



# COMMITTEE ON FISHERIES

## SUB-COMMITTEE ON FISH TRADE

### Eighteenth Session

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### **REPORT OF REGIONAL CONSULTATIONS ON ADVANCING END-TO-END TRACEABILITY IN FISH VALUE CHAINS (RELATED TO COFI:FT/XVIII/2022/INF.10)**



**Food and Agriculture  
Organization of the  
United Nations**

**NFIMV/R1378 (En)**

**FAO  
Fisheries and  
Aquaculture Report**

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**Report of the**

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**REGIONAL CONSULTATIONS ON ADVANCING  
END-TO-END TRACEABILITY IN FISH VALUE CHAINS**

**Virtual meetings, September 2021 to January 2022**

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Report of the  
REGIONAL CONSULTATIONS ON ADVANCING  
END-TO-END TRACEABILITY IN FISH VALUE CHAINS  
Virtual meetings, September 2021 to January 2022

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## PREPARATION OF THIS DOCUMENT

This report summarizes the outcomes of three regional consultations held virtually between September 2021 and January 2022 to deliberate on a draft guidance “Advancing end-to-end traceability along capture fisheries and aquaculture value chains”.

The organization of these consultations was funded by FAO’s Regular Programme and contributes to various SDGs mainly SDG 14: conserve and sustainably use the oceans, seas and marine resources, as well as SDG 12: ensure sustainable consumption and production patterns.

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## ABSTRACT

The 17th Session of the Sub-Committee on Fish Trade (27–29 November 2019) recommended that FAO develops insights and address gaps in developing and implementing traceability systems for both the private sector and government. The Sub-Committee also reiterated the importance of sharing the associated conclusions with governments, the private sector and other stakeholders.

Three regional consultations were held to deliberate on the draft guidance document: *Advancing end-to-end traceability along capture fisheries and aquaculture value chains*. The consultations were held virtually in Asia (25 to 27 January 2022), Near East and North Africa (27 to 29 September 2021) and Latin America (14 to 16 September 2021).

They were attended by more than 120 delegates and participants from 34 member states and six regional and international organizations, namely: the Commission on Inland Fisheries and Aquaculture for Latin America and the Caribbean (COPPESAALC), the International Commission for the Conservation of Atlantic Tunas (ICCAT), the International Regional Organisation for Plant and Animal Health (OIRSA), the Network of Aquaculture Centres in Asia-Pacific (NACA), the World Organisation for Animal Health (OIE), and the Southeast Asian Fisheries Development Center (SEAFDEC). The agenda of each consultation is provided in Annex 1 and the list of participants is attached as Annex 2.

This document is a report of the consultations. The meetings confirmed the relevance and comprehensiveness of the proposed Critical Tracking Events (CTEs) and Key Data Elements (KDEs) in aquaculture and capture fisheries. It also highlighted that due consideration should be paid to small-scale producers, while recognizing equivalency of data and flexibility in data needs, particularly for developing countries.

The first section provides a summary of outcomes across regions, while the individual regional reports are presented in sections 2, 3 and 4. Feedback from the three regions per CTEs and KDEs are summarized in Annex 3.

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**ABBREVIATIONS AND ACRONYMS**

<b>CA</b>	Competent Authority
<b>COPPESAALC</b>	Commission on Inland Fisheries and Aquaculture for Latin America and the Caribbean
<b>CTE</b>	Critical Tracking Event
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>GIS</b>	geographic information system
<b>GPS</b>	global positioning system
<b>GDST</b>	Global Dialogue on Seafood Traceability
<b>ICCAT</b>	International Commission for the Conservation of Atlantic Tunas
<b>IUU</b>	illegal, unreported and unregulated fishing
<b>KDE</b>	Key Data Element
<b>NACA</b>	Network of Aquaculture Centres in Asia-Pacific
<b>NENA</b>	Near East and North Africa
<b>OIE</b>	World Organisation for Animal Health
<b>OIRSA</b>	International Regional Organisation for Plant and Animal Health
<b>RNE</b>	Regional Office for the Near East and North Africa
<b>SEAFDEC</b>	Southeast Asian Fisheries Development Center

