

# PART 8 – Appendix

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## Chapter 1 – Glossary/Nomenclature

## Chapter 2 – Updates, Additions, and changes

These instructions establish and implement a procedure which will assure national uniformity in the completion and issuance of the Memorandum of Inspection/Certificate of Loading (NOAA Form 89-804) for computer based certificates (see Attachment #1).

### General

- A. The Memorandum of Inspection/Certificate of Loading is a dual-purpose form:
  - 1. **Memorandum of Inspection**, which is used to attest to certain facts about more than one lot of products that are available for inspection at one time, and which may or may not have been inspected previously, and
  - 2. **Certificate of Loading**, which is used to attest to certain facts about a shipment at the point of loading onto a truck, rail car, ship, or other means of conveyance.
- B. NOAA Form 89-804 shall be used only when lot samples have been drawn officially as provided in 50 CFR 260, or other USDC validated system (e.g. IQA, HACCP-QMP). Identify the basis for certification in the remarks section of the official certificate.
- C. Products which pass/fail to meet requirements or criteria specified by the applicant shall not be listed/certified on the same document. A separate certificate should be issued for passing and failing products. A Lot Inspection Certificate (NOAA Form 89-803) may also be issued for these items.
- D. The Certificate of Loading shall be issued only if an authorized inspector 1) is present during loading, 2) has observed the loading process, and 3) has identified the lots which comprise the load.

### Procedures for Certifying Products on the Memorandum of Inspection

- A. . Requests for Inspection: Whether received by e-mail, telephone, fax, or in writing, the information listed on NOAA Form 89-814, (**Request For Inspection Services**), must be obtained from the applicant. If a written request does not contain the information necessary to perform the inspection, contact the requestor for pertinent information.
- B. . Completing the Memorandum of Inspection: The Memorandum is prepared by transferring to it the information and data taken from the inspection request, the certificate(s) of sampling, score sheet(s), work sheet(s), or other notes or records relative to the inspection. The certificates will be printed on official watermarked paper only.

The numbered paragraphs below correspond to the circled numbers on the example in Attachment #1.

### CERTIFICATE REFERENCE NUMBER

Certificate reference numbers will be 11 characters in length, composed in the following manner:

- I Northeast Region: First Digit – Enter N  
Southeast Region: First Digit – Enter S  
Western Region: First Digit – Enter W
- II/III Memorandum of Inspection/Certificate of Loading: Use MC
- IV-VII Enter four-digit Inspector/Officer number.
- VIII-XI Enter four-digit numerical reference number, starting new with each inspector/officer. (e.g., first cert 0001, next 0002, and so on)

1. Check the box indicating Memorandum of Inspection.
2. Enter the date the Memorandum was prepared.
3. Enter the USDC contract number if the product is inspected at a USDC establishment. If not, enter “Not Applicable,” or “N/A.”
4. Enter the location of the product(s), i.e. where the samples were drawn.
5. Enter the name and address of the applicant, i.e. the person or firm who requested the inspection.
6. Enter the name and address of the person or firm to whom the product is to be shipped. If unknown, enter “Documentary Consignee”.
7. For each lot of product, enter a description of the product, with its brand if so labeled. Enter the type, e.g., fresh, frozen, canned etc., and the style, e.g., skin-on, cooked, raw, whole, eviscerated, etc.
8. Enter the lot numbers assigned by the plant or warehouse for bookkeeping purposes. If none exists, enter “none.”
9. Enter all codes appearing on the containers that designate the day the product was produced. If none are available enter the date of the Official Stamp applied to cases.
10. Enter the total number of cases in the lot.
11. Enter the labeled net weight of the container(s).
12. Enter the total weight of the product by multiplying the number of containers by the weight of the container. If catch weight is used, use vendor’s weight and note this in the remarks section.
13. Enter the summarized results of the inspection in this section, including the condition of the containers.
14. Enter pertinent information such as the date of sampling, quantity covered by certificate, special statements, such as appeal inspections, restricted coverage, or other suitable, appropriate information.
15. Enter the address of the local office to which the inspector is assigned.
16. Enter signature, inspector number, and the date of inspection on each copy of the certificate.
17. Place the impression of the “Officially Sampled” or “Accepted Per Specification” stamp in this location.

C. Distribution of the Completed Memorandum of Inspection:

**ALL CERTIFICATES WILL BE PRINTED ON OFFICIAL WATERMARKED PAPER**

1. Print two copies, sign, stamp and forward to the customer. Additional copies may be made at the customer’s request.
2. Print and file copies in accordance with SIP filing plan.

**Procedures for Completing the Certificate of Loading**

- A. This document is normally used in conjunction with the Certificate of Inspection (NOAA Form 89-802). It is used to certify that the product loaded is the same as that listed on the other document. It is commonly used for DPSC contracts and for USDA Commodity Purchases. In most cases, at least one copy of each document will be given to the responsible person of the transit company, such as the truck driver or freight forwarder.
- B. Completing the Certificate of Loading: The certificate is prepared by transferring to it the pertinent information taken from its accompanying Certificate of Inspection and observations made during the inspection. It should be printed legibly by hand, but may be typed if time allows. The numbered paragraphs below correspond to the circled numbers on the example in Attachment #1.

1. Check the box indicating Certificate of Loading.

2-12. Follow the instructions in this section "B. Completing the Memorandum of Inspection" 2 through 12 above.

13. Enter the results of your observations of the loading procedure.

14. Enter pertinent information such as the car, trailer or container number; the seal number, if used; the time the refrigeration unit was turned on; the temperature of the unit at the time loading began; or any other appropriate information that may impact the quality or safety of the product. Also, always enter the number(s) and date(s) of the accompanying certificate(s) for reference purposes.

15-17. Follow the instructions in this section "B. Completing the Memorandum of Inspection" 15 through 17 above.

- C. Distribution of the Completed Certificate of Loading:

**ALL CERTIFICATES WILL BE PRINTED ON OFFICIAL WATERMARKED PAPER**

- 1. 1. Print two copies, sign, stamp and forward to the customer. Additional copies may be made at the customer's request.
- 2. 2. Print and file copies in accordance with SIP filing plan

**ATTACHMENT #1**

NOAA FORM 89-804  
 Prescribed by NOAA  
 Inspection Manual 25 (12/81)

U.S. DEPARTMENT OF COMMERCE  
 National Oceanic and Atmospheric Administration  
 Inspection Services Division

PLEASE REFER TO THIS CERTIFICATE BY NUMBER AND DATE

MEMORANDUM OF INSPECTION  
 1  CERTIFICATE OF LOADING



M-	
DATE	<b>2</b>
CONTRACT NUMBER	<b>3</b>
LOCATION OF PRODUCT(S)	<b>4</b>

TO (Name and address) <b>5</b>			FOR (Name and address): <b>6</b>			
	PRODUCT/BRAND/TYPE OR STYLE	LOT NO(S)	CODES(S)	NO. OF CASES	CONT. SIZE(S)	TOTAL WEIGHT
1	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>	<b>11</b>	<b>12</b>
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
RESULTS: <b>13</b>					OFFICIAL STAMP	
REMARKS: <b>14</b>					<b>17</b>	
<small>This is to certify that the U.S. Department of Commerce records of inspection show that the products listed above have been inspected and found on the date inspected to be of the grade and/or quality and condition shown.</small>						
INSPECTION OFFICE (Region and Address) <b>15</b>			INSPECTOR (Signature and Number) <b>16</b>			

### Chapter 3 – Instruction for Completing the Lot Inspection Certificate

These instructions establish and implement a procedure which will assure national uniformity in the completion and issuance of the Lot Inspection Certificate (NOAA Form 89-803) for computer based certificates (see Attachment #1).

#### General

- A. The Lot Inspection Certificate is used for certifying any number of containers of the same size and type which contain a processed product of the same type and style located in the same or adjacent warehouses and which are available for inspection at any one time. Usually these products have not been inspected during processing in an official establishment; therefore, the sanitary conditions of the processing plant, and the processing methods used are unknown.
- B. Products inspected and certified on a lot basis may not bear any U.S. Grade or "Processed Under Federal Inspection" (PUFI) mark or be U.S. Grade or PUFI certified on the certificate unless they have been inspected and passed during processing in an official establishment.
- C. NOAA Form 89-803 shall be used only when lot samples have been drawn officially by an authorized inspector or sampler as provided in 50 CFR 260.
- D. The certificate shall be issued regardless of whether the product meets the requirements or criteria specified by the applicant. The certificate is an official record of the inspection findings.

