

IUU Catch Certification Guide
A Resource for the New Zealand Seafood Industry

New Zealand Seafood Standards Council

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1. Purpose & Background

European Union

European Union Regulations 1005/2008 and 1010/2009 came into effect on the 1st of January 2010. These regulations contain a range of measures to prevent illegal, unregulated and unreported fish from entering the EU and apply to all wild caught fish, caught from the 1st of January 2010.

It applies to all wild caught fish and fish products including rock lobster, there are some products which are exempt from these regulations, these include:

- Freshwater fishery products, including
 - Salmon
 - Eels
 - Freshwater crayfish
- Aquaculture Products, including
 - Oysters
 - Mussels
- Scallops
- Cockles/Clams
- Canned abalone

A full copy of the regulations and exemptions (which can be found in Annex XIII) can be found at: http://ec.europa.eu/fisheries/cfp/illegal_fishing/index_en.htm

Ukraine

In January 2013, the Ukraine implemented a Catch Certification system for fishery products entering the Ukraine. It is our understanding these requirements emulates those of the EU and any system acceptable to the EU is acceptable to the Ukraine.

2. Regulatory Requirements

The European Union regulation requires a 'Catch Certificate' generated by the flag state of the catching vessel (i.e. the country in which the vessel is registered) to accompany fishery product entering the EU, regardless of the exporting country. Catch Certificates are required to show details such as:

- Name and address of fishing company;
- Name and details of Fishing Vessel(s);
- Evidence of fishing permit or licence
- Catching and Landing Dates and Weights
- Other information to validate the catch

There are two procedures for generating Catch Certification for product exported from New Zealand to the EU and the Ukraine:

1. For product caught by a New Zealand flag vessel
2. For product caught by a foreign flag charter vessel

2.1 New Zealand Flag Vessels

For fish caught by a NZ flag vessel, the Ministry for Primary Industries (MPI) issues the New Zealand Catch Certificate (E-Cert Template EU300). This is the same certificate for product destined for both the European Union and the Ukraine,.

Details of this procedure to generate a New Zealand Catch Certificate can be found in Sections 3 and 4 of this Guideline.

2.2 Foreign Flag Charter Vessels

For fish caught by foreign charter vessels (of foreign flag) registered in New Zealand, a procedure for obtaining validated Catch Certificates from the vessels' flag State has been determined. This requires:

- the creation of a 'Confirmation of Catch' Certificate, raised in E-Cert by the New Zealand vessel operator; and
- the completion of a matching Catch Certificate by the representative of the vessel owner which must be validated (signed) by the flag State;

Subsequently, when the final consignment is prepared for export from New Zealand, the IUU procedure is completed by:

- the creation of a New Zealand Traceability Document, noting there are two forms of the traceability document:
 - one form is used if the product in the consignment has not been further processed after landing (E-Cert template EU304)
 - the other is used for a consignment of fish originating from one or more foreign charter vessels where the fish has been further processed in New Zealand after landing (this is a self-generated word version certificate)

For the European Union, only countries which have EU approved competent authorities are able to validate Catch Certificates. With respect to the Foreign Charter Vessels registered in New Zealand this means that Catch Certificates can be sourced from:

- Korean
- Japan
- Ukraine – but only for product caught from the 12th of March 2013

The Commonwealth of Dominica is not currently recognised by the European Union for purposes of providing Catch Certification and therefore product from this flag vessel is not eligible for the EU.

Further details of this procedure can be found in Sections 5 and 6 of this Guideline.

3. Procedures for Creating a Catch Certificate for Product from a NZ Flagged Vessel

The following outlines the details and procedures for creating a New Zealand Catch Certificate for product that is landed in New Zealand from a New Zealand flag vessel that is destined for either the European Union or the Ukraine.

Note: A New Zealand Catch Certificate can only be generated for product sourced from a NZ flagged vessel.