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## SECTION 1. INTRODUCTION

1. The FAO Regional Consultations, the outcomes of which are summarised in this report, aimed to deliberate on and collect feedback on the draft guidance document *Advancing end-to-end traceability: Critical Tracking Events (CTEs) and Key Data Elements (KDEs) along capture fisheries and aquaculture*<sup>1</sup>, by engaging experts from countries in Latin America, Near East and North Africa (NENA) and Asia. The agenda of each consultation is provided in Annex 1 and the list of participants is attached as Annex 2.
2. Country delegates and experts were invited to review the draft guidance document in advance and fill out a pre-consultation template to facilitate the discussion before the meetings. The list of KDEs was also presented and explained to the countries' delegates by traceability experts in order to collect their feedback.
3. The feedback was recorded and forms the content of the summary tables in Annex 3. Suggestions and comments on the CTE/KDE were incorporated into a revised version of the guidance document.
4. Additionally, delegates were invited to share gaps and challenges to transition from their respective countries' current traceability practices to what is proposed in the document.

### Summary of findings

5. The regional consultations confirmed the relevance and comprehensiveness of the proposed CTEs and KDEs in both aquaculture and capture fisheries.
6. In the Latin America consultation, the participants agreed with the selection of CTEs and KDEs proposed in the draft guidance document. It was highlighted that, in general, countries authorized to export to the European Union are in compliance with the minimum requirements for traceability.
7. Similarly, delegates from the NENA region noted the readability and completeness of the CTEs and KDEs listings in capture fisheries and aquaculture. With regards to feed, the NENA region highlighted that the minimum information to be recorded should be reduced to what is visible on the feed packaging (bag) and/or labels because of a lack of availability of detailed information.
8. Participants from Asia agreed with the proposed set of CTEs and KDEs and they suggested the inclusion of an additional KDE to reflect the identification of transport vehicles/means. Likewise, a number of suggestions were made for the inclusion of additional minimum information to be covered by the KDEs, e.g. relating to the origin of feed ingredients, inclusion rates, seed at the hatchery level and at the grow-out farm.
9. Discussions in the Asia consultation also focused on aligning the terminology in the document with the terms experts were more familiar within their countries (e.g. use of "pens" versus "cages" and "movement document" versus "transport document"). Where necessary, changes were made to the guidance document to reflect these suggestions.
10. The issue of applying traceability to small-scale operators was highlighted in Asia and Latin America with regard to aquaculture value chains. Likewise, and with regard to fisheries value chains, NENA representatives commented on difficulties with identifying small-scale fisheries boats and suggestions were offered on how to address this issue.

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<sup>1</sup> COFI:FT/XVIII/2022/Inf.10.

11. Across the three regions, delegates expressed their appreciation for the exchange of ideas and experiences with other countries. All delegates expressed strong demand for technical assistance and capacity building support to strengthen traceability in fish value chains.

### **Common challenges**

12. Concerns were raised about the costs of implementation and improvement of traceability systems, and discussions took place between participants from NENA and Latin America on this subject. Delegates from NENA commented that the implementation is usually easier with some form of incentive, while representatives of Latin America highlighted the need for low-cost traceability systems and investment in new low-cost technologies.

13. Many countries from Asia, NENA and Latin America highlighted the need to improve awareness and the commitment to comply with market requirements by domestic operators, public and private organizations or other institutions. An example is the requirement to meet the increasing demand from importing countries for documentation and compliance with traceability standards.

14. The need to harmonize regulation requirements and procedures in the Latin America region was pointed out by delegates, whereas gaps relating to technology and the improvement of current systems to incorporate geographic information system (GIS) and global positioning system (GPS) data was commonly mentioned by Asian delegates.

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## SECTION 2. ASIA CONSULTATION (AQUACULTURE CHAPTER)

1. The FAO Asia consultation was convened virtually on 25 to 27 January 2022. The meeting was attended by a total of 70 delegates from nine countries: Bangladesh, Cambodia, China, India, Indonesia, Malaysia, the Philippines, Sri Lanka and Thailand, as well as two regional organizations, namely the Network of Aquaculture Centres in Asia-Pacific (NACA) and the Southeast Asian Fisheries Development Center (SEAFDEC). The meeting was facilitated and supported by six international traceability experts and FAO officers.
2. Mr Nianjun Shen, Senior Fishery Officer, FAO Fisheries and Aquaculture Division, together with Ms Shirlene Maria Anthonysamy, Director, INFOFISH opened the meeting by welcoming delegates and experts. In his opening remarks, Mr Shen highlighted the doubling of international trade in fish and fish products over the past decade and the opportunities this creates for aquaculture development in the Asia region to contribute to food security, income and livelihoods, especially for many rural communities. However, he noted that it has been a challenge for governments to adopt improved rules and regulations for traceability due to a lack of uniform requirements and standards. Mr Shen highlighted the importance of harmonization and the need for a common language around full-chain traceability and FAO's work in this area.
3. Ms Anthonysamy remarked that as a result of the COVID-19 pandemic, traceability has gained more importance and prominence in ensuring the safety of fish and fishery products. Hence she said the consultation is taking place at an appropriate time and that INFOFISH, as a co-organizer, looked forward to constructive and fruitful discussions in finalizing the draft guidance document.