### Procedures

- A. Requests for Inspection: Whether received by e-mail, telephone, fax or in writing, the information requested on NOAA Form 89-814, (**Request for Inspection Services**), must be obtained from the applicant. If a written request contains the information necessary to perform the inspection, a NOAA Form 89-814 needs to be completed by SIP personnel prior to performing the inspection. The written request or NMFS-completed NOAA Form 89-814 will be filed with the file copy of the certificate as part of the permanent record.
- B. Completing the Lot Inspection Certificate: The form will be printed from computer by completing the blocks, which are numbered in the example (see Attachment #3) to correspond with the following numbers. Certificates will be printed on USDC watermarked paper only.

### CERTIFICATE REFERENCE NUMBER

Certificate reference numbers will be 11 characters in length, composed in the following manner:

- I Northeast Region: First Digit – Enter N  
Southeast Region: First Digit – Enter S  
Western Region: First Digit – Enter W

II/III Lot Inspection Certificate: Use LC

IV-VII Enter Four-Digit Inspector/Officer number.

VIII-XI Enter Four-Digit numerical reference number starting new with each inspector/officer. e.g., First cert 0001, next 0002, and so on.

1. Enter the date the certificate is prepared.
2. Enter the company name of applicant.
3. Enter the address of applicant's facility.
4. Enter the name of company to which inspection is performed.
5. Enter the address of company to which inspection is performed.
6. Enter the product inspected, as to the production commodity code.
7. Enter the location of product and sampling/inspection.
8. Enter container information. (e.g. Master Container size, Warehouse Storage Lot numbers)
9. Enter Label information (e.g. Brand, Processor, Product, Type style, market form size etc.)
10. Enter Container identification marks (e.g. pack dates. Best Before dates)

11. Enter Container ID Number when appropriate (e.g. Product codes.)
12. Enter Case Information (USDC Stamp number and date that identify the inspected product.)
13. Results (e.g. All pertinent information from the inspected product, weights, sizes, glaze Percentage, breading percentages etc.)
14. Enter pertinent information such as the date of sampling, quantity covered by certificate, special statements, such as appeal inspections, restricted coverage, or other suitable, appropriate information.
15. Enter Regional Office name and address
16. Place the stamp that identifies the inspected product.
17. Enter Inspector name and number. Apply signature to original certificates.

C. Distribution of Completed Lot Inspection Certificates

**OFFICIAL CERTIFICATES WILL BE PRINTED ON USDC WATERMARKED PAPER ONLY**

1. Print two copies, sign, stamp and forward to the customer. Additional copies may be made at the customer's request.
2. Print and file copies according to SIP filing plan.

**ATTACHMENT #1**



## LOT INSPECTION CERTIFICATE

*This certificate is admissible in all Courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with any Federal or State laws. WARNING: Any person who shall falsely make, issue, alter, forge or certify, or participate in any action, is subject to a fine of not more than \$1,000 or imprisonment for not more than (1) year, or both [7 U.S.C. 1622(b)].*

TO: 2 ADDRESS: 3

FOR: 4 ADDRESS: 5

PRODUCT INSPECTED: 6  
 PRODUCT LOCATION: 7 NO., SIZE AND KIND OF CONTAINER: 8  
 LABEL & PRODUCT DESCRIPTION: (TITLE NUMBER, SIZE, NET WT., CONTAINER DESCRIPTION) 9  
 CODES OR OTHER IDENTIFICATION MARKS: 10  
 CONTAINERS: 11  
 CASES: 12  
 RESULTS: 13  
 REMARKS: 14

Sample

<p><i>I certify that in compliance with the regulations of the Secretary of Commerce governing the inspection and certification of the product designated herein pursuant to the act of August 14, 1945, as amended (7 U.S.C. 1621-1627), samples from lots indicated above have been examined in accordance with current regulations and standards and the results are shown above.</i></p> <p>REGION: 15</p> <p>SIGNATURE/NO. OF INSPECTOR: 17</p>	<p>OFFICIAL STAMP</p> <p>16</p>
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## Chapter 4 - Instruction for Completing the Certificate of Origin

These instructions establish and implement a procedure which will assure national uniformity in the completion and issuance of the Fish Certificate of Origin (see Attachment #1).

### General

The Fish Certificate of Origin is used for applicants' requests to identify country of origins as listed on inspected product labels. This certificate will usually be issued in combination with the Export Health Certificate or the Lot Inspection Certificate.

### Procedures

- A. Requests for Inspection: Whether received by e-mail, telephone, fax, or in writing, the information requested on NOAA Form 89-814, (**Request for Inspection Services**), must be obtained from the applicant. If a written request contains the information necessary to perform the inspection, a NOAA Form 89-814 needs to be completed by SIP personnel prior to

performing the inspection. The written request or NMFS-completed NOAA Form 89-814 will be filed with the file copy of the certificate as part of the permanent record.

- B. Completing Fish Certificate of Origin: The form will be printed from computer by completing the blocks, which are numbered in the example (see Attachment #1) to correspond with the following numbers. All Official Certificates will be printed on USDC watermarked paper.

1. Certificate Reference Number

Certificate reference numbers will be 11 characters in length, composed in the following manner:

I Northeast Region: First Digit – Enter N

Southeast Region: First Digit – Enter S

Western Region: First Digit – Enter W

II/III Certificate of Origin : Enter - CR

IV/VII Enter Four-Digit Inspector/Officer number.

VIII/XI Enter Four-Digit numerical reference number starting new with each inspector/officer. (e.g. First cert 0001, next 0002 and so on.)

2. Enter the name of the applicant.

3. Enter the date the product will be shipped.

4. Enter shipment information.

5. Enter origins listed on label of product inspected.

6. Enter final destination of product inspected.

7. Enter product information for inspected items. (e.g. Grouper Frozen Fillets)

8. Enter the USDC Stamp number and date that identifies the cases inspected.

9. Enter total case count for shipment.

10. Enter declared size of product where applicable. (e.g. 10-20 LB)

11. Enter the count of fish if applicable. (e.g. 1200 Pieces of H/G TUNA IQF) Net Weights may be added in this data block.

12. Enter the appropriate certificate number and date of accompanying USDC Certificate.

13. Enter the CSI/CSO Name and number. Sign this location.

14. Enter the date the certificate was completed.

15. Place the USDC stamp that identifies the inspected product here.

- C. Distribution of Completed Fish Certificates of Origin

**OFFICIAL CERTIFICATES WILL BE PRINTED ON USDC WATERMARKED PAPER ONLY**

1. Print three copies, sign stamp and forward to the customer.
2. Print and file copies according to SIP filing plan.

**ATTACHMENT #1**



**Certificat d'origine du poisson/Certificado de origen del pescado/Fish certificate of origin**

*El presente certificado es admisible en todos los tribunales de los Estados Unidos como evidencia a primera vista de la verdad de las declaraciones contenidas en el mismo. El certificado no excusa el incumplimiento de cualquier ley federal o estatal. ADVERTENCIA: Todo persona que con falsedad emita, altere, falsifique o certifique, o participe en cualquier acción, está sujeta a una multa que no excederá US\$1,000 o a encarcelamiento por un máximo de un (1) año, o a ambas cosas [7 U.S.C. 1622(b)]. This certificate is admissible in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with any Federal or State laws. WARNING: Any person who shall falsely make issue, alter, forge or certify, or participate in any action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one (1) year, or both [7 U.S.C. 1622(b)].*

Nom de expéditeur/Nombre del expedidor/Name of shipper      Date of shipment/Fecha de expedición/Date of shipment      Navire/Embarcación/Vessel

Lieu d'origine/Lugar de origen/Places of origin      Destination/Destino en el país/Destination

Detail de chargement-marchandises /Pormenores de la expedición-mercancia/Details of shipment-goods

Marques/Marcas/Marks

Nombre de caisses/Número de cajas/Number of cases      Tailles de poisson/Tamaño del pescado/Size of fish