3.1 Catch Certificate Details

The New Zealand Catch Certificate is required for each consignment (based on 1 Catch Certificate per Health Certificate) entering the EU or the Ukraine and contains the following information:

- Name and Address of Consignor
- Name and Address of Consignee
- Description of Product, Number and Type of Packages
- Weight (of packed product)
- Vessel Names and Registrations of catching vessels that contributed product
- Permit Holder Client Numbers (of the permits that were being fished)
- IMO Number (where relevant)
- Catch Area (i.e. FAO area number - for NZ caught fish this will normally be FAO area 81 but see the FYI for more detail)
- Species
- Catch Dates (start and end catch date range)
- NZ Harmonised System Code
- Batch/Lot Numbers (if relevant)
- Container & Seal Numbers

There is a large amount of information required that is already generated for E-Cert. However new information will be required to be manually entered in order to generate the New Zealand Catch Certificate, which is E-Cert Declaration Form EU300 Catch Certificate

4. Completion of the New Zealand Catch Certificate for Product from NZ Flagged Vessel

The New Zealand Catch Certificate is to be generated in the E-Cert system. This is carried out in the same manner used for generating any other Eligibility Document or Health Certificate, but using the New Zealand Catch Certificate template in E-Cert, the EU-300.

In order to create a New Zealand Catch Certificate, catch information will be required to be entered into the system at the point the first Eligibility Document/Declaration (ED) for EU eligible product is created. The New Zealand Catch Certificate is created when a consignment is being exported to the EU (or any other country that might want to export the product to the EU) at the same time that the Health Certificate is created.

Note:

An operator may seek approval from MPI Verification Services to utilise their internal systems to record and store catch information data (as the first receiver of the fish), rather than including this on the Eligibility Document. This is subject to certain conditions and prior approval, see the OMAR for more detail.

4.1 New Zealand Catch Certification Information

The information required on Catch Certificates includes:

Name and Address of Consignor

This is name and address of company/Exporter supplying product to the EU or the Ukraine.

Name and Address of Consignee

This is name and address of company/importer.

Description of Product, Number and Type of Packages

This is the product description and number of packages included in consignment. Each product type is shown as a product item in the same way as it is in a Health Certificate.

Weight

This is the weight of the packed product.

Catch Area

This should be identified as the relevant FAO area number. For NZ caught fish the catch area will normally be FAO Area 81.

Vessel Names and Registrations of Catching Vessels that Contributed Product

This is the name and registration number of each commercial fishing vessel that contributed to each product item contained in the consignment. Please note, that it is the MPI Fisheries Management Registration number of the vessel and not the PH, RMP number or business identifier.

If there is no commercial fishing vessel involved in the catching operation (e.g. in the case of some harvests) – the following wording should be used:

“Fished without a vessel”

Fishing Vessel Names and Registration numbers can be found on the FishServe website, by looking under Services and then ‘find a vessel’. The web link is:

<http://www.fishserve.co.nz/services/findvessel/>

IMO Number (where relevant)

If the fishing vessel has an IMO number it must be included in the certificate. The IMO number is an identification number assigned by the International Maritime Organisation (primarily associated with vessels fishing in international waters). The IMO number can also be found on the FishServe Website by searching on the vessel’s registration number. The website address is:

<http://www.fishserve.co.nz/services/findvessel/>

Note – not all fishing vessels have IMO numbers, if there is no IMO number, the data field should be left blank.

Permit Holder Number

This is the Commercial Fisheries Services Ltd (FishServe) Client Number of the person to whom the fishing permit has been issued. It is NOT the Fishing Permit number itself.

Please note:

FishServe now refer to these as the Permit Holder Client Number but it may be more commonly known as the QRN or FIN.

Catch Date

This is the catch date range (from 1st date to last date) across all of the vessels contributing product to each product item.

The following ‘catch dates’ have been agreed for the different types of vessels:

- a) RMP Vessels or Limited Processing Vessels operating under the RCS – the voyage or trip date range is acceptable

b) In-shore vessels – the date of landing to the LFR is acceptable

Note – The above does not stop the use of the actual ‘catch date’ range if this is known.

You do not need to record the catch date range for each vessel included on the certificate – just the first and last date across the range of vessels contributing to a product item.

Species

This is the scientific name for each species included.

NZ Harmonised System Code

This is the relevant HSC number for the product type.

Batch/Lot Numbers (if relevant)

This refers to any Item Marks included on the ED or Health Certificate.

Container & Seal Numbers

This is the container and seal number where relevant.

Please note:

There is no expectation that you are able to identify the exact vessel or vessels that supplied product to a specific carton. But you need to be able to identify the group of vessels that supplied the group of cartons of a single product (product item) in a consignment.

