



The Seafood Task Force (STF) Membership Agreement requires members to demonstrate the traceability of Thai shrimp products, subject to the agreement, through their respective supply chains on an annual basis. This Protocol defines the information the STF expects to be available throughout the supply chains and demonstrates how the STF expects data points to connect in order to show the supply chain is traceable. The intention is that a member demonstrating traceability for purposes of the STF Membership Agreement could use this Protocol as a checklist for the sequence of information required from the member's supply chain.

As stated in the Membership Agreement, the following shows the scope of the traceability requirement for the respective categories of members:

- Retailers, club stores, brands, food service providers, importers and processors will trace back to the feed mill.
- Feed Mills will trace back to the vessel for wild caught fishmeal ingredients and back to the farm for aquaculture fishmeal ingredients.

For example, a retailer must be able to trace its covered shrimp products to the processor's finished lot of shrimp product back through the farm(s) that supplied the shrimp, to the feed lots that were fed to the shrimp and to the feed mills that produced the feed lots. Feed mills then must trace the fish meal for those feed lots back to the vessels or farms that provided the fish for the fishmeal. This traceability is achieved, as explained below, by linking unique lot numbers of raw materials and finished products as well as product information associated with each lot.

In general, and as explained below, for traceability to be established between each stage in the supply chain, members must have documentation that includes the following data points representing the flow of goods between each stage:

- Buyer and seller identification (including business name, address and GPS location)
- Product being transacted (species name or product description)
- Date of transaction (e.g. harvest date, receiving date)
- Volume of product being transacted and batch or lot number associate with the prod

Traceability documentation within any given processing facility must also be collected, also as explained below, to ensure internal traceability is being conducted.

**For all activities covered by this Protocol, all price data shall be redacted from documents.**

The following shows the steps each member should check when using this Protocol. In addition, the types of information required from each step in the supply chain are summarized in Appendix A.



Member type	Steps to check
Retailers, club stores, brands, food service providers and importers	1 through 10
Processors	5 through 10
Feed Mills	11 through 24

Steps for the Thai Shrimp Traceability Protocol

Step No.	Nature of information to trace	Typical documents containing information	How to connect document to a preceding or subsequent document
1	U.S. Customs Entry Summary <sup>1</sup>	CBP Form 7501	
2	Identification of container numbers being imported and nature of goods they contain	Bill of lading	Bill of lading number appears on CBP Form 7501
3	Identification of goods sold and included in the particular import	Commercial invoice	Commercial invoice number appears on CBP Form 7501
4	Batch numbers of finished goods packed into specific container	Packing list	Packing list shows container numbers into which specific batch numbers were packed and invoice under which they were sold
<p>Randomly select one of the batch numbers identified in Step 4 to be traced through the following steps.</p>			

<sup>1</sup> The first three steps identify documents for products imported into the United States. For traceability exercises relating to EU imports, comparable documents would have the relevant information.



5	Processing plant's batch number assigned to finished product	Final production record	The batch number will be identified, likely among others, in Step 4.
6	Identification of production steps required to make finished product	Production specification	Name of product or product identification number used to identify the production specification should also appear on the invoice in Step 3. The specification may also indicate how to interpret the finished product batch number to identify production information, such as factory number and date of production. This information might help confirm which production records in Step 7 correspond to the finished batch number.
7	Use of the finished product batch number throughout production to confirm raw material actually used in the finished product	Each production step should have its own record showing the finished batch number, and the number and nature of the production steps should match those identified in the product specification in Step 6. The batch number used to trace the raw materials used throughout the particular production run may change, however. This could be due to a number of circumstances such as the batch number assigned to raw material received at the factory being converted to a finished product batch number during production. Another example could be raw material that was	The number of production records should match the production steps identified in the specification in Step 6, and the final product batch number should appear on the packing list in Step 4.



		partially processed but moved to storage and later removed for production. In the event the finished product batch number is not the batch number used to trace the raw material used throughout the production run, production records should be available to match the finished product batch number to any earlier batch number used to identify the raw material used. In any event, this linking should lead to a batch number for raw material received at the processing factory.	
8	Identification of the raw material received	A raw material received log should record the date and time the raw material was received as well as the form of the shrimp received and volume, and the government issued moving document number showing the movement of the shrimp from the harvesting farm to the processing factory.	The code assigned to the raw material received should match the raw material used in the first production record in Step 7.
<p>If the production run used raw material received from multiple deliveries, select one of the deliveries randomly and use the corresponding receipt code for the following step.</p>			
9	Identification of the harvesting farm and pond and date of harvest	<p>Thai government issued Moving Document.</p> <p>Each Shrimp delivery is accompanied by the <i>Aquatic Animal Movement Document (MD)</i>, that includes the following information:</p> <ul style="list-style-type: none"> <li>- MD Reference Number</li> <li>- Harvest date</li> <li>- Shrimp Farmer's name</li> </ul>	The Moving Document number should match the raw material receipt record in Step 8.