Nombre de poisson/Número de pescados/Number of fish

Veillez notez aussi les certificats suivants/NOTA: Indique también los siguientes certificados/NOTE: Also reference the following certificate(s):

*Nous certifions que, pour autant que nous le sachions, les articles cites ici sont d'origine americaine./  
Certificamos que, a nuestro mejor saber y entender, los articulos citados aqui son de origen estadounidense./  
We certify to the best of our knowledge that the items listed herein are of U.S. origin.*

<p><i>Certifico que, en cumplimiento de las disposiciones del Secretario de Comercio que rigen la inspección y certificación del producto aquí designado conforme a la ley del 14 de agosto de 1946, según fue enmendada (7 U.S.C. 1621-1627), muestras de los lotes indicados supra han sido examinadas conforme a las disposiciones y normas vigentes y los resultados se consignan supra. I certify that in compliance with the regulations of the Secretary of Commerce governing the inspection and certification of the product designated herein pursuant to the act of August 14, 1946, as amended (7 U.S.C. 1621-1627), samples from lots indicated above have been examined in accordance with current regulations and standards and the results are shown above.</i></p>		OFFICIAL STAMP

Revised 9/2000

## Chapter 5 – Instruction for Completing the E.U. Export Certificates

### a. EU Fishery Products Health Certificates

#### Guidance on the completion of the model health certificate for imports of fishery products intended for human consumption

The following guidance is provided to assist with the completion of the model health certificate for imports of fishery products intended for human consumption as laid down in Commission Regulation (EC) No 2074/2005(1) as amended.

It incorporates the notes for guidance listed on the certificate itself and the explanatory notes found in Commission Decision 2007/240/EC (2).

In addition, guidance has been obtained from the texts of the international standard-setting body Codex Alimentarius. In the Guidelines for Design, Production, Issuance and Use of Generic Official Certificates (CAC/GL 38-2001(3) issued by the Codex Alimentarius Commission(4), replacement certificates are foreseen for certain administrative corrections or if the certificates were lost or damaged.

All certification should be done via the NOAA SIP online certificate system. Only as an option when the system is down or unavailable should a PDF version be used. The directions below are guidance for both the system completion and the PDF certification for information required in fields located on the documents.

<b>General</b>
<p>Complete the certificate in capitals if hand-written. To positively indicate any option,</p> <ul style="list-style-type: none"> <li>• tick or mark the relevant box</li> <li>• ISO codes – use the two-letter country code in compliance with the international standard ISO 3166 alpha-2.</li> </ul>
<ul style="list-style-type: none"> <li>• The color of the stamp and signature must be different to that of the other particulars in the certificate.</li> </ul>
<ul style="list-style-type: none"> <li>• Certifying officers must not sign blank or incomplete certificates.</li> <li>• Certifying officers should verify that US manufacturers are listed as approved shippers to the E.U. Facilities should appear on both the domestic FDA List and the European Union Approved list at the following link: <a href="http://www.fda.gov/Food/GuidanceRegulation/ImportsExports/Exporting/ucm126413.htm">http://www.fda.gov/Food/GuidanceRegulation/ImportsExports/Exporting/ucm126413.htm</a></li> <li>• Certifying officers should verify that all foreign sourced material should be from manufacturing facilities listed at the following link: <a href="http://ec.europa.eu/food/international/trade/third_en.htm">http://ec.europa.eu/food/international/trade/third_en.htm</a>.</li> <li>• The certificate must be issued before the consignment to which it relates leaves the control of the competent authority of the country of dispatch. Therefore the health certificate must be issued after all the products in the consignment have been produced but before the consignment leaves the country, ideally when the product leaves the dispatch establishment.</li> </ul>
<ul style="list-style-type: none"> <li>• Certificates should, where possible, be on a single sheet of paper. If this is not possible then each sheet must indicate which particular page it is in a finite sequence (e.g. 'page 1 of 2', 'page 2 of 2'), each sheet must have the same certificate reference number and each sheet must be signed and stamped.</li> </ul>
<ul style="list-style-type: none"> <li>• The original version of the certificate must accompany consignments on entry into the EU (original signature of an authorised officer, the name in capital letters, the qualification and title, and original stamp of the competent authority).</li> </ul>
<p><b>Model health certificate for imports of fishery products intended for human consumption</b></p>

<b>Part I – Information on the consignment shipped</b>	
<i>Country</i>	Please indicate the third country issuing the certificate
Box I.1 <i>Consignor</i>	Please give the name and address (street, town and region/province/state, as applicable) of the physical or legal person who sends the consignment.  Postcode/zip and telephone number are mandatory.
Box I.2	The certificate reference number is the number that the competent authority of the third country must assign in accordance with its own classification.
Box I.2a	Reserved for TRACES notification (e-certificates). The TRACES number of the certificate is a unique reference number assigned by the TRACES system.  If not an e-certificate this box can be invalidated.
Box I.3 <i>Central Competent Authority</i>	The name of the Central Authority of the country of dispatch which is responsible for certification.
Box I.4 <i>Local Competent Authority</i>	If applicable, the name of the local authority responsible at the place of origin or place of dispatch in the country which is responsible for certification, (If the central competent authority issues the certificate itself, box I.4 is left blank).
Box I.5 <i>Consignee</i>	Please give the name and address (street, town and postcode) of the physical or legal person to whom the consignment is shipped in the Member State of destination (postcode and telephone number are mandatory)
Box I.6 <i>Person responsible for the load in the EU</i>	Reserved for TRACES notifications (e-certificates). When the certificate is being completed on TRACES please give the name and address (street, town and postcode). It is recommended that the telephone and fax numbers or the email address is given.  If not an e-certificate this box can be invalidated.
Box I.7 <i>Country of origin</i>	Please give the name of the country in which the establishment of production, manufacturing or packaging (flag state for freezer and factory vessels) is located that has applied its veterinary approval number on the product.  The ISO country code must also be stated ( <a href="http://www.iso.org/iso/country_codes/iso-3166-">http://www.iso.org/iso/country_codes/iso-3166-</a>

	<b>1_decoding_table.htm</b> – list of country names and code elements)
Box I.8 <i>Region of origin</i>	Invalidate unless frozen or processed bivalve molluscs, in which case the production area must be stated.
Box I.9 <i>Country of destination</i>	Please give the name of the Member State of destination and the ISO country code ( <a href="http://www.iso.org/iso/country_codes/iso-3166-1_decoding_table.htm">http://www.iso.org/iso/country_codes/iso-3166-1_decoding_table.htm</a> – list of country names and code elements).  For example for consignments destined for the UK, the country is 'United Kingdom' and the ISO code is 'GB', if destined for France the Country is 'France' and the ISO code is 'FR'
Box I.10 <i>Region of destination</i>	This box is invalidated in the model health certificate.
Box I.11 <i>Place of origin</i>	Please give the name and address (street, town and region/province/state, as applicable) of the dispatch establishment (e.g. warehouse/coldstore) where the goods were loaded into the container/means of transport being used for their carriage. The veterinary approval number of the establishment should also be stated.
Box I.12 <i>Place of destination</i>	This box is invalidated in the model health certificate.
Box I.13 <i>Place of loading</i>	This is the place (port or airport) where the container was loaded on the means of transport to the EU.
Box I.14 <i>Date of departure</i>	Date of departure of the means of transport (vessel or aircraft).
Box I.15 <i>Means of transport</i>	There should be a mark in the box next to the correct means of transport.  Identification: e.g. vessel name or flight number (mandatory)  Documentary references: bill of lading number or booking reference number (optional)
Box I.16 <i>Entry BIP in EU</i>	Please give the name and the number of the border inspection post (BIP) as it appears in Annex I to Commission Decision 2009/821/EC(5) as amended.
Box I.17	This box is invalidated in the model health certificate.
Box I.18 <i>Description of commodity</i>	Give a veterinary description of the goods or use the titles as they appear in the World Customs Organisation's Harmonised System