There is one exception to this and that is for product being exported to Spain, see FYI F9/11 European Union: Catch Certificates, available at www.foodsafety.govt.nz for further information.

4.2 Electronic Certification Process for Generating New Zealand Catch Certificates

1. Create an ED for EU eligible product. For each Product Item included in the ED, enter the required catch information into the Comments Box using the convention described in Section 4.3.
2. At the point of preparing for export to the EU, the final premise creates an ED to the Exporter (as usual) and also includes the source ED catch information for each product item.
3. The Exporter then creates a Health Certificate.
4. The Exporter then creates the Catch Certificate.

This can be done by using an ED as a source document and clicking 'use for export', by creating a new certificate and referencing the source ED's and required product items, or by creating a new certificate from scratch if there are no source EDs. The Catch Certificate is 'Declaration Form' EU-300 Catch Certificate.

Ensure the Catch Certificate is allocated the next sequential number (in your numbering system) following the number of the Health Certificate, to allow linking of the two documents (e.g. if your health certificate is NZL2009/EXPORTERID/12345, the Catch Certificate will be NZL2009/EXPORTERID/12346).

Note:

In situations where the Health Certificate is the first document being raised in the E-Cert system (such as the case where the fish is processed and exported from the consigning premises), simply create the Health Certificate and then create the New Zealand Catch Certificate, by creating a new certificate from the template (ensuring the catch information is included in your internal records).

4.3 Recording New Zealand Catch Certification Information in E-Cert

Information Required	Comments
Name and Address of Consignor	This is populated automatically from the source ED or if no source ED is manually entered
Name and Address of Consignee	This is populated automatically from the source ED or if no source ED is manually entered
Description of Product, Number and Type of Packages	This is populated automatically from the source ED or if no source ED is manually entered
Weight (of packed product)	This is populated automatically from the source ED or if no source ED is manually entered
Catch Area (i.e. FAO area number)	This information is to be manually entered into the data field from the comments box. The comments box is populated from the source ED and the information needs to be transferred (by cutting and pasting) into the appropriate data field on the certificate.
Vessel Names and Registration Numbers of catching vessels that contributed product	This information needs to be manually entered into the data field from the comments box. The comments box is populated from the source ED and the information needs to be transferred (by cutting and pasting) into the appropriate data field on the certificate.
IMO Number (where relevant)	This is only required for vessels that have an IMO number. If there is no IMO number, the data field should be left blank; this will show as 'Not Applicable' on the final catch certificate. This information is to be manually entered into the data field from the comments box. The comments box is populated from the source ED and the information needs to be transferred (by cutting and pasting) into the appropriate data field on the certificate.
Permit Holder Number (of the permits that were being fished)	The Certificate refers to this as the 'permit holder signature/number – please note that only the permit holder client number is required (not the permit holders signature). This information needs to be manually entered into the data field from the comments box. The comments box is populated from the source ED and the information needs to be transferred (by cutting and pasting) into the appropriate data field on the certificate.
Catch Dates	This is the catch date range of the vessels that contributed to the specific product item – i.e. the first catch date and the last catch date. You do not need to specify each vessel catch date range on the certificate. Catch Dates should be in the following format: DD-Month-Year to DD-Month-Year; e.g. - 15-Jan-2010 to 20-Jan-2010 This information is to be manually entered into the data field from the comments box.
Species	This is populated automatically from the source ED or if no source ED is manually entered
NZ Harmonised System Code	This is populated automatically from the source ED or if no source ED is manually entered
Batch/Lot Numbers (if relevant)	This is populated automatically from the source ED from the Item Marks field or if no source ED is manually entered if necessary. This field may be left blank – in which case the certificate will show 'Not Applicable'
Container & Seal Numbers	This is populated automatically from the source ED or if no source ED is manually entered

Format of New Zealand Catch Certification Information in E-Cert

It is important to enter the catch information into the comments box in the ED using the following convention (including the commas):

Catch Area (e.g. FAO 81)

Vessels: Vessel Name Vessel Registration, Vessel Name Vessel Registration

IMO: IMO Number, IMO Number, (only if required)

Permit Holder: Permit Holder Client Number, Permit Holder Client Number

Catch Date: first day-month-year to last day-month-year (i.e. this is the first and last catch date across all vessels contributing to the product item; see Section 4.1 for further information)

A simple example would look like this:

From your internal records you have the following catch information for product that is eligible for the EU and is being transferred on an ED from your premises into an external Store. It is all caught from Area FAO 81.

