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RECOMMENDED KEY DATA ELEMENTS FOR CATCH DOCUMENTATION AND TRACEABILITY

USAID Oceans and Fisheries Partnership (USAID Oceans)

USAID Oceans has worked closely with national fisheries agencies in the Asia-Pacific region, as well as fisheries experts, standards organizations, industry partners, and members of the development community, among others, to develop recommended key data elements (KDEs) required for comprehensive end-to-end traceability that are effective in combatting illegal, unreported and regulated fishing practices as well as human rights and labor abuses.

This guide details the “minimum” recommended KDEs to be captured within each link of the seafood supply chain under the scope of the USAID Oceans-supported Catch Documentation and Traceability Systems, as well a summary overview of those required by predominant import markets and international organizations. This guide may be updated to reflect lessons learned over the course of the USAID Oceans program and its learning site demonstrations, and/or as regional and international requirements and recommendations evolve.

For more detailed information, including full terms and definitions, please refer to USAID Oceans’ **Data Requirements for Catch Documentation and Traceability in Southeast Asia** at seafdec-oceanspartnership.org/KDEManual.

Producer KDEs (Point-of-Catch)

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Who	Event owner	Company or organization name				X	X
	Owner name	Company/fishing vessel owner name	X			X	X
Human Welfare	Owner sex	Sex					X
Who	Owner ID	Fishing license #; personal ID card	X	X	X	X	X
	Owner ID expiry date	License expiration date					
	Owner address	Company address		X		X	X
	Owner phone	Company phone			X		X
	Trading partner	Consignee					X
Human Welfare	Trading partner sex	Sex					X
Who	Vessel name	Name of fishing vessel	X	X	X	X	X
	Vessel size	Vessel type/tonnage (MT)	X			X	
	Vessel flag	Flag state of fishing vessel	X	X	X	X	X

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Who	Vessel ID	Unique vessel id/registry #; VMS Unit #; IMO/Lloyd's #; Inmarsat #	X	X	X	X	X
What	Event type	Catch or farmed		X			X
	Event number	Trip #; catch ID		X			
	Item type	Species caught (common market name; catch description)		X	X	X	X
	Item code	Scientific name (species)	X	X	X	X	X
	Item number	ASFIS # or product code		X		X	
	Bycatch	Bycatch (Y/N)			X		X
	Batch or lot number	Batch or lot number					X
	Quantity	Volume of catch (quantity)	X	X	X	X	X
	Weight: item	Verified weight of catch/ species (kg)				X	X
	Weight: batch/lot	Total weight (kg) of batch/lot					X
	Product Form at Landing	Product Form at landing		X			
When	Event date	Catch date; batch/lot creation date	X		X	X	X
	Event time	Time of catch	X				X
	First freeze date	Vessel first freeze date					X
	Date of departure	Date of departure				X	X
	Time of departure	Time of departure					X
	Date of return	Date of return/landing (at port)	X	X		X	X
	Time of return	Time of return/landing (at port)	X				X
Where	Origin	Vessel's port of departure					X
	Event location	Location of catch	X	X	X	X	X
	Product destination	Port name (where landed)	X	X		X	X
	Vessel home port	Vessel home port	X				X
How	Event method	Gear type (method used)	X	X		X	X
	FAD use	FAD use			X		X
	FAD location	FAD location			X		X
Link	Activity type	Lead document type					X
	Activity ID	Lead document ID					X
Human Welfare	Captain name	Name of captain	X		X	X	X
	Captain sex	Sex					X
	Captain ID	Personal identification	X		X	X	X
	Captain nationality	Nationality	X			X	X
	Contract ID	Document ID					X
	Crew/Worker name	Name of crew/fisher(s)				X	X
	Crew/Worker sex	Sex					X

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Human Welfare	Crew/Worker ID	Personal identification				X	X
	Crew/Worker nationality	Nationality of crew/fisher(s)				X	X
	Crew/Worker DOB	Date of birth of crew/fisher(s)				X	X
	Crew/Worker job/ title	Job/position				X	X

Receiver KDEs: At-Sea (Transshipment) - For capture by fish buyers and fishery product receivers at-sea (transshipment)