	included in Council Regulation (EEC) No 2658/87 <b>(6)</b> . This customs description shall be supplemented, if necessary, by any information required classifying the goods in veterinary terms (species, processing, etc.)
Box I.19 <i>Commodity code</i>	Please give the six digits HS code as it appears in the World Customs Organisation's Harmonised System included in Regulation (EEC) No 2658/87.
Box I.20 <i>Quantity</i>	Please give the total gross and net weights in kg. Gross weight is the weight of the product and its packaging (excluding shipping containers and pallets except where the pallet is the unit of packaging certified e.g. blocks of fish shrink-wrapped directly onto pallets).
Box I.21 <i>Temperature</i>	Please tick or mark the appropriate temperature box for transport/storage of the product.
Box I.22 <i>Number of packages</i>	Please indicate the total number of packages.
Box I.23 <i>Container/seal number</i>	Container number shall be stated. The serial seal number has to be indicated if the seal was affixed to the container under the supervision of the competent authority.
Box I.24 <i>Type of packaging</i>	e.g. cartons, bags, trays
Box I.25	Tick or mark the box
Box I.26	This box is invalidated in the model health certificate.
Box I.27	Tick or mark the box
Box I.28 <i>Identification</i>	<ul style="list-style-type: none"> <li>• <i>Species</i>: must be the scientific name</li> <li>• <i>Nature of commodity</i>: must specify whether aquaculture or wild</li> <li>• <i>Treatment type</i>: live / chilled / frozen / processed. Processed includes cooked and canned. Therefore for frozen cooked prawns the entry would be 'Frozen, processed'</li> <li>• <i>Approval number of establishments</i> <i>Manufacturing plant</i>: Approval number of manufacturing plant (includes: factory vessel, freezer vessel, cold store, processing plant).</li> <li>• Number of packages</li> <li>• Net weight</li> </ul>

<b>Part II – Health attestation</b>	
Box II.a	Same reference number as box I.2
Box II.b	TRACES reference number - see Box I.2 (e-certificate). If not an e-certificate this box must be invalidated.
Part II.1	The public health attestations must match those in the model certificate, however, they do not apply to countries with special public health certification requirements laid down in equivalence agreements or other EU legislation (Canada, New Zealand and USA).
Part II.2	<p>The Animal Health attestations do not apply to the following products:</p> <ul style="list-style-type: none"> <li>• Non-viable crustaceans (no longer alive)</li> <li>• Fish which are slaughtered and eviscerated before dispatch (gutted fish)</li> <li>• Aquaculture animals and product thereof that are in retail packs (must clearly be intended for retail sale in existing packaging which must have the identification mark on it)</li> <li>• Crustaceans destined for processing establishments authorised in accordance with Article 4(2) of Directive 2006/88/EC, or for dispatch centres, purification centres or similar businesses which are equipped with an effluent treatment system inactivating the pathogens in question, or where the effluent is subject to other types of treatment reducing the risk of transmitting diseases to the natural waters to an acceptable level</li> <li>• Crustaceans which are intended for further processing before human consumption without temporary storage at the place of processing and packed and labelled for that purpose in accordance with Regulation (EC) No 853/2004</li> </ul> <p>If the animal health attestations do <u>not</u> apply to the consignment then the whole of this section should be deleted, either invalidated or not present at all.</p> <p>If the animal health attestations <u>do</u> apply to the consignment, then the relevant section should be fully completed with non-relevant sections present but invalidated (in accordance with the notes for Part II of the certificate).</p>
<b>Replacement health certificates</b>	
Replacement health certificates may be accepted for obvious administrative errors (e.g. transposed numbers in the container number or seal number, spelling errors in addresses or product description). If a replacement certificate is to be considered it must meet the following requirements:	

- The replacement certificate must have a new certificate number, i.e. it must not have the same certificate number as the existing certificate.
- The date of issue of the replacement certificate must be the actual date of issue. It should not be back-dated to match the date of issue of the existing certificate.
- The replacement certificate must make clear reference to the certificate number and the date of issue of the current certificate and it must clearly state that it replaces the current certificate.
- It must be presented in its original to the BIP before release of the relevant consignment can be considered.
- The competent authority in the third country of origin must have had communication with the BIP (email, fax or telephone).

Replacement health certificates will not be considered in the following cases:

- consignments for which the container number when stated is completely different to the number of the container presented for inspection
- the establishment of origin on the certificate does not match that on the packaging
- number of packages or weight is higher than on the certificate accompanying the consignment

In these cases no replacement certificate could be accepted as this concerns non-compliances with the identity of the consignment and not administrative errors.

(1) Commission Regulation (EC) No 2074/2005 of 5 December 2005 laying down implementing measures for certain products under Regulation (EC) No 853/2004 of the European Parliament and of the Council and for the organisation of official controls under Regulation (EC) No 854/2004 of the European Parliament and of the Council and Regulation (EC) No 882/2004 of the European Parliament and of the Council, derogating from Regulation (EC) No 852/2004 of the European Parliament and of the Council and amending Regulations (EC) No 853/2004 and (EC) No 854/2004, OJ L 338, 22.12.2005, p 27

(2) 2007/240/EC: Commission Decision of 16 April 2007 laying down new veterinary certificates for importing live animals, semen, embryos, ova and products of animal origin into the Community pursuant to Decisions 79/542/EEC, 92/260/EEC, 93/195/EEC, 93/196/EEC, 93/197/EEC, 95/328/EC, 96/333/EC, 96/539/EC, 96/540/EC, 2000/572/EC, 2000/585/EC, 2000/666/EC, 2002/613/EC, 2003/56/EC, 2003/779/EC, 2003/804/EC, 2003/858/EC, 2003/863/EC, 2003/881/EC, 2004/407/EC, 2004/438/EC, 2004/595/EC, 2004/639/EC and 2006/168/EC, OJ L 104, 21.4.2007, p. 37

(3) Formerly *Guidelines for Generic Official Certificate Formats and the Production and Issuance of Certificates*. Adopted 2001. Revisions 2005, 2007.

(4) Further information under: [http://www.codexalimentarius.net/web/index\\_en.jsp#](http://www.codexalimentarius.net/web/index_en.jsp#)

(5) Commission Decision 2009/821/EC of 28 September 2009 drawing up a list of approved border inspection posts, laying down certain rules on the inspections carried out by Commission veterinary experts and laying down the veterinary units in Traces, OJ L 296, 12.11.2009, p 1

(6) Council Regulation (EEC) No 2658/87 of 23 July 1987 on the tariff and statistical nomenclature and on the Common Customs Tariff, OJ L 256, 7.9.1987, p. 1

#### b. EU Molluscan Shellfish Health Certificates

I.1. **Consignor:** Enter the name, address, zip code, and telephone number of the company or person that owns the product(s).

I.2. **Certificate Reference Number:**

- a. Enter number with color other than certificate print color.
- b. Certificate reference numbers will 11 characters/numbers in length, composed in the following manner:

I Northeast Region: First Digit – Enter N  
Southeast Region: First Digit – Enter S  
Western Region: First Digit – Enter W

II/III Enter ISO Code for Country of Destination

Note: ISO country names and codes can be found at:[http://www.iso.org/iso/english\\_country\\_names\\_and\\_code\\_elements](http://www.iso.org/iso/english_country_names_and_code_elements)

IV/VII Enter four-digit Inspector/Officer number.

VIII/XI Enter four-digit numerical reference number starting new with each inspector/officer. (e.g., first cert 0001, next 0002, and so on.)

**Note: Each inspector will have a running tally of EU certificates based on numbers not country of destination. When certificate number 10,000 is reached (after 9999), the reference number re-starts at 0001**

***Example:** In Boston MA, Product going to Spain, from inspector Smith (#6789), first certificate of Export for inspector Smith.*

*Certificate reference number would be: **NES67890001***

I.3. **Central Competent Authority:** Enter “United States Department of Commerce Seafood Inspection Program.”

I.4. **Local Competent Authority:** Enter the name and address of the State Shellfish Control Authority, e.g. “Commonwealth of Massachusetts, Dept. of Public Health, Div. of Food and Drug, 305 South Street, Jamaica Plain, MA 02130”. (See the State Program Officers Responsible for Interstate Shellfish Sanitation Certificates Interstate Certified Shellfish Shippers List at <https://info1.cfsan.fda.gov/shellfish/sh/shellfis.cfm#state>.)

I.5. **Consignee:** Enter the name, address, postal code, and telephone number of the company of person that is purchasing the product(s).