Product – 500 x 10kg Cartons of Hoki Fillets

- Vessel Southern Progress 90043, IMO Number 8838403, Permit Holder 9791672, Catch Date 01-Jan-2010 to 10-Jan-2010

The catch information for this product would be entered into the comments Box in the ED like this:
Comments

FAO 81 Vessels: Southern Progress 90043 IMO: 8838403 Permit Holder: 9791672 Catch Date: 01-Jan-2010 to 10-Jan-2010
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A more complex example would look like this:

From your internal records you have the following catch information for product that is eligible for the EU and is being transferred on an ED from your premises into an external Store. It is all caught by New Zealand vessels, from Area FAO 81.

Product – 1000 x 10kg Cartons of Hoki Fillets

- Vessel: Rehua 63301, IMO Number 9147784, Permit Holder 8462165, Voyage Date 01-Jan-2010 to 30-Jan-2010
- Vessel: Tangaroa 63996, IMO Number 9011571, Permit Holder 9790348, Voyage Date 20-Jan-2010 to 22-Jan-2010
- Vessel: Rehua 63301, IMO Number 9147784, Permit Holder 8462165,, Voyage Date 15-Feb-2010 to 14-Mar-2010

Product – 500 x 10 kg Cartons Frozen Tarakihi Fillets

- Vessel Poseidon 62947, Permit Holder 8470716, Catch Date 03-Jan-2010 to 04-Jan-2010
- Vessel Poseidon 62947, Permit Holder 8470716, Catch Date 10-Feb-2010 to 11-Feb-2010
- Vessel Ariel 8252, Permit Holder 8481840, Catch Date 21-Feb-2010 to 26-Feb-2010

- Vessel Southern Progress 90043, IMO Number 8838403, Permit Holder 9791672, Catch Date 28-Feb-2010 to 05-Mar-2010
- Vessel Invader 8182, Permit Holder 8470772, Catch Date 05-Mar-2010 – 06-Mar-2010

The catch information for this product would be entered into the comments Box in the ED like this:

Product Item 1 (1000 x 10kg Cartons of Hoki Fillets)

Comments

FAO 81

Vessels: Rehua 63301, Tangaroa 63996, Rehua 63301IMO:9147784, 9147784, 9147784

Permit Holder: 8462165, 9790348, 8462165 Catch Date: 01-Jan-2010 to 14-Mar-2010

Product Item 2 (500 x 10 kg Cartons Frozen Tarakihi Fillets)

Comments

FAO 81

Vessels: Poseidon 62947, Ariel 8252, Southern Progress 90043, Invader 8182

IMO: 8838403

Permit Holder: 8470716, 8481840, 9791672, 8470772

Catch Date: 03-Jan-2010 to 06-Mar-2010

Notes:

- The vessel name and registration number and the Permit Holder Client Number must be ordered the same so that the fishing vessel and the corresponding Permit Holder can be linked (i.e. 1st vessel in the list corresponds with the 1st permit holder client number in the list, so you can identify which vessel was fishing from which permit holder).
- Not all vessels have IMO numbers. In this example, for Product Item 1 both the Rehua and the Tangaroa have IMO Numbers but for Product Item 2 only the Southern Progress has an IMO number. You must include the IMO number for all vessels that have them.
- Where the same vessels are used and are using the fishing permit of the same permit holder, the information, as is the case for the Poseidon in Product Item 2, the information is only recorded once but in the case of the Rehua for Product Item 1, it has fished from 2 different permits (and permit holder client numbers) so it is included for both occasions.
- Fishing Vessel names, registration numbers and IMO numbers can be found on the FishServe Website using the search function. On the FishServe homepage, click on 'Services' and then click on 'Find a Vessel' the FishServe web address is:
<http://www.fishserve.co.nz/>

Note the 'Operator Client Number' in the FishServe search screen is the vessel operator client number and is not necessarily the Permit Holder Client Number. The Permit Holder Client Number is the person whose permit the vessel is fishing. Please also note that the information on FishServe is current at the time it is viewed and it may differ to the information in effect at the time of the catch.

