

ACE

Automated Broker Interface

Requirements

Implementation Guide for National Marine Fisheries Service

NMFS Programs: 370 / HMS / AMR / SIM

February 2020



U.S. Customs and
Border Protection

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Change Log			
Revision Number	Date of Change	Sections Affected	Brief Description of Change
1	02/18/2020	TTVP	For the TTVP/370 Program: The country of Colombia was removed from the list of countries included in the yellowfin tuna embargo.
		All NMFS Programs	Implementation Guide Update - This February 2020 draft combines and updates the two previous and separate NMFS Implementation Guides: the Guide for 370, HMS and AMR dated September 20, 2016 and the Guide for SIM dated September 28, 2017.

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Introduction

Implementation Guide for the National Marine Fisheries Service (NMFS) Participating Government Agency (PGA) International Trade Data System (ITDS), September 1, 2019

The following implementation guidelines have been established to accommodate the electronic filing of information pertaining to imports that is required by the National Marine Fisheries Service (NMFS) via the US Customs and Border Protection's (CBP) Automated Commercial Environment (ACE) system using the Partner Government Agency (PGA) Message Set (i.e., data set) and the Document Imaging System (DIS). NMFS is responsible for monitoring the import and export of various marine species and products, commonly referred to as "fisheries" or "seafood" products. Such products generally include a list of over 1000 Harmonized Tariff Schedule (HTS) codes; however, the agency currently requires the submission of information supplemental to the Entry/Entry Summary identified as the "PGA message set data" for approximately 162 of these products (HTS codes). These collection requirements fall under/within four separate program areas. They are:

- The NOAA Form 370 Tuna Tracking and Verification Program (TTVP/370) which monitors the importation of all frozen tuna and/or processed tuna products and authenticates any associated "dolphin-safe" claim. The 370 Program is also used to facilitate the enforcement of a specific yellowfin tuna embargo. For more TTVP/370 information, see <https://www.fisheries.noaa.gov/dolphin-safe>
- the Highly Migratory Species (HMS) Program which covers the import and export of certain species of tuna, swordfish and shark fins, see <https://www.fisheries.noaa.gov/national/atlantic-highly-migratory-species/atlantic-highly-migratory-species-international-trade>
- the Antarctic Marine Living Resources (AMLR) Program which includes import and exports of toothfish and Antarctic krill, see <https://www.fisheries.noaa.gov/permit/antarctic-marine-living-resource-permits>
- and the Seafood Import Monitoring (SIM) Program which is structured to meet "traceability" requirements to collect data on imports of 13 fisheries species from point of harvest to US import, see <https://www.iuufishing.noaa.gov/RecommendationsandActions/RECOMMENDATION1415/FinalRuleTraceability.aspx>

The import filing requirements and guidelines for all four of the NMFS programs are addressed separately in the following pages. Questions or comments pertaining to any of these requirements can be addressed to Dale Jones of the NMFS Office of Science and Technology by calling 301-427-8143 or by email to dale.jones@noaa.gov.

NMFS export requirements pertain only to certain products of tuna, swordfish and shark fins under the HMS program and to toothfish under the AMR program. Those requirements are detailed in the Customs and Border Protection Appendix Q – Automated Export System Trade Interface Requirements (AESTIR). Export requirements are not addressed in this document.

Pursuant to rules published by NMFS on August 3, 2016, for 370, HMS and AMR and on December 9, 2016 for the SIM program, persons

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importing products listed in this guide must submit an NMFS “PGA Message Set” and, through the use of the Document Imaging System (DIS), submit copies of all documents established by rule as required for the product(s) involved. Not all products require DIS submission. The specific PGA Message Set and each specific PG Records listed should be considered required/necessary if identified in this document for the product HTS that is “flagged”. No document images are required for submission with the Entry filing for the SIM Program. SIM document requirements dictate the retention of certain information by the International Fisheries Trade Permit holder for a period of two years.

NMFS 370 - Tuna Tracking and Verification Program (TTVP/370) Requirements (Imports Only) https://www.fisheries.noaa.gov/national/marine-mammal-protection/noaa-form-370-fisheries-certificate-origin	
<i>This Guide is to be used in conjunction with the Partner Government Agencies ACE CBI CATAIR and associated/referenced appendices. See http://www.cbp.gov/trade/ace/catair</i>	
General NMFS Requirements and Restrictions	<ul style="list-style-type: none"> • The NMFS TTVP/370 program includes all tuna or tuna products except fresh tuna (regardless of origin). Applicable HTS Codes found in attached lists A, B, C & D (D applies only if it contains tuna). • For cannery processed product, those in attached HTS Code list B, that are imported to the US Customs District from American Samoa, certain data usually or otherwise required at the time of filing need not be submitted if <u>provided to NMFS under the regulations found at 50 CFR 216.93(d)(2)</u>. Under these specific conditions, only the PG01, PG02 and PG14 Records, and the document images of the 370 form(s) associated with the shipment, are required to be submitted with the filing.
	<i>See 50 CFR 216.24 (f)(2) and 50 CFR 216.93 (d)(2) for legal reference.</i>
	<i>Note: For all bluefin tuna and for certain frozen bigeye tuna products, there are additional filing requirements under the NMFS HMS and SIM Programs. There are also SIM Program filing requirements for nearly all tuna products.</i>

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	<p>An IFTP is required for NOAA Form 370 covered product. This permit can be obtained at:</p> <p style="text-align: center;">https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp</p> <p>If an IFTP was already acquired for other NMFS programs, the same IFTP number can be used for the same importer of record for TTVP/370 imports.</p>
<p><i>Document Images Required (in lieu of paper form submissions)</i></p>	<p><i>Images of NOAA Form 370 (also known as the Fisheries Certificate of Origin or FCO) and supporting Captain’s Statements or IDCP Member Nation Certification are <u>required</u> to document each harvesting vessel fishing trip contained in the shipment, per NOAA Form 370 section 5 “Dolphin Safe Status”. In some situations, Observer’s Statements may be required as well.</i></p> <p><i>Note: These statements/certifications and the NOAA Form 370 should all be submitted as a single multiple-page PDF document for each Entry into CBP’s DIS.</i></p>

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Required PG Message Set Records:

- The individual PG Records and data elements listed below must be provided via the message set in addition to all other associated Mandatory Message Set Records such as the Control Identifier- “PG”, Record Type- “01” or other Mandatory associated data such as fillers that are listed as Mandatory with the following PG Record Numbers.
- If the product is or contains yellowfin tuna, a separate and distinct set or grouping of PG06 through PG31 records must be entered and be grouped by (between) a PG50 record and PG51 record for every distinct set of harvest details shown in each line of section #4 of the “NOAA Form 370/FCO”.
- If any one of the three following details from section #4 changes or is different, or if a different box under section under Section #5 of a form is selected, then a new/additional set of PG06 through PG31 records must be provided:
 1. “Tariff Number/Species Description/Product Form”
 2. “Ocean Area”
 3. “Fishing Gear”

Yellowfin tuna -The PG10 Record is used to identify and isolate yellowfin tuna product according to the Ocean Area of harvest, Fishing Gear used to harvest and the Vessel flag that harvested the fish as detailed in section 4. **Details/data pertaining to yellowfin tuna harvest from section #4 cannot be grouped or co-mingled with details/data for any other product even if the products share the same HTS code.** (Failure to group and separate distinct harvest information could unintentionally result in a “false positive” and cause the product/shipment to be embargoed.)

Record Identifier PG-OI (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal OI	
Filler	8AN	3 – 10	M	Space fill	
Commercial Description of Shipment (product)	70x	11-80	M	Example: “CANNED LIGHTMEAT TUNA IN WATER”	

Record Identifier PG-01 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	

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Record Type	2N	3-4	M	Must Always be 01	
PGA Line Number	3N	5-7	M	Begin with "001" and number sequentially for additional Lines	
Government Agency Code	3AN	8-10	M	Enter "NMF" for National Marine Fisheries Service (Appendix V)	
Government Agency Program Code	3X	11-13	M	Enter "370" for Tuna Tracking and Verification Program code (Appendix PGA)	
Government Agency Processing Code	3AN	14-16	C	Indicate whether or not the product contains yellow fin tuna. Use "YFT" for yellowfin. If the product contains no yellowfin tuna use "NOT".	
Electronic Image Submitted	1A	17	C	"Y" (indicates a scanned image will be included)	
Confidential Info Indicator	1A	18	C	"Y" (indicates the info is confidential)	
Disclaimer	1A	80	C	A code indicating the reason data is not provided. Valid codes for this program are : A = product is not regulated by this agency or B = data is not required per agency guidance For this NMFS program, a disclaimer may be appropriate for products under HTS code list D if they do not contain tuna <u>or</u> for other HTS codes if they are <u>fresh</u> tuna (which is not covered under the TTV P/370 program).	