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Who	Event owner	Company or organization name				X	X
	Owner name	Company/transshipment vessel owner name	X			X	X
Human Welfare	Owner sex	Sex					X
Who	Owner ID	Fishing license #; personal ID card		X		X	X
	Owner ID expiry date	License expiration date					X
	Owner address	Company address				X	X
	Owner phone	Company phone					X
	Trading partner	Consignee					X
Human Welfare	Trading partner sex	Sex					X
Who	Vessel name	Name of transshipment vessel	X	X	X	X	X
	Vessel size	Vessel type/tonnage (MT)	X			X	
	Vessel flag	Flag state of transshipment vessel	X			X	X
	Vessel ID	Unique transshipment vessel id #; IMO/Lloyd's #; Inmarsat #	X	X	X	X	X
What	Event type	Transshipment					X
	Event number	Transshipment ID/#					
	Item type	Species transshipped (common market name or catch description)		X		X	X
	Item code	Scientific name (species)	X	X		X	X
	Item number	ASFIS # or product code		X		X	
	Bycatch	Bycatch (Y/N)			X		X
	Batch or lot number	Batch or lot number	X	X			X
Quantity	Volume of catch (quantity)	X		X	X	X	

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
What	Weight: item	Verified weight of catch/species (kg)				X	X
	Weight: batch/lot	Total weight (kg) of batch/lot		X			X
	Fork length	Length of transshipped fish					X
	Unit of measure (length)	Unit of length					X
When	Event date	Catch date; batch/lot creation date		X		X	X
	Event time	Time of catch					X
	First freeze date	First freeze date					X
	Date of departure	Date of departure				X	X
	Time of departure	Time of departure					X
	Date of return	Date of return/landing (at port)				X	X
	Time of return	Time of return/landing (at port)					X
Where	Origin	Vessel's port of departure					X
	Event location	Transshipment location	X	X	X	X	X
	Product source	Feeder vessel name				X	X
	Product destination	Port destination		X		X	X
	Vessel home port	Vessel home port	X				X
How	Event method	Transshipment method	X	X	X	X	X
	FAD use	FAD use			X		X
	FAD location	FAD location			X		X
Link	Activity type	Lead document type					X
	Activity ID	Lead document ID					X
	Invoice	Transshipment note					X
	Certificate ID	Transshipment certificate ID					X
Human Welfare	Captain name	Name of captain	X		X		X
	Captain sex	Sex					X
	Captain ID	Personal identification	X		X	X	X
	Captain nationality	Nationality	X			X	X
	Contract ID	Document ID					X
	Crew/Worker name	Name of crew/fisher(s)				X	X
	Crew/Worker sex	Sex					X
	Crew/Worker ID	Personal identification				X	X
	Crew/Worker nationality	Nationality of crew/fisher(s)				X	X
	Crew/Worker DOB	Date of birth of crew/fisher(s)				X	X
Crew/Worker job/title	Job/position				X	X	

Buyer/Receiver KDEs: At-Port - For capture by fish buyers and fishery product receivers/suppliers at-port

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Who	Event owner	Company or organization			X	X	X
	Owner name	Company owner/buyer name	X		X		X
Human Welfare	Owner sex	Sex					X
Who	Owner ID	Buyer business license/registration #; personal ID card				X	X
	Owner ID expiry date	License/registration expiration date					X
	Owner address	Company address			X		X
	Owner phone	Company phone					X
	Trading partner	Consignee					X
Human Welfare	Trading partner sex	Sex					X
Who	Vessel name	Name of vessel providing catch	X		X	X	X
	Vessel flag	Flag state of vessel providing catch	X		X	X	X
	Vessel ID	Unique vessel id #; IMO/Inmarsat #	X		X	X	X
What	Event type	Purchase	X				X
	Event number	Purchase ID/#					
	Item type	Description of purchased catch; including common market name	X			X	X
	Item code	Scientific name (species)			X	X	X
	Bycatch	Bycatch (Y/N)			X		X
	Batch or lot number	Batch or lot number	X				X
	Quantity	Volume of catch (quantity)	X		X	X	X
	Weight: item	Verified weight of catch (kg)	X		X	X	X
	Weight: batch/lot	Total weight (kg) of batch/lot					X
When	Event date	Purchase date; batch/lot creation	X			X	X
	Event time	Time of purchase	X				X
	First freeze date	First freeze date					X
Where	Origin	Point of catch source					X
	Event location	Point of sales location	X			X	X
	Product destination	Consignee				X	X
	Vessel home port	Home port of vessel providing catch	X				X
How	Event method	Receiving/offloading equipment used			X	X	X
	FAD use	FAD use			X		X
Link	Activity type	Lead document type					X

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Link	Activity ID	Lead document ID					X
	Invoice	Sales invoice					X
	Packing slip	Packing slip and #					X
	Certificate ID	Catch certificate and/or landing declaration number(s)					X
Human Welfare	Captain name	Captain name receiving catch from				X	X
	Captain sex	Sex					X
	Captain ID	Personal identification of captain				X	X
	Captain nationality	Nationality of captain				X	X
	Contract ID	Document ID					X
	Crew/Worker name	Name of crew/fisher(s) receiving catch from					X
	Crew/Worker sex	Sex					X
	Crew/Worker ID	Personal identification of crew					X
	Crew/Worker nationality	Nationality of crew/fisher(s)					X
	Crew/Worker DOB	Date of birth of crew/fisher(s)					X
Crew/Worker job/title	Job/position of crew					X	