This specified format for entering data into the comments box ensures that eligibility requirements can be verified. This format also ensures that the cutting and pasting required from the comments box into the data field on the Catch Certificate is a simple task (and ensures there is less room for errors).

However, if there is duplication of Vessels and Permit Holder Client Numbers (i.e. the same permit holder was fished from several vessels or the same vessel contributed across a number of trips) for any one product item, then the information only needs to be transferred to the Catch Certificate Template once per product item.

Once you have completed the Catch Certificate Template, make sure you have deleted the data from the comments box. You will also need to delete it from the comments box on the health certificate too.

4.4 Creation of New Zealand Catch Certification Retrospectively

Catch information is required by EU and Ukraine law and therefore is a requirement for confirming country eligibility. It is the intention that catch information be included on the ED at the first point it is raised (for EU and Ukraine eligible product). However, there may be occasions where this has not happened but a Catch Certificate is required. In this instance the Catch Certificate can be created retrospectively.

Catch information can be added at the time a Health Certificate is generated or if a Catch Certificate is requested retrospectively. In order to generate the Catch Certificate, all associated EDs (for the source product), are to be amended to include the catch information and re-submitted for re-approval. The Catch Certificate can then be generated in the E-Cert System.

New Zealand Catch Certificate Example

The following is a simple example of the process for creating a New Zealand Catch Certificate. In reality, you may have a number of EDs contributing to a final consignment and the catch information needs to be captured on each ED and consolidated on the New Zealand Catch Certificate.

PH910 received Whole Red Cod from PH 900 (on ED NZL2009/PH900/123T) and Red Cod Fillets from PH920 (on ED NZL2009/PH920/456T).

NZL2009/PH900/123T
From PH909 to PH910

NZL2009/PH920/456T
From PH920 to PH910

50 Bins Whole Red Cod

700 Cartons Frozen Red Cod Fillets

Comments Box FAO 81 Vessel: Poseidon 62947, Ariel 8252, Invader 8182 IMO: N/A Permit Holder: 8470716, 9791672, 9790949 Catch Date: 01-Jan-2010 to 09-Jan-2010
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Comments Box FAO 81 Vessel: Tangaroa 63996, The Full Ponty 900400 IMO: 9147784 Permit Holder: 8422725, 9790348 Catch Date: 10-Jan-2010 to 22-Feb-2010
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This product is processed at PH910 into fillet form and placed into store at PH910

This product is placed into store at PH910



1000 cartons of product from the 2 source EDs are then loaded into a container for export to EU.

An ED is generated from PH910 to Exporter ELN6000 – the combined catch information in the ED comments box looks like this:

Comments Box FAO 81 Vessel: Tangaroa 63996, The Full Ponty 900400, Poseidon 62947, Ariel 8252, Invader 8182 IMO: 9147784 Permit Holder: 9790348, 9790949, 8470716, 9791672, 9790949 Catch Date: 01-Jan-2010 to 22-Feb-2010
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This ED is then used as the source to create the NZ Catch Certificate. The data in the comments box is moved into the appropriate data entry field in the Catch Certificate template. Any duplication is removed at this point.

5. Procedures for Creating a Catch Certificate for Product from a Foreign Flagged Charter Vessel

The following outlines the details and procedures for creating a Catch Certificate for product landed in New Zealand from foreign flagged charter vessels. A New Zealand Catch Certificate must not be issued for product sourced from foreign flagged charter vessels.

For the European Union, only countries which have EU approved competent authorities are able to validate Catch Certificates. With respect to the Foreign Charter Vessels registered in New Zealand this means that Catch Certificates can be sourced from:

- Korean
- Japan
- Ukraine – but only for product caught from the 12th of March 2013

The Commonwealth of Dominica is not currently recognised by the European Union for purposes of providing Catch Certification and therefore product from this flag vessel is not eligible for the EU.

It is our understanding that the Ukraine does not apply the same requirement with regards to approving the competent authority and are accepting Catch Certificates from all States.

