch certificate as the processed product moves through the supply chain.</p>	Mandatory	In order to determine and assess the relationship between round weight at harvest and processed weight at delivery, we need to know the type of processing that has occurred on board the vessel or at the aquaculture facility. A standard set of codes have been developed (e.g., NDR – Dressed; NFL – Fillet; NGG – Gilled and gutted; NOT – Other; NRD – Round (whole); NST – Steak; NRS – Radiation sterilized; RND – Whole, shell on; HSO – Headed, shell-on; PD – Peeled).



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Model Catch Certificate for Traceability - Harvest and Landing/Receipt		
(1) Unique Catch or Production Document Identifier*		<input type="checkbox"/> Wild Capture Fishery (Complete Section 2) <input type="checkbox"/> Farm Raised (Complete Section 3)
(2) Complete this section for <u>wild capture</u> fish products		
Flag State of vessel	Name of Harvesting Vessel**	Vessel Registration or Documentation Number**
Fishing Permit Number**	Fishing/Catch Area:	Fishing Gear:
(3) Complete this section for <u>farm raised</u> fish products		
State of jurisdiction:	Facility License or Authorization**	Name and Location of Aquaculture Facility**
(4) Complete this section for receipt of fish products		
Name of Recipient, Processor or Buyer	Telephone: Email:	Business Address
Receiving Facility or Vessel	Date of Landing/Transshipment	Landing Port or Delivery Location
Species of Fish (ASFIS 3 alpha code)	Landed or Delivered Weight	Product Form
1. _____	1. _____ () lb or () kg	1. _____
2. _____	2. _____ () lb or () kg	2. _____
3. _____	3. _____ () lb or () kg	3. _____
4. _____	4. _____ () lb or () kg	4. _____
5. _____	5. _____ () lb or () kg	5. _____

*Note: Unique Document Identifier is provided by the harvester or landing recipient or competent authority.

** Not required if completing an aggregated catch certificate for small-scale vessels or aquaculture facilities.



Instructions for Recording Harvest Events on Model Catch Certificate

Section 1. If applicable, record a catch or harvest document number assigned by the competent authority. If a competent authority has not assigned a unique identifier to each harvest event or recorded the harvest event on a uniquely numbered certificate, a buyer or receiver may assign a document number to identify the harvest event. A simplified catch record may be generated by consolidating harvests of several small-scale vessels landing catch at a common collection point or small deliveries from aquaculture facilities to a processing plant. Indicate whether the fish were produced in a wild capture fishery or at an aquaculture facility. Complete section 2 or 3 accordingly.

Section 2. For wild-capture fisheries, record the nation that has authorized the fishing vessel to fly its flag or fish in its jurisdictional waters. Include the name of the vessel, the registration or documentation number issued by the competent authority for the vessel and the vessel's fishing permit number, if applicable. If a receiver or processor is completing an [aggregated catch document](#), vessel names and registration/permit numbers are not required, but the flag state must be indicated. The fishing area of catch and the type of fishing gear must be noted for either an individual catch certificate or an aggregated catch certificate. Record fishing areas and gear according to local reporting requirements or, if not applicable, use FAO fishing area and gear codes.

Section 3. For aquaculture facilities or farms, record the nation that has authorized the facility to operate under its jurisdiction. Include the name of the facility, and the registration or license number issued by the competent authority for the operation, if applicable. If a receiver or processor is completing an [aggregated catch document](#), facility names and license numbers are not required, but the state exercising jurisdiction over the facility must be indicated.

Section 4. This section must be completed for wild capture or aquaculture landings/deliveries, whether reported individually or in aggregate. The receiver, buyer or processor must record the business entity information, location of the receiving facility, the date of the landing or transshipment (vessel) or delivery (aquaculture) and the port or delivery location (land) or latitude and longitude (at sea offloading). For each species of fish received, record the common name, the ASFIS three-alpha species code, and the weight of each species received. Indicate the unit of weight and the product form as delivered (e.g., round weight, headed and gutted).



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Model Reprocessing Certificate for Traceability - Primary or Secondary Processing			
() Wild Harvest or () Farm Raised			
Referenced Unique Catch Document Identifier(s)*		Company Product Received From:	
Processor Name	Processor Address	Processor Approval or Registration Number	Phone: Email:
Commodity Scientific Name	Commodity Market Name		Product ASFIS code
Received Weight [()lbs or () kg]	Received Lot Identifier(s) ³	Received Product Form	
Processed Weight [()lbs or () kg]	Finished Product Lot Identifier(s) ³	Finished Product Form	
Finished Product Weight [()lbs or () kg]			
Production Date(s)		Number of Packages	Type of Packaging

*Note: A Unique Document Identifier is provided by the harvester or landing recipient and should reflect the unique identifier of a catch or landing certificate.

³Note: A Lot Identifier is generated by the processor based on its product tracking and record-keeping protocols.



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<u>Model Transshipping Certificate for Traceability</u>		
() Wild Harvest or () Farm Raised		
Referenced Unique Catch Document Identifier(s)*		
Port or Storage Location of Loading/Unloading		
Name of Vessel/Cold Storage Unloaded from	Unique Unloaded Vessel Identifier (registration, documentation, or license number)	Date(s) of Unloading/Loading
Name of Vessel/Cold Storage Loaded to	Unique Receiving Vessel Identifier (registration, documentation, or license number)	
Commodity Scientific Name	Commodity Market Name	Product ASFIS code
Transshipped Weight [()lbs or () kg]	Transshipped Lot Identifier(s) ^b	Transshipped Product Form
Production Date(s)	Number of Packages	Type of Packaging

*Note: A Unique Document Identifier is provided by the harvester or landing recipient and should reflect the unique identifier of a catch or landing certificate.

^bNote: A Lot Identifier is generated by the shipper based on its cargo tracking and record-keeping protocols.