Record Identifier PG -02 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 02	
Item Type	1A	5	M	Enter "P" for product (vs. component of P)	

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Record Identifier PG-14 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 14	
LPCO Transaction Type	1N	5	C	2=continuous use permit	
Licenses, Certificates, Permits or Other (LCPO)	3AN	6-8	C	Enter the license type as "NM4" the code for the NMFS International Fisheries Trade Permit (IFTP)	
LPCO Number (or Name)	33X	9-41	C	Enter the number assigned to the NMFS IFTP Permit number for the importer of record– This is the new International Fisheries Trade Permit. The IFTP is now required for the NMFS TTVP/370 program.	
Record Identifier PG - 50 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 50	
Filler	76X	5-80	M	Space fill	
				<p>Grouping start indicator The initial use/placement will follow the PG02 and precede the PG06 through PG31 Records as a group. Thereafter, it will follow a PG51 (previous group).</p> <p>Note per CBP CATAIR: <i>the PG50 record is used to indicate the start of a grouping. The PG51 record is used to indicate the end of the grouping. The following records can be followed by the PG50 grouping indicator: PG02, PG04, PG13, PG14.</i></p>	

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Record Identifier PG06 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 06	
Source Type Code	3AN	5-7	M	Harvest location and method; Enter "HRV" (Appendix PGA)	
Country Code <i>(Use "ZZ" unless the harvest took place within the exclusive economic zone/territorial waters of a specific /designated</i>	2X	8-9	C	A two letter code from Appendix B that shows from what Country's territorial waters the harvest took place or, if it was harvested on the high seas in international waters, use code "ZZ".	
Geographic Location (filer must provide the ocean area or areas where the product was harvested.)	20X	10-29	C	Code describing the ocean area of the catch (requires multiple entries for multiple vessels/harvest areas listed on the 370 forms). May only be from the following: ETP, WP, NP, SP, EA, WA, IND, CAR, or OTH (From the 'Appendix PGA" Ocean Geographic Area Codes)	
Processing Type Code	5AN	46-50	C	The fishing vessel's harvesting gear type on 370 forms. May only be from the following: PS, PL, LL, GN, DN, or OTH (see also Appendix PGA – Processing Type Codes).	

Record Identifier PG-10 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 10	

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Category Type Code	6AN	5-10	C	Enter "NM1" Appendix PGA Category Codes	
Category Code	5AN	11-15	C	Enter "YFT" If the product is or contains yellowfin tuna or enter "NOT" if the product is not or does not contain yellowfin.	
Commodity Characteristic	4AN	24-80	C	Enter the words "CONTAINS YELLOWFIN TUNA" or leave blank if it contains none.	

Record Identifier PG-22 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 22	
Importers Signed Document	1A	5	C	"Y" indicates that the importer has a copy of the required document	
Document Identifier	7AN	6-12	C	Repeat this row as many times as is necessary, once for each type of document that is required and submitted from the list in Appendix PGA – Document Identifiers. This will be the codes for the NOAA 370 (code 877) in addition to codes identifying the applicable attachments such as the Captain's statement (code 897), Observer's statement (code 898) and IDCP Member Certification (code 899). (These documents must be submitted at the time of the filing to CBP via the Document Imaging System/DIS.)	Note 1 – Agency Code for DIS
Conformance Declaration	5X	13-17	C	From the 370 form, Section 5; Indicate the box /letter selected (A or B) from Section 5 of the form and if B, then also indicate the box (1-5) selected. (This will be repeated if there are multiple forms with different boxes selected or checked in section 5.)	

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NOTE 1:

Agency Code for DIS: When submitting the copy of the PDF of the document in DIS, use the agency code “NMF” and not “CBP” or “NOAA”.

Record Identifier PG-31 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 31	
Commodity Harvesting Vessel Characteristic Type Code	3AN	5-7	M	Enter the letters “VCR” code for the Vessel Country of Registry Flag (Country) or Registry of the Harvesting Vessel.	
Commodity Harvesting Vessel Characteristic	35X	8-42	M	Flag (Country) of Registry of the Harvesting Vessel - Enter the two digit ISO code from appendix B for the flag country of the harvesting vessel (repeat as many times as is necessary to show for all harvesting vessels associated with this shipment)	

Record Identifier PG-51 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 51	
Filler	76X	5-80	M	Space fill	
				Grouping start indicator - Must follow all PG-02 through PG-31 groups if a grouping was initiated by a PG50. The initial use/placement will follow the PG02 and precede the PG06 through PG31 Records as a group. Thereafter it will follow a PG51 (previous group). Note per CBP CATAIR: <i>The PG50 record is used to indicate the start of a grouping. The PG51 record is used to indicate the end of the grouping. The following records can be followed by the PG50 grouping indicator: PG02, PG04, PG13, PG14.</i>	

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370 Program - Supplemental Instructions for the filer:

As of September 20, 2016 all NMFS programs require the submission of the International Fisheries Trade Permit (IFTP) for the importer of record.

- This permit can be obtained by the importer/exporter of record at:
https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp
- This is a continuous use permit that can be used repeatedly and is the same permit number for all import transactions for all NMFS programs.
- This number is an alphanumeric 12 digit number with the letters IFTP followed by 8 numbers. The letters IFTP are part of the permit

Does the shipment/Entry contain more than one product as defined or differentiated by HTS Code?

- If so, you will have a separate/repeated set of PG Records including; PG-OI, PG-01, PG 06, PG-10, PG-22, and PG-31 for every specific HTS Code contained in the shipment for this Entry number.

Is there yellowfin tuna or product containing yellowfin tuna in the shipment?

- If a product in the shipment is or contains yellowfin tuna and uses the same/identical HTS code as a non-yellowfin tuna product in the shipment, such as skipjack tuna or if there is a product description that is not species specific, such as “canned light meat tuna” or “Tuna, other than albacore, in airtight containers”; then that product description must be submitted under a separate/ distinct PG01 record (line) and there must be a separate grouping of PG06 through PG31 records for every distinct set of harvest records for yellowfin tuna. Each set of PG06 through PG31 records must be preceded by (start with) a PG50 record and be followed by (end with) a PG51 record.

Were there different ocean areas of harvest or gear types for the same type of product (with the same HTS code)?

- If so, repeat PG-06 once for each combination of ocean area of harvest code and gear type that is listed for that HTS product listed on the various NOAA 370 forms included for this shipment, such as ocean area of harvest such as ETP, WP, IND and gear types such as PS or LL etc.

Is there more than one NOAA 370 Form that has different selections or boxes checked in Section 5, such as one form with 5B1 selected and another form with 5B2 selected?

- If so, repeat PG-22 once for each different box checked/selection made and indicate in the PG-22 line that it is for the 370 form by

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using code “877”, which will indicate that at least one 370 form is included and on the same PG-22 line include the designation for only one of the boxes checked such as 5B1 then on the next line, repeat PG-22 with the “877” designation and show box/selection 5B2 (or which other box was actually checked).

In addition to the NOAA 370 form, there will be at least one other type of form included with the filing submission (i.e., a Captain’s Statement, an Observer’s Statement, or an IDCP-member nation certification).

- Repeat PG-22 once more for each additional type of form that is included. If you have multiples of the same type of form, you need only list that specific type of form once. This includes the Captain’s Statement / 897, the Observer’s Statement / 898 and the IDCP Member Nation Certification / 899.

The PG-31 record must be shown for the harvesting vessel’s country of registry (VCR) or “vessel flag” as it is also known, for each HTS Code in the shipment.

- If there is more than one “flag country” or “country of registry” for the vessels listed, repeat PG- 31 once for each separate “flag country” shown. If there are multiple vessels but they are all from the same country (flag), then you need only use the PG-31 record once for each HTS code/product shown.

When submitting Document Images associated with the Entry filing and PGA Message Set, it is advisable to send/submit the documents via DIS a short time (perhaps 10 minutes +/- before transmitting the Entry and PGA Data set so that the system records the receipt of the images in DIS. This will preclude the likelihood of receiving an “error” warning from the system as “missing documentation”.

370 Program Harmonized Tariff Schedule Codes

All tuna and tuna product, except fresh tuna, imported into the United States must be accompanied by a **Fisheries Certificate of Origin (FCO) - NOAA Form 370**, including, but not limited to, those imported under the following Harmonized Tariff Schedule of the United States (HTS) numbers as listed below.

(A) Frozen:

- 0303.41.0000 Tuna, Albacore or longfinned tunas, frozen.
- 0303.42.0020 Tuna, Yellowfin, whole, frozen.
- 0303.42.0040 Tuna, Yellowfin, eviscerated, head on, frozen.
- 0303.42.0060 Tuna, Yellowfin, other, frozen.
- 0303.43.0000 Tuna, Skipjack, frozen.
- 0303.44.0000 Tuna, Bigeye, frozen.
- 0303.45.0110 Tuna, Bluefin, Atlantic, frozen.

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0303.45.0150 Tuna, Bluefin, Pacific, frozen.
0303.46.0000 Tuna, Bluefin, Southern, frozen.
0303.49.0200 Tuna, other, frozen.
0304.87.0000 Tuna, non-specific, fillet, frozen
0304.99.1190 Tuna, frozen in bulk or in immediate containers weighing with their contents over 6.8 Kg each.

(B) Airtight Containers:

1604.14.1010 Tuna, in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each.
1604.14.1091 Tuna, in oil, albacore.
1604.14.1099 Tuna, in oil, other.
1604.14.2251 Tuna, albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each.
1604.14.2259 Tuna, albacore, not in oil, other.
1604.14.2291 Tuna, other than albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each.
1604.14.2299 Tuna, other than albacore, not in oil, other.
1604.14.3051 Tuna, albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos, over quota.
1604.14.3059 Tuna, albacore, not in oil, other, over quota.
1604.14.3091 Tuna, other than albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each, over quota.
1604.14.3099 Tuna, other than albacore, not in oil, other, over quota.

(C) Loins:

1604.14.4000 Tuna, not in airtight containers, not in oil, over 6.8 kg.
1604.14.5000 Tuna, not in airtight containers, other.

(D) Other -Only if the product contains tuna.