I.7. **Country of Origin:** Enter the ISO name and the ISO code for the country of origin, e.g., “United States” and “US” respectively. (See the ISO website at [http://www.iso.org/iso/english\\_country\\_names\\_and\\_code\\_elements](http://www.iso.org/iso/english_country_names_and_code_elements).)

I.8. **Region of Origin:** Enter the Name and Code (Approval Number) of the production area.

I.9. **Country of Destination:** Enter the ISO name and the ISO code for the country of destination. (See the ISO website at [http://www.iso.org/iso/english\\_country\\_names\\_and\\_code\\_elements](http://www.iso.org/iso/english_country_names_and_code_elements).)

I.11. **Place of Origin:** Enter the name, address, CFN or FEI number of the company shipping the products.

I.13. **Place of Loading:** Enter the place the product will leave the country, e.g., “Seattle, WA USA.”

1.14. **Date of Departure:** Enter the actual date of the voyage or flight.

I.15. **Means of Transport:** Check the appropriate box for the means of transport.

**Identification:** Enter the flight number, name of the vessel, etc. as appropriate.

**Documentary references:** Enter the commercial document (Bill of Lading) number.

I.16. **Entry BIP in EU:** Enter the port of debarkation, e.g., “Le Havre, France,” or if it is an air shipment, “Charles De Gaulle International Airport, Paris, France.”

**Note:** This must be one of the border inspection posts listed in the most recent amendment to the 2001/881/EC: Commission Decision of 7 December 2001 drawing up a list of border inspection posts agreed for veterinary checks on animals and animal products from third countries. [http://eur-lex.europa.eu/smartapi/cgi/sga\\_doc?smartapi!celexapi!prod!CELEXnumdoc&lg=en&model=guicheti&numdoc=32001D0881](http://eur-lex.europa.eu/smartapi/cgi/sga_doc?smartapi!celexapi!prod!CELEXnumdoc&lg=en&model=guicheti&numdoc=32001D0881)

I.19. **Commodity Code (HS code):** For Molluscan Shellfish use “03 07”.

I.18. **Description of Commodity:** Enter a general description of the commodity or commodities, e.g., live oysters, frozen scallops, chilled mussels, etc.

I.20. **Quantity:** Enter the total net weight, in Kilograms (Kg) of the shipment.

I.22. **Number of Packages:** Enter the exact number of packages (master cases) in the shipment.

I.23. **Identification of Container/Seal Number:** Enter the container number(s) and the seal number(s), if applicable. Enter “N/A” if not applicable.

I.24. **Type of Packaging:** Enter the type of packaging. Enter “Various” if necessary.

I.25. **Commodities Certified For:** Check the box for “Human Consumption.”

I.27. **For Import or Admission into EU:** Check the box for “For import or admission into the EU.”

I.28. **Identification of the Commodities:**

**Species (Scientific name)** - Enter the common name and the scientific name (in parenthesis) for each species from each establishment, e.g., Pacific Oysters (*Crassostrea gigas*). Refer to the **FDA Seafood List** for a listing of common and species fish names.

**Nature of commodity** – Leave blank.

**Approval number of Establishment’s Manufacturing Plant** - Enter the name and CFN or FEI number of the last establishment that processed or handled the molluscan shellfish for each species.

**Note:** The establishment must be listed in the most recent Interstate Shellfish Shippers List at <https://info1.cfsan.fda.gov/shellfish/sh/shellfis.cfm>

**Number of packages** - Enter the number of boxes or containers for each species from each establishment.

**Net weight** - Enter the net weight, in Kilograms (Kg), for each species from each establishment.

II.a. **Certificate reference number:** Same as I.2 above.

II.b. - **Official Inspector:**

**Name** – Enter the name of the certifying person in capital letters.

**Date** -Enter the date the certificate is signed.

Additional Instructions:

**Printing** - Print 2-sided (back-to-back) on legal-size paper (must select before printing.)

**Animal Health Attestation** - Mark (draw a diagonal line) through the Animal health attestation paragraph (II.2.) on page 2 in non-black ink.

**Official Inspector** (*continued*):

**Qualification and Title** – Complete qualification and title in non-black ink

**Signature of Official Inspector** - Sign in non-black ink.

**Stamp** - Apply the official stamp as indicated, in color other than printed certificate particulars.

c. **IUU Catch Certificate**

- i. The Issuance of IUU Catch Certificates for Shipments Going to Non-EU Countries
- ii. Annex IV
- iii. Harvest Date Attestation Letter for Product Caught Prior to January 1, 2010

**IUU Catch Certificate**

These instructions establish and implement a procedure which will assure national uniformity in the completion and issuance of the IUU Catch Certificates and supplemental documentation through the online request system (see Attachments #1 and #2)

In order to meet the European Commission Regulation 1005/2008 (“the IUU Regulation”) to prevent, deter and eliminate illegal, unregulated and unreported (IUU) fishing, the NOAA Fisheries Service Seafood Inspection Program (SIP), also known as the USDC Seafood Inspection Program, will begin to issue catch documents for wild fishery products caught by U.S. flagged vessels on or after January 1, 2010 and intended for export to the European Union (EU).

The catch document (See Attachment 5 & 6) will be available individually or in a package with the already required EU export health certificate. There is a fee for a single certificate or the package of both documents. Both documents may be requested electronically but only the catch document can be delivered electronically to the requestor at this time. The health certificate may only be delivered via Fed Ex or picked up in person at the nearest inspection office.

To request export certificates for products going to the EU, a requestor must now enter a request for export certification through the SIP’s online web-based request system. To access the system, the requestor must sign up for a user account by submitting an access request to the SIP online at <https://seafoodinspection.nmfs.noaa.gov/customer/customerlogin.html>. This is not a lengthy process and will facilitate all future requests for certificates.

**Procedures for Certifying Products using the IUU Catch Document**

- A. **Requests for Inspection**: Whether a request is received through the online request system, telephone, fax, or in writing, the information listed on NOAA Form 89-814, (**Request For Inspection Services**), must be obtained from the applicant. If a written request does not contain the information necessary to issue the certificate, contact the requestor for pertinent information. (On-line applicants will be notified automatically by the online request system during the application process if information is missing or incomplete.) The IUU Catch Document is prepared by transferring to it the information and data below, taken from the inspection request and records relative to the shipment. The form will be distributed electronically from the SIP issuing Office on computer only.
- B. **Completion**: The numbered paragraphs below correspond to the numbers on the example catch document, (see Attachment #5.) The SIP will complete Page 1 ONLY. The SIP cannot complete the fields contained under Section 6, EU Importer Declaration; Section 7, Import Control Authority; or, Section 8, European Community Re-Export Certificate contained on page 2 of the catch document (Attachment #6.) The information contained in these sections is intended to be completed upon import into the EU and upon re-export from the EU after the document is issued by SIP. Page two will be issued as a separate document.

1. The certificate number will be generated by the online request system.
  2. Enter the Regional Office Information.
  3. Enter the USDC Local Office.
  4. Enter the USDC Local Office telephone number.
  5. Enter the USDC Local Office fax number.
  6. Enter the USDC Local Office address.
  7. Enter the requesting company name.
  8. Enter the requesting company address.
  9. The representative of the requesting company that has supplied the certificate information should provide an electronic signature and email address to be inserted into this block.
  10. The date of the representative electronic signature application should be entered in this block.
  11. The requesting company may provide an Official Seal or Company Logo electronically to be inserted into this block. This is an optional block to fill.
  12. Enter the commodity description. For each lot of product, enter a description of the product, with its brand if so labeled. Enter the type, e.g., fresh, frozen, canned etc., and the style, e.g., skin-on, cooked, raw, whole, eviscerated, etc.
  13. Enter the scientific name of each product.
  14. Enter the total net weight of each item covered in this block. Separate product will require breakdown of weights.
  15. Enter the 4 digit product HS code for each product.
  16. Enter the FAO Catch Area for each product.
  17. . Enter the catch date or a range of catch dates during which the product was caught for the product listed.
  18. The Inspector's digital signature is placed here.
  19. The date of Inspector signature is placed here.
  20. The NOAA Logo is placed in this location.
- C. Distribution of Completed IUU Catch Certificate

1. Forward an electronic copy of the IUU certificate to the requestor for completion.
  - i. **The Issuance of IUU Catch Certificates for Shipments Going to Non-EU Countries**  
Effective January 7, 2011, there is no longer a requirement to be on the EU Shippers List for the United States to receive an IUU Catch Certificate. Any firm may request an IUU Catch Certificate for any product going to any country.
  - ii. **Annex IV**  
For foreign product caught AFTER January 1, 2010, re-processed in the U.S., and shipped to the EU, applicants must fill out the Annex IV document through the online system. Download **Annex IV document** and submit along with the original catch document issued by the foreign government competent authority via email to [annex4@noaa.gov](mailto:annex4@noaa.gov) or fax to **(202) 747-7604**. Once the request has been received and validated, the Annex IV document will be emailed to the applicant from the nearest Inspection Office.
  - iii. **Harvest Date Attestation Letter for Product Caught Prior to January 1, 2010**  
For product caught BEFORE January 1, 2010, and imported into the EU on or after January 1, 2010, a Harvest Date Attestation Letter will be generated by the online request system and e-mailed to the applicant from the nearest Inspection Office.

