



Model Aggregated 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			
Wild Harvest or Farm Raised	This information will enable the United States 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 check box on the form will be translated into a code for Customs and Border Protection’s (CBP) ACE. A code of “HCF” (wild capture) or “HBA” (aquaculture) will be used to identify the source of the product.
Number of Vessels or Deliveries	Will be used to provide an average weight per delivery/vessel, which is needed to confirm that qualifies as a small-scale aggregated harvest event.	Mandatory	Numerical value.
Section 2 – Applicable to Wild-capture Operations			
Flag State(s) of vessels	Only applicable to wild harvest. Needed to determine the regulations (national and/or regional) pertaining to the vessels 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 .
Geographic Location or Ocean Harvest Area	It is necessary to identify the fishing area where the catch occurred to determine the scope of foreign laws and/or regulations which 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.	Mandatory	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.

Fishing Gear	Only applicable to wild harvest. The fishing gear 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.
Section 4 - Applicable to both Wild-capture and Aquaculture Operations			
Company Name of Landing Recipient, Processor or Buying Entity and Contact Information (Telephone, Email, Business Address)	This information is needed to reference the involved entity in consultation with a competent authority on lawful acquisition of the product.	Mandatory, though specific information provided is conditional.	Free-form text is provided to accommodate varying formats of company names and addresses.

<p>Receiving Facility or Vessel</p>	<p>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 transhipped 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.</p> <p>In some cases, the Landing Recipient, Processor, or Buying Entity will be the same as the Receiving Facility or Vessel. In other cases, the fish collector/consolidator may be independent of the receiving facility. For example, an independent buyer may have a truck to visit small-scale aquaculture operations or stop at a fishing port, buy fish, then transport it to a processor some distance away. We require information on both entities - the collector and the drop-off facility.</p>	<p>Mandatory</p>	<p>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.</p> <p>Receiving Facility: Inclusion of a name of the supervisor at the receiving facility would be helpful to ensure that the transaction is properly recorded and can be verified (or refuted) by the named contact in the event of an audit.</p> <p>Transshipment Vessel: Inclusion of the vessel name and identifier (International Maritime Organization (IMO) number, flag state registration number) should be provided.</p>
<p>Harvest Date</p>	<p>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.</p>	<p>Mandatory</p>	<p>This data element is constrained to a date format. Harvest date to be 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.</p>
<p>Landing Port or Delivery Location</p>	<p>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.</p>	<p>Mandatory</p>	<p>Free-form text is provided to accommodate varying formats of landing ports or delivery locations.</p>
<p>Species Name and the Aquatic Sciences Fishery Information System (ASFIS) Code</p>	<p>The species name is needed to determine whether the inbound shipment includes 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.</p>	<p>Mandatory</p>	<p>The FAO ASFIS three-alpha species code is based on the scientific name or the association with the local common name.</p>

<p>Total Weight of Product at Landing/Harvest</p>	<p>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) products from markets because 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.</p>	<p>Mandatory</p>	<p>Requires both reporting a numeric value and the reporting unit. Coded as "LB" for pounds or "KG" for kilograms.</p>
<p>Product Form at Landing</p>	<p>The form of 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 prior to offloading or harvested from the aquaculture facility when some or all of the harvest is processed at the facility prior to shipment.</p> <p>If all or some of the product has been processed at sea, or at 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 exclude 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 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 processed product moves through the supply chain.</p>	<p>Mandatory</p>	<p>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).</p>

Model Aggregated Catch Certificate for Traceability - Harvest and Landing/Receipt

Only for small-scale harvest events: vessels ≤20 measured gross tons or ≤12 meters length, or aquaculture facilities deliveries ≤1,000 kg

- (1) Harvest Method**
 Wild Capture Fishery (Complete Section 2)
 Farm Raised (Complete Section 3)

(2) Complete this section for wild capture fish products

Flag State(s) of vessels	Number of Deliveries/Vessels
Fishing/Catch Area	Fishing Gear

(3) Complete this section for farm raised fish products

State of jurisdiction of aquaculture facility
Number of Deliveries

(4) Complete this section for receipt of fish products

Name of Recipient, Processor or Buyer	Telephone: Email:	Business Address
Name of Receiving Facility or Vessel	Date of Landing/Transshipment	Landing Port or Delivery Location
Species of Fish (ASFIS three-alpha code)	Total Weight of Product at Landing/Harvest	Product Form at Landing
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.**

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 operations, record the nation(s) that has authorized the fishing vessels to fly its flag or fish in its jurisdictional waters; fishing area of catch and the type of fishing gear must be noted as well. 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 operations, record the nation/state exercising jurisdiction over the facility. For an aggregated catch document, facility names and license numbers are not required, but must be indicated.

Section 4. This section must be completed for wild capture or aquaculture landings/deliveries. 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 and ASFIS three-alpha code the weight of each species received. Indicate the unit of weight and the product form as delivered (e.g., round weight, headed and gutted).