This HTS is flagged as “data may be required”. Data is required if the product does contain tuna, but is open to disclaim in the PG01 Record if it does not contain tuna:

0511.91.0090 Fish, shellfish products unfit for human consumption.
1604.20.1000 Pastes.
1604.20.1500 Balls and cakes, in oil.
1604.20.2000 Balls and cakes, not in oil, less than 6.8 kg, in airtight containers.
1604.20.2500 Balls and cakes, not in oil, less than 6.8 kg, other.
1604.20.3000 Balls and cakes, not in oil, other.

(E)Reserved

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(F) Yellow Fin Tuna

This list is a subset from lists A, B, & C. The codes on this list are those that **may contain yellowfin tuna**. The last eight of the codes listed below may or may not contain yellowfin tuna. Therefore it is necessary for the filer to designate that the shipment does contain yellowfin tuna if it does and to provide the required information. The filer must also designate that it does not if the product does not contain yellowfin tuna.

0303.42.0020 Tuna, Yellowfin, whole, frozen.

0303.42.0040 Tuna, Yellowfin, eviscerated, head on, frozen.

0303.42.0060 Tuna, Yellowfin, other, frozen.

0304.87.0000 Tuna, non-specific, fillet, frozen.

0304.99.1190 Tuna, frozen in bulk or in immediate containers weighing with their contents over 6.8 kgs each.

1604.14.1010 Tuna, in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each.

1604.14.1099 Tuna, in oil, other.

1604.14.2291 Tuna, other than albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each.

1604.14.2299 Tuna, other than albacore, not in oil, other.

1604.14.3091 Tuna, other than albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each, over quota.

1604.14.3099 Tuna, other than albacore, not in oil, other, over quota.

1604.14.5000 Tuna, not in airtight containers, other.

Yellowfin tuna – Embargo Conditions

Product that contains yellowfin tuna (other than fresh product) is embargoed if:

- exported from or harvested by a vessel from Belize, Bolivia, Honduras, Nicaragua, Panama, Vanuatu and Venezuela
- and if it was harvested by purse seine net
- and it was harvested in the eastern tropical Pacific Ocean (i.e., ETP)
- and it was harvested in the eastern tropical Pacific Ocean (i.e., ETP).

(G) Tuna from American Samoa

If product is from list “G” as follows and the country of origin is American Samoa then only the PG01, PG02 and PG14 records of the message set are required as a message set. However, the appropriate NOAA Form 370 must still be submitted through DIS. NMFS required documentation would already have been provided/reported for such products prior in shipping from American Samoa prior to Entry.

1604.14.1010 Tuna, in oil, in foil or other flexible containers weighing with their contents not more than kilos each.

1604.14.1091 Tuna, in oil, albacore.

1604.14.1099 Tuna, in oil, other.

1604.14.2251 Tuna, albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each.

1604.14.2259 Tuna, albacore, not in oil, other.

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1604.14.2291 Tuna, other than albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each.

1604.14.2299 Tuna, other than albacore, not in oil, other.

1604.14.3051 Tuna, albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos, over quota.

1604.14.3059 Tuna, albacore, not in oil, other, over quota.

1604.14.3091 Tuna, other than albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each, over quota.

1604.14.3099 Tuna, other than albacore, not in oil, other, over quota.

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NMFS Highly Migratory Species (HMS) International Trade Program Import Requirements

(Primarily Bluefin Tuna, Frozen Big Eye Tuna, and Swordfish)

<https://www.fisheries.noaa.gov/national/atlantic-highly-migratory-species/atlantic-highly-migratory-species-international-trade>

This guide is to be used in conjunction with the Partner Government Agencies ACE CBI CATAIR and associated/referenced appendices. See <http://www.cbp.gov/trade/ace/catair>

General NMFS Requirements and Restrictions	See NMFS HTS codes attached for all products covered by the HMS Program
	A NMFS International Fisheries Trade Permit (IFTP) is required for the import, export, and re-export of all: <ul style="list-style-type: none"> • Atlantic bluefin tuna (<i>Thunnus thynnus</i>) • Pacific bluefin tuna (<i>Thunnus orientalis</i>) • Southern bluefin tuna (<i>Thunnus maccoyii</i>) • Swordfish (<i>Xiphias gladius</i>) • Bigeye tuna (frozen) (<i>Thunnus obesus</i>) • Shark fin
	Filings for all HMS shipments, except shark fins, must be accompanied by the appropriate international form(s) and must be submitted via the Document Imaging System (DIS).
	An International Fisheries Trade Permit (IFTP) is now required for NMFS HMS covered product. This permit can be obtained at: https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp
	<i>This permit replaces the HMS permit. The same IFTP # can be used for the same importer of record for all NMFS programs including HMS, AMLR, SIM, and TTVP/370.</i>
	Shipments of Atlantic bluefin tuna documented through the International Commission for the Conservation of Atlantic Tunas (ICCAT) Electronic Bluefin Tuna Catch Documentation System (eBCD System) do not require the submission of an actual document but will require the submission of the “eBCD” number issued as an additional/second PG14 Record following the submission of the IFTP Permit.
Additional mandatory reporting requirements exist for all frozen and processed tuna (not fresh tuna) under the TTVP/370 program. Assure that all data required by the TTVP/370 program for those tuna products is also submitted.	

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<p>List of Potential HMS Program Forms Required for submission as Document Image(s)</p>	<p>HMS Program Forms list:</p> <ul style="list-style-type: none"> • CCSBT Catch Monitoring • CCSBT Re-export/Export After Landing of Domestic Product • IATTC Bigeye Tuna Statistical Document • IATTC Bigeye Tuna Re-export Certificate • ICCAT Bigeye Tuna Statistical Document • ICCAT Bigeye Tuna Re-export Certificate • ICCAT Bluefin Tuna Catch Document • ICCAT Bluefin Tuna Re-export Certificate • ICCAT Swordfish Statistical Document • ICCAT Swordfish Re-export Certificate • IOTC Bigeye Tuna Statistical Document • IOTC Bigeye Tuna Re-export Certificate <p>Certain copies of these International form(s) must be submitted dependent on and determined by the product species (HTS), area, or ocean of harvest, and other conditional requirements. The forms that are required to accompany the shipment must be submitted to Customs at the time of filing via the Document Imaging System (DIS). Acceptable file types are PDF, GIF, PNG, JPG and JPEG.</p>
<p><i>Required PG Records; The following list of PG Records must be provided via the PG Message Set in addition to all PG Records designated as "Mandatory" such as the Control Identifier- "PG", Record Type- "01" or other Mandatory associated data such as fillers that are listed as Mandatory with the following PG Record Numbers.</i></p>	

Record Identifier PG- OI (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal OI	
Filler	8AN	3 – 10	M	Space fill	
Commercial Description of Shipment (product)	70x	11-80	M	Example: "FROZEN BIGEYE TUNA"	

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Record Identifier PG- 01 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 01	
PGA Line Number	3N	5-7	M	Begin with "001" and number sequentially for additional Lines	
Government Agency Code (PGA)	3AN	8-10	M	<i>NMF (code used for National Marine Fisheries) (Appendix V)</i>	
Government Agency Program Code	3X	11-13	M	<i>HMS (Highly Migratory Species Program code) (Appendix PGA)</i>	
Electronic Image Submitted	1A	17	C	<i>"Y" indicates an image will be included "N" if filing uses an eBCD document number in lieu of submitting a PDF of the form (blank for shark fins only – no image</i>	Note 1- eBCD
Confidential Information	1A	18	C	<i>"Y" indicates the info is confidential</i>	

NOTE 1:

eBCD: For Atlantic Bluefin tuna harvested after May 1, 2016, the Electronic Bluefin Catch Document (eBCD) number is provided in the PG14 Record following the PG14 Record for the IFTP. The eBCD # is submitted in lieu of the PDF copy of a Catch Document. For all other HMS products a copy of a PDF Catch or Statistical Document must be listed in the PG22 Record and submitted via the DIS. For Atlantic Bluefin tuna harvested prior to May 1, 2016, documentation in paper format must be uploaded into DIS.

Record Identifier PG-02 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 02	
Item Type	1A	5	M	Enter "P" for product (vs. component of P)	

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Record Identifier PG- 14 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 14	
LPCO Transaction Type	1N	5	C	2=continuous use permit	
Licenses, Certificates, Permits or Other (LCPO)	3AN	6-8	C	<i>Enter the license type as "NM4" the code for the NMFS International Fisheries Trade Permit (IFTP)</i>	
LPCO Number (or Name	33X	9-41	C	<i>Enter the number assigned to the NMFS IFTP Permit number for the importer of record– This is the International Fisheries Trade Permit#.</i>	
Record Type	2N	3-4	M	Must Always be 14	
LPCO Transaction Type	1N	5	C	<i>If the shipment includes ATLANTIC bluefin tuna, an electronic Bluefin Catch Document (eBCD) or eBCD Re-Export document must be provided. Enter a "1" to indicate that the entry following will be for a single use authorization (that being the eBCD or the eBCD re-export number issued for this specific shipment/Entry when the product was documented through the ICCAT eBCD documentation system, https://etuna.iccat.int).</i>	

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LPCO Type	3AN	6-8	C	Enter "NM5" to identify this document as an electronic Bluefin Tuna Catch Document (eBCD) or re-export eBCD for Atlantic bluefin tuna.
LPCO Number	33X	9-41	C	Enter the unique specific number assigned/provided by the ICCAT eBCD system for the Atlantic bluefin tuna harvest included in this shipment.