**ATTACHMENT #1**

 <p>UNITED STATES DEPARTMENT OF COMMERCE NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION</p>	Document Number:				
	1		Validating Authority		
2					
<b>UNITED STATES Attestation in Accordance with Council Regulation (EC) No. 1005/2008 for Products Caught by U.S.-Flagged Vessels</b>					
<b>1. VALIDATING AUTHORITY</b>			Address		
Name		3		6	
Tel:		4			
Fax:		5			
<b>Exporter</b>					
<b>2. EXPORTER</b>			Seal		
Name		7		11	
Address					
8					
Signature		Date			
9		10			
<b>Commodity Description</b>					
<b>3. COMMODITY DESCRIPTION</b>					
12					
Species (Scientific Name)	Net weight	U.S. Commodity Code	FAO Catch Area	Catch Date or Range	
13	14	15	16	17	
<b>Flag State Authority Validation</b>					
<b>4. ATTESTATION</b>					
<p>This attestation is admissible in all courts of the United States as <i>prima facie evidence</i> of the truth of the statements therein contained. This attestation does not excuse failure to comply with any Federal or state laws. <b>WARNING:</b> Any person who knowingly falsely makes, issues, alters, forges or counterfeits any official Seafood Inspection Program certificate or knowingly causes or procures, or aids, assists in, or is party to such false making, issuing, altering, forging or counterfeiting, is subject to a fine of not more than \$1000 or imprisonment for not more than 1 year, or both (7 U.S.C. §1622).</p>					
<p>I certify to the best of my knowledge that the items in the shipment listed herein were caught in compliance with the Magnuson-Stevens Fishery Conservation and Management Act (16 U.S.C. 1801 /et seq./) and other applicable state and Federal conservation and management laws and regulations as specified in the U.S.-EU Agreement dated November 6,2009.</p>			OFFICIAL STAMP		
18			19		20
Name and Signature of Official Inspector NOAA National Marine Fisheries Service			Date		

**ATTACHMENT #2**

<b>Transport Details</b>			
<b>5. TRANSPORT DETAILS AS SPECIFIED IN (EC) 1005/2008 Annex I Appendix</b>			
5.1 Country of Exportation		5.2 Port/Airport/other place of departure (embarkation):	
5.3 Vessel Name and Flag:		Container number(s): List attached if necessary)	Name
Flight number/airway bill number:			Address
Other transport document(s):			Signature
<b>EU Importer Declaration</b>			
6. EU IMPORTER Name		Seal	
Address			
Signature		Date	Product CN Code
Documents under Articles 14 (1), (2) of Regulation 1005/2008		References	
<b>Import Control Authority</b>			
7. MEMBER STATE IMPORT CONTROL AUTHORITY		Place	Verification requested – date
		<input type="checkbox"/> Importation authorized <input type="checkbox"/> Importation suspended	
Customs declaration (if issued)	Number	Date	Place
<b>European Community Re-Export Certificate</b>			
8. CERTIFICATE NUMBER	Date	Member State	
8.1 Description of re-exported product:		Weight (Kg)	
Species	Product Code	Balance from total quantity declared in the catch certificate:	
8.2 Name of re-exporter	Address	Signature	Date
8.3 Authority			
Name/Title	Signature	Date	Seal/Stamp
8.4 Re-export Control			
Place	<input type="checkbox"/> Re-export Authorized <input type="checkbox"/> Verification Requested		Re-export Declaration number and Date

#### d. Procedures for EU Policy Nonconformance

The Seafood Inspection Program (SIP) has occasionally received inaccurate information about consignments that need health certification for the European Union (EU). The European Commission's DG SANCO, the food safety agency for Europe, has noticed these problems and raised concerns about the integrity of the SIP process for issuing EU Health Certificates.

This section details the procedures SIP will take when it is determined that false, misleading or inaccurate information has been provided by a SIP customer requesting inspection and/or certification

services. Requesters/Customers should be aware that information related to requests for EU Health Certificates provided through SIP's online data system is subject to Title 18 of the United States Code. Specifically, **18 U.S.C. §1001(a)** prohibits knowingly and willfully giving materially false information to a Federal official, which is punishable by fine or imprisonment up to five years. It is also a violation of the Agricultural Marketing Act and SIP regulations to falsely issue or knowingly cause issuance of false certificates. See **7 U.S.C. 1622(h)(4)**.

However, even erroneous information is enough to jeopardize future shipments to the EU. Accuracy is a must.

Moreover, SIP must provide a high level of integrity for its entire certification program, including certificates issued for exports to the EU. When requesters make false statements or provide inaccurate information regarding shipments, SIP must pursue corrective action to meet EU requirements and ensure that the certification process is reliable and truthful.

Currently SIP issues EU Health Certificates based on the processor, shipment and transport details provided by the requester and documentation review to establish that the requester/processor is in good regulatory standing with the U.S. Food and Drug Administration (FDA) and is on the list of firms approved by the EU to ship seafood to its member states. Physical inspections of individual shipments are performed on an audit basis.

Effective June 6, 2011, all issues regarding requester status or non-compliance will be reviewed and resolved jointly by SIP Headquarters and supervisory staff for the region in which the non-conformance occurred. The scope and seriousness of the violation will be determined and appropriate action will be taken by SIP against the requester, ranging from placement in probationary status to debarment from SIP services and referral to the NOAA Fisheries Office of Law Enforcement for possible criminal prosecution.

**False, Misleading, or Inaccurate Statements in Connection with Requests for Inspection**

Violation	Threshold for low volume (<10 shipments per quarter)	Threshold for high volume (>10 shipments per quarter)	Compliant Lot Inspections for Return to Audit Basis
False Statement	1	1	5
Misleading Statement	1	2	3
Inaccurate Statement	2	4	2

**Definitions:**

False Statement: Providing information to SIP that is completely untrue.

Misleading Statement: Providing information to SIP that is partially untrue.

Inaccurate Statement: Providing information to SIP that is erroneous.

In the event that SIP determines that corrective action is required, SIP will notify the requester that they will be placed in a probationary status. SIP will conduct a corrective action sequence that may include mandatory physical inspection of future EU shipments, review of labels and desk audits to determine compliance with all US and EU policies. The cost of these lot inspections, label reviews and/or audits will be borne by the requester/customer and shall be requested, completed and billed through regular SIP inspection office procedures. Certificates will be issued only after supervisory review of the corrective actions has been determined to be effective.

After the completion of the minimum required physical inspections, as specified above, the SIP Chief Quality Officer (CQO) will determine if the corrective action has been effective and report the status of future requests for the probationary requestor to the Regional staff.

e. **Instructions for Completion and Issuance of the EU-IUU Catch Certificate from computer based requests (DSFA)**

These instructions establish and implement a procedure which will assure national uniformity in the completion and issuance of the EU-IUU Catch Certificate from computer based (on-line) requests (DSFA).