Processor KDEs - For capture by fishery product processors

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Who	Event owner	Company or organization	X	X		X	X
	Owner name	Company owner/processor name				X	X
Human Welfare	Owner sex	Sex					X
Who	Owner ID	Processor business license or registration #; personal ID card		X		X	X
	Owner ID expiry date	License/registration expiration date					X
	Owner address	Company/processing plant address		X		X	X
	Owner phone	Company phone		X			X
	Trading partner	Consignee					X

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Human Welfare	Trading partner sex	Sex					X
What	Event type	Processing					X
	Event number	Processing ID/#					
	Item type	Description of seafood processed	X	X		X	X
	Item code	Scientific name (species)		X		X	X
	Packaging type	Packaging type/code		X			X
	Packaging materials	Packaging materials description					X
	Batch or lot number	Batch or lot number	X	X		X	X
	Quantity	Quantity of processed product	X	X		X	X
	Weight: item	Total weight of processed item (kg)	X	X		X	X
Weight: batch/lot	Total weight of processed batch/lot	X	X		X	X	
When	Event date	Validation date of processing; processed batch/lot creation date	X	X		X	X
	Event time	Time of processing				X	X
	First freeze date	First freeze date					X
Where	Origin	Product origin		X			X
	Event location	Processing location/facility				X	X
	Product source	Company				X	X
	Product destination	Consignee				X	X
How	Event method	Description of processing method				X	X
Link	Activity type	Source document (Purchase Order/Work Order/Bill of Lading/Air Waybill)					X
	Activity ID	Source document ID					X
	Invoice	Sales invoice					X
	Packing slip	Packing slip and #					X
	Certificate ID	Health and/or catch certificate					X
Human Welfare	Crew/Worker name	Name of processing laborers					X
	Crew/Worker sex	Sex					X
	Crew/Worker ID	Personal identification of laborers					X
	Crew/Worker nationality	Nationality of laborers					X
	Crew/Worker DOB	Date of birth of laborers					X
	Crew/Worker job/title	Job/position of laborers					X

Broker/Wholesaler (Sellers) KDEs - *For capture by fishery product brokers/wholesalers (sellers)*

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Who	Event owner	Company or organization				X	X
	Owner name	Company owner/broker name					X
Human Welfare	Owner sex	Sex					X
Who	Owner ID	Seller business license or registration #; personal ID card					X
	Owner ID expiry date	License/registration expiration date					X
	Owner address	Company/broker address					X
	Owner phone	Company phone					X
	Trading partner	Consignee					X
Human Welfare	Trading partner sex	Sex					X
What	Event type	Broker/Wholesale					X
	Event number	Processing ID/#					
	Item type	Description of seafood sold				X	X
	Item code	Product code					X
	Packaging type	Packaging type/code					X
	Packaging materials	Packaging materials description					X
	Batch or lot number	Batch or lot number					X
	Quantity	Quantity of product sold				X	X
	Weight: item	Total weight of item sold (kg)				X	X
	Weight: batch/lot	Total weight of batch/lot sold (kg)				X	X
When	Event date	Date of sale; batch/lot sales date				X	X
	Event time	Time of sale					X
	First freeze date	First freeze date					X
Where	Origin	Product origin					X
	Event location	Packaging location					X
	Product source	Product source					X
	Product destination	Consignee					X
How	Event method	Description of packing method					X
Link	Activity type	Source document (Purchase Order/Work Order/Bill of Lading/Air Waybill)					X
	Activity ID	Source document ID					X
	Invoice	Sales invoice					X
	Packing slip	Packing slip and #					X
	Certificate ID	Health and/or catch certificate					X

Transporter KDEs (including Domestic and Export - *For capture by transporter (including domestic and export)*)