Record Identifier PG- 50 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 50	
Filler	76X	5-80	M	Space fill	

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				<p>Grouping start indicator The initial use/placement will follow the PG02 and precede the PG06 through PG31 Records as a group. Thereafter, it will follow a PG51 (previous group).</p> <p>Note per CBP CATAIR: <i>The PG50 record is used to indicate the start of a grouping. The PG51 record is used to indicate the end of the grouping. The following records can be followed by the PG50 grouping indicator: PG02, PG04, PG13, PG14.</i></p>	
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Record Identifier PG- 06 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 06	
Source Type Code	3AN	5-7	M	Harvest location and method; Enter "HRV" (Appendix PGA)	
<i>Country Code (Use "ZZ" unless the harvest took place within the exclusive economic zone/territorial waters of a specific</i>	2X	8-9	C	<i>A two letter code from Appendix B that shows from what Country's territorial waters the harvest took place or, if it was on the high seas in international waters, the code "ZZ" is used.</i>	
<i>Geographic location (filer must provide the ocean area or areas where the product was harvested)</i>	20X	10-29	C	<i>Ocean Geographic Area Codes: use valid codes for the ocean area of catch example; "North Atlantic" from appendix PGA.</i>	
Processing Type Code	5AN	46-50	C	<i>The fishing vessel's harvesting gear type (see code list)(Appendix PGA)</i>	

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Record Identifier PG 22 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 22	
Importers Signed Document	1A	5	C	<i>“Y” indicates that the importer has and retains a copy of the required document (none currently required for shark fins)</i>	
Document Identifier (will be repeated multiple time for multiple documents)	7AN	6-12	C	<p><i>Include the code from the Appendix PGA for each of the specific document images submitted via the DIS. At least one of the Catch, Statistical or Re-export documents listed above, is required for all imports, exports or re-exports of HMS products except for shark fins or Atlantic bluefin tuna. (An eBCD number must be provided for all Atlantic bluefin tuna via the PG14 record as structured above.)</i></p> <p><i>The DIS document that is required is determined by the regulatory parameters involving the particular species (HTS), ocean harvest area and export/re-export status. These documents must be submitted at the time of the filing to CBP via the DIS.</i></p>	
Compliance Description (will be repeated multiple time for multiple documents)	30X	51-80	C	<p><i>Enter the unique/specific number that appears on every document submitted via the DIS. This is the specific “serialized” number assigned to the individual reporting form for that specific harvest. (The unique number is entered in positions 51 through 80 and must correspond to the document identifier for each PG Record 22 in positions 6-12) (There are 30 characters to utilize in space 51 through 80.)</i></p>	

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Record Identifier PG- 31 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 31	
Commodity Harvesting Vessel Characteristic Type Code	3AN	5-7	M	Enter the letters "VCR" signifying the Vessel Country of Registry Flag (Country) of Registry of the Harvesting Vessel.	
Commodity Harvesting Vessel Characteristic	35X	8-9	M	Flag (Country) of Registry of the Harvesting Vessel. Enter the two digit ISO code from appendix B for the flag country of the harvesting vessel (repeat as many times as is necessary to show for all harvesting vessels associated with this shipment).	

Record Identifier PG- 51(input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 51	
Filler	76X	5-80	M	Space fill	

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				<p>Grouping start indicator - Must follow all PG-02 through PG-31 groups if a grouping was initiated by a PG50. The initial use/placement will follow the PG02 and precede the PG06 through PG31 Records as a group. Thereafter it will follow a PG51 (previous group).</p> <p>Note per CBP CATAIR: <i>The PG50 record is used to indicate the start of a grouping. The PG51 record is used to indicate the end of the grouping.</i></p> <p><i>The following records can be followed by the PG50 grouping indicator: PG02, PG04, PG13, PG14.)</i></p>	
<p>Note: In addition to the requirements identified here, for frozen or processed tuna, there are separate and additional import documentation requirements under the NMFS TTVP/370 Program (TTVP/370 requirements do not include fresh tuna) and the Seafood Import Monitoring Program (SIM). To determine which additional requirements may apply to tuna product, consult the NMFS TTVP/370 and SIM requirements.</p>					

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HMS - Supplemental Instructions for the filer:

Does the shipment/Entry contain more than one product as defined or differentiated by HTS Code?

- If so, you will have a separate/repeated set of PG Records including; PG-OI, PG-01, PG 06, PG-22 and PG-31 for every specific HTS Code Product contained in the shipment for this Entry number.

Were there different ocean areas of harvest or gear types used for the same type of product (with the same HTS code)?

- If so, repeat PG-06 once for each combination of ocean area of harvest and gear type listed for that HTS product shown on the various forms for this shipment. For example, ETP (eastern tropical Pacific Ocean), WP (western Pacific Ocean) or IND (Indian Ocean) and LL (long line) or PS (Purse Seine).

As of September 20, 2016 all NMFS programs require the submission of the International Fisheries Trade Permit (IFTP) for the importer of record.

- This permit can be obtained by the importer/exporter of record at:
 - https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp
- **This continuous use permit can be used repeatedly and is the same permit number for all import transactions for all NMFS programs.**
- **This number is an alphanumeric 12 digit number with the letters IFTP followed by 8 numbers. The letters "IFTP" are part of the permit number.**

Does the shipment contain Atlantic bluefin tuna harvested after May 1, 2016?

- If so, the product must be documented via the International Commission for the Conservation of Atlantic Tunas (ICCAT) Atlantic Bluefin Tuna catch documentation system (eBCD system). Product documented via the eBCD for harvest and direct import or as a re-export from another country coming to the US, the eBCD system will issue a unique eBCD certificate number and, if applicable an eBCD re-export certificate number.
- The eBCD number or, if applicable, eBCD re-export number will be entered via use of the PG14Record Document Identifier and PG14 Compliance Description.
- No DIS documentation is required for Atlantic bluefin tuna documented in the eBCD system under the HMS program. Only the provision of the eBCD number is required. However, for product harvested prior to May 1, 2016, upload documentation into DIS.

Is there more than one Catch, Statistical, or Re- Export Document form required?

- If so, repeat PG-22 once for each different form required. Indicate which form it is in the PG-22 line by including the code for that form from Appendix PGA.
- Designate the code for the ocean area of catch/harvest; such as WP (western Pacific Ocean) or IND (Indian Ocean).

In addition to the Catch Document or Statistical Document forms, there may be Re-Export Document forms required and submitted as well. A

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Re-Export Document may be present and accompany a product being imported to the US if the product was initially landed in one country and then imported and re-exported from at least one additional country prior to being imported to the US. The international forms involved, and in use for the HMS programs are adopted by numerous countries. Regional Fisheries Management Organizations (RFMOs) or Treaty / Convention entities often require a full “harvest to market” tracking of these products that incorporates both initial and re-export forms.

Repeat PG-22 once for each additional type of form that is included. The unique, specific identifying numbers on the forms that contain them should be recorded through the repetitive use of PG-22. (Most HMS related forms do contain a specific (serialized) number unique to that individual document.)

The PG-31 record must be shown for the harvesting vessel’s country of registry or “vessel flag” for each harvest country and product or HTS Code in the shipment.

Are there multiple harvest vessels listed on the form(s) that are flagged (registered) in different countries?

- If there is more than one “flag country” or “country of registry” for the vessels listed, repeat PG- 31 once for each separate “flag country” shown. If there are multiple vessels, but they are all from the same country (bear the same flag), then you need only use the PG-31 record once for each HTS code/product shown.

Use the PG50 record to begin/precede a grouping of PG06 through PG31 Records that refer and pertain to the same harvest and use the PG51 record to end/follow the grouping.

When submitting Document Images associated with the Entry filing and PGA Message Set, it is advisable to send/submit the documents via DIS a short time (perhaps 10 minutes +/-) before transmitting the Entry and PGA Data set so that the system records the receipt of the images in DIS. This will preclude the likelihood of receiving an “error” warning from the system as “missing documentation”.

HMS Program Harmonized Tariff Schedule Codes

All tuna and swordfish product included in the following Harmonized Tariff Schedule of the United States (HTS) categories that is imported into the United States must be accompanied by an international Catch Document, Certificate or Re-Export Certificate and a PG Message Set as designated in the above described requirements. All shark fin imported must be accompanied by a PG Message Set, but no additional supporting documents are required for shark fins. As per the U.S. International Trade Commission, HTS codes beginning with “0303” denote product “excluding fish fillets and other fish meat of heading 0304.” HTS codes beginning with “0304” denote “fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen.”

Bluefin Tuna

- 0302.35.0100 Atlantic and Pacific bluefin tunas (*Thunnus thynnus*, *Thunnus orientalis*).
- 0302.36.0000 Southern bluefin tunas (*Thunnus maccoyii*).
- 0303.45.01 Atlantic and Pacific bluefin tunas (*Thunnus thynnus*, *Thunnus orientalis*).
- 0303.45.0110 *Thunnus thynnus*.
- 0303.45.0150 *Thunnus orientalis*.
- 0303.46.0000 Southern bluefin tunas (*Thunnus maccoyii*).
- 0304.49.0190 Fish fillets, fresh/chilled/frozen/other.
- 0304.87.0000 Frozen fillets, and other fish meat, tuna (*Thunnus* & *Euthynnus*).

Swordfish

- 0302.47.00 Swordfish (*Xiphias gladius*).
- 0302.47.0010 Steaks.
- 0302.47.0090 Other.
- 0303.57.00 Swordfish (*Xiphias gladius*).
- 0303.57.0010 Steaks.
- 0303.57.0090 Other.
- 0304.45.0000 Swordfish (*Xiphias gladius*).
- 0304.54.0000 Swordfish (*Xiphias gladius*).
- 0304.84.0000 Swordfish (*Xiphias gladius*).
- 0304.91.1000 Swordfish (*Xiphias gladius*). In bulk or in immediate containers weighing with their contents over 6.8 kg each.