**General**

- In order to comply with the European Commission Regulation 1005/2008 ("the IUU Regulation") to prevent, deter and eliminate illegal, unregulated and unreported (IUU) fishing, the NOAA Fisheries Service Seafood Inspection Program (SIP) began to issue catch certificates for wild fishery products caught by U.S.A. flagged vessels on January 1, 2010 and intended for export to the European Union (EU).
- The catch certificate is available individually or in a package with the already required EU export health certificate. There is a fee for a single certificate or the package of both certificates. Both certificates may be requested electronically but only the catch certificate can be delivered electronically to the applicant at this time. The EU export health certificate may only be delivered via commercial courier service, picked up in person at the nearest inspection office or delivered by regular mail via US Postal Service.
- To request catch certificates for products going directly to the EU, the applicant must enter a request for a catch certificate through the SIP's online web-based request system (DSFA). To access the on-line system, the applicant must apply for a user account at the SIP online website <http://www.seafood.nmfs.noaa.gov/>. Not all shipments of fish and fishery products destined for Europe go directly there. The consignment may go to a third country for further processing and/or storage. If the DSFA web-based request system is not set up for the certificate required by the third country or the third country does not require certification the catch certificate must be issued using a PDF format.
- **High risk circumstances** (as determined by the SIP HQTS office) where false or misleading information may be presented to the SIP in efforts to obtain an EU-IUU Catch Certificate, the SIP will initiate verification procedures that document the authenticity of U.S.A. flagged

vessels. These verification procedures are described later in (section V. D.) *Catch Certificate Verification Audit Procedures*.

### **Procedures for Completion and Issuance for the EU-IUU Catch Certificate**

- A. Requests for Inspection: Catch certificate applications received via the SIP on-line system (DSFA), are received and processed based on the applicant's input of information. On-line applicants will be notified by DSFA during the application process if information is missing or incomplete. The EU IUU Catch Certificate is prepared by inputting information and data taken from the EU certificate and/or inspection request and records relative to the shipment. The required information for catch certificate preparation is listed below in (section V.B.) *Completion*.
- B. Completion: The numbered items below correspond to the numbered fields on the **attached example of the catch certificate**.
1. The certificate number will be generated by DSFA using SIP policy for numbering certificates.
  2. Enter the Regional Office Information.
  3. Enter the USDC Local Office.
  4. Enter the USDC Local Office telephone number.
  5. Enter the USDC Local Office fax number.
  6. Enter the USDC Local Office address.
  7. Enter the applicant company name (e.g. name of the Shipper or Exporter).
  8. Enter the applicant company address (e.g. address of the Shipper or Exporter).
  9. The applicant's representative who supplied the catch certificate information, should apply an electronic signature in this block.
  10. The date of the applicant's representative electronic signature should be entered in this block.
  11. The applicant's Official Seal or Company Logo should be placed in this block electronically.
  12. Enter the commodity description. For each line item of product, enter a description of the product as labeled. Enter the type (e.g., fresh, frozen, canned etc.), and the style, (e.g., skin-on, cooked, raw, whole, eviscerated, etc.).
  13. Enter the scientific name of each product.
  14. Enter the total net weight of all products covered in this block. Each product will require separate listing of its net weight.
  15. Enter the 6-digit product HS code (Harmonization System Code) for each product.
  16. Enter the FAO Catch Area for each product.
  17. Enter catch dates or range of dates for the product listed.
  18. The Inspector's Full Name and ID# using electronic signature should be placed here.
  19. The date of the inspector's electronic signature should be placed here.
  20. The USDC Seal will be placed in this location electronically.
- C. Distribution of the completed EU IUU Catch Certificate
1. The applicant can retrieve a copy of both page 1 and 2 of the catch certificate from DSFA and should complete (section 5) "*Transportation Details*" on page 2.
  2. Printed copies of the catch certificate generated from DSFA may be maintained for Regional and Lot Inspection office use; these copies should be marked "copy".
- D. Catch Certificate Verification Audit Procedures
1. Audits will be initiated upon direction by headquarters on a periodic basis by choosing a sufficient number of completed catch certificates. Audits will also be initiated for circumstances where the risk of misinformation or misleading information is likely to

occur. These “**high risk circumstances**” will be determined by the SIP HQTS office. **When high risk circumstances occur EACH certificate request will be audited before issuance of the certificate.** If there is uncertainty regarding as to whether the catch certificate application received is considered a high risk circumstance, consult your Supervisor or Regional Chief.

2. Once an audit has been approved for fish and fishery product processors, the applicant must provide supporting documents which trace products back to the harvest vessel.
3. All audits should go back as far as possible. The auditor shall ask for invoices, bills of lading and fish tickets.
4. For vessels that ship directly to the European Union the documents containing the following information, shall be available: product species; catch poundage, dates, and areas; fishing vessel license number to ensure the information is properly reported, valid and reasonably matches the information on the applicant’s catch certificate application. Reference records/resources shall include, but are not limited to: a) Mate’s Receipts, b) Purse Seine Transshipment and Other Unloading documents, c) Well charts, d) Regional Purse-Seine Log-sheets and e) U.S.A. Flag Fishing vessel validation websites such as the Pacific Islands Forum Fishery Agency’s website: (<http://license.ffa.int/>) Pacific Islands Forum Fisheries Agency; follow the link to “US Treaty” to review the most updated information about U.S.A. Flag Fishing Vessels. Consult your Supervisor or Regional Chief for other applicable website(s). All records used in audit verification procedures shall be scanned into electronic file format and saved on the computer hard drive with appropriate back up procedures for files.
5. For audits performed under high risk circumstances, the lead auditor will forward the completed audit report to their Supervisor or Regional Chief, for review and catch certificate approval. Upon approval, the catch certificate shall be issued via DSFA which will automatically number the certificate per SIP policy and create an electronic file for the catch certificate. Under normal circumstances where there is no perceived risk of fraud or misinformation the certificate may be issued without supervisory approval.
6. If a firm or one of its suppliers fails to cooperate in an audit review or inaccurate information is given it may be grounds for invoking high risk circumstances specifically for that firm.
7. If a firm intentionally gives false information to SIP that is a violation of Title 18 USC and grounds for suspension from the program as provided by 50 CFR 260.

## **Chapter 6 – Instructions for Completion Export Health Certificate – Non EU**

These instructions establish and implement a procedure which will assure national uniformity in the completion and issuance of the Export Health Certificate (NOAA Form 89-807) for computer-based certificates.

### **General**

- A. The Export Health Certificate is used for certifying products for export to countries for which bilingual certificates have not yet been developed.
- B. The Export Health Certificate will be issued for products which have been requested as “Ship Stores in Transit”. This will be for product identified as exporting to various port destinations, never leaving bond and loading onto and for consumption aboard cruise ships only.

- C. The Export Health Certificate will not be issued for products which fail to meet FDA regulations which govern the sale of products for domestic use, except that the certificate may be issued if the product meets the importing country requirements, or if official authorization is received by NMFS from the importing country which acknowledges that the product fails to meet U.S. laws and regulations, but nevertheless sanctions shipment of the product to that country. In these instances, the product must be marked "For Export Only" on the outside of each container.

## Procedures

- A. Requests for Inspection: Whether received by e-mail, telephone, fax or in writing, the information requested on NOAA Form 89-814, **Request for Inspection Services**, must be obtained from the applicant. If a written request contains the information necessary to perform the inspection, a NOAA Form 89-814 needs to be completed by SIP personnel prior to performing the inspection. The written request or NMFS-completed NOAA Form 89-814 will be filed with the file copy of the certificate as part of the permanent record.
- B. Completing the Export Health Certificate: The form will be printed from computer by completing the blocks, which are numbered in the example (see Attachment #1) to correspond with the following numbers.

**Certificates will be printed on USDC watermarked paper only.**

## CERTIFICATE REFERENCE NUMBER

Certificate reference numbers will 11 characters/numbers in length, composed in the following manner:

- I Northeast Region: First Digit – Enter N  
Southeast Region: First Digit – Enter S  
Western Region: First Digit – Enter W
- II/III Export Certificates: Use two character country ISO codes at the following link:[http://www.iso.org/iso/english\\_country\\_names\\_and\\_code\\_elements](http://www.iso.org/iso/english_country_names_and_code_elements)
- IV-VII Enter four-digit Inspector/Officer number.
- VIII-XI Enter four-digit numerical reference number starting new with each inspector/officer. (e.g., first cert 0001, next 0002, and so on.)