### Discussion outcomes

4. The discussions were highly constructive and delegates contributed valuable suggestions based on their knowledge and familiarity with the various CTEs and KDEs as identified along the aquaculture value chain.
5. Delegates shared their respective countries' practices and confirmed the CTE and KDE listings as being highly relevant to ensure end-to-end or full-chain (external) traceability in aquaculture. Further clarification on particular CTEs and how they relate to external traceability was provided by the facilitators.
6. Consideration of some data sources triggered a discussion in which the difference in terminology (use of pens and cages, movement and transport document) was addressed. The main objective of the draft guidance document was recalled in that the CTEs and associated KDEs were the focus of the consultation, and it was noted that countries and regions might have different names for data-source documents that serve the same purpose.
7. The delegate from the Philippines suggested the inclusion of a definition section to clarify the terminology used across the draft guidance document.
8. Further clarification was requested on the terminology used to reflect CTE: "Sanitary treatments". The Codex Alimentarius Code of Practice for Fish and Fishery Products<sup>2</sup> definition was provided, i.e. "any substance, either natural or synthetic, that can affect live fish, their pathogens, the water, the equipment used for production or the land within the aquaculture establishment". It was agreed, for the sake of clarity and specificity, to add a mention of veterinary drugs in addition to chemicals.

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<sup>2</sup> FAO and WHO. 2020. Code of Practice for Fish and Fishery Products. Rome. <https://doi.org/10.4060/cb0658en>

9. The delegate of the Philippines proposed the inclusion of an additional KDE to reflect the identification of transport vehicles/means. A discussion was held in order to seek other delegates' consent for this addition. The FAO officer clarified the goals of the draft guidance document in that it is meant to be a voluntary tool to assist countries to improve their current traceability systems, and by no means to be a binding instrument. In addition, with respect to this and other CTEs, the FAO officer shared discussion outcomes from the previous regional consultations in Latin America and the NENA.
10. With the clarification provided on the development of the draft guidance document, a note was appended to the proposed KDE to reflect the concerns of delegates who exhibited resistance to this new inclusion. The specific wording is as follows: "consideration should be given to small-scale producers supplying domestic markets and potential gaps in national traceability systems where this information is challenging to capture".
11. In addressing the KDEs and CTEs associated with shellfish and bivalves, it was clarified that considerations with regards to bivalves apply in addition to previous tables for hatchery, grow-out and processing, as these also apply to entities involved in shellfish production and handling. It was also suggested that classification of water area is included in the KDE for bivalve grow-out areas.
12. Some of the most common gaps, and the goals that countries are currently working towards, are related to technology and the incorporation within current systems of GIS and GPS data. Meeting the increasing demand in importing countries for documenting and complying with traceability was highlighted, in particular with regards to the need for improved awareness and commitment by domestic business operators to comply with market requirements.
13. Delegates expressed an appreciation for the exchange of ideas and experiences with other countries and highlighted the usefulness of meetings such as the regional consultation. The importance of cooperation and assistance from FAO and INFOFISH was also emphasised.
14. The post-consultation report, in particular this summary of discussion outcomes, were adopted by participants in plenary.
15. Ms Nada Bougouss, Senior Fish Value Chain Expert, from FAO's Fisheries and Aquaculture Division delivered the closing remarks on behalf of FAO. She thanked the delegates and experts for their active contribution. She concluded by stressing the importance of the feedback collected to revise the draft guidance document.
16. The consultation closed at 18.38 Kuala Lumpur time (12.38 Rome time) on 27 January 2022.