Note the following Terms refer to:

Vessel Operator – refers to the New Zealand Company that has chartered the vessel

Vessel Representative – refers to a representative of the foreign owner of the vessel

5.1 Procedure

On landing of product from a foreign flag charter vessel, the following must occur:

1. The New Zealand vessel operator should consider if they wish to split the landing into lots for the purposes of Catch Certification,, i.e. if the NZ vessel operator thinks that they will require an individual Catch Certificate for different parts (lots) of the catch, rather than one Catch Certificate to cover the entire landing then this needs to be identified at this point. The splitting of landings into lots or not is entirely at the discretion of the vessel operator.
2. The NZ vessel operator then raises the relevant 'Confirmation of Catch' Certificate/s in E-Cert. This is done by creating a 'New Export Certificate' and selecting the appropriate country (the foreign flag country) and template in the E-Cert system. The Confirmation of Catch Certificate templates are as follows:
 - The Commonwealth of Dominica: DM301
 - Japan: JP301
 - Korea: KR301
 - Ukraine: UA301

Confirmation of Catch Certificates must match the foreign flag Catch Certificates so if a landing has been split into lots then you need to raise an individual Confirmation of Catch Certificate for each lot

that has been split. If the landing is not split then only one Confirmation of Catch Certificate is raised to match the landing.

The Confirmation of Catch Certificate submission screen looks like this (see over):

Export Certificate Submission Form

*Fields and Declarations on blue background are mandatory, e.g. Field or Declaration Text
Declarations on rose background are optional, e.g. Declaration Text*

Export Certificate

Certificate Number:

Vessel Operator:

Vessel Operator Address:

Flag State Port: ?
--- Select city or enter 5-letter code ---

Port of Landing: ?
--- Select city or enter 5-letter code ---

Date of Landing:

3rd Party Permissions:

Unofficial Commercial Information:

Official Information:

Declarations

Please select declarations and add user data where appropriate.

KR301.2 - Korea: Vessel Confirmation of Catch

- KR301.2/1N a. This fish from which this consignment was derived were caught by in the New Zealand Exclusive Economic Zone by foreign flagged vessels which are registered and operating under the authority and jurisdiction of the New Zealand Ministry of Agriculture and Forestry. The fish was caught in accordance with New Zealand's fisheries management laws as contained in the Fisheries Act 1996.
- KR301.2/2N b. The catch was not subject to transhipment.

Product Item 1 Fill Delete

Item Description: ?

NZ Harmonised System Code:

Catch areas:

Vessel names / Registration:

IMO numbers:

Catch dates:

Permit holder signatures/numbers:

Species:
--- Select Species or type in manually ---

Net Weight: Unit:

Process 1 Fill Fill All

Process Type:

Process Start Date:

Process End Date:

Override:

Applied By:

Outermost Packaging

No of Packages:

Package Type:

Item Marks:

Product Sources and Remarks

Comments:

Notes for Completing the Confirmation of Catch Certificate:

Certificate Number – this will need to be a unique number, created by the vessel operator.

Vessel Operator – for E-Cert purposes, the vessel operator will need to be a registered exporter.

Flag State – select the appropriate city/country using the 5-letter code, the selection of city will depend on where the Catch Certificate is going to be validated in the flag state, although it is not critical if the wrong city is selected as the flag state authority will be able to view all Confirmation of Catch Certificates for their particular country. This is shown as the ‘flag state port’ when viewing the Certificate.

Port of Landing – this is the NZ port where the product was landed and is shown as the ‘discharge port’ when viewing the Certificate.

Landing Date – this is the date that the vessel landed in the NZ port and is shown as the date of departure when viewing the Certificate.

It is important that you generate ‘Confirmation of Catch’ Certificates by creating a ‘New Export Certificate’ and not by using an ED as a source document to create them (except in the situation described in the next paragraph). If you use an ED as a source document, you will effectively ‘export’ the product and it will show on the exhaustion report. Subsequent use of the ED for transfers between premises or for a health certificate will result in the ED inventory showing more product being exported than was received and may result in a finding of non-compliance during audit.

If the operator has access in E-cert to both the consignee premises on the ED from the vessel and the exporter ID used to raise the Confirmation of Catch Certificate, they may click ‘Use for Export’ on the vessel to premises ED to generate the Confirmation of Catch Certificate.. Fish for which a catch certificate is not required, e.g. fish used on the domestic market, should be excluded from this procedure. Verification Services will not exhaust the source ED when approving the Confirmation of Catch Certificate.