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0304.91.9000 Other.

Frozen bigeye tuna

0303.44.0000 Bigeye tunas (*Thunnus obesus*).

Sharkfin

0305.71.0000 Shark fins.

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NMFS Antarctic Marine Living Resources (AMR) Program Requirements (Primarily Fresh or Frozen Toothfish Imports and Exports) https://www.fisheries.noaa.gov/permit/antarctic-marine-living-resource-permits	
<i>This Guide is to be used in conjunction with the Partner Government Agencies ACE CBI CATAIR and associated/referenced appendices. See http://www.cbp.gov/trade/ace/catair</i>	
General NMFS Requirements and Restrictions	See attached NMFS HTS code list for all products covered by the AMLR Program.
	A NMFS International Fisheries Trade Permit (IFTP) is required for all Antarctic Marine Living Resource (AMLR) imports and exports (this includes toothfish and krill) <i>This permit can be obtained at:</i> https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp <i>This permit replaces the AMLR Permit. The same IFTP # can be used for the same importer of record for all NMFS Programs including HMS, AMLR, SIM, and TTVP/370.</i>
	All Frozen toothfish import requires NMFS Pre-Approval prior to import. See https://www.fisheries.noaa.gov/permit/antarctic-marine-living-resource-permits and https://www.fisheries.noaa.gov/webdam/download/87613347
Document Images - Only Required for Fresh Toothfish	All imports/exports of fresh toothfish will require the submission of document images; Requirements include: <ul style="list-style-type: none"> • Dissostichus Catch Documents (DCD) • Reporting form for Catch Documents accompanying fresh, air-shipped shipments of toothfish and/or • Dissostichus Re-Export Document for product that has either been re-exported to the United States from a country other than the harvesting country or for any re-exports from the United States
<i>Required PG Records: the following PG Records must be provided via the message set in addition to all associated Mandatory Records such as the Control Identifier- "PG", Record Type- "01".</i>	
<i>A separate or additional PG-01 line and supporting PG records must be provided for any shipment/Entry containing both fresh and frozen toothfish. Data/details pertaining to fresh toothfish cannot be grouped or co-mingled with data/details on frozen product even if the products have the same HTS #.</i>	

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Record Identifier PG- OI (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal OI	
Filler	8AN	3-10	M	Space fill	
Commercial Description of Shipment (product)	70x	11-80	M	Example: "DISSOTICHUS – FRESH TOOTHFISH"	

Record Identifier PG- 01 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 01	
PGA Line Number	3N	5-7	M	Begin with "001" and number sequentially for additional PG01 Lines	
Government Agency Code	3AN	8-10	M	Enter "NMF" for National Marine Fisheries Service (Appendix V)	
Government Agency Program	3X	11-13	M	"AMR" -Antarctic Marine Living Resources (Appendix PGA)	
Government Agency Processing	3AN	14-16	C	Indicate whether or not the product is Fresh or Frozen. Code "FRE" =Fresh or "FRZ"=Frozen	
Electronic Image Submitted	1A	17	C	<i>"Y" indicates an Image is attached (not necessary for frozen toothfish)</i>	
Confidential Information Indicator	1A	18	C	<i>"Y" indicates the info is confidential</i>	

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Record Identifier PG- 02 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Notes
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 02	
Item Type	1A	5	M	Enter "P" for product (vs. component of P)	

Record Identifier PG- 10 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Notes
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 10	
Commodity Qualifier Code	4X	16-19	C	A code of "FRZ" = Frozen or "FRE"=Fresh must be provided for all toothfish	

Record Identifier PG- 14 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Notes
Control Identifier	2A	1-2	M	Must Always Equal PG (If the product is <u>frozen</u> toothfish, then the PG14 record use will be repeated to provide information for "pre-approval" issued for the specific Entry/shipment	
Record Type	2N	3-4	M	Must Always be 14	

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LPCO Transaction Type	1N	5	C	Info on the permit issued; enter a “2” to identify this a continuous use document	
LPCO Type	3AN	6-8	C	Enter “NM4” to identify this document as an NMFS IFTP Permit	
LCPO Number	33X	9-41	C	NMFS IFTP Permit number. The unique permit number for the importer of record	
Control Identifier	2A	1-2	M	Must Always Equal PG (repeat use for frozen toothfish “pre-approval” authorization form	
Record Type	2N	3-4	M	Must Always be 14	
LPCO Transaction Type	1N	5	C	Info on the pre-approval issued; If this is FROZEN toothfish, enter a “1” to indicate that the entry following will be for a single use authorization, that being the “pre-approval” issued for this specific shipment/entry	Note 1- Fresh vs Frozen Toothfish & Krill
LPCO Type	3AN	6-8	C	Enter “NM2” to identify this document as an “Approval Action of Catch Documents for toothfish Imports” (From Appendix PGA, Record 14 Type Codes)	
LPCO Number	3X	9-41	C	Enter the unique specific number assigned to this Pre-Approval issued by NMFS to the importer	
LPCO Quantity	16N	51-66	C	Enter the quantity by weight in Kilograms - KG shown on the pre-approval issued for this shipment for frozen product. (Four decimal places are implied)	
LPCO Unit of Measure	5AN	67-71	C	Enter “KG”	

NOTE 1:

Fresh vs Frozen Toothfish & Krill: For frozen toothfish, no additional records are needed beyond the PG14 record and no DIS documents are required. However, for FRESH toothfish the following PG Records and information is required pertaining to the documents to be submitted via DIS; for krill, a copy of the “Import Ticket” needs to be submitted via DIS

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Record Identifier PG- 22 (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Notes
Control Identifier	2A	1-2	M	Must Always Equal PG	
Record Type	2N	3-4	M	Must Always be 22	
Importers Signed Document	1A	5	C	“Y” indicates that the importer has a copy of the required document	
Document Identifier	7AN	6-12	C	Repeat this row as many times as is necessary, once for each type of document that is required to accompany fresh toothfish that is submitted. Codes from the list in Appendix PGA – Document Identifiers. These will be for: the Reporting Form for Catch Documents Accompanying Fresh, Air-shipped Shipments of toothfish (code 888), the Dissostichus Catch Document (code 889) and possibly for Dissostichus Re-Export Document (<i>code TBD/added to Appendix PGA</i>). These documents must be submitted via DIS at the time of the filing t CBP via the Document Imaging System (DIS).	
Compliance Description (will be repeated multiple time for multiple documents)	30X	51-80	C	<i>Enter the unique/specific document number that appears on every AMLR program related document submitted via the DIS. This is the specific “serialized” number assigned to the individual reporting form for a specific harvest.</i>	

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AMR - Supplemental instructions for the filer:

Does the shipment/entry contain more than one product as defined or differentiated by HTS Code?

- If so, you will have a separate/repeated set of PG Records including; PG-OI, PG-01, PG-02, PG 06, PG-22 and PG-31 for each specific HTS Code Product contained in the shipment for this Entry number.

If the shipment contains both fresh and frozen toothfish, and if the same HTS code is used for both fresh and frozen toothfish, then a separate/distinct and additional PG01 record and series of PG Records must be provided for both the fresh and the frozen product. PG Records pertaining to the fresh and frozen product cannot be contained together following the same PG01 Record.

NMFS “Approval Action” for frozen toothfish: this process involves the submission of all necessary documents to NMFS for review at least 15 days prior to the anticipated date of arrival. The NMFS Pre-approval must be obtained for the import of all frozen toothfish in any form.

- For **FROZEN** toothfish. Only a PG Message Set including record PGOI, PG01, PG02, PG10 and two PG14 sets of records are required (PG14 records must be provided for both the Permit and the Pre-Approval). No DIS submissions are necessary for **FROZEN** toothfish.

For the import of FRESH toothfish, the full PG Records series shown in the Matrix above must be submitted, including PGOI, PG01, PG02, PG10, PG14 and PG22 as necessary. The “Reporting Form for Fresh Toothfish” and the Dissostichus Catch Documents (DCDs) for that shipment must be submitted via DIS.

For the import of krill, no additional forms are required to be submitted to CBP; however the PGA Message set must be submitted, including the Mandatory records in addition to the PG-14 Record, providing the NMFS AMLR Permit number.

As of September 20, 2016 all NMFS programs require the submission of the International Fisheries Trade Permit (IFTP) for the importer of record.

- This permit can be obtained by the importer/exporter of record at:

https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp
- This is a continuous use permit that can be used repeatedly and is the same permit number for all import transactions for all NMFS programs.
- This number is an alphanumeric 12 digit number with the letters IFTP followed by 8 numbers. The letters IFTP are part of the permit number.

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Antarctic Marine Living Resources (AMR) Program HTS Codes

0306.19.0030 Antarctic krill (*Euphausia superba*).

0511.99.3030 Antarctic krill (*Euphausia superba*).

0302.83.0000 Toothfish (*Dissostichus spp.*). Fish, fresh or chilled, excluding fish fillets and other fish meat of heading 0304.

0303.83.0000 Toothfish (*Dissostichus spp.*). Fish, frozen, excluding fish fillets and other fish meat of heading 0304.

0304.46.0000 Toothfish (*Dissostichus spp.*). Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen.

0304.55.0000 Toothfish (*Dissostichus spp.*). Fish fillets and other fish meat (whether or not minced), fresh chilled or frozen.