### **SECTION 3. NEAR EAST AND NORTH AFRICA CONSULTATION (AQUACULTURE AND CAPTURE FISHERIES CHAPTERS)**

1. The FAO NENA consultation was convened virtually on 27 to 29 September 2021. The NENA Consultation<sup>3</sup> was attended by a total of 37 delegates from 12 countries: Algeria, Egypt, Iraq, Jordan, Kuwait, Lebanon, Mauritania, Morocco, Oman, Palestine, Qatar and Saudi Arabia. The meeting was facilitated and supported by seven international traceability experts and FAO officers.
2. Mr AbdulHakim Elwaer, FAO Assistant Director-General and Regional Representative for the Near East and North Africa officially opened the meeting by welcoming delegates and experts. In his opening remarks, Mr Elwaer highlighted the importance of international fish trade which amounts to USD 149 billion, with almost 55 percent of fish and fishery products originating in developing countries. He pointed out that the fisheries and aquaculture sector is facing various challenges such as sustainability, the impacts of climate change, the increasing role of distribution, as well as illegal, unreported, and unregulated (IUU) fishing. He added that implementation of regulations could mitigate these phenomena. Mr Elwaer concluded that the consultation would provide an opportunity to gather the views of FAO members and experts in order to enhance traceability along the value chain.
3. In addition to going through the previously communicated templates, supporting presentations in response to feedback and discussions that took place on the first day were also given, which allowed for more consideration of small-scale fisheries and aquaculture as per pre-identified CTEs/KDEs.
4. The post-consultation report was circulated to participants for additional comments and feedback.

#### **Discussion outcomes**

5. Delegates agreed on the CTE and KDE listings for capture fisheries and aquaculture. However, it is noteworthy that there are differences across countries in terms of both the scale of fish harvesting and aquaculture sectors (commercial, coastal, artisanal and the prevalence of the latter), and disparities in the level of advancement of the existing traceability systems. Some countries in the region have implemented recommendations framed within the guidance document for a long time, while others stressed that they would use the document as a baseline for future implementation.
6. Delegates had an overall good perception of the proposed guidance document. Several countries noted the readability and completeness of the CTE and KDE listings in capture fisheries and aquaculture. The document was also described as relevant to their tasks as representatives of authorities in charge of supporting the implementation of traceability systems for both capture fisheries and aquaculture. The use of standard terms and concepts used in the document supply chains seemed appropriate to the audience. The draft guidance for the region's fisheries and aquaculture sector is in line with countries' intention to improve traceability systems and therefore guarantee better compliance with food safety and sustainability requirements.
7. A number of gaps were identified for the implementation of traceability systems, especially with small-scale operators. These operators generally supply domestic markets and their monitoring can be challenging in that there might be a case where less strict rules are applied in terms of traceability. Discussions took place, for example, on the feasibility of the unique identification, registration/licensing of the boats of small-scale fishers. A similar discussion focused on the identification/licensing of the small-scale farms. These concerns were reviewed, commented and some examples of good practices were presented. Further support may be required to address these concerns.

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<sup>3</sup> Simultaneous Arabic, French and English translation was provided.



8. Another type of KDE that raised some questions is the measures on the health status of aquatic animals in the aquaculture supply chain. Some delegates proposed to clarify the required data in relation to biosecurity. This includes broodstock (whether imported or reared domestically) to the harvest of shrimp at the farm level. It was agreed that the KDEs described in the guidance document should be applied only in authorized operations, i.e. rearing of authorized species. KDEs related to non-authorized alien species should not be taken into account.

9. Finally, delegates reiterated the importance of traceability systems to comply with regulatory frameworks on food safety and sustainability. However, the implementation or strengthening of traceability systems always raises questions among the private operators with respect to costs and benefits. Some delegates from the region commented that the implementation is usually easier with some form of incentive.

10. Ahmed Al Mazrouai, Senior Fishery and Aquaculture Officer, FAO Regional Office for the Near East and North Africa, delivered the closing remarks on behalf of FAO. He thanked delegates for their active participation and highlighted the importance of the discussions conducted over the three-day workshop for the regions' sustainably managed aquatic resources.