As previously described an individual Confirmation of Catch Certificate must be raised to match each Catch Certificate for which a validation request will be made. This is very important as Confirmation of Catch Certificates will be viewed in the Electronic Certification system (after MPI VS approval) by the respective flag states in order to confirm the details and support their validation of the Catch Certificate(s).

Once the Confirmation of Catch Certificate/s have been raised, the NZ vessel operator must advise the vessel owner or representative of the Confirmation of Catch Certificate shoulder number/s and lot details to ensure that the applications for validation of the corresponding Catch Certificate can be completed by the flag state.

Note:

A paper copy of Confirmation of Catch Certificate will not be available for printing.

3. The vessel owner or representative must complete the relevant Catch Certificate document (this will be as per the flag state template and requirements) and apply to the flag State authority to validate the Catch Certificate. as per above they need to ensure that the shoulder number of the associated Confirmation for Catch Certificate is included so they can be matched when received by the flag state.

4. Once the Catch Certificate is validated by the flag state, the original will need to be returned to the NZ vessel operator by the vessel representative.
5. On receiving the validated Catch Certificate, the NZ vessel operator will need to send a scanned copy, along with the shoulder number of the corresponding Confirmation of Catch Certificate to the local Verification Services so that they can confirm the two certificates match and so they have a copy on their internal filing system.
6. Either the original Catch Certificate or a copy is to be provided to the receiver of the designated lot.
7. When the final consignment is prepared for export by the New Zealand exporter, which may be made up of one single lot from one single Catch Certificate or several lots and/or vessels with multiple Catch Certificates, the appropriate New Zealand Traceability Document is prepared.

There are two types of New Zealand Traceability Documents;

- i. For product that has been stored unaltered in New Zealand (since the time it was landed by the foreign flag vessel) – the exporter must raise an EU 304 certificate, available in E-Cert.

For product that has been further processed in a land-based premises (after landing from the foreign flag vessel), the exporter must create a representative version of the template provided in Appendix 1 of this Guide.

8. Once the appropriate New Zealand Traceability Document has either been raised in E-Cert or the paper certificate created by the exporter – it will need to be approved by MPI Verification Services. The exporter will need to ensure that the relevant copies of the validated Catch Certificate are attached to the NZ Traceability Document or alternatively they may be printed by the Verification Services from their internal files when signing the final Health Certificate.

The NZ Traceability Document and the relevant copies of the validated Catch Certificate/s will need to be submitted as part of the export documentation set that is provided to the customer.

9. When the final authorising Eligibility Document is prepared, the foreign flag Catch Certificate number/s are to be identified in the comments box for each product item.

Notes:

While this procedure is described from the point of landing of a foreign flag charter vessel, the timeframe to begin this process is not critical.

5.2 Retrospective Catch Certificates for Product from a Foreign Flagged Charter Vessel

Retrospective Catch Certificates are to be generated in the same manner as previously described. Exporters will need to work with the vessel operators to ensure the appropriate Confirmation of Catch Certificate is generated (and to arrange for the vessel representative to generate the appropriate Catch Certificate).

Neither the Ukraine nor Dominica have competent authorities that are recognised by the EU for Catch Certificate purposes and therefore Catch Certification will be unavailable for product sources from foreign charter vessels of these flags.

Creating Retrospective Catch Certificates

'Confirmation of Catch' Certificates are not consignment based documents, they are landing based documents. You can't include more than one landing on a Confirmation of Catch Certificate however you may have more than one Confirmation of Catch Certificate for each landing.

When seeking retrospective Catch Certification for product from foreign flag charter vessels, the vessel operator should consider how the product is likely to be used in terms of exports to the EU. Consider the following scenarios:

Scenario 1 - Create One Retrospective Catch Certificate for the Landing

If it is decided that one Catch Certificate will be sufficient for all future exports of product in store and to cover any product that may remain in the supply chain (from one landing), then you will only need to create one Confirmation of Catch Certificate to cover the entire landing. However, in order to meet traceability requirements, the Confirmation of Catch Certificate should only reflect the product that remains in the supply chain that may have the EU as its final destination, i.e. any of the following product that was included in original landing should not be included:

- Any product that has been returned to the vessel owner
- Any product that has been sold on the domestic market for consumption in New Zealand
- Any product that was not EU eligible

Once the Confirmation of Catch Certificate is created in E-Cert, the vessel owner representative will need to create a matching Catch Certificate for validation in the flag state – as per the procedures described in Section 5.1 of this Guide.