0304.85.0000 Toothfish (*Dissostichus spp.*) Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen.

0304.92.1000 Toothfish (*Dissostichus spp.*). Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen). In bulk or in immediate containers weighing with their contents over 6.8 kg each.

0304.92.9000 Toothfish (*Dissostichus spp.*). Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen). Other.

NMFS SIM - Seafood Import Monitoring Program Introduction

The following implementation guidelines have been established for data collection, via the Message Set, for the **Seafood Import Monitoring Program (SIM)** pursuant to the rule published by NMFS on December 9, 2016. This section of document is the guideline for only the Seafood Import Monitoring Program. Some of the products included in this program are covered by the NMFS 370 and/or NMFS HMS programs as well. You must provide the appropriate data for each of the programs, including SIM. Please note that separate [sections of the](#) Implementation Guidelines for the three other NMFS programs are included in this guide.

Thirteen species included in the SIM program:

- Abalone
- Atlantic Cod
- Blue Crab (Atlantic)
- Dolphinfish (Mahi Mahi)
- Grouper
- King Crab (red)
- Pacific Cod
- Red Snapper
- Sea Cucumber
- Sharks
- Shrimp
- Swordfish *(Also included in the NMFS HMS program).*
- Tunas: Albacore, Bigeye, Skipjack, Yellowfin, and Bluefin *(Under certain conditions; may also be included in the NMFS HMS and 370 programs).*

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The rule published on December 9, 2016 for the Seafood Import Monitoring Program (SIM) created the fourth NMFS Trade Monitoring Program. SIM is established to address concerns pertaining to Illegal, Unreported and Unregulated Fishing and/or misrepresented seafood from entering U.S. commerce. Filing pursuant to **the requirements of the program became mandatory on January 1, 2018 though filing requirements covering shrimp and abalone became mandatory a year later on December 31, 2018.** The import filing requirements and guidelines for the SIM program are addressed in the following pages of this document.

For technical support and general questions regarding SIM compliance can be directed to SIMP Support:

Email: SIMPsupport@noaa.gov

Phone: TOLL: 301-427-8301 TOLL FREE (US and Canada): 833-440-6599

Questions or comments pertaining to any of these requirements can also be addressed to Dale Jones of the NMFS Office of Science and Technology by calling 301-427-8143 or by email to dale.jones@noaa.gov.

Additional resource materials pertaining to the SIM Program, including the list of associated HTS codes, can be accessed at:

<https://www.fisheries.noaa.gov/international/seafood-commerce-certification/seafood-import-monitoring-program>

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NMFS - Seafood Import Monitoring Program (SIM) Requirements NMFS Message Set and DIS Collection Requirements Imports Only	
<p><i>This guide is to be used in conjunction with the Partner Government Agencies ACE ABI CATAIR and associated/referenced appendices. See http://www.cbp.gov/trade/ace/catair</i></p>	
General NMFS Requirements and Restrictions	<p><i>The NMFS Seafood Import Monitoring Program (SIM) includes a list of species determined to be “priority” for monitoring with regard to concerns involving Illegal, Unreported and Unregulated (IUU) fishing and potential Seafood Fraud. HTS product codes included in this program will be flagged by CBP for NMFS/SIM PGA Required information.</i></p> <p>HTS Codes for SIM <i>The current list of HTS Codes required for SIM can be found on line at:</i> https://www.fisheries.noaa.gov/resource/form/harmonized-tariff-codes-seafood-import-monitoring-program</p>
	<p><i>See Magnuson-Stevens Act 307(1)(Q) for legal reference.</i></p>
	<p><i>Note: Some of the species/products (HTS) listed in this Program are also included in/covered by either or both the HMS and TTVP/370 programs. When the product is covered by more than one NMFS program and the same information is required for more than one NMFS program, to preclude the need to enter the same data repeatedly for two or three different NMFS program requirements, the filer’s software developer may wish to structure the population of PG Message Set to assure that the data need only to be entered one time by the filer. This will be determined by the HTS code and the specific NMFS program requirements for each product. NMFS and CBP have established requirements in a manner that precludes redundant entry of the same data to the extent possible however, some actions may still be necessary on the part of the filer’s software provider to further minimize repeated entry of some data points.</i></p>
	<p>An International Fisheries Trade Permit (IFTP) issued by NMFS is required of the importer of record for all four NMFS Monitoring Programs including the SIM Program. A single NMFS permit is required for importers of the fish and fish products covered under any of the trade monitoring programs. Permits may be obtained online at:</p> <p style="text-align: center;">https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp</p>
Document Images	<p>No DIS documents or images are required for submission to the SIM Program.</p>

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Summary of Required PGA Records

The following records are always required under SIM:

OI
PG01
PG02
PG05

If trade provides a 3-Alpha code that is on the NMFS 3-Alpha code list that requires the submission of the complete set of records, then depending on the scenario, the following additional records are required:

If an aquaculture scenario:

PG06 – HBA
PG14
PG19 - AQF
PG20
PG21
PG29 - quantity

If wild caught harvest (including small vessel harvests transferred to a larger vessel at sea) scenario:

PG06 – HCF
PG14
PG19
PG20
PG21
PG31, VCR, ISO, UOM, weight
PG31 VNM
PG32 11 or 13 (routing code), ISO country code

(In the scenario directly above, there could be multiple PG31 and 32 records. In those instances, trade should use the PG50/51 to group the PG31 and 32s together, accordingly.)

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If wild caught – aggregated harvest, offloaded from multiple small vessels to shore

PG06 – SVH

PG14

PG19

PG20

PG21

PG 24 - Required only for aggregated harvests involving multiple small-scale fishing vessels (20 measured gross tons or less or 12 meters length overall or less)

PG29 – quantity

PG32 11 (routing code), ISO country code – where fish offloaded to shore

To ensure proper association between the species information and the vessel information and locations, there can only be one PG06 record per PGA line and all associated records must be provided with that PG06 record

Record Identifier PG01 (Input)

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The following are the data elements required by NMFS for SIM in the PG01:

Record Identifier PG-OI (input)					
Data Element	Length/Class	Position	Status	Description, Examples and/or instruction	Note
Control Identifier	2A	1-2	M	Must Always Equal OI	
Filler	8AN	3-10	M	Space fill	
Commercial Description of Shipment (product)	70x	11-80	M	Example: "Canned Light Meat Tuna in Water"	

Record Identifier PG01 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 01.	
PGA Line Number	3N	5-7	M	Number required by PGAs beginning with 001 within a CBP line and sequentially incremented on subsequent PG01 records, if applicable.	
Government Agency Code	3AN	8-10	M	Enter "NMF" for National Marine Fisheries Service.	
Government Agency Program Code	3X	11-13	M	Enter "SIM" for the Seafood Import Monitoring Program.	
Confidential Information Indicator	1A	18	M	A code of Y (Yes) indicating information should be treated as confidential, per the agency's regulations. No other code is accepted.	

Record Identifier PG02 (Input)

For NMFS SIM program, data is expected to be reported at the Product level. No PG02's with a 'C' are expected.

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Record Identifier PG05 (Input)

The PG05 record is mandatory for SIM.

Species covered by the SIM program: Abalone, Atlantic Cod, Pacific Cod, Blue Crab, Red King Crab, Dolphinfin (Mahi Mahi); Grouper, Red Snapper, Sea Cucumber, Sharks, Shrimp, Swordfish, Tunas (Albacore, Bigeye, Skipjack, Yellowfin, Bluefin) require the submission of a PG-05 record with the 3-Alpha code that specifically identifies the species being imported in this shipment.

3 Alpha Codes:

Some of these species, as identified by certain 3 Alpha codes, will not require the submission of additional SIM Program message set data. The list of the 3-Alpha codes that **require** the submission of the full/entire message set of all PG records included for SIM in this Implementation guide (PG-01 through PG-32 Records) are provided online at the NMFS Office of International Affairs and Seafood Inspection website:

<https://www.fisheries.noaa.gov/resource/form/three-alpha-codes-seafood-import-monitoring-program>

The United Nations Food and Agricultural Organization's Aquatic Sciences and Fisheries Information System (ASFIS) provides a comprehensive reference list of species names, scientific names and the 3-Alpha codes for them. Filers can locate the comprehensive species-specific list in Excel format and species and download it at:

<http://www.fao.org/fishery/collection/asfis/en>

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The following are the data elements required by NMFS for SIM in the PG05.

Record Identifier PG05 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 05.	
Scientific Species Code	7AN	67-73	M	Enter the 3 Alpha code per guidance above.	

Record Identifier PG06 (Input)

At least one PG06 record must be provided with the source type code of HCF, HBA or SVH. There can only be one PG06 record per any given PGA line, when the NMFS program code = SIM.

The following are the data elements required by NMFS for SIM in the PG06.

Record Identifier PG06 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 06.	

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Record Identifier PG06 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Source Type Code	3AN	5-7	M	<p>Harvest Description Code: Enter the description of the harvest source of this product as one of the three following sources:</p> <p>HCF = Harvest Capture Fisheries / “Wild Caught” - Animals harvested (exploited) by the public as a common property resource, with or without appropriate licenses. Also characterized as “wild caught” animals. <i>This includes pen matured (PMH) animals, those animals captured alive before they are “penned” for feeding and growth until actual/final harvest.</i> Provide the information on the initial capture.</p> <p>HBA = Hatchery based aquaculture - Harvested animals that have been owned by individuals or corporate bodies throughout their entire life cycle from spawning to harvest.</p> <p>SVH = Small Vessel Harvest – Use this code for “Wild Capture” aggregated harvests involving multiple small-scale fishing vessels (20 measured gross tons or less or 12 meters length overall or less) landed at shore. SVH is not used for situations where the fish were transferred to a larger collecting vessel.</p>	<p>Note 1- Ocean Geographic Codes</p> <p>Note 2- Aggregated Harvest Definition</p>

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Record Identifier PG06 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Country Code	2X	8-9	M	A two-letter code from Appendix B that shows from what Country or what Country's territorial waters the harvest took place or, if it was harvested on the high seas in international waters, use code "ZZ".	
Geographic Location	20X	10-29	M	Code describing the ocean area of the catch (requires multiple entries for multiple vessels or multiple aquaculture facilities if the product in the shipment was harvested from multiple facilities). Enter the geographical location (for example: North Atlantic Sea) that is the source where the harvest, growth, production, sale, or catch took place. For ocean geographic area locations, see the CBP Appendix PGA for valid codes.	