11. The consultation closed at 13.25 on 29 September 2021.

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## SECTION 4. LATIN AMERICA (AQUACULTURE CHAPTER)

1. The FAO Latin America Consultation<sup>4</sup> on end-to-end traceability in aquaculture was organized virtually on 14 to 16 September 2021. The meeting was attended by a total of 38 delegates from 14 countries – Argentina, Brazil, Chile, Colombia, Costa Rica, Ecuador, Guatemala, Honduras, Mexico, Panama, Peru, the Dominican Republic, Venezuela (Bolivarian Republic of) and El Salvador – who represented the aquaculture and fisheries sector in Latin America. The meeting was also attended by participants from three organizations, namely: International Commission for the Conservation of Atlantic Tunas (ICCAT); International Regional Organisation for Plant and Animal Health (OIRSA); and the World Organisation for Animal Health (OIE). The meeting was facilitated and assisted by four international traceability experts and FAO officers.
2. The consultation was officially opened by Mr Nianjun Shen, Senior Fishery Officer at the FAO Fisheries and Aquaculture Division, who recalled the rationale for the development of the draft guidance document on traceability, and highlighted the relevance of aquaculture in Latin America;
3. Ms Graciela Pereira, INFOPESCA Director, welcomed the audience, re-emphasized the important role of traceability as a market access requirement and highlighted INFOPESCA's work with regard to marketing and advisory services in the region.
4. Delegates discussed the draft guidance and templates, examining CTEs and KDEs in aquaculture value chains in which this data is identified and detailed under the following groups: Producer State (for feed, hatcheries and farms), Processing State(s) and Market State(s) as well as considerations for bivalves.
5. The discussions were very instructive and useful and a high level of awareness on traceability was exhibited throughout the three-day event.

### Discussion outcomes

6. Participants agreed with the selection of CTEs and KDEs proposed in the draft guidance document. It was highlighted that, in general, countries authorized to export to the European Union comply with the minimum requirements for traceability (Argentina, Belize, Chile, Colombia, Costa Rica Ecuador, Guyana, Mexico, Nicaragua, Peru, Suriname, Uruguay and Venezuela [Bolivarian Republic of]).
7. Common challenges/gaps faced by/in the Latin American countries:
  - training and awareness of stakeholders on the importance of traceability
  - strengthening the commitment of all actors – public and private organizations and institutions – to implement efficient traceability
  - the need for a low-cost traceability system
  - the need for investment in new low-cost technologies
  - the need to harmonize regulations, requirements and procedures in the region.
8. It was highlighted that countries that are more advanced in the effective implementation of a traceability system could support those with a lesser degree of progress through the transfer of knowledge and experiences.

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<sup>4</sup> Spanish and English simultaneous translation was provided.

9. Some KDEs were identified as the most difficult ones to secure in a traceability system; primarily when there are many small producers or intermediary traders in the chain. To facilitate the control and accuracy of the information it is recommended to identify the events and actors that require a greater degree of formality in their operations, as well as identify those that could act as filters and control points in the traceability systems.

10. The KDEs that were discussed and commented on most were as follows:

- name and details of feed manufacturer, including in-house sources using a Unique Operator Identifier (*GDST KDE A05*)
- selling units
- *GDST KDE A06*
- Unique Identifier for broodstock (*GDST KDE A01, A02*)
- name and details of clients using a Unique Operator Identifier (*GDST KDE A21, A22*).

11. After the wrap-up and final comments, delegates approved the draft report.

12. Ms Nada Bougouss, Senior Fish Value Chain Expert from FAO's Fisheries and Aquaculture Division, presented the closing remarks on behalf of FAO. She thanked the distinguished delegates for their contribution and participation during the consultation. She emphasised the importance of the contributions that would be reflected in the final report of the Latin America chapter and thus help shape the work of FAO.

13. The consultation closed at 18.00 Montevideo time (23.00 Rome time) on 16 September 2021.

**ANNEX 1  
AGENDA**

<b>ASIA CHAPTER: <i>Aquaculture</i></b>	
<b>25, 26 and 27 January 2022 15.00 to 18.00 Kuala Lumpur (14.00 to 17.00 Bangkok; 08.00 to 11.00 Rome)</b>	
<b>DAY 1</b> 15.00–18.00	
1.	Opening remarks Mr Nianjun Shen, Senior Fishery Officer, Fisheries and Aquaculture Division, FAO Ms Shirlene Maria Anthonysamy, Director, INFOFISH
2.	Draft guidance document: scope, objectives and roadmap Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
3.	Adoption of the agenda, timetable and consultation arrangements Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
4.	Review of the aquaculture section of the draft guidance document Mr Vincent André and Mr John Bostock, FAO traceability experts
<b>5 min break</b>	
5.	Review of the aquaculture section of the draft guidance document (continued) Mr Vincent André and Mr John Bostock, FAO traceability experts
<b>DAY 2</b> 15.00–18.00(14.00–17.00 Bangkok; 08.00–11.00 Rome)	
6.	Review of the aquaculture section of the draft guidance document (continued) Mr Vincent André and Mr John Bostock, FAO traceability experts
<b>5 min break</b>	
7.	Review of the aquaculture section of the draft guidance document (continued) Mr Vincent André and Mr John Bostock, FAO traceability experts
<b>DAY 3</b> 15.00–18.00(14.00–17.00 Bangkok; 08.00-11.00 Rome)	
8.	Review of the aquaculture of the draft guidance document (continued) Mr Vincent André and Mr John Bostock, FAO traceability experts
<b>5 min break</b>	
9.	Review of the aquaculture section of the draft guidance document (continued)
10.	Wrap-up, final comments, and identification of national traceability gaps Mr Vincent André and Mr John Bostock, FAO traceability experts Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
11.	Adoption of the draft report Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
12.	Closing remarks Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO