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMP	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Who	Event owner	Company or organization			X	X	X
	Owner name	Company owner/manager name			X		X
Human Welfare	Owner sex	Sex					X
Who	Owner ID	Transporter business license or registration #; personal ID card				X	X
	Owner ID expiry date	License/registration expiration date				X	X
	Owner address	Company/transporter address			X		X
	Owner phone	Company phone					X
	Trading partner	Consignee			X		X
Human Welfare	Trading partner sex	Sex					X
What	Event type	Transport (domestic, international; road, rail, air, ocean)			X		X
	Event number	Transport ID/#					
	Item type	Name/description of product being transported				X	X
	Item code	Product code					X
	Batch or lot number	Batch or lot ID					X
	Quantity	Quantity of items shipped				X	X
	Weight: item	Total weight of items shipped (kg)				X	X
	Weight: batch/lot	Total weight of batch/lot shipped				X	X
When	Event date	Transport start/end date				X	X
	Event time	Transport start/end time					X
	First freeze date	First freeze date					X
Where	Origin	Product origin					X
	Event location	Transport location, description of route/trip taken			X	X	X
	Product source	Product source					X
	Product destination	Consignee; signature of receiver upon delivery of product shipped				X	X
How	Event method	Description of transport (vehicle/air/rail/ship)			X		X
Link	Activity type	Source document (Purchase Order/Work Order/Bill of Lading/Air Waybill)					X

Category	Key Data Element (KDE)	Data Label (equivalent)	The Expert Panel on Legal and Traceable Wild Fish Products	KDE capture required for US SIMPs	KDE capture required for EU Imports (EC 1005/2008)	KDE capture recommended under ACDS	Minimum KDEs recommended under USAID Oceans
Link	Activity ID	Source document ID (transport manifest/Bill of Lading/Air Waybill)					X
	Invoice	Invoice/delivery order/Bill of Lading/Air Waybill/export declaration form					X
	Packing slip	Packing slip and #					X
	Carrier ID	Transporter ID No.					X
	Container/trailer no.	ID number of container vessel or trailer/compartments used for transport of product			X	X	X
	Certificate ID	Health and/or catch certificate; transport/export certificate; eco-friendly product certificate			X		X

HUMAN WELFARE KEY DATA ELEMENTS

Because of growing international concerns over the human welfare conditions within Southeast Asia’s seafood supply chains, USAID Oceans is exploring how to capture and share relevant and verifiable information relating to human welfare (HW), labor and socioeconomic conditions within specified supply chains, particularly at the point-of-catch (at sea), landing and processing.

While HW KDEs do not directly contribute to the traceability of a specific seafood product, they do support human welfare objectives to enhance the quality and condition of crew and worker conditions. The collection of sex-disaggregated data not only stands to benefit national government and policy makers, but also contributes to global efforts to collect data that supports evidence-based policy and decision making.

Following are the full, emerging set of HW KDEs recommended by USAID Oceans. Recommended HW KDEs have been developed following in-field research conducted in USAID Oceans’ learning sites of General Santos City, Philippines and Bitung, Indonesia to collect information around areas where human welfare violations have been observed.

USAID Oceans acknowledges the additional effort that is required to capture KDEs beyond those that strictly support seafood product traceability. USAID Oceans recommends, where applicable, that existing human resources and national identification databases are leveraged to provide recommended HW KDEs. In lieu of existing databases, manual entry may be required.

For complete definitions of the following terms please refer to USAID Oceans’ **Data Requirements for Catch Documentation and Traceability in Southeast Asia** at seafdec-oceanspartnership.org/KDEManual.

USAID Oceans' recommended Human Welfare KDEs	Critical Tracking Event (CTE)					
	Creation		Transformation		Transportation	
	Production (capture)	Landing	Input	Output	Shipping	Receiving
Captain name	R	R				
Captain sex	R	R				
Captain ID	R	R				
Captain nationality	R	R				
Crew/Worker name	RC	RC	RC	RC		
Crew/Worker sex	RC	RC	RC	RC		
Crew/Worker job/title	RC	RC	RC	RC		
Crew/Worker ID	RC	RC	RC	RC		
Crew/Worker nationality	RC	RC	RC	RC		
Contract ID	IC	IC	IC	IC		
Crew/Worker DOB	I	I	I	I		
Crew/Worker payment	IC	IC	IC	IC		
Owner representative	R	R	RC	RC	RC	RC
Owner representative sex	R	R	RC	RC	RC	RC
Trading partner	R	R	RC	RC	RC	RC
Trading partner sex	R	R	RC	RC	RC	RC
Financing	I	I	I	I		
Living conditions	IC	IC	IC	IC		
Recreation	IC	IC	IC	IC		
Rights	I	I	I	I		
Safety	I	I	I	I		
Sustenance	IC	IC	IC	IC		
Working hours	I	I	I	I		

KEY

R = required data capture for both commercial/international and small-scale fishery supply chains

RC = required data capture for commercial/international fishery supply chains

I = ideal data capture for both commercial/international and small-scale fishery supply chains

IC = ideal data capture for commercial/international fishery supply chains

For more detailed information, including full terms, definitions, and extended recommendations for human welfare data collection, please refer to USAID Oceans' **Data Requirements for Catch Documentation and Traceability in Southeast Asia** at seafdec-oceanspartnership.org/KDEManual.