Under this scenario, each time a consignment is prepared that includes product from this landing, a copy of the validated Catch Certificate is included as part the document set.

Scenario 2 - Create Multi Retrospective Catch Certificate for the Landing

If the vessel operator does not want to create one Catch Certificate for all remaining product from a particular landing, but decides to split the product remaining from the landing into several 'lots', for example it could be by species or commercial contracts, then the vessel operator needs to:

- decide how the product remaining from a particular landing is to be split into lots
- create a Confirmation of Catch Certificate for each lot
- provide this detail to the vessel owner representative so they can create matching Catch Certificates for each Confirmation of Catch Certificate

The vessel owner representative will then need to seek validation of each Catch Certificates in the flag state.

Again the Catch Certificates should only represent the product remaining in store or in the supply chain and any of the following products that may have been included in the original landing should be removed:

- Any product that was returned to the vessel owner
- Any product that has been sold on the domestic market for consumption in New Zealand
- Any product that was not EU eligible

Under this scenario, each time a consignment is prepared, a copy of the relevant validated Catch Certificate/s is included as part the document set.

Note:

It is suggested that vessel operators consider their response sooner rather than later and decide how they want to manage Catch Certification for product in store or in the supply chain. That way appropriate Catch Certificates can be generated to cover this product and will be available for use when consignments are prepared for export or if a Foreign Flag Catch Certificate is requested by an EU member state.

6. Export Documentation Sets

Consignments may contain one or any mix of the following:

- Product originating from a New Zealand flag vessel
- Unaltered product from a foreign flag charter vessel
- Product that has been further processed on land, originating from a foreign flag charter vessel

Once prepared for final consignment, the documentation set required for each type is as follows:

Consignments containing New Zealand Flag Vessel sourced product only, require:

- New Zealand Catch Certificate
- New Zealand Health Certificate

Consignments containing unaltered product from a foreign flag charter vessel, require

- Copies of associated flag state Catch Certificate for each landed 'lot' contributing to the consignment
- Consignment based New Zealand Traceability Document, Certificate EU 304
- New Zealand Health Certificate

Consignments containing product that has been further processed on land, originating from a foreign flag charter vessel, require

- Copies of associated flag state Catch Certificates for each landed 'lot' contributing to the consignment
- Consignment based New Zealand Traceability Document, Article 14(2) Statement
- New Zealand Health Certificate

For consignments that contain 'mixed' product, the relevant Catch Certificate (to cover all product included in the consignment) and Traceability Document must be generated using the appropriate procedure as described in this document.

If a consignment contains a mix of both unaltered foreign flag charter vessel product and foreign flag charter vessel product that has been further processed on land then both types of New Zealand Traceability Documents will be required for the associated product.

7.0 Template List

The following is a list of the relevant templates and documents associated with Catch Certification:

Document/Template Reference	Document/Template Name
EU300	New Zealand Catch Certificate
DM301	The Commonwealth of Dominica: Confirmation of Catch Certificate
JP301	Japan: Confirmation of Catch Certificate
KR301	Korea: Confirmation of Catch Certificate
UA301	Ukraine: Confirmation of Catch Certificate
EU304 (previously EU301)	New Zealand Traceability Document (for storage only of foreign flag product)
Exporter Self-Created Document	New Zealand Traceability Document (for further processed foreign flag product)

Appendix 1 – New Zealand Traceability Document

Statement under Article 14(2) of Council Regulation (EC) No 1005/2008 of 29 September establishing a Community system to prevent, deter and eliminate illegal, unreported and unregulated fishing

I confirm that the processed fishery products: *[enter product description and HS code]* have been obtained from catches imported under the following catch certificate(s):

Catch certificate number	Vessel name(s) and flag(s)	Validation date(s)	Catch description	Total landed weight (kg)	Catch processed (kg)	Processed fishery product (kg)

Name and address of the processing plant:

.....

Name and address of the exporter (if different from the processing plant):

.....

Approval number of the processing plant:

.....

Health certificate number and date:

.....

Responsible person of the processing plant:	Signature:	Date:	Place:
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Endorsement by the competent authority:

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Official:	Signature and seal:	Date:	Place:
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