<b>NEAR EAST AND NORTH AFRICA CHAPTER:</b> <i>Capture fisheries and aquaculture</i>	
<b>27, 28 and 29 September 2021</b> <b>10.00 to 13.00, Cairo</b>	
<b>DAY 1</b> <i>(Capture fisheries: sections under flag, coastal and port states)</i> 10.00–13.00	
1.	Opening remarks Mr AbdulHakim Elwaer, FAO Assistant Director-General and Regional Representative for the Near East and North Africa
2.	Draft guidance document: scope, objectives and roadmap Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
3.	Adoption of the agenda, time table and consultation arrangements Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
4.	Review of the <b>capture fisheries section</b> of the draft guidance document Mr Francisco Blaha and Mr Vincent André, FAO traceability experts
<b>5 min break</b>	
5.	Review of the <b>capture fisheries section</b> of the draft guidance document Mr Francisco Blaha and Mr Vincent André, FAO traceability experts
<b>DAY 2</b> <b>(Aquaculture: section under Producer State: feed, hatcheries/seed and farms)</b> 10.00–13.00	
6.	Review of the <b>aquaculture section</b> <sup>5</sup> of the draft guidance document Mr Vincent André and Mr Francisco Blaha, FAO traceability experts
<b>5 min break</b>	
7.	Review of the <b>aquaculture section</b> of the draft guidance document Mr Vincent Andre and Mr Francisco Blaha, FAO traceability experts
<b>DAY 3</b> <b>(Capture fisheries: Processing and market states<sup>4</sup>)</b> 10.00–13.00	
8.	Review of the <b>capture fisheries section</b> of the draft guidance document Mr Francisco Blaha and Mr Vincent André, FAO traceability experts
<b>5 min break</b>	
9.	Review of the <b>capture fisheries section</b> of the draft guidance document Mr Francisco Blaha and Mr Vincent André, FAO traceability experts
10.	Wrap-up, final comments and identification of national traceability gaps Mr Francisco Blaha and Mr Vincent André, FAO traceability experts Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
11.	Adoption of the draft report Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
12.	Closing remarks Mr Ahmed Al Mazroui, Senior Fishery and Aquaculture Officer, FAO Regional Office for Near East and Africa (RNE) and Regional Commission for Fisheries (RECOFI Secretary)

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<sup>5</sup> During the NENA Consultation only tables 1 to 3 were covered for aquaculture.

<b>LATIN AMERICA CHAPTER:</b>	
<i>Aquaculture</i>	
<b>14, 15 and 16 September 2021</b>	
<b>15.00 to 18.00 Montevideo</b>	
<b>20.00–23.00 Central European Summer Time; 13.00–16.00 Guayaquil, Ecuador;</b>	
<b>06.00–09.00 Auckland, New Zealand</b>	
<b>DAY 1</b>	
15.00–18.00	
1	Opening remarks Ms Graciela Pereira, Director, INFOPECSA and Mr Nianjun Shen, Senior Officer, FAO Fisheries Division
2	Draft guidance document: scope, objectives and roadmap Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
3	Adoption of the agenda, timetable and consultation arrangements Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
4	Review of the aquaculture section of the draft guidance document Mr Francisco Blaha and Ms Yahira Piedrahita, FAO traceability experts
<b>5min break</b>	
5.	Review of the aquaculture section of the draft guidance document (continued) Mr Francisco Blaha and Ms Yahira Piedrahita, FAO traceability experts
<b>DAY 2</b>	
15.00–18.00	
6.	Review of the aquaculture section of the draft guidance document (continued) Mr Francisco Blaha and Ms Yahira Piedrahita, FAO traceability experts
<b>5 min break</b>	
7.	Review of the aquaculture section of the draft guidance document (continued) Mr Francisco Blaha and Ms Yahira Piedrahita, FAO traceability experts
<b>DAY 3</b>	
15.00–18.00	
8.	Review of the aquaculture section of the draft guidance document (continued) Mr Francisco Blaha and Ms Yahira Piedrahita, FAO traceability experts
<b>5 min break</b>	
9.	Review of the aquaculture section of the draft guidance document (continued) Mr Francisco Blaha and Ms Yahira Piedrahita, FAO traceability experts
10.	Wrap-up, final comments and identification of national traceability gaps Mr Francisco Blaha and Ms Yahira Piedrahita, FAO traceability experts Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
11.	Adoption of the draft report Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO
12.	Closing remarks Ms Nada Bougouss, Senior Fish Value Chain Expert, Fisheries and Aquaculture Division, FAO