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Processing Start Date	8N	30-37	M	<p>A numeric date in MMDDCCYY (month, day, century, year) format.</p> <p><u>For HCF - wild capture harvested product, use this date field to show the date that the fish was first off loaded from the single large harvest vessel (over 12 meters in length overall or over 20 measured gross tons) as either a landing or a transshipment; or the date when an authorized aggregated harvest from qualified small vessels (12 meters or less overall length or 20 measured gross tons or less) was transferred from the harvest vessel to a collection vessel for transshipment.</u></p> <p><u>For HBA – hatchery based aquaculture harvested product, use this date field to show the date of the first transfer of the fish from the aquaculture facility or if part of an authorized aggregated harvest from small aquaculture facilities, the date that the product was originally transferred from the entity initially collecting the fish to the next entity.</u></p> <p>For SVH – small vessel aggregated harvest, use this date field to show the day that the fish was aggregated and landed at shore.</p>	
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Processing Type Code	5AN	46-50	C	Code indicating the fishing vessel's harvesting gear type for wild capture harvest. See Note 1 for the list of allowed processing type codes for NMFS.	Note 3: Processing Codes
Processing Description	30X	51-80	M	Provide the 3-letter code indicating the product form at the time of transshipment or initial landing. Valid codes are: NDR- Dressed; NFL- Fillet; NGG- Gilled and gutted; NOT- Other; NRD- Round (whole); NST- Steak; NRS- Radiation sterilized; RND- Whole, shell-on; HSO- Headed, shell-on; PD- Peeled.	

NOTE 1:

Ocean Geographic Codes - The codes for the general Ocean Areas for reporting of the "Geographic Area" are available in the Appendix PGA. Filers may also use more specific area harvest descriptions such as the UN Food and Agriculture Organizations (FAO) ocean areas or even the latitude and longitude to identify the harvest location. Filers should provide the most appropriate code pursuant to the importer's (IFTP holder) records to assure consistency with the potential review of any records provided as a result of future audits or inspections.

NOTE 2:

Aggregated Harvest Report:

means a record made at a single collection point on a single calendar day for aggregated catches by multiple small-scale fishing vessels (20 measured gross tons or less or 12 meters length overall or less) offloaded at that collection point on that day, or for a landing by a vessel to which the catches of one or more small-scale vessels were transferred at sea. An Aggregated Harvest Report also means a record made at a single collection point or processing facility on a single calendar day for aggregated deliveries from multiple small-scale aquaculture facilities, where each aquaculture facility delivers 1,000 kg or less to that collection point or processing facility on that day. An Aggregated Harvest Report may not be used for information for catches from vessels greater than 20 measured gross tons or 12 meters length overall, and deliveries of more than 1000 kg from aquaculture facilities.

NOTE 3:

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NMFS Processing Type Codes:

Code	Name
BB	Baitboat
BBF	Baitboat: Freezer
BBI	Baitboat: Ice-well
BLL	Longline: Bottom or Deep longliners
DN	Large Scale Driftnet (High Seas)
GIL	Gillnet
GN	Gillnet less than 1.5 miles (2.4 km) in total length
HAN	Handline
HAR	Harpoon
HS	Haul Seine
LL	Longline
LLA	Longline: Targeting ALB
LLF	Longline: Foreign-Based
LLH	Longline: Home-Based
LLJ	Longline: Japanese Type
LLM	Longline: with mother boat
MWT	Mid-water Trawl
PTM	Trawl: Mid-water paired trawl
OTH	Other Type
PL	Pole and Line, Hook and Line
PS	Purse Seine Net
PSD	Purse Seine: Double-boats
PSL	Purse Seine: Catching large fish
PSF	Purse seine: Catching small fish
PSG	Purse Seine: Large Scale (over 200 MT capacity)
PSB	Purse Seine: Using live bait
PSM	Purse Seine: Medium scale (between 50 and 200 MT capacity)
PSS	Purse Seine: Small Scale (less than 50 MT capacity)
RR	Rod and Reel
RFB	SPORT: Rod & Reel (catching large fish)

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Code	Name
RFS	SPORT: Rod & Reel (catching small fish)
RSD	SPORT: Rod & Reel DISCARDS (small vessels)
SHL	Sport Handline
SPO	Sport Fisheries Unclassified
SUR	Surface Fisheries Unclassified
TL	Tended Line
TN	Trammel Net
TRA	Trap
TRW	Trawl
TRO	Troll
UNC	Unclassified: Gears not reported or Unspecified method

Record Identifier PG14 (Input)

A PG14 Record is mandatory for the NMFS SIM program for all species named and included in the NMFS posted 3-Alpha code list. Trade must always submit at least one LPCO (e.g., NM4 for the NMFS International Fisheries Trade Permit), along with the importer of record’s IFTP permit number if the 3-Alpha code identifying the product is on the NMFS list. For all species not included in the NMFS 3-Alpha code list, no NMFS IFTP permit number is required to be submitted.

Trade should submit additional PG14 records if reporting “Other Authorization to Fish” (NM6) that are available and which may be required to show authorization to fish during a subsequent audit process or investigation. This does not preclude the need for the IFTP Permit. This, “Other Authorization to Fish”, is a second or additional, license, permit, certificate or other (LPCO) under which the product in this shipment was legally harvested seafood/product. Such authorizations may include, but are not limited to, Regional Fisheries Management Organization (RFMO) membership number, flag/country license or similar documentation.

The following are the data elements required by NMFS for SIM in the PG14.

Record Identifier PG14 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	

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Record Identifier PG14 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Record Type	2N	3-4	M	Must always be 14.	
LPCO Transaction Type	1N	5	M	Enter "2" = continuous, for SIM If additional LPCO codes are provided as an "NM6" type of "other authorization to fish", enter a "1" if it is a "one time only" use permit or a "2" if the authorization is an "ongoing/multiple use" type of authorization.	
LPCO Type	3AN	6-8	M	Enter the license type as "NM4" the code for the NMFS International Fisheries Trade Permit (IFTP). Only one Importer of Record is acceptable per filing. NM6 is additionally allowed for "Other Authorization to Fish." To Obtain a NMFS International Fisheries Trade Permit, see https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp	
LPCO Number (or Name)	33X	9-41	M	The LPCO number entry comes in two parts: 1. Enter the assigned NMFS IFTP number for the SIMP importer of record. 2. Enter the "other authorization to fish," which is the fishing license, permit, certificate, or other means demonstrating this shipment was legally harvested. See above description for record identifier PG14 for more details. IFTP numbers are alpha numeric. Include the letters "IFTP" when entering the permit number.	

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Record Identifier PG19 (Input) and PG20 (Input)

The PG19 and 20 records are mandatory:

- For products designated as Harvest Capture Fisheries (HCF) in the PG06, wild capture fish/product, or those captured and thereafter pen raised until harvest; provide the name and location (city or region & country) of the entity to which the product was provided at the time of the initial/first landing or delivery.
- For products designated as Hatchery Based Aquaculture (HBA) products in the PG06; provide the name and location (city or region & country) of the aquaculture facility where the fish was harvested. Or, if the fish/product was collected from multiple sites and documented as an “aggregated harvest” through an “aggregated harvest report”, provide the name of the person or entity responsible for the collection.
- For product designated as Small Vessel Harvest (SVH) in the PG06, provide the name and location (city or region & country) where the fish was landed at shore and the name of the person or entity responsible for the collection of the fish.
- The Entity Name and Role Code are required.
- The use or submission of an Entity Number is optional. If an Entity Number is provided, the Entity Identification Code must also be provided.

Record Identifier PG19 (Input)

- The following are the data elements required by NMFS for SIM in the PG19.

Record Identifier PG19 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 19.	

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Record Identifier PG19 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Entity Role Code	3AN	5-7	M	<p>Identifies the role of the entity. Provide code that most accurately identifies the role of the entity. Due to the nature of the requirements of this program, the party may represent one of a number of acceptable entity roles.</p> <p><i>Each Aquaculture facility that contributed to the content of the shipment must be submitted in a separate PG19 Record unless or except if the facilities were “small scale” and an “Aggregated Harvest Record” was established documenting the sites that meet the designation as such pursuant the NMFS Seafood Import Monitoring rule (1,000 kg or less per facility on a single day.)</i></p> <p>https://www.federalregister.gov/documents/2016/12/09/2016-29324/magnuson-stevens-fishery-conservation-and-management-act-seafood-import-monitoring-program</p>	Note 1 - Acceptable Entity Role codes.
Entity Identification Code	3AN	8-10	C	If an Entity Number is given, provide the code that Identifies or describes the entity referenced. Valid codes are 16 (DUNS number), FIR (FIRMS code), MID (Manufacturer/supplier Code), or 351 (NMFS-assigned).	
Entity Number	15X	11-25	C	Identifier number for the Entity if assigned as one of the recognized entities as listed above.	