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		<ul style="list-style-type: none"> <li>- Shrimp Farmer ID Card Number</li> <li>- Fry Movement Document</li> <li>- Shrimp Farm Registration number</li> <li>- Shrimp Farm Address</li> <li>- Pond number</li> <li>- Volume of shrimp</li> <li>- Size</li> <li>- Date of purchase</li> </ul>	
<p>10</p>	<p>Feed used while raising shrimp harvested in Step 9</p>	<p>The farm should have kept a feed book, often one issued by one of the feed mills. The feed book should show the pond numbers fed, how much, on what date and of what size, brand, manufacturer and batch code of each bag of feed.</p> <p>STF Processors have established a system to record the feed used to raise the shrimp and they required all farms supplying to STF processors to utilize the form as a means of disclosing the Feed and establish traceability. <i>The Feed Information Form V.7</i> contains the following:</p> <ul style="list-style-type: none"> <li>- Farm Registration number</li> <li>- Farm Name</li> <li>- Farm Address</li> <li>- Pond number</li> <li>- Movement Document Number</li> <li>- Date feed was delivered</li> <li>- Feed Manufacturer</li> <li>- Feed Brand Name</li> <li>- Feed Lot Number</li> <li>- Feed size</li> </ul>	<p>The date range covered by the feeding, feed sizes used (i.e. bigger for bigger shrimp) and ponds fed should be consistent with the harvest date and volume on the MD in Step 9.</p>



<p>Multiple feed manufacturers might be identified in Step 10. Randomly select one batch code for each manufacturer identified and use each selected batch code for the next step.</p>			
11	<p>Repeat Step 6 but this time to identify the specification for the shrimp feed. Identify the proteins used in the feed.</p>	<p>Production Specification Internal production record for all processes needed to produce specific product identified in Step 10.</p>	
12	<p>Repeat Steps 7 and 8 but this time to trace the use of the marine proteins identified in Step 11 from their use in the final shrimp feed product back to the receipt of the protein at the feed mill.</p>	<p>Final production record (Finished shrimp feed bag)</p>	<p>Each production step should have its own record showing the finished batch number, and the number and nature of the production steps should match those identified in the product specification in Step 11. The batch number used to trace the raw materials used throughout the particular production run may change, however. This could be due to a number of circumstances such as the batch number assigned to raw material received at the factory being converted to a finished product batch number during production. Another example could be raw material that was partially processed but moved to storage and later removed for production. In the event the finished product batch number is not the batch number used to trace the raw material used throughout the</p>



			<p>production run, production records should be available to match the finished product batch number to any earlier batch number used to identify the raw material used. In any event, this linking should lead to a batch number for raw material received at the processing factory.</p>
<p>13</p>	<p>For the marine protein or proteins identified in Step 12, determine if the source of the proteins is from bycatch<sup>2</sup> fish, byproduct fish or another source. If more than one batch of any of the types of protein is used, e.g. two batches of bycatch fishmeal are used and two batches of byproduct fishmeal are used, randomly select one batch number for each time of protein, i.e. one batch of bycatch protein and one batch of byproduct protein, to trace further.</p> <p>If the protein is bycatch, proceed to Step 14. If the protein is wild capture byproduct, proceed to</p>	<p>-</p>	

<sup>2</sup> For purposes of this document, “bycatch” means fish that is caught while the vessel is primarily attempting to catch other fish and the fish not primarily intended to be caught has little or no economic value other than as fishmeal and “byproduct” means parts of fish that are left over after a fish is processed for another purpose and the left over has little or no economic value other than as fishmeal, e.g. parts of tuna left over after the main parts of a tuna are processed for human consumption or the parts of aquaculture raised fish left over after the fish is processed for human or other consumption. Other sources of protein could include proteins manufactured through biotechnological processes.



	<p>Step 17. If the protein is aquaculture byproduct, proceed to Step 21. Proceed to each of these steps for each of the batches identified through this step.</p>		
<p>Following Steps 14 through 16 are for by-catch fishmeal</p>			
14	<p>Identification of the fishmeal factory</p>	<p>An invoice and delivery document should identify the fishmeal factory and the batch number is assigned to the batch delivered to the feed mill.</p>	<p>The batch number should match the batch number received at the feed mill as shown in documents identified in Step 12.</p>
15	<p>Repeat Steps 7 and 8 to trace the fishmeal production through the fishmeal factory. The production process will likely entail very few steps but should result in identification of the bycatch fish batches received and the Marine Catch Purchase Document numbers associated with those catches.</p>	<p>Internal production records for all processes needed to produce specific product identified in Step 13.</p>	<p>Each production step should have its own record. The batch number used to trace the raw materials used throughout the particular production run may change, however. This could be due to a number of circumstances such as the batch number assigned to raw material received at the factory being converted to a finished product batch number during production. Another example could be raw material that was partially processed but moved to storage and later removed for production. In the event the finished product</p>