**ANNEX 2  
LIST OF PARTICIPANTS**

**ASIA CONSULTATION**

**Bangladesh**

Maqueshudul Haque Bhuiyan  
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**ANNEX 3**  
**CRITICAL TRACKING EVENTS AND KEY DATA ELEMENTS SUMMARY TABLES<sup>6</sup>**

**Table 1. Main supply chain stops, CTEs and KDEs identified for feed production and distribution**

CTEs and KDEs per supply chain stage					
Supply chain stage	CTEs	Main KDEs	Asia	Latin America	NENA
<b>Feed production</b>	Feed producer details	Name and details of feed manufacturer including in-house sources using a Unique Operator Identifier <i>GDST KDE A05<sup>7</sup></i>	If grow-out farms produce their own feed, the farm should be licensed/registered with the CA	The register of processors should be able to link with suppliers and customers. (Interoperability of systems would be useful for their standardization)	-
	Processing info	Production date, feed expiry date <i>GDST KDE A19</i>	Date and production batch (shift) should be recorded as well	Food distribution must allow the traceability system to remain effective	-
		Unique fish material identifier for feed type produced, brand, pellet size <i>GDST KDE A01</i>	When applicable, the registration of the feed formula should be recorded	-	-
		Main ingredients (source of protein), fish species name (if applicable) <i>GDST KDE A14, A04</i>	For farms producing their own feed, at least the date of production, main ingredients and volume produced should be recorded If farms are producing feed and selling it, they should be registered as feed producers In case of imported ingredients, the origin and details of these ingredients should be recorded For imported feed ingredients, feed manufacturers should declare the recommended inclusion rate and composition of those ingredients, when applicable	-	When bloodstock is fed with live feed e.g. artemia, records should show at least the origin and characteristics of the feed
		Selling units, number of units	No comments	Atomization (small producers) and informality are obstacles	-
<b>Feed commercialization</b>	Sale info	Name and details of first buyer using a Unique Operator Identifier	The first buyer can be either a distributor or a farm; a unique identifier should be recorded as a minimum requirement	-	-

<sup>6</sup> The summary tables reflected in this report refer to the most discussed and commented CTEs and KDEs. The complete list can be found in COFI:FT/XVIII/2022/Inf.10.

<sup>7</sup> The list of GDST KDEs listed in this Annex can be found in: <https://traceability-dialogue.org/wp-content/uploads/2020/02/GDST-1.0-Core-Normative-Standards-final.pdf>