1. Enter the date the certificate is printed.
2. Enter the name designation and address of the issuing office.
3. Enter the name and address of the applicant or shipper of the product.
4. Enter the name of the consignee if available. If not available, enter "Documentary Consignee".
5. Enter the means by which the product will be shipped, i.e., vessel, air, rail, truck, etc., and identify the carrier by number or name, if known.
6. Enter the port of embarkation, i.e. the city/port from which the product will be shipped, if known.
7. Enter the port of debarkation, i.e. the city/port to which product is being shipped, if known.
8. Enter the USDC Stamp date/number that can be used to identify the product.
9. Enter the total number of master cases being shipped. (Primary container numbers can be placed in parentheses.)
10. Enter the total marked declared net weight of the shipment. The weight shall be expressed in the metric system of weights and measures, followed by its U.S. equivalent in parentheses, (e.g., 13,607.9 kg (30,000 lbs.))
11. Enter the identity of the product. (e.g., Shrimp Tiger 16/20, IQF)

12. Describe the product. (e.g., Raw P/D)
13. Enter the lot number(s) or production code(s) which appear(s) on the cases in the shipment.
14. Describe the container size as it appears on the case.
15. Enter the total number of cases in the lot. (Primary packages may follow in parentheses.)
16. Enter the declared net weight of the lot of product inspected in this row. The weight shall be expressed in the weights and measures declared on the label.
17. Enter the brand name of the product. If no brand name is present, enter "unlabeled".
18. The results/remarks sections are used to summarize the information which has been recorded in detail on the score sheet(s) or other worksheet(s). The remarks must contain pertinent information about the lot including, but not limited to, the "fitness of the product for export", country of origin, wild caught or farm raised, lab analysis information, inspection criteria used, sampling procedures and billing references.

**EXAMPLE:**

The above products were inspected and found to be of condition and quality fit for export. Product labels were sufficient to meet US FDA regulations that govern products for domestic use. Declared country of origin was USA. Product was not laboratory tested for bacteriological or toxin content. Product was inspected and sampled per U.S Regulations governing fishery products. Billing is on "Contract Basis".

19. The "officially sampled" stamp impression is placed in this location.
20. Enter the name and number of the CSI/CSO who performed the inspection.

**Procedures for Distribution of Certificates**

**OFFICIAL CERTIFICATES ARE TO BE PRINTED ON USDC WATERMARKED PAPER ONLY**

1. Print three originals, sign, stamp and forward to the Applicant.
2. Print and file copies according to SIP filing plan.

**ATTACHMENT #1**



U.S. DEPARTMENT OF COMMERCE  
 NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION  
 NATIONAL MARINE FISHERIES SERVICE  
 SEAFOOD INSPECTION PROGRAM



CERTIFICATE NO.: SIP Policy

DATE: **1**

## EXPORT HEALTH CERTIFICATE

*This certificate is admissible in all Courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with any Federal or State laws. WARNING: Any person who shall falsely make issue, alter, forge or certify, or participate in any action, is subject to a fine of not more than \$1,000 or imprisonment for not more than (1) year, or both [7 U.S.C. 1622(f)].*

ISSUING OFFICE: **2**

EXPORTED

BY: **3**

CONSIGNED

TO: **4**

SHIPPED VIA: **5**

PORT OF EMBARKATION

**6**

PORT OF DEBARKATION

**7**

IDENTIFYING MARKS: **8**

TOTAL CONTAINERS

**9**

TOTAL MARKED WEIGHT

**10**

PRODUCT	CLASS, TYPE STYLE:	LOT NO. & CODE	CONTAINER SIZE	NO. CONTAINERS	LOT WEIGHT		LABEL BRAND
					LBS	KG	
<b>11</b>	<b>12</b>	<b>13</b>	<b>14</b>	<b>15</b>	<b>16</b>	<b>17</b>	<b>17</b>

RESULTS: **18**

REMARKS: **18**

*I certify that in compliance with the regulations of the Secretary of Commerce governing the inspection and certification of the product designated herein pursuant to the act of August 14, 1946, as amended (7 U.S.C. 1621-1627), samples from lots indicated above have been examined in accordance with current regulations and standards and the results are shown above.*

SIGNATURE/NO. OF INSPECTOR **20**

OFFICIAL STAMP

**19**

## **Chapter 7 – Instructions for Certifying Fish and Fishery Products for China**

## **Chapter 8 – Instructions for Certifying Salmonid Products to Australia**

## **Chapter 9 – Instructions for Certifying Fish and Fishery Product to French Colonial Territories**

## **Chapter 10 – Instructions for Completing Export Health Certificate**

The Republic of Korea (ROK) requires Export Health Certificates for frozen cod heads, tuna heads, southern hake heads, visceral by-products such as edible fish roe, Pollock entrails, hard roe and the nidamental gland of squid.

Normal inspection procedures apply to these products, e.g. lot inspection, in-plant inspection or a current HACCP QMP system. All frozen fish heads must be cut so the head with pectoral and ventral fins are attached and the frozen edible parts, e.g. meat from the neck, lower jaw and cheek, are included.

The ROK also requires that U.S. exporters be on a list of approved facilities. Headquarters of the Seafood Inspection Program (SIP) has received an interim list from the US Food and Drug Administration of all seafood processors in good regulatory standing which will serve as our interim list until we are able to determine which firms actually export these products to ROK. This list will be submitted to the Korean Ministry of Food, Agriculture, Forestry and Fisheries (MIFAFF).

The following information should be placed in the remarks section of the export health certificate:

1. Description of Goods: HS Code: 0303, 0306, etc. Note: If not in the remarks section, MIFAFF wants to see the HTS code included with the product description.
2. Name, Address and Approval No. of the approved establishment. Note: please use the CFN or FEI assigned by FDA.
3. Date of dispatch. (MIFAFF clarified that the date of dispatch is the onboard date on the Bill of Lading).
4. A statement certifying that “The products are classified as HS code 03 and fit for human consumption.”

## **Chapter 11 – Prohibited Products for Certification**

### **a. Canada’s Position on Artificial Color in Cooked Shrimp**

Canada's Department of Fisheries and Oceans (DFO) recently (ca. 1996) distributed a bulletin advising interested parties of FDA's decision to allow the use of artificial colors in cooked shrimp. The bulletin further states the allowance is based on proper labeling of the cooked shrimp with the principal display panel indicating that the product is artificially colored cooked shrimp and the color agent is identified in the ingredients statement.

However, of greater importance, the bulletin identifies the Canadian position on the use of artificial color in cooked shrimp. Per the Canadian regulations, artificial colors are not permitted in cooked shrimp sold in Canada. Consequently, USDC Voluntary Seafood Inspection Program

will not inspect or certify cooked shrimp destined for Canada that contain artificial color, as defined by FDA's Announcement. The bulletin from Canada's DFO is summarized below:

The purpose of this bulletin is to inform manual holders of a recent change in the United States Food and Drug Administration (USFDA) policy concerning the use of artificial colours on cooked shrimp. Earlier this year (1996) the Office of Seafood, USFDA, decided to permit the use of an artificial colour, FD&C Red No. 40 (Allura Red in the Canadian Food and Drug Regulations), on cooked shrimp if the principal display panel indicates the product as being artificially colored cooked shrimp and the coloring agent used is declared in the list of ingredients.

In accordance with the [Canadian] Food and Drug Regulations, coloring agents are not permitted on cooked shrimp sold in Canada. Therefore, if product is imported and labeled as "artificially colored", the lot is to be rejected for non-permitted additives. Also, if imported shrimp are suspected to contain a coloring agent, specifically Allura Red, the lot should be detained, sampled and analyzed for the presence of this agent.

- b. **Bloody Catfish**  
(To be added)

## **Chapter 12 – Inspection and Certification of Processing Methods**

- a. Cryovac Vacuum Packaged Marine Fresh Fish Products (Salt Water Species Only)  
(To be added)
- b. Vacuum Packaged Hot-Processed Smoked or Hot-Processed Smoke-Flavored Salmon  
(To be added)
- c. Vacuum and Modified Atmosphere Packaged (VAC and MAP) Marine and Estuarine Bulk Raw Fishery Products Held at Only Refrigerated Temperatures (non-frozen)  
(To be added)