			batch number is not the batch number used to trace the raw material used throughout the production run, production records should be available to match the finished product batch number to any earlier batch number used to identify the raw material used. In any event, this linking should lead to a batch number for raw material received at the processing factory.
16	Identification of the vessels that caught the bycatch	Marine Catch Purchase Document (“MCPD”) and Port-In, Port-Out (“PIPO”) documents. These may be in hard copy paper form or they may be print-outs from the official Thai government online system that records these data electronically.	The MCPD number should match the raw material receipt record identified in Step 15, and the PIPO inspection dates should match the fishing dates on the MCPD.
The following Steps 17 through 20 are for tuna by-products fishmeal			
17	Identification of the fishmeal factory	An invoice and delivery document should identify the fishmeal factory and the byproduct fishmeal batch number is assigned to the batch delivered to the feed mill.	The batch number should match the batch number received at the feed mill as shown in documents identified in Step 12.
18	Repeat Steps 7 and 8 to trace the fishmeal production through the fishmeal factory. The production process will	Internal production records for all processes needed to produce specific product identified in Step 13.	Each production step should have its own record. The batch number used to trace the raw materials used



	<p>likely entail very few steps but should result in identification of the byproduct fish batches received and the supplier.</p>		<p>throughout the particular production run may change, however. This could be due to a number of circumstances such as the batch number assigned to raw material received at the factory being converted to a finished product batch number during production. Another example could be raw material that was partially processed but moved to storage and later removed for production. In the event the finished product batch number is not the batch number used to trace the raw material used throughout the production run, production records should be available to match the finished product batch number to any earlier batch number used to identify the raw material used. In any event, this linking should lead to a batch number for raw material received at the processing factory.</p>
<p>19</p>	<p>Repeat Steps 7 and 8 to trace the byproduct fish batch back to receipt at the factory of the whole fish batches that were processed and from which the byproduct resulted.</p>	<p>A raw material received log should record the date and time the raw material was received as well as the form of the whole fish batches received and volume.</p>	<p>The code assigned to the raw material received should match the raw material used in the first production record in this step.</p>



	This should result in a receiving log that ties the fish batch numbers assigned at the time of receipt at the factory to an invoice identifying the seller of the fish.		
20	Identification of the vessels that caught the fish received at the factory and identified in Step 19.	Captain’s statements and fishing logs	The captain’s statements identifying vessels, catch location, catching gear and whether an observer was on board and the fishing logs identifying the species and amount caught should be conveyed to the processing factory in connection with the invoice or other similar document identified in Step 19 showing the seller and the particular transaction that caused delivery of the specific fish batches.
The following Steps 21 through 24 are for aquaculture by-products fishmeal			
21	Identification of the fishmeal factory	An invoice and delivery document should identify the fishmeal factory and the aquaculture by-products fishmeal batch number is assigned to the batch delivered to the feed mill.	The batch number should match the batch number received at the feed mill as shown in documents identified in Step 12.
22	Repeat Steps 7 and 8 to trace the fishmeal production through the fishmeal factory. The production process will	Internal production records for all processes needed to produce specific product identified in Step 13.	Each production step should have its own record. The batch number used to trace the raw materials used



	<p>likely entail very few steps but should result in identification of the byproduct fish batches received and the supplier.</p>		<p>throughout the particular production run may change, however. This could be due to a number of circumstances such as the batch number assigned to raw material received at the factory being converted to a finished product batch number during production. Another example could be raw material that was partially processed but moved to storage and later removed for production. In the event the finished product batch number is not the batch number used to trace the raw material used throughout the production run, production records should be available to match the finished product batch number to any earlier batch number used to identify the raw material used. In any event, this linking should lead to a batch number for raw material received at the processing factory.</p>
<p>23</p>	<p>Repeat Steps 7 and 8 to trace the byproduct fish batch back to receipt at the factory of the whole fish batches that were processed and from which the byproduct resulted.</p>	<p>A raw material received log should record the date and time the raw material was received as well as the form of the whole fish batches received and volume.</p>	<p>The code assigned to the raw material received should match the raw material used in the first production record in this step.</p>



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	This should result in a receiving log that ties the fish batch numbers assigned at the time of receipt at the factory to an invoice identifying the seller of the fish.		
24	Identification of the farms that harvested the fish received at the factory and identified in Step 23.	Depending on whether the farms were domestic or foreign, import and shipping records might be needed. Ultimately an official national document should identify the farms.	