**Table 2: Main supply chain stops, CTEs and KDEs identified for hatchery/nursery (seed growing)**

<b>Hatchery/ Nursery (Seed growing)</b>					
<b>Supply chain stage</b>	<b>CTEs</b>	<b>Main KDEs</b>	<b>Asia</b>	<b>Latin America</b>	<b>NENA</b>
<b>Hatchery/nursery area (seed growing)</b>	Broodstock info	Unique identifier for broodstock <i>GDST KDE A01, A02</i>	High-value species may have unique codes, otherwise code is attached to batch or tank	Considerations with exotic species, yet this falls under biosecurity rather than traceability, per se	-
	Broodstock info	Broodstock reception date, origin, seller <i>GDST KDE A11</i>	Important to note imported broodstock – health certificates for instance This should be applied to exotic species	-	-
	Seed source (for nurseries)	Species name <i>GDST KDE A04</i>	History of strain development documents may be added to support the identification of the species	-	Non-authorized species should not be farmed under biosecurity requirements and therefore should not be appearing in the traceability system
		Sanitary and/or epizootic status	CTE on sanitary treatment at the hatchery/nursery to be added in Table 3 (see below)	-	-
		Unique fish material identifier for seed <i>GDST KDE A01, A02, A03, A06</i>	For input of seed from elsewhere (other hatchery or from the wild) Means of verifying origin if from the wild (e.g. proof/document of legal origin) Import documents or legal status of catch area (link with requirements on source of broodstock)	-	-
	Feed info	Name of feed manufacturer Unique identifier of seller <i>GDST KDE A05</i>	-	-	For imported feed passing through local distributor, information on the feed producer, such as its unique identifier, may not be available. The minimum information to be recorded should be the information visible on the feed packaging (bag) and/or labels.
	Harvest info	Harvesting date <i>GDST KDE A10</i>	Countries may have movement document that covers much of the following information – becomes a traceability report that can be passed on to the grow-out farms	-	-

Hatchery/ Nursery (Seed growing)					
Supply chain stage	CTEs	Main KDEs	Asia	Latin America	NENA
	Harvest info	Harvested volume/weight /quantity <i>GDST KDE A03</i>	Age/size/life stage of seed could be recorded as well	-	-
		Unique fish material identifier for seed <i>GDST KDE A01, A02, A06</i>	Documents should record splitting or combining of lots or sources, etc.	-	-
		Sanitary and/or epizootic status	-	-	Results of controls made in relation to the sanitary and/or epizootic status made by the competent authorities should be recorded When applicable, a copy of the health certificate required by the processing or market state should be kept

**Table 3: Main supply chain stops, CTEs and KDEs identified for farms/growing areas**

Farms/growing areas for bivalves					
Supply chain stage	CTEs	Main KDEs	Asia	Latin America	NENA
Farm/growing area	Growing area/farm identity and details	Name and details of growing area/farm using a Unique Operator Identifier <i>GDST KDE A15</i>	-	Complicated when there are many small producers with a high level of informality in their activities	-
	Stocking information	Stocking date <i>GDST KDE A10</i>	Harvest date of the seeds is important to record as well Age/size/life stage of seeds can be also recorded here	-	The age of the post larvae/seeds can be calculated from the stocking and harvest date at the hatchery
		Stocking quantity	Mortality should be taken into consideration as quantity stocked and quantity harvested at the hatchery/nursery may not match	-	-
	Sanitary treatments	Name and details of client (distributor or processing plant) using a Unique Operator Identifier Aggregator name and ID <i>GDST KDE A21, A22</i>	-	Complicated when there are intermediaries involved in the chain.	-

**Table 4: Main supply chain stops, CTEs and KDEs identified for processing of aquaculture products<sup>8</sup>**

Distribution and processing plants					
Supply chain stage	CTEs	Main KDEs	Asia	Latin America	Near East and North Africa
<b>Distribution</b>	Distribution events Product splits (initial and later)	Movement date	Countries have different documents with different names that will be relevant here. However, the suggested data sources are the kinds of documents that may exist to document sources of data	N/A	-
		Transport vehicle identifier	Proposal to add a KDE on the transport method and/or vehicle involved (e.g. truck, container, refrigeration, registration plate, or number) Consideration should be paid to small-scale producers supplying the domestic market and the potential gap in national traceability systems where this information is challenging to capture	N/A	-

**Table 5: Main supply chain stops, CTEs and KDEs identified to be overseen by a flag state**

Flag state (section 3.3)			
Supply chain stop	CTEs	Main KDEs	NENA
<b>Harvesting</b>	Fishing vessel identity	National flag of vessel <i>GDST KDE W07</i>	Small-scale fishing boats should bear some minimum identification This identification should ideally be linked to an official registration/licensing by the authorities of the flag state

<sup>8</sup> During the NENA Regional Consultation, only tables 1 to 3 were covered for aquaculture.

**This is the final report of three regional consultations for Asia, Near East and North Africa, and Latin America held virtually between September 2021 and January 2022. The objective of the consultations was to deliberate on a draft guidance “Advancing end-to-end traceability along capture fisheries and aquaculture value chains”. The consultations confirmed the relevance and comprehensiveness of the proposed CTEs and KDEs in aquaculture and capture fisheries. They also highlighted that due consideration should be paid to small-scale producers, while recognizing equivalency of data and flexibility in data needs, particularly for developing countries.**

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