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Record Identifier PG19 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Entity Name	32X	26-57	C	Name of the Entity.	
Entity Address 1	23X	58-80	C	Address Line 1 for the Entity.	

NOTE 1:

The list of valid NMFS Entity Role Codes are:

Code	Name	Definition
AQF	Aquaculture Facility	Name of the aquaculture facility at which the seafood is raised and harvested.
BY	Buyer	Party to which merchandise or services are sold.
CE	Certifying Entity	Importer or Private Labeler who is certifying the shipment.
CI	Certifying Individual	Individual who is certifying the shipment.
CO	Certifying Official	Official who is certifying the shipment.
CN	Consignee	Party on whose account the merchandise is shipped.
CZ	Consignor	Party, which, by contract with a carrier, consigns or sends goods with the carrier, or has them conveyed.
CR	Consolidator	Entity that combines less-than-carload shipments into full carloads.
EX	Exporter	Party who makes, or on whose behalf the export declaration is made, and who is the owner of the goods.
EXE	Exporting Establishment	The establishment where the export originated.
PRE	Preparer	Person who prepared the form.
GD	Producer	Party or person who has produced the product.

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Record Identifier PG20 (Input)

This record is mandatory for NMFS SIM.

The following are the data elements required by NMFS for SIM in the PG20.

Record Identifier PG20 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 20.	
Entity Address 2	32X	5-36	C	Address Line 2 for the Entity.	
Entity Apartment Number/Suite Number	5X	37-41	C	Apartment/Suite number of the entity.	
Entity City	21X	42-62	M	City of the entity.	
Entity State/Province	3AN	63-65	C	State/Province of the entity. This field is Mandatory for addresses in the United States, Mexico and Canada. For locations where a state or province exists, it must be included.	
Entity Country	2A	66-67	M	ISO Country Code. See Appendix B in the ACE ABI CATAIR for valid codes.	
Entity Zip/Postal Code	9X	68-76	C	Zip/Postal Code of the entity.	
Filler	4X	77-80	M	Space fill.	

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Record Identifier PG21 (Input)

This record is mandatory for NMFS SIM.

Trade must provide either the telephone number or the email address of the individual.

The following are the data elements required by NMFS for SIM in the PG21.

Record Identifier PG21 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 21.	
Individual Qualifier	3AN	5-7	M	Identify the party or facility the Individual represents. See Note 1 in the PG19 record for the valid acceptable codes.	
Individual Name	23X	8-30	M	Name of the Individual.	
Telephone Number of the Individual	15X	31-45	C	Telephone number of the individual.	
Email Address or Fax Number for the Individual	35X	46-80	C	Email address of the individual.	

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Record Identifier PG24 (Input)

This record is mandatory for NMFS SIM if the PG06 Source Type Code is SVH designating the product as harvested under the aggregated harvest by small vessels.

The following are the data elements required by NMFS for SIM in the PG24.

Record Identifier PG24 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 24.	
Remarks Type Code	3AN	5-7	n/a		
Remarks Code	5AN	8-12	n/a		
Remarks Text	68X	13-80	C	Free form text listing the number of small vessels used to conduct the harvest if the aggregated harvest by small vessels exception.	

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Record Identifier PG29 (Input)

This record is mandatory for NMFS SIM if the identification of the product was an aquaculture product (source type code HBA) or small vessel harvest (source type code SVH), in the PG06 Record. Provide data pertaining to the net unit of measure of the commodity weight at the time of harvest.

Note on Commodity Net Quantity: The total landed weight of the harvest is required in the entry filing. The weight is the volume (in pounds or kilograms) of the originally unloaded or delivered catch. NMFS is aware that not all landed catch will be exported to the United States; however, the total catch volume is needed to verify that the harvest event was legal.

The following are the data elements required by NMFS for SIM in the PG29.

Record Identifier PG29 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 29.	
Unit of Measure (PGA line - net)	3AN	5-7	M	Pertaining to the overall PGA Line Number, the indication of the unit of measurement in which weight, capacity, length, area, volume or other quantity is expressed. "Unit of Measure (PGA line - net)" in this position is associated with "Commodity Net Quantity (PGA line - net)" and is required when "Commodity Net Quantity (PGA line - net)" is reported. Valid Units of Measure can be found in ACE CATAIR Appendix B.	
Commodity Net Quantity (PGA line - net)	12N	8-19	M	Pertaining to the overall PGA Line Number, excluding all packing and packaging. Two decimals are implied. "Commodity Net Quantity (PGA line - net)" is required when "Unit of Measure (PGA line - net)" is reported in positions 5-7 of this record.	

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Record Identifier PG31 (Input)

The PG31 record is mandatory if the product was identified as anything other than aquaculture product or a small vessel aggregated harvest that was landed at the shore and not transferred to another vessel in the PG06. It provides data pertaining to the vessel used to harvest the commodity and/or the larger vessel used to aggregate and transport the harvest of multiple smaller vessels under 12 meters or under 20 gross tons. It must be repeated to provide both the Vessel Country of Registry (VCR), and Vessel Name (VNM), along with required associated data. It may also be repeated to provide other vessel identifiers that trade may wish to provide, such as the International Maritime Organization Number (IMO), etc., if applicable.

Note on Harvested Commodity Net Weight: The total landed weight of the harvest is required to be reported in the entry filing. The weight is the volume (in pounds or kilograms) of the originally unloaded or delivered catch. NOAA Fisheries is aware that not all landed catch will be exported to the United States; however, the total catch volume is needed to verify that the harvest event was legal.

The following are the data elements required by NMFS for SIM in the PG31.

For the Vessel Country of Registry (VCR):

Record Identifier PG31 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 31.	
Commodity Harvesting Vessel Characteristic Type Code	3AN	5-7	M	Enter the three letter code "VCR" = code for the Vessel Country of Registry (Flag Country) or Registry of the Harvest Vessel or transshipment vessel used to collect the aggregated harvest of vessels under 12 meters or under 20 gross tons.	

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Record Identifier PG31 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Commodity Harvesting Vessel Characteristic	35X	8-42	M	Flag Country of Registry of the Harvest Vessel or transshipment vessel used to collect the aggregated harvest of vessels under 12 meters or under 20 gross tons. In positions 8 and 9, enter the two-digit country code from Appendix B for the flag country of the harvesting vessel.	
Unit of Measure (conveyance)	3AN	43-45	M	Indication of the unit of measure in which the weight of the product harvest is expressed. See Units of Measure in Appendix	
Harvested Commodity Net Weight	10N	46-55	M	Enter the weight of the product at the time of harvest. Two decimal places are implied.	See note in PG31 description above.
Filler	25X	56-80	M	Space fill.	

For the Vessel Name (VNM):

Record Identifier PG31 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 31.	
Commodity Harvesting Vessel Characteristic Type Code	3AN	5-7	M	Enter the three letter code "VNM" = Vessel Name.	

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Record Identifier PG31 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Commodity Harvesting Vessel Characteristic	35X	8-42	M	Provide the Vessel Name, or other documentation of authorization to fish. VESSEL NAME and/or other documentation of authorization to fish. The term or numeral commonly used when referring to the distinguishing feature or property of the vessel used for harvesting the commodity. This includes the harvesting vessel name. Authorization to fish may include the flag state authorization numbers and/or various Regional Fisheries Management Organization (RFMO) registry numbers such as for ICCAT, etc. This documentation should be that which is applicable to the harvest of product in this shipment, e.g., ICCAT registration if product is Atlantic bluefin tuna.	
Unit of Measure (conveyance)	3AN	43-45	n/a	Not needed for VNM.	
Harvested Commodity Net Weight	10N	46-55	n/a	Not needed for VNM.	
Filler	25X	56-80	M	Space fill.	

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For other vessel identifiers, if provided:

Record Identifier PG31 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 31.	
Commodity Harvesting Vessel Characteristic Type Code	3AN	5-7	M	The following additional codes are allowed: IMO = International Maritime Organization VCS = Vessel Call Sign PMT = flag state permit number RFO = Regional Fishery Organization authorized vessel number OTH = Other	
Commodity Harvesting Vessel Characteristic	35X	8-42	M	Provide the International Maritime Organization number for the harvest vessel if one exists.	
Unit of Measure (conveyance)	3AN	43-45	n/a	Not needed for other vessel identifiers.	
Harvested Commodity Net Weight	10N	46-55	n/a	Not needed for other vessel identifiers.	
Filler	25X	56-80	M	Space fill.	

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Record Identifier PG32 (Input)

At least one PG32 record is mandatory if the product was identified as anything other than aquaculture product to provide data pertaining to the commodity routing information. For each vessel provided, there should be a corresponding PG32 to indicate the offload location.

The following are the data elements required by NMFS for SIM in the PG32.

Record Identifier PG32 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	Must always equal PG.	
Record Type	2N	3-4	M	Must always be 32.	
Commodity Routing Type Code	3AN	5-7	M	Provide the code indicating the Place of Transshipment from original harvest vessel to transshipment vessel using the Place of Transshipment Code - Code = 13 or the Country of First Landing from original harvest vessel to shore using the Place of Discharge Code – Code = 11	
Commodity Routing Country Code	2A	8-9	C	A two letter country code from Appendix B that shows the country where the fish was initially landed or, if transshipped, what Country’s territorial waters the transshipment took place in. If it was transshipped on the high seas in international waters, use code “ZZ”.	

There may be multiple PG31 and 32 records. In those instances, trade should use the PG50/51 to group the PG31 and 32s